



# CIVICUS

---

ANNUAL

INGO ACCOUNTABILITY CHARTER REPORT

---

July 2015 – June 2016

Redefining Accountability

# CIVICUS



## Table of Contents

01. Profile Disclosures.....	4
1.1. Strategic Commitment to Accountability .....	4
02. Organisational Profile .....	6
2.1 Name of organisation.....	6
2.2. Primary activities.....	6
2.4 Location of organisation's headquarters .....	9
2.5 Number of countries where the organisation operates. ....	9
2.6 Nature of ownership and legal form.....	9
2.7 Target audience and affected stakeholders. ....	10
2.8 Scale and Scope of reporting organisation .....	10
2.9 Significant changes during the reporting period regarding size, structure, or ownership .....	12
03. Reporting Parameters.....	14
3.1 Report profile .....	14
3.2 Date of most recent previous report .....	14
3.3 Reporting cycle (annual, biennial, etc.).....	14
3.4 Contact point for questions regarding the report or its content.....	14
3.5 Process for defining report content.....	14
3.6 Boundary of the report .....	15
3.7 Material content limitations .....	15
3.8 Basis for reporting on joint ventures, subsidiaries, leased facilities, outsourced operations, and other entities. Assurance that national entities comply with accountability commitments. ....	15
3.10/3.11 Significant changes from previous reporting periods in the scope, boundary, or measurement methods applied in the report .....	15
3.12 Reference Table .....	15
04. Governance Structure and Key Stakeholders .....	16
4.1 Governance structure and decision-making process at governance level .....	16
4.2 Division of powers between the highest governance body and the management and/or executives .....	17
4.3 Number of members of the highest governance body that are independent and/or non-executive members.....	17
4.4 Mechanisms for internal stakeholders (e.g. members or employees) to provide recommendations or direction to the highest governance body .....	17
4.5 Compensation for members of the highest governance body, senior managers, and executives (including departure arrangements).....	19
4.6 Processes in place for the highest governance body to ensure conflicts of interest are identified and managed responsibly.....	20

4.10 Process to support the highest governance body's own performance .....	20
4.12 Externally developed environmental or social charters, principles or other initiatives to which the organisation subscribes .....	21
4.14 Stakeholder groups of the organisation .....	21
4.15 Process for identification, selection and prioritisation of key stakeholder groups .....	24
05. Performance Indicators.....	25
5.1 NGO1 – Involvement of affected stakeholder groups to inform the design, implementation, monitoring and evaluation of policies and programmes.....	25
5.2 NGO2 – Mechanisms for stakeholder feedback and complaints on programmes and policies and in response to policy breaches .....	26
5.3 NGO3 – System for programme monitoring, evaluation and learning (including measuring programme effectiveness and impact) .....	29
5.4 NGO4 – Measures to integrate gender and diversity into programme design and implementation, and the monitoring evaluation, and learning cycle .....	30
5.5 NGO5 – Processes to formulate, communicate, implement and change advocacy positions and public awareness campaigns .....	31
5.6 NGO6 – Processes to take into account and coordinate with other actors .....	32
5.7 NGO7 – Processes to take into account and coordinate with other actors .....	34
5.8 NGO8 – Sources of funding by category e.g. government, corporate, foundation, membership fees, in-kind donations and other.....	35
5.9 EN16 – Total direct and indirect greenhouse gas emissions by weight at the organisational level.....	36
5.10 EN18 – Initiatives to reduce greenhouse gas emissions at the organisational level and reductions achieved.....	36
5.11 EN26 – Initiatives to mitigate environmental impacts of activities and services .....	36
5.12 LA1 – Size and composition of total workforce .....	37
5.14 LA10 – Workforce training to support organisational development.....	39
5.15 LA12 – Performance reviews and career development plans .....	40
5.16 LA13 – Diversity in your organisation displayed in the composition of governance bodies and employees.....	41
5.18 SO1 – Impact of activities on the wider community.....	44
ANNEX I: CIVICUS Organogram (see attached document) .....	47
ANNEX II: Summary Analysis: Internal factors of success and risk as of June 2016 .....	47
Annex III: Organisational Dashboard .....	48
Annex IV: Draft Framework of Environmental Policy .....	50

## List of Commonly Used Abbreviations

The CIVICUS logo is a large, light blue watermark in the background. It features a stylized globe with a blue outline and a red swoosh. Above the globe are several colored circles: yellow, light blue, green, and pink. The word 'CIVICUS' is written in large, light blue capital letters across the middle of the page.

ACS:	Annual Constituency Survey
AGM:	Annual General Meeting
AGNA:	Affinity Group of National Associations
CEO:	Chief Executive Officer
CP:	Civic Pulse
CRM:	Constituent Relationship Management
CS Mott:	Charles Stewart Mott Foundation
CSI:	Civil Society Index
CSI:	Civil Society Innovation Initiative
CSM:	Civic Space Monitor
CSpl:	Civic Space Initiative
EENA:	Enabling Environment National Assessment
GRI:	Global Reporting Initiative
ICNL:	International Centre for Not-for-Profit Law
ICSW:	International Civil Society Week
SDGs:	Sustainable Development Goals
SG:	Secretary General
SIDA:	Swedish International Development Cooperation Agency
UN:	United Nations
UNDCF:	United Nations Development Cooperation Forum
UNDESA:	United Nations Department of Economic and Social Affairs
UNDPI:	United Nations Department of Public Information
UNESC:	United Nations Economic and Social Council
UNHRC:	United Nations Human Rights Council
UPR:	Universal Periodic Review

## 01. Profile Disclosures

### 1.1. Strategic Commitment to Accountability

#### **Statement from CIVICUS Secretary General**

Recent years have seen unprecedented attacks on civic space, with many governments and others questioning and attacking the legitimacy of civil society organisations. We also live in a time where trust in institutions – including those within civil society – is falling. At CIVICUS, we believe that our collective response to these threats to civil society and civic space must include a lived commitment to open, transparent and accountable institutions.

For CIVICUS itself, it is critical that we are accountable to our members around our core mission of strengthening citizen action and civil society. In this regard, we work very closely with our members and partners and involve them in key decision-making processes and reports we release on a regular basis. We use different platforms to inform members and partners about these decisions and allocate space for feedback from them before these decisions are finalised and implemented. Our members are given the opportunity to ask questions about our financial reports each year and provide feedback before the reports are adopted.

We also use a range of mechanisms to engage members. For example, our International Civil Society Week and CIVICUS World Assembly (held in April 2016) are used to present our activities to members, assess performance of projects and agree on priorities for the coming year. Financial reports and statements on activities are presented to members for verification at our Annual General Meetings, and they ask questions and provide feedback before the reports are approved and validated. In addition, our State of Civil Society report includes contributions made by our members. On a day-to-day basis CIVICUS' outputs including press statements and reports on threats to civil society in countries we work in, are done in collaboration with members whose advice is sought as a matter of practice.

Every three years voting members of CIVICUS are given the opportunity to nominate Board members and an election process is conducted for the Board, this was carried out in

2016. The Board therefore is the body that is directly elected by and accountable to members. The Secretariat reports to the Board and uses the Board as a point of reference for member views. For CIVICUS, serving our members – and the interests of wider civil society – is of critical importance. We see building a strong and trusted relationship with our members not as an accountability ‘box-ticking’ exercise but rather as a critical component of delivering on our role as a civil society alliance.

Our current objectives and activities for the period 2013-2017 are guided by our Strategic Priorities which were developed in 2012 by the CIVICUS Board based on feedback from members, partners, stakeholders and ordinary citizens. In 2016 we also began the process of consulting our members on our next Strategic Plan, which will run from July 2017 until June 2022.

We believe this process will make us a stronger and more relevant organisation in the years to come, but we also see this process as an important way of being accountable and place great importance in this component.



Dr Dhananjayan Sriskandarajah

Secretary General and CEO, CIVICUS

CIVICUS

## 02. Organisational Profile

### 2.1 Name of organisation

CIVICUS: World Alliance for Citizen Participation (also referred to as 'CIVICUS' in the report)

### 2.2. Primary activities

CIVICUS is an international alliance dedicated to strengthening citizen action and civil society throughout the world. In 2013, CIVICUS' primary activities were governed by two documents;

- 2013-2017 CIVICUS Strategic Priorities
- 2013-2017 CIVICUS Operational Plan

### Our strategy

Our 2013-2017 CIVICUS Strategic Priorities<sup>1</sup>, authored in 2012 by our Board of Directors after extensive consultation with our members, outlines CIVICUS' three overarching priorities during the next 5 years:

#### Strategic Priority 1-Influence

We want to ensure that civil society is taken seriously and is able to have a stronger influence on the making of decisions that matter to people's lives.

#### Strategic Priority 2-Connect

We want to connect the different sources and forces of citizen action so that citizen action as a whole becomes more robust and effective.

#### Strategic Priority 3-Enable

We want to promote better conditions for civil society to do its work, and to enhance and protect optimal standards for all civil society.

The CIVICUS strategy outlines a vision of the types of activities which CIVICUS will undertake over the next five years, as well as what success might look like for each Strategic Priority.

#### Activities in our operational plan

This vision informs every aspect of the CIVICUS 2013-2017 Operational Plan, which outlines five more specific objectives during the coming five years:

- To protect fundamental civil society rights in countries where they are threatened
- To promote citizen participation and a vibrant civic space, especially among marginalised groups and in countries where CIVICUS can make most impact
- To democratise the international arena so that civil society can play a meaningful part in global governance processes
- To connect civil society actors across the world in creative and effective ways to generate change

---

<sup>1</sup>The full document, CIVICUS: Our Strategic Priorities 2013-2017, is available at <https://civicus.org/images/stories/CIVICUS%20SPs.English.Final.pdf>

- To generate and communicate knowledge and analysis about the state of civil society and emerging trends.

Within each of these objective areas, the Operational Plan further outlines indicative activities, outputs and six cross-cutting impact perception indicators which will help the organisation measure its performance against the Operational Plan. The 2013-2017 Operational Plan has been published on the CIVICUS website<sup>2</sup>.

Needless to say, CIVICUS believes it is well-positioned to implement this plan because of its unique position:

- 1) We are a global alliance
- 2) We care about civil society writ large
- 3) We know the international arena
- 4) We know what's going on in civil society.

### Activities during the reporting period

CIVICUS' annual report outlines in much greater detail the wide range of CIVICUS' programmatic activities and impact. Nevertheless, some highlights below indicate how CIVICUS primary activities regularly contribute to our strategy and operational plan:

- **Crisis Response Fund** - Emergency advocacy support to 25 civil society actors and organisations around the globe for emergency advocacy interventions to address threats on rights of citizens and civil society organisations to exist, express and engage.
- **Enabling Environment National Assessment (EENA)** - Implementation of 6 EENAs in Benin, Columbia Tajikistan, Honduras, Tunisia and the Philippines.
- **United Nations Human Rights Council (UNHRC) advocacy** - 15 Universal Periodic Review (UPR) submissions highlighting restrictions on the freedoms of assembly, association, expression and persecution of human rights defenders; 14 post and pre UPR consultations and the events, which mobilised hundreds of key civil society, government and United Nations (UN) stakeholders and helped to develop comprehensive advocacy strategies to ensure effective implementation of UPR recommendations; and 21 side events on a range of thematic and country specific situations. The side events provided crucial ingresses to introduce and underscore a wide range of pressing human rights concerns pertaining to civic space. CIVICUS also made 24 joint and standalone oral interventions to help shape on-going issues on the Council's agenda and to highlight exigent civil society concerns which require the Council's attention. Furthermore, CIVICUS supported the attendance of 18 civil society representatives to take part in Council and UPR sessions in Geneva.
- **Civic Space Monitor (CSM)** - will launch in October 2016 and eventually provide accurate, verified and up-to-the minute information on civic space through monitoring civic space in all UN member countries.

---

<sup>2</sup><http://civicus.org/images/CIVICUS%20Operational%20Plan%202013-17.web.pdf>



- **Civic Pulse (CP)** -Civic Pulse methodology is used to periodically take the temperature of civil society by means of a survey which regularly polls civil society leaders in 20 countries.
- **CIVICUS State of Civil Society Report<sup>3</sup>** - fifth annual report featured contributions from 33 leading experts on the theme 'inclusion and civil society', as well as a 'Year in Review' section detailing major events and civil society trends, generating intense discussion through media coverage and social media debate.
- **Our work in strengthening human rights defenders in Africa** saw the organisation of workshops in the different regions of the continent reaching a combined total of approximately 343 civil society activists. We produced a policy action brief on Burundi.
- **Civil Society Watch Report** documented threats to civic space in 109 countries around the world.
- **Global Day of Citizen Action. 14 May, 2016** - 71 events held in 41 countries, engaging approximately 22,350 On the ground. This was accompanied by a wide-reaching online campaign, with an estimated 110,430 reached through social media, and upwards of 3 million through radio, print, television, and online coverage.
- **International Civil Society Week (25<sup>th</sup> – 28<sup>th</sup> April)** - Co-hosted by Confederación Colombiana de ONG and CIVICUS, International Civil Society Week 2016 brought together 818 participants from 102 countries in Bogota, Colombia, to discuss some of the key global challenges facing civil society and humanity today. 56 civil society organisations, government and international institutions hosted events throughout the week, in addition to the CIVICUS Youth Assembly and CIVICUS World Assembly. In addition, ICSW\local was launched for the first time to provide a number of local partners with resources and support to host thematic discussions in their respective countries and then send representatives to ICSW to bring these diverse perspectives into the conversation in Colombia.
- **Sustainable Development Goals** - implementation of varied initiatives aimed at enhancing civil society participation in shaping the global development agenda towards achieving the SDG's these are, Leave No One Behind, Action/2015, Sustainable Development 2015, and our DataShift initiatives.
- **Civil Society Innovation Initiative** - The incubation phase of this initiative was launched, which aims to support civil society and CSOs through the establishment of regional hubs that will connect organisations through peer-to-peer learning and provide them with much-needed tools to support their work and amplify the voice of civil society.

---

<sup>3</sup> <http://www.civicus.org/documents/reports-and-publications/SOCS/2016/summaries/SoCS-full-review.pdf>

### 2.3. Operational Structure of the Organisation

CIVICUS: World Alliance for Citizen Participation is a membership alliance however; this report covers only those activities and operational structures related to the CIVICUS secretariat.

**Corporate entity** - CIVICUS is incorporated in South Africa as a Section 21 non-profit organisation ("Associations not for Gain"), as well as in the USA as a 501(c) (3) tax-exempt organisation. In 2016 CIVICUS successfully completed registration with Companies House in the UK, which gives CIVICUS status as an US entity with a UK branch in London. In addition, CIVICUS has started motions to register in Switzerland. Registration of a company limited by guarantee and then pursuant to that as a charity in England and Wales will also be pursued in 2017.

**Geographical structure** - The CIVICUS secretariat has four permanent office addresses:

- Johannesburg, South Africa
- Geneva, Switzerland
- London, United Kingdom
- New York, USA

The majority of staff are based in the Johannesburg head office. CIVICUS also employs staff, consultants, interns or volunteers who work from its other hubs, and remotely in different countries. CIVICUS is continuing to grow as a global organisation, with a staff complement of 51 as at June 2016, and increasingly staff are decentralised around the globe.

**Organisational restructuring and renewal** - CIVICUS continues to explore avenues for improvement as outlined in its growth strategy. CIVICUS' Human Resources Department has streamlined the necessary mechanisms to improve processes related to visas and work permits for our international employees, and a format has been finalised for the global induction program, which will be rolled out and fine-tuned throughout 2017 based on feedback from international staff. An updated organisational chart is available in Annex I.

### 2.4 Location of organisation's headquarters

CIVICUS, 6<sup>th</sup> Floor, 25 Owl Street, Auckland Park, Johannesburg, South Africa

### 2.5 Number of countries where the organisation operates.

CIVICUS is a global alliance that works with project partners and member organisations around the world. At the end of June 2015, CIVICUS had members in 186 countries.

### 2.6 Nature of ownership and legal form.

CIVICUS is a not-for-profit organisation registered in the United States as a 501(c) (3) entity and in South Africa as a Section 21 non-profit organisation. A Board of 14 Directors (voting members elected by other voting members of the CIVICUS alliance), provides oversight of the organisation's strategy, governance and annual budget. Board members serve for two 18-month terms but can hold their post for a maximum of three successive terms, with the third term being voluntary and formalised on the basis of re-election (See 2.9 for further information regarding change of term lengths).

## 2.7 Target audience and affected stakeholders.

As an international membership association, CIVICUS' target audience and affected stakeholders are civil society organisations and citizens around the globe. However, CIVICUS works with a truly global array of stakeholders, including those in government and the private sector. CIVICUS works to protect the rights of civil society actors, strengthen good practice within civil society and strengthen civil society's ability to influence the policies and practices of governments, international institutions and the private sector around the world.

## 2.8 Scale and Scope of reporting organisation

CIVICUS is an international network with a global membership and a small-to-medium sized secretariat.

### Number of members and/or supporters

At the end of the reporting period (30 June 2016), CIVICUS had a total of 3535 members. 217 of these are organisational and individual members with 'voting' rights, which means that they have a say in CIVICUS governance by electing its governing body and participating in CIVICUS annual general meetings. In addition, CIVICUS had 3318 associate members (both organisations and individuals) who believe in our cause and join in solidarity to our vision and mission, but who do not hold voting rights. Important to note is that the percentages below were calculated based on the number of countries- therefore percentages are rounded off to the nearest estimate.

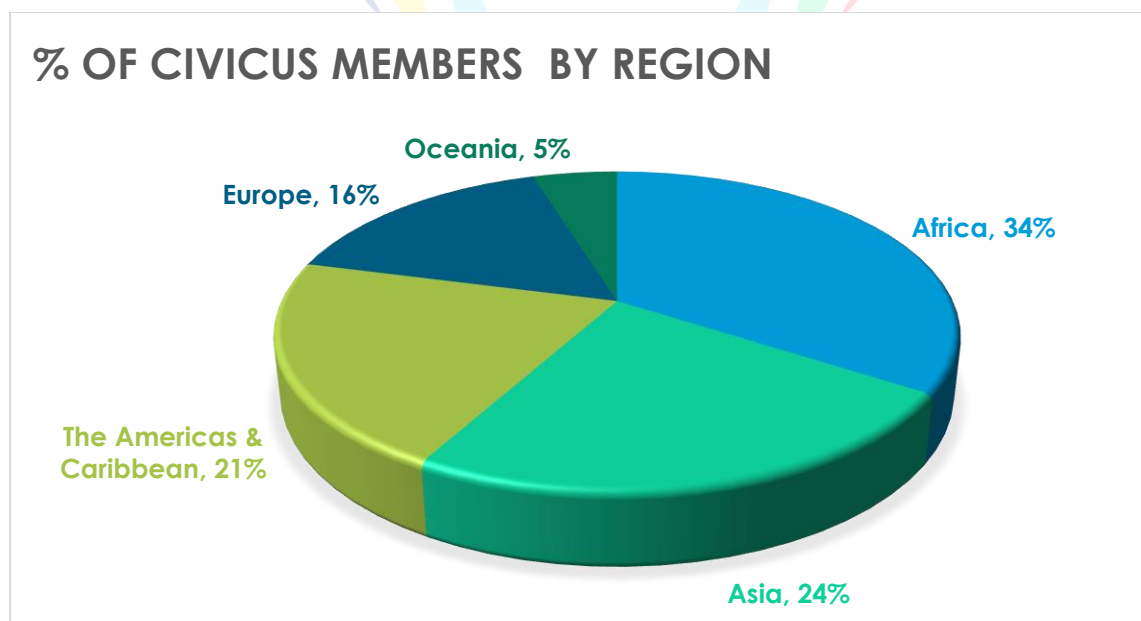


Figure 1: CIVICUS Membership as at June 2016

**Number of volunteers (estimate numbers per category of volunteer – see LA1) -**

During 2015- 2016 CIVICUS hosted a 9 interns and volunteers including: Korean and Cote d'Ivoire interns in Geneva, and interns and volunteers hailing from Canada, UK, USA, Pakistan and South Africa in our Johannesburg head office. Our interns and volunteers were able to contribute meaningfully and substantively to CIVICUS' work, and in turn received experience within an international NGO environment, and the concomitant learning and growth that goes with this. The positive feedback we received from our interns, and the fact that many of them have gone on to find jobs within the sector, are testament to the success of CIVICUS' internship programme.

**Total Income****Financial Position as at 2015- 2016**

		<b>Yr. 2015</b>	<b>Yr. 2016</b>
	<b>Note</b>	<b>\$</b>	<b>\$</b>
Total Income		4 944 158	7 726 598
Net Revenues		182 116	322 022

<b>TOTAL CAPITALISATION</b>			
Current Assets		3 089 923	3 643 431
Current Liabilities		2 687 257	3 049 588

Total Assets		3 345 260	3 847 423
--------------	--	-----------	-----------

*Table 1*

Further detailed information about the distribution of income between the countries and money movement could be found in the CIVICUS Annual Financial Statement<sup>4</sup> for the year ended June 2016

<sup>4</sup> CIVICUS Annual Report 2015/2016 pg 27 <http://www.civicus.org/documents/reports-and-publications/annual-reports/annual-report-2016-en.pdf>

## Breakdown of Income by Country/Regions

Country		Yr. 2015		Yr. 2016	
	Note	\$	%	\$	%
Scandinavia		2,736,798	55	2,563,663	33
North America		817,070	17	1,373,581	18
Western Europe				2,370,300	31
Northern Europe		850,168	16	1,082,710	14
Other		585,122	9	336,343	4
<b>Total</b>		<b>4,944,158</b>	<b>100</b>	<b>7,726,598</b>	<b>100</b>

Table 2

Income by country or region above, comprises 96% of total funding income for the period July 2015 – June 2016.

### Scope and scale of activities, or quantity of products or services provided

CIVICUS works indirectly with a vast number of stakeholders, and produces research on issues important to civil society, which is accessible and free. For example, through our website over 42, 287 visitors were able to access our research, tools and resources, while we reached more than 35, 053 people on Facebook and 7,900 people on Twitter with the last news and information on civil society.

CIVICUS works directly to provide membership services to its members (around 3560 as at June 2016) and to implement projects with many more programme partners, including those partners co-implementing activities related to the Affinity Group of National Associations, Civil Society Innovation Initiative, Civic Space Initiative, Civic Pulse, Civic Space Monitor, Civil Society Watch, Crisis Response Fund, DataShift, International Civil Society Week, and Sustainable Development 2030 programmes. During the reporting period, the CSI raised awareness of civic space by engaging with over 3 million individuals through the Global Day of Citizen Action and the Nelson Mandela-Graca Machel Awards.

### 2.9 Significant changes during the reporting period regarding size, structure, or ownership

The size of CIVICUS as a small-medium organisation has remained stable during the reporting period, with a significant increase in income due to additional funding received in 2016. Due to this increasing funding, as well as an expanding project base, CIVICUS has increased its staff

complement to 51 as at the end of June, and foresee increasing by approximately another 15 staff members by mid-2017.

The organisation remains governed by the CIVICUS Board of Directors. The new Board was elected in April 2016. A rotation system was implemented in early 2016 whereby 1) approximately two thirds of current non-executive directors retire by rotation and 1) are replaced by newly elected directors or 3) by being re-elected, provided they are eligible (have not served two consecutive terms, as per the Bylaws stated above). The remaining one third do not retire by rotation for another year, and in the 2nd year of the newly elected or re-elected directors, another election is held by way of a voting process whereby the one third directors that did not retire, retire and new directors are elected. The one third that does not retire after the normal three years are directors that have served two consecutive terms and therefore cannot be re-elected in the follow-up year of election. This process ensures continuity and retention of skills, and decreases delays caused by the changing of the Board.

#### 2.10 Awards received in the reporting period

None



### 03. Reporting Parameters

#### 3.1 Report profile

July 2015 to June 2016

#### 3.2 Date of most recent previous report

1 April 2016<sup>5</sup>

#### 3.3 Reporting cycle (annual, biennial, etc.)

Annual

#### 3.4 Contact point for questions regarding the report or its content

Karen Peters

Monitoring and Evaluation Officer

[karen.peters@civicus.org](mailto:karen.peters@civicus.org)

#### 3.5 Process for defining report content

Defining the report content begins with the feedback received from the Independent Review Panel. The review outcomes are shared with the management team by the Chief Operating Officer, Bettie van Straaten. Initial meetings are held in which the outcomes are discussed among the management team, the board and the staff.

In the months after these meetings the managers begin gathering the relevant information for the following year's report. A copy of the previous year's report as well as the feedback letter is duly circulated to management team for their ease of reference and each manager is responsible for inputting the relevant information within their sections of responsibility. To foster a sense of ownership of the process the responsibility lies with the managers and their relevant units to incorporate feedback from the Independent Review Panel towards improvement of their sections of the report. Managers garner the inputs from their staff within their teams. The final review of the report is done by the Secretary-general and the COO.

The management team are the de facto accountability task team. CIVICUS is too small an organisation to necessitate the establishment of a specific accountability charter task team. For example, once discussions have been held with the management team already 20% or the staff complement would have been consulted. The management team are aware of their responsibilities on reporting against the charter indicators. Through the management team, the staff understand the necessity and importance of the Charter. Additionally, the annual charter report is available on CIVICUS' website<sup>6</sup> to enable the relevant stakeholders, donors and the public to access this information

---

<sup>5</sup> <http://accountablenow.org/wp-content/uploads/2017/01/CIVICUS-INGO-Charter-Report-2014.pdf>

<sup>6</sup> <http://www.civicus.org/index.php/who-we-are/how-we-work/accountability>

### 3.6 Boundary of the report

This report covers the activities and performance of the legally registered entity CIVICUS: World Alliance of Citizen Participation. Due to the nature of CIVICUS as a membership based organisation, CIVICUS can be conceptualised as a secretariat for wider membership. Yet, this report does not cover or report on any activities of other organisations or partners who may be CIVICUS members and part of the CIVICUS alliance.

### 3.7 Material content limitations

There are no specific limitations on any boundary of the report, as far as it is possible to ascertain. As a small organisation, the only limitations affecting the production of this report are CIVICUS' finite financial and human resources. The development of an internal management dashboard has improved the quality of data that is easily available for inclusion in this Accountability Charter reports and other monitoring and evaluation reports.

### 3.8 Basis for reporting on joint ventures, subsidiaries, leased facilities, outsourced operations, and other entities. Assurance that national entities comply with accountability commitments.

CIVICUS is a membership based alliance, and thus cannot report on the individual activities of members or affiliated organisations. CIVICUS employs consultants for specific research projects, which are usually sourced from our partner or member organisations and these consultants must adhere to CIVICUS' reporting standards and guidelines. However, CIVICUS has limited access to information regarding their adherence to the Accountability Charter, other than through standard performance management and reporting procedures.

### 3.10/3.11 Significant changes from previous reporting periods in the scope, boundary, or measurement methods applied in the report

In this report CIVICUS aims to improve upon recommendations made by the Independent Review Panel. Apart from many of the sections containing updated data the relative stability of the organisation has remained. The main changes in this report are around the participatory and transparent processes that CIVICUS initiated in the reporting year geared toward the development of new Strategic Goals (2017 – 2022).

### 3.12 Reference Table

Not applicable.



## 04. Governance Structure and Key Stakeholders

### 4.1 Governance structure and decision-making process at governance level

CIVICUS: World Alliance for Citizen Participation is a membership association, and the highest governance structure is the CIVICUS membership. Members meet annually at an Annual General Meeting. There are two types of membership - Voting Membership and Associate Membership.

Voting members appoint the CIVICUS Board of Directors every three years, as well as retaining the possibility of appointing Directors at any general meeting. The Board of Directors is responsible for oversight of the CIVICUS organisation, and meets regularly. The CIVICUS Board appoints a Chairperson, a Vice-Chairperson, a Secretary, a Treasurer and a Secretary General/Chief Executive Officer (SG/CEO) who is also a member of the Board as an ex-officio member. The SG/CEO is responsible for running the organisation on a day-to-day basis and leading the management of the staff team.

Within the CIVICUS Board, there are committees with specially assigned responsibilities. During the reporting period there were three Board Committees: the Executive Committee, the Operations Committee and the Governance and Membership committee. The Board can establish ad hoc committees to address any area of work. Within this governance structure, the Executive Committee is responsible for the overall functioning of the Board and is mandated with additional decision-making powers on behalf of the whole Board. It is comprised of the Chair of the Board, the Vice-Chair of the Board, the Secretary, the Chair of the Operations Committee (Treasurer) and the Chair of the Governance and Membership Committee and the SG/CEO. The Executive Committee meets bi-monthly by conference call on a regular date.

The Operations Committee and the Governance and Membership Committee are each tasked with overseeing the activities of the corresponding department (Operations Department, Partnerships Department). The Board can appoint any number of members to each Committee, and can co-opt additional Committee members from outside the Board of Directors. The committees meet regularly depending on necessity, which occurs on average quarterly.

### **Benefits and Challenges of Governance Model**

The Board consists of CIVICUS members, elected by other members, it is an important means of embedding stakeholder inputs at the highest levels in terms of strategy and policy development and oversight, which is important for accountability to our members. In addition, the CIVICUS Board is a 'working' Board that actively participates in oversight functions, meeting regularly and taking key decisions, and even supporting programmatic work as requested by staff (e.g. selection of Innovation Award winners). Therefore, CIVICUS benefits from some of the leading thinkers and actors in civil society. However, this also proves challenging for our Board members, as they have to balance their role as CEO (in most instances) of their own organisations with significant CIVICUS Board commitments.

Additionally, because there is an expectation that Board members actively engage in oversight of technical areas of work (e.g. Finance). CIVICUS must invest in Board development and/or co-opt Board members in instances when the elected Board Members do not have the required skills-sets.

## **Risk Management**

A summary of Risk Management is found in Annex III for the current strategic period (ending June 2016). The summary focuses on internal factors of success and risk that are monitored using the CIVICUS Organisational Dashboard primarily. This dashboard is shared quarterly with the Operations Committee of the board. The Chair of the Operations Committee reports in detail to the Board of Directors on the risk profile of the organisation, as well as other risk management tools<sup>7</sup>. These include the risk matrix (an interactive dashboard), which is tabled to the Board's Operation Committee regularly and updated continually between meetings, as well as the Balance Sheet Risk.

### **4.2 Division of powers between the highest governance body and the management and/or executives**

The Chair of the CIVICUS Board is not an executive officer. The SG of CIVICUS acts as the CEO for the organisation, and working with the Management Team, is responsible for operational decision-making. The CIVICUS Board of Directors is responsible for strategic decision-making and for oversight of management through the SG/CEO.

### **4.3 Number of members of the highest governance body that are independent and/or non-executive members**

CIVICUS does not have a unitary board structure, except for the SG/CEO who is a paid employee and ex-officio member of the CIVICUS Board. All other 14 Board Directors are unpaid and volunteer their time for CIVICUS.

### **4.4 Mechanisms for internal stakeholders (e.g. members or employees) to provide recommendations or direction to the highest governance body**

Internal stakeholders are afforded multiple opportunities to provide recommendations or direction to the highest governance body; the CIVICUS Board of Directors. One tool that we employ for that purpose is the Annual Constituency Survey (ACS), which is disseminated to all our constituents (people who know us, work with us, or participate in our network) on an annual basis. Each year, constituents are asked a set of questions about their perceptions of changes in civil society, and the associated impact of CIVICUS. The inputs received from the ACS feed directly into CIVICUS programming and operations. Some of the ACS outcomes are used to track CIVICUS progress towards achieving our priorities making this data invaluable.

In our 2013-2017 Strategic Priorities, our Board of Directors shared a vision of "continuous improvement through rigorous monitoring, analysing, and deliberating with our constituents" and committed "to report back to our members and other constituents" on a regular basis.

---

<sup>7</sup>[Examples or risk assessment tools.pdf](#)

Due to these commitments constituents, can request to be contacted by a member of the CIVICUS team, to provide feedback not gathered from the ACS.

Another mechanism for gathering stakeholder recommendations is through the CIVICUS Members' Annual General Meeting (AGM), where the Annual Report and Audited Financial Statements are presented, along with an address by the Chair of the Board of Directors and presentation on member engagement.

During the AGM, members are invited to give feedback and guidance on the organisation's direction. Since 2014, the members' AGM has taken place virtually to ensure the participation of all members, regardless of their geographic and financial positioning (which in the past, limited physical participation). The virtual AGM is complemented by physical meetings of CIVICUS members, which take place every 18 months during the CIVICUS World Assembly, and serve as an opportunity for an informal sounding board with members, as well as the wider stakeholder constituency.

The membership team based at the CIVICUS secretariat also work throughout the year to seek feedback and input from members into the work of both the organisation and Board through annual member surveys, which inform the annual Membership Work Plans, as well as ad hoc surveys and consultations related to programmatic work (e.g. Civil Society Innovation Initiative regional consultations to develop prototypes for 6 regional civil society support hubs; DataShift consultations to develop pilot implementation plan for a project to support citizen-generated monitoring of development commitments; Sustainable Development 2030 consultation to identify CIVICUS' focus within the context of the 2030 development framework).

Additional mechanisms exist for employees to provide recommendations to the highest governance body, the CIVICUS Board; When the Board meets in Johannesburg there are scheduled interactions between the staff and the board on current issues affecting the well-being of the organisation. Staff are also involved in the regular meetings of the Committees. In addition, other mechanisms for Staff-Board interaction are through informal contact, primarily on programmatic issues.

Finally, the Staff and the Board collectively engage in internal reviews. For example, during the internal mid-term review of its strategic priorities, CIVICUS staff from across the organisation and the Board of Directors provided inputs into the review - both in terms of programmatic progress and to what extent we are adhering to our values and principles (which are periodically reviewed and reflected in the organisation's policies and procedures, captured in the staff handbook, and embedded in our programmatic work). This review document was shared with CIVICUS' constituencies. Similarly, the new Strategic Priorities Plan for 2017-2022 was highly participatory process. CIVICUS listened to thousands of stakeholders through online surveys, consultations, collaborations and conversations to get their views on what CIVICUS' strategic priorities for should be. This diverse set of stakeholders included: CIVICUS members; local, national, regional and international civil society organisations and networks; social movements; activists; international non-government

organisations; voluntary bodies; charities; philanthropic foundations; international organisations; and governments. We spoke to people in 28 countries in all regions of the world. The inputs received from these consultations fed directly into the drafting of the new Strategic Priorities which will be finalised in the next reporting year.

#### 4.5 Compensation for members of the highest governance body, senior managers, and executives (including departure arrangements)

CIVICUS provides no financial compensation for our Board Members, who act as the highest governance body. Within reason, CIVICUS covers all transport and logistics costs for Board Members to travel to Board Meetings and important CIVICUS events like International Civil Society Week, but Board Members do not receive any form of compensation for their time, which they give on a pro-bono basis.

CIVICUS does not have a senior management team, but we do however have executives (i.e. Dhananjayan Sriskandarajah (Secretary General and CEO) and Bettie van Straaten (Chief Operating Officer)). Salaries of senior management are Benchmarked every few years against similar sized NGO's. These salaries are recommended by the treasurer and approved by the executive committee of the board of directors. CIVICUS salaries are based on the Paterson grading scale. This is based on remuneration data available in South Africa, as most staff are based in and work from South Africa. Remuneration committee determines the grading and consequently the salary scales based on the Paterson system.

*The Paterson Job Grading system has been around since the late 60's and is widely used as a grading system. The grading system in essence grades a job based on Decision Making or Freedom to Act in the specific role. Grades are given in numbers 1-10, but they may be sub graded on the basis of frequency of decision-making. According to Paterson decision are progressively more difficult to make from Grade 0 to Grade 10, and they are progressively more important for the organisation's survival and growth<sup>8</sup>.*

---

<sup>8</sup> Paterson Job Grading <http://www.patersongrading.co.za/about/>

Standard Paterson Grading Table

Band	Kind	Title	Grade	Kind	Title
F	Policy-Making	Top Management	10 9	Coordinating Policy	President (MD) Vice-President (Ex Dir)
E	Programming	Senior Management	8 7	Coordinating Programming	General Manager Admin Manager
D	Interpretive	Middle Management	6 5	Coordinating Interpretive	Department Manager Superintendent
C	Routine	Skilled	4 3	Coordinating Routine	Supervisor Technician
B	Automatic	Semi-Skilled	2 1	Coordinating Automatic	Chargehand Machinist
A	Defined	Unskilled	0	Defined	Labourer

Table 3

#### 4.6 Processes in place for the highest governance body to ensure conflicts of interest are identified and managed responsibly

In compliance with the King III ethics and conflict of interest guidelines, to promote transparency and to achieve the complete impartiality of CIVICUS committees, CIVICUS has established a registration of interests' procedure. All covered individuals are required to complete this form in respect of themselves, their spouses and any dependent children annually.

CIVICUS maintains two Registers of Interests – one for members and one for staff. A copy of the Registers will be available to the public for inspection at CIVICUS, Johannesburg, South Africa during normal office hours. The Register of Staff Interests is not available publicly. All members of the Board and its sub committees (whether decision-taking or advisory) and staff will be required to register their interests on appointment and thereafter at the beginning of each financial year.

#### 4.10 Process to support the highest governance body's own performance

In November 2014, a new Board Self-evaluation was introduced by CIVICUS. The evaluation was approved by the Executive Committee and served as a self-evaluation pilot survey. This self-evaluation survey was developed by members of the Governance and Membership Committee. The self-evaluation included a survey on how Board Members perceived themselves and their role on the Board. The survey asked questions relating to individual commitment, participation, attendance, knowledge and contribution on the various sub-committees and the Board as a whole.

The compiled information was reviewed at the Board Meeting held in November 2015, and subsequently used by current Board members as guidance for necessary improvements and skill sets when electing the next Board in 2016. The self-evaluation process will be completed by the new Board mid-term, and again at the end of the second term for comparative purposes.

CIVICUS board elections take place when the second term of serving board members is due to expire - every three years. It is a robust democratic process where the nominations process is open to both CIVICUS members and non-members, and a thorough balloting process, followed by voting, results in 13 members selected individuals to serve on the next Board of Directors. Selection criteria includes results of the self-evaluation, specifically skills and experience as identified by the existing and outgoing. The board election has been staggered (refer to 2.9 for more detail) to ensure an overlap between current and new board members.

#### 4.12 Externally developed environmental or social charters, principles or other initiatives to which the organisation subscribes

CIVICUS subscribes to the INGO Accountability Charter. CIVICUS has incorporated the Universal Declaration on Human Rights in our Staff Handbook, which serves as guidance for all our work. In addition, we also initiated the Rustlers Valley Open Letter<sup>9</sup> which focuses on greater social accountability for CSOs.

#### 4.14 Stakeholder groups of the organisation

CIVICUS' primary constituency is the alliance members, comprised of civil society organisations and individuals located in over 170 countries around the globe. Just over 20% of our individual members were youth and around 60% of our members came from lower or lower-middle income countries (as of June 2016).

CIVICUS has two categories of membership: voting and associate. Voting members determine and make up the organisation's governance structure, as well as approve our annual reports and have a say in the alliance's strategic priorities (determined every 5 years). They are verified by the membership team following criteria determined in CIVICUS membership policy<sup>10</sup>, and pay membership fees corresponding to their categories and budgets.

Associate members join as an act of solidarity with our mission and vision, and abide by the membership policy and code of conduct. An overview of the categories of membership and affiliations as taken from the Membership Policy can be found below.

To ensure data integrity on reporting on our non-voting members we have established various processes. Firstly, there is a process whereby organisations signing up as a member completes mandatory fields in the online application form. This information includes the organisation's contact details. If, in our communication with non-voting members we find that the email addresses are returned undelivered we delete that account. Secondly, if a member is proven

---

<sup>9</sup> <http://blogs.civicus.org/civicus/2014/08/06/an-open-letter-to-our-fellow-activists-across-the-globe-building-from-below-and-beyond-borders/>

<sup>10</sup> CIVICUS Membership policy [http://civicus.org/downloads/CIVICUS\\_Membership\\_Policy.pdf](http://civicus.org/downloads/CIVICUS_Membership_Policy.pdf)



not to follow our membership policy and code of conduct, the secretariat immediately follow the adequate process as per our membership policy. Thirdly, when the members sign up on the CIVICUS website they must digitally sign (formal acknowledgement of acceptance of) the following policies which hold them accountable and aim to ensure their alignment with CIVICUS' Mission & Vision, the Universal Declaration of Human Rights and CIVICUS' Membership Policy and Code of Conduct. Associate members' submission are now verified to a minimal extent, upon joining by our Membership team. With these processes in place we feel confident that they help mitigate the concern of "fake" or "non-existing" organisations signing up as members.

#### Categories of Membership and other affiliations

##### NON VOTING MEMBERSHIP

Type	Requirements
<b>Individual Associate Member</b>	<p><u>Youth</u>: Be individual, <b>up to 30 years old</b> that takes an interest in the affairs of civil society and who abides by and promotes the Universal Declaration of Human Rights; signs up in writing to CIVICUS Vision, Mission and Values</p> <p><u>Standard</u>: Be individual, <b>over 30 years old</b> takes an interest in the affairs of civil society and who abides by and promotes the Universal Declaration of Human Rights; signs up in writing to CIVICUS Vision, Mission and Values</p>
<b>Associate Member Organisation</b>	Be a foundation and/or CSO (non-profit, non-governmental, socially responsible and/or voluntary organisations) that takes an interest in the affairs of civil society and who abides by and promotes the Universal Declaration of Human Rights; sign up in writing to CIVICUS' Vision, Mission and Values

##### VOTING MEMBERSHIP

Type	Requirements
<b>Individual Member</b>	<b>Voting</b> Individuals who have attained an outstanding rank among citizens representing or advocating the interest of citizen participation in their country/region or globally. Applications shall include their CV, 3 references, and a disclaimer stipulating that upon cross-checks CIVICUS has the right to deny membership if they do not qualify.
<b>Voting Member Organisation</b>	Be a foundation, a CSO (non-profit, non-governmental, socially responsible and/or voluntary organisations) or a legitimate national CSO platform or network, that represents or advocates the interests of citizen participation in their country/region; abides by and promotes the Universal Declaration of Human Rights;

---

signs up in writing to CIVICUS' Vision, Mission and Values

---

## FRIENDS, ALLIES AND SUPPORTERS OF CIVICUS

Type	Requirements
<b>Supporting affiliates</b>	Be any of the above organisational categories, an alliance or movement that takes an interest in the affairs of civil society and who abides by and promotes the Universal Declaration of Human Rights; provide sufficient evidence that the entity is not allowed to join as a full member
<b>Corporate affiliates</b>	Be profit-making, abides by and promotes the Universal Declaration of Human Rights; signs up in writing to CIVICUS' Vision, Mission and Values
<b>Donors</b>	Be an individual, or a public entity or a private foundation having provided core funding or project grants to CIVICUS

One of the core groups of CIVICUS members are the national associations and umbrella bodies, working together through the Affinity Group of National Associations. 64 % of AGNA members are voting members of CIVICUS.

The reach of the CIVICUS alliance is beyond its membership and many other civil society actors are involved in the secretariat and network's activities and programmes. 60% of CIVICUS sub-grants are allocated to civil society organisations which are not CIVICUS members. These CSOs are verified following a partnership checklist.

CIVICUS also works with other civil society networks and platforms and other stakeholders, including governmental development agencies, academic institutions, research organisations, international financial institutions, intergovernmental organisations and less often private sector. Institutional relationships include, but are not limited to: John Hopkins University, University of Waterloo, Global Partnership for Effective Development Cooperation, Global Partnership for Sustainable Development Data, Community of Democracies, Multi-stakeholder Task Team on CSO Development Effectiveness and the Enabling Environment, United Nations Department of Economic and Social Affairs (UNDESA), United Nations Department of Public Information (UNDPI), United Nations Development Cooperation Forum (UNDCF), and the United Nations Economic and Social Council (UNESCO).

In addition, CIVICUS receives funding support from private foundations and trusts, as well as bi-lateral and multi-lateral agencies, including: Charles Stewart Mott Foundation, European Commission, Ford Foundation, Irish Aid, Lifeline Embattled CSOs Assistance Fund, Open Society Foundation, Swedish International Development Cooperation Agency, Taiwan Foundation for Democracy, Ministry of Foreign Affairs Netherlands, William and Flora Hewlett Foundation, Department for International Development UK and the Department for Foreign Affairs Finland.



CIVICUS reaches the broader public and individuals through various e-newsletter, our weekly e-CIVICUS, a monthly Civil Society Watch newsletter, a newsletter for the Affinity Group of National Associations updates from our work at the UN (etc.) and online/offline media, including Al Jazeera, Guardian Global Development Professionals and the Huffington Post.

Important to note, is that CIVICUS is in the process of moving to a new Constituent Relationship Management (CRM) system which has much broader functionality than the current one. This will assist in further improving our communication and improve information management at a decentralised level among CIVICUS staff. In addition, CIVICUS is currently researching software that will centralise knowledge management within the organisation allowing for even greater stakeholder engagement.

#### 4.15 Process for identification, selection and prioritisation of key stakeholder groups

CIVICUS' ability to amplify and strengthen the voices and opinions of ordinary people goes hand in hand with growth in the scale and scope of its membership. Therefore, CIVICUS aims to be a diverse and globally representative alliance of civil society organisations and individuals who support the same Mission, Vision and Values and promote the Universal Declaration of Human Rights.

CIVICUS Secretariat has been increasingly allocating sub-grants to members and partners in a wide range of programmatic areas in an effort to support civil society at the national level and for the alliance not to be in competition with national civil society organisations. More than 225 grants were allocated to partners to support their work for a total of \$1,810,354. Partners are selected through open calls, criteria established by regional sub-secretariat or programme leads. All sub-grantees must comply with our partnerships checklist and reporting requirements.

#### Disbursements to Partners by Region

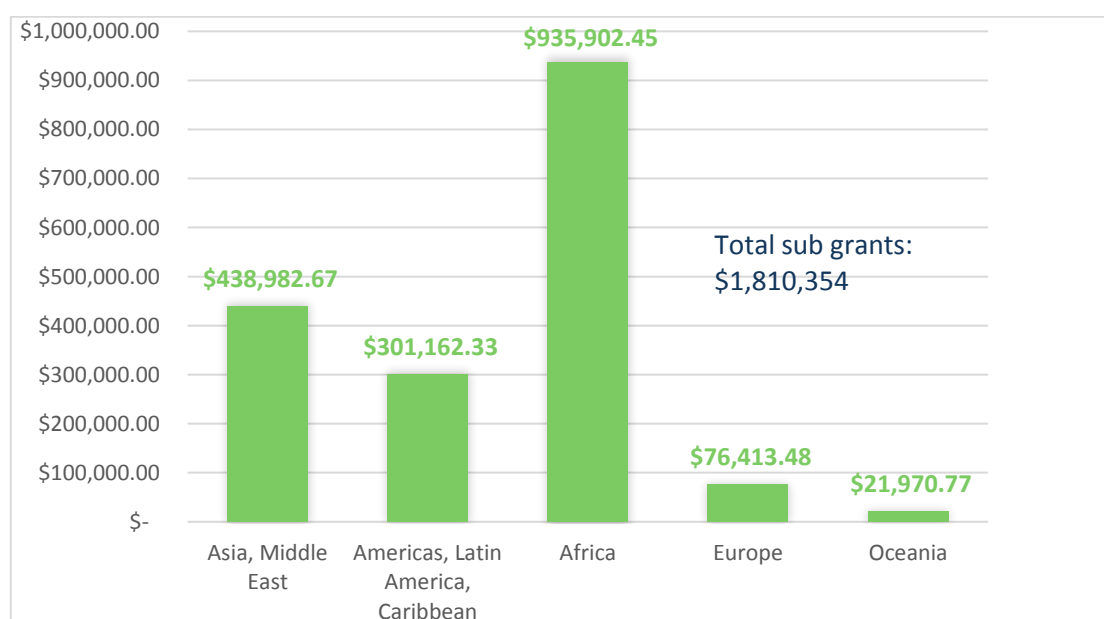


Figure 2 Disbursements to Partners by Region

CIVICUS also engages with other actors, working groups, international platforms, initiatives and fora when it is strategically advantageous to our mission and strategic priorities. This engagement is determined by programme managers and senior leadership who meet annually to review and decide on which partnerships we can invest in given limited time and resources. For example, in the reporting period, CIVICUS continued to engage with the following stakeholder groups outside of its members and programme partners: action\2015, Community of Democracies, CSO Partnership for Development Effectiveness, Development Cooperation Forum, Financial Action Task Force, Global Partnership on Effective Development Cooperation, Global Partnership on Social Accountability, Global Partnership on Sustainable Development Data, Inequality Alliance, Open Government Partnership, Task Team on CSO Development Effectiveness and Enabling Environment, UNDESA/Major Groups, UN HLPF, UNDP, World Bank/IMF and World Economic Forum.

## 05. Performance Indicators

### I. Program Effectiveness

#### 5.1 NGO1 – Involvement of affected stakeholder groups to inform the design, implementation, monitoring and evaluation of policies and programmes

CIVICUS is a membership association of civil society organisations and activists, but seeks to initiate programmes and interventions that benefit to the entire civil society at large. Through the Board of Directors (elected from and by CIVICUS members) and through regular members' interaction, CIVICUS aims to give members a voice in shaping its programmes and projects. CIVICUS attempts to provide continuous opportunities for input from our members through the annual general meetings, other convening, the membership annual survey and during the Strategic Priorities consultation process.

The 2013-2017 Operational Plan and Strategic Priorities has governed CIVICUS' programmatic activities during the reporting period. In addition to these priorities, CIVICUS works on six core principles to help ensure the sustainability of the organisation. These include:

- Working as an alliance in everything we do
- Working as a network with multiple hubs and connections
- Taking a rights-based approach to citizen participation
- Working in partnership with others
- Connecting the local with the global
- Measuring and demonstrating impact

It is a central tenet of CIVICUS programming that projects should be undertaken in partnership with local or national organisation wherever possible, and led predominantly by CIVICUS members. Important knowledge pieces have served to amplify the voices of key stakeholders on issues of global governance and provide valuable analysis on civil society challenges like resourcing. The 2016 State of Civil Society Report featured 33 guest contributions from civil society activists, leaders and experts on the theme of exclusion and civil society, in addition to an annual survey of members of our Affinity Group of National Associations, and year in review which summarises the key stories affecting civil society. The contributions to the report include numerous inputs from our members, partners, supporters and others in the global CIVICUS Alliance. The Report is quoted regularly and referenced as an authoritative source on the state of civil society by national and international CSOs.

The Civic Space Initiative (CSpl) also involves working closely with partner organisations namely; The International Centre for Not-for-Profit Law (ICNL); ARTICLE 19; and the World Movement for Democracy. In addition, it leverages CIVICUS membership to promote and strengthen projects linked to the initiative. The CSpl also acts in building capacity among members and partners to continue tackling the issues themselves. These examples are illustrative of the concrete mechanisms which CIVICUS takes to ensure that its constituents are actively included throughout the life of the project cycle.

Much of our research initiatives utilise participatory research methodologies that rely on the local partner to generate knowledge (e.g. Civic Pulse, Enabling Environment National Assessments). We also include local members and partners in much of our advocacy work including; UPR submissions, alerts, statements, and in co-authoring, when possible.

## 5.2 NGO2 – Mechanisms for stakeholder feedback and complaints on programmes and policies and in response to policy breaches

CIVICUS actively invites feedback from a significant multitude of stakeholders through various channels and means. Figure 1 below summarises the various channels through which stakeholders can provide feedback and lodge complaints as well as the illustrative process thereafter.

## Feedback and Complaints

### Loops

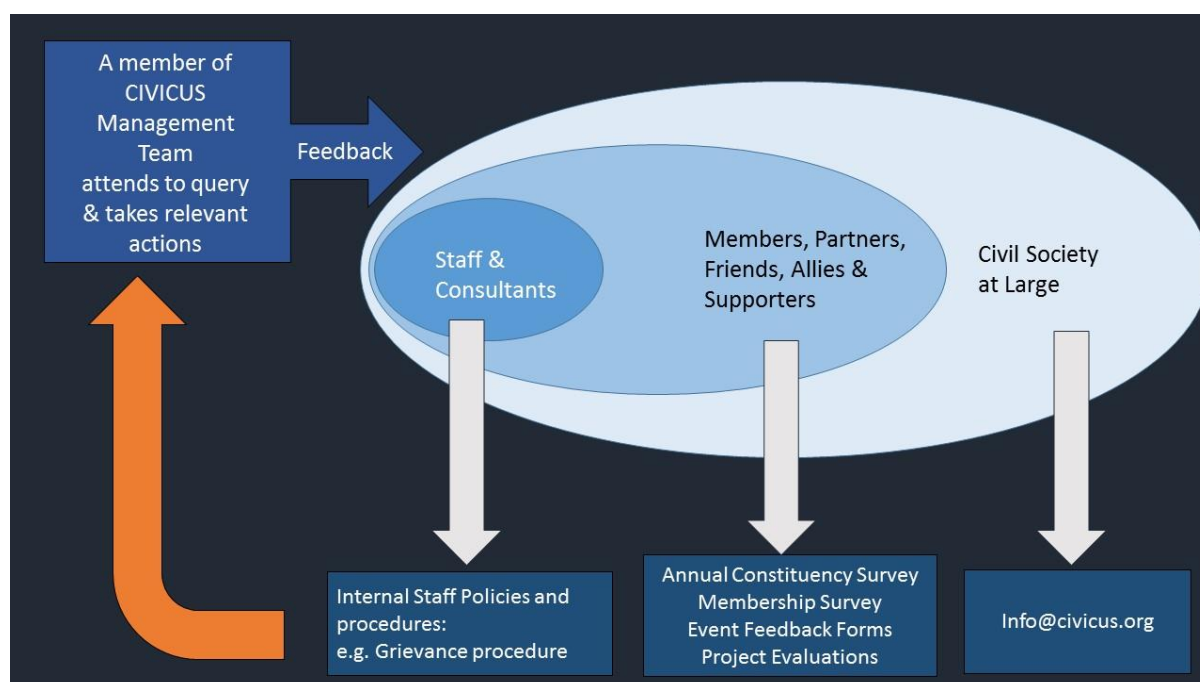


Figure 3 Feedback Complaints Loop

Staff and consultants can utilise the Human Resources handbook and policy guidelines to gather information about the procedure for lodging a grievance. The process for staff feedback and complaints is detailed in the [NGO9 section of this report](#).

### Grievance Channels for Members, Partners, Friends, Allies and Supporters

CIVICUS conducts several surveys which seek to gather information from external stakeholders to improve upon programme design and delivery. One such channel is the Annual Constituency Survey<sup>11</sup> which gathers feedback and invites respondents to participate in private conversations to address concerns, explore partnership opportunities, etc. The findings of the survey are also shared in the CIVICUS annual reports. To specifically target members CIVICUS conducts a membership survey annually which seeks to gather information specific to member satisfaction and suggestions for improvement. Apart from this where possible event feedback forms are distributed. These help our programming directly as they are generally completed by a broader group of individuals than the usual stakeholders. Lastly, project evaluations which have taken place included in-depth interviews with some of our key stakeholders. CIVICUS takes project evaluation outcomes very seriously and uses them as a

<sup>11</sup> CIVICUS Annual Constituency Survey <https://www.surveymonkey.com/r/VBLNWZ5>

basis for improving on our programming. Findings from these feedback channels are incorporated in annual planning processes (both project and core programme reviews/plans, which are then captured in team plans, and then the organisational plan), as well as in internal strategic reviews and external evaluations.

### **Grievance Channels for Civil Society at Large**

Informally our current process for external complaints is as follows: Contact details for each of the CIVICUS offices are very easily accessible on the CIVICUS website. Therefore, the public make use of these channels for lodging complaints. The emails are received by the member of the communications team who then forwards them (on the same day) to the manager who is responsible for said complaint. The manager has the duty to follow through with resolving the complaint and following correct procedure in dealing with the matter as per CIVICUS' code of conduct. If the manager has not followed up with the person who lodged the complaint and they send another email or lodge another complaint (within not less than a week of the previous communication), then the communications person receiving the same complaint will forward said complaint directly to the COO for action. CIVICUS first response to external complaints is always a consultation process to resolve the grievance.

Work on developing an external complaints policy and process (termed "Feedback Policy") began in spring 2016. Gaining clarity and alignment on process and roles and responsibilities was a more complex process than was originally estimated resulting in revision and finalisation of the process has taking longer than planned. It is envisaged that alignment with internal grievance procedures and policies would create a more cohesive Feedback Process and Policy. It is expected that the Feedback Policy will be implemented and posted on [civicus.org](http://civicus.org) in time for the launch of CIVICUS' 2017-2022 Strategic Goals.

# CIVICUS

### 5.3 NGO3 – System for programme monitoring, evaluation and learning (including measuring programme effectiveness and impact)

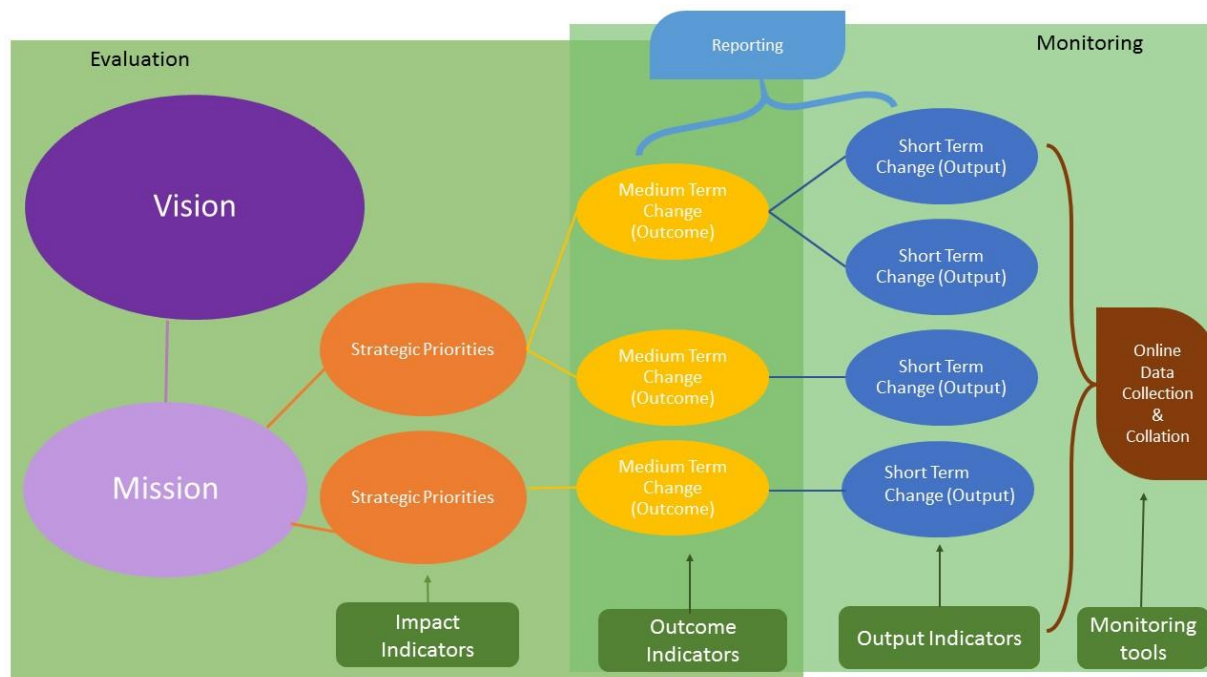


Figure 4 M&E Framework

As depicted in Figure 4, the framework for CIVICUS' programmatic M&E is stratified. Within a results-based framework each activity and resultant outcome is designed to contribute to the overall attainment of the strategic goals in line with the Vision and Mission. In the reporting period CIVICUS has not conducted any impact evaluations. However, between December 2015 and March 2016 CIVICUS embarked on an internal, mid-term review of its Strategic Priorities 2013-2017. The purpose of the review was principally learning and accountability, as well as generating relevant findings and recommendations to inform and guide CIVICUS' future work. In addition, the review formed an important source of evidence for an external evaluation that will take place in July and August 2016.

Several internal assessments were completed during the reporting period;

- Risk review (quarterly) – presented and reviewed by Board Finance Committee.
- Procurement process review and implementation of online SAGE procurement system.
- Finance policies and procedures manual review – September 2016 – internal adjustments followed by external audit review.
- Sub-grantee vetting process updated in June 2016 further to findings from independent audit
- Findings from independent audit also resulted in “Anti bribery and corruption practice note” drafted and approved in June 2016.
- HR process review – Survey of global relevance of HR Handbooks, agility of process and best practices - April 2016
- New investment policy drafted – January 2016



- Understanding the entity – Financial statutory review, submission to external auditors for comment and improvement
- In 2016 CIVICUS successfully completed registration with Companies House in the UK, which ended CIVICUS' agreement with OWT
- Environmental policy draft submitted to Management team mid-2016 for participatory staff discussion and finalisation in 2017.

Outputs and reports from these assessments are communicated to the appropriate audiences. In the majority of the instances above, outcomes were communicated only internally (staff and management). Where the evaluation is of public interest and is independently carried out, CIVICUS communicates the findings by making the report available on the website and notifying constituents through e-CIVICUS, our online newsletter. In addition, CIVICUS developed an internal management dashboard to provide easily accessible information on key indicators for the organisation. This dashboard is updated on a quarterly basis for review and input from the Board. The Organisational Dashboard can be found in Annex III.

#### 5.4 NGO4 – Measures to integrate gender and diversity into programme design and implementation, and the monitoring evaluation, and learning cycle

All CIVICUS' public positions are grounded in CIVICUS' gender and diversity policy. CIVICUS' participation in forums such as the Commission on the Status of Women, Association of Women in Development and other networks has assisted in building partnerships with external stakeholders for sharing knowledge and experiences. CIVICUS has also contributed to a number of articles linked to gender equality which have been featured in e-CIVICUS, CIVICUS' weekly e-newsletter, to raise awareness.

CIVICUS' Gender Working Group (GWG), which was formally launched in 2015/16, works to guide and input into the CIVICUS alliance's work on gender, involving members in cross-cutting issues. Going forward the GWG will host a safe space for women and allies, open not only to those working on gender issues, but also to women working on a wide cross-section of human rights and in different sectors. In addition, there will be opportunity for CIVICUS members to network around their gender work. The CIVICUS Youth and Gender Mentorship programme is aimed at youth and women, linking leaders with women/youth in grassroots organisations and starting out in their careers.

The theme of CIVICUS' 2016 State of Civil Society report was inclusion. CIVICUS made a commitment to conduct an inclusion audit on all CIVICUS's internal policies, practices and ways of working, which includes gender. The recommendations will start be adopted in 2017, and will be utilised as a best-practice model for our membership.

CIVICUS' Gender work is bolstered by key research pieces, such as a participatory research project on how to create and implement effective gender policies and a research report on bridging the gap between formal and non-formal civil society.

The Youth Action Team (YAT) aims to mainstream youth and youth issues into CIVICUS's programmes and activities and to champion youth engagement and civic space. The YAT will provide strategic advice and support CIVICUS in its outreach, by building new partnerships, mobilizing resources for scaling up initiatives on youth and recruiting new young members to the CIVICUS alliance in the coming years. CIVICUS' Youth Advisory Group ensures that the voices of young people are heard and echoed through CIVICUS' work and programmes.

The YAT went through a launching phase from January to June 2016:

- In January 2016, CIVICUS opened a call to all youth members and partners to apply as members of the new selected Youth Action Team 2016 - 2019. From 173 great applications, 10 young men and women under 30, were selected, representing 4 continents, multiple thematic areas of expertise and interest and a great diversity of skills.
- In April 24 the Youth Assembly 2016 was held and two YAT members participated as co-facilitators of the Youth Assembly Statement drafting process. They also connected with CIVICUS youth constituency present that day and during ICSSW, and had the opportunity to meet CIVICUS staff and some CIVICUS board members.
- The launching phase culminates in June with the construction of the YAT Action Plan 2016 – 2019 and the publication of the first YAT introspective post.

#### 5.5 NGO5 – Processes to formulate, communicate, implement and change advocacy positions and public awareness campaigns

CIVICUS' policy positions are focused on areas within the organisation's mandate and strategic priorities. CIVICUS has a rigorous approvals procedure, led by our policy and research team and communications teams, involving the management team, to ensure adherence to our principles and mandate.

All positions taken by the organisation are grounded in CIVICUS' values and conform to the principles outlined in the Universal Declaration of Human Rights. Issues that CIVICUS comments on are subjected to a thorough discussion within the Policy and Research Department, and thereafter signed off by management. The selection of partners with whom policy positions are taken are also based on an assessment of the partner organisation's values.

Often, partners are well established CIVICUS members and partners with whom CIVICUS has a substantial track record of working with. When CIVICUS works with new partners on a position, care is taken to understand and evaluate the partner's values. Moreover, policy positions are based on both desk research as well as partner feedback. As a rule, facts outlined in policy positions are subjected to partner feedback from the ground.



All public awareness and advocacy positions are thoroughly grounded in evidence based research, including reports of established and vetted civil society groups as well as trusted media sources. As a rule, local partners are consulted when public awareness and advocacy positions related to a particular country are taken. On international and cross regional issues, CIVICUS' membership and/or long standing partners are consulted. All positions are grounded in CIVICUS' gender and diversity policy.

All major advocacy and public awareness campaigns are subjected to a stakeholder consultation process, and we are continually working towards ever more participatory approaches. Thematic and regional consistency is maintained through bi-annual reporting process and as well as evaluation by CIVICUS' Impact, Planning and Learning Framework. CIVICUS also reports to its board and membership annually on the scope of its advocacy and public awareness campaigns. Additionally, consistency of campaigns is discussed at management meetings, which are conducted on a monthly basis.

As mentioned above, consultation with local partners and international stakeholders is an essential component of ensuring fairness and accuracy of CIVICUS' public criticisms. Additionally, in-house desk research is also carried out to ensure credibility of criticisms. All criticism from external stakeholders regarding advocacy positions and public awareness campaigns are discussed between the Secretary General and the head of the concerned department. If the issue could impact the reputation of the organisation, it is subjected to a management discussion. Efforts are also made to contact partners on the ground to seek their views whether a corrective adjustment needs to be carried out.

All public awareness and advocacy positions are published on the CIVICUS' website, shared to various electronic mailing lists composed of civil society and media stakeholders, and shared through social media. In most cases, the length of campaigns is pre-determined at the start of the campaign. There are however, some special instances where campaigns such as those on systemic issues such as the global clampdown on civil society freedoms run as long as CIVICUS' research and observations determine that concerns persist.

Advocacy positions are formulated either at the request of a partner or motivated by CIVICUS' own monitoring and desk research. Prior to formulation, a thorough analysis of the situation is carried out by CIVICUS' policy and research team. The gist of the analysis is then shared for vetting by national or international partners wherever applicable. Input is duly discussed as the team or management depending on the nature of the situation before implementation.

## 5.6 NGO6 – Processes to take into account and coordinate with other actors

CIVICUS is committed to forging partnerships for change where we can find common cause because we believe that we are stronger when we work together towards the same goal. In particular we have processes in place in the Partnerships, Innovation, International Networks

and Policy & Research Departments to manage and coordinate our activities with other actors.

CIVICUS members and partners drive and lead our national interventions. Local partners are selected based on established criteria, with the primary requirements being relevance and need for the project or programme intervention, experience and expertise in project area, and alignment with the organisation's priorities. CIVICUS supports civil society from the local to the global levels, but we will also work hard to make sure that we do not compete with or displace our national members and partners.

CIVICUS aims to complement their efforts by providing additional resources, advice and technical support. In addition, CIVICUS endeavours to add value to their work by providing global comparison and exchange of best practice.

As a unique global alliance and an impartial and inclusive convenor, we always aim to broker consensus and look for points of intersection. CIVICUS is well positioned to fulfil the functions of network and knowledge broker, seeking to bring together actors who may otherwise not meet or communicate effectively; bridging sectors, geographies and levels of engagement to identify common goals and opportunities for learning. CIVICUS helps to make these connections and bring the voices of ordinary citizens into crucial global debates. CIVICUS advocates for citizen participation as an essential component of governance and democracy worldwide. In addition to our existing strategies and procedures for working with and coordination our partner organisations, our 2013-2017 Operational Plan focuses on working closely with the following actors;

- Individuals and citizens, grassroots activists
- Social movements, people's networks
- Organised civil society (CSOs, INGOs, NGOs and umbrella organisations)
- Governments
- Media

CIVICUS, along with the International Civil Society Centre, authored a document on partnerships principles based on best practice<sup>12</sup>, which recognises the strain placed on partnerships due to power dynamics and other factors and the disconnect which threatens the ability of equally empowered partners to work toward mutually-agreed objectives. The partnership principles encompass vision, values, expectations, respect, strategy, responsibilities, accountability, flexibility and communication, all of which CIVICUS is working towards integrating into the organisational policies and procedures.

CIVICUS is committed to taking these partnerships principles further, mapping out the tools and practices utilised in organisations around the world to identify best practice, and tailoring this to CIVICUS' partnership model. This model will continuously evaluate the strength and

---

<sup>12</sup>[https://icscentre.org/downloads/14\\_02\\_27\\_Partnership\\_Principles.pdf](https://icscentre.org/downloads/14_02_27_Partnership_Principles.pdf)

efficacy of CIVICUS' partnerships, setting up a mutually reinforcing feedback loop. CIVICUS continues to define and redefine our partnerships principles.

## II. Financial Management

### 5.7 NGO7 – Processes to take into account and coordinate with other actors

CIVICUS has a contractual obligation to donors to allocate project expenses that are clearly identifiable against project funds and this forms the basis of internal controls. All financial transactions are documented and recorded in books of accounts in such a way as to facilitate comprehensive financial reporting, easy referencing and to establish a clear audit trail.

A chart of accounts is available in appropriate accounting software, to effectively record business transactions and each project has a unique account code for easy tracking. An external Audit is conducted on a yearly basis, and is approved by the board before the dissemination of audited financial statements to relevant stakeholders, including CIVICUS members. CIVICUS also completes additional individual donor audits as requested. CIVICUS reporting standards in the Republic of South Africa are in accordance with International Financial Reporting Standards and GAAP, being the generally accepted standards in the United States of America. CIVICUS sets out standards of internal controls which are aimed at reducing the risk of error or loss in a cost effective manner. These standards include the proper delegation of responsibilities within a clearly defined framework, effective accounting policies and procedures. The following general accounting policies are used:

**Consistency Concept-** This principle stipulates that all the accounting methods, books and reports must be consistently treated in the manner outlined in this manual until the manual is revised.

**Historical Cost-** All transactions shall be recorded at the cost price.

**Double Entry-Accounting-** Records shall be maintained in double entry. The double entry accounting method requires every transaction to have both a debit and a credit side.

**Accruals Concept-** Transactions are recognised in the period in which they are incurred even if they are not paid for in the period. All unpaid expenses in the period shall be recognised and a provision for liability shall be established in the accounts

In order to ensure consistent planning CIVICUS anticipated an increase in income and thus proposals were built over a period of five years to cater for the increase. As most of the increase linked to proposed activities for projects, resourced were added and resulted in impacting positively on the growth of the organisation. CIVICUS reviews its operational plans for core activities each year and aligns a comprehensive budget and cash flow forecast to the activities.

## 5.8 NGO8 – Sources of funding by category e.g. government, corporate, foundation, membership fees, in-kind donations and other

CIVICUS' Largest Donors as at July 2015 – June 2016

Country	Funder Name	Amount
Sweden	Swedish International Development Cooperation Agency (SIDA)	\$2, 563, 663
Netherlands	Ministry of Foreign Affairs - Dutch	\$2, 235, 000
United States Of America	The William and Flora Hewlett Foundation	\$ 625, 000
Finland	Ministry of Foreign Affairs - Finland	\$ 430, 000
United Kingdom	Save The Children	\$ 323, 000
United States of America	Bill and Melinda Gates Foundation	\$ 300, 000
United States of America	Ford Foundation	\$ 300, 000

Table 4

CIVICUS' funding by category is shown in the chart below.

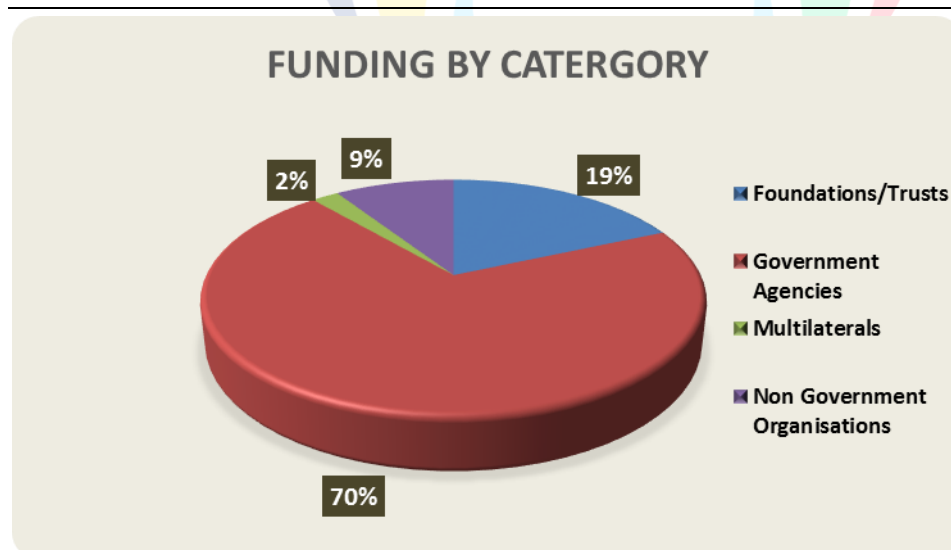


Figure 5 Funding Categories

### III. Environmental Management

#### 5.9 EN16 – Total direct and indirect greenhouse gas emissions by weight at the organisational level

CIVICUS' greenhouse gas emissions from the reporting period were approximately 735.38<sup>13</sup> metric tonnes. This year the International Civil Society Week (ICSW) was held in Bogota, Colombia in 2016 and this has resulted in an increased carbon footprint as participants flew greater distances to attend this event. Our system for recording this data involves tracking the flights booked by CIVICUS for staff and participants and utilising an online calculation tool<sup>14</sup> to produce the carbon footprint calculation. In addition, the average electricity consumption per employee was sourced from online energy efficiency indicators<sup>15</sup> and based on the maximum number of employees' consumption per year. The electricity consumption per individual was then halved taking into consideration our use of solar power. The solar power supply compensates for 4 hours per day of energy consumption which is 50% of the time in an average work day of 8 hours.

#### 5.10 EN18 – Initiatives to reduce greenhouse gas emissions at the organisational level and reductions achieved

As CIVICUS considers "going green" vital to our ethos, an Environmental Management Policy (See Annex IV) was drafted and tabled at the Operations Committee Meeting in March 2016 for comments. Further to recommendations made by the Operations Committee members it was decided that while the basic Environmental Management Policy would be implemented in the interim, CIVICUS' intention is to embark on a participatory process which will potentially result in a policy that is leading in terms of civil society practice. This facilitated process was kicked off in the second half of 2016 with preliminary discussion by staff and the Board, and will be finalised in 2017 in an organic process. The policy will include targets, an appropriate monitoring system, and visible responsibilities and be implemented with clear support from management and the Board of Directors.

#### 5.11 EN26 – Initiatives to mitigate environmental impacts of activities and services

Currently CIVICUS does not conduct environmental assessments for its projects, as they largely involve sub granting, funding and partnering with other organisations externally. However, there has been ongoing analysis and discussion of the responsibility of CIVICUS' partners in terms of assessment and partner accountability. With the engagement of a dedicated travel administrator in 2016, CIVICUS is on track to developing a new travel policy

<sup>13</sup> Based on an average electricity consumption of 1665.5 kWh of electricity per employee (x 49 employees = 77.63 metric tonnes) added to 657.75 metric tonnes related to travel

<sup>14</sup> <http://climatecare.org/calculator/>

<sup>15</sup> <http://g20-energy-efficiency.enerdata.net/indicators/unit-electricity-consumption-of-services-per-employee.html>

which will include measurement and control of the environmental impact of travel and events generated within CIVICUS.

#### IV. Human Resources Management

##### 5.12 LA1 – Size and composition of total workforce

During the reporting period CIVICUS employed between 40-50 fulltime employees and hosted paid and unpaid interns and volunteers sourced locally and internationally. 7 interns were hosted during this period, 3 in Johannesburg, 2 in Geneva and 2 in Columbia, with one volunteer gaining work experience in Johannesburg for 3 months.

Monthly new hires July 2015 – June 2016

Month	Number of New Hires	Location
July 2015	2	RSA and Tunisia
August 2015	1	RSA
September 2015	2	RSA
October 2015	3	RSA
November 2015	1	RSA
December 2015	0	
January 2016	4	UK, Denmark, Kenya, Canada
February 2016	4	Uruguay, Turkey, Venezuela, RSA
March 2016	0	
April 2016	2	UK, Tanzania
May 2016	1	RSA
June 2016	0	

Table 5

During the reporting period 20 new roles were filled by CIVICUS, while 12 resignations were encountered, 4 of which were due to the end of the Action2015 and other campaigns, 2 due to the individuals request to decrease hours (these became Service Level Agreements, as the position holders wanting to continue their studies), 3 left CIVICUS roles for different roles in other organisations (the CIVICUS positions were not replaced), 1 returned to country of origin, 1 was not able to obtain the legal work permit for RSA, one role was true replacement of the person, who had resigned.

CIVICUS maintains its flat structure at the management level, but anticipates further growth and is therefore looking at broadening its existing supervisory level, diverting more management responsibilities to the next level and actively strengthening this through training during the remainder of 2016.

## Staff members July 2015 – June 2016

	2015						2016					
	Jul	Aug	Sept	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	June
Male Staff members	16	16	15	16	16	16	19	18	18	17	17	17
Female Staff members	25	25	26	27	26	26	27	31	31	31	31	32
South Africa based	28	29	29	31	30	30	30	30	30	28	29	29
Globally Based	13	12	12	12	12	12	16	19	19	20	20	20
RSA residents	14	14	15	14	13	13	13	14	15	14	14	14
Non RSA residents	27	27	26	29	29	29	33	35	34	34	35	35
<b>TOTAL</b>	<b>41</b>	<b>41</b>	<b>41</b>	<b>43</b>	<b>42</b>	<b>42</b>	<b>46</b>	<b>49</b>	<b>49</b>	<b>48</b>	<b>48</b>	<b>49</b>

Table 6

## Workforce composition at June 2016 (nationalities-excluding double citizenships)

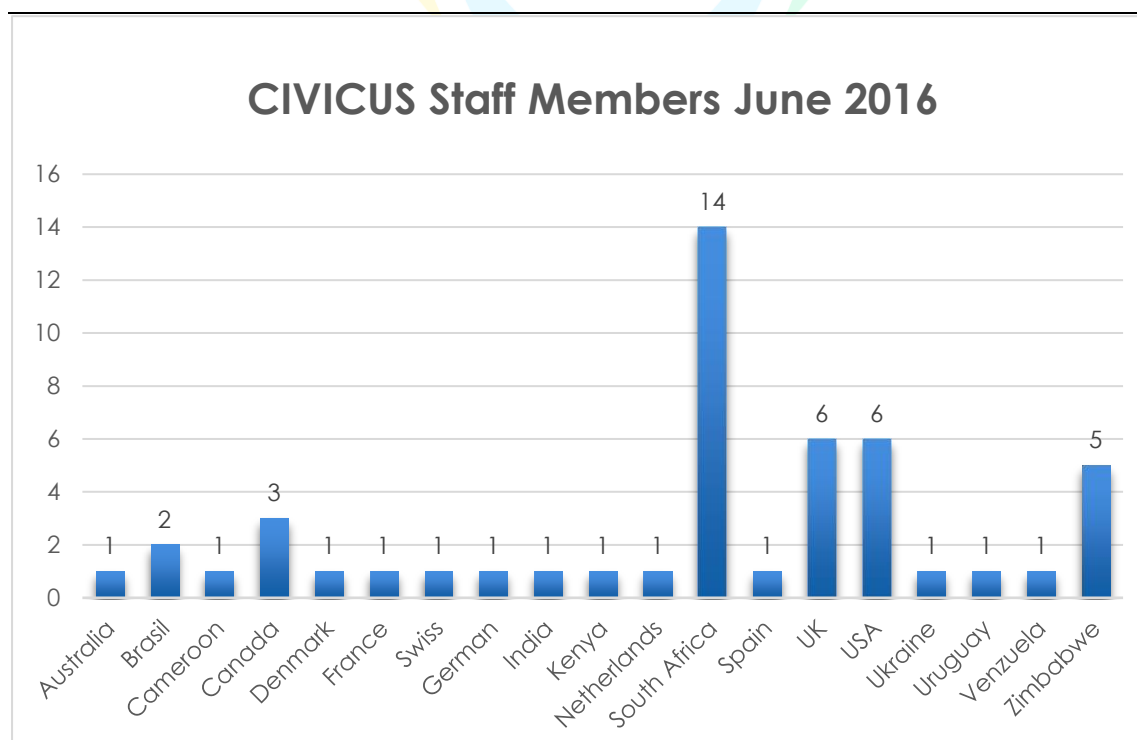


Figure 6 Workforce composition



### 5.13 EC7 – Procedures for local hiring and proportion of senior management hired from the local community at significant locations of operation

CIVICUS has during the reporting period advertised extensively on the CIVICUS website, which has received increased attention and yielded positive results, on average more than 60 replies to adverts displayed were received from a variety of different localities.

CIVICUS advertising considers locality of applicants, as well as difficulties in obtaining permits to work in South. Synergies with Partners and Members, as well as the use of shared work spaces have been found and are ever increasing. Presently CIVICUS enables employees not residing in any of the office locations of London, New York, Geneva or Johannesburg to share workspace with an existing member/ partner, strengthening the existing relationship and becoming more accessible.

Local hires and the building of a stronger presence in South America (3 employees) has been successful due to the possibility of sharing workspace with a member/partner organisation. Subsequently the need to be able to work in virtual teams and the flexibility required with regards to different time zones, by existing, as well as new employees, has become a point of discussion during interviews, as well as for adverts.

### 5.14 LA10 – Workforce training to support organisational development

Training as a pivotal element to employee development, empowerment, satisfaction and retention has remained a high priority for CIVICUS during the reporting period. With the added workloads, growth in size, different localities and globalisation the focus of training and thought processes around same are changing to include all employees, independent of locality into the same training and through that establish commonalities, a common language and understanding of the way in which CIVICUS works.

Training remained, during the reporting period, fairly localised to South Africa, new employees were inducted, virtually, as well as by spending time in South Africa, with a lot of emphasis on the introduction to the ways of workings of CIVICUS, as well as building networks with colleagues. While these inductions received very high ratings up to 1 month after the induction - during subsequent discussions it was discovered that gaps existed and that several topics previously covered needed to be repeated. This led to a more in-depth investigation on improving the induction process, a topic which will be addressed in more depth during the 2<sup>nd</sup> half of 2016.

It also became clear that induction, as training, needs to be globalised and accessible to all employees of the organisation, to ensure that the same training courses can be rolled out within the organisation. Attempts to source same/similar courses globally for a variety of different locations, or to conduct training after and before staff retreats and with that include the majority of employees, showed little success. A Learning Management System is under investigation in order to ensure a better global reach.



## External training July 2015 – June 2016, course, attendees, hours breakdown

	Number of attendees	Courses attended	Hours trained
Manager	4	4	64
Officer	11	5	160
Support	9	7	160

Table 7

## External training per employee, per months July 2015 – June 2016

	Aug 2015	Sept 2015	Oct 2015	Feb 2016	Mar 2016	Apr 2016	Jun 2016
Manager			2	1		1	
Officer	1	1	3		4		1
Support			3		3	5	

Table 8

## 5.15 LA12 – Performance reviews and career development plans

CIVICUS maintained its quarterly performance reviews. Emphasis and effort were spent on updating KPA's and KPI's and entrenching the process further, especially in view of employees with new supervisory roles. A performance review cycle document was developed, as well as process flows on this set up to assist Managers and Supervisors to plan for the quarterly reviews.

With the ongoing and increased expected growth for CIVICUS, especially during the first 2 months and the 2<sup>nd</sup> half of 2016, planning took place on how to “automate” probation period reviews and entrench these, similar to performance reviews into the culture of the organisation. This will serve the induction process, enable new employees to operate more efficiently and ensure equal and equitable assessment of areas, which require improvement. Additionally, it will ensure that new employees are fully aware and comfortable with the performance review cycle and process. The roll out will start during the 2<sup>nd</sup> half of 2016.

## Average performance scores for period July 2015 – June 2016

	August 2015	December 2015	April 2016
Average Score	3.00	3.45	3.35

Table 9

## 5.16 LA13 – Diversity in your organisation displayed in the composition of governance bodies and employees

Composition of CIVICUS Employees as at June 2016

Work Base	TOTAL	MALE	FEMALE
South Africa	29	8	21
Global	20	9	11
	49 employees	17	32

Table 10

20-30 Age Group				
	Female		Male	
	Global North	Global South	Global North	Global South
Board Members		1		
Management				
Staff	2	4	4	1
<b>Total (12)</b>				
31 – 40 Age Group				
	Female		Male	
	Global North	Global South	Global North	Global South
Board Members		1	1	2
Management	1		1	2
Staff	7	10	1	5
<b>Total (31)</b>				
41-50 Age Group				
	Female		Male	
	Global North	Global South	Global North	Global South
Board Members	2	1		
Management	1	2	1	1
Staff	2	1		
<b>Total (11)</b>				
>51 Age Group				
	Female		Male	
	Global North	Global South	Global North	Global South
Board Members	2	1		1
Management				
Staff	1	1		
<b>Total (6)</b>				

### 5.17 NGO9 – Mechanism for workforce to raise grievances and get response. Health and safety standards

A process flow chart for grievances was developed and incorporated into the employee handbook as depicted in Figure 5 (below). The overall process as taken from the policies and procedure is outlined as follows:

#### Internal Grievance Channels – Staff & Consultants

##### Stage 1 – Immediate Supervisor

- The employee must verbally communicate the grievance directly to his/her Line Manager. The Line Manager must endeavour to resolve the problem as soon as possible and provide an answer to the employee within 3 (three) working days of the grievance having been raised.
- Where an employee has a grievance against his/her Line Manager, a grievance may be formally lodged with the COO.
- In cases where the Line Manager is the Secretary General, grievances may be lodged with the Chairperson of the Executive Board.
- If the Line Manager does not settle the matter to the satisfaction of the employee, or makes inadequate progress towards resolving it, the employee may convert the grievance into a formal grievance by completing a grievance form.
- The formal grievance shall then be handed to the COO for the necessary formal attention and resolution.

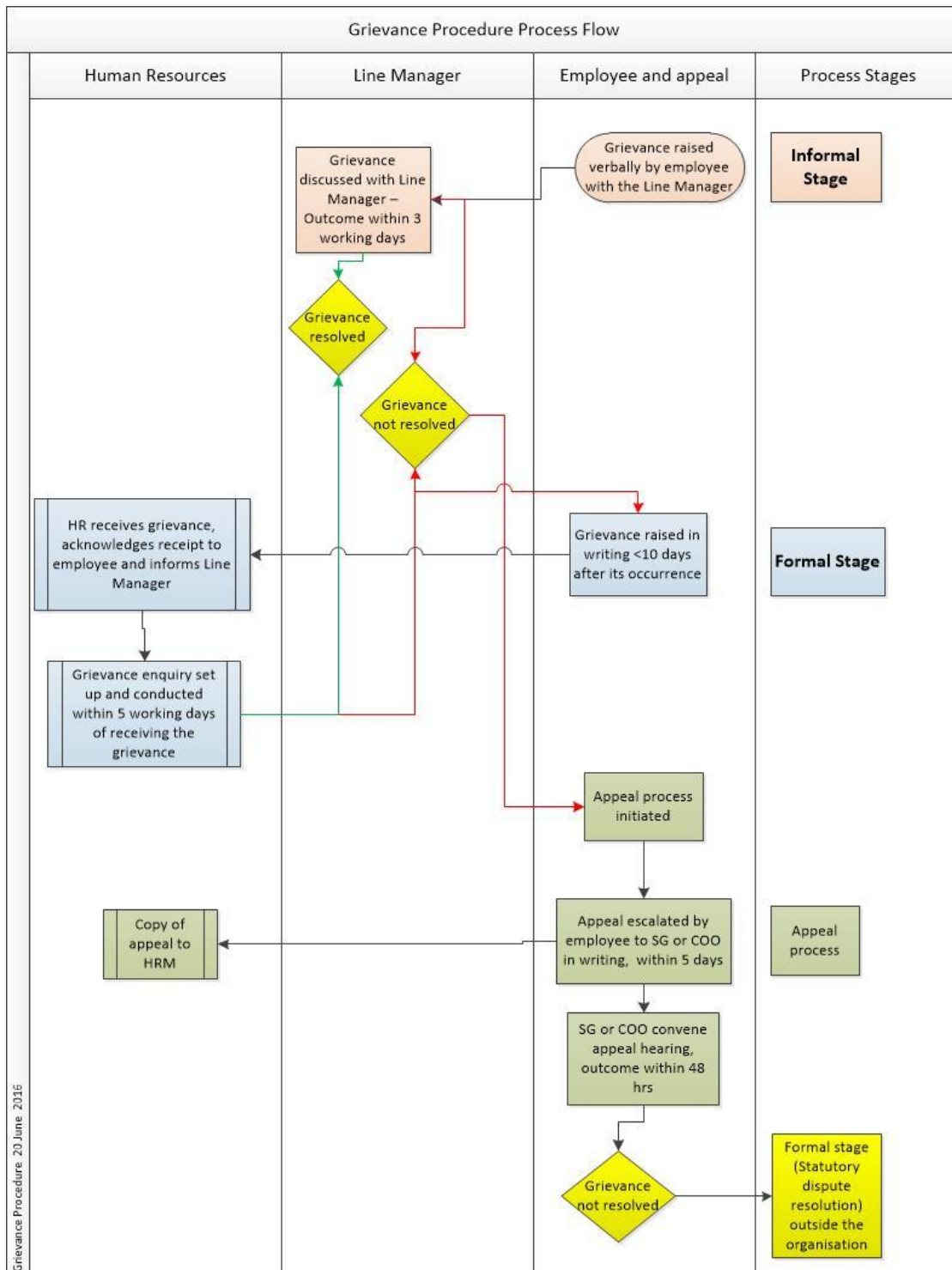
##### Stage 2 – Grievance investigation

- The COO shall, within 3 (three) working days of receiving the form arrange a grievance investigation.
- The investigation will include the employee, the Line Manager, the HRD Manager and a witness, if any.
- During the investigation an effort must be made to settle the grievance and the COO must comment in writing regarding the findings. This will be completed within 3 (three) working days of the grievance investigation having been completed.
- If the employee is not satisfied with the findings of the grievance investigation the matter will be handed to the SG.

##### Stage 3 – Secretary General (SG)

- The employee concerned may refer the grievance and the COO's findings of the grievance investigation to the SG.
- The grievance must contain a complete explanation of all the facts relating to the matter, and must detail the employee's demands for relief.
- The SG will arrange a meeting with the employee and having considered the matter, inform the employee in writing of the decision with 7 (seven) working days.

- If the employee is not satisfied with the SG's decision the employee may make use of the appropriate statutory dispute settling mechanisms defined in the Labour Relations Act.



*Figure 7 Grievance Process Flow*

## **V. Responsible Management of Impacts on Society**

### **5.18 SO1 – Impact of activities on the wider community**

As CIVICUS operates globally, often at the national and regional level, we do not collect standard data regarding impact on communities since our work and influence is often done indirectly through members or partnership organisations.

Effective implementation of the six core processes of our Impact Planning and Learning Framework (IPLF) -assessment and planning, monitoring, reviews, valuations, reporting and learning - is the main policy action for ensuring that we assess and manage the impacts of operations on communities, including entering, operating, and exiting.

CIVICUS' new projects and proposal development guidelines are our other tool for ensuring that projects design is sufficiently able to yield expected positive changes for users while avoiding or minimizing any potential negative impacts. The guidelines require that clear implementation and exit strategies, risk assessment, problem analysis, and proper understanding of the stakeholders, targets and project locations are met before a new project or proposal is approved.

CIVICUS utilises the Annual Constituency Survey to monitor our performance against a range of indicators. This is an effort to capture the impact of CIVICUS work by measuring the perceptions along the broad range of actors that CIVICUS engages with, including partners, donors, sub-grantees and members.

The Annual Constituency Survey tracks the following: civil society effectiveness, improved influence, civil society connections, civil society operations and civil society research. As Per the results CIVICUS will focus additional efforts on enhancing the enabling environment in which civil society operates, as well as building meaningful connections between civil society actors in the next years.

### **5.19 SO3 – Process for ensuring effective anti-corruption policies and procedures**

All newly adopted policies are shared with staff and newly appointed staff are inducted and trained on all organisational policies. Two directly relevant documents are CIVICUS' Fraud Prevention policy and Information Privacy policy in CIVICUS Staff Handbook 2014 Revision. The Fraud Prevention Policy is important for protecting the organisation, its operations, its employees and its assets against financial risks, operational breaches and unethical activities. This policy covers all CIVICUS employees and officers. Additionally, this policy covers all CIVICUS vendors, customers and partners to the extent that any CIVICUS resources are involved or impacted. CIVICUS takes all necessary precautions to protect the organisation from losses due to fraud. Fraud and other irregularities include illegal acts such as theft, deception, manipulation of accounting entries, bribery, and corruption. The objective of the Information Privacy Policy is to spell out acceptable practises/uses of CIVICUS IT Infrastructure and the data created, stored or transmitted using parts of the infrastructure.

#### 5.20SO4 – Actions taken in response to incidents of corruption.

CIVICUS has not had any corruption incidents reported, however, the policy provides guidelines on how to go about reporting such cases. Regarding fraud and corruption analysis, CIVICUS is informed by its external auditors annually on the latest fraud and corruption schemes. The auditors also provide advice and tools to deal with these threats. In addition, CIVICUS receives daily updates from bankers on phishing schemes, etc., who also provide free security software as mitigation.

To address fraud and corruption prevention CIVICUS works with external auditors specialised in not for profit organisations. Our auditor's NPO clients and CIVICUS' NPO community share a list of providers and grantees that have acted in inappropriate/fraudulent ways with funding (an unofficial blacklist). Furthermore, the external auditors act as an independent fraud and corruption hotline for CIVICUS and advise management or the board on appropriate action to be taken.

In addition, CIVICUS employs a partner checklist (completed by project coordinators and assessed by the COO who verifies and ranks each new and existing partner against set criteria (including pre-set criteria from funders. CIVICUS also employs reporting and payment schemes through sub-partnership agreements that allows monitoring of partner activities and withhold funding, as appropriate. Finally, CIVICUS uses new technologies to filter for cyber-attacks on data (including membership and donor details), and have access to forensic experts and investigators that act immediately on instruction.

## **VI. Responsible Management of Impacts on Society**

#### 5.21 PR6 – Programmes for adherence to laws, standards and voluntary codes related to ethical fundraising, including advertising, promotion and sponsorship

CIVICUS ensures that any fundraising or marketing communications comply with generally accepted ethical and cultural standards. These are supported by CIVICUS' five basic principles (justice and equality, reciprocity, knowledge, vision and principled courage) and all CIVICUS programmes, projects and activities uphold the UNDHR. In terms of communications and marketing, CIVICUS does not formally adhere to any standards or voluntary codes related to advertising, marketing communication or promotions activities. In addition, CIVICUS adheres to South African law. CIVICUS' membership database is carefully managed to ensure the privacy of our members is upheld.

CIVICUS has in place a Resource Mobilisation Policy in line with Ethical Fundraising Guidelines and the Accountability Charter. This policy ensures that resource mobilisation activities are carried out in a manner that is consistent with CIVICUS' vision and mission; complies with all applicable laws and regulations; and accurately reflects CIVICUS' programme activities and resource requirements. This document is linked with the CIVICUS Corporate Identity and Style

Guidelines and the Strategic Directions, which in turn is reflected in Operational Plans and other policies (e.g. Volunteer Policy).

Promotional activities are undertaken in line with CIVICUS explicit values regarding knowledge, reciprocity and principled courage. Internal procedures, including approval process with senior management, project leaders and managers are in place to ensure accuracy and truthfulness in promotional pieces. During the reporting period, CIVICUS did not undertake any paid advertising for its programmes.

CIVICUS does not sell any products or services, except publications in association with established publishers. All other resource materials produced by CIVICUS are freely available via its website. In terms of the number of complaints received CIVICUS did not receive any complaints during the reporting period for breaches of fundraising or marketing communications standards in relation either to affected stakeholders, or to the rights of donors.





**ANNEX I: CIVICUS Organogram (see attached document)****ANNEX II: Summary Analysis: Internal factors of success and risk as of June 2016**

Finance	Human Resources	Membership	Outreach
Financial growth, necessitating review and adjustments to Board-approved budget in 2016	Significant increase in staff contingent due to increase in programme funding, which will need to be managed in terms of sustainability through project-based contracts	Continued positive growth, but implementation of targeted recruitment plan necessary to meet organisational membership targets and address gaps in under-represented regions	Website migration to a new server resulted in several periods of civicus.org being offline however, this was mitigated by focusing 'down' time on weekend and other low traffic periods
Substantive increase in income (just over \$9 million for 2015/16) could require adjustments to the current budget, while new donor relationships should help mitigate CIVICUS' over-reliance on one donor	Securing in-country work permits continues to be a challenge. However, this is being mitigated by initiating in-country hires, exercising secondment option, as well as establishing and enabling virtual teams	Undertook extensive consultation process to inform the migration to a new CRM for membership management (Dynamics) completed; this should address limitations in current civiCRM system	CIVICUS web and social media continued to grow and steady pace, while the most impressive gains were made in 'media' hits, which totalled 176 compared to 43 during the previous 6-month period
5 year pipeline with secured funding at 60% and an average yearly target that would cover all core and project capacity	The organisation identified in April 2016 that it would expand to 70 staff by June 2017		
Cash on hand has been lowered from "high risk" to "low risk"	The benefit of having an HRD manager being employed for almost a year has had a huge benefit for the organisation as it has allowed for consistency in management of this portfolio		
As of June 2016 we are in a cash surplus investment position			

### Annex III: Organisational Dashboard

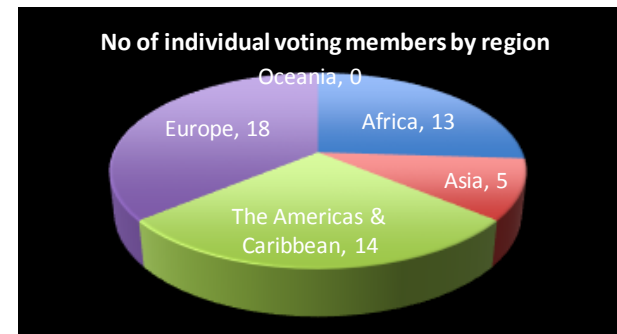
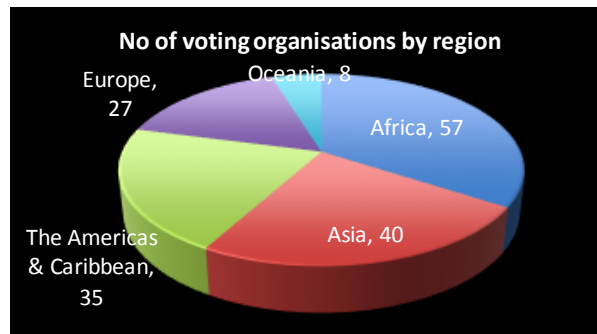
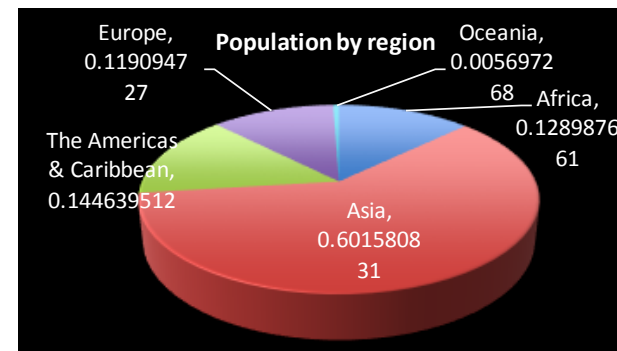
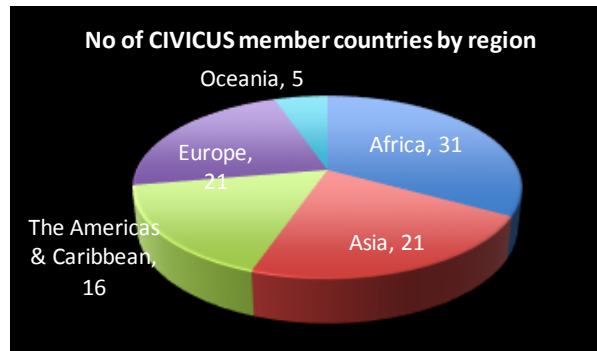
#### CIVICUS BOARD DASHBOARD AS AT END JUNE 2016

FINANCES In \$'000, cumulative for financial year to date (i.e. Jan-Dec until 2013, then July-Sept from 2013)

Intervals:	Yearly				Quarterly					
Detail / Month	31-Dec-12	30-Jun-13	31-Dec-14	31-Dec-15	31-Mar-15	30-Jun-15	30-Sep-15	31-Dec-15	31-Mar-16	30-Jun-16
Actual Income	\$ 3,035	\$ 1,980	\$ 2,794	\$ 2,794	\$ 3,082	\$ 4,944	\$ 3,577	\$ 5,687	\$ 6,691	↑ \$ 7,728
Actual Expenditure	\$ 3,064	\$ 1,663	\$ 2,437	\$ 2,437	\$ 2,892	\$ 4,762	\$ 2,260	\$ 4,335	\$ 6,156	\$ 7,359
Cash on hand	\$ 409	\$ 647	\$ 26	\$ 26	\$ 1,304	\$ 1,758	\$ 1,319	\$ 907	\$ 3,647	\$ 2,710
Board reserves	\$ 204	\$ 528	\$ 643	\$ 643	\$ 643	\$ 643	\$ 837	\$ 837	\$ 837	\$ 837
Ratio of liquid assets / liquid liabilities	6.51	5.68	8.44	8.44	8.44	13.98	12.30	12.30	14.81	14.81
Subgrants disbursed	\$ 97	\$ 245	\$ 243	\$ 243	\$ 284	\$ 584	\$ 659	\$ 1,377	\$ 1,721	✓ \$ 1,773
Number of Subgrants disbursed									165	191

#### CIVICUS MEMBERSHIP

Intervals:	Yearly				Quarterly (new Membership Strategy commenced in January 2014)					
No of / Membership Type	31-Dec-12	31-Dec-13	31-Dec-14	31-Dec-15	30-Dec-15	30-Jun-15	30-Sep-15	30-Dec-15	31-Mar-16	30-Jun-16
Overall members	1,027	1,128	1,171	2,054	3,154	2,630	2,971	3,154	3,360	↑ 3,562
Voting organisations	92	116	143	105	153	125	143	153	169	✓ 177
Individual voting members	-	41	41	24	37	30	31	37	37	40
Associate organisations	-	-	-	347	779	532	719	779	831	898
Associate individual members	935	971	987	1,577	2,182	1,941	2,076	2,182	2,320	2,442
Corporate affiliates			New Cat	1	3	2	2	3	3	5
Countries covered*	111	124	125	147	155	166	172	174	176	176
Countries with voting members	43	50	51	22	61	68	76	85	91	✓ 94
Membership income in that period	\$ 23,806	\$ 13,280	\$ 6,102	\$ 11,167	\$ 11,167	\$ 7,246	\$ 14,546	\$ 11,167	\$ 22,446	↑ 30,766



OUTREACH									
Indicators (at quarterly intervals)	30-Jun-14	30-Sep-14	31-Dec-14	28-Feb-15	30-Jun-15	30-Sep-15	31-Dec-15	31-Mar-16	30-Jun-16
Website visits (unique visitors per month)	20,449	25,087	88,004	17,644	32,926	29,927	13,560	31,428	42,287
Facebook fans (end of period)	21,211	24,369	26,469	27,396	30,418	31,756	32,143	33,679	35,053
Twitter followers (end of period)	..	2,588	3,180	3,560	4,469	5,492	6,060	6,860	7,900
e-CIVICUS distribution list (end of period)	5,862	..	6,037	5,935	6,140	6,050	5,978	5,853	5,731
Media 'hits' (quarter total)	..	..	30	18	25	74	45	127	127
Outputs (reports, statements) (period total)	21	22	18	16	24	25	23	26	19
Op-eds (period total)	..	..	4	1	4	6	4	4	9

## Annex IV: Draft Framework of Environmental Policy



CIVICUS House, 24 Gwigwi Mrwebi Street,  
Newtown 2001, Johannesburg, South Africa  
PO Box 933, Southdale 2135,  
Johannesburg, South Africa  
tel +27-11-833-5959  
fax +27-11-833-7997  
email [info@civicus.org](mailto:info@civicus.org)

1775 Eye Street NW Suite 1150  
Washington, DC 20006, USA  
tel +1 202 331 8518  
fax +1 202 331 8774

[www.civicus.org](http://www.civicus.org)

### CIVICUS: World Alliance for Citizen Participation ENVIRONMENTAL POLICY

#### 1. Introduction and aim

**CIVICUS: World Alliance for Citizen Participation** (hereinafter "CIVICUS") recognises that it has a responsibility to the environment beyond legal and regulatory requirements. We are committed to reducing our environmental impact, and continually improving our environmental performance as an integral part of our business strategy and operating methods. We will encourage partners and members to do the same.

#### 2. Responsibility

CIVICUS Management, under the leadership of Secretary General Danny Sriskandarajah, is responsible for ensuring that the environmental policy is implemented. However, all employees have a responsibility in their area to ensure that the aims and objectives of the policy are met.

#### 3. Objectives

During the period of 2016-2017, we aim to:

- Comply with and exceed all relevant regulatory requirements.
- Continually improve and monitor environmental performance.
- Continually improve and reduce environmental impacts.
- Incorporate environmental factors into business decisions.
- Increase employee awareness and training.

#### 4. Targets

To achieve these aims, we commit ourselves to the following:

##### Paper

- We will minimise the use of paper in the office as much as possible by utilizing digital and electronic processes to eliminate unnecessary wastage.
- We will reuse and recycle all paper where possible.

##### Energy and Water

- We will seek to reduce the amount of energy used as much as possible.
- Lights, the air conditioning system and electrical equipment will be switched off when not in use.
- Air conditioning will be adjusted with energy consumption in mind.
- An effort will be made to keep all external doors of CIVICUS House closed to conserve heat.

- The energy consumption and efficiency of new products will be taken into account when purchasing.
- Facilities will be maintained to such as fashion as to prevent unnecessary wastage through disrepair and/or negligence.

#### **Office Supplies**

- We will evaluate if the need can be met in another way before purchasing any new equipment.
- We will evaluate the environmental impact of any new products we intend to purchase.
- We will favour more environmentally friendly and efficient products wherever possible.
- We will reuse and recycle everything we are able to.

#### **Transportation**

- We will promote the use of meeting alternatives such as e-mail or video/phone conferencing where possible.
- All staff and consultants working on behalf of CIVICUS are strongly recommended to make use of shared transportation where possible.

#### **Maintenance and Cleaning**

- Cleaning materials used will be as environmentally friendly as possible.
- Materials used in office refurbishment will be as environmentally friendly as possible.
- We will only use licensed and appropriate organisations to dispose of waste.

#### **Culture**

- We will involve staff in the implementation of this policy, for greater commitment and improved performance.
- We will update this policy at least once annually in consultation with staff where necessary.
- We will work with partners and sub-grantees where possible to improve their environmental performance.
- We will use local labour and materials where available to reduce CO2 and help the community.

#### **5. Monitoring and auditing**

Progress against these objectives will be monitored through a number of mediums including:

- Annual management review of this environmental policy and any associated environmental procedures (*first review commencing in July 2017*)
- Regular internal audits of environmental procedures.
- Monthly staff meetings.
- Review and staff input at annual Staff Retreat (*first instance commencing in May 2017*).

This environmental policy is available on [SharePoint](#). All members of staff will receive an Induction on the environmental responsibilities of their role, and will be informed of any updates or revisions via e-mail or staff meetings.

For any issues related to Environmental Policy linked to this organisation please contact:

**Signed:**



Name: Bettie van Straaten  
For: CIVICUS: World Alliance for Citizen Participation  
Date: 13 December 2016