Jonida Alite
Peter Guštafík
Karolína Miková
Zora Paulíniová

CSOs DEVELOPMENT, SUSTAINABILITY & INCLUSIVENESS IN PARTICIPATORY PROCESSES

A handbook for CSOs Executives

PARTNERSALBANIA
FOR CHANGE AND DEVELOPMENT

PDCS

This publication was funded by the Official Development Assistance
of the Slovak Republic – SlovakAid.

Title: CSOs Development, Sustainability & Inclusiveness in Participatory Processes

Published by: PDCS and Partners Albania for Change and Development,
members of Partners Network

Authors: Jonida Alite, Peter Guštafík, Karolína Miková, Zora Paulíniová

Main Editor: Adela Tihláriková
Editors: Klotilda Kosta, Ariola Agolli
Dizajn & layout © Zuzana Číčelová

OBSAH

FOREWORD

Non-profit organizations (NPOs) in Albania operate in a very dynamic environment and play a significant role in country development through their diverse competencies and programmatic areas. Over the past two decades, the NPO sector in Albania has grown and now manages substantial financial resources. Even with the experience it has gained, to achieve significant results, the NPO sector still needs development programs to improve skills related to organizational development, management, sustainability, mobilization of supporters to design and run advocacy and lobbying campaigns etc.

We try to fulfill this need through the educational Academy program, which has been over its lifetime completed by dozens of successful leaders of Albanian NPOs. The purpose of this publication is to offer Academy participants a more in-depth reading related to topics covered in the four Academy sessions: Organizational Development, Fundraising, Advocacy and Participation, written by lecturers and trainers of the Academy. We wish you a pleasant reading and hope that the chapters will provide you with helpful information and inspiration for your work.

Jonida Alite
Adela Tihláriková
editors

ORGANIZATIONAL DEVELOPMENT, GOVERNANCE AND MANAGEMENT

Jonida Alite

I. Introduction to Organizational Development Understanding the Organizational Universe

Some definitions:

Organization is the planned coordination of activities of a number of people for the achievement of some common explicit purpose or goals through the division of labour or function and through a hierarchy of authority and responsibility.

Development is the act, process, result or state of being developed which means to advance, promote the growth, further, improve or enhance something (Schein, 2004).

Organization Development (OD) is the act, process, or result of furthering, advancing or promoting the growth of an organization.

OD is an effort (1) planned, (2) organization-wide, and (3) managed from the top, to (4) increase organization development and health through (5) planned interventions in the organization's “process”, using behavioral science knowledge (Beckhard, 1969).

OD is the attempt to influence the members of an organization to expand their candidness with each other about their views of the organization and their experience in it, and to take greater responsibility for their own actions as organization members. The assumption behind OD is that when people pursue both of these objectives simultaneously, they are likely to discover new ways of working together which they experience as more effective for achieving their own and shared (organizational) goals (Neilsen, 1984).

Organization Development is a body of knowledge and practice that enhances organizational performance and individual development, viewing the organization as a complex system of systems that exist within a larger system, each of which has its own attributes and degrees of alignment. OD interventions in these systems are inclusive methodologies and approaches to strategic planning, organization design, leadership development, change management, performance management, coaching, diversity, and work/life balance (Minahan et al., 2016).

OD as a response to change, a complex educational strategy intended to change the beliefs, attitudes, values and structure of organizations so that they can better adapt to new technologies, markets and challenges (Bennis, 1969).

The characteristics of OD are:

- It is a planned strategy to bring about the organizational change
- Involves a collaborative approach to change
- OD programs emphasize ways and tools to improve performance
- OD relies on a set of values about people and organization

Understanding Organizational Universe

Mission, Vision, Values, Goals and Objectives

- **Mission** – The purpose of a nonprofit mission statement is to make clear the organization's core purpose, the general methods it uses to achieve its overall goals, and the primary community that it serves. It is a sentence describing organization's function, and competitive advantages; a short written statement of your goals and philosophies. A mission statement defines what an organization is, why it exists and its reason for being.

  Some examples of mission statement:
  - *Partners Albania is an independent Albanian NGO established in 2001, working to support civil society and facilitate inter-sector cooperation in order to strengthen democratic institutions and advance economic development.*
  - *Promotion of equal opportunities for all youngsters, especially for those with social disadvantages and different abilities, by offering them support to get empowered and take active part in community life (Beyond Barriers Albania)*
  - *Promotion of equal opportunities and protection of the rights of persons with disabilities with a view to improving the quality of life for them and their families (Albanian Disability Rights Foundation).*
- **Vision** – is a description of plans for the future of an organization. Vision inspires, guides, directs your organization in all aspects, including the provision of funds. Vision describes what the organization needs to change or improve in order to successfully reach its goals and objectives. A Vision statement outlines what the organization wants to be. It concentrates on the future. It is a source of inspiration.
- **Values** – Every organization has a set of values, whether or not written down. These values guide the perspective of the organization as well as its actions. Writing down a set of commonly-held values can help your organization define its culture and beliefs. When members of the organization subscribe to a common set of values, the organization appears united when it deals with various issues.
  - *Organizational values*: communication, cooperation (teamwork), coordination, standardization (Forms, procedures, reports, training, recruitment, etc.)
  - *Psychological values*: continuous improvement, creativity, innovation, integrity, loyalty, respect for the individual, etc.
  - *Physical values*: maximum mobilization of resources – time, money, materials, space, people, etc; order and cleanliness (physical environment), punctuality and working hours; quality of service; safety in the workplace etc.

Internal communication in organizations is an important aspect for the transmission of information between staff members. Depending on the organization type and size, each organizations should develop and implement and internal communication strategy – including vertical, horizontal, formal, and informal communication. A good use of communication channels and forms affect the teamwork and cooperation, brings better coordination of tasks etc. Bigger organizations develop internal policies and procedures on information flow, information security while those organizations that do not have many staff develop and implement less formal communication strategies.

Meanwhile, it doesn't matter how big or small an organization is when speaking about psychological and physical values. Integrity, loyalty, respect for the individual are very important values within organizations. Valuing people means encouraging their development and rewarding their performance. Offering to staff possibilities for growth and development means organizational development. Some organizations develop annual plans for staff development – internal capacity building programs or external possibilities.

Development of standards in relation to the best mobilization of resources (time, money, materials, space, people, etc) and promoting the health and well-being of the individual in the working environment are important values for organizations.

- **Goals** – It describes the outcome that an organization wants to achieve. Goal setting can be done simply by answering the question “Why are we here?”. Goals are strategic objectives that an organization's management establishes to outline expected outcomes and guide organization's efforts.
- **Objectives** – Support the goals and provide more details. It is very important to be SMART – specific, measurable, achievable, results-oriented and set in time. Organizational objectives are short-term and medium-term goals that an organization seeks to accomplish. An organization's objectives will play a large part in developing organizational polices and in determining the allocation of organizational resources.

Organizational Culture

Organizational culture is a system of shared assumptions, values and beliefs, which governs how people behave in organizations. These shared values have a strong influence on the people in the organization and dictate how they dress, act, and perform their jobs.

The type of organization, the staff, the principles, policies and values of the workplace all make organizational culture what it is. Examples of “strong and weak” organizational culture are given as below to understand how the organization is impacted in both ways:

NPOs with a “strong culture” are those where the employees have a sense of empowerment and understanding of the goals, regulations and organization philosophy. This cultivated culture allows the employees to feel respected which in turn, has contributed to the overall health of the organization. All employees enjoy a workplace with an open communication policy – opinions are valued and heard. Employee orientation and development is in the focus of the management as well as the enhancement of team work rather than individual work. Low employee turnover over the years is a good example of this case.

The organizational culture is influenced by the leadership. Since a “strong culture” promotes the organization's values and supports teams' efforts to achieve organizational goals, a “weak culture” usually is characterized by low team spirit; also, there is greater need for procedures, policies and bureaucracy in order to get things done in the desired way.

A weak organizational culture is one in which employees are not clear what their goals are. A weak culture is evident when most employees have varied opinions about the organization's mission and values (Robbins and Judge, 2011).

Organizational Environment

Organizational environments are composed of forces or institutions surrounding an organization that affect performance, operations, and resources. It includes all of the elements that exist outside of the organization's boundaries and have the potential to affect a portion or all of the organization.

Organizational Climate

Organizational climate – it refers to the work environment – where the environment can be supportive, encouraging and motivating or may be non-motivational and boring for people to work and for tasks to be done (trust, transparency, support, moral risk taking, etc.).

Organizational Structure and Roles

Organizational structure refers to the hierarchical arrangement of line and authority, communications, right and duties of an organization. It determines how the roles, power and responsibilities are assigned, controlled and coordinated and how the information flows among the different levels of management. A structure depends on the organization's objectives and strategy.

Communication in Organizations

Communication in organizations encompasses all means, both formal and informal by which information is passed up, down and across the network of managers and employees within organization. It relates to the dissemination of official information between staff, modes of communication aiming to build knowledge sharing throughout the organization.

Organizational Visibility and Transparency

Organizational image and choosing the right channels of communication (effective use of public and private media, social media and media produced internally by the organization) are important means of communication which contribute to the organization visibility and PR. Organizational transparency implies openness, communication and accountability, being open to others to see the organizational actions performed. It is related to the shared information, disclosure of information at organizational members and public.

II. Organizational Governance

NPOs' Governance and Decision-making bodies

The World Bank defines non-profit organizations – NPOs as private organizations that pursue activities to relieve suffering, promote the interest of the poor, protect the environment, provide basic social services, or undertake community development. NPOs have also frequently a role to play in providing services to groups that for various reasons cannot be reached by other assistance agencies.

Governance and decision-making bodies

The English word “governance” comes from the Latin word meaning “to steer, guide, or direct. Good governance is a transparent decision-making process in which the leadership of a nonprofit organization, in an effective and accountable way, directs resources and exercises power on the basis of shared values. “Nonprofit organizations, exercises good governance when they have an internal system of checks and balances that ensures the public interest is served. The basis for NGO governance is usually a country's legal code, which assigns an internal governance structure depending on the type of organization.” (Wyatt, 2004).

"NPOs are associations, foundations and centers whose activity is conducted in an independent manner and without being influenced by the state."[1]

- **Non-profit organization with membership:** established by the free will of natural or legal persons. The minimum number of founding members is five natural persons or at least two legal persons. Every member has the right to leave the non-profit organization for any reason.
- **Non-profit organizations without membership:** are foundations and centers. Non-profit organizations without members are created by one or more persons or by testament.

The highest decision-making organ of a non-profit organization without membership is the board of directors, which can also have different designations, while for those with membership; it is the general assembly of its members. In conformity with the procedures specified by law or in its official documents, the highest decision-making organ of a non-profit organization convenes no less than the number of the meetings provided in the charter, and also within the time provided in the charter, but in any case, no less than once a year.

Competencies of the Highest Decision-making Organ[2]

The highest decision-making organ of a non-profit organization, in addition to other issues that it deems should be examined by it, decides on amendment of the charter, specifies the fields and programs of activity, oversees and audits regularly their accomplishment, examines economic, financial and administrative questions, approves the most important acts in connection with the budget of the non-profit organization and the expenses for the coming year, issues norms for the regulation of the activity, organization and the structure of the organization, elects or appoints members of the highest executive organ, creates special committees, and also decides on other questions expressly provided in law or in the charter.

Board of Directors

Key roles and responsibilities

The board of directors of a non-profit organization is responsible within the mandate to ***develop, implement and monitor*** policies that will allow the organization to carry out its work successfully.

1 Council of Ministers, 2001.

2 Ibid.

Some of the main responsibilities are:

- Participate in the development of a mission and strategic plan for the organization
- Hire and ensure that an effective senior management team is in place (i.e., Executive Director)
- Maintain effective partnerships and communication with the community, the organization's members and its stakeholders
- Engaged in fundraising and monitoring annual budgets
- Ensure transparency in all communication to members, stakeholders and the public
- Evaluate the organization's work in relation to a strategic plan
- Evaluate the work of the board of directors,
- Evaluate the performance of Executive Director, etc.

The Board and Executive Director – Working in partnership

A productive relationship between the board and the executive director demands hard work, patience and mutual respect. Each plays a supporting role for the other, offering advice and encouragement when needed. The most important key to success is good communication, for which the executive director and the board, especially the chair, share equal responsibility. The executive director provides the board with accurate and timely information about the NPO, its environment, achievements, etc.

The board, for its part, should be clear and direct in the instructions, guidance, and feedback it offers to the executive director. The board must monitor and evaluate the executive director but also mentor him or her during his/her performance.

Bylaws

Bylaws are significant written rules by which an organization is governed and must comply with the requirements of legislation. Every organization should have its own bylaws. The bylaws enable organizations to carry out their activities effectively and efficiently. Boards that do not review their bylaws may sometimes find themselves working against them, therefore putting the organization at risk.

The standard framework for bylaws should include:

- The organization's purpose
- A description of the membership
- A description of the board composition and governance structure
- Location of office
- Number of meetings held by the board
- Description, title and responsibilities of Executive Director
- The election and voting process
- Details about quorum
- Filling board vacancies
- Removal of directors
- Senior staff positions
- Making amendments to bylaws
- Details about fiscal year
- Financial obligations, funders
- Conflict of interest etc.

Organizational Policies and Procedures

Policies and procedures are important instructions, guidelines for the organizational management. The policy tells an organization what to do, and the procedure tells how to do it. Each policy should have a procedure, and together these documents will direct organizations on making decisions and working within certain limitations.

Board and Executive Director are engaged in the development, monitoring and amendment of policies. Regular review and revision of policies is good practice for an effective management of an organization.

III. Organizational Management Role and Responsibilities of the Executive Director

Management is the process of making, distributing and using a variety of resources to support the objectives of an organization.

NPO management depends on the organization type, size and development stage. On this basis, the role of its director is established as well. The management approach in a small NPO is different from the management of a bigger/developed one. Organizations pass through different development stages. If we speak about NPOs which are at their early development stage – where generally there is just a team of people working all together achieving this "growth" – generally the organization director put himself in different roles – a manager, a facilitator, a project manager or staff, a financial officer etc.

However, at whatever stage the organization is, the Executive Director has the primary role in the direction and management of the organization, so it is important to deepen his knowledge and skills in various fields. Despite the important basic knowledge needed to be successful, the executive director should increase the level of knowledge and possess specific technical skills related to the nature and services of the organization.

NPO Executive Director skills and responsibilities

As the person in charge of the operations of a nonprofit organization, executive director has many responsibilities. Executive directors are charged with establishing and enforcing the vision of the organization; recruiting and supervising staff; maintaining a productive relationship with the board of directors; creating a fundraising plan that will ensure sustainability and managing organizational finances.

Executive Directors must have strategic organizational vision, great motivational and communication skills, ability to facilitate collaborations and partnerships and high tolerance for change. In terms of planning and assuring organizational sustainability, executive directors are involved and must have excellent skills in strategic planning, fundraising and financial management, public relations and management of human resources:

- **Designing, Developing and Implementing Strategic Plans**

  One of the main responsibilities of the Executive Director is to guide the organization and provide a vision for where it will be in the immediate future and the long term. Development of a strategic planning is important because it provides the organization's board, staff, and stakeholders with a clear picture for action. Executive Director has a key role in driving the process of strategic planning (design and development, implementation and review).

- **Financial Management and Fundraising**

Executive director is also responsible for determining how the organization spends its money and generates financial support. Managing and raising funds effectively is critical to the sustainability of the organization and will be an issue of particular concern to the organization director.

The executive director should also pay attention to financial controls – funds raised and spend by the organization, as well as understand and analyze all financial documents and the relation with state authorities.

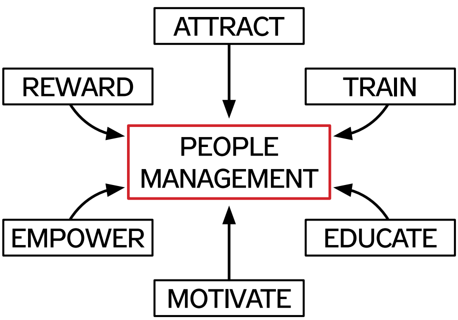
Fundraising is also an important responsibility of the executive director to assure organization sustainability. When developing a fundraising plan, it is important to analyze the actual status, analyze previous funding sources and design the plan for the future. The fundraising plan should outline steps for raising funds from each potential source.

- **Public Relations**

Executive Director is the public face of the organization. Executive director must play a vital role outside the organization, attending a range of fund-raising events, various meetings with donor community and governmental officials and public relations events. He/she exposes the organizational achievement to assure its sustainability.

- **Human Resources Planning and Management.**

Human Resource Management (HRM) is the function within an organization that focuses on the recruitment of, management of, and providing direction for the people who work in an organization.



Human resource management should be based on a set of policies that clarify the operational part of the organization toward its employees.

Executive Directors through human resource planning process identify the competencies an organization needs to fulfill its mission and assess the needs for human resources. Human resources plans are developed in relation to the organizational activities (programs/projects, budget etc).

In relation to the HRM, Executive Directors manage human resources through the following steps:

1. Development of Job Descriptions

The development of job descriptions in an important step to specify the main responsibilities and the required qualifications needed for the job holders.

Executive Director ensures that the job descriptions are designed and reviewed accordingly whenever significant changes in the position requirements take place.

2. Recruitment and Hiring

The development of recruitment and hiring procedure is important to fill the vacancies through selecting the best-qualified candidates according to valid criteria.

Hiring

The hiring process begins with the search for applicants, continues with choosing the best-qualified candidates for available jobs, and ends with the placement and orientation of the new employee to the organization and their responsibilities. Before going outside the organization to recruit a new staff member, we take a look at those working within it to look forward to the internal promotion (applicable in large organizations).

The following steps are important in conducting recruitment:

- Prepare and launch a job announcement
- Selection process – identifying potential candidates. Who should be invited for an interview
- Interviewing process and selection of best candidate that meet position requirements.

a) Selection

The role of selection in the hiring process is to find the best-qualified applicant from those who have submitted applications for the vacancy. There are several steps to consider about selecting the successful candidate(s).

- *Review of all applications* for a given position to identify those candidates who meet position criteria.

- *Call for the interview* of the pre-selected candidates. This is probably the most common selection method used by NPOs.
- *Written tests* – Sometimes it is appropriate to measure the knowledge and ability of a candidate for a specific job by some kind of written test.
- *Reference Checks* – It is important to conduct an investigation of every applicant's credentials (past employment/volunteer history, professional status and personal references).

b) Orientation

Employee orientation is the initial step when the new employee joins the organization. The orientation session should accomplish several things.

- Orient the new employee to the organization and its procedures, benefits, expectations, and other necessary facts of institutional life.
- Introduce the new employee to the specific requirements of the job or position and important work colleagues.
- Start the process of successfully integrating the new employee into the organization and immediate work environment.

3. Employee Motivation and Rewarding

Motivation tools must be designed to encourage initiatives and provide rewards for employees. Managers direct and support the work of their staff by varying their styles of management consistent with the ability and motivation of each volunteer and employee. Having motivated employees is key to managing an effective organization.

Executive Directors motivate staff by giving them a clear understanding of the responsibilities of the job, giving authority and responsibility for the assigned task, giving feedback on their performance, giving recognition which enhances their self-esteem and motivates them to continue to do their best work.

Executive Directors motivate staff by setting standards of performance, by providing them with the skill and confidence they need to meet the standards, by providing them with the knowledge and information they need to achieve good results; by delegating tasks and responsibilities which helps them to effectively perform duties and believe more in themselves.

Employee rewarding is also an important process within organizations. Base salaries for specific jobs are determined by the specific position in the organization (organizational chart); assigned duties and responsibilities and organizational possibilities (budgets).

4. Training and Development

Training is used to correct performance results. Lack of knowledge or skill and results are evaluated against planned performance improvements. Training is also an important strategy for personal and professional development.

Executive directors pay attention to Training Needs Assessment to assess staff needs and design or plan training programs in accordance with staff needs and position requirements. An analysis of how many people have the same need, how urgent is it to acquire the anticipated skills, consequences of providing training and organization cost is important prior to implementing this process.

5. Performance Appraisal and Management

The performance appraisal process might be combined – written or face-to-face discussion – whereby the management evaluates and provides feedback on job performance, including steps to improve. Standards must be established and used to measure the performance of employees and volunteers, and results must be openly discussed and used to raise mutual expectations for future performance. Different organizations use different appraisal formats and performance management tools.

Below are given some examples related to the performance management:

Situation No. 1	***Diagnosis***	***Preferred Strategy***
The staff's performance has been dropping in recent months. She is no longer interested in pursuing performance standards. Redefining the task has worked in the past. Now she must be reminded to have tasks done on time.	*She appears to be unwilling to take responsibility and, although somewhat capable, still lacks the necessary confidence and task experience to perform without help.*	*The manager should redefine the task and responsibilities as needed to restore performance using a directive style (high task/low relationship).*
Situation No. 2	***Diagnosis***	***Preferred Strategy***
The manager is considering introducing a new procedure not familiar to the work group. Members of the group have made suggestion for the change. The group has been productive and is flexible in the way it does things.	*The group has been performing well. It has made suggestions about the need for a new procedure. The group is capable of implementing the change with some input from the manager.*	*Participate with the group in developing the change but give group members freedom to plan their own strategies for implementation. This facilitative action (high relationship/ low task) will focus on implementation.*

Situation No. 3	Diagnosis	Preferred Strategy
The employee is growing in the ability to perform. The manager has taken the time to be sure he is aware of his responsibilities and expected performance standards.	*The employee has been responding well to direction and coaching. His performance is on the increase. Progress can be encouraged by friendly support while maintaining the coaching.*	*Reinforce performance by interacting with the employee, confirming mutual understanding of responsibilities and expected standards of conduct (high relationship/high task).*
Situation No. 4	***Diagnosis***	***Preferred Strategy***
Performance & relationships in the group are good. The manager believes the group is able and willing to continue without direct supervision.	*The group is experiencing a high level of quality performance. They are prepared to carry out the tasks without supervision.*	*Leave the group alone. This action (low relationship/ low task) allows the group to continue to furnish its own direction and support. Be clear that the group has the delegated responsibility to continue on its own.*

Development of Human Resources Policy

Policies are ground rules that keep people and processes in order. Human Resource policies are those that are written for the workplace and must be adhered to by employees. HR policies make it possible for employers to set ground rules for employee behavior, ethics and professionalism so that there is a consistency in the workplace. It is important to establish a standardized way of doing things in a workplace.

Human resource policies are the formal rules that organizations develop to hire, train, assess, and reward its staff. These policies, when organized and disseminated in an easily used form, can serve to manage many misunderstandings between employees and employers about their rights and obligations in the working place.

The role of the executive director is to develop policies and guidelines about how HRM tasks are to be carried out in the organization and to monitor the way they are implemented. While policies are important to effective HRM, they can also become problematic if they aren't reviewed from time to time to see if they are still relevant and workable.

Policies also need to be flexible to accommodate changes in the operating environment. Policies are formal statements of intent designed to support the implementation of your mission and goals, they are statements about employee rights and expected behaviour.

Outline to draft an effective HR Policy and Procedure Manual

1. Introduction and Purpose of the Personnel Policies

2. Employment

2.1 Eligibility

2.2 Hiring Authority and Procedures

2.3 Probationary Positions

2.4 Categories of Employment

2.5 Work Schedule and Attendance

2.6 Use of Office Space and Equipment

2.7 Personnel Files

2.8 Performance Evaluations

2.9 Resignation 5

2.10 Dress Code

3. Employee Compensation, Benefits And Status

3.1 Reporting

3.2 Salary Payments and Payday

3.3 Salary Withholdings

3.4 Personal Advances

3.6 Annual Leave

3.7 Sick Leave

3.8 Maternity/Family Leave

3.9 Bereavement & Marriage

3.10 Unpaid Leave

3.11 Public Holidays

4. Standards Of Conduct

4.1 Equal Opportunity Employment

4.2 Anti-Harassment

4.3 Non-political Policy

4.4 Conflict of Interest

4.6 Use of Alcohol and Drugs

4.7 Title rights

4.8 Confidentiality

4.9 Unpublished information
4.10 Loyalty and responsibilities
4.11 Controversies and dispute resolution, place of jurisdiction, applicable law

5. Travel Policies And Procedures

References

BECKHARD, R. 1969. Organization development: strategies and models. S.l.: University Associates, 1969. ISBN 978-0201004489.

BENNIS, W. 1969. Organization development: its nature, origins, and prospects. Reading, Mass: Addison-Wesley Pub. Co. ISBN 978-0201005233

COUNCIL OF MINISTERS. 2001. Law No. 8788 on NGO's [online]. Available from: https://www.imolin.org/doc/amlid/Albania_Law%20No.%208788%20On%20Non-Profit%20Organizations.pdf

MINAHAN, M. 2016. Organization design and development [online]. Available from: http://www.minahangroup.com/

NEILSEN, E. 1984. Becoming an OD Practitioner. Englewood Cliffs, CA: Prentice-Hall

ROBBINS, S. P. and T.A. JUDGE. 2011. Organizational behavior [online]. Available from: http://bba12.weebly.com/uploads/9/4/2/8/9428277/organizational_behavior_15e_-_stephen_p_robbins__timothy_a_judge_pdf_qwerty.pdf

SCHEIN, E. 2004. Organizational culture and leadership [online]. Available from: http://www.untag-smd.ac.id/files/Perpustakaan_Digital_2/ORGANIZATIONAL%20CULTURE%20Organizational%20Culture%20and%20Leadership,%203rd%20Edition.pdf

WYATT, M. 2004. A Handbook of NGO Governance [online]. Available from: http://lrcmyanmar.org/en/system/files/book/a_handbook_of_ngo_governance.pdf

HOW TO RAISE FUNDS FOR NGOs

Peter Guštafík

I. Fundraising – Keeping Non-Profit Organization Functional and Alive

“Money follows ideas and flows through people” – such is the golden rule of fundraising. Helping a worthy cause or making an inspiring vision come true is what the emotional fuel not only to fundraisers, but also to donors and supporters of nonprofits. Fundraisers who know the ‘why’ of their organization's existence – what difference it makes to the beneficiaries or the environment – can harness the power of the vision to engage supporters and invite them to be part of the solution. The connection between nonprofit staff and supporters giving money may be technical, administrative, and wholly rational at times (in case of writing grant proposals) but it is emotional connection that involves individual donors or people in companies to support the NGO.

Raising funds is one of those activities in an NGO which can stir strongest emotions. **If fundraising is successful**, there is satisfaction in knowing that **people may fully concentrate on the cause** the organization cares about. Should fundraising fail, tension arises and uncertainty about the future as well.

Metaphorically speaking, fundraising may be as much about luck as gold mining, as systematic and rewarding as gardening, as frustrating as „professional begging“, or as inspiring and meaningful as outreach in spreading a vision to believe in. The work in fundraising may be as administrative and bureaucratic as in banking but also as people-oriented as in sales.

We may view fundraising as a process (activities, procedures), or as a means to secure funding for a cause, but eventually it comes out as “people business“ – it is very much about **establishing and developing** meaningful **relationships** with donors and engaging donors personally and financially.

Unlike in business where financial results are a matter of survival, in a nonprofit organization, **financing is rather a tool, an instrument** to achieve organizational goals of supporting a cause or meeting the needs of beneficiaries.

Developing sound practices in fundraising – when it becomes a systematic activity of a group of committed people – benefits the organization on many levels:

- it promotes independence of the organization but diversifying sources of income and bringing also unrestricted funds,
- it makes the nonprofit more active in communicating/lobbying on behalf of beneficiaries (whether it is disadvantaged groups, the environment, or people who are marginalized in the society), and
- it is a reality check for the organization when it needs to compete for resources by developing innovative services or increasing the quality of existing ones.

Fundraising Matrix – a fundraising planning tool

One approach of NGOs to fundraising in a systematic manner is fundraising planning. 'Fundraising Matrix' can serve as a framework to capture the fundraising planning results. It is a simple tool to help NGOs answer all major questions related to its financing and possible funding sources. The purpose of fundraising planning (with or without the Fundraising Matrix) is to avoid unnecessary expenditure of time, effort, and money on non-effective fundraising activities. A well-prepared and regularly updated Fundraising Matrix will help the fundraiser focus his/her efforts.

RAISING FUNDS				
For What?	**How Much?**	**From Whom?**	**How?**	**When?**
(Budget items that need to be covered through fundraising)	(Three scenarios for expenditures – minimum, realistic, maximum)	(Possible sources)	(Fundraising channels and communication with donors)	(Important deadlines, time restrictions)
Programme costs				
Salaries				
Office rental				
Communication costs				
Utilities				
Travel expenditures				

Technical equipment				
Training and further education				
Other costs...				

Who makes fundraising happen?

In most nonprofits, it is the leader of the organization who carries its vision, uses his/her charisma to communicate its appeal through the media, is the face behind the organization, and ultimately is the person who deals with donors.

If the fundraising function can be delegated to a dedicated fundraiser (or a fundraising team), it helps if the person is:

- passionate and committed to the vision of the organization (whether it is providing proper care to orphans, or helping establish rule of law in the country by fighting corruption, or any other cause)
- able to easily develop and maintain relationships with donors on a friendly but ethical basis,
- able to handle negative response to fundraising requests without being discouraged but rather motivated to try different and innovative ways of donor involvement,
- strong in upholding high ethical standards – handing well both confidentiality and transparency issues, ensuring there is no conflict of interest issues in fundraising, and maintaining high level of trustworthiness of the organization together with the team,
- well-organized as well as creative in devising and then implementing fundraising methods (with the likely involvement of colleagues, volunteers or specialist contractors/suppliers).

II. Donors as Key Stakeholders of a Non-Profit

Fundraising is essentially about relationships. Establishing and further developing relations with donors then lies at the core of the work of a fundraiser.

In an NGO with a cause this can be done by:

1. **strengthening donor's commitment to the cause,** or
2. **strengthening donor's commitment to the NGO.**

Relationship with a donor may (and ideally should) evolve through ever more advanced stages of giving exhibited below in so-called Donor Pyramid.

Taking a joint journey with a donor requires not only that the donor by loyal to the NGO but even more so that the **NGO** be **loyal to the donor**.

The elements known to increase NGO-donor relations are:

1. **active cultivation,**
2. **respect, and**
3. **appreciation.**

Active cultivation involves systematic cross—organization steps to **identifying the interests of donors, and their donor preferences**. It involves getting to know them: who they are, what they need or wish for and how and why they support us.

Perhaps the **donor values** the work the NGO does for the **cause**, not necessarily being emotionally attached to the NGO itself. If this is the case, the NGO encourages the donor to get to know the organization – perhaps by inviting him/her to events where he/she can meet in person the NGO staff, and develop appreciation for the professionalism of the organization.

On the other hand, perhaps the **donor knows the NGO** quite well – its leadership, its activities but need not care most deeply for the cause the organization addresses. Such donors may include friends or family members of NGO staff who support the NGO because of their existing relations and not necessarily because of their heart-felt desire to advance the specific cause. In this case, invitation to see first-hand the impact of organization's activities and perhaps meet the beneficiaries might help.

Any systematic donor relationship building will require **keeping accurate and up-to-date records** of: how to contact the donor, when/why he/she because a supporter, what donations he/she has already given, who from the organization communicated with him/her in the past. Such information is best stored **in Donor Relations Management software**.

The **donor engagement portfolio** then includes possible ways to keep the donor engaged. It may include, for example:

- ✓ **Invitation** of the donor to visit the NGO;
- ✓ **A meeting** with the donor outside of NGO office, perhaps at event or at the site of working with beneficiaries;
- ✓ **Assistance to the supporter** in his/her professional or social life;
- ✓ Quick and appropriate **thank you** communication after each gift; or
- ✓ **A small gift** as a sign of appreciation for the donor's involvement (this is true of small souvenirs or personalized hand-made gifts given especially to individual donors – not so much to corporate or institutional donors where gifts – even small ones – may be ethically disputable and seen as "bribes" in effort to gain unfair advantage).

III. Testing the Power of Fundraising from Individual Supporters

Individual support to NGO may take many forms, some of them for one-off gift and quite a few for regular giving:

- **Wage deductions** – a form of regular individual whereby employees agree to have deductions made from their monthly salary to be sent to an NGO of their choice. Probably the most well-known organization using this method is the United Way, active on many continents. The idea is for employees of a company/public institution to send regular monthly donations from their salary to a social cause they wish to support. Regular donations may be as low as 3 euros but may go as high as 50+ euros per month.
- **Special events** – fundraising activities aimed at providing an entertaining and interesting means of collecting financial contributions from individual donors. This may involve, for example, an auction of children's artwork, a fundraising walk (walkathon), special fundraising dinner, etc.
- **Direct person-to-person contact** – one of the most demanding forms of approaching individual donors, requiring a large number of volunteers. Nonetheless, this is one of very effective forms of fundraising, because it allows for direct contact with the donor.
- **Membership fees** – a way of formalizing individual donor's relation with an NGO through membership. In many countries with well-developed fundraising, this form of annual support works well to provide predictable income stream for the NGO as well as to build its donor base from which major donors come later.
- **Direct mailing or telephone calls** – approaching individual donors by letter or telephone. This method requires the facility to send money directly from home by post (e.g. cheque) or online (e.g. online banking).
- Mobile phone **donor text messages** – in some countries it is possible to arrange receiving gift in the form of text messages when the amount of the gift is deducted from the mobile phone user's account.
- **Direct dialogue** – a fundraising method of approaching possible donors in the street with the goal of signing them up for regular monthly, quarterly or annual giving.
- **Crowdfunding** – a relatively new "little-from-many" method or raising funds using a combination of online fundraising video with an online campaign requesting donations online at different levels of support.

Individual philantropy

In addition to institutional donations, what keeps NGOs financially healthy are also **contributions and gifts from individuals**, described sometimes as "philanthropy" (coming from Latin for "love of people"), other times as charity. They **vary in size** (from minor cash contributions to charity boxes to major gifts in the form of bequests), in **frequency** (from once-in-a-lifetime gift made to NGO during its campaign to regular annual gift or even monthly donations), in the **level of personalization and visibility** (from a gift given anonymously all the way to a donation highly publicized in the media), and in the **level of restriction on purpose of use** (from "free to use for anything the NGO needs" to "designated for only one specific use").

Interestingly, the word "**philanthropy**" often refers to giving which is **purposeful and planned,** possibly **to achieve systemic social or environmental change**, while "**charity**" often refers to giving which may be **spontaneous, emotional**, and seeks **to meet immediate need** of beneficiaries (or relieve a disaster) without necessarily aiming to change things systematically for the future.

It is important, however, to note, that **individual philanthropy differs from grants** made by foundations of public agencies/bodies, or embassies (when the donor and the grantee make a binding contract with specific terms and conditions, and the recipient becomes contractually bound to deliver agreed services to beneficiaries, and to submit financial and narrative reports to the donor).

With individual philanthropy, **the relationship of the individual supporter and the receiving organization can be much less formal and there is no contractually required counter-value delivered to the donor** in exchange for his/her gift. Money is donated on the basis of trust that the NGO will use it in best efforts and in most effective manner to further its mission – or to advance a goal of donor's preference. There can still be a contract but a giving contract (possibly with no requirement for reporting and no obligations to meet for the money to be transferred) rather than a grant contract.

In individual philanthropy, the **decision to make a gift may be much more emotional than rational and is often based on trust rather than donor's ability to enforce fulfillment of services** by the receiving organization.

A number of factors play a role in much more philanthropic and charitable giving is present in a given country, including:

Culture – although helping family members and even strangers in need is present in some form in every culture, the variations can be significant. In some cultures, religious motivation is prevalent, in other more pragmatic way of giving requires that certain level of trust be achieved before donation is given. In some cultures, people typically set aside from their monthly salary an amount to be sent to NGOs, in other cultures, visible giving is done mostly by celebrities and wealthy individuals.

Legislation – in some countries, donations are taxed (which hurts philanthropy), in others the donations are tax exempt. However, in most developed countries, the state encourages philanthropy by giving donors a tax exemption (donation is treated as a tax-deductible sum) and the recipient is exempt from paying tax on the received donation. Law may play a major role in encouraging or discouraging individual philanthropy.

Payment mechanisms – in countries where much money circulates in a "grey economy" with no official records made of cash transactions, individuals are less likely to give money to NGOs, thinking "I have no guarantee or trust about how my money will be spent". In countries where people are used to make payments online (for purchases of goods, services, as well as for sending donations), both the tracking of one's gift is easier, as well as personalization when communicating with the donor. Collecting donations online also allows the NGO to reach thousands of potential donors in a cost-effective way.

Motivations for giving: Depending on culture and country, any of the following motivations may become strong for people who decide to give some of their private money for charitable/philanthropic purposes:

- the wish to **help one's own town/neighborhood** – local patriotism: "My family has lived here for over two generations, and I will never leave. I give money to my community because I have my roots here",
- the wish to help others **because of religious beliefs**: "God gave me the talent to make money. He gave me this gift so that I could share it with others",
- expectation that **donated money will be spent effectively and will create something of high value**, e.g. when NGO engages volunteers, it increases the value of the donation itself by adding the work time of volunteers,
- the wish to give to **bring together people who make change happen** for the benefit of others,
- the wish to help others **because someone had helped the donor in the past and the donor now wants to do the same for others**: "I have just given a large gift to a social institution that fed and clothed me when I was a child. I would like to offer other children the same things that once saved me",
- the wish to help **because it makes life more meaningful**,
- the wish to give money **because of a family tradition**: "Charity was always encouraged in our family. We didn't have much money, but we always gave to charity."

IV. Corporate Fundraising – Finding or Creating Common Interest with Companies

Corporations do care about their bottom line but they increasingly recognize the need to take into consideration not just **economic impact** of their activities but also **social and environmental impact**. The single focus on the bottom line has been expanded to "tripple bottom line" through the adoption of **corporate social responsibility** (CSR) policies.

NGOs can position themselves as possible partners to business in win-win alliances, tapping into new types of resources to advance their causes. While there are no hard and fast rules for an NGO to establishing and further developing beneficial relations with companies, the following steps provide simple and helpful guidelines:

5 Steps to attracting corporate support

1. *Know well your organization*
   What values do you stand for?
   What is the brand of your organization?
   Who are your audiences/stakeholders?
2. *Get to know your potential partners from among businesses*
   Who are they?
   What are their values?
   What is their brand?
   Who are their audiences/stakeholders?
3. *Know what it is that you have to offer*
   - ✓ **Partnerships** – this involves long-term cooperation with business in which a company provides co-funding and in-kind resources for activities of an NGO. The company gets visibility in return and association of its brand with the values that the NGO promotes. An example is a mobile phone operator working in partnership with an NGO helping people with hearing impairment – increasing their quality of life through technological solutions and by raising awareness in the society;
   - ✓ **Cause-related programs** – these are designed to bring visibility to NGO cause while increasing revenue of company which puts on their products a certain badge "by buying this product you support this cause". An example is a food producer boosting its sales of milk products by giving a certain percentage of sale price to an NGO helping place orphans in foster

families. When confronted with a choice of 5 or 6 brands of milk, some customer buy milk of this particular producer because they know some of their money will go to a worthwhile cause;

- ✓ **Sponsorship of events, programs, activities** – in this case a company seeks to increase its brand awareness by placing its logo on communication and promotional materials used by an NGO for events or activities. An example is a pharmaceutical company sponsoring an event at which NGO helping patients with diabetes provides free diabetes testing to the public;
- ✓ **Membership in advisory boards** – an excellent way of engaging with experienced businessmen who contribute their professional skills and know-how by serving on an advisory board of the NGO, often adding financial gifts to the NGO and possible helping with fundraising as well. An example is an owner of an advertising agency being member of the board of a city foundation – and providing some creative services or media space to the foundation free of charge;
- ✓ **Corporate philanthropy or grants** – a very popular way for NGOs to engage with businesses. As long as national legislation provides text benefits for it, this arrangement works fine for the company as well. An example is an electricity distributor having a CSR priority to help local development of underdeveloped communities – giving out small grants to local citizen initiatives to clean up or rebuild public spaces;
- ✓ **Contributions in-kind** (media, services, products, staff, patents, etc.) – important resource for NGOs who wish to minimize costs and involve in their causes companies which are not fond of providing direct financial support. An example is a catering company providing catering free of charge at a fundraising dinner organized by an NGO for local businessmen;
- ✓ **Engagement of corporate volunteers** – sometimes companies allow for and support their staff's voluntary work for NGOs of their choice. This is known to increase loyalty of the company's staff while bringing benefit in the form of volunteers' work to the NGO. An example is a bank sending ten of its employees to work for one day and help a NGO repaint and renovate a meeting room in a local home for the elderly.
- ✓ **Sales of products or services** – should an NGO be able to provide products or services to a company in exchange for a fee (e.g. NGO selling products made in sheltered workplaces for the handicapped to companies as socially-responsible gifts), this arrangement may become one of NGO's income streams. An example is an insurance company buying one thousand

handicraft hand-made postcards from an NGO-run workshop employing mentally disabled, to be sent as New Year wishes to its clients.

4. *Target the relevant business partners*
5. *Create meaningful partnership opportunities*

V. Exercises

QUIZ: Ethical Fundraising (adapted from Pettey, 2013)

1. Is it all right if fundraiser's compensation is determined as a percentage of the amount of funds he raised? YES-NO
2. Is it all right if fundraiser is local and knows possible donors from whom he raised gifts for other organizations that he had worked for in the past. YES-NO
3. Funds raised before 31st December must be accounted for an income of that year. YES-NO
4. The conflict of interest policy of the board of directors helps find recommendations in difficult situations. This policy should have no legal impact on the organization. YES-NO
5. From ethical perspective, the staff of an NGO should not receive bonuses to their regular salaries. YES-NO
6. Organization staff must accept the conflict of interest policy, just as members of the board accept it. YES-NO
7. If a donor provides funding to a specific program, the donation belongs to the organization and it is all if it uses it for other programs where the money is most needed, provided this is done only in exceptional cases. YES-NO
8. The responsibility for any unethical activity in fundraising is carried equally by the executive director (and not just the fundraiser or the board). YES-NO
9. Fundraisers carry full responsibility for any activities with the financial/legal/PR steps they take in fundraising. YES-NO
10. A member of the board suggests that fundraiser asks for support from a potential donor who regularly supports another NGO. The fundraiser knows the donor well because he himself used to work for the other NGO as a colleague of the donor. In such case the fundraiser should not ask for support his former colleague – a possible donor. YES-NO

Recommended responses: 1N, 2N, 3Y, 4N, 5N, 6Y, 7N, 8Y, 9Y, 10Y

EXERCISE: How are you doing in your fundraising? (Adapted from PDCS)

Instruction: Try to answer the following questions truthfully, and in discussions within your organization, address those areas where the situation could and should be changed. Answer each question with one of the four options below, and after you have finished the test, award yourself the appropriate number of points:

DEFINITELY .... 4 points
YES, BUT COULD BE BETTER .... 3 points
NO .... 2 points
DON'T KNOW .... 1 point

1. Have you drawn up a written, annual fundraising plan?
2. Does your organization have (or are you planning to train) a dedicated member of staff who coordinates grants and fundraising activities for your organization?
3. Do you know who are managers and program coordinators at the foundations and institutions which support your programs?
4. Taking your past results and present capabilities into consideration, would you consider your fundraising goals realistic?
5. Are most of the members of your board of directors actively involved in some form of fundraising for your organization?
6. Does your organization receive support from a number of sources (of a different type)?
7. Have you drawn up a strategy for further developing relations with your key donors?
8. Do you meet your fundraising goals?
9. Do you evaluate and analyze each of your successful and unsuccessful fundraising activities?
10. Do you have enough (up-to-date) information about your current sponsors or donors – for example, the history of a corporation or foundation, their mission, their priorities for the current year, and other specific details about them?
11. Do you know how to set about donor research?
12. Do you engage with your donors regularly?
13. Does your organization keep a database of past annual reports, key data about your organization, past project proposals and information on gifts received from your past and present donors?
14. Do you submit your grant applications on time and in full?

15. Do you submit reports on supported projects to your donors on time and in full?
16. Do you have people from business on your board of directors?
17. Do you exchange information on donors with other non-profit organizations with the prospect of creating possible partnerships or alliances?
18. Do you know which businesses in your region support local NGOs and what their CSR strategies are?
19. Are you capable of generating income from selling services to businesses in your community?
20. Do you know any key donors who may be able to provide major planned or regular contributions to causes you care about?
21. Do you understand the difference between operating funds, reserve funds, and endowments?
22. Do you understand the differences in fundraising methods for each of these areas (operating funds, reserves, and endowments)?

Evaluation

78 – 88 points: Congratulations! If you have answered truthfully and your organization really has achieved such a high number of points, then you are in the position to start sharing your success story with others. If, despite this result, your organization still struggles in raising sufficient funds, then your organization has almost certainly experienced very rapid growth; it is probably a good time to think about other, more challenging approaches. What about income generation from sale of products or services? Or the possibility of creating a strategic partnership with a business? If this is not the case, then ask yourself a question – is everything all right with your current mission? Does it still inspire people as much as previously?

60 – 77 points: You are on the right track. Make a note of those areas where you received less than 4 points and propose a discussion on them at your organization's next strategic meeting. It is always possible to improve. And if you do not usually hold strategic meetings to plan for the long term... well, then it is high time to begin, if you are serious about your fundraising.

22 – 59 points: Go through each question in this mini-test once more, and pay particular attention to those where your response was “I don't know”. Perhaps your strategy for raising funds is not fully under control yet; maybe you do fundraising only spontaneously and in an unplanned manner. Don't wonder why you are constantly struggling with enormous fluctuations in financing for your organization's programs. Such uncertainty is probably unsettling for everyone. Perhaps you should approach the situation more proactively. First clarify what you really want to do – things that are genuinely necessary – and once you have done this, concentrate your efforts upon creative fundraising in accordance with this plan.

QUIZ: What do you (not) know about raising funds…

Please pick one answer which you consider to be true.

1) **One of the basic rights of a donor is:**
   a) the right to know how much individual staff are paid in the organization he/she supports;
   b) the right to be informed and consulted when the organization wishes to spend donated money differently than announced at the time of receipt;
   c) the right to require that the organization receiving donation promotes the donor to the extent found reasonable by the donor.
2) **When NGO receives income from membership fees, the major benefit of setting various levels of membership fees (e.g. individual membership, family membership, corporate membership etc.) is:**
   a) ability to better involve supporters with various levels of engagement;
   b) a chance to get at least some support from people who would otherwise not give any gift;
   c) not to waste disproportionate time and energy on small supporters.
3) **Research has shown that existing supporters of an NGO:**
   a) are approximately as tolerant to mishaps in the organization as the public at large is;
   b) have higher expectations of the organization and are faster to criticize it than the population at large;
   c) are more understanding to various difficulties inside the organization than the population at large.
4) **One of the growing trends in individual giving includes:**
   a) donors wish to stay anonymous;
   b) personalization – customization of fundraising for each donor;
   c) giving in response to direct mail.
5) **In fundraising it is true that:**
   a) personal contact with the donor is a must;
   b) money follows ideas and flows through people;
   c) good presentation and persuasion skills more than outweigh a lack of strong vision or poor track record.

6) When giving thanks to donor after a gift has been received, the most important thing to do is:

a) provide accurate information of how the gift will be used;

b) send the thank you message as soon as possible;

c) have the leader of the organization sign the thank you letter.

Correct answers: 1b, 2a, 3c, 4b, 5b, 6b

References:

PETTEY, J. G. 2013. Nonprofit fundraising strategy: a guide to ethical decision making and regulation for nonprofit organizations. Hoboken, N.J.: Wiley. ISBN: 978-1118487570

CITIZEN ADVOCACY

Zora Paulíniová

I. Introduction to Citizen Advocacy

Imagine that you are working as NGO or citizen initiative in a democratic country and you are focused on specific topics, dealing with important problems in the society. If everything works well, you would leave the solution of many problems to local self-government or to state (ministries or other state administration offices). But even in the best democracy nothing works well all the time, the state may daily fail in ensuring its basic responsibilities and sometimes it is the state, or at least representatives of power, who are creating problems. Rights of children, young people or people with special needs are neglected or violated, rivers are polluted and monuments destroyed, corruption and lack of transparency blossoms what leads to wastage of public resources. Thus everything happens in a turbulent world where we face more and more not only local and regional, but also global challenges: poverty and economic disparities, war conflicts, climate changes, migration, clashes of values and radicalization of society or lack of democracy. Democracy works well when the non-profit sector and civil society work well; when citizens and NGOs are active and defend their rights or the rights of certain groups. In this chapter we shall speak about how to bring about a change through citizen advocacy, through the approach which focuses on achieving changes in society in accordance with democratic values.

1.1. Roots of advocacy

There are several ways how **citizen advocacy** is perceived: there are the efforts which started more than 40 years ago, based on the **movement** seeking to stand for interests of people with disabilities. As Martin (2004), author of many publications from this area says, “The central purpose of citizen advocacy is to defend the interests of devalued people by the establishment and maintenance of one-to-one, freely given relationships with valued members of the community. Most commonly, the devalued people are people with intellectual disabilities whose needs are not being met.”

But citizen advocacy focuses not only on people with special needs – it builds also on **civil rights movement** ethos and the experience from 1960's or on **social change movement** approach, sensitive to unjust power distribution in the society in areas of civil rights, environmental issues, peace movement etc. Such organizations are developing their actions on principles described in the famous book of "Organizing for social change" (Bobo et al., 1991). In practice it means they thoroughly think of power re-distribution, they identify and analyse targets of their campaigns and choose strategies and tactics which not only bring solutions of the issue itself but also help to empower engaged people. Although this approach is relevant in many areas, it is good to consider that it was developed tens of years ago in different socio-economic environment.

Nowadays approaches to citizen advocacy are changing – from advocating for individual persons or group of people with special needs to advocating for principles, values and rights, public interests or broader causes within various areas (urban advocacy with urban protests, social advocacy) etc.

With the spread of social media and new communication technologies, perception of activism and advocacy action is transformed. Activities that have been linked to influencing policymakers in the real world (demonstrations, rallies, protests on the streets) are often transferred to the virtual world and activism is reduced to online petitions, where real engagement is replaced by clicking. Terms "slacktivism" or "clicktivism" appear, describing approaches when people show their support not by engaging in the "frontline", but trying to influence things by clicking on Facebook posts, sharing content, signing petition, discussing on public fora, organizing protests by using social media instead of traditional tools (face to face communication, telephones, leaflets). Even there is a criticism of such approach (clicktivism can be perceived as reducing activism to online petitions); these interventions can also trigger interest of media, increase public awareness and stimulate greater engagement of people – individuals as well as groups.

1.2. What is advocacy?

Rather broadly, advocacy is a strategy to influence policy makers (e.g. people with formal political power as members of parliament, government officials, politicians or public servants) to make a public policy change – prepare and adopt law, strategy, plan or agenda; program or course of action; distribution of resources or institutional change. Advocacy efforts can be realized through specific set of steps, using various strategies or approaches.

According to Association for progressive communication (2014), advocacy is "the active support of an idea or cause expressed through strategies and methods that influence the opinions and decisions of people and organisations".

International Centre for Policy Advocacy (ICPA) adopts advocacy perspective and examines the policymaking process and actors involved in it, perceiving advocacy mainly as “approaches adopted by organizations and coalitions… focused on influencing decisions of public policy”. ICPA (2014) comes with the idea that instead of having one strict definition, it is rather important to perceive key ideas which appear in different definitions. From this perspective and according to ICPA, advocacy is:

- a strategy to affect policy change or action
- with primary audience of decision makers
- containing a deliberate process of persuasive communication, that requires the building of support behind the proposed policy
- conducted by groups of organized citizens.

Advocacy organizations:

- are bringing about the change in various areas (human rights, civil rights, gender equity, education, environmental protection, urban development, many others)
- base their efforts on democratic values and mobilize citizens, other organizations or public to defend public interest
- actively work to achieve change of laws and regulation, public policies, decision-making or redistribution of resources
- are pursuing active citizenship and helping to empower people from communities
- Are campaigning, negotiating, lobbying, raising awareness…

Among famous advocacy efforts known on international level we may list activities and campaigns, focused on poverty and inequality eradication (e.g. campaign “Make poverty history”, launched by a coalition of aid and development agencies and celebrities which work together to raise awareness and change policies concerning global poverty), stopping the projects destroying the environment (various environmental campaigns against whale fishing, nuclear power, banning dangerous chemicals or stopping global warming) adoption of measures for refugees crisis (Amnesty international) etc. Number of bigger or smaller advocacy efforts and diversity of causes from local to national level is uncountable.

1.3. Types of advocacy

To be able to concentrate on proper direction, it is good to know that we distinguish between several types of advocacy (Czottner et al., 2016).

Direct and indirect advocacy

Distinction between direct and indirect advocacy is based on **who is the target of our advocacy effort**. Direct advocacy means that individuals or organizations are trying to influence decision makers, policy makers and political leaders to change public policy. In indirect advocacy, individuals or organizations are trying to influence the opinion of general public, journalists and media which in turn will influence decision makers.

Time to use indirect advocacy is if politicians are not sensitive to our efforts, but they are perceived as a threat if they lose support among the public. If we focus on influencing the public, such as through the media, public pressure can force the politicians to change their minds.

Citizen-advocacy and self-advocacy

The focal point in this distinction is the **agent (advocate) of advocacy effort**. In the case of citizen-advocacy, a cause is pleaded on behalf of a group of people. In the case of self-advocacy, an individual or a group is pleading its own cause.

With self-advocacy, we can meet when a group of people with disabilities or patient organizations advocate for their rights. Civic advocacy is used frequently in urban development when people do not fight for policy change which is good only for them, but one that concerns all the citizens.

Rights-based advocacy and evidence-based advocacy

In the case of rights-based advocacy, the aim is to influence policy-makers through the argumentation based on generally declared human rights, which are codified in declarations or in various forms of legislation. Evidence-based advocacy brings the argumentation based on evidence or research data.

If the situation allows using substantive arguments, if we have strong data and we can present and interpret them to support our case, then it is right and desirable to use evidence-based advocacy.

Cooperative or confrontation-based advocacy

There are even more ways how to distinguish various types of advocacy, depending on the perspective we choose. When the focus is on whether to cooperate or to fight in asserting advocacy goals, then we may speak about cooperative or confrontation advocacy. Both approaches to advocacy are using different tools – confrontative advocacy uses petitions, lawsuits, demonstrations etc., cooperative advocacy uses more negotiations or awareness raising tools.

II. Steps of Citizen Advocacy Action

When speaking about the advocacy, the most frequent question from NGOs is about preparing and implementing successful advocacy process or action. It is helpful to know, what steps we are going to undertake and what has to be done to achieve a change.

It is good to realize that citizen advocacy is usually a long-term process which has its own logics, it consists of key components and follows several steps or phases. These phases may vary in time and scope, but it is good to remember what are the key things to identify and to work with when you are heading to achieve a change in a society[1]. To develop your advocacy strategy or prepare a campaign, you need to answer questions including:

Issue	What issues do you want to change public policy in? What is the current situation in this area?
Goals and objectives	What do you want to achieve? What is your advocacy goal, what are objectives that will contribute to the achievement of your overall goal?
Targets	Who are the targets (policy makers, decision makers, etc.) you need to address to achieve your goal?
Advocacy type	What is your approach to advocacy (e.g., direct or indirect)?
Activities	What are the specific activities you will carry out? What will be the timing and gradation?
Message	What is your advocacy message you would like to deliver to your target group?

2.1. Choosing the issue

At the very beginning you have to take the decision what issue (within your scope of work) are you going to deal with and what do you want to achieve. It is time when you are looking around, making research about various aspects of the situation. You have to ask, what exactly you consider to be a problem and to whom is the problem important. You have also to find out what the current situation is, and what are relevant policies, laws and regulations shaping the current state.

1 There are several ways of structuring the campaign and identifying advocacy phases, among others we were inspired also by aforementioned Association for progressive communication.

2.2. Developing the strategy

This part of advocacy focuses on clear preparation of goals and objectives, identifying the target audiences and selecting appropriate advocacy approach.

2.2.1. Defining the goals

Defining what we want to achieve is crucial. When we have a well – defined goal, we may fully rely on it and it helps us to lead through obstacles and to define other things as well: whom do we want to address, what strategies and tools do we have to use. The goal in our effort or campaign should define a specific change in a policy we would like to achieve. It is necessary to compose a goal of an active verb which defines and action and specification of the area we focus on.

Here are some examples of advocacy goals:

- *Achieve a change in the law that allows for newly borne children to be placed in foster families rather than in institutional care.*
- *Enforce change of the budget so that the finances for culture will create minimally 3% of the total city budget.*
- *Adopt a national law on conflict of interest for the local government*
- *Enforce change of police practices in dealing with cases of domestic violence*
- *Gain a support of parents organization in proposing changes in schools through school councils*

Preparing advocacy goals / Exercise

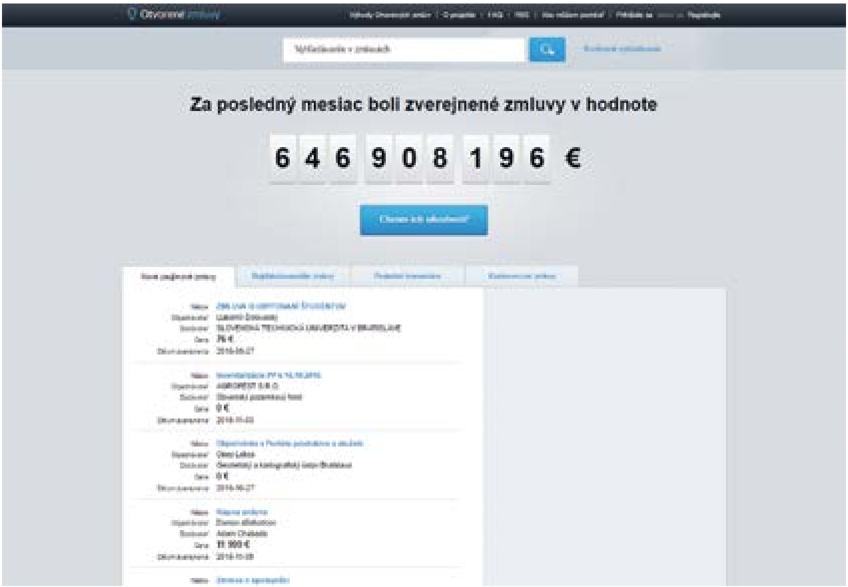
If you are already active in advocacy field or you are planning advocacy activity, try to prepare at least 3 various goals for your issue. You may, but you don't have to use the following beginnings of sentences:

To inform about...	
To increase interest in...	
To show the problem, which...	
To mobilize (to take an action)	
To change the policy, which...	
To enforce...	

2.2.2. Planning the campaign

When having a strategy, you have to translate it into advocacy plan – clear, structured set of activities within certain time frame. It is necessary to decide, how you will transform your strategy to activities, how logically will be phases of your campaign or your activities connected with and supporting each other and what will be the timing and gradation of the campaign. Plan has to contain also media line with key message you want to get through and decision on advocacy strategies you would use – public and media pressure, negotiations, lobbying etc. To be able to realize actions you have to look for resources (financial, material, facilities etc.) and develop a budget, but it is good to know, that if you lack resources, you may use crowdfunding and crowdsourcing.

As an interesting example of using various types of resources we may use anti-corruption campaign of Fair-Play Alliance, Slovak NGO well-known for its fight against corruption. It has used crowdsourcing to increase its capacity in the control of management of public finances. They worked with 110 volunteers in an interesting campaign focused on getting most of state contracts on internet. With the help of volunteers the organization was able to publish 20 000 contracts on a page "Open Contracts"[2] which led to better control of public finances.



2 For more info see http://otvorenezmluvy.sk/#

Preparing campaign / Exercise

Imagine that you are preparing a campaign focused on achieving goals you have defined.

What steps would you suggest to undertake, within which specific time frame? Try to identify the main activities in logical order:

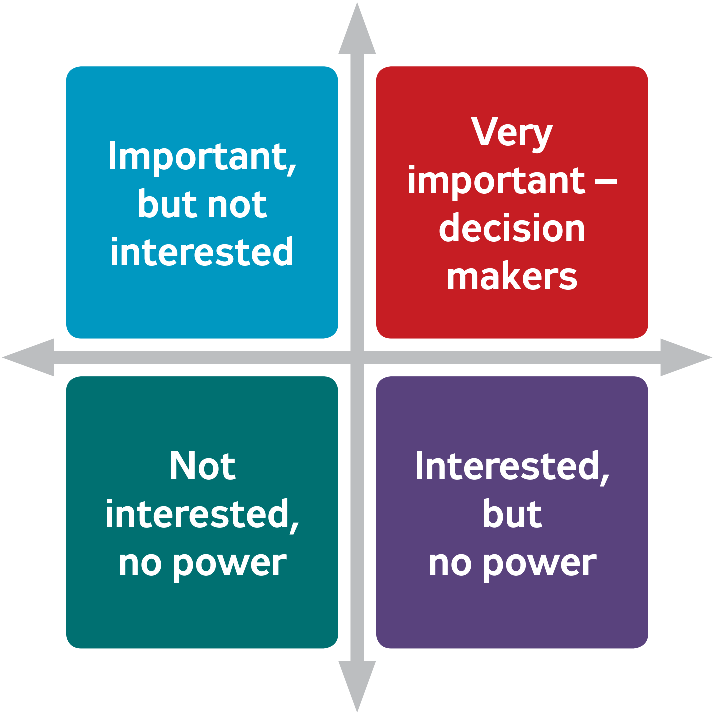
Time	Activity

2.2.3. Working with people

When speaking about people in advocacy we may look from various perspectives on "who is who". In the following text we will offer you several terms connected with people, which are based on various perspectives (e.g. campaigning, marketing, media communication or others).

Stakeholders are people, who influence the problem and solution, or are influenced by the problem. Simply speaking, it is everybody "to whom it concerns". At the beginning of your work it is important to map and analyse the stakeholders and to see, what people are interested in your cause, how many possible opponents or supporters do you have. Analysing stakeholders and understanding their motivation and interests gives you the basis for preparing specific steps of action. If you don't map stakeholders carefully you won't be able to fully work with the human potential around you.

Important tool in preparation of advocacy action is **stakeholder analyses matrix** (Bryson, 1995) which combines dimension of **interest** (to what extent people are interested in your issue) and **influence / power** (to what extent people are able to influence your work, how much power do they have). Combination of these two dimensions identifies 4 various groups with 4 various strategies to deal with them and helps advocates to be more effective in their effort to address these people.



Source: Eden and Ackermann, 1998.

Combination of dimensions	Recommended actions to take
Low interest / high power	**Keep stakeholders satisfied by meeting their needs**. If they are not interested in your issue yet, try working with them and moving them into red field by finding what they are sensitive to or what are their motivations.
High interest / high power	Most important group to work with, you have to **manage this group closely.** If they are supporting your case, close cooperation is necessary to fully use their potential; if they are your opponents, you have to plan everything very carefully to minimize the damage.
No interest / no power	**Keep this group informed and monitor** its behaviour. Although they don't have power to influence things yet, good mix of information can help them to be your messengers for other groups and to move to the right-hand box.
High interest / no power	**Make use of these people by using their interest** and cooperation in low risk areas; inform them and consult with them. People, who actually don't have power to change things can help you e.g. as best volunteers in various areas.

Preparing stakeholder analyses matrix / Exercise:

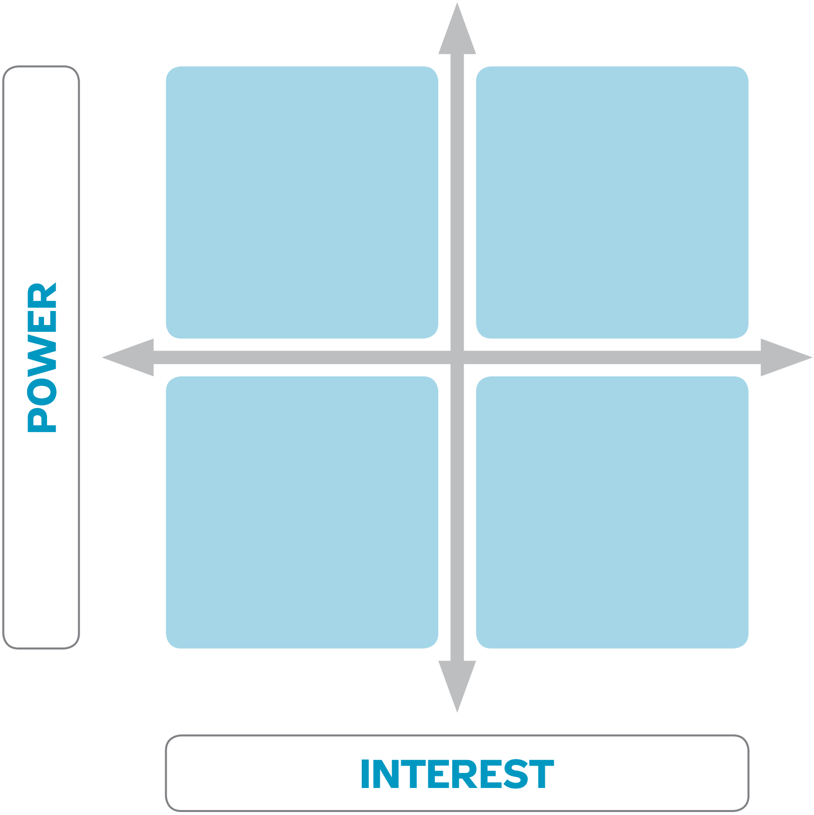
When preparing stakeholder analyses matrix for your situation, try to follow these steps:

- Prepare a list of people / stakeholders
- Distribute stakeholders on a matrix to have a visualization of their influence (power) and interest they may have on your issue. Think of people who are influenced or can influence your issue and divide them into four categories:

1. People with no influence and no interest
2. Important, but not interested
3. Interested without influence
4. Interested (positively or negatively) with high influence.

- Analyse your stakeholders – the actions you undertake will depend on their position in the matrix (how powerful they are, how much interest they have in your issue). What is behind their interest in the issue, what motivates them?

Are they your supporters or opponents? Fill in specific people into matrix and try to think about strategies how to deal with them: what information do they want ? If they are opponents, what makes them change their opinion? Based on previous table, fill in planned activities.



Stakeholder matrix analysis: Matrix for the exercise.

Another term used in advocacy is **target.** It is used to name important person who has the power to change things – usually politicians or decision makers, representative of the institution. The use of this term is connected with social change movement strategies or campaigning described in the book "How to win campaigns" (Rose, 2010), but also elsewhere. **Primary target** is always a person, not an institution; somebody who can change the policy, legislation or budget (**decision makers** – from mayor to minister), secondary target is somebody, who can influence this person (**influencers**). It is quite important to be aware of who is who, because if you don't identify your targets properly, you may not be successful in addressing the right people and your energy will be wasted away.

Target group, audience are individuals or groups of people you are addressing (delivering the message, influencing, asking for support). These terms are based on the perspective of marketing and media communication.

Coalitions and networks are big groups of people with loose or tight structure which help in advocating for specific cause by spreading the information, helping in implementing your activities or supporting and cooperating because of having similar goals. Network consists of individuals or organizations who share information, ideas, resources or goals to accomplish individual or group goals (Jackson and Maddy, 1991); networking is a process of acquiring resources and building power by creating and using linkages between two or more individuals, groups, or organizations. Coalition is a group of individuals, representatives or organizations working together for a common cause, to meet a common goal or resolve a common problem.

It is important to know who your possible allies are and who to create coalitions or networks with, because in advocacy work, especially in indirect advocacy you may influence your success by using the power and capacity of other organizations. If you lack some skills, contacts, resources; if you want to reach broader audience, then it is necessary to work with organizations with similar interests or values. Coalitions and networks help to use financial and human resources (skills, knowledge, motivation, expertise), enhance the influence of the campaign, help to create organizational structure and provide mutual support.

2.3. Implementing the plan

Is the strategy and plan ready? If yes, it is time to start with the action – to build coalitions, address the public, launch a campaign supported by media, negotiate where and when necessary, check what's going on and adjust your steps.

Even the best plan has to be changed somehow – it is good to think in advance how would you adjust your strategies to changes in a process and what are alternative scenarios. How would you know you have to change things and how would you see you were successful?

III. Citizen Advocacy Strategies

It is good to think on what strategies you are going to use – when preparing a broader advocacy process as well as preparing more defined and structured campaign. The choice of strategy concerns various factors – whether you want to confront or cooperate, what support do you have in public, how many resources do you have, whether it is enough to deal with the main target (through negotiations) or you still need to stimulate public engagement (through media work or campaigning).

3.1. Campaigning for policy change means launching set of steps within specific time frame, including use of media. You can use it when you want to attract attention and gain support within society or influence public discussion. The essential difference between advocacy work in general and campaigning is, as Chris Rose (2010) says, the public engagement. Lobbying, negotiations, networking or research can happen far from public's eyes, but campaigning creates the public face of your advocacy work.

Campaign (in the context of advocacy) is planned, deliberate, sustained effort to raise awareness of an issue, structured and time-framed set of steps, leading to achievement of advocacy goal. It is good to know there are various types of campaigns – **advocacy campaigns**, bringing about the change through public debate and action, influencing society and **awareness raising campaigns –** focused on raising awareness. Both of them can function separately, but awareness raising campaign can precede the advocacy one.

The most common campaigns are focused on development issues (fair trade, boycott of palm oil), health prevention (AIDS, various forms of cancer, antismoking campaign), environmental issues (global warming, tuna fishing, use of animal furs, recycling, water pollution, GMO, rainforest logging), human rights (prisoners in certain countries, refugees, domestic violence), road safety etc. Sometimes it is difficult to differentiate between advocacy and awareness raising campaigns, because informing and awareness rising is often the first step of any advocacy campaign.

Campaign opens public debate and orients public to action, but it also increases visibility and credibility of the advocates, expands the community of supporters, causes the shift in power and exposes you to situation where you can develop your competencies and expertise.

3.2. Lobbying is a specific strategy of advocacy focused on defending private or public interest through legislation change. It is appropriate to use it when you are able to build relationships and influence legislators in the way they will adopt your views and suggestions on legislation.

3.3. Negotiation and policy dialogue occurs when mutual meetings of citizen advocates and representatives of power structures focused on achieving results are organized. Results not only depend on power of arguments but also on the power of citizen support, expressed e.g. by number of people who signed a petition, take part in a demonstration or had visibly demonstrated their opinion.

3.4. Networking is the strategy of meeting new people, organisations, politicians or experts and developing relationships with them, based on mutual exchange of information and possibly mutual interests. Network contacts do not always share a common set of principles or values, but may gain benefits through their association.

3.5. Coalition building is the ongoing process of cultivating and managing relationships with various people and organizations who share a common set of principles and values. Coalition will often work together towards a **common goal** or to execute a specific campaign. Cooperation based on shared values and goals is the basic starting point for more effective and more sustainable work.

Campaign "We want to know more" focused in the year 2015 on better education in Slovakia. By using regional rallies all over Slovakia, putting various people and organizations together into coalition (teachers, parents organizations, NGOs…) and involving various audiences into creating common vision, organizers were building step by step support and expertise in the campaign. The result of their work was published in a book about vision of education in Slovakia, serving as an argumentation basis for proposed policy changes. The campaign helped to raise awareness about what good education should be but also focused on advocating for better school conditions and on school reform.

3.6. Using research and policy monitoring to get important data for argumentation in public debate is so called evidence based advocacy. It is important in the situation, when it is necessary to monitor cause development, work with arguments or cooperate with formal institutions. Use of evidence is also important in lawsuits.

3.7. Public interest law

Public interest law can be understood as a strategy of practicing law in order to stand for protection of poor or marginalized people, or to effect change in social policies in the public interest, mainly in the area of civil rights and liberties, environmental issues or protection of women's, consumers' or other rights.

IV. Communication and Media

Media communication is a way how to increase the importance of the cause by bringing it to public through media and building a community of supporters. Communication is considered to be advocacy activity if the target groups use it to put pressure on the policymaking process. From a certain point of view it can be considered as a specific advocacy strategy, but because every aforementioned strategy can have separate media line to increase its impact, we are presenting it separately.

Various communication goals differ in terms of their impact and difficulty. If you want to inform, depict something, make things visible and understandable, it is good to use facts with infographics. Never neglect **informing** – using brochures, films, cartoons, infographics etc. When creating a **message,** don't forget to communicate shortly and simply, be personal, tell the story and react on real needs and situation of people, using their own language and arguments they are sensitive to...

When you want to increase interest, change perception of a topic or problem, you should use stronger message, supported e.g. by famous personalities and their messages – examples and personal stories are good to inspire and motivate people.

Most difficult it is to meet goals oriented on stopping someone from doing something or mobilizing someone to do something, because to persuade people needs a lot of energy.

Except for approaches mentioned in earlier lines, it is good to build **expertise and influence** by inviting experts and decision makers to roundtables, panel discussion, organizing conferences; making policy papers, publishing researches – this everything creates a new content, develops argumentation and brings attention of public and media to your cause.

Especially in advocacy it is important to use **visualization** and **infographics** which helps to translate arguments and facts into strong images. We know that human brain process visual information and pictures 60 000 x faster than text and through visualization we achieve quicker understanding, readiness to action but also higher retention rate (we remember more). When we are using approach e.g. of indirect evidence-based advocacy, our target is public and their opinion. Through media campaigns we can offer evidence to the public and give arguments, why policy change is needed. When the advocates manage to convince the public opinion of their cause, policy-makers may be influenced to change policy.

To use the best out of the information you have, it is possible to use free infographics – Piktochart, Infogram,easelly, public.tableau, openspending.org. etc. Open spending website offers easy way to understand how governments and public institutions are spending public money which opens a space for advocating for better use of public resources. But although there are free tools, the best way is to work systematically with designers to fully use potential of your information.

In Albania it is possible to find great examples of using free infographics tools.[3]

V. Examples of Citizens Advocacy

5.1. Let's bike Bratislava / Bicycle Coalition

Fight for space for cyclists and pedestrians can be seen nowadays in many Slovak cities, although transportation planners still remain with transport paradigm in 1980's – with planning for cars, not for people. In Bratislava, the influential Bicycle Coalition became the part of expert and advisory body of the city. Together with civic initiative "Better transport" (independent association of experts on public transport

3 For more info see http://spending.data.al/en/openspending/bubbletree#/~/total/education

and modern transport solutions) Bicycle Coalition tried to influence design of important city boulevard Štúrova Street. The proposal attracted a wider public, particularly by visualization, but also by high expertise of solution. Thanks to the active involvement of the public and non-governmental organizations in public debate both NGOs were able to stop improper transport solutions (e.g. the establishment of parking lots in the park). Bicycle Coalition was also advocating for better city budget for cyclists and pedestrians through the use of interactive budget.

Cyklokoalícia's efforts were focused not only on changing the way of transportation planning, but also on gaining adequate financial support for bicycle transportation, so it focused on advocating changes in the budget. Pressure on the local government realized through the petition and strong media coverage by using attractive visualization affected the changes in budget.

Used strategies and tools: Use of infographics and visualization[4] (information on city budget, good solutions), use of expertise, stressing importance of the topic in local election by organizing public discussions, negotiating with candidates, using petition and crowdsourcing.

4 For more info see http://cyklokoalicia.sk/2011/09/bratislava-vizualizacie/

5.2. Stop the visual smog / Green Patrol

One of the most visible manifestations of activism where a group of young people demonstratively expressed dissatisfaction with the way their city looks like is the Green Patrol. This initiative, however, does not remain by weekly cleaning at various locations in Bratislava to make it nicer. Green Patrol slowly starts advocating for more challenging topics, such as the problems of unregulated advertising, waste management or barrier-free city.

Matus Cupka, the leader has created professional report on visual smog in Bratislava which was in the year 2015 awarded by Journalist Prize of Open Society Foundation.

From everyday activism and spatial interventions civic association decided to engage in solving the visual smog in Bratislava. The most important factor was the fact that the Green Patrol has built a strong community of supporters, open media space (blog, Facebook, web) where they systematically published their activities and strong expertise, supported by systematic mapping and surveys.

Source: Zelená hliadka, 2016

Used strategies and tools: Using strong expertise and media visibility, systematic investigative and media work, use of infographics.

5.3. Square for people

Bratislava's "Stone" square is the central urban area with great potential, but at the same time it is above all a neglected place that does not use its potential even in terms of architectural, cultural, environmental or social functions. While the city currently holds all the "cards" necessary to develop this area – a valid urban zoning plan and ownership of the land, it makes nothing to improve the situation. In 2012, a group of young people decided to revive the stone plaza through interventions and program activities; founded the "Square for the people" initiative and for two years took various actions to solve the situation.

Young architects of the initiative Square for people prepared in the autumn 2012 the vision of using the square as an urban living room that can be changed quickly with different interventions. The aim of the initiative was to use consultations with public through a mix of participatory planning methods (survey, urban walk, emotional map, working with a model, public debate). Initiative gained impetus from about 600 people, which meant that time largest participatory planning action in Slovakia. Initiative didn't stop there: when in the autumn of 2013 once again square was supposed to be sold by the city, initiative mobilized many citizens and experts and under their pressure (petition, public meetings, negotiations with municipality) the sale was stopped.

Public involvement in the planning of the square allowed mapping of the situation and gaining important arguments about how the square is used, which helped stop sales of the square and make a difference in the planning process of the square.

***Used strategies and tools:** Use of participatory processes to engage the public, making things on the spot visible (programming, interventions), attracting people's attention by physical interventions and involvement of famous people (actors), building a coalition with experts and other NGOs, being strong in arguments (preparing attractive report with suggestions how to change the square), education and awareness raising, mobilizing public through petition with important personalities involved, public meetings and discussions, negotiations with municipality).*

Source: Zuzana Žúžiová, Námestie pre ľudí, 2013

Civic initiative "Square for people" gained attraction of media and people by organizing visible public events

5.4. Dumps don't belong in town

Pezinok landfill offers the story of a small town and its citizens who fought against hazardous wastes landfill in the close vicinity of the city and decided to fight together against it. A fascinating experience offers the first example when the citizens and the city government fought together and presented this lawsuit before the Court of Justice of the European Union. Pezinok citizens also succeeded in May 2013 at the Slovak Supreme Court, which annulled the permit for the construction of the landfill. Their case is a significant example of advocacy work dealing with public interest law.

Situation

Pezinok is a small town with 20,000 inhabitants in close vicinity of capital of Slovakia Bratislava, well known for its wine production, nice historical centre attracting tourists, pleasant living and vital community life.

In the 1960s, a waste dump was built in Pezinok just a few hundred meters away from a town centre. This old landfill is currently filled with millions of tons of waste, including hazardous waste. It operated for decades without barriers and without drainage system to keep the toxic chemicals from leaching into the soil. Cancer, respiratory diseases, reproductive disorders and allergy in the area began to rise.

As the old waste dump started to reach capacity, a developer proposed to build another dumping ground and continue dumping of the waste for next 20 years. Proposed depth of the waste dump was four storey block of flats and proposed surface should cover nearly 12 football fields. When people learned that there is a plan to build a new landfill near the old one, they felt they have to do something.[5]

Source: Aktuality.sk, 2016

What was the problem?

Although spatial plan of Pezinok prohibits further construction of landfill and despite the opposition of the municipality (local government), regional authority in Bratislava has permitted the dump construction. The reason was very simple: the head of the authority, was the political appointee of the strongest governing party, but also co-owner of the land determined for construction. Even more, his father owned the company which wanted to build the dumpsite. Despite the opposition of the city and the citizens, and despite several court decisions that stopped the construction, the dumpsite was gradually built.

What did citizens of Pezinok do?

In the fight against the dumpsite citizens, entrepreneurs and municipality together with wine producers, students, church leaders, and other members of the community

5 For more info see

created the initiative "Dumps don't belong in town" and launched a grassroots campaign to shut down the dumpsite. The initiative was supported also by several advocacy NGOs. The most important was the help of public interest law organization Via Iuris, well known for its legal expertise and successful lawsuits at the Supreme Court and the Constitutional Court in the fight for protecting citizens' rights.

It was necessary to inform people what's going on, to mobilize the civil society and to strengthen the ability to resist political, administrative and economic power focused on building the dump. Thanks to good communication and cooperation, most of the town population disagreed with the construction of new landfill and many of them were able to continue in several years lasting public protests – public meetings, demonstrations, rallies, concerts or photographic exhibits etc. The first demonstration brought together 6000 thousands of local residents and their municipal leaders. For Pezinok it was the largest demonstration since the Velvet revolution in 1989. But the fight was not only about the citizens – protests were supported by 150 well-known public figures and by many NGOs from Slovakia. Also the media coverage was intense – more than 100 reports per month appeared in national media.

Pezinok citizens actively fought against the construction and they used all legal means to prevent it. They organized protests in their own town, but also in the capital Bratislava in front of the seat of a Government, or a bicycle rally from Pezinok to the Constitutional Court in Košice. They have negotiated with the Minister of the Environment, addressed parliamentary committee of the environment and the Prime minister, they have sent a petition to European Parliament against the violation of citizen rights under the Aarhus Convention with 8,000 signatures altogether. 1200 people took part in the proceedings and hundreds were participants in lawsuits when Via Iuris took the case through the Slovakian and EU judiciaries. Via Iuris was helping the citizens in all lawsuits connected with decision-making process; they have represented several hundred citizens in the procedure for authorizing the landfill, requesting a review of the legality of permits and proceedings. They have also represented the municipality and citizens in lawsuits on Regional and Supreme Court of Slovak Republic as well as European Court of Justice.

After seven years of litigation the Supreme Court has decided (based on the recommendations of the European Court of Justice) that the authorization for the construction of the landfill has been issued illegally and in May 2013 it abolished it. Currently, the landfill is not used.

Why is this case important?

The case study is important because it showed that it was possible to stop public authorities which have been deliberately and repeatedly violating legal regulations and the Constitution during the dump permit procedure. The town of Pezinok and its *citizens were able to win the case and to protect the principles of the rule of law and the democratic political culture of Slovakia. Citizens of Pezinok were awarded by White Crow 2008 in appreciation of their activities and in April 2016 Zuzana Čaputová, the lawyer Via Iuris was awarded the Goldman Prize, considered to be equivalent of Nobel Prize for the environment.*

***Used strategies and tools:** cooperation between sectors and support of municipality, use of lawyers and lawsuits (public interest law), ability to gain support of NGO sector and civil society, work with media.*

VI. Conclusion

Even when civic associations are active, there are still various problems to be solved and many people to be engaged. Advocating for better society can be tiresome but rewarding as well. Not all NGOs have enough energy to be able to finish their work successfully, but it is good to bear in mind that – if you provoke a conversation in society, you have started to change things.

Chris Rose, famous campaigner and communicator speaks in his book "How to win campaigns" about the importance of the efforts focused on changes of policies. Even though he speaks explicitly about campaigns and campaigning, implicitly he sends message about advocacy work – change of policies: "Every day, millions of people are touched by campaigns. It is important that campaigns succeeded. Lives may depend upon the outcome of campaigns over access to health, medicine, clean water or to justice. The survival of nature depends on the success of campaigns to change policies and industries that are destroying our atmosphere, oceans, forests and other public goods. If campaigners for education, child rights and fairer trade are to fail, then the poorest of the poor will be condemned to a more miserable future".

References:

AKTUALITY.SK. 2016. Nobelovku za životné prostredie dostala Slovenka. Za skládku v Pezinku [online]. Available from: https://www.aktuality.sk/clanok/330859/nobelovku-za-zivotne-prostredie-dostala-slovenka-za-skladku-v-pezinku/

ASSOCIATION FOR PROGRESSIVE COMMUNICATION. 2014. Advocacy strategies and approaches: overview [online]. Available from: https://www.apc.org/en/node/9456

BOBO, K., KENDALL, J. and S., MAX. 1991. Organizing for Social Change. ISBN: 978-0929765945

BRYSON, J. 1995. Strategic Planning for Public and Non-profit Organizations. San Francisco, CA: Jossey- Bass. ISBN: 978-0-470-39251-5

CZOTTNER, B., DIEBE, S., NIGHOF, R., SCARDOVI, M. and D.W. WIZA. 2016. Creating and evidence based advocacy campaign in EaP countries

EDEN, C. and F., ACKERMANN. 1998. Making strategy: The Journey of Strategic Management. ISBN: 978-0761952251

INTERNATIONAL CENTRE FOR POLICY ADVOCACY. 2014. Defining policy advocacy [online]. Available from: http://advocacyguide.icpolicyadvocacy.org/21-defining-policy-advocacy

JACKSON, D. and W. MADDY. 1991. Building Coalitions Fact Sheet. Columbus: The Ohio Center for Action on Coalitions

MARTIN, B. 2004. Citizen advocacy futures [online]. Available from: https://www.uow.edu.au/~bmartin/pubs/04caf.html

ROSE, CH. 2010. How to win campaigns: communications for change. 2nd ed. Washington, DC: Earthscan. ISBN: 978-1-84971-114-2

ZELENÁ HLIADKA. 2016. Cesta na Senec [online]. Available from: http://zelenahliadka.sk/cesta-na-senec/

INVOLVING CITIZEN TO POLICY-MAKING

Karolína Miková and Jonida Alite

I. Introductrion

Involving citizens including stakeholders, and representatives of civil society organizations (CSOs)to decision-making on public-issue matters is an approach stemming from the basic principles of democratic order. It is recommended by recognized international institutions e.g. the European Commission, the Organisation for Economic Cooperation and Development [OECD], Office of the Minister of the United Kingdom of Great Britain and Northern Ireland, United States Environmental Protection Agency [EPA].[1] It is also supported by international legal conventions[2] and national legislation[3]. At the same time, the citizen participation in public affairs results also from the commitment of the government of Albania made within the international Open Government Initiative.[4]

The reasons for including citizens to decision making might be multiple, from ideological–value reasons to very practical reasons.

From ideological reasons the most important is that the democracy as a political system rests on the consent of citizens. To win and keep this consent, citizens

1 Sources: www.ec.europa.eu/yourvoice/index_sk.htm, PUMA Policy Brief No. 10. 2001.,Code of Practice on written consultation, November 2000 www.cabinet-office.gov.uk/servicefirst/index/consultation.htm, Better Decisions through Consultation and Collaboration, Conflict Prevention and Resolution Center, ERA, http://www.epa.gov/adr/Better_Decisions.pdf , OECD (2001).

2 www.ec.europa.eu/environment/aarhus/

3 In Albania this is the Law on Notification and Public Consultations (Law no. 146/2014 date 30.10.2014) puts forward the requirements for consultation on draft laws, strategies and policies with the interest groups. It institutionalizes the public consultation in drafting and approval of the project laws, national and local strategies, as well as policies with high public interest, with the final aim of improvement of quality of policies and judicial acts in general. Based on the law, the interest groups are given sufficient time to prepare their opinion and provide their recommendations on the draft laws and policies, in line with international standards (Article 15). Also, the law stipulates that a summary of collected opinions is made public and is part of the submission of the draft law for adoption. By the other hand, if the recommendation is not accepted, a summary of the reasons is made public. The law provides also options for redress if the provisions for consultations are not respected, based on the claims by the interest groups (Article 19). Every public institution has the obligation to appoint a person as coordinator of notification and public consultation, who is responsible for the overall coordination and management work to guarantee the right of notification of the public consultation, under this law (Article 10).

4 More information can be found at the website of the international partnership for open governancewww.opengovpartnership.org or http://arkiva.inovacioni.gov.al/index.php/ogp-albania

need to have a say in all political decisions, which are important to them, and which have some consequences on their lives. Within the system of representative democracy parliament (constituted from freely elected representatives) plays central role in making decisions in public domain. To keep the system stable, government should carefully listen to demands of citizens for more participation, transparency and accountability and public institutions need to introduce new forms of citizens' engagement to policy-making.

Among the practical reasons for citizens' engagement are:

- Direct contact between decision makers and users of public services/public policies beneficiaries leading to better understanding of the clients'/citizens' needs,
- Better public policies, which are informed by wider sources of information and different types of expertise,
- Bigger acceptance of policies by the public,
- Strengthen public trust in public institutions and government,
- Greater transparency of public decision-making.

II. Government – Citizen Relations and the Benefits of Strengthening Cooperation

Relations between government and citizens extend over a wide range of areas of public policies from those related to public services, through main government functions to operations of public institutions. Most of recognised international institutions (e.g. OECD, World Bank) we distinguish tree (or five[5]) different levels of citizen participation. According to the OECD methodology government can interact with citizens on three different levels (OECD, 2001):

Access to Information. Government and public institutions provide information to citizens on issues related to policy-making on its own initiative (active access to information) as well as upon their demand (passive access to information). It is important that in both cases provided information is comprehensive, timely, objective, relevant, reliable, and easy to understand by citizens. In most of the OECD countries (80% of OECD countries[6])the access to public information is guaranteed by freedom of information (FOI) law[7]. Examples of active access to

5 Usually, if five levels of citizen participation in deciding making are mentioned, these they are: Information, Consultation, Involvement, Collaboration and Empowerment.

6 PUMA Policy Brief No. 10. 2001.

7 In Albania, this is the Law on the Right to Information (Law 119/2014, date 190.9.2014). This Law regulates the right to know the information produced or held by public authorities (Article 2). Everyone has the right to access public information, without having to explain the reasons as to why. The public authority shall inform the applicant whether or not it has the requested information. Every person has

information are government web sites, free access to public records e.g. to public contracts or drafts of legislation (via specific apps), and official (electronic) newsletters and gazettes. In today's world the open access to government information is changing from providing only already meaningful information related to policies to also opening the access to raw data collected by public institutions (or from public money) in digital form which is readable by machines (meets basic open data standards). Availability of “public” open data not only strengthens the transparency of the government but also opens avenues for private actors to create new applications for public use.

Active access to public information is a prerequisite for following levels of citizen participation.

Consultation. Government and public institutions inquire citizens' opinion and feedback within the policy-making process. Opinion of citizens and stakeholders can be unsolicited and solicited by the government. The unsolicited opinion usually comes through citizens' complains to specific public service or public policy (it can be mediated also via Ombudsman). Citizen and CSO can provide feedback also via official channels during official *notice and comment period*. This is usually regulated by *administrative procedure laws* and is mostly related to process of approving new legislation and public policies with the biggest impact on citizens. What is more interesting, as well as demanding to government, is the solicited inquiry for citizen's opinion. Procedures for consultations with public are mostly based on informal rules, sometimes translated to internal documents, with some legislative exceptions e.g. environmental impact assessment (EIA) laws. In order to initiate the consultation process, the government needs to define issues on policy making and identify stakeholders, whose opinions are sought on. Effective consultation process requires the government to provide information to stakeholders and citizens beforehand. Examples of consultation methods include comments on draft legislation, public opinion surveys, focus groups, public hearings, some forms of tripartite forum, advisory bodies, commissions, councils, etc.

the right to access public information, by receiving the original document or a copy of it in the form or format allowing full access to the content of the document. (article 3, point 1.2.3) The public authority creates, maintains and makes a special register public, showing all the requests for information and the information contained in the responses (Article 8). Under this law, public authorities must publish the Transparency Program and appoint a Coordinator for the Right to Information (Article 5). The Public authorities are obliged to respond to information requests within a period of 10 days after receiving the request. When the information is not given within 10 days by the public authorities the law provides heavy administrative sanctions, in the form of monetary fines, for officials violating the provisions of the law.

BOX 1: Example of Administrative -Territorial Reform in Albania

Several governmental reforms and initiatives have been undertaken in the framework of Decentralization of Local Government in Albania to reshape the structure of local governance system at municipality/commune level and also to raise capacities of public administration officials to face the challenges derived from these changes.

In 2014 the Albanian Government developed and is now implementing the Administrative-Territorial Reform by organizing local government into 61 municipalities. The aim of the reform was to improve services for citizens, increase efficiency and good governance and to empower local and regional governments, citizens and communities.

The administrative and territorial reform was developed through a participatory process involving diverse stakeholders with compliance to highest standards of inclusiveness and transparency. More than 19 thousand citizens, representatives of central and local government institutions, private sector, civil society and international partners, contributed to the reform process by giving their ideas, recommendations and expertise.

Stakeholders in the process (citizens – representatives of local communities, CSOs, businesses, academics and a wide range of actors interested and involved) contributed to the process by:

- participating in the public consultation process about the reform
- expressing their opinions by contacting their closest Regional Coordinator for the Reform and
- sending the opinions and suggestions via e-mail to the Technical Secretariat for the Reform.

All comments and suggestions by individuals, communities, organizations, and institutions were documented, analysed, and taken in consideration during the phase of developing the legal framework for the Administrative-Territorial Reform.

The first proposal was discussed during public consultations with 1785 stakeholders and civil society and private sector representatives. With regard to consultation with community members, the largest national survey was conducted. Around 16,000 respondents took part in a survey and 67% supported the reform. At the end of two month process of public consultations, the ad hoc parliamentary committee approved the final version of the map of the new administrative and territorial division. On July 31, 2014, the Parliament approved the law 115/2014 “On the territorial and administrative division of local government units in the Republic of Albania”.

Active participation (citizen engagement). Through active participation government seeks citizens' active and original contribution to decision-making and policy-making, and it is based on partnership between government bodies and stakeholders, and citizens. Stakeholders and citizens are actively engaged in defining the process and content of policy making and at the end of the process all partners are in the consent with the final policy. Stakeholders and citizens themselves take a role in policy-making, for instance by proposing policy-options. OECD perceives active participation as a new frontier in government –citizen relations for all OECD member countries (OECD, 2001 (2)). There are known few examples of legislation opening active participation possibilities on the level of national state, e.g. *popular legislative initiative* and *citizen-initiated referenda*. More examples exist at local level where it is easier to transfer the decision-making power to citizens' organizations e.g. participatory budgeting or community foundations. Examples of methods for active participation are similar to consultation with the difference in delegated decision making authority e.g. advisory committee, deliberation forum, working groups, citizens' panel and dialogue process.

To summarise the principles of citizens' engagement, and the conditions for citizens to accept and support decisions with public consequences, citizens should:

1. be sufficiently **informed** about the entire decision-making process,
2. be **listened to** before the public authorities make a decision,
3. have an **influence on the decision,** and
4. be willing to **support or accept, the decision**.

III. Prerequisites for Engaging Citizens in Public Policymaking

For the successful engagement of citizens in the making of public policies, **it is necessary that the public administration and its staff have a positive attitude to participation**, and know and apply several major methodological principles of citizen participation. These principles serve as guides for the public administration in participatory processes.

The fundamental prerequisites for successful engagement of citizens in public policymaking can be summarized in the following ten points (PUMA Policy Brief No. 10, 2001):

1. **The conviction** of public administration officials that engaging the public in decision-making on public affairs is genuinely beneficial.
2. Actively **using all existing legal tools** to allow citizens to exercise their right to participate in public decision-making.
3. Ensuring that the **participation process is easy to understand** (its objectives, roles of those involved, responsibilities, rationale, etc.) for the general public.
4. **Sufficient time** for the participatory process, i.e. timely and sufficient duration of the various stages and of the entire process, so that satisfactory dialogue is possible.
5. Objective process, i.e. **provision of all available information** by the public administration (completeness, objectivity/impartiality, and accessibility to all).
6. **The allocation of sufficient resources** (financial, human, technical, and other) needed to secure the entire participatory process and its effectiveness.
7. **The coordination of participatory processes** across all levels and departments of public administration and CSOs with a view to achieve maximum efficiency and prevent risks (of redundancy, undue burden on public administration and citizens, and counterproductive effects, etc.).
8. **Accountability of public administration**: openness, transparency, and justification of opinions and decisions in relation to all suggestions/comments received by public administration from citizens and from CSOs during the participatory process.
9. **Monitoring and evaluation of processes** and results of participatory policymaking by the public administration. The aim of the evaluation is to improve participation and adapt it to changing conditions.
10. The use of active citizens and civil society dynamics for **promoting civic education** of the public and improving the quality of decision-making.

IV. The Process of Policymaking with Public Participation[8]

By **the term public policy,** we understand a policy, strategy, and program, an outline of a reform, formulation of a law, i.e. a strategic document, which has a long-term impact on stakeholders and citizens. Public policymaking with public participation can be clearly delineated in six general steps that create a framework for the participatory process (Box 2).

Box 2: Policymaking process with public participation

The policymaking process with public participation is comprised of six fundamental steps:

1. A decision about participatory nature of public policymaking; what role the public (citizens and stakeholders) should play in the process of designing the policy on a continuum of citizen participation (for a details see the box 3).
2. Preparation of policymaking:
    - Identifying issues to be addressed by public policy, as well as arguments for possible alternative solutions,
    - Identifying stakeholders,
    - Identifying interests of the stakeholders and of possible conflicts between their interests,
    - Designing the process.
3. Execution of participatory activities:
    - Information campaign: dissemination of information on the process of policymaking and the content of public policy,
    - Dialogue with stakeholders and the citizens,
    - Processing the outputs of the participatory process (e.g. a report on what citizens say on the issue at hand).
4. The decision on the final version of public policy (the decision to include results in the policymaking) and the formulation of commitments.
5. Informing, especially the concerned public, about how the outputs from the participatory process would be used.
6. Evaluation of the policymaking process.

8 Adapted from Miková K. and Biachi G. (2013)

The first step in the process of public policymaking with public participation is the decision of an institution to implement such a process for public policy-making. This decision should be adopted/approved by the supreme authority of the institution (a government decree, a minister's decision, a local council decision, etc.) for several reasons:

- So that it could not be challenged later,
- So that it has adequate support in the course of the participative process execution,
- So that necessary resources (financial, human, institutional) are available to make participation happen.

Part of the first step is the decision about what role public (stakeholders and citizens) should have in the participatory process. The role may be passive – with the public being informed of the plans – or even active.

However, there are a number of possible levels for the active role of the public:

- Starting from being informed,
- Through participating in the discussion (deliberation) of a given policy,
- To participating in the decision-making phase (e.g. having the opportunity to influence which alternative of possible solutions will be selected)
- To the participation in the practical implementation of the adopted decision (see Box 3).

Box 3: Levels of the public's active role in public policymaking

When representatives of public authorities make a decision on whether and how to engage the public in public policymaking, first they need to decide on how "deeply" they wish to engage the public in the making of the specific policy.

1. The simplest level is informing the public of the plan to develop/change a specific policy and about the content of the changes under consideration. At the commenting, decision-making, and implementation levels, the public is expected to be involved only to the extent commanded by the law.
2. A more challenging level **is inviting citizens** (representatives of citizens) **in a discussion and exchange of arguments (deliberation)** on the proposed policy. In this way, the public moves from a passive to an active role and is involved in formulating a specific alternative of a public policy. This level does not presuppose that the public or stakeholders would participate in deciding about the final policy.

3. The third level of participation presupposes **public participation in decision-making**. At this level, the process involves negotiations among stakeholders and reaching of common agreement on the final shape of the public policy.
4. Finally, the fourth level of participation is fitting for situations in which the public administration does not have sufficient powers or resources to address a public issue and hence a comprehensive implementation of a public policy that it intends to make. In this case, **the public and stakeholders are involved in reaching agreement on common priorities as well as in planning of** implementation and implementation itself of the public policy.

When deciding on the level of public participation in the policymaking by public institution, the following aspects should be considered in particular:

- **What is the level of public**[9] **interest** in public policy and how significantly will new or revised public policy affect the life of citizens? The higher interest and policy impact on the public is, the wider debate and possibly co-decision should be.
- How **urgent is decision-making?** How much time is available for public participation? If there is, for example, strong EU pressure for a swift decision, then the public needs to be informed, but there is no space for engagement in discussions and decision-making.
- How **developed is public discourse on the policy issue?** The less developed public debate, the greater the emphasis should be on informing the public and less on joint decision-making.
- What **is the level of policy issue complexity?** The more complex the issue, the greater the emphasis on working with experts and institutions.
- Does **public policy issue polarize stakeholders and the public?** If the policy issue is associated with public conflicts, more time and information for public discussion is needed before making a decision.
- What **resources** are available for the participatory process? Public participation in decision-making requires financial and human resources, so public institution needs to consider the complexity of the process in terms of available resources. At the same time, lack of resources should not become an argument for repeating decisions without informing and engaging the public.

9 By public we mean stakeholders, professionals as well as citizens.

V. Selected Tools for Public Involvement

In Albania, we have seen during the last years many initiatives of CSOs to increase citizens' engagement and defend public interest in policymaking. We can also observe an increased number of cases of CSOs active involvement in consultations with the government related to designing of new laws, existing laws' amendments and in designing strategic documents.[10] CSOs have played an important role in educating the citizens to participate and get involved through tools for public involvement and in facilitating the understanding and influencing the governments' decisions.

Participation tools and mechanisms are also important for involving people in shaping local services and for deciding as partners on their own what services and in which form are needed for citizens. The following mechanisms are the most commonly used in Albania.

- Establishing of the ***Information and Public Relations Offices*** *or* ***Citizen's Information Offices*** is the first bridge to link (local) government officials to the public. The Municipal Council in Albania have the obligation to announce all decisions in public places within the territory of the municipality and the council also uses other forms to publicize its decisions. The information to the public shall be made in compliance with the law "On the right of public to be informed about official documents", and by additional rules determined by the council.
- Other very important tools of communication with the citizens are the *official* ***websites*** and ***email communications***. The official web pages should provide citizens with information about functioning and the agenda of (local) government which is comprehensive, timely, objective, relevant, reliable, and easy to understand by citizens.

10 Some examples of public policies prepared with public consultation are:
- Law "On measures for prevention of violence within families";
- Law "On Gender Equality in Albania";
- Law "On the Protection from discrimination";
- National Strategy for People with Disabilities 2005—2010;
- National Strategy for Gender Equality and against Domestic Violence 2007—2010;
- National Strategy of War against Human Trafficking 2008—2010;
- National Strategy for Gender Equality, Violence against Women and Domestic Violence 2011—2015;
- National Youth Strategy and National Action Plan 2007—2013;
- The drafting of the Law "On Notice and Public Consultations" in 2013,
- Administrative and Territorial Reform in Albania-2014, Civil Society Charter example described in box 1;
- Drafting and finalization of the Road Map on Civil Society;
- Law on the Establishment and functioning of National Council for Civil Society, 2015 etc.

- Observing and presenting opinion at ***the municipal/city council sessions.*** Municipal council sessions are by law[11]open to the public. Every citizen has the right to attend municipal council sessions and according to the regulation approved by the council, citizens can present their proposal and opinions during the sessions. The announcement of the council sessions will be made in the places assigned by the municipal council and in the media. The announcement contains the date, place, time, and agenda. By a majority vote of all the Councillors, the Council might decide for cases when the meetings will be closed to the public.
- ***Public Meetings and Public Hearings***– these are basic forms of citizen participation in local decision making. Through attending the public meeting citizen can obtain information concerning the activities of local government and can get an overview of the ways in which important issues are decided upon.

  Public Hearings – are the best tools to present the information and receive immediate comments and feedback from the public at large. Public hearing is usually open to everybody who is interested in the topic of the meeting, and during the meeting citizens can voice their comments and opinions on proposed decision and officials are usually not obliged to act upon presented requests, even to respond publicly on comments (Williamson and Fung, 2004).

  According to the Albanian Local Government Law the Municipal Council should hold public hearings in advance of discussing and approving its acts, and the public hearings are binding in cases determined by law. The public hearings shall be organized according to the manner determined in the regulations of the Council by using, but not limited to, one of the following methods: such as open meetings with citizens, meetings with specialists [experts], institutions, or CSOs as well as undertaking the initiative to organize local referendums.

  Successful participative process should provide diversity of ways for citizens and stakeholders who have a substantial interest in the outcome to get involved as well as interact with other stakeholders with different interests and/or opinions. In addition to public hearing there are other types of meeting and tools for citizens and stakeholders to get involved.

11 However the law says also that the meetings can be closed when required by the Mayor or ⅓ of the municipal council members and when approved by ⅔ of its members/ and are made only on specific cases. Also, based on the law no. 139/2015 for the local self-governance "Each community, through its authorized representatives, or not less than 1% of the municipal residents have the right to propose for decision–making citizen initiatives for issues that are under the jurisdiction of the Local Government Unit."

- ***Citizen advisory commissions/boards*** – are known also by other names e.g. citizen advisory committees, advisory groups, task forces, etc. Advisory commissions are usually advisory bodies created by (local) government for specific issue and longer period of time. Advisory commissions might meet regularly on a half year basis or more to formulate recommendation for the government on discussed issue.

  Identifying key stakeholders and building relationship with them are very important steps of the process. Diverse participants also help to legitimize the final decisions or actions for the public at large.

  Citizen advisory boards consist of a representative group of stakeholders from a particular community appointed to provide comments and advice on an issue. Citizen advisory commissions/boards enable an in-depth understanding of the issue and provide a detailed analysis of the issue and on the outcomes. The range of interests on the issue must be broad enough to represent all those affected, and members must possess the relevant background and skills to assist in addressing the problem.
- ***Citizen Report Card*** is a participatory survey that provides quantitative feedback on user perceptions on the quality, adequacy and efficiency of public services. Citizen report card is an evaluation tool available to public services for the citizens' point of view. Citizen report card includes citizen's feedback and shows how satisfied citizens are from the public services.

  But they go beyond being just a data collection exercise to being an instrument to exact public accountability through the extensive media coverage and civil society advocacy that accompanies the process (Social Development Notes, Participation & Civic Engagement. 2004).

  The process and the involvement of citizens and stakeholders in citizen report card survey continues through the following stages:

  a) Designing of a questionnaire with performance indicators and key issues, developed through focus group discussions with citizens,

  b) Survey execution phase – qualitative interviews to support questionnaire data, and

  c) Dissemination phase – diversity of CSOs have brought into use the data for advocacy and reform.

  Citizen report card survey goes beyond the execution of a survey. The most important aspects of the process are measures to guarantee efficient and credible survey and following mobilizing an advocacy strategy that can foster debate and generate results in increasing the quality and efficiency of public services.

- ***Participatory budgeting*** – is a tool for educating, engaging, and empowering citizens and strengthening demand for good governance. It offers to citizens an opportunity to learn about government operations, to debate and influence the allocation of public resources.

  Participatory budgeting also strengthens inclusive governance by giving marginalized and excluded groups the opportunity to have their voices heard and to influence public decision making vital to their interests.

  The CSOs can help improve budget policies by providing information on public needs and priorities through their connections with citizens, communities, and sectors. CSOs (along with legislators, auditors, the media, and the broader public) can also play an important role in holding the governments accountable for how it uses public resources.

  When CSOs can combine an in-depth knowledge of a policy issue with a solid knowledge of budgets and an effective advocacy strategy, they can positively influence policy decisions. However, the ability of CSOs to participate in the budget discussion can be thwarted by legal, institutional, and political barriers. It is a challenging exercise which needs proper skills and capacities.

  The publication of leaflets and brochures regarding "budget in brief" are important tools of educating citizens on the process.

Example: Implementation of participatory budgeting in Albania[12]

Since 2008, the municipality of Vau-Deja has been implementing participatory budgeting, which involves the community, stakeholders, other institutions and civil society in decision making. This is achieved through consultative meetings, which are conducted among representatives of municipality and the representatives of community in 8 villages and 10 neighborhoods of the town.

About 150-200 residents participate in these meetings. Village mayors, city mayors and councillors are active in every meeting.

In many meetings, particularly in the neighbourhoods of the city, there are also intellectual and activist women that participate and give their valuable opinions. Residents, stakeholders and civil society in these discussions express their requirements, needs, priorities, which according to them deserve to be taken into account by the staff of municipality.

12 Citizen participation and cooperation between civil society sector and local self-government in Montenegro and Albania", CRVNO and Partners Albania, 2013 http://www.crnvo.me/sites/crnvo/files/article_files/ucesce_gradjana_alb_4_web.pdf

The selection and the creation of a list with the needs and the priorities, which are included in the annual budget is done by taking into consideration 5 criteria:

- The objectives of Development Strategy and City Regulatory Plan;
- Priorities approved each beginning of the year by the municipal council;
- The interest of the community for a certain investment;
- The distribution of investments according to the payment of liabilities without neglecting the villages that do not have incomes, but have vital issues;
- Electoral promises.

A working team is established by the city Mayor and engaged in the consultative meeting together with municipal council committees and in particular the economy committee. After the budget is approved in the city council, the staff of municipality and the city mayor inform the community in hearing sessions with stakeholders, in open meetings, which are registered and transmitted in local media, through informative materials.

After the determination of the priorities and approval of the annual budget, the city mayor and the staff follow up the approved projects until the final implementation.

The city council is informed continuously about the steps of the projects implementation and has a monitoring role during the implementation phase of these projects. The citizens are informed periodically for the progress of the projects through an "information chart for public" approved at the beginning of the year.

References

MIKOVÁ, K. and G. BIACHI. 2013. Pravidlá zapájania verejnosti do tvorby politík (Manuál pre verejnúsprávu). (The Rules for Engaging the Public in Public Policymaking -Guide for public institutions) in Bianchi G., Lašticová B., Miková K. Analýza a/aleboevaluáciaštyroch: Dialógov o verejnýchpolitikách.Záverečnáspráva z výskumu. Ústavvýskumusociálnejkomunikácie, Slovenskáakadémia vied, Bratislava [online]. Available from: http://www.minv.sk/swift_data/source/rozvoj_obcianskej_spolocnosti/aktuality/participacia/2014/01/Evaluacia-dialogov-o-verejnych-politikach-a-manual_spolu-s-errata_09-2014.pdf

OECD. 2001. Citizens as Partners. OECD Handbook on Information, Consultation and Public Participation in Policymaking [online]. Available from: http://www.internationalbudget.org/wp-content/uploads/Citizens-as-Partners-OECD-Handbook.pdf

OECD. 2001a. Engaging citizens in policy-making [online]. Available from: http://web.worldbank.org/archive/website00238I/WEB/PDF/ENGAGING.PDF

OECD.2001b. Citizens as Partners Information, Consultation and Public Participation in Policy-Making [online]. Available from: https://books.google.co.nz/books?id=XFZxZG-yupsC&printsec=frontcover&dq=Citizens+as+Partners+Information,+Consultation+and+Public+Participation+in+PolicyMaking+pdf&hl=cs&sa=X&ved=0ahUKEwj_qdym_aTLAhWBRg8KHb-BByoQ6AEIGjAA#v=onepage&q&f=false

PARTNERS ALBANIA and CRVNO, 2013. Citizen participation and cooperation between civil society sector and local self-government in Montenegro and Albania [online]. Available from: http://www.crnvo.me/sites/crnvo/files/article_files/ucesce_gradjana_alb_4_web.pdf

WILLIAMSON, A. and A. FUNG. 2004. Political Deliberation: Where We Are and Where We Can Go [online]. Available from: http://www.archonfung.net/papers/FungWilliamsonNCR04.pdf

WORLD BANK. 2004. Social Development Notes [online]. Available from: http://siteresources.worldbank.org/INTPCENG/1143380-1116506267488/20511066/reportcardnote.pdf