



The Scottish Independent Advocacy Alliance

# **Independent Advocacy: An Evaluation Framework**



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# Introduction to Independent Advocacy: An Evaluation Framework

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*"Not everything that can be counted counts and not everything that counts can be counted."*

Albert Einstein

## **What is Independent Advocacy?**

Many of us find it difficult, at times, to get our voice heard about decisions or actions that affect our lives.

Independent advocacy aims to help safeguard people; it helps individuals to make their voice stronger and to have as much control as possible over their own lives, supporting them to express their own needs and make their own informed decisions. Independent advocates support people to gain access to information and explore and understand their options. They speak on behalf of people who are unable to speak for themselves, or choose not to do so. They safeguard people who are vulnerable or discriminated against or whom services find difficult to support.

Advocacy is about broadening horizons and widening the options that people have. It is about speaking up if you notice that something is wrong. An effective advocate will observe the whole person and all aspects of their life. They will notice what is wrong in the person's life, things that the person tolerates perhaps because they do not know any different, and tries to address them. Independent advocacy can not only help improve services for individuals, it can improve services for all people.

## **What is the purpose of this document?**

This framework has been developed to fit with the *Principles and Standards for Independent Advocacy* and the *Code of Practice* to provide a consistent approach to the monitoring and evaluation of independent advocacy. It aims to provide a means to ensure that the advocacy delivered in Scotland is effective and of a good quality. The monitoring and self assessment elements of the framework will help organisations consider their practice, making changes where necessary, while the guidance on external evaluation will provide the opportunity to demonstrate that organisations are fulfilling their contractual obligations and providing good quality advocacy.

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### **What is evaluation and monitoring?**

Evaluation is the process of making a judgement about how successful a project has been in achieving its stated aims. Monitoring is gathering evidence on an ongoing basis to ensure that a project is doing what it said it would do. Evaluation and monitoring can also help an organisation in identifying areas for improvement.

### **Why monitor and evaluate?**

There are a variety of reasons for undertaking both evaluation and monitoring. Both processes are potentially useful tools to help organisations learn about what does and doesn't work, they can support forward planning and development of the organisation and they can help in the recognition and celebration of success. Funders will require evidence that their funds are being used effectively and for the intended purpose, monitoring and evaluation processes will help produce evidence demonstrating this. Organisations may also want to gather such information to demonstrate the quality of their service to potential clients or referrers.

There are challenges in monitoring and evaluation. They can take time and can use scarce resources; they can feel like an additional burden to be added to the day to day work. When evaluating a project, deciding on and measuring 'soft outcomes' such as improved confidence and self esteem can be very difficult.

### **How was the Evaluation Framework developed?**

The Evaluation Framework was developed by advocates for advocacy organisations. It was developed by a core group of individuals from independent advocacy organisations across Scotland who came together to form a 'Good Practice Working Group'. The Group was supported by the Scottish Independent Advocacy Alliance and all members of the Scottish advocacy movement were consulted at each stage of the document's development. Evaluation Support Scotland provided support and advice during the development of the framework.

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## How do we monitor and evaluate?

It is good practice for organisations to have robust systems for monitoring and evaluation in place. The SIAA document *Independent Advocacy: a Guide for Commissioners* states “Commissioners and advocacy organisations should be clear from the outset that as part of the Service Level Agreement there will be an agreed process for monitoring and evaluation”. The SIAA *Principles and Standards for Independent Advocacy* recommend that an independent external evaluation is undertaken every three years. In addition to this there are likely to be benefits to an organisation in establishing their own ongoing monitoring and evaluation processes. This framework aims to offer ideas for processes and tools that can be adapted by individual advocacy organisations to help them to evaluate and monitor their work.

This framework should be used in conjunction with both the SIAA *Principles and Standards* and the *Code of Practice for Independent Advocacy*. In order for the evaluation to be effective, the advocacy organisation needs to demonstrate, through practical examples, how it meets all of the Principles and Standards.

## What is the structure of the Framework?

There are three sections in this framework. The first considers gathering and analyzing numerical data and ‘soft’ outcomes, the second is a tool which can be used by organisations to measure their work against the *Principles and Standards for Independent Advocacy* and the *Code of Practice* and the third is a tool which can be used when undertaking an external evaluation. Such an evaluation could be undertaken by an independent consultant or by an external evaluation team.

The SIAA is aware that there are different types of independent advocacy and some bodies run as organisations, whilst others are called ‘groups’, ‘forums’ or ‘services’. For ease of reference the term ‘organisation’ will be used throughout this document.

As with the *Principles and Standards for Independent Advocacy*, this framework is designed primarily for use by independent advocacy organisations. The SIAA recognises that there are a number of organisations that provide advocacy as well as providing other services. For example, a carer’s organisation may provide care, advice and training as well as advocacy.

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The SIAA recognises that this is a pragmatic way of increasing the advocacy available to the people who need it most. However, as with independent advocacy, it is important that advocates work in a clear, accountable and transparent way. Therefore, the SIAA would encourage non-independent advocacy organisations to use this framework along with the *Principles and Standards for Independent Advocacy* and the associated *Code of Practice* to monitor and evaluate themselves, ensure that good quality advocacy is happening and that the people who use advocacy have confidence in the support they receive.

## Different of types of advocacy

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### **Citizen advocacy**

Citizen advocacy happens when ordinary citizens are encouraged to become involved with a person who might need support in their communities. The citizen advocate is not paid and not motivated by personal gain. The relationship between the citizen advocate and their advocacy partner is on a one-to-one, long term basis. It is based on trust between the partner and the advocate and is supported but not influenced by the advocacy organisation. The advocate supports their partner using their natural skills and talents rather than being trained in the role.

### **Group or Collective advocacy**

Collective advocacy happens where a group of people who are all facing a common problem get together on a formal basis to support each other over specific issues. Individual members of the group may also support each other over specific issues. The group as a whole may campaign on an issue that affects them all. A collective voice can be stronger than that of an individual, as groups are more difficult to ignore. Being part of a collective advocacy group can help to reduce an individual's sense of isolation when raising a difficult issue.



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### **Peer advocacy**

Peer advocacy happens when individuals share significant life experiences. The peer advocate and their advocacy partner may share age, gender, ethnicity, diagnosis or issues. Peer advocates use their own experiences to understand and empathise with their advocacy partner. Peer advocacy works to increase self awareness, confidence and assertiveness so that the individual can speak out for themselves, lessening the imbalance of power between the advocate and their advocacy partner.

### **Professional advocacy**

Professional advocacy is also known as one-to-one, individual or issue based advocacy. It is provided by both paid and unpaid advocates.

An advocate supports an individual to represent their own interests or represents the views of an individual if the person is unable to do this themselves. They provide support on specific issues and provide information but not advice. This support can be short or long term.

The aim of all models of advocacy is to help individuals gain increased confidence and assertiveness so that, where possible, they will feel able to self advocate when the need arises.

## Section 1

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### Gathering and analysing data

To check on progress and to demonstrate the difference made, organisations need to set up systems to gather and record numerical and 'soft' data and to establish baselines against which progress can be measured.

Many organisations will have their own methods of gathering and recording numerical data. Such data will be required for reports to funders as well as for the organisation. Analysis of these statistics can highlight areas to be focussed on depending on the level of detail recorded; it can also highlight any issues common to a number of people. Advocacy organisations, because of their independence from service providers, are well placed to inform organisations if issues with their services are highlighted in this way. It is not always easy to challenge services on issues but advocacy organisations can be in a position to raise issues with people at an appropriate level, not those 'at the coal face', thus ensuring that these are addressed.

#### Example 1

The East Coast Advocacy Project (ECAP) provides advocacy for adults with mental health problems in the local psychiatric hospital and in the community. They record the numbers of referrals received and break that down further into gender, ethnicity, age range, home postcode, in hospital or in the community and advocacy issue. Analysis of their statistics from January to June shows a month by month reduction in the number of referrals received from one of the hospital wards. They visit the ward and speak to patients and staff, from this they discover that their literature is no longer displayed in the ward and that, due to changes in staffing, there are several new staff members who had not been making sure patients were aware of the advocacy project. They start visiting the ward every month, taking their information literature and chatting to patients about the project. The number of referrals from that ward show a steady increase over the following few months.

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## Example 2

An older people's advocacy project has volunteer advocates some of whom advocate for a number of people who live in the same care home. When collating their statistics for the past month there were a number of referrals about the same issue. On looking into this further they realised that several people from the same care home had asked for an advocate to help them complain to the home about set mealtimes. The advocacy project arranged a meeting with the care home manager. The manager explained that they had been short staffed and had recently changed from offering a number of sittings for each meal to a set time for everyone; she agreed that they would offer more flexibility around mealtimes in the future.

In addition to numerical data organisations should identify what are the differences they want to make, the 'soft' outcomes, e.g. increased confidence and improved self esteem, and what evidence would show that these had been achieved, e.g. an individual feels more 'in control' of their situation. They also need to consider how to record such evidence. Capturing data on this can be challenging but can be achieved in a number of ways.

Organisations can establish day to day systems to gather information such as daily diaries in which advocates are encouraged to record evidence as it occurs. Such evidence could include quotes from advocacy partners or outcomes achieved e.g. a partner speaks up on their own behalf for the first time. For those organisations which have end of day or weekly staff meetings they could record any examples generated in daily work at these meetings. There are also traditional approaches to collect such information, questionnaires, interviews and focus groups. One or more of these methods could be used on a regular basis by organisations. These methods may also be used when conducting an independent evaluation.

Organisations may already have systems in place to gather this kind of information. It is worthwhile looking at what is already there and considering creative approaches to recording data.

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There are examples and guides to gathering such information to be found in the Evaluation Support Scotland website at [www.evaluationsupportscotland.org.uk](http://www.evaluationsupportscotland.org.uk). The website includes some interesting and creative ways of gathering information.

One creative example of gathering information, a 'Learning Tree', can be found in Appendix 1. This involves advocacy partners being invited to write any comments on the organisation or on their view of the advocacy provided on post it notes and attach them to a large drawing of a tree. This method can provide a degree of anonymity and can help ensure that people feel more comfortable if making negative comments as well as positive ones.

Analysis of such data allows organisations to check

- what differences have been made?
- were these the intended differences?
- have there been any unexpected differences made?
- what methods were used and which were most effective?

By building processes for data gathering and analysis into the day to day work an organisation can ensure that it is on track to achieve its stated aims. It is also likely that it will take less time to produce reports for funders.

## Section 2

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### Self assessment; measuring against the *Principles and Standards for Independent Advocacy*

The *Principles and Standards for Independent Advocacy* are written to apply to all forms of advocacy. Although diverse in their approaches and practice, advocacy organisations have more similarities than differences, and the core principles are therefore the same for all. Advocacy organisations may meet the standards in different ways but they should ensure that they do meet the standards or are working towards meeting them.

The self assessment tool can be used by an organisation to measure their work, procedures and structure against the *Principles and Standards for Independent Advocacy*.

Self assessment is useful in the process of helping organisations to learn more about positives and negatives in their working practice and will help in providing evidence to demonstrate the quality of their service. It will also help in identifying any areas for improvement.

The tool is divided into a number of sections with each section being further divided into one or more indicators. The indicators are divided to show which ones are the joint responsibility of advocates, other staff/volunteers, managers and the Board of Directors and ones that are the responsibility of the organisation (Board of Directors/Management Committee and manager).

For each indicator the organisation can note if they do or do not meet the indicator or if they are working towards meeting it. They can include in the *Details* box whether there are plans or developments towards meeting the indicator or, if there are no plans to meet the indicator, the reason for this.

Following each section there are spaces where the organisation can detail evidence of how the indicators are being met, things that the organisation believes work well and any obstacles they have encountered and details of plans and/or developments. The *What Works Well* box can also be used to record qualitative data such as feedback from individuals.

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Used annually, the information gathered using this tool can be compared with the previous year's information and will give the organisation a picture of progress made over the year. The findings can be used to inform development plans.

The tool can also be used as part of an external evaluation. Once completed, the self assessment can be examined by an external evaluation team in advance of the on site, external assessment process informing the scope of the evaluation by identifying areas that are self assessed as working well or that need further work.

One section of the tool gives space to include numerical records for the previous year. These can include monthly records of number of referrals received, number of people on waiting list and number of ongoing partnerships. This can provide an easily accessed means of comparison on a monthly and an annual basis and can include whatever statistics your organisation records. It can also give a picture of any unmet advocacy need.

The first section of the tool details a list of Policies and Procedures the organisation may have. This is not a definitive list of policies but aims to provide suggestions on the range of policies that may be needed. Organisations should consider what policies are needed for their specific circumstances as well as ensuring legal obligations are covered.

The self assessment charts can be found at Appendix 2 of this document. An electronic version of the chart can be found on the SIAA website at [www.siaa.org.uk](http://www.siaa.org.uk).

## Section 3

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### External evaluation

The SIAA document *Independent Advocacy: An Evaluation Framework* should be used by an external independent evaluator or evaluation team to demonstrate how individual independent advocacy organisations work in a clear and accountable way. It will help organisations to demonstrate the quality of the advocacy they deliver and ensure that the people who use advocacy have confidence in the help and support they receive.

An external evaluation can help organisations consider their position in the wider world, understanding the difference advocacy can make to individuals and the impact it can have on society.

This document should be used in conjunction with both the *Principles and Standards for Independent Advocacy* and the *Code of Practice for Independent Advocacy*. In order for the evaluation to be effective, the independent advocacy organisation needs to demonstrate, through practical examples, how it meets all of the Principles and Standards.

### *Frequently Asked Questions*

#### **What is the status of the *Evaluation Framework*?**

It is best practice for an independent external evaluation to be undertaken every three years, and the SIAA recommend that this *Framework* is used as a means by which to do this.

#### **Who is responsible for undertaking the evaluation?**

It is the joint responsibility of both commissioners and advocacy organisations to ensure that regular external evaluation is arranged. The evaluation can be undertaken by an evaluation team or by an independent consultant, but it is the responsibility of the advocacy organisation to ensure that it is carried out appropriately, in line with any service level agreements that the organisation may have.

#### **Why externally evaluate an independent advocacy organisation or group?**

The purpose of this document is to provide a framework through which an organisation can be evaluated. Advocacy organisations need to be evaluated to ensure that they are providing a quality service and help people that use advocacy services and others have

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a clear understanding of what they should expect from independent advocacy. An evaluation will show that an advocacy organisation is accountable and transparent and provide a level of quality assurance. Ultimately, the aim of the *Evaluation Framework* is to make sure that the people who use advocacy have confidence in the help and support they receive. External evaluation is important for an advocacy organisation in order to measure how effective it is and put in place systems to ensure continuous quality improvements in the advocacy provided.

*“Evaluation means making a judgement of how good something is, not just whether or not it has complied with a funding specification. It means looking at outcomes as well as activities, at relevance as well as numbers, at what could have been done as well as what was done.”*

*(Independent Advocacy: A Guide for Commissioners, Scottish Executive, 2001)*

Just like the need for advocacy organisations to be independent, evaluations should also be undertaken by an independent evaluation team or independent consultant and not by government officials, funders or commissioners. It should be an independent, external team or consultant because we want to ensure that there will be no conflict of interest and that there is an open, transparent evaluation process and report.

### **What exactly is an external evaluation?**

Evaluation is a formal assessment of the activities of a project. An effective evaluation requires that an assessment is carried out against stated criteria in a systematic way. A comprehensive evaluation of an advocacy organisation requires looking at its practices and outcomes and aligning these with the agreed *Principles and Standards for Independent Advocacy* and the objectives or mission statement of the organisation. It is important to remember that an external evaluation, does not involve assessing the individuals who work or volunteer for that organisation.

### **How often should external evaluations be carried out?**

The *Principles and Standards for Independent Advocacy* recommends that advocacy organisations should be evaluated every three years.



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### **How should an external evaluation be funded?**

The advocacy organisation will fund the cost of the external evaluation. When funding is agreed with funders, a specific amount of money will be ring-fenced for the purposes of evaluation. *Independent Advocacy: A Guide for Commissioners* recommends that commissioners “ensure that the advocacy organisation is given adequate funding to put in place robust monitoring systems and commission a regular independent external evaluation”.

### **How should the evaluation take place?**

The process of the evaluation may vary depending on the organisation or the evaluator or evaluation team but the *Principles and Standards for Independent Advocacy*, the related *Code of Practice* and this framework should be used in evaluating advocacy organisations. This ensures that evaluations undertaken across Scotland are done so in a consistent way and that evaluations are comparable year on year.

It may also be useful for an independent evaluator to seek further guidance depending on the type of advocacy being delivered, e.g. for citizen advocacy (*Learning From Citizen Advocacy Program Evaluation Standards*, (CAPE)).

### **How can you evaluate something that is not quantitative?**

External evaluators will assess the organisation in accordance with compliance with the *Principles and Standards for Independent Advocacy*. For some Standards, this will mean making subjective or qualitative judgements. Although subjective, it is important that the evaluator’s opinion is based on facts, and this is achieved through speaking to a wide range of people involved in the advocacy provision as well as looking at reports, case notes or complaints where necessary. Again, it is important to remember that it is the advocacy organisation that is being evaluated, not the paid or unpaid advocates. Conclusions are not necessarily easily formed, for example: an organisation that receives more negative criticism from those who use it, may be working with people who require support with more complex problems.

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### **Should the evaluation report be made public?**

In order to ensure transparency, it is best practice to publish a summary of the evaluation on the organisation's website and that hard copies are available upon request.

### **How will an external evaluation be carried out?**

In order for an evaluation to take place, several points need to be agreed between the people undertaking the evaluation, and the organisation being evaluated, these include, but are not exclusive to: when the evaluation will take place; who will be involved in the evaluation process (for example: members of staff, service users) and how will the organisation receive feedback.

### **What about confidentiality?**

It is expected that all information held by the advocacy organisation or group, except that of advocacy partnership files, will be automatically accessible to the evaluators. There will need to be specific negotiations for accessing advocacy partnership files (with the partners' consent and in compliance to the Data Protection Act 1998). Where this is not possible, the team leader of the evaluation and co-ordinator of the advocacy organisation or group will need to arrange alternative methods of gathering a picture of the activity of the organisation or group (e.g. anonymous case studies). Evaluators will also be expected to sign a confidentiality agreement before commencing an evaluation.

### **What happens after the evaluation takes place?**

The evaluation will identify the *Principles and Standards for Independent Advocacy* that the organisation complies with, as well as highlighting areas for improvement. Based on the areas that have been identified, the evaluators will present a series of recommendations to the advocacy organisation. It will then be the responsibility of the advocacy organisation and commissioner(s) to implement these recommendations; this can be done by drawing up an Action Plan, noting key steps to ensure that each Principle and Standard is met to the best of the organisation's ability, within an agreed timescale. There should be a follow up six months after the evaluation to look at what work has been done to implement the recommendations.

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## *Useful references*

*Principles and Standards for Independent Advocacy*  
(Scottish Independent Advocacy Alliance, May 2008)

*Code of Practice for Independent Advocacy*  
(Scottish Independent Advocacy Alliance, May 2008)

*Independent Advocacy: A Guide for Commissioners*  
(Scottish Independent Advocacy Alliance, December 2009)

*A Right Result? Advocacy, justice and empowerment*  
(Henderson and Pochin, 2001)

*Advocacy for Children and Young People within NHS Scotland*  
(Yorkhill NHS Trust, 2002)

*Independent Advocacy: A Guide for Commissioners and Supplement*  
(Scottish Executive, 2001)

*Key Ideas on Independent Advocacy*  
(Advocacy 2000, August 2000)

*Learning From Citizen Advocacy Programs*  
(O'Brien, 1987)

*Principles and standards in Independent Advocacy organisations and groups*  
(Advocacy 2000, January 2002)

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## Areas for assessment

In considering how successful an organisation has been in making a difference to people's lives it is important to remember that assessment should not be simply against stated desired outcomes.

When an individual requests the support of an advocate they may be looking for a certain outcome. It may be a practical issue such as changes to their housing, it may be to request a specific service or it may be to challenge an order under the *Mental Health (Care & Treatment) (Scotland) Act 2003*. Whatever the advocacy issue an advocate will support the individual to gather as much relevant information as possible and to consider possibilities and options.

The stated desired outcome may not always be achieved. However other major aims of advocacy will have been achieved in the process. The individual will have been encouraged and supported to express their views and wishes; they may feel they have more control over what happens to them. Through the process they may gain improved confidence and feel able, in the future, to speak up on their own behalf.

Independent advocacy can also have an impact on services and service development and on their local community. If an individual challenges bad practice or systems leading to improvements in services, these will be not only for that person but for all those using the service. Supporting individuals, and collective advocacy groups, to express their views can have an impact on how services are developed in an area.

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## **Making a difference**

- **Helping people to identify and express their choices, including accessing information with people in order to make these choices informed**

For example: accessing person centred services including Direct Payments, accessing information services, new skills, knowledge and experience gained by people.

- **Making sure people have the same rights and responsibilities as other members of society**

For example: informing people of their rights, working within the law, arranging legal support.

- **Supporting people to become full members of society**

For example: accessing resources and facilities available in the local community, challenging discrimination, making new friends in the community, developing new interests in the community, increase in self confidence and self esteem of people.

- **Giving people control over what happens to them**

For example: working alongside people rather than for them, promoting self advocacy, encouraging choice and appropriate risk taking, people gaining control of their finances, people getting their own home, arranging advance statements.

- **Helping people to prevent harm, abuse, injustice, inappropriate risk or crisis in their lives**

For example: poor practice challenged, good practice encouraged, supporting formal complaints, reporting abuse, preventing financial exploitation.

- **Influencing public and service views of the people it supports**

For example: the local community becoming more aware of the needs of the people the organisation or group supports, changes to local services.

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### **Delivery of Advocacy**

- Is the organisation meeting its aims and objectives?
- Are there any barriers to people accessing the organisation or group?
- Is the organisation or group meeting the needs of the people who use it?
- How flexible is the organisation or group in the way it works?
- Is the organisation or group doing what it is funded to do?
- How does the organisation or group prioritise its work? Are these the right priorities?
- How does the organisation or group find the people who might need it?
- How does the organisation or group work with people who cannot ask for help?

### **Equality**

- Are there any issues around groups of people accessing and using the service? For example, age, gender, ethnic background and geography? Are there any groups of people the organisation or group is not meeting the needs of? What is being done about this?
- Does the organisation or group have an Equal Opportunities Policy? Is it reflected in the way it works?
- If relevant, how accessible are the premises of the organisation or group to the people who use it?

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## **Independence**

- How independent is the management of the organisation or group? If conflicts of interest exist, how does the Board/Management Committee of the organisation deal with them?
- Does the organisation have premises that are independent of other service providers? If not, are there any issues with this?
- Are staff independent of other service providers? If not, how is this dealt with?
- Does the organisation seek more than one source of funding?

## **Funders or Service Agreements**

- How do funders support the organisation? Do funders provide link workers?
- Do funders have a way of learning from the work of the organisation or group?
- Does the organisation have a Service Level Agreement with its funders? Is it for a minimum of three years? Does it include a commitment to an independent evaluation? Is it appropriate for an advocacy organisation?
- How do funders make sure their staff know about the work of the organisation or group?

## **Recruitment, selection, training or orientation and support for the advocates, collective advocacy development workers or staff supporting volunteer advocates**

- How does the organisation or group recruit advocates or support staff?
- How does the organisation or group select and train or orientate advocates or support staff?
- How does the organisation or group support advocates and support staff once they have completed their basic training or orientation?

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### **Making sure advocates or support staff are working well**

- How does the organisation or group make sure advocates or support staff are working well? If it finds this is not the case what does it do?

### **Management Committee/Board of Directors and Staffing**

- How does the Management Committee/Board of Directors of the organisation or group work? Are any skills missing? What work do they take on? How do they share work with the manager?
- How does the Management Committee/Board of Directors communicate with staff and people who use the group or organisation?
- What level of knowledge does the Management Committee/Board of Directors and staffing have of the advocacy they are providing?
- How are the people who use advocacy involved in the Management Committee/Board of Directors and staffing of the organisation or group?
- How does the organisation or group manage its finances?
- How does the organisation or group deal with its administration?
- How are paid staff supported and supervised?
- How well is the staffing arrangement for the organisation or group working?
- What information does the organisation or group produce for other people about what it does?



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### **Policies and Procedures**

- How does the organisation record, meet and review the advocacy needs of the people it works with?
- How does the organisation recognise and deal with risks to staff and the people it works with? Do staff have CRBS checks?
- If people wish to complain about the organisation or group, what can they do?
- How does the organisation or group deal with personal information it receives about people who use it?
- How does the organisation deal with referrals?

### **External relationships**

- What is the relationship between the organisation or group and service providers and other local advocacy providers?
- How is the organisation involved in local planning and development meetings for independent advocacy?
- How does the organisation network with other advocacy organisations outside the area it works in?
- What is the impact of the organisation in taking forward common issues and influencing local planning?

### **Social policy and law**

- What knowledge does the organisation or group and its staff have on social policy and law affecting the people it works with?
- How does the organisation demonstrate or reflect knowledge in the work it carries out?
- Does the training programme reflect relevant social policy and law?

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### **Publicity and image**

- How effective is the publicity material the organisation or group produces?
- How does the organisation or group portray the people it works with?

### **Monitoring, review, development and evaluation**

- How effective is the monitoring and reviewing system the organisation or group has for its work?
- If relevant, are the development plans for the organisation or group reflected in the findings of the evaluation? Are there any other commissioning issues which have been raised in the evaluation?
- Have previous evaluation recommendations been implemented? If not, why not?

### **Statement of principles and standards**

- Does the organisation or group have any principles and standards for the work that it does?
- Does the organisation adhere to the *SIAA Principles and Standards for Independent Advocacy*?

## Conclusion

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Independent advocacy has been funded in Scotland for many years. There is now a widespread recognition of the importance of independent advocacy in preventing marginalisation and discrimination and in safeguarding those at risk. The publication of the *Principles and Standards for Independent Advocacy* and the associated *Code of Practice* contributed to this recognition and to a better understanding of independent advocacy.

Advocacy organisations have been working to demonstrate, openly and transparently, the value and quality of their work. This framework will provide ideas and tools to help advocacy organisations embed monitoring and evaluation processes into their day to day systems.

It is important to recognize and value the diverse approaches within Scottish advocacy. This framework takes account of such diversity and, used in conjunction with the *Principles and Standards for Independent Advocacy* and the associated *Code of Practice*, will provide individual organisations with a consistent way of demonstrating the quality of their work.

## Appendix 1: Learning Tree

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This is an example of the type of information gathering discussed in Section 1, Gathering and Analysing Data.

This method of gathering information can be used if your organisation has an accessible office that advocacy partners visit. It could also be used if the organisation holds an open day or arranges focus groups or other events.

The aim is to measure satisfaction and record feedback that advocacy partners give about your organisation and/or about their advocacy experience.

This method can provide a degree of anonymity and can help ensure that people feel more comfortable if making negative comments as well as positive ones.

You will need an outline of a tree (large) post-it notes (two colours), pens and pencils.

Explain to advocacy partners that you would like to know what they think about the advocacy support they have had and/or the organisation. Ask them to make comments on post-it notes (one colour for positive comments, the other for negative). Explain how long the tree will be up for, and that the comments will not be identified as coming from particular people.

Capture the evidence, either by photographing the tree, keeping the comments, or possibly copying the comments down.

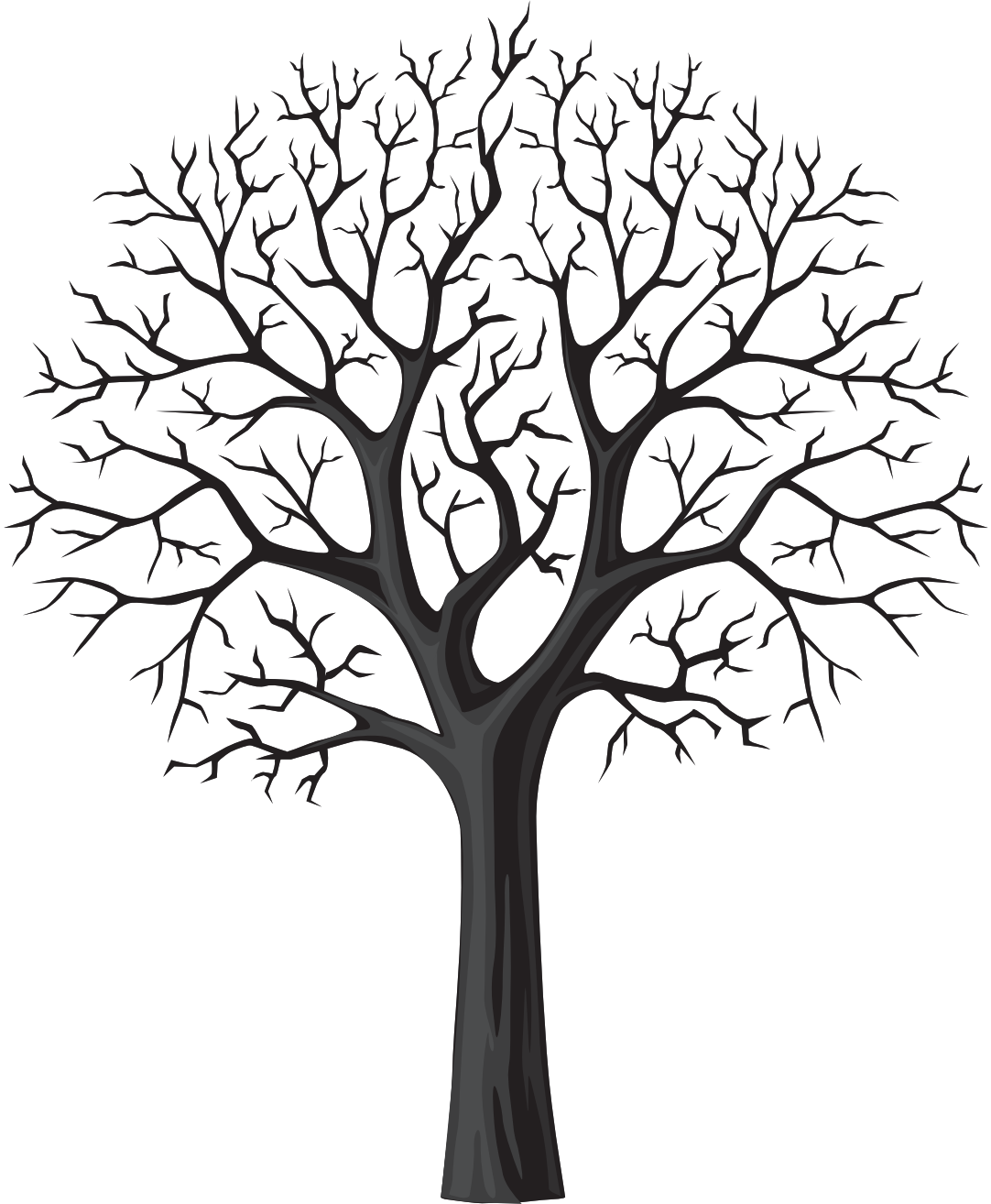


Illustration: © iStockphoto.com/LoopAll. Not for commercial reproduction.

## Appendix 2: Self Assessment

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### Policies and Procedures

It is the responsibility of the Management Committee or Board of Directors to ensure that relevant policies and procedures are in place and that they are reviewed regularly.

Organisations may wish to consider the following list when developing their own policies and procedures.

This is not an exhaustive list of policies. An organisation may not need some of these policies; an organisation may have different policies suiting their specific circumstances. It is important to ensure that any legal obligations are considered when developing a policy list. Organisations should also consider the policy needs arising from the type of advocacy they deliver and the community they provide advocacy for. Local Voluntary Organisation Councils can provide some help with sample policies and advice. The SIAA can provide help with specific advocacy policies.

- 
- |   |  |
|---|--|
| <input type="checkbox"/> Absence Management Policy                    | <input type="checkbox"/> Grievance Policy/Procedure                      |
| <input type="checkbox"/> Abuse and Neglect Policy                     | <input type="checkbox"/> Health and Safety Policy                        |
| <input type="checkbox"/> Access to Employee Data Policy               | <input type="checkbox"/> Induction Policy                                |
| <input type="checkbox"/> Accident Reporting Policy                    | <input type="checkbox"/> Internet/Email Policy/<br>Procedure             |
| <input type="checkbox"/> Advocacy Partnership/<br>Relationship Policy | <input type="checkbox"/> Lone Working                                    |
| <input type="checkbox"/> Annual Leave Policy                          | <input type="checkbox"/> Maternity/Paternity Policy                      |
| <input type="checkbox"/> Appraisal Procedure                          | <input type="checkbox"/> Monitoring, Review and<br>Evaluation Policy     |
| <input type="checkbox"/> Assigning the Appropriate<br>Advocate Policy | <input type="checkbox"/> Non-Instructed Advocacy<br>Policy               |
| <input type="checkbox"/> Bullying and Harassment Policy               | <input type="checkbox"/> Personal and Professional<br>Development Policy |
| <input type="checkbox"/> Case Management/Recording<br>Policy          | <input type="checkbox"/> Protection of Vulnerable<br>People Policy       |
| <input type="checkbox"/> Code of Conduct Policy                       | <input type="checkbox"/> Recruitment Policy                              |
| <input type="checkbox"/> Comments, Feedback and<br>Complaints Policy  | <input type="checkbox"/> Redundancy Policy                               |
| <input type="checkbox"/> Compassionate Leave Policy                   | <input type="checkbox"/> Referral Policy                                 |
| <input type="checkbox"/> Confidentiality Policy                       | <input type="checkbox"/> Respect for Diversity Policy                    |
| <input type="checkbox"/> Conflicts of Interest Policy                 | <input type="checkbox"/> Risk Assessment Policy                          |
| <input type="checkbox"/> Data Protection Policy                       | <input type="checkbox"/> Support and Supervision Policy                  |
| <input type="checkbox"/> Disciplinary Policy/Procedure                | <input type="checkbox"/> Volunteer Policy                                |
| <input type="checkbox"/> Employment Contract                          | <input type="checkbox"/> Volunteer Agreement                             |
| <input type="checkbox"/> Equal Opportunities Policy                   | <input type="checkbox"/> User Involvement Policy                         |
| <input type="checkbox"/> Finance Policy                               | <input type="checkbox"/> Whistle Blowing Policy                          |
| <input type="checkbox"/> Gifts Policy                                 |  |

# Self Assessment Tool

## Recruitment

### Organisations' responsibilities

Standard	Indicator	Yes	No	Working towards	Details
2.1	Disclosure and references are required for all staff and volunteers recruited.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
1.4	Equal opportunities policies are followed throughout the recruitment process.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	

*Example: The organisation has a recruitment policy which details equal opportunities procedures to be followed during recruitment and selection of staff.*

Evidence

What works well

Obstacles

Developments/Plans



## Training

### Joint responsibilities (Advocate's and organisations')

Standard	Indicator	Yes	No	Working towards	Details
1.3, 1.4, 2.2	Advocates/collective advocacy development workers are aware of and work within the policies of the organisation.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
1.3	Advocates/collective advocacy development workers receive training on the Principles and Standards for Independent Advocacy and on the Code of Practice.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
1.2	Advocates/collective advocacy development workers receive training in how to review the relationship with their advocacy partner or group, and how to record information.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
1.1	Advocates/collective advocacy development workers receive training in communication skills.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
1.3, 2.2	Advocates/collective advocacy development workers receive training on the organisations policies and procedures.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
1.3, 2.2	Advocates/collective advocacy development workers receive ongoing training including on relevant legislation and policy.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	

## Organisations' responsibilities

Standard	Indicator	Yes	No	Working towards	Details
1.3, 2.3	The organisation ensures that all its members receive training and information about the Service Level Agreement or Funding Contract and the community of interest.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
3.1, 3.2	The organisation provides information and/or training on independent advocacy to service providers.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
1.3, 1.4, 2.1, 2.2, 3.2,	The organisation ensures that everyone involved with it is trained and supported to promote the organisation and independent advocacy when attending events at a local and a national level.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
1.1, 1.2, 1.3, 2.1, 3.2	Introductory training is provided for all advocates on independent advocacy and the role of the independent advocate.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	

*Example: All volunteer advocates receive training on the Principles & Standards and the Code of Practice for Independent Advocacy and on the organisation's policies and procedures. All newly recruited advocacy workers shadow an experienced advocacy worker as part of their induction.*

Evidence	
What works well	
Obstacles	
Developments/Plans	

## Support for staff, volunteers and advocates

### Joint responsibilities

Standard	Indicator	Yes	No	Working towards	Details
1.1, 1.2, 2.1	All advocates/collective advocacy development workers have regular support and supervision or guidance.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
1.2, 1.3	Advocates/collective advocacy development workers are supported to access up to date, relevant information.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	

### Organisations' responsibilities

Standard	Indicator	Yes	No	Working towards	Details
1.1, 1.3, 2.2, 3.2	The organisation ensures that policies and procedures are easily accessed by all staff and volunteers.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	

*Example: Copies of the staff handbook containing all the organisation's policies and procedures are kept in the main office and are accessible for all staff.*

Evidence	
What works well	
Obstacles	
Developments/Plans	

## Advocacy relationship

### Joint responsibilities

Standard	Indicator	Yes	No	Working towards	Details
1.1, 1.2	Advocacy agreements are produced in a format suitable for the individual advocacy partner.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
1.1	Advocacy agreements are regularly reviewed.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
1.1	Information is given, in an appropriate format, to all advocacy partners about the organisation and independent advocacy.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
1.4, 2.1	Advocacy partners are encouraged to say what they think about the support they get.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
1.1	If working with people with severe communication difficulties or who lack capacity there is a Non-instructed Advocacy Policy and advocates follow NiA guidelines.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	

## Organisations' responsibilities

Standard	Indicator	Yes	No	Working towards	Details
2.3	Consideration is given to the needs and preferences of the advocacy partner before assigning an appropriate advocate.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
2.3	The organisation has a clear way of prioritising requests for independent advocacy and where possible, offers a choice of advocate.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	

*Example: The organisation gathers feedback from advocacy partners about the advocacy support they received. The organisation has a clear complaints procedure which advocacy partners are told about as part of the advocacy agreement.*

Evidence

What works well

Obstacles

Developments/Plans

## Management

### Organisations' responsibilities

Standard	Indicator	Yes	No	Working towards	Details
2.3	The organisation has its own Constitution and independent management structure.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
3.2	The organisation has a mission statement.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
3.2	The organisation ensures that all its staff and volunteers have clear job or role descriptions.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
2.3	The organisation has clear guidelines on what happens if a member of the organisation breaches policies and procedures, or endangers the health and safety of another.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
2.3	The organisation ensures all employees are paid a living wage, recognises trade union membership and ensures all employees have information on union membership.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
2.3	The organisation has ways to ensure that staff can contribute to the development and evaluation of the organisation.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	



*Example: The organisation has regular team meetings at which staff can put forward ideas and suggestions and can also be consulted on development plans.*

Evidence

What works well

Obstacles

Developments/Plans

## Funding

### Organisations' responsibilities

Standard	Indicator	Yes	No	Working towards	Details
3.1, 3.3	The funding contract or service level agreement does not contradict the Principles of Independent Advocacy.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
2.3	The organisation seeks more than one source of funding.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
2.3	The organisation tries to make sure it has enough resources to do its work properly.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	

*Example: The Management Committee ensures that all money, property and resources are properly used, managed and accounted for. The organisation has suitable recording systems in place which are kept up to date.*

Evidence

What works well

Obstacles

Developments/Plans

# Independence

## Organisations' responsibilities

Standard	Indicator	Yes	No	Working towards	Details
3.1	The organisation is eligible for full membership of the SIAA.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
3.1	The organisation ensures that staff and volunteers of service providers and funders are not full members of the Board or Management Committee of the organisation.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
3.1	The organisation does not enter into any agreements which unduly direct, influence or restrict its work.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	

*Example: When asked by its funders to give details of postcodes and other potential identifiers along with the annual monitoring data the organisation refuses.*

Evidence

What works well

Obstacles

Developments/Plans

## Policies

### Organisations' responsibilities

Standard	Indicator	Yes	No	Working towards	Details
2.1	The organisation makes relevant policies, procedures, annual reports and audited accounts available to the public.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
1.1	The organisation has and regularly reviews their policies and they have the date of last review on them.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
1.1	All staff, volunteers and members of the Management Committee/Board of Directors receive training on policies where necessary.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	

*Example: The organisation has policies and procedures relating to all aspects of the work they do, they review all policies annually and ensure all staff and volunteers are kept informed and up to date on all relevant policies.*

Evidence

What works well

Obstacles

Developments/Plans

## Conflicts of interest

### Organisations' responsibilities

Standard	Indicator	Yes	No	Working towards	Details
3.1, 3.3	The organisation has procedures for identifying and managing any conflict of interest.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	

*Example: When recruiting staff and volunteers all candidates are asked at interview if they have any connections which might lead to a conflict of interest.*

Evidence

What works well

Obstacles

Developments/Plans

## Accessibility

### Organisations' responsibilities

Standard	Indicator	Yes	No	Working towards	Details
1.4, 4.1	The organisation presents the "community of interest" in a positive and respectful way.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
1.1, 4.1	The organisation produces accessible information about itself and about independent advocacy which is made available to all parts of the community.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
4.1	The organisation ensures that independent advocacy is free to the people who use it.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
4.1	The organisation tries to reach people who may find it difficult to access independent advocacy themselves.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
4.1	The organisation has accessible offices or meeting places or uses accessible meeting rooms where people can be involved, including the person's own home if this is required.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	

*Example: Advocacy staff visit wards in the local hospital each week to give information on advocacy and their organisation to patients.*

Evidence

What works well

Obstacles

Developments/Plans

## Monitoring, evaluation and development

### Organisations' responsibilities

Standard	Indicator	Yes	No	Working towards	Details
2.1	The organisation is aware of who uses independent advocacy, and uses this information to identify gaps and inform development.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
2.1	The organisation is open about the way it makes decisions and work it is going to do.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
2.3	The organisation provides reasonable information to the funders on its work while ensuring that the confidentiality policy is not breached.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
3.2	The organisation is eligible to join the Scottish Independent Advocacy Alliance for support, guidance and training, subject to membership criteria.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
2.1	The organisation has an independent evaluation carried out at least once in every three years.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	



## Joint responsibilities

Standard	Indicator	Yes	No	Working towards	Details
1.2	The views of advocacy partners are gathered, where possible, before the partnership ends, on what the impact of the advocacy has been.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
2.1	There are monitoring systems in place to record information on the work of the organisation.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	

*Example: The organisation records numbers of referrals received, numbers of advocacy partners/clients and numbers and types of issues presented.*

Evidence

What works well

Obstacles

Developments/Plans

## Roles and responsibilities of the management committee/board members

### Organisations' responsibilities

Standard	Indicator	Yes	No	Working towards	Details
3.2	Management Committee/Board members have clear role descriptions and understand their roles.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
3.2	Management Committee/Board members safeguard and promote the values and mission of the organisation.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
2.3	Management Committee/Board members ensure the organisation operates in an effective, responsible and accountable manner.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
3.3	Management Committee/Board members ensure that they inform other members if a potential conflict of interest arises.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	

*Example: The Board ensures that it recruits members with the necessary skills and experience, eg financial management or HR expertise*

Evidence

What works well

Obstacles

Developments/Plans

## Service user involvement

### Organisations' responsibilities

Standard	Indicator	Yes	No	Working towards	Details
2.1	The organisation ensures that service users are actively involved in planning and managing the service.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
2.1	The organisation ensures that service users are actively involved in delivering and evaluating the service.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	

*Example: The organisation has service user representation on its Management Committee.*

Evidence

What works well

Obstacles

Developments/Plans

## Organisational checklist

	Yes	No	Working towards	Details
The organisation has a current Servicer Level Agreement agreed with the funders/commissioners.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
The organisation has level of funding agreed in line with period covered by Service Level Agreement	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Funders have assigned a senior staff member as advocacy link officer.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Funders ensure their staff are trained on advocacy and the work of the organisation.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
<i>Example: There is a three year service level agreement detailing funding and expected level of advocacy provision.</i>				
Evidence				
What works well				
Obstacles				
Developments/Plans				
Total number of staff		Number of paid advocates		Number of volunteer advocates

## Statistics

	Referrals received	Number on waiting list	Ongoing partnerships	Referrals turned down
April				
May				
June				
July				
August				
September				
October				
November				
December				
January				
February				
March				