MFS II EVALUATIONS

Joint evaluations of the Dutch Co-Financing System 2011 - 2015

Civil Society contribution
towards achieving
the Millennium Development Goals

Country report

INDIA

July 2015

SGE **Stichting Gezamenlijke Evaluaties**

NWO
Netherlands Organisation for Scientific Research
WOTRO Science for Global Development

PREFACE

This report is one of a series of evaluation reports, consisting of ten reports in total, reflecting the results of the jointly-organised MFS II evaluation:
- eight country reports (India, Bangladesh, Ethiopia, Uganda, Indonesia, DR Congo, Liberia, Pakistan);
- a synthesis report (covering the eight country studies); and
- a report with the results of the international lobbying and advocacy programmes.

This series of reports assessed the 2011-2015 contribution of the Dutch Co-Financing System (MFS II) towards achieving the Millennium Development Goals, strengthening international civil society, setting the international agenda and changing decision-makers' policy and practice, with the ultimate goal of reducing structural poverty. On July 2nd, 2015, the reports were approved by the independent steering committee (see below), which concluded that they meet the quality standards of validity, reliability and usefulness set by the Ministry of Foreign Affairs.

MFS II has been the 2011-2015 grant framework for Co-Financing Agencies (CFAs). A total of 20 alliances of Dutch CFAs were awarded € 1.9 billion in MFS II grants by the Ministry of Foreign Affairs. CFAs receiving MFS II funding work through partnerships with Southern partner organisations supporting a wide range of development activities in over 70 countries and at the global policy level.

The MFS II framework required each alliance to carry out independent external evaluations of the effective use of the available funding. These evaluations had to meet quality standards in terms of validity, reliability and usefulness. The evaluations had to focus on four categories of priority result areas, as defined by the Ministry of Foreign Affairs, and comprise baseline assessments serving as a basis for measuring subsequent progress.

Out of the 20 alliances receiving MFS II funding, 19 decided to have their MFS II-funded activities evaluated jointly. These 19 alliances formed the *Stichting Gezamenlijke Evaluaties (SGE)*[1], which acted on their behalf in relation to the joint MFS II evaluation. The SGE was assisted by an 'Internal Reference Group', consisting of seven evaluation experts of the participating CFAs.

The Netherlands Organisation for Scientific Research (NWO/WOTRO) managed the evaluation and selected ten research teams to carry out the joint MFS II evaluation: eight teams responsible for carrying out studies at country level, one team responsible for the synthesis of these country studies, and one team responsible for the study of international lobbying and advocacy. Each study comprises a baseline assessment (2012) and a final assessment (2014). Research teams were required to analyse the effectiveness, efficiency and relevance of development interventions funded by MFS II. An independent steering committee was appointed to verify whether the studies met with the required quality standards. In its appraisal, the steering committee drew on assessments by two separate advisory committees.

[1] *Stichting Gezamenlijke Evaluaties can be translated as Joint Evaluation Trust.*

The evaluation has been implemented independently. The influence of the CFAs was limited to giving feedback on the first draft reports, in particular to correct inaccuracies. The contents and presentation of information in this report, including annexes and attachments, are therefore entirely the responsibility of the research team and/or NWO/WOTRO.
However, as SGE we are responsible for adding this preface, the list with parties involved and a table of contents, in the cases that the report is a compilation of several reports.
In addition we would like to note that when reference is made to individual case studies, this should be seen as illustrative examples, rather than as representative of a CFA's entire partner portfolio.

The Dutch CFAs participating in this unique joint evaluation are pleased that the evaluation process has been successfully completed, and thank all the parties involved for their contribution (see the next pages for all the parties involved). We hope that the enormous richness of the report will serve not only accountability but also learning.

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PREFACE AND ACKNOWLEDGEMENTS

This document provides the overview of the assessment of the MFS II evaluation for India. The document is divided into two parts, starting with an executive summary, then presenting some annexes directly related to the executive summary. In the executive summary we review the different parts of the evaluation, and discuss some of the main results, as well as the main challenges we are faced with. The technical documents on which this executive summary is based are included in the PDF-portfolio.

My thanks go to all contributing authors, including the advisors, for all the work they have done for this evaluation. At times, in line with the baseline evaluation, it has been a quite hectic exercise, not the least because of the severe time constraints we were faced with. Again deadline were extremely difficult to meet. Nevertheless, we succeeded, as a team, to complete almost the entire evaluation, including feedback rounds of the CFAs and SPOs, in time. The endline evaluation has again benefited a great deal from us being able to use background documents from the MFS organizations and the Southern Partner Organizations (SPOs). I am also indebted to the many people from the MFS organizations and SPOs who were willing to discuss their programs and projects with us, and who gave feedback on the draft endline reports.

Robert Lensink

Executive Summary India

1. Introduction

This report documents the assessment for the joint MFS II evaluations of development interventions in India. The assessment of the development intervention combines qualitative and quantitative methods as required by NWO (2011) and consists of three pillars. 1) An evaluation of the millennium development goals (MDGs) of projects financed through MFS II funds. 2) An evaluation on the capacity development of southern partner organizations (SPOs) who are involved in projects financed through MFS II funds. 3) An evaluation of the impact on civil society of SPOs who run projects that are financed through MFS II funds.

This report will finalize the MFS II evaluation that started in 2012 and builds upon the baseline report that was completed early 2013. This executive summary will report the main findings, describe the challenges we were faced with, and explain the methodologies we have used

The executive summary starts by describing the sample of MDG projects and Southern Partner Organizations (SPOs) that have been evaluated. Next, a country background will be given. Finally, summaries of the three pillars of the evaluation, the MDG evaluation, the evaluation of capacity development of SPOs and the civil society strengthening evaluation, respectively, will be provided.

2. The sample

Table 1 provides some basic information about the MDG projects and the SPOs that were evaluated for the three parts of the evaluation. The sample of MDG projects and the group of SPOs that are assessed on capacity development is provided to us by NWO-WOTRO.[1] The "original" sample for MDG has not been changed. However, regarding the capacity development (CD) evaluation some sample changes took place. Jamia Millia Islamia will not be evaluated since the funding relationship with the Dutch MFS organization stopped. Jamia has been replaced by the SPO DRISTI. Since the contract of the Dutch CFA with DRISTI stopped during the baseline, no endline analysis has been done. Reformed Presbyterian Church North East India will not be evaluated because of safety reasons. This SPO has been replaced by COUNT. The "Environmental trust for Sustainable Development", a SPO originally sampled for the CD evaluation, is dropped from the evaluation since there was no funding relationship anymore with an MFS organization. We did not replace this SPO since at the time we discovered that the funding relation had already ended, no sample changes were allowed anymore. Our final sample consists of 10 SPOs that are involved in the MDG evaluation, and 12 SPOs for the CD evaluation. For a description of the SPOs in the CD evaluation see Section 5.2.1. There are 8 SPOs that appear in both the MDG and CD evaluation. The sample for the civil society evaluation, that contains 10 SPOs, has been drawn during the summer of 2012.

[1] For details see NWO (2011), Call for proposals: Joint MFS II evaluation of development interventions at country level, NWO WOTRO. Section 6.8

Table 1: Sample

SPO	Extra Info	Alliance	MFS	CD	MDG	CS
BHVA: Bihar Voluntary Health Association	-	SRHR Alliance	Simavi	Yes	Yes	No
Forum for Integrated Development	-	ICCO Alliance	Icco	Yes	Yes	No
DRISTI	Replacement for Jamia Millia Islamia/Centre for culture, Media and Governance since it did not have a funding relationship. Since contract with DRISTI stopped already during the baseline, no endline analysis has been done.	People Unlimited		Yes	No	No
Jana Vikas	-	Communities of change	Cordaid	Yes	Yes	No
North East Diocesan Social Forum	Due to safety reasons the baseline evaluation was postponed	Communities of change		Yes	No	No
Rashtriya Gramin Vikas Nidhi (RGVN)		People Unlimited	Hivos	Yes	Yes	No
India - Christian Outreach Uplifting New Tribes (COUNT)	A replacement of Reformed Presbyterian Church North East India because of safety reasons	Woord en Daad	Red een kind	Yes	Yes	No
Samarthak Samiti (RFPCPGSS)	-	People Unlimited	Hivos	Yes	Yes	No
Shi Development Society/Indraprastha Public Affairs	-	Communities of Change	Cordaid	Yes	No	No
Smile Foundation	-	Together4Change	Wilde Ganzen	Yes	Yes	No
Vocational Training and Rehabilitation Centre	-	Woord en Daad	Red een Kind	Yes	Yes	No
Women's Rights Forum	Due to safety reasons the baseline evaluation was postponed. Endline also not done since Mama Cash closed the Mama Cash's Rights Forum grant on 15 May 2013 without having been able to get in touch with WRF	People unlimited	Mama Cash	Yes	No	No
LGSS	-	Icco Alliance	Icco	No	Yes	No
Pradan	-	Icco alliance	Icco	No	Yes	No
Cecoedecon	-	Icco alliance	Icco	No	No	Yes
Cenderet	-	Partners for Resilience	Cordaid	No	No	Yes
Centre for Sustainable Agriculture	-	People Unlimited 4.1	Hivos	No	No	Yes
Centre for Workers' Management	-	People Unlimited 4.1	Hivos	No	No	Yes
Gene Campaign	-	People Unlimited 4.1	Hivos	No	No	Yes
Gram Vikas	-	Icco alliance	Icco	No	No	Yes
Ninasam	-	People Unlimited 4.1	Hivos	No	No	Yes
Pritvhi Theatre	-	People Unlimited 4.1	Hivos	No	No	Yes
REDS Tumkur	-	Icco alliance	Icco	No	No	Yes
NNET (contact SPO)	Due to safety reasons the baseline evaluation was postponed; **Legal cell for human rights** is a subcontractor of NNET	Communities of Change	Mensen met een missie	No	No	Yes

SPO: Southern partner organization, MFS: Mede financieringsstelsel organisatie (Co-financing authority), CD: Capacity development sample, MDG: millennium development goal sample, CS: Civil society sample. Note that "Environmental trust for Sustainable Development", a SPO originally sampled for the CD evaluation, is dropped from the evaluation since there was no funding relationship with this SPO anymore. This SPO is not replaced by another SPO since the sample was already closed when we received this information.

3. Country background

Before describing some details of the evaluation, it is relevant to give some background information about India in relation to the projects and SPOs that we will evaluate. In recent years, India has been described as a clientelist state, a fragile state, and a state with skewed development priorities. However, even as the world's largest democracy remained resilient in the face of the global economic crisis, the country faces a critical challenge similar to several other BRICS counterparts – high growth has been accompanied by persistent pockets of poverty and inequality.

The country has seen a change in political regime almost with an overwhelming rejection of the path of policy inadequacy and corruption by bringing in the right wing party to power at the center. With about 35 per cent of votes the ruling party managed to secure 75 per cent of parliamentary seats. It has had 4 consecutive favorable monsoons, meaning better crops each year, after the elections of 2013 the oil prices have reduced, taking off the burden of subsidy and fiscal deficit partially from the government's shoulders. Manufacturing, infrastructure and energy are struggling back to track. But each of these indicators hides a deeper fragility which is stretching the undergirding of Indian society.

In 9 months of the current government's rule, there has been 200 and more vandalisation of churches across India. In Last two months has seen 5 in Delhi without a single arrest despite the CC TV footage. Minorities, Dalits and the urban women are sensing unfreedom in the name of Indian culture and its protection by male lumpens.

In terms of human development the following changes could be observed.

The HDI is an average measure of basic human development achievements in a country. Like all averages, the HDI masks inequality in the distribution of human development across the population at the country level. The 2010 HDR introduced the Inequality-Adjusted HDI (IHDI), which takes into account inequality in all three dimensions of the HDI by 'discounting' each dimension's average value according to its level of inequality. The IHDI is basically the HDI discounted for inequalities. The 'loss' in human development due to inequality is given by the difference between the HDI and the IHDI, and can be expressed as a percentage. As the inequality in a country increases, so does the loss in human development. India's HDI for 2013 is 0.586. However, when the value is discounted for inequality, the HDI falls to 0.418, a loss of 28.6 percent due to inequality in the distribution of the dimension indices.

India's HDI value for 2013 is 0.586— which is in the medium human development category— positioning the country at 135 out of 187 countries and territories. Between 1980 and 2013, India's HDI value increased from 0.369 to 0.586, an increase of 58.7 percent or an average annual increase of about 1.41 percent. India's progress in each of the HDI indicators increased. Between 1980 and 2013, India's life expectancy at birth increased by 11.0 years, mean years of schooling increased by 2.5 years and expected years of schooling increased by 5.3 years. India's GNI per capita increased by about 306.2 percent between 1980 and 2013.

The Gender Inequality Index (GII) reflects gender-based inequalities in three dimensions – reproductive health, empowerment, and economic activity. Reproductive health is measured by maternal mortality and adolescent birth rates; empowerment is measured by the share of parliamentary seats held by women and attainment in secondary and higher education by each gender; and economic activity is measured by the labor market participation rate for women and men. The GII can be interpreted as the loss in human development due to inequality between female and male achievements in the three GII dimensions. India has a GII value of 0.563, ranking it 127 out of 152 countries in the 2013 index. In India, 10.9 percent of parliamentary seats are held by women, and 26.6 percent of adult women have reached at least some secondary education

compared to 50.4 percent of their male counterparts. For every 100,000 live births, 200 women die from pregnancy related causes; and the adolescent birth rate is 32.8 births per 1000 live births. Female participation in the labor market is 28.8 percent compared to 80.9 for men.

The 2010 HDR introduced the Multidimensional Poverty Index (MPI), which identifies multiple deprivations in the same households in education, health and living standards. The education and health dimensions are each based on two indicators, while the standard of living dimension is based on six indicators. All of the indicators needed to construct the MPI for a household are taken from the same household survey. The indicators are weighted to create a deprivation score, and the deprivation scores are computed for each household in the survey. A deprivation score of 33.3 percent (one-third of the weighted indicators), is used to distinguish between the poor and nonpoor. If the household deprivation score is 33.3 percent or greater, the household (and everyone in it) is classed as multidimensionally poor. Households with a deprivation score greater than or equal to 20 percent but less than 33.3 percent are near multidimensional poverty. (Calderon and Kovacevic 2014).

The most recent survey data that were publically available for India MPI estimation refer to 2005/2006. In India 55.3 percent of the population are multidimensionally poor while an additional 18.2 percent are near multidimensional poverty. The breadth of deprivation (intensity) in India, which is the average of deprivation scores experienced by people in multidimensional poverty, is 51.1 percent. The MPI, which is the share of the population that is multi-dimensionally poor, adjusted by the intensity of the deprivations, is 0.282.

The coefficient of human inequality is a direct measure of inequality which is an unweighted average of inequalities in three dimensions mentioned above. In fact recent studies show that inequality of income has touched an all-time high in the last 35 years in India. Though the percentage of poor has come down substantially to about 22 per cent from 29.

Against this backdrop, several landmark rights-based legislation frameworks such as Mahatma Gandhi National Rural Employment Guarantee Act, Right to Education, Forest Rights Act and Right to Information Act emerged as cornerstones of enabling strategies. This also brought in to the fore about 2.5 million women as elected representatives in the third tier of governance through a constitutional mandate (73rd and 74th Amendment Act ,1992) Sustained focus on attaining high GDP growth rates with inadequate attention given to the pattern and inclusiveness of growth lies at the heart of India's development paradox. The NGO sector has played an important role in the process of transformation of this paradox into a conundrum.

In the last few years the the GOI passed a law after debating over 6 years in September 2013, called Land Acquisition Rehabilitation and Resettlement Act (LARR). This Act provided for consent of 80 percent of the landholders in an area and 70 per cent of people who are going to be affected (fishermen, landless laborers etc) by it for a private buyer. A social Impact Assessment by an independent agency was made mandatory prior to acquisition of land for any purpose by the government stating the intent, purpose and objective of acquisition. Compensation for rural land was to be 4 times the revenue circle rates (which means according to the quality of the land the tax you pay to govt, e.g. irrigated, unirrigated, rain fed etc.) and in urban and semi urban areas 2 times the circle rates. Certain exemptions were incorporated, such as Nuclear plants, railways, Dams for hydroelectric projects and Special Economic Zones (where standard labor laws would not be applicable and tax exemptions and subsidies by the govt would be provided to the investor).There was severe opposition to the Act from the farmers' side, because they found out that the accruing benefits of the land being taken from them are being sold to private industry at astronomical prices against the compensation that they receive. The Industry side opposed it because they found the whole process of social consent as a speed breaker in the development and growth process. The civil society raised the issue of "Development for whom?"

In December 2014, the newly elected NDA government through an ordinance (executive dictat when the parliament is not in session) diluted the consent clause and added some more exemption criteria to the law, which basically helped big industry and private developers in buying farm land. The Supreme Court received thousands of appeals for repealing this Act and the Ordinance.

In essence it is subjudice. But the debate of fair compensation and transparency in acquisition has spread all over the country along with Growth and Development. Given that it was an election year, states were very much tilted towards stemming the anger of common farmers and yet kept the door of negotiation with the big industry open.

3.1 Millennium Development Goals and the non-governmental sector

MDG 1

During the period between 1973-74 and 1999-2000, the incidence of poverty expressed as a percentage of people below the poverty line declined continuously from 54.9 per cent to 26 per cent. According to estimates produced by the India Development Foundation, the percentage of population below poverty line for 2004-2005, is 37.2 (41.8 for rural and 25.7 for urban India—following the Tendulkar Committee line(2009) and 28.3 for rural and 25.7 for urban – combined 27.5---following the National Sample Survey estimates).

One of the most enabling legislations for food security and employment generation in India is the MGNREGS. The Act was brought into force in 200 districts in 2005 and in 2008 expanded to cover the entire country. The MGNREGS differs from most poverty mitigation schemes so far in one fundamental way: it recognizes employment as a legal right. Its spill overs include boost to rural economy, financial literacy and inclusion, regeneration of community assets and greater gender equality. The scheme has been criticized by many researchers as well government documents for the rampant corruption in its implementation, as well as fabrication of information on eligible persons; delays in, and non-payment of, wages; works abandoned half-way; etc. However, there are some positives too of the programme like increasing agricultural wages, stopping temporary migration, creating employment in the lean agricultural seasons, etc. For a quick independent summary, see http://www.prsindia.org/theprsblog/?p=3013.

The five randomly selected projects under evaluation -D1, D2, D3, D5, and D6 (see Table 2 below) – deal with livelihood and entrepreneurial training, financial inclusion, social and community asset creations and mobilization of women's groups for financial sustainability and market access.

MDG 2

In the last decade, measures like enactment of the Right to Education (RTE) and flagship campaigns like Sarva Shiksha Abhiyan have universalized education shifting the focus from literacy to effective formal education, broadening the outreach of school education significantly. Also, with the opening up of the economy and the consequent rise in employment opportunities it provides, the emphasis has shifted to a form of education that can improve social and human capital and increase employment potential.

We have witnessed huge emphasis in government expenditure on elementary education with the budget outlay more than doubling from Rs. 152,847 crores in year 2004-05 to Rs. 372813 crores in 2009-10. However, the continuous increase in investments in the education sector has failed to improve education outcomes. The only strong improvement seems to be that nearly 96.5 percent children between the ages of six and fourteen years are enrolled in some form of school.

There are three projects in our sample that primarily focus on MDG 2: D4, D9 and D10 (see Table 2 below). These projects involve educational attainment, enrolment, outcomes, and access to children

between 6-14. These projects are also spread across both economically backward states to the more developed ones. The main parameters for assessment (of various educational interventions) purposes have been awareness about RTE and its mandate, community level involvement in educational outcomes, access of poor and the marginalized children to quality education.

MDG 4, 5, 6

The Government of India in 2005 initiated the National Rural Health Mission (NRHM). The Plan of Action included increasing public expenditure on health, reducing regional imbalance in health infrastructure, district management of health programs, community participation and ownership of assets, induction of management and financial personnel into district health system, and operationalizing community health centers into functional hospitals

India contributes the maximum number of maternal deaths (68 000) to the global estimate of 358 000 maternal deaths annually. The target for 2015 is 109 per 100 000 and though there has been a 17 per cent decline in MMR estimates from 254(2004-2006) to 212 (2007-2009), for India only 3 states in India have realized the MDG target and only 3 will follow suit. Around 47 per cent of children below the age of 5 years are malnourished which is comparable to most under developed economies of the world. This is not because of lack of resources but failure of governance and service delivery mechanisms.

The focus of the one project (D7, see below) selected for evaluation was on access and quality of services related sexual reproductive health. This is directly connected to maternal health care, decision making over reproductive priorities, strengthening law enforcement and access to judicial remedies and finally creating community level safeguards and support groups.

MDG 7

India, with over a billion people, only produces 660 billion KWh of electricity. Yet over 600 million Indians, have no access to electricity, and limited access to other clean sources of energy. Energy poverty is one of the barometers of the governance deficit we face in India.

However, there are also some serious concerns. Environmental clearance becomes a conflicting issue for mineral and energy development. Moreover, the access to forest and for especially those dependent on it for livelihood has become an issue of concern. Our sample only contains one project, D2, that partly focuses on MDG 7. This project, however, also aims to contribute to MDG 1.

Good Governance

Good governance in India is centered on accountability mechanisms for corruption (mainly defined in terms of collusive action and abuse of discretion), movements for protection of livelihood and resources, and transparency in political decision making process. The focus is on processes, delivery mechanisms, and setting indicators for evaluation. In 2005 India passed the Right to Information Act, which enables a common citizen to seek information from the Government within a stipulated period of time - the movements for transparency and accountability draws heavily on this Act. Our sample contains one project, D8, that aims to improve Good Governance. This project, as will be explained below, primarily aims to increase fund raising.

Analysis of civil society in India

The term civil society organization has acquired a loaded connotation in recent times. With one NGO (not for profit/trust/Community based organization) for 400 people, India had about 3.3 million registered NGOs in 2009. At the turn of the twenty first century, civil society organizations have mainly focused on issues of food security, livelihood protection, conservation of natural resources

and rights of the marginalized and issues of social justice and equity. In the last decade the civil society movement has taken a turn towards advocacy, implementation, monitoring and evaluation, and evidence based policy making.

In recent times the surge of protests against gagging of free media, pro corporate lobbying of political parties, land legislations which are bound to be declared ultra vires by the Supreme court and which has brought together small and middle farmers together against the government policy of non-transparent acquisition of land and inappropriate compensation process, demand for cleaner energy other than nuclear ones, focus of civil society on climate change, women's empowerment is seen to be the face of a changing India. It is certainly not the supine civil society one envisaged 5 years ago.

Using CIVICUS' criteria to assess the space civil society has to flourish in India, this space has changed slightly in the 2010 – 2014 period. Except for the right to food, the state slightly improved its commitments to ensure several other basic rights and the prevalence of corruption decreased slightly. The World Values Survey observes an improvement of people's happiness in the 2010-2014 period (38.2 percent) as compared to that of 2005-2009 (28.9 percent). No other changes occurred in comparison to the criteria used by CIVICUS.

However, during the MFS II period the GOI the government amended the Foreign Contribution Regulation Act (2011) which further restricted those persons and civil society organisations that can receive foreign contributions. Although this Act seemingly did not have consequences for the Dutch CFAs and their partners, a leaked report of India's International Bureau suggests that protests against (governmental) development projects were allegedly fuelled by foreign-funded NGOs, mentioning Greenpeace, Cordaid, Hivos, Oxfam, Amnesty and ActionAid[2]. These NGOs are allegedly funding organizations which are working in politically sensitive sectors such as the mining sector and the agricultural sector with regards to Genetically Modified Food production. Foreign contributions to support SPOs that work on human rights issues, governance and sensitive sectors like mining, forestry and agriculture are increasingly being monitored.

The last two years also saw a new funding opportunity emerging with the Companies' Act 2013 and the Companies' (Corporate Social Responsibility Policy) Rules 2014. The Act and the Rules demand that every company, private or public, with a net worth of Rs 5 billion or a turnover of Rs 10 billion or net profit of Rs 5 billion, will be required to spend at least 2 percent of its average net profit from the preceding three financial years on corporate social responsibility[3].

Analysis of organizational (capacity) development in India

We understand capacity development as a concept that focuses on understanding the obstacles that inhibit people, governments, international organizations and NGOs from realizing their goals and enhancing their abilities to achieve measurable and sustainable results. The ability to carry out effective work in this sector required training, perspective building, clear cut perception of goals and ability to generate a process for achieving the goal. Rights based approach, human rights based perspectives on entitlements, and innovative modes of approaching the issue of poverty and development were lacking in the personnel of this sector.

[3] Refer, http://www.business-standard.com/article/companies/an-overview-of-csr-rules-under-companies-act-2013-114031000385_1.html

The effective achievement of MDG goals within an appropriate policy framework, which takes into account the dimensions of diversity and democratic deficit, could only be bridged through an empowered and enabled civil society intervention.

4. Endline evaluation of MDG projects

4.1 Basic information

Table 2 provides basic information about the MDG projects in our sample. See Table A1 in Appendix 1 for an overview of the different MDGs. Table 2 gives the name of the projects, the MFS organization that is responsible; the SPO that runs the project and the starting date as well as the end date of the projects together with the available budget. The table also shows the main MDG the project focuses on, as well as the main outcome indicator, and the main interventions.

Table 2 shows that 5 projects focus on MDG 1. Project D1 aims to enhance the institutional capacities of four Micro Finance Institutions located in Orissa in order to improve the livelihoods of disadvantaged families (giving priority on women). D2 aims to improve livelihoods of minor forest produce collectors by organizing self-help groups and cooperatives which may help to break monopoly power of traders. This project also aims to sustain biodiversity, and hence also deals with MDG 7. D3 aims to improve the livelihood options of Indian small farm holding households involved in cotton cultivation through making their farming systems more sustainable and more profitable. Important interventions include trainings to farmers, organizing farmers into self-help groups (SHGs), support to farmer groups to develop a spirit of entrepreneurship, organizing exposure visits, writing and dissemination of training manuals in vernacular languages, maintaining functional certification (for organic cotton) and full functionality of the COFA website. D5 aims to improve livelihood options and alleviate the poverty of women by introducing them to small scale poultry farming. The main actions envisaged were trainings given to women to teach them to become poultry farmers. In addition, the project aims at the development of a coalition on broiler poultry farming so that members can collaborate with each other on technical expertise. D6 aims to create sustainable livelihood promotion through effective management of the cooperative where all the SHGs linked with the cooperative will manage the regular savings, loan disburse, loan refund and record maintenance. The main interventions include training and knowledge dissemination.

Table 2 also shows that 3 projects deal with MDG 2. D4 aims to ensure quality education for children aged 6 to 14 and provide vocational training for children aged 15 to 18. The project includes capacity strengthening in local organizations so as to enable them to initiate and lobby for better local educational policies, raising awareness of the importance of good education at the local level, and providing a life skills training and training in skills to stimulate income generating activities for youngsters. The main objective of D9 is to improve cognitive, non-cognitive and moral development of children by living in a foster home and/or attending a COUNT school. The interventions include vocational training, a foster home/educational component which provides for children living in foster homes and supports two schools, and scholarships for children living in foster homes and so-called VRF scholarships. The D10 project involves the setting up of 100 tuition centers for children in the primary school going age group (6-12) in order to help them perform better in school and to create higher educational aspirations.

One project, D7**,** focuses on improving MDG 3, 4, 5 and 6. The primary objective of this project is to alter/influence the strong son preferences of households through information dissemination and behavioral change campaigns. Also one project, D8, focuses on “good governance”. This project deals with fundraising. The main aim is to increase donations from the Indian middle class to benefit poor children. The ultimate goal is to establish a self-supporting funding mechanism.

The table clearly indicates the variety of project aims, and interventions. Even though several projects focus on similar MDGs and/or conduct seemingly similar type of interventions the projects are difficult to compare for details differ enormously. For example, in many projects trainings are conducted, but these trainings vary vastly: some focus on adults, some on children; some deal with fund arising issues, others with gender issues etcetera. The variety in project aims and project interventions makes it very complicated, if not impossible, to compare impacts of the different projects.

It should also be noticed that in almost all cases there are multiple interventions per project, such as different types of trainings for the project members, as well as for instance providing credit. This has complicated the impact analyses considerably for impacts are very difficult to disentangle. In general, we decided to evaluate entire programs. See the MDG reports for details.

4.2 Impact evaluation details

The evaluation needs to address five questions: 1) what changes in outcomes do take place during the 2012-2014 period? 2) are the observed results attributable to the project interventions of the SPOs (i.e. the impact of the intervention)?; 3) Are the observed results relevant to the project beneficiaries?; 4) Is the project implemented efficiently? and 5) what factors explain the findings, i.e. are there reasons why a project has been a success or not.[4]

The different MDG evaluations have been organized such that the five main questions can be answered as good as possible. For reasons of space, all details cannot be provided in this country summary. Yet, in this sub-section we try to summarize the impact evaluation information that is relevant in the light of the main evaluation questions. We will also point out some challenges we were faced with. In section 4.3 we will end the summary report on MDG by valuing each MDG project in terms of the main evaluation questions.

Table 3 provides basic information on impact evaluation details for the different MDG projects. The table gives information about the evaluation strategy used and the sample sizes. It also indicates whether evaluations suffered from serious attrition and/or power problems, which may affect the rigor of the analyses considerably. Finally it shows whether the intervention had a significant impact on the main outcome indicator, which has been specified in Table 2.

For all MDG projects, but D8, a household survey has been conducted. More in particular, we have used a common questionnaire for all MDG projects, and added per project, specific blocks which are related to the theories of change per project. Using these questionnaires we were able to identify the changes in the main outputs and outcomes per project over the project period. In the PDF-portfolio we add a document with details about the questionnaires used for each.

Theory of change

The first step in the MDG evaluation was obtaining a clear idea about the theory of change of each of the individual projects. This starts by clarifying the inputs used for the project. Subsequently, we examined the activities planned/undertaken by the SPO leading to the required outputs resulting in the desired outcomes. The outcomes are then translated to indicators specific to each of the projects. Where possible we tried to use uniform indicators for similar projects, e.g. general expenditures as a poverty indicator. Finally we have addressed possible risks which may degrade the theory of change. Since the contents of the MDG projects differ enormously there is not a comon

[4] For exact details see NWO (2011), Call for proposals: Joint MFS II evaluation of development interventions at country level, NWO WOTRO. Section 6.5

theory of change for all projects. The detailed theories of change per project are given in the individual MDG reports.

Impact evaluation methods

The MDG evaluation is predominantly done using quantitative evaluation techniques, although in some cases the quantitative analyses are supplemented with qualitative information, see MDG reports for details. In theory, the most rigorous quantitative evaluation method would be a randomized controlled trial (RCT) since an RCT, under certain assumptions, guarantees that control and treatment groups only differ due to the intervention. However, we could not conduct RCTs for we had to evaluate ongoing projects. In other words, we had to conduct retrospective evaluations that assess the program's impact after it has been implemented, using observational data. Yet, we tried to use the most rigorous evaluation methodology possible, given the content of the project, the availability of baseline and endline data, and possibilities to gather data for a comparison group. Obviously, given the variety of impact methodologies that could be used, the possibility to rigorously attribute a change in outcome variables to the intervention differs per project. For details on the precise methodologies used, see the individual MDG reports. Below, in section 4.3 we will explain how we value the different impact evaluation methods used.

D5 is the only project for which we were not able to conduct an endline since it was plagued by Naxalite activities.[5] Therefore, we assessed impact via a standard cross-sectional comparison methodology, using only one round of data. We realize that the results of this analysis may suffer from unobserved heterogeneity, and hence may not be due to the project intervention. We conducted a simple before-after analysis for the fund-raising project D8 as it was impossible to identify a comparison group. The obvious drawback here is that impacts may be caused by issues not related to the project for a comparison group has not been identified. We also organized a field experiment in order to examine different fundraising strategies, and to test the relevance of the $1:$1 matching investment mechanism used by the Action for Children (AfC) program in terms of raising funds from the middle class. For all other projects, two rounds of data have been collected, both for treatment and comparison groups. In these cases, we either used a double-difference (DD) methodology (for D1, D2, D3 and D4), possibly extended with propensity score matching, or two rounds of cross-sectional comparisons (D6, D7, D9 and D10). The advantage of a DD specification is that it controls for unobserved heterogeneity that does not change over time.

One of the main problems we were faced with is that most interventions related to the projects in our MDG sample have already been started (long) before the baseline data gathering took place. One project (D3) started in 2008, five projects (D1, D2, D4, D5, and D7) started in 2009, two projects (D6 and D10) started in 2010 and one project (D8) started in 2011. One project (D9) even runs already since 1993. Hence, all projects have been ongoing for several years. Since the baseline survey is not a "real" pre-intervention baseline, as it is not conducted before the program started, a DD methodology measures the incremental impact of the program, i.e. the impact of being "longer" in the program, and not the average impact of the program. Since for some projects it does not make sense to expect an incremental effect, the DD methodology is not appropriate. Therefore simple cross-sectional comparisons, again sometimes together with PSM, separately for the base and endline, are conducted for these types of projects. The obvious drawback of the latter approach is that it does not control for unobserved heterogeneity, and hence it may be the case that measured impacts are biased due to unobserved characteristics of the treatment and/or comparison groups.

Sample: Procedures, supervision and training

[5] The decision not to conduct an endline has been approved by the synthesis team and by WOTRO.

The questionnaires for the household surveys were designed in three parts: (a) information on demographics and household characteristics (a) information on key outcome indicators for the project objectives and (c) information on factors that theoretically could affect the outcomes. The first was a common set used for all the MDG evaluations. For information covering (b) and (c) there were overlaps for some of the projects while some were, obviously, unique to particular projects. Each questionnaire was translated into the local language with the help of local researchers keeping mind the various dialects in the project areas. The questionnaires were piloted among similar households who were not in the project areas. The pilots were conducted by IDF personnel with the help of the local researchers. Since the (a) block questions have been used many times in other work that IDF had carried out, the main purpose of the pilots were to test the efficacy of the questions and authenticity of the answers in information blocks (b) and (c). The pilots also gave us information about the way the trainings needed to be conducted as well as the time that had to be budgeted for each respondent.

After the pilot and fine-tuning of the survey questionnaire, the sample frame was developed from which the sample is to be drawn. The sample frame and the method of sampling was determined by the specific project.

The training was conducted on-site after the surveyors were selected. The survey agencies were selected based on past IDF experiences of working with them, the capacity of the agencies and recommendations from other organizations they have worked with before. IDF conducts its trainings with a 3-member team consisting of an in-house trainer, the researcher(s) on the project and a local survey expert to take count of local dialects, accents and practices (especially important when asking questions of women in the household). The trainings took a minimum of two days and a maximum of five. In some cases, the trainees were made to conduct dummy surveys after the training before they were allowed out into the field.

After the training, a detailed plan was drawn up regarding how the survey would be implemented. The agency had to submit a detailed time-sheet copies of which were kept with the supervisor and the researcher at IDF. Hard copies of filled up questionnaires were sent back to IDF where the data was digitized, statistical tests conducted, missing data identified and appropriate actions taken to ensure that the data set was complete and authentic.

The sample size for each project was determined by the design of the project, the availability of financial resources and the time-frame within which the survey had to be completed. Using the total funds available as a constraint, the sample size per project is determined by the total amount of beneficiaries of the project. As a general rule the sample size of the control group per project was about the same sample size as the treatment group. The period of the survey was not only determined by the timings of the evaluation, but also the seasonal activities in some of the cases.

Comparison groups

For all MDG projects, but D8, we managed to gather data for at the least one reference (control) group. D8 is a special case for the project focuses on in-country fundraising, for which a suitable comparison group is not available. It should be noticed, though, that for it several projects it turned out to be very difficult to find reference groups that are not affected by similar interventions. A clear example is project D1, which focuses e.g. on the impact of microcredit. For this project we are able to find non-members with similar observable characteristics. However, it turned out to be difficult to find non-members who do not have access to microcredit from another MFI. Obviously this has implications for the impact analyses. If a comparison group has been affected by a similar intervention, our impact analysis does not provide information on the impact of the treatment as such, but shows whether the SPO we consider does better than a possible other NGO conducting a similar intervention. For details, we refer to the individual MDG reports. In addition, as households

may decide to not participate in the treatment, some projects measure impacts in terms of intention to treat effects e.g. measure the impact of initial assignment to the treatment assignment and not of the treatment eventually received. This in particular holds for project D7, but also for other projects such as D2. D7 uses community awareness campaigns at the village level. The approach that has been used for this project is to compare outcomes of households living in villages that are and are not treated by awareness campaigns. Since households in the treatment villages may actually not been treated, the impact is like an intention to treat analysis. For some MDG projects, we sampled two reference groups in order to conduct heterogeneous treatment effects. This, for instance, holds for project D3. Regarding D3, the first control group is a group of farmers who were offered the choice to participate in the intervention (training and support in organic farming) and declined, and another group which are a group of farmers in an area where the SPO has identified and plans to intervene in the coming year. Additional challenges we faced during the field work is that groups who were initially identified as control groups when actually approached by enumerators informed us that they had in fact just joined the intervention (which was the case for D5, the poultry farming intervention), and that groups who were members of the treatment group during the baseline, have selected themselves out of the program during the evaluation period, the latter holds for project D2. This suggests that in some cases, the process of the receipt of the intervention is very dynamic, which obviously complicates the impact analyses.

Power

The funds available for the MFS evaluation allow for approximately 7000 questionnaires, both in the baseline and the endline. Taking into account that we have 10 projects for which we need to collect data from controls and treatments, this comes down to a sample of, on average, 350 treatments and 350 controls (with a balanced design). However, as can be seen in Table 3, the sample sizes per project differ considerably. The differences in sample size are related to the differences in the number of beneficiaries of the projects, to ensure that the impact analyses will provide representative outcomes for the different projects. The sample size is important for the power of the analysis as too low a power may lead to false non-rejections –so-called false negatives- , i.e. concluding that there is no impact while there is an impact. However, since the budget basically determined the maximum sample sizes, formal power analysis to determine sample sizes were not useful and therefore not conducted during the baseline. Originally, we planned to conduct formal power analyses for all projects after the second round of data collection, so-called retrospective power analyses. The idea was that it might be useful to conduct reverse power analysis (see Thomas, 1997) in order to determine the minimum effect sizes that could be detected given the pre-determined sample sizes and given a power of say 80 percent. However, while the importance of ex-ante power analysis in the planning stage is without discussion, the relevance of retrospective power analysis is controversial (See Thomas, 1997 and Lenth, no date), even considered to be fundamentally flawed, used in whatever way (see Hoenig and Heisey, 2001). The main reason is that it is immediately obvious that as the significance level increases, retrospective power decreases. Hence in case there is a significant effect, the power will be high, while the power will by definition be low if there is no significant effect. This implies that if we find a significant effect, a power analysis becomes redundant for apparently the power of the test is big enough. It also implies that if we do not find a significant effect the power is apparently too low to pick up the observed effect size. A similar reasoning holds for the reverse power analyses: if the impact is insignificant apparently the sample is too small to pick up the possible effect. Additional information that can be obtained by conducting the reverse power analyses is minor. Retrospective power analyses, also in the form of reverse power analyses suffer from the “power approach paradox” (PAP), for details see Hoenig and Heisey (2001). Because of the fundamental critiques on retrospective power analyses, and the fact that performing power analyses in a panel framework with fixed effects, as is the case for our double difference models, are not trivial, we decided that it was on the discretion of the project leaders of the different MDG projects to conduct **formal** power analyses. For our sample of MDG projects a

formal power analysis has only been done for project D4. **Informal** expert expertise on the power of the analyses has been given for all projects and is summarized in Table 3. For most projects we believe that sample sizes are big enough to pick up the potential impact of the projects.[6] However, power problems may be serious for two projects, D6 and D8. Regarding D8, the power problem only relates to the experiment, but does not affect the main part of the evaluation.

Attrition

The impact analyses can be severely affected by non-random attrition, and may lead to an overestimate of the impact of the project if unsuccessful members drop out of the program or to an underestimate if the most successful members leave the project. Fortunately, in our sample, most projects evaluations did not suffer from serious attrition problems. Yet, D2, D4, D5 and D9 experienced problems due to attrition. For further detail see the individual reports.

Impacts

Notwithstanding the above mentioned caveats, the impact analyses show that seven out of the ten evaluated MDG projects have resulted in a significant impact on the main outcome. As made clear above it does not directly imply that a particular program is successful if a significant effect is found as it may be driven by other factors. It is also not said that not finding a significant impact means that the project is not effective. E.g. the result of project D6 may well be explained by the serious power issues. However, the general picture is an indication that overall the assessed projects have some impact. For the exact details and robustness we refer to the individual details.

Efficiency

The impact evaluation also contains an efficiency analysis of the MDG projects. Efficiency analyses, or more restricted cost-effectiveness analyses, are important since costs and benefits determine the relevance of a project. However, while during the last decade the focus has been on improving benefit measurement, measuring costs lacks behind. There is little sense of how to apportion costs to particular benefits, how to value opportunity costs, etcetera. Thus, conducting cost-effectiveness analyses are extremely important, but there is not yet a standard approach available that can be used in practice. Ideally one would conduct a welfare analysis for all projects, but this is not possible as the necessary data is lacking. Standard models for efficiency analysis like data envelopment analysis and stochastic frontier analysis require many homogeneous projects and are therefore also not applicable to our sample. Therefore, we tried to use a simple as possible approach. That is, per project, the costs of main outputs, if available, are compared with the benchmarks found in the literature as summarized by AIID (see AIID, 2014). However, in some cases even such an analysis could not be performed as no benchmark was available. In general, the analyses suggest that projects are at the least reasonably cost-effective. But then again, the cost-effectiveness analyses are extremely crude.

[6] According to Cohen a standardized effect size of 0.2 to 0.3 might be a "small" effect, around 0.5 a "medium" effect and 0.8 to infinity, a "large" effect. For a very simple case, where we assume that all observations are independent, a sample size of around 350 should be sufficient to identify an effect size of 0.2. This suggests that our sample sizes should in general be big enough to detect relatively small impacts of the intervention. Obviously, this is a very rough estimate.

Table 2: Basic information MDG Projects

Project Code	Name	SPO	Consortium	MDG	MFS II Budget	Main outcome	Main interventions	Project start Date	Project end Data
D1	Graduating NGOs into Micro finance Institution in Orissa-Phase 2.	Rashtriya Gramin Vikas Nidhi (RGVN)	Hivos Alliantie (People Unlimited 4.1)	MDG 1	37,106 Euros	Livelihood (indicator: expenditures)	Formalising existing MFIs; trainings	July 2009	June 2012
D2	Mobilisation of Community to Strengthen MFP based livelihoods of Tribal Women in South Rajasthan.	Samarthak Samiti	Hivos Alliantie (People Unlimited 4.1)	MDG 1, 7a,b	62,921 Euro	Livelihood (indicator: expenditures)	organising self-help groups and cooperatives	April 2009	March 2014
D3	COFA Institution Building	Forum for Integrated Development (FFID)	ICCO Alliance	MDG 1	134,215 Euro	Livelihood (indicator: monthly household consumption)	trainings to farmers; organizing farmers into self-help groups (SHGs)	October 2008	September 2014
D4	Dahar	Lohardaga Gram Swaraiya Sansthan (LGSS)	ICCO Alliance	MDG 2	35,000 Euros and kept 20,000 Euros + 13,447	Learning (indicator: exam scores)	Setting up an education programme; Vocational training	May 2009	31 October 2014
D5	VBN Poultry Coalition	PRADAN	ICCO Alliance	MDG 1	111,486 euro	Livelihood (indicator: Number of poultry sheds built)	trainings	December 2009	March 2012 (Institutional support to 2013)
D6	India People's participation in community	Jana Vikas	Communities of change	MDG 1		Livelihood (indicator	Trainings	May 2010	April 2013

	development					expenditure)			
D7	Community awareness building on girl child and conscientiousness building on PC & PNDT Act through NGO Intervention	Bihar Voluntary Health Association (BVHA)	SRHR Alliance	MDG 3, 4, 5, and 6	Euro 43,016	awareness of various laws (indicator: greater awareness of pre-conception pre-natal diagnostic techniques act)	Information dissemination; behavioural change campaigns	March 2009	March 2012
D8	Action for Children	Smile Foundation	Together4Change	Good governance		In-country fundraising	Trainings and promotional activities	January 2011	December 2015
D9	Education Program / Program for Financial Sponsorship and Scholarships "Agape Homes and Bethlehem Day Care Centre"	Christian Outreach Uplifting New Tribes (COUNT)	Red een kind/ woord en daad	MDG2	€ 280,000 per year for the part that is evaluated € 2,243,800 for the entire project	Learning (indicator: cognitive achievement in mathematics)	vocational training;, a foster home	1993	2020
D10	VTRC Edu Gate	Vocational Training and Rehabilitation Centre's (VTRC)	Red een kind/ woord en daad	MDG2	€ 285,900	Learning (indicator: cognitive achievement in Tamil and Maths)	Setting up tuition centres	June 2010	June 2015

Table 3: Information on impact analyses for MDG Projects

Project Code	Information comparison group sampled	Baseline and Endline information	Evaluation Design	Sample Size baseline Treatment	Sample Size baseline Control	Serious attrition problems from baseline to endline	Serious Power problems with respect to the main outcome indicator	Significant impacts on main outcome
D1	Yes	Yes	1; 2	300/300	150/150/ 350/200	No	No	Yes (one out of two groups)
D2	Yes	Yes	1; 2	145	157/250	Yes	No	Yes but dissipates over time.
D3	Yes	Yes	1	200/200 /100/100	300/300	No	No	Yes
D4	Yes	Yes	1; 2	450	225	Yes	No	Yes
D5	Yes	No	3	73/74	125/28	Yes	No	Yes
D6	Yes	Yes	3	375	200/200	No	Yes	No
D7	Yes	Yes	3	700	700	No	No	No
D8	No	Yes	4, 5	50,000/50,000 [1]	50,000[1]	No	Yes for experiment not for normal analysis.	Yes
D9	Yes	Yes	2; 3	279	289	Yes	No	Yes
D10	Yes	Yes	2; 3	300	300	No	No	No

Notes regarding evaluation designs: 1 refers to double difference method; 2 refers to propensity score method; 3 refers to cross-sectional comparison between treatment and comparison groups; 4 refers to before-after analysis and 5 refers to RCT. For details, see the individual MDG reports. Multiple numbers in the Sample Size columns denote that we have used more treatment or control groups. For the exact details we refer the reader to the individual reports.

1) These numbers refer to the amount of letters in the experiment.

Table 4: General Scores

Project	D1	D2	D3	D4	D5	D6	D7	D8	D9	D10
The project was well designed	8	8	10	8	10	8	5	8.5	8	8
The project was implemented as designed	10	10	10	6	10	6	10	8.5	9	6
The project reached all its objectives	7	6	7	8	7	6	5	8.5	8	6
The observed results are relevant to the project beneficiaries	8	8	7	10	7	8	10	NA	8	8
The project was implemented efficiently	9	6	10	NA	10	6	10	8	9	6
The observed results are attributable to the project interventions[1)]	7	6	7	7	5	6	8	5	6	6

Scores are running from 1 (worst) to 10 (best). The evaluation of project D8 does not focus on the endusers. Therefore the relevance question could not be answered. D4 lacks an efficiency analysis as no benchmark is available.
1) This question deals with the rigor of the analysis, thus, these grades do not value the project or the project design as such.

4.3 General Findings of the MDG evaluation

We end the MDG evaluation part of this report by valuing the program in terms of the main evaluation questions (see the beginning of section 4.2). These questions are summarized in table 4. The general finding is that the evaluated projects are well designed; most projects score an 8, 9, or 10. The main exception is project D7. The problem here is that the SPO tried to cover a large number of villages, which resulted in a thin spread of the intervention. The projected lacked depth and resulted in too little effort (on a per capita basis) to tackle a problem as large and complex as sex selection.

It appears that half of the projects are implemented as designed (score of 10) and two other projects almost (score 8 or 9). The reason for a lower score on D4 is because the project is operating in a conflict zone. The 6 in the case of D6 reflects delays in the implementation of the plan mainly due to extraneous circumstances (religious issues) and/or due to cyclone Phailin. In any case, as far as we can tell the project was not implemented on time and so the main reason for the 6 is delays in implementation. D10 received a 6, as on the basis of the field trip it was felt that implementation was not very effective. There were, in some cases, more students in each tuition center than planned, there were difficulties in hiring tuition teachers and there were problems finding places to conduct the tuition.

From Table 3 it was clear that for seven out of the 10 projects a significant effect on outcome was found. However, as most projects have multiple outcomes, a score has been given on how well the project achieved all of its objectives. Here we can see that not all objectives are met. Yet, all projects still meet most of their objectives, or their most important ones, as all projects scored at least sufficient with the exception of D7. A major reason for the low score of D7 is the inadequate design of the project, see also above. It seems to be very important that the design of project D7 will be improved as the intervention as such is highly relevant for the project beneficiaries.

All projects scored a seven our higher on the relevance aspect. This aspect measures the fit between the main problems the beneficiaries are facing and the main objectives of the project. Note that since project D8 does not focus on the end-users, we could not score this project on this aspect.

The efficiency analyses suggest that the examined projects are reasonable up to very efficient. Half of the projects even score a 9 or a 10 on efficiency. However, recall that the efficiency analyses are conducted in an extremely crude way and therefore can only provide a first indication of the cost-effectiveness of the projects. Much more analyses are needed to obtain more rigorous cost-benefit estimates.

Finally we score on how well each result could be attributed to the project intervention. This question deals with the rigor of the analysis. In other words, it values how well we are able to attribute the impacts to the project intervention. Thus, these grades do not value the project or the project design as such. Nor do they reflect our ability to assess the efficiency of the project as discussed above. We have used the following grading system. If we were able to construct identical control and treatment groups, and if there were no serious other evaluation problems, like attrition and/or power problem, we decided to grade the project with a 9 or a 10. Since identical control and treatment groups will in general only be obtained by large scale RCTs, a 9 or 10 is only used for projects for which the main analyses have been done by using a RCT. This was never the case for our India sample. We based the grading system for our sample on the degree to which a randomization could be mimicked. We

decided to grade projects with an 8 if a double difference methodology has been used with pre-intervention data and if there were no other serious issues that affected the evaluation. In our sample, we only graded D7 with an 8. While we lacked pre-intervention data, and did not use a DD methodology, we found it appropriate to give this evaluation a high score for the treatment and control villages seem to be observational identical and since the intervention was randomly allocated. If the impact evaluation was based on two rounds of data, and a double difference approach without pre-intervention data, or if PSM methods could be used, without serious other problems, we graded the evaluation with a 7. Projects D1, D3, and D4 fulfilled these requirements. While D2 also uses a DD approach, we graded the evaluation with a 6 since there were quite some members who selected themselves out of the project, which may cause attrition problems. We also graded D6, D9, and D10 with a 6 e.g. due to attrition problems or problems with finding an appropriate control group. We graded project evaluations with a five if either we were not able to select a comparison group at all or could use only one round of data. This applies to projects D5 (one round of data) and D8 (no comparison group).

5. Evaluation of capacity development of Southern Partner Organizations (5C evaluation)

5.1 Methodological approach

The overall evaluation approach for evaluating capacity development of the SPOs is a participatory, theory-based approach using theories of change, impact pathways and process tracing[7][8], in a before-after comparison. The overall evaluation design is centered around the 4 evaluation questions:

1. What are the changes in partner organizations' capacity during the 2012-2014 period?
2. To what degree are the changes identified in partner capacity attributable to development interventions undertaken by the MFS II consortia (i.e. measuring effectiveness)?
3. Were the efforts of the MFS II consortia efficient?
4. What factors explain the findings drawn from the questions above?

It has been agreed that the question (3) around efficiency cannot be addressed for this 5C study. The methodological approach for the other three questions is described in more detail in Appendix 2

[7] In Stern et al, 2012: Evaluation and IE in particular, is an opportunity to test a program's theory through the links in the causal chain. In terms of method, this tendency is close to 'process tracing' (George and McKeown, 1985, Collier 2011), defined by Aminzade (1993) as: 'theoretically explicit narratives that carefully trace and compare the sequences of events constituting the process…'. These causal chains are represented graphically as causal maps or neural networks.

[8] Stern et all (2012) say there are 'three main designs that show promise to reinforce existing IE practice when dealing with complex programs – theory-based; case-based and participatory'.

The first (changes in organizational capacity) and the fourth evaluation question are addressed together through:

- **Changes in the 5C indicators since the baseline:** standard indicators have been agreed upon for each of the five capabilities of the five capabilities framework (see Appendix 3) and changes between the baseline, and the endline situation have been described. For data collection a mix of data collection methods has been used, including self-assessments by SPO staff; interviews with SPO staff and externals; document review; observation. For data analysis, the Nvivo software program for qualitative data analysis has been used. Final descriptions per indicator and per capability with corresponding scores have been provided.

- **Key organizational capacity changes – 'general causal map':** during the endline workshop a brainstorm has been facilitated to generate the key organizational capacity changes as perceived by the SPO since the baseline, with related underlying causes. For this purpose, a visual as well as a narrative causal map have been described.

In terms of the attribution question (2 and 4), **'process tracing'** is used. This is a theory-based approach that has been applied to a selected number of SPOs since it is a very intensive and costly methodology, although it provides rich information and can generate a lot of learning within the organizations. Theory-based evaluation can help to understand why a program works or fails to work and they attend to not only what a programs do but also to how participants respond[9]. The theory based approach also allows space for the evaluation to reflect the complex nature of the development process, particularly when focusing on changes in organizational capacity. To deal with the attribution question (2), the theory-based approach '(outcome explaining) process tracing' is used.

This approach was presented and agreed-upon during the synthesis workshop on 17-18 June 2013 by the 5C teams for the eight countries of the MFS II evaluation. A more detailed description of the approach was presented during the synthesis workshop in February 2014. The synthesis team, NWO-WOTRO, the country project leaders and the MFS II organizations present at the workshop have accepted this approach. It was agreed that this approach can only be used for a selected number of SPOs since it is a very intensive and costly methodology. Key organizational capacity changes/ outcomes of the SPO were identified, based on their relationship to the two selected capabilities, the capability to act and commit the capability to adapt and self-renew, and an expected relationship with CFA supported capacity development interventions (MFS II funding). It was agreed to focus on these two capabilities, since these are the most targeted capabilities by the CFAs, as established during the baseline process.

The evaluators have considered the internationally agreed upon evaluation standards as useful guidelines for their work, and ranked in order or importance: 1. Utility, 2. Feasibility, 3. Propriety, 4. Accuracy, 5. Evaluation Accountability, which are ranked in order of importance. Within the boundaries of the conditions set for this evaluation, the evaluators have as much as possible adhered to these standards, particularly utility, whilst the setup of the evaluation seems to focus more on the accuracy standard.

[9] Carol H. Weiss (2007).

Organizational capacity is complex and seen as an outcome of an open system. Within a complex system, multiple processes operate simultaneously and by no means in isolation. Interactions between these processes can result in unpredictable and evolving results. According to Stern et all (2012), there are "three main designs that show promise to reinforce existing IE practice when dealing with complex programs – theory-based; case-based and participatory". In order to understand changes in organization capacity, it is important to develop a deep understanding of the change process and the dynamics that affect organizational change of organizations. Simple linear input-activities-outputs-outcomes-impact chains do not suffice for complex issue like organizational capacity.

The evaluation is participatory in that SPO staff and stakeholders are engaged in a process of self-reflection, learning and validation of findings. Having interactive workshops with staff is part of this.

The evaluation process is also participatory in terms of design and analysis. The overall methodology, including standard indicators and a Likert scale, has been designed by the Centre for Development Innovation (CDI), Wageningen University and Research center (WUR; Ethiopia, India, Indonesia, Liberia), in collaboration with ETC Foundation (Uganda) and Disaster Studies (WUR; DRC), covering in total 6 out of 8 countries. For the endline process CDI has also taken a lead in methodological development, especially in terms of process tracing, for all the 8 countries in the MFS II evaluation. CDI is involved in 4 out of the 8 countries for the 5C evaluation. Due to the nature of the evaluation (multiple countries, with multiple institutions carrying out the evaluation), all possible efforts were made to design a standard methodology to be used across countries. This included a set of common indicators (32); and data collection tools for six countries[10]. The 5 capabilities were reformulated in outcome domains and for each outcome domain performance indicators have been developed. See also Appendix 4. The methodology has been shared with the country based evaluation teams, the country project leaders, the synthesis team, and MFS-II organizations for feedback. Detailed guidelines and tools have been developed by CDI for the baseline and endline, and these have been piloted in each of the countries CDI is involved in, in line with training the in-country team. Country based evaluators have had a critical input in reviewing and adapting these detailed guidelines and tools. This enhanced a rigorous data collection process. Rigorous analysis of the qualitative data is done with the assistance of the NVivo software program. The qualitative data analysis software allows for a transparent and systematic analytical process across an international team. During data collection, analysis and sense-making, the overall 5C coordinator (CDI) provided training, coaching and mentoring and carried out quality checks for each of the 4 5C country teams that CDI is involved in (Ethiopia, India, Indonesia, Liberia). Details specific to the SPO are described in chapter 5.1 of the SPO reports. A detailed explanation of the methodological approach is provided in Appendix 2.

5.2 Key findings and conclusions

This chapter includes brief descriptions for each Southern Partner Organization (SPO) included in this capacity development (5C) evaluation, and provides main findings and conclusions of the evaluation, in relation to the 4 core evaluation questions as described in the previous section. Please note that two SPOs have not been included in the endline study: DRISTI - the contract with Hivos had already been finished in January 2012. Therefore only, the baseline could be conducted. Women's Rights Forum, funded by Mama Cash, was dropped from the 5C

[10] DRC, Ethiopia, India, Indonesia, Liberia, Uganda

evaluation, since, even after many attempts, the organization could not be reached, either by the evaluation team or the Co-Financing Agency (CFA). It was then agreed to drop this SPO from the 5C evaluation.

5.2.1 Key information on the Southern Partner Organizations (SPOs)

Please find below a brief description of the key information on the Southern Partner Organizations.

BVHA

Bihar Voluntary Health Association (BVHA) is a secular and voluntary association of charitable Hospital and Health Centers established in the year 1969 by the Medical Mission Sisters. It was registered in February 1970 under the Societies Registration Act XXI of 1860 at Patna, Bihar. The organization aims to make Health a reality for the people of Bihar especially the weaker section/unprivileged segment of the society through Voluntary Organization/Institutions, Charitable Hospitals, Public Health Service, groups/professionals/individuals engaged in health sector and with the active involvement and the participation of the community. The organization not only works as a service provider but is also actively involved in capacity building programs of voluntary organizations and developing model programs for major health problems e.g. Reproductive Health Issues, malaria, tuberculosis, diarrhea, iodine deficiency disorders (IDD), Kala-azar, water borne diseases ,tobacco related diseases, life style disorder etc. BVHA mainly works through its member and non-member organizations in Bihar to create a healthy community. It conducts programs to build up the capacity of voluntary agencies in program planning, implementation and management. It facilitates community health action by promoting social justice in the provision and distribution of health care encouraging voluntary health action of people and enabling them through various support services so that it addresses their health needs by accessing the Primary Health Services and basic health services rights through community and voluntary organization's participation. However, the advocacy and liaising with the Government is the major activity of BVHA as the ultimate responsibility of health is of the State Government.

COUNT

Christian Outreach Uplifting New Tribes (COUNT) is an organization which works amongst the remote tribal population of undivided Andhra Pradesh, Odisha and Chhattisgarh. It works as the social and developmental organ of Agape Fellowship (AF), which is a faith based organization, focusing on social, cultural, educational and developmental opportunities for the tribals. COUNTCOUNT works mostly with tribals and the socially and economically downtrodden people groups. COUNT's vision is 'a holistic ministry uplifting the underprivileged, the rural, tribal and slum dwellers – educationally, economically, socially and spiritually. Its mission is 'In Christ-like spirit, sharing Agape love, building individuals and developing new societies. Motto: In three words – love, wisdom and growth – expresses the main objective of the organization.' COUNT runs various developmental programs such as the education program, HIV/AIDS awareness program and vocational training program for its target population.

FFID

The Forum for Integrated Development (FFID) was established on 10th March, 1995 as not for-profit - organization under the Andhra Pradesh Societies Act 1350 Fasli (Act of 1350F). FFID's emphasis is to develop, promote and popularize alternative models in agriculture, natural resources management, soil and water conservation, agro-ecology and non-conventional energy sources leading to sustainability in social, economic and ecological development. FFID works among the poor rural (disadvantaged) communities of the undivided Andhra Pradesh (comprising Seemandhra (formerly known as Coastal Andhra and Rayalaseema) and Telangana), Odisha and Maharashtra to empower them, enhance their livelihood and food security. The vision of FFID is to promote economically and socially viable agrarian based livelihoods in rain-fed and other ecologically depressed regions through sustainable agriculture. The mission of FFID is to develop and promote alternative models in agriculture, agro-ecology and non-conventional energy sources for sustainability in social, economic and ecological environmental development. FFID continues to provide guardianship support to both Chetna Organic Farmers Association (COFA) and Chetna Organic Agriculture Producer Company Ltd (COAPCL) to evolve into professional and well established farmers' support organizations.

JANA VIKAS

Jana Vikas works in Kandhamal district, one of the most backward and tribal dominated districts of Odisha inhabited by dalits, tribals, and other backward communities. It aims to to empower, and uplift these communities through sustainable livelihood programs, social values, peace, social justice and harmony. The vision of Jana Vikas is 'a holistic and sustainable society where people live in unity amidst diversity based on social and human values of justice and equity'. The mission is to sensitize, organize, enable, empower and develop the poor and the marginalized, especially the Adivasi, Dalit and OBCs, to respond to their issues, needs, problems, vulnerabilities and bring forth changes for common goal and interest by using their existing potential, strength and resources, through collective reflection, decision and action.

NEDSSS

North East Diocesan Social Service Society (NEDSSS) is a Church based NGO, playing the role of Facilitator. It facilitates in building capacity of the staff of partners and other NGOs of North East Region through trainings, workshops, exposures, seminars, guidance and coordination. It extends its arms to various agencies for financial support in order to provide support to its partner organizations. NEDSSS is the official organization of 15 Catholic Dioceses of North East India to support and promote development initiatives undertaken by member Diocesan Social Service Societies, partner NGOs and other CBOs (Community Based Organizations). The vision of NEDSSS is 'a society where people live in unity amid diversity based on the Gospel values of justice and love.' The mission is 'to enable member associations to empower the poor and marginalized and ethnic groups in the region for promotion of peaceful just and equitable society through a participatory and sustainable development process.' NEDSSS aims at building the capacity of the dioceses, strengthen the Human Resource system, Planning, Monitoring, Evaluation system and facilitate in developing the networks and linkages for the partners for mobilizing resources and schemes so that the poor and marginalized communities empowered and developed.

RGVN

Rastriya Gramya Vikas Nidhi (RGVN) was established and registered in 1990 with its headquarters at Guwahati (North-East India). In 1992 the operational area was extended and

RGVN regional unit Bhubaneswar was established with the aim to create sustainable livelihoods for rural poor where women are given priority. RGVN Bhubaneswar operates in the tribal dominated regions of western Odisha and Srikakulam and Vizianagaram Districts of Andhra Pradesh. At the first hand, RGVN had tried to address the credit (in the form of soft loans) and basic capacity building (in the form of grants) needs of the rural family to ensure sustainable livelihood for them. On the other hand to make this process more effective and sustainable, RGVN had tried to deliver its support (both loan and grant) through local grassroots level civil societies (CBOs/ NGOs). This process of support not only addresses the livelihood issues of poor people but also provides adequate scope for local fledging initiatives/NGOs to be nurtured and strengthened under the ambit of RGVN'S support. Graduating NGOs in to microfinance institutions program was stopped in mid-2012 due to the microfinance crisis. Then the focus was shifted to Sustainable Livelihood Enhancement and Enterprise Promotion program funded by MFS II.

SAMARTHAK SAMITI

Samarthak Samiti (The Rajasthan Forest Produce Processing Group Support Society) is registered as a society working among tribal and other marginalized communities since 1995 in six districts of Rajasthan to provide guidance and motivation to smaller organizations, cooperative societies and such other societies, which are engaged with minor forest produce collection and devoted to the cause of biodiversity conservation. Samarthak Samiti developed as an offshoot of Astha Sansthan in 1990 in Southern Rajasthan to undertake the struggle/movement to increase the wages of Tendupatta collectors which Astha Sansthan had initiated in early nineties. It aims to strengthen community based organizations (CBOs) (self-help groups (SHGs) and Cooperatives) which are engaged with minor forest produce (MFP) collection and devoted to the cause of biodiversity conservation in order to provide sustainable livelihood to the marginalized tribal communities. Also lobby for natural resource management rules, laws and policies to create a favorable condition for the marginal communities.

SDS

Shivi Development Society (SDS) is a civil society organization which works in the areas of human rights, good governance, and promotion of people's participation with gender as a cross cutting theme undertaking development initiatives to positively influence the lives and improve the quality of living of poor and marginalized sections of the society. Therefore, SDS also strives to support the policy work through lobby and advocacy strategies of the grassroots voluntary organizations by engaging them in capacity building in lobbying, undertakes direct community outreach programs and analyzing grassroots actions. SDS vision is "to foster a growth oriented, just and equitable society based on the respect for the rights of the individuals and non-discrimination among the caste, communities and gender by enabling the under-privileged and uninitiated secure their rights". Its mission is "using rights based approach to development, SDS works towards capability building of its partner communities, with a focus on marginalized women, children and youth, so that they are able to achieve their lasting well-being".

SMILE

Smile Foundation (SMILE) is a national level development organization directly benefitting over 300,000 children and their families every year, through 158 welfare projects on education, healthcare, livelihood and women empowerment, in more than 700 remote villages and slums

across 25 states of India. Their vision is, as a catalyst to bring changes in the lives of millions of children, youth and women, who are not privileged, by addressing the real need at the grassroots level and also enabling the civil society across the world to engage proactively in the change process following the philosophy of Civic Driven Change and adopting the highest standard of governance and thereby emerging as a leading knowledge and technology driven, innovative and scalable international development organization from India. Its mission is to empower underprivileged children, youth and women through relevant education, innovative healthcare and market-focused livelihood programs. Smile Foundation is to deploy best possible methodology and technology for achieving ideal SROI (social return on investment), to practice and promote good governance. To link business competitiveness of the corporate with social development initiatives; also to sensitize privileged children, youth and citizens in general to promote Civic Driven Change. Smile Foundation adopts a lifecycle approach by involving children, their families and the community. Smile Foundation extended its thematic areas of intervention by supporting family health, livelihood, and women empowerment. Children, their families and the community become the target group for Smile Foundation's activities as child education cannot be done in isolation and nothing else but education for children can bring long lasting change in the society.

VTRC

Vocational Training and Rehabilitation Centre (VTRC) works in four districts of Tamil Nadu, e.g., Madurai, Salem, Dindigul, Dharmapuri, among the poor and marginalized children and women. It aims to provide them health care, protection and support and reduce their vulnerability by creating awareness as well as, advocating the protection of children and women's rights. So that they can be empowered and get opportunities to reach their full potential. It also focuses on prevention of HIV and Sexual Reproductive Health (SRH) by increasing the importance of sex education by capacitating the change agents and tuition teachers. VTRC was registered on 31st December, 1986 under the Tamil Nadu Societies Registration Act No. 181 of 1986. The vision of VTRC is – "Little one can become a mighty nation". VTRC's mission has been to provide support to vulnerable children, being child centered and child focused.

5.2.2 Changes in partner organization's capacity and reasons for change (evaluation question 1 and 4)

This section describes the main findings for the first evaluation question: **What are the changes in partner organizations' capacity during the 2012-2014 period?** And the fourth evaluation question: **"What factors explain the findings drawn from the questions above?"**

These questions are mainly addressed by reviewing standard indicators that have been developed for each of the five core capabilities, which make up the capacity of an organization (see also Appendix 3). Through a mix of methods (self-assessments – SPO staff; interviews with SPO staff and externals; document review; observation), data have been selected on whether and what changes have taken place in these indicators since the baseline in 2012. See also a description of the methodology in Appendix 2. The main findings and conclusions are described below. In addition to reviewing standard 5C indicators, the evaluation team facilitated a discussion on what the organization perceived as the key organizational capacity changes since the baseline, and how these changes have come about. Key findings are also explained below.

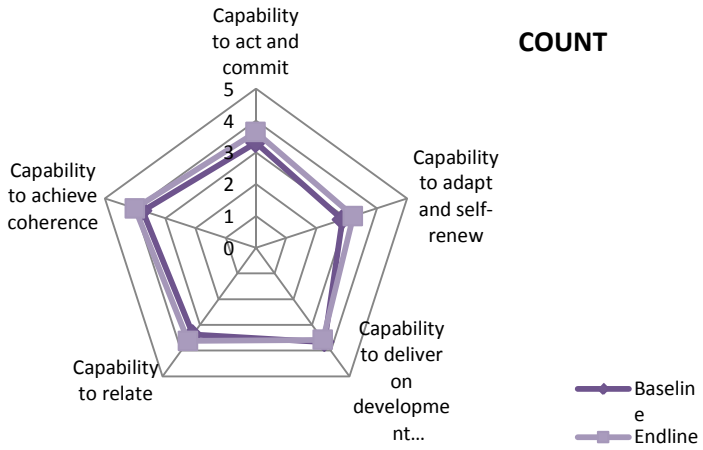
Changes in terms of the five core capabilities

Below you can see how each of the SPOs changed since the baseline in terms of their average capability and specific indicators.

BVHA

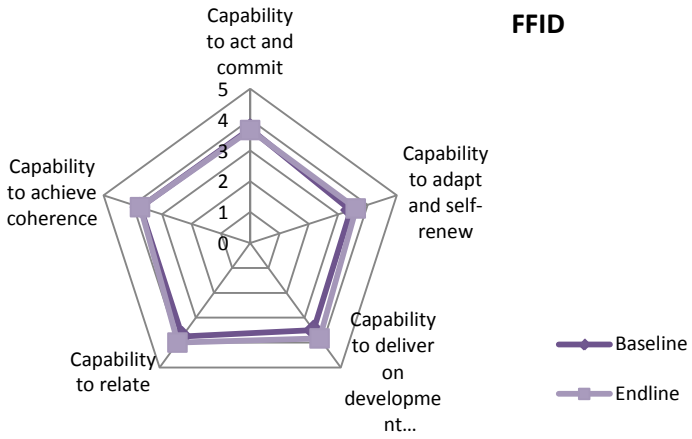
Over the last two years BVHA has slightly improved in its capability to act and commit. The main improvements were: the director became more responsive, salaries were raised as per the government standard, staff improved skills because of trainings and exposure visits, there are better operational plans and strategies, diversification of funding and improved fundraising capacity. In the capability to adapt and self-renew BVHA also improved slightly. This was mainly due to improved M&E application in the SRHR project, strategic use of M&E, better tracking of BVHA's operating environment and being more responsive to network members. BVHA improved slightly in the capability to deliver on development objectives. Operational plans have become more critical and realistic in budget utilisation, BVHA is working more cost-effectively and feedback mechanisms have been formalized. The organization improved very slightly in its capability to relate. BVHA now involves their partners in PME and has increased the amount and different levels of networks they are active in. The organization also works more with the government and pays more visits to target groups. Finally, there has been no change in the capability to achieve coherence.

COUNT



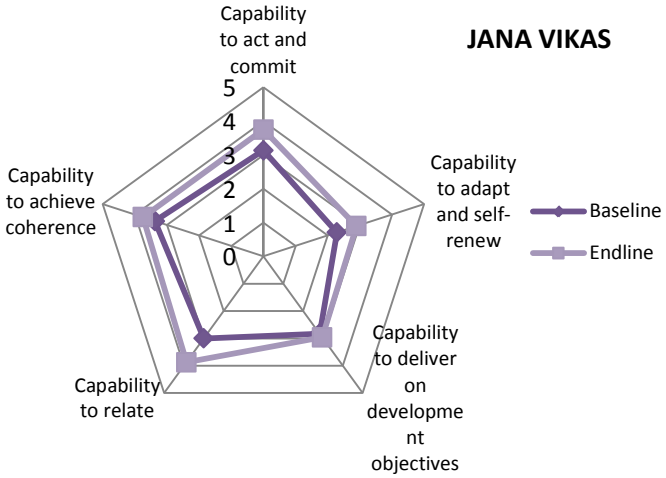
Over the last two years COUNT has slightly improved in its capability to act and commit. Important improvements were the leader becoming more pragmatic, COUNT receiving support in developing strategic plans from the MFS II funded regional coordinator, improved staff skills, improved fundraising and fundraising procedures. In the capability to adapt and self-renew COUNT also improved slightly. This was mainly due to improved ability to collect data and to report due to methodological guidance and evaluations supported by W&D. COUNT did not change in its capability to deliver on development objectives. The organization improved slightly in its capability to relate because they increased their engagement with target groups and increased the number of networks they are active in. Finally, there was a very slight improvement in the capability to achieve coherence because strategies have been revisited and a new child protection policy is now in place.

FFID



Since the baseline, two years ago, FFID has seen no change in its overall capability to act and commit, though there was deterioration in staff turnover and funding procedures improved. FFID has very slightly improved in its capability to adapt and self-renew, which was mainly due to more focused data collection and better reports after an effective communications and a financial management workshop by ICCO. The organization also very slightly improved in terms of the capability to deliver on development objectives, as operational plans are informed by better M&E, feedback mechanisms improved, and balancing quality and efficiency improved. There has been a very slight improvement in FFID's capability to relate because they are working more with the government, are more involved in different networks, interact more with the field and there is more internal sharing of learnings from trainings. There have been no changes in the indicators under the capability to achieve coherence.

JANA VIKAS

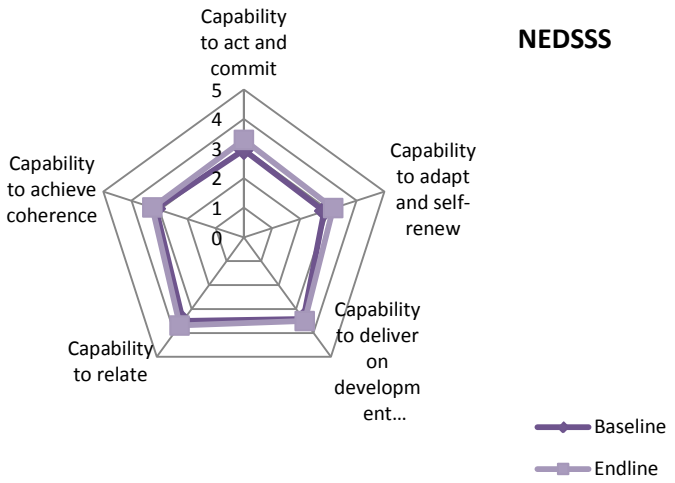


Over the last two years Jana Vikas has slightly improved in its capability to act and commit. The main improvements were that the director is more responsive to field staff, to target groups and involves staff more in strategic planning. Clarity on roles and responsibility, financial incentives and funding procedures also improved. In the capability to adapt and self-renew Jana Vikas improved slightly as they now have an operational PME unit (funded by Cordaid), the PME policy has been revised, staff increase Planning, Monitoring and Evaluation (PME) skills, M&E findings are used for operations, there is more critical reflection and JV is more responsive to stakeholders. In terms of the capability to deliver on development objectives, there has been a very slight improvement because JV works more cost-effectively and has a better feedback mechanism for meeting beneficiaries needs. In the capability to relate, JV showed improvement: they are more open for input from stakeholders for developing their strategies, networks for resource mobilization improved, relationship with target groups

improved and internally they are organized in a more clear and less hierarchical way. Finally, Jana Vikas slightly improved in its capability to achieve coherence because they revised their strategic plan and HR, Finance and Gender policies were approved by the board.

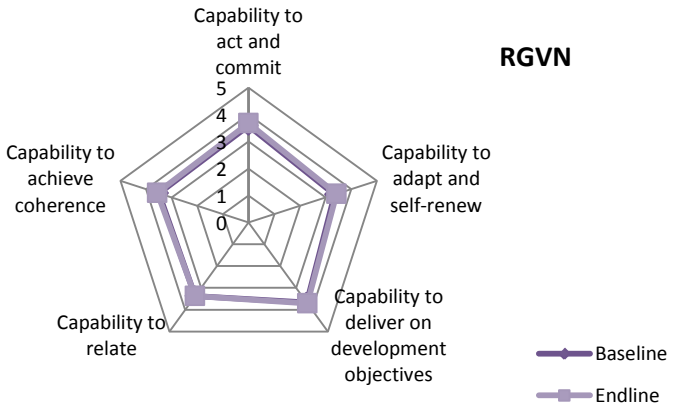
NEDSSS

Over the last year and four months NEDSSS has very slightly improved in its capability to act and commit. Important improvements have been that the leader is more responsive and provides more strategic guidance, financial incentives for staff increased very slightly, the funding situation improved and staff improved in their proposal writing capacity. In the capability to adapt and self-renew NEDSSS also improved very slightly. This was mainly due to solid M&E application in the Cordaid project and improved M&E input from now trained partners, more critical reflection and NEDSSS being more responsive to non-church stakeholders. NEDSSS showed a very minor improvement in the capability to deliver on development objectives, as through NEDSSS' direct project implementation they know better if services meet beneficiaries' needs and balancing quality and efficiency also improved. The organization had a very minor improvement in the capability to relate because engagement with non-church stakeholders improved and NEDSSS has become more visible as an organization in its network. Finally there was a very minor improvement in the capability to achieve coherence because they introduced a HIV/AIDS work policy.



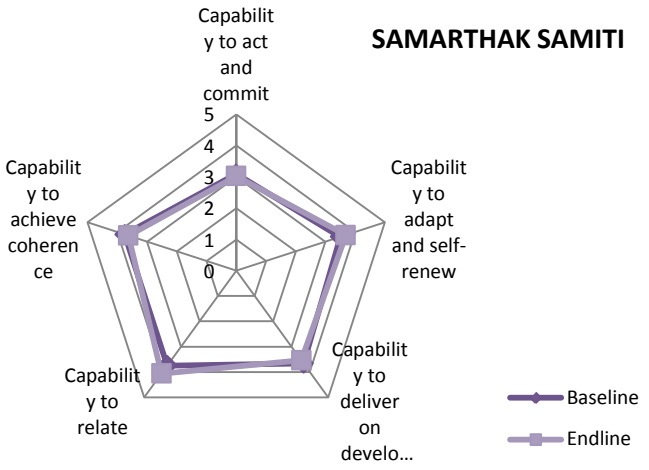
RGVN

Over the last two years, RGVN has seen no change in its overall capability to act and commit. The main improvements were the daily operations, staff skills, trainings and RGVN's proposal writing capacity. There was however a slight deterioration in staff incentives and RGVN's funding situation. In the overall capability to adapt and self-renew RGVN also showed no change, though management became more responsive to critical reflection and there was a very slight improvement in M&E application. In terms of the overall capability to deliver on development objectives, there has been no change. RGVN has only improved very slightly in balancing quality and efficiency. In



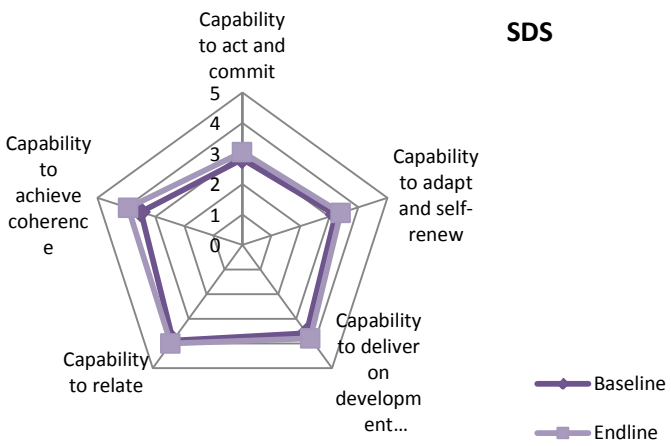
the overall capability to relate there was again no change. RGVN did improve very slightly its relations with government departments and the private sector. Finally, RGVN showed no change in the overall capability to achieve coherence but has revisited their strategies which are still in line with their vision and mission.

SAMARTHAK SAMITI (SS)



Over the last two years SS has seen no change in its overall capability to act and commit. While the leader became more self-reliant, there were more trainings and capacity to writing proposals for funding but due to a deteriorated funding situation key staff had to leave the organization. In the capability to adapt and self-renew SS also improved very slightly. This was mainly due to fine-tuning, but their M&E templates, internal capacity building on M&E, slightly more strategic use of M&E by SS and slight improvement in tracking its operating environment. SS showed a very slight deterioration in the capability to deliver on development objectives. While SS is working more cost-effectively, due to staff having to leave because of reduced funding, balancing quality and efficiency was negatively affected. The organization had a very slight improvement in the capability to relate because SS now receives feedback on its strategies from a more diverse set of stakeholders and has improved its networks at the national level. Finally there was a very slight deterioration in the capability to achieve coherence because SS is applying new strategies that are not yet aligned with their current vision and mission.

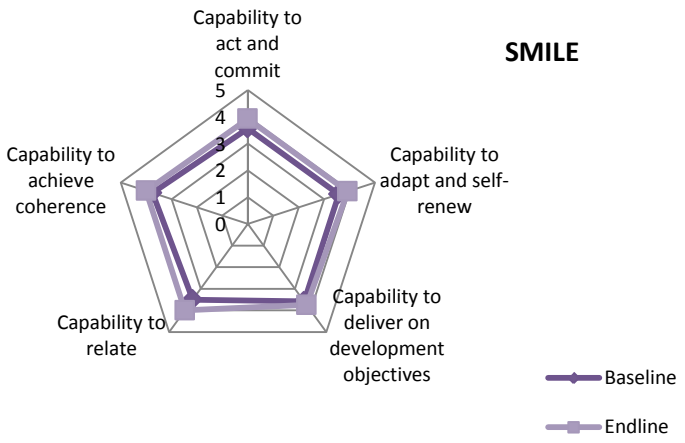
SDS



Over the last two years, SDS has very slightly improved in its capability to act and commit. Important improvements have been: less staff turnover at the Delhi office, a well-defined organogram in place, situational analysis is now used to articulate strategies, improved staff skills, improved funding procedures. The funding situation slightly deteriorated because SDS now has only one funder (MISEREOR). In the capability to adapt and self-renew SDS also improved very slightly. This was mainly due to taking a more community centric approach, improved communication between the head and regional offices, more

critical reflection, more freedom for ideas and more responsiveness to stakeholders. SDS showed a very slight improvement in the capability to deliver on development objectives, as SDS works more cost-effectively and is now monitoring its inputs and outputs through activity related financial reporting. While the organization overall showed no change in the capability to relate, SDS is now working with more partners in networks at different levels. Finally there was a slight improvement in the capability to achieve coherence because they now have a formulated mission, revised their vision, have better aligned projects and improved in their operational guidelines on procurement and sexual harassment.

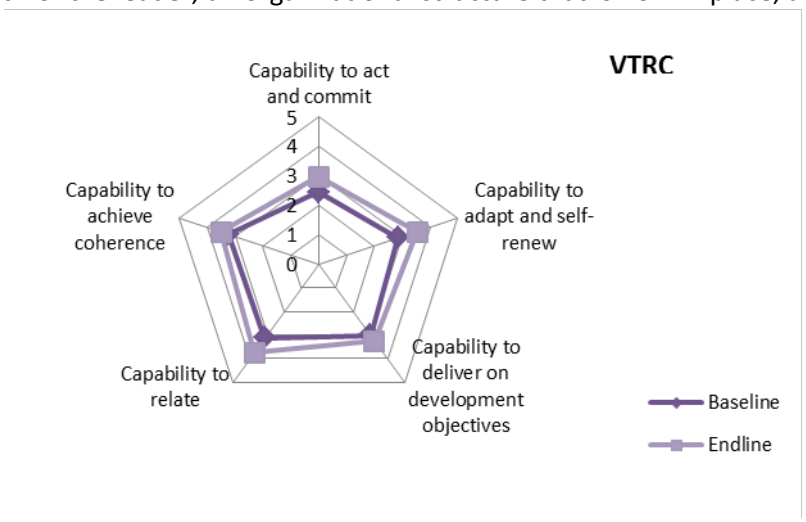
SMILE



Over the last two years Smile has slightly improved in its capability to act and commit. Important improvements were strengthened second line leadership, more decentralized structure and improved fundraising capacity. In the capability to adapt and self-renew Smile also improved slightly. This was mainly due to improved internal cooperation and communication which led to better internal and external reporting, more participatory planning, better tracking of its operating environment and being more responsive to their stakeholders. Smile improved very slightly in the capability to deliver on development objectives. Smile is reaching its planned outputs better and has become more cost-effective in its resource use. The organization improved slightly in its capability to relate. There is a strong feedback mechanism in place, they have improved their networks and relations within the organization have also improved. Finally there was a very slight improvement in the capability to achieve coherence because the staff and director now share the same vision for the organization.

VTRC

Over the last two years VTRC has slightly improved in its capability to act and commit. This was due to a democratic approach of the leader, an organizational structure that is now in place, a more participatory planning process, improved staff skills and improved procedures to look for funding opportunities. In the capability to adapt and self-renew VTRC also improved slightly. The main improvements in this capability were more critical reflection, more freedom for ideas,



improved analytical skills of staff in PME, and improved link with field staff, improved responsiveness to stakeholders and M&E findings being used more strategically. VTRC improved very slightly in the capability to deliver on development objectives as they now have in place certain efficiency monitoring systems in place that relate to their improved M&E capacity. The organization improved slightly in its capability to relate because VTRC is involving government departments and community leaders in its strategic planning increased its networks and the second line leadership is given more responsibilities. Finally, there was a very slight improvement in the capability to achieve coherence because there were some strategic changes made in the CARE network program and they improved their operational guidelines.

All in all, changes took place in all the five capabilities, for most of the SPOs, as can also be seen in the table below. Most of these changes have been slight improvements. For 2 SPOs, very minor negative changes took place: COUNT (capability to deliver on development objectives), whilst for Samarthak Samiti very minor in deteriorations took place in three capabilities (capability to act and commit; to deliver on development objectives; to achieve coherence). The capability to adapt and self-renew has slightly improved for all the SPOs. This is often related to the improvement in the way monitoring and evaluation is carried out and supported. This was also one of the two capabilities that was intended to be targeted most with MFS II capacity development interventions, as indicated during the baseline. Please also see the next section (attribution question). For the following SPOs most improvements have taken place (0.5 or more): BVHA (2 capabilities); Jana Vikas (3 capabilities); Smile Foundation (1 capability); VTRC (3 capabilities). For Samarthak Samiti the changes have been mainly negative, although very minor. RGVN and SDS hardly improved. It must be noted that within these capabilities, and related to the specific indicators, mainly improvements but also some deteriorations have taken place. This is very much specific to the organization. For specific details about each SPO, we refer to the specific 5C reports.

Table 5

Changes in terms of average capabilities	BVHA	COUNT	FFID	JANA VIKAS	NEDSSS	RGVN	SAMARTHAK SAMITI	SDS	SMILE	VTRC
Capability to act and commit	0.5	0.4	0.0	0.6	0.3	0.1	-0.1	0.2	0.5	0.5
Capability to adapt and self-renew	0.5	0.4	0.2	0.6	0.3	0.1	0.2	0.2	0.4	0.7
Capability to deliver on development objectives	0.7	-0.1	0.3	0.1	0.1	0.0	-0.1	0.2	0.2	0.3
Capability to relate	0.3	0.3	0.3	0.9	0.2	0.0	0.3	0.1	0.5	0.6
Capability to achieve coherence	0.1	0.3	0.0	0.4	0.1	0.1	-0.1	0.4	0.3	0.3

Key organizational capacity changes as perceived by the SPO - general causal map

For each organization, a discussion with staff was facilitated, so as to understand what they perceived as the key organizational capacity changes in the organization since the baseline, and how these changes have come about. It was expected that this would provide a comprehensive story for the SPO on what they perceived as the most important changes as well as providing reasons for change, which were difficult to surface from the 33 standard indicators. It must be noted that this information has not been verified with other sources of information, as has been done with the process tracing as explained in the next paragraph. Below you find the results per SPO. For more details about the specific findings please see the 5C reports for the SPOs.

BVHA

During the endline workshop the key organizational capacity changes that were brought up by BVHA's staff were strengthened program monitoring and operational planning; improved capacity for Sexual and Reproductive Health Rights (SRHR) advocacy at state level and increased capacity to leverage more funds. According to the SPO, these changes happened to partly overlap with the key organizational capacity changes that were selected for process tracing because. A key organizational capacity change that was brought up by BVHA's staff but that was not selected for process tracing was: increased capacity to leverage more funds. This capacity increased because of improved visibility, due to improved SRHR advocacy at state level; improved networking, due to being a member of the SRHR Alliance (MFS II funded); and due to improved project outcomes (mostly of MFS II funded projects). For the other changes, please see the next section.

COUNT

During the endline workshop the key organizational capacity changes that were brought up by COUNT's staff were diversification of funds, reduction of program costs and improved strategic planning. These changes happened to overlap with the key changes that were selected to process tracing as they were linked to MFS II supported capacity development interventions. Please see the next section.

FFID

During the endline workshop some key organizational capacity changes were brought up by FFID's staff: improved planning, monitoring and evaluation and diversification of funding. These changes happened to overlap with the key organizational capacity changes that were selected for process tracing because they were linked to MFS II funded capacity development interventions. Please see the next section.

JANA VIKAS

The evaluators considered it important to also note down the SPO's perspectives on the most important organizational capacity changes since the baseline. During the endline workshop the key organizational capacity changes that were brought up by JV's staff were: improved networking with government, NGOs and CBOs; and improved systems of program monitoring

in place. It is expected that both these areas will contribute to improve its capacity for resource mobilization. Improved networking with government, NGOs and CBOs was because of building of a trust relationship with the government after the cyclone in October 2013, and because of JV's involvement in the REHNUMA alliance with other NGO and CBO partners. Both of these developments can be attributed to JV's improved capacity to lobby and advocate on government entitlements which was a result of trainings and exposure visits funded by MFS II and MISEREOR. The systems of program monitoring in place improved because of an accountability mechanism that is now in place, improved PME and better compliance. According to JV staff, improved PME is due to MFS II funded trainings on RBM, PME, strategic planning and SHG management. JV improved its compliance to its operational guidelines because of the revision of operational policies and the formation of thematic committees to see to the implementation of policies. The policies were revised during a Policy development workshop that was funded by MFS II. All in all, MFS II funded capacity development interventions, according to JV, had an effect on the organization's capacity to lobby and advocate on government entitlements, knowledge on RBM and PME; and revision of policies. Other underlying factors relate to restructuring of the organization, and stricter government policies on foreign funding, changing donor priorities and natural calamities.

NEDSSS

During the endline workshop the key organizational capacity changes that were brought up by NEDSSS' staff were: improved systems in place, increased visibility and diversification of funding. An MFS II supported capacity development intervention has played a role in improved systems in place. MFS II co-funded with MISEREOR a training on Society Registration and Documentation for the Governing Board and General Body, which made the board and body more proactive in improving systems. Trainings on financial management FCRA and government regulations, mostly funded by Missio München also were important to increase the knowledge of the director and governing body and led to a legal way of documentations. These trainings were triggered by changes in government rules and regulations concerning foreign funded NGOs. NEDSSS improved its visibility because the organization produced many publications and improved their networking. Of these publications the HRE Modules were funded by MFS II. The diversification of funding was triggered by a need to diversify funding because of a changing donor environment and changing government regulation on foreign funding. An organizational assessment funded by CARITAS India led also to NEDSS focusing more on financial sustainability of the organization. Staff skills in proposal writing and diversification of intervention areas allowed NEDSSS to attract new donors. According to NEDSSS, MFS II funded capacity development interventions have played a role, particularly in terms of the governing board and general body becoming more proactive and in terms of part of the publications that helped NEDSS become more visible since the baseline in May 2013.

RGVN

During the endline workshop the key organizational capacity changes that were brought up by RGVN's staff were: improved staff capacity to train partners on technology and other issues; and improved relationships with networks. According to RGVN their capacity in training their partners improved partly because of the field experience that they gained and trainings and exposure visits they went on that were funded by Hivos (MFS II), SIDBI and SDTT. RGVN staff got more access to trainings and visits because of gap identification and a change in the strategic plan which required staff to develop new skills. The gaps were identified as a result of fortnightly meetings and strengthened M&E because of donor (Hivos) requirements. RGVN improved its relationships with the government, market, PSUs and private sector. The relations

with the government improved because of the new programs RGVN is involved in and because of some trainings of government department that they attended. The linkages with the market improved because of new programs and trainings by Hivos, SDTT and SIDBI. The relations with PSUs and the private sector improved because of new programs and RGVN obtaining a CSR eligibility certificate. RGVN improved its network with government, market, PSUs and the private sector also because of working on new programs that fitted their new sustainable livelihood strategic focus of RGVN, which was triggered by floods, the Phailin cyclone, the microfinance crisis and the changes in donor's priorities (from microfinance to agriculture/livelihoods). According to RGVN, MFS II funded capacity development interventions have played a role in the key organizational capacity changes, particularly in terms of improving their staff capacity to train partners on technology and other issues and improved linkages with the market.

SAMARTHAK SAMITI

During the endline workshop the key organizational capacity changes that were brought up by SS' staff were: improved staff capacity to write reports, improved staff capacity to train target groups and improved capacity for financial sustainability. An MFS II supported capacity development intervention (financial management training) together with trainings by other funders like SDTT and Astha Sansthan have played a role in improving data collection and compilation skills which contributed to staff capacity to write reports. SS staff being better able to train target groups can be attributed to trainings and exposure visits funded by MFS II and other funders (SDTT, IRMA). These trainings focused on business plan development, marketing etc. furthermore staff have also taken on more responsibilities due to reduced funding as a result of shifting donor priorities. Finally, SS improved their capacity for financial sustainability because of new funding strategies, that were triggered by reduced funding, and improved interaction and networks with like-minded NGOs and government agencies. According to SS, MFS II funded capacity development interventions thus played a role mainly in terms of improving their data collection and compilation competencies and in improving their understanding of the technical aspect of their role in supporting and training their target groups, in particular in advising beneficiaries on sustainable farming etc. A general shift of the donor priorities and reduced funding have been important triggers for these changes.

SDS

During the endline workshop the key organizational capacity changes that were brought up by SDS' staff were: improved research capacity, improved documentation related to FCRA and improved focus on community outreach program and action research. SDS said it improved its research capacity because of hiring skilled new staff, training existing staff (both mentioned above) and experience they gained by doing more research. The underlying reasons for these changes were the new vision and mission of SDS and the separation of IPAC, so that SDS could focus on research. SDS improving its documentation related to FCRA was triggered by a documentation training and a changing donor environment in which the government regulations for foreign-funded NGOs became stricter and the CSR Act was implemented. SDS improved its focus on community outreach program and action research because of their new vision and mission. The vision and mission were changed because of the changing donor environment and IPAC becoming a separate entity. MFS II funded capacity development interventions were not mentioned as having played in important role in the organizational capacity changes that SDS identified as being key, during the endline workshop.

SMILE

During the endline workshop the key organizational capacity changes that were brought up by Smile's staff were improved fundraising capacity and improved capacity to organize trainings for CBOs. These changes happened to overlap with the key organizational capacity changes that were selected for process tracing as they were linked to MFS II funded capacity development interventions. Please see the next section.

VTRC

During the endline workshop the key organizational capacity changes that were brought up by VTRC's staff were: improved competency of staff in Edugate Programme, improved capacity of staff to deliver SRH and HIV/AIDS program and improved PME. These changes happened to overlap with the key changes that were selected to process tracing. Please see the next section.

On the whole, according to SPOs for which a 'general causal map' was developed based on what they perceived as key organizational capacity changes since the baseline, MFS II funded capacity development interventions were mentioned as playing a role in bringing about these changes, especially in terms of enhancing staff capacity (3 SPOs): Jana Vikas, NEDSSS, RGVN, Samarthak Samiti. This was not the case for SDS. Internal factors have also played a role but for Samarthak Samiti these were less prominent. External factors were also important, in particular changing donor priorities (all 5 SPOs) and changes in government rules and regulations concerning foreign funded NGOs (2 SPOs).

Table 6: Key underlying reasons for key identified organizational capacity changes, as perceived by the SPO										
SPOs:	BVHA	COUNT	FFID	JANA VIKAS	NEDSSS	RGVN	SAMARTHAK SAMITI	SDS	SMILE	VTRC
Key organizational capacity changes as identified by SPO and key underlying reasons for change	increased capacity to leverage more funds.	See next section	See next section	improved networking with government, NGOs and CBOs; improved systems of programme monitoring in place	improved systems in place; increased visibility and diversification of funding	improved staff capacity to train partners on technology and other issues; and improved relationships with networks	improved staff capacity to write reports, improved staff capacity to train target groups and improved capacity for financial sustainability	improved research capacity, improved documentation related to FCRA and improved focus on community outreach programme and action research	See next section	See next section
MFS II funded capacity development interventions	SRHR Alliance	See next section	See next section	Enhancing SPO's capacity to lobby and advocate on government entitlements; knowledge on RBM and PME; evision of policies.	Supporting governing board and general body becoming more proactive; supporting publications	Improving staff capacity to train partners on technology and other issues and improved linkages with the market	Improving data collection and compilation competencies and in improving technical competencies	-	See next section	See next section
Internal factors	improved SRHR	See next	See next	restructuring of the organization	publications; improved	new sustainable livelihood strategic focus of RGVN		new vision and mission of SDS	See next	See next

Table 6: Key underlying reasons for key identified organizational capacity changes, as perceived by the SPO										
	advocacy at state level; improved networking (member of the SRHR Alliance); to improved project outcomes (MFS II)	section	section		networking			and the separation of IPAC	section	section
External factors (including other funders)		See next section	See next section	Stricter government policies on foreign funding; changing donor priorities; natural calamities.	changes in government rules and regulations concerning foreign funded NGOs; changing donor priorities; training by other funders	Floods, the Phailin cyclone, the microfinance crisis and the changes in donor's priorities (from microfinance to agriculture/livelihoods) (which triggered new sustainable livelihood strategic focus of RGVN)	General shift of the donor priorities and reduced funding	Especially changing donor environment	See next section	See next section

5.2.3 Attribution of changes in partner organization's capacity and reasons for change (evaluation question 2 and 4)

This section describes the main findings and conclusions for the second evaluation question: **To what degree are the changes identified in partner capacity attributable to development interventions undertaken by the MFS II consortia (i.e. measuring effectiveness)?** And the fourth evaluation question: **"What factors explain the findings drawn from the questions above?"**

Key organizational capacity changes/ outcomes of the SPO were identified, based on their relationship to the two selected capabilities, the capability to act and commit the capability to adapt and self-renew, and an expected relationship with CFA supported capacity development interventions (MFS II funding). It was agreed to focus on these two capabilities, since these are the most targeted capabilities by the CFAs, as established during the baseline process. Furthermore, since 'process tracing' is used for this purpose, and this is a very intensive process, not all capabilities could be focused on. For more information about the methodology, please see Appendix 2 BVHA, COUNT, FFID, SMILE, VTRC were the five SPOs selected for process tracing. Below the key findings are discussed. But for more detailed information please see the 5C reports for the SPOs.

BVHA

The following key organizational capacity changes were identified for process tracing: strengthened program monitoring and operational planning; improved capacity for Sexual and Reproductive Health Rights (SRHR) advocacy at state level and increased capacity to leverage more funds. Strengthened program monitoring and operational planning, with specific reference to the SRHR project, can to a large extent be attributed to MFS II supported capacity development interventions, and in particular the five biannual PME meetings (also planned during the baseline) and the feedback by Simavi on progress of the SRHR project. The only non-MFS II factors that have played a minor role are the regular staff meetings and the training on project management funded by the International Union, New Delhi. Under the improved capacity for Sexual and Reproductive Health Rights (SRHR) advocacy at state level, most of the improvement in BVHA's competence to deliver SRHR services can be attributed to MFS II funded capacity development interventions. Under the same organizational capacity change improved knowledge on advocacy and lobbying on SRHR can partly be attributed to MFS II supported capacity development interventions.

COUNT

The following key organizational capacity changes were identified for process tracing: diversification of funds, reduction of program costs and improved strategic planning. Diversification of funds and reducing program costs can be only partly attributed to MFS II supported capacity development interventions, which have played a relatively important role in improving the funding situation of COUNT, particularly in terms of accountability towards and retention of existing donors. Improved strategic planning can be largely attributed to MFS II supported capacity development interventions. These interventions, which include COUNT's involvement in different MFS II funded evaluations that aimed to improve COUNT's capacities and implementation of programs, played an important role in terms of the development of a

phase-out plan, improved staff skills in data collection and reporting, and more efficient project fund allocation.

FFID

The key organizational capacity changes identified for processes tracing were: improved planning, monitoring and evaluation; diversification of funding; and improved compliances with HR and financial norms. Under improved PME, improved planning can be partly attributed to MFS II funded interventions and partly to internal factors within FFID and their improved M&E system can almost completely be attributed to MFS II funded capacity development interventions. In diversifying FFID's funding base, only one MFS II funded capacity development intervention (an effective communications workshop in 2013) has played a role and this role was minor in terms of FFID's diversification of funding. External factors like the changing climate and demand for organic cotton; internal factors like the strategic change and projects and trainings with other funders have played a more important role in stimulating the organization to diversify its FFID's funding base. Finally for FFID's improved compliances with HR and financial norms, only the compliance to financial norms can to a large extent be attributed to an MFS II funded capacity development intervention (a financial management workshop). The compliance to HR norms was because of internal developments at FFID.

SMILE

The following key organizational capacity changes were identified for process tracing: improved fundraising capacity; and improved capacity to organise trainings for CBOs. MFS II supported capacity development interventions have played an important role in improving the fundraising capacity of Smile, particularly its improved knowledge and skills on branding and fundraising and its brand development and positioning can be to a large extent attributed to MFS II funding. However, internal factors like hiring new fundraising staff and improved interdepartmental communication also have played an important role. MFS II supported capacity development interventions have also played an important role in improving the capacity of Smile to organize trainings for CBO, particularly in terms of enhancing the competencies of a now well-trained CBO team. The other change to which the dedicated and well-trained CBO team can be attributed is the "redesign and restructuring of the organization", which cannot be attributed to MFS II supported capacity development interventions and overall played a less important role.

VTRC

The following key organizational capacity changes were identified for process tracing: improved competency of staff in Edugate Programme, improved capacity of staff to deliver SRH and HIV/AIDS program and improved PME. As Red een Kind is the main funder of VTRC, their funding for trainings and support to the organization have led to most of the organizational capacity changes in VTRC. The improved competency of staff in the Edugate program was due to improved knowledge and skills of the staff on participatory approach and child rights; and improved knowledge and skills of the tuition teachers. Both these organizational capacity changes can be fully attributed to MFS II supported capacity development interventions. The improved capacity of the staff to deliver the SRH and HIV/AIDS program was due to increased awareness and knowledge on SRH and HIV/AIDS among VTRC staff and because of the development of IEC material and L&A curriculum. These organizational capacity changes can be attributed by MFS II funded capacity development interventions and by VTRC's participation in the Health Bridge Alliance (HBA) (also MFS II

funded but not a capacity development intervention). Improved PME can also be almost entirely attributed to MFS II funded capacity development interventions. Being a member of HBA and going to their meetings was also an important influence on improved PME (also funded by MFS II but not a capacity development intervention).

All in all, and also when looking at the table below, One can see that MFS II capacity development interventions have played a very important role in terms of the selected organizational capacity changes, especially for VTRC where the all the 3 identified changes can be attributed to MFS II support to capacity development, where the CFA is the main funder of the organization. Training and feedback by the CFA have played an important role in bringing about these changes. For Smile Foundation the role of MFS II funded has been relatively less compared to the others. Smile Foundation is a well-established organization, and the CFA is only one of the many funders. Improved PME was an important organizational capacity change for 4 SPOs, and these can all to a large extent be attributed to MFS II funded capacity development interventions. For 3 SPOs there has been the need to diversify its funding situation so as to deal with changes in the donor environment; MFS II funded capacity development interventions but also, even more so in some cases, internal changes and actions have proven to be important. For 3 SPOs MFS II supported capacity development interventions have assisted in the strengthening of staff competencies. Especially in the case of VTRC, this can be mainly attributed to MFS II, but for BVHA and Smile also other factors (mainly internal) have played a role.

Table 7: Attribution of selected, key organizational capacity changes to key underlying factors

SPOs:	BVHA		COUNT		FFID		SMILE		VTRC		
Key organizational capacity changes and key underlying reasons for change	strengthened programme monitoring and operational planning;	improved capacity for Sexual and Reproductive Health Rights (SRHR) advocacy at state level	diversification of funds and reduction of programme costs	improved strategic planning	improved planning, monitoring and evaluation	diversification of funding	improved fundraising capacity	improved capacity to organise trainings for CBOs	improved competency of staff in Edugate Programme	improved capacity of staff to deliver SRH and HIV/AIDS programme	improved PME
MFS II funded capacity development interventions	xxx improved M&E knowledge through five biannual PME meetings; feedback by Simavi on progress of the SRHR project	xx knowledge on SRHR advocacy and lobbying through training	x accountability towards and retention of existing donors	Xxx development of a phase-out plan; improved staff skills in data collection and reporting; more efficient project	xxx Strategic staff meetings; improved reporting competencies (training and feedback); quarterly review meetings	x effective communications workshop	xx improved knowledge and skills on branding and fundraising and its brand development and positioning	xx enhancing the competencies of a now well-trained CBO team	XXX improved knowledge and skills of the staff on participatory approach and child rights; and improved knowledge and skills of the	XXX increased awareness and knowledge on SRH and HIV/AIDS among VTRC staff and because of the development of IEC	XXX Training and feedback for improved reporting; planning and review meetings, outcome study and training on programmatic approach, for improved

Table 7: Attribution of selected, key organizational capacity changes to key underlying factors

				fund allocation.					tuition teachers	material and L&A curriculum.	planning and review
Internal factors	X regular staff meetings	X Networking through involvement in SRHR project (MFS II)	xxx Reduction of program costs; strengthening networks; income generation through self-help projects and attracting new donors		Xx More field visits; project intervention committee set up	xx strategic change; projects with other funders	xx hiring new fundraising staff and improved interdepartmental communication	X redesign and restructuring of the organization			
External factors (including other funders)	X training on project management funded by the International Union, New Delhi	x knowledge on SRHR advocacy and lobbying through training by other funders;	Xx Changing donor environment			xx changing climate and demand for organic cotton; trainings by other funders			x	X participation in the Health Bridge Alliance (HBA)	X participation in the Health Bridge Alliance (HBA)

Table 7: Attribution of selected, key organizational capacity changes to key underlying factors

		networking through training by other funders									

xxx= can to a large extent be attributed to this factor; xx= can partly be attributed to this factor; x = can to a minor extent be attributed to this factor

6. Civil Society

This section represents the findings of the Civil Society component of India for which the CIVICUS framework was used and which looks at five dimensions: civic engagement, level of organization, practice of values, perception of impact and the civil society context. This last dimension influences the space – the arena - that civil society organizations and citizens have to debate, discuss, associate and to influence society with regards to the concerns or the ambitions they have that may impact upon the civil society arena itself, households, the public and/or the private sector.

6.1 The sample of NGOs in this evaluation

The sample

For the Civil Society Component the sample of the SPOs to be included in the evaluation was conducted by the evaluation team in 2012. As the ToR explicitly emphasized the focus on the relevant MDGs and themes in the selected country for the civil society evaluation, the team first identified the most relevant MDGs and themes in terms of the number of MFS II funded projects classified under the MDGs and themes that have a civil society and/or policy influencing component. The sampling procedure was the following:

1. Identify the 2 most relevant (frequent) MDGs and themes.
2. Randomly sample 7 SPOs per selected MDG/theme, from which the last 2 are reserves. Hence, the sample size is 10 SPOs in total.
3. If SPO is part of the capacity development sample, replace the SPO from the reserve list.

Only those SPOs were eligible for the civil society evaluation that had an on-going contract with a CFA on 1 January 2012 and were directly contracted by the CFA, leading to a total population of 110 SPOs.

The most frequently mentioned MDGs or themes in this population were the governance theme, excluding all those SPOs that also classified under other MDGs, in total 17 SPOs; and MDG 1: economic and agricultural development, which has a population of 30 SPOs.

The following table presents the SPOs and their Dutch partner organizations in the sample.

Table 8
Sample of SPOs and their Dutch partners in the civil society evaluation

SPO	Dutch Partner	Dutch Alliance	MDG/theme	Contract period	Contract amount MFS II
CECOEDECON	ICCO	ICCO Alliance	MDG 1	April 2012-March 2014	€ 97,314
CENDERET	Cordaid	Partners for Resilience	MDG 1	January 2011 - March 2012, extended until July 2013	€ 363,852
Centre for Sustainable Agriculture (CSA)	Hivos	People Unlimited 4.1	MDG 1	April 2011 - March 2015	€ 232, 050
Gram Vikas	ICCO	ICCO Alliance	MDG 1	April 2011 – March 2014	€ 249,243
Gene Campaign	Hivos	People Unlimited 4.1	MDG 1	October 2010 – September 2013	€ 192,500
Centre for Workers' Management (CWM)	Hivos	People Unlimited 4.1	Governance	October 2012 – September 2014	€ 108,000
Prithvi Theatre	Hivos	People Unlimited 4.1	Governance	April 2010 – March 2012	€ 80,000
Reds Tumkur	ICCO	ICCO Alliance	Governance	April 2012 – March 2013 April 2013 – March 2014	€ 80,000
Ninasam	Hivos	People Unlimited 4.1	Governance	April 2012 – March 2015	€ 32,308
Network of Northeast Tribes (NNET)	Mensen met een Missie	Communities of Change	Governance	April 2011 - March 2012 April 2012 – March 2013 April 2013 – March 2014	€ 233,682

In 2012, nine SPOs participated in a baseline assessment as foreseen. Due to insecurity in the North Eastern India region, data collection for NNET was postponed to May 2013. At the baseline, Prithvi Theatre's relation with Hivos had already ended.

In 2014 we have contacted all above mentioned SPOs and for the following reasons we did not conduct a civil society assessment for Prithvi Theatre and CENDERET.
As mentioned, Prithvi's relation with Hivos had ended during the baseline study. The evaluation team did not receive an answer to a request for additional data sent to Prithvi in 2014.
CENDERET's partner Cordaid decided to stop collaboration with the SPO in December 2013. CENDERET has not been able to implement project activities since the baseline assessment in 2012. At that moment CENDERET's project coordinator resigned; financial transfers from Cordaid were hindered, leading to project staff being dismissed, and; a new attempt to restart the project failed in September 2013.

Short description of the NGOs in the sample for MDG 1

Centre for Development Research & Training (CENDERET) in Odisha was created in 1988. It aimed to be "a resource centre catalysing sustainable development for empowering the rural people of Orissa". It collaborated with Cordaid since 1999. Under MFS II, CENDERET intended to implement a community based disaster risk reduction and management program between 2012 and 2015. As mentioned above, CENDERET's partnership with Cordaid ended in July 2013 and the implementation of interventions practically stopped in the first semester of 2012: CENDERET was incapable to prepare its communities for the very severe cyclonic storm Phailin in October 2013 and that of Hudhud in 2014.

Gram Vikas is also based in Odisha state and was created in the 1970s to serve victims of a devastating cyclone. It is a partner of ICCO since 1984 and is implementing the third phase of its MANTRA program which consists of ensuring water and sanitation facilities in villages with a

higher concentration of poor and marginalized communities. One of MANTRA's core principles is that all families in a village need to adhere to the water and sanitation facilities as a strategy to overcome barriers of social inclusion. After this 100 percent coverage the SPO starts to work with communities on other development issues. Over a period of 15 years, Gram Vikas covered 62,900 households in 1,095 villages (March 2014). ICCO supports the program in the 2011 – 2014 period for 1800 households and 30 villages, which represents 25 % of the total program budget. Important aspects for the Civil Society evaluation are the Village Executive Committees that become development institutions and support social inclusion of marginalized communities. When cyclone Phailin hit Odisha state in 2013, Gram Vikas reoriented its strategy to support reconstruction activities.

CECOEDECON was founded in 1982 in Rajasthan by social workers to also provide immediate relief to the victims of devastating floods in Jaipur district in 1982. It is a partner of ICCO since 2000 and the last contract ended in March 2014 which is part of CECOEDECON's fifth Participatory Initiative for Integrated Rural Development. Its core principle is to undertake interventions that lead to community self-reliance and empowerment. Some 500 villages each have a Village Development Committee, which are represented in a democratic body at block level and ultimately in a one farmer union at state level. ICCO's contribution to the fifth program is 14 % of the budget. MFS II concentrated upon the creation of farmer clubs, awareness raising and lobbying activities on climate change at global level; the empowerment of adolescent girls; and organizational and institutional development of the above mentioned VDC, KSS and KSSM.

The *Centre for Sustainable Agriculture* (CSA) is known for having demonstrated that regenerative and resource conserving technologies and practices of agriculture can bring both environmental and economic benefits to farmers and their communities. Its model of Non Pesticide Management (NPM) agriculture has served the interests of many rural communities and has also been adopted by the government of Andhra Pradesh since 2004. Apart from NPM, CSA also promotes organic agriculture. Hivos has been supporting CSA since 2006 and the current contract (April 2011 – March 2015) aims to organize farmers into cooperatives and enhance their access to markets. Major components are the establishment of integrated farming system models; building farmer cooperatives to improve market access, and lobby and advocacy for a more supportive policy environment.

Gene Campaign was created in 1993 as a reaction to international trends regarding the monopolization of genetic resources and the threats these posed on the livelihoods of tribal communities depending upon these resources. Gene Campaign is a research and advocacy organization which works with village communities as well as at policy making level. Hivos' support to Gene campaign started in 2007 in Jharkhand. Hivos' last 2010 – 2013 contract supported the Jharkhand office with regards to weather advisory services; conservation of crop genetic diversity; community based production of quality seed; sustainable and high yielding crop production and; lobby and advocacy at national level together with the Revitalizing Rainfed Agriculture network (RRA)

Short description of the NGOs in the sample for governance

Centre for Workers' Management (CWM) is a resource center, created in 1991 to serve working people and their organizations, mainly trade unions. CWM supports trade unions to ensure 'unity among workers', as well as the 'right to association' and the 'right to collective bargaining', which would improve working conditions of people informally employed, such as domestic workers, garment sector workers, tea plantation workers. CWM's most important services consist of training and advisory, research and documentation and supporting trade

unions in their lobby and campaign activities. Hivos and CWM's 10 year collaboration ended in 2014. Hivos' last contract (2012 -2014) aimed to create a school for trade unionists; to continue research and documentation in support of trade unions in their lobby and advocacy efforts. CWM works at the national level, but it has been mostly active in Karnataka and Tamil Nadu in the garment sector and that of domestic workers.

Also based in Karnataka is ICCO's (and for some time Cordaid's) partner *Rural Education for Development Society* (REDS). REDS was created in 1984 and for the past years has built a movement of Adijan (formerly known as Dalit) people organized in 1000 Adijan Panchayats at village level in Tumkur District, as well as Panchayats at all administrative levels between village and Karnataka state level. The movement addresses caste inequality and atrocities committed; creating a new identity; claiming rights to government schemes, including land titles; develop female leadership, and; ensuring sustainable livelihoods. ICCO has been a partner of REDS since 2005 and its last contract ended in March 2014. This collaboration supported interventions to address the aforementioned issues through awareness raising, movement building, lobby and advocacy needed at different administrative levels concentrating on Tumkur district.

Ninasam is a community theatre institute with 'no gates' located in a small rural town in Karnataka. It nurtures young theatre practitioners and develops theatrical productions reaching a rural audience of at least 100,000 in Karnataka. In 1980 the Ninasam Theatre Institute was created, followed amongst others by Tirugata in 1985 as a strategy to support graduates to obtain working experiences. This travelling theatre troupe takes major theatre productions to different rural and semi-urban centers in Karnataka every year and is still expanding in terms of audience, locations and troupes participating. Hivos supports this organization since 2003 and the most recent contract covers the 2012 – 2015 period is meant to; increase Ninasam's outreach of Tirugata's theatre productions in remote areas, addressing social or political themes to raise the awareness of their audience; support the Theatre Institute, a culture course and Summer Theatre Workshop. Ninasam further plays an important role in the India Theatre Forum created by Prithvi Theatre. Ninasam is being promoted by a family which is reputed for their contribution to theatre and literary culture in India.

Prithvi Theatre is a family trust based in Mumbai, Maharashtra, which received Hivos' support since 2004. The organization tries to promote alternative performance venues and reaches out to diverse audiences. Since 1991, summer-time children's workshops are conducted using theatre-related skills, focusing on child growth, building theatre appreciation and a future audience. An annual Prithvi Festival is organized since 1983, where the best of national and international theatre is brought in for performances at venues across the city. Hivos' support already stopped in March 2012, before the baseline assessment of this evaluation was conducted. Support was meant amongst others to create a vibrant cultural hub that enhances diversity of cultural experiences and provides space for those theatre groups that cannot afford theatre space, and; to create the India Theatre Forum as an enabling network for the theatre community in India.

Network of NorthEast Tribes (NNET) was founded in 2007 when several mostly religious organizations involved with the cause of the Adivasis and tribes of Assam, Tripura and Manipur decided 'to work as a catalyst in promoting Right Based Development to the indigenous tribal communities'. After a women literacy program, NNET is currently raising the awareness of tribal people regarding their rights, trains para legal activists to support tribal people, educates tribal people and their leaders to understand their own situation. 'Mensen met een Missie', member of the Communities of Change Alliance supports NNET since 2007 with the implementation of their program.

6.2 The evaluation methodology

6.2.1 Evaluation procedures

The evaluation questions consisted of identifying changes occurred in line with the CIVICUS dimensions in the 2012 – 2014 period, the extent to which these changes are to be attributed to the Indonesian NGOs and to MFS II, the relevance of these changes and factors explaining the changes. Information about the CIVICUS framework and the evaluation methodology used can be found in the appendices.

The first evaluation question identified *changes in civil society* in the 2012 – 2014 period, with a particular focus on the relevant MDGs & themes in India. A scoring tool with 17 indicators was developed during the baseline, resulting in the description and a score (0-3) in 2012. During a workshop with the SPO in 2014, workshop participants received the description of the indicator obtained during the baseline and where asked to describe qualitative changes as well as give an indication of the importance of the change on a scale of -2 -- +2. Apart from this document analysis and follow-up interviews with the SPO provided additional information.

For the *attribution question* a theory based methodology was used for five of the ten NGOs and comprising a maximum of two outcomes achieved in the 2012 – 2014 period because of resource constraints. For this in-depth outcome explaining process tracing method was used. A quick contribution assessment was done for the remaining five NGOs. The selection of the five NGOs was based upon an estimation of the MFS II budget for that NGO that is related to CIVICUS dimensions, ensuring that both NGOs working on MDG 1 and on governance were amongst the selected and a variety of Dutch partners.

For those SPOs included for in-depth process tracing in India, priority was given towards assessing impact with regards to the creation and performance of new CSOs by the SPOs and with regards to civic engagement which addressed amongst others social inclusion and people engaged in civil society. The steps to be followed were as follows:

- With the SPO identifying outcomes achieved in the 2012 -2014 period, providing evidence for these outcomes and develop pathways that according to the SPO explains the outcome
- With external resource persons and written materials, confirm that the outcome was achieved, and develop pathways that according to these persons explain the outcome (with a particular focus on rival pathways)
- Construct a model of change that encompasses all pathways that possibly explain the outcome.
- Identify information needs to confirm or reject each of the pathways and collect relevant information be it through interviews, document search etc.
- Analyze findings and conclude about the most likely pathway that explains the outcome, the nature of the relation between the pathway and the outcome and the role of the SPO and MFS II in this.

The *relevance question* was assessed through interviews with the Indian NGOs and their Dutch partners, as well as through context information and written documents. Relevance was assessed against the Theory of Change constructed with the NGO during the baseline assessment in 2012, the context in which the NGO is operating and the civil society policies of the Dutch MFS II alliance.

The *explaining factors* question assessed organizational factors of the SPO, its external context and the relation between the Dutch and the Indian SPO that explained the civil society changes achieved or not. No additional information was collected for this question.

A last additional assessment was made with regards to the *design* of the interventions by the Indian partner.

In 2013, a decision was made with the commissioner of the study to exclude an evaluation question related to efficiency because of the resources available.

More information on the methodology can be found in the appendix.

6.2.2 Limitations

General limitations consist of the limited time between the baseline and the end line study as well as that the programs implemented by the SPOs do not have particular targets set with regards to civil society. This meant that the evaluation team had to assess what parts of the programs related to civil society or not.

Project documentation was needed as a means to link outcomes to the CIVICUS framework, to obtain an overview of outputs-outcomes achieved versus planned, and to orient the in-country evaluation team for the attribution question. In practice the most recent progress reports were hardly available, did hardly report on outcomes and no monitoring systems are in place to track the performance of CSOs created by the SPOs.

Triangulation of data with external resource persons was not always possible, given the resources available for the evaluation team. This was in particular valid for the first evaluation question regarding changes, however the evaluation team triangulated self-assessments with progress reports, reports from the CFA and other sources where possible as can be seen in the description of the individual indicators. Like during the baseline, government officials were not willing to take part in the evaluation because of the strict protocol they have to follow.

With regards to the attribution question, the most important limitations are the following:

- Although strategic orientations were given for the selection of outcomes to be explained through process tracing, there was a bias towards selecting positive outcomes, although not all positive outcomes identified by the SPO were validated by external resource persons. The design of the model of change is another critical step in the process, because at the moment of the design, still most of the information gathered has been provided by the SPO itself, and only a limited number of external resource persons were consulted to formulate rival explanations. This bias was countered by using Bayesian thinking; the more confidence the in-country evaluation team had in the SPO explaining the outcome, the harder they had to concentrate on rival pathways.
- Due to limited time and considerable traveling costs the in-country evaluation team was constrained to only once visiting the intervention zone of the SPO, leaving hardly any possibility to check and cross check information to reject and confirm pathways.
- The process tracing methodology is not a simple step to step forward methodology and therefore requires a lot of back and forth between CDI and IDF, in the first place to get the methodology right, in the second place to assess if there is sufficient information collected.

The CDI team would have gained in being more consolidated (for example sending one type of feed-back to IDF) and having more dedicated time for the evaluation (feed-back did not arrive on time).

6.3 Evaluation findings

6.3.1 *Changes in Civil Society*

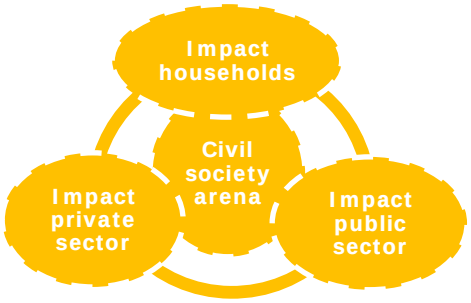
Introduction

The CIVICUS framework has five dimensions, civic engagement, level of organisation, practice of values, perception of impact and civil society context. During data collection we observed considerable overlap in indicators and also between dimensions. For a more meaningful overview of changes that occurred in the 2012 – 2014 period we here conclude about changes and perceived impacts that occurred in the civil society arena, those at household, the public sector and the private sector level (see figure below). These relate in the following way to the CIVICUS dimensions:

Within the civil society arena all findings regarding civic engagement, level of organisation, practice of values and a number of indicators from the perception of impact dimension are regrouped together.

Perceived impacts at household level are derived from information mostly found in the civic engagement dimension and that of perception of impact.

The perceived impacts for the public and the private sector are part of the perception of impact dimension.



In line with the evaluation question, we draw conclusions for those SPOs in MDG 1 and those in the governance theme. However we have not found any information suggesting that SPOs and their interventions have mutually reinforced each other to create one civil society arena. Each SPO had and still has its own arena, with possible impacts upon households, public sector and private sector.

This overview does not include Prithvi Theatre and CENDERET who have not been operational in the field since the baseline assessment.

Changes in MDG 1

Table 9
Perception of impact upon civil society, households, public and private sector.
Presentation of the absolute scores in 2012 (0-3) + relative change observed in 2014 (-2---+2)

SPO	Civil Society	Households	Public Sector	Private Sector
Gram Vikas	2+1	3+1	3+1	0+0
CECOEDECON	3+1	3+1	3+1	1+0
CSA	3+1	2+2	2+1	1+1
Gene Campaign	2+1	2+1	2+0	Not applicable

Source: Individual evaluation reports.

Perceived impact in the civil society arena of SPOs for MDG 1

All four partner organizations have supported the creation of civil society by means of creating new organizations that are capable to defend the rights of their constituents; have supported that new networks within civil society were created; have ensured that new relations were build amongst people from different tribal and caste backgrounds, stimulating social inclusion of marginalized groups. Whereas CECOEDECON continued to work with the movement it has created for the past decades where village committees are federated in structures at block level, district level and state level, Gram Vikas continued to create Village Committees in charge of the coordination of water and sanitation programs in an inclusive way. Gene Campaign created some farmer clubs and CSA organized such farmer clubs into cooperatives, including female farmers.

Apart from the Jharkhand office of Gene Campaign, whose network deteriorated since the baseline and that of CECOEDECON remaining stable, CSA and Gram Vikas expanded their collaboration with other civil society organizations.

Perceived impact at household level.
Only testimonies of livelihoods improvements were available to assess the impact at household level. Perceived impact is to be framed in terms of increased access to water and sanitation facilities (Gram Vikas), households being supported to access government schemes (CECOEDECON), diversity of livelihood strategies (CSA). The perceived impact of Gene Campaign seems limited.

Perceived impact with the public sector
Three of the four SPOs have intensified their collaboration with government schemes and also have been successful in influencing public sector policies and practices: the 100 percent water and sanitation coverage of villages as a means to ensure social inclusion became a policy (Gram Vikas); policies were influenced with regards to GM crops and Minimum Support Prices (CECOEDECON and CSA) and other policies related to agricultural and rural development issues. Only Gene Campaign in Jharkhand did not engage with the public sector.

Perceived impact with the private sector
Generally speaking the four SPOs did not engage with private sector organizations, apart from obtaining grants or linking their farmer organizations into the supply chain. For one SPO this is a principle.

Changes in Governance

Table 10
Perception of impact upon civil society, households, public and private sector.
Presentation of the absolute scores in 2012 (0-3) + relative change observed in 2014 (-2---+2)

SPO	Civil Society	Households	Public Sector	Private Sector
CWM	2+1	2+1	0+0	0+0
Ninasam	2+1	3+1	1+1	0+1
NNET	2+0	2+1	2+0	1+0
REDS	2+0	3+1	2+1	0+0

Source: Individual evaluation reports.

Perceived impact in the civil society arena of SPOs - governance theme
Two of the three SPOs (Ninasam and NNET) have contributed to the creation of new and more intense relations amongst people from different backgrounds, leading to social inclusion of marginalized groups and the third organization (CWM) supported the creation of a South Asian network of trade unions in the garment sector. REDS decreased its support to the village Adijan Panchayats in Tumkur district, partially because, according to REDS, 350 of these were capable to function autonomously already in 2010, and partially because ICCO's and Cordaid's support to the movement stopped respectively in 2012 and in 2014. Currently REDS supports 550 of these bodies in Tumkur district.

Ninasam's own network expanded because of its increasing reputation: CWM expanded its collaboration with international organizations also working with trade unions. NNET, mainly due the remoteness and isolation of its organizations, did not increase the intensity of collaboration amongst its own ten member organizations, nor that with other organizations (in particular in Tripura). REDS increased its relations with organizations operating at national and international level, but seemingly does not engage with CSOs addressing the issues of Adijan People at Karnataka state level.

Perceived impact at household level.
Impact at household level is to be perceived in terms of access to subsidies or government schemes (some 3000 families with NNET); increased income due to successful lobby and advocacy through CWM's partner trade union (400,000 garment workers); 2,2 million rural and mainly tribal people being made aware of their social and political condition and increased employment opportunities (Ninasam). REDS' Adijan Panchayat movement supported 1438 families to successfully reclaim their land, totaling 2163 acres, and helped some families (approximately 700 families in one year) to access government schemes and subsidies worth € 465,000 in four years. Apart from this Adijan people seemingly are socially more integrated into society as they were before MFS II.

Perceived impact with the public sector
Apart from Ninasam that expanded its collaboration with public academies and universities; and tries to lobby for an insurance scheme for artists; CWM does by principle not engage with the public sector, stating that this is the role of the trade unions, and; NNET is working in a very hostile public sector environment. REDS' movement is actively relating with local administrations to obtain access to land, subsidies and government schemes, and also Adijan people massively participate in meetings to address key issues with the Karnataka government. REDS' director was nominated in the national task force body for land reforms which is however currently defunct given the new government that was elected in 2014.

Perceived impact with the private sector
NNET and CWM do not engage with private sector organizations whereas Ninasam, due to its good reputation is attracting the interest of the private sector for future and actual collaboration. Apart from having created its own solar lamp company and from receiving support from companies abroad, REDS is not influencing companies.

Changes in the civil society arena, at household level, in the public and private sector.

Table 1 and 2 gave an indication of changes that occurred in the civil society arena, household level and the public and private sector. The following table presents the total scores of these changes, which should be interpreted in terms of trends rather than of quantitative data.

Table 11
Changes observed in scores between baseline and end line
Total of scores presented in table 1 and 3

	Baseline situation	Changes observed at end line
Civil society arena	8	6
Household level	10	9
Public sector	5	5
Private sector	1	2

Most changes occurred at household level, followed by those in the civil society arena and the public sector. In fact baseline scores for these three types of changes were already high during the baseline, with the private sector lagging behind. Most changes that occurred since the baseline are minor changes scored with a 1.

6.3.2 Attribution/contribution/effectiveness

Introduction

This section presents findings with regards to the attribution question. Starting with an outcome achieved, the evaluation team developed a model of change that identifies different pathways that possibly explain the outcome. Data collection was done to obtain evidence that confirms or rejects each of these pathways. Based upon this assessment, the evaluation team concluded about the most plausible explanations of the outcome after which the role of the SPO and MFS II were being discussed.

The relations between the pathways and the outcomes can differ in nature as is being explained in the following table.

Table 12
Nature of the relation between parts in the Model of Change

Nature of the relation between parts and other parts or outcome
The part is the only causal explanation for the outcome. No other interventions or factors explain it. (necessary and sufficient)
The part does not explain the outcome at all: other subcomponents explain the outcomes.
The part explains the outcome but other parts explain the outcome as well: there are multiple pathways (sufficient but not necessary)
The part is a condition for the outcome but won't make it happen without other factors (necessary but not sufficient)
The part is a contributory cause it is part of a 'package' of causal actors and factors that together are sufficient to produce the intended effect.

Sources: Mayne, 2012; Stern et al, 2012

Not all SPOs underwent the same in-depth process tracing assessment and the procedures for selecting those SPOs included for in-depth process tracing has been explained in the appendix on the evaluation methodology. The other SPOs underwent a quick assessment.

Findings with regards to in-depth process tracing

CECOEDECON

The outcome to be explained consists of policy changes achieved in collaboration with the local structures the SPO created at village, block, district and state level. Three pathways were identified: 1) the changes are to be attributed to the structures created alone, 2) CECOEDECON support is needed and 3) other actors and factors explain the outcome.

Rival pathway 3 was rejected and the first two pathways are a causal package: The structures created by CECOEDECON are able to; represent the needs of their constituencies; react upon their demands, as well as to mobilise them when action is needed, and; engage with government administrations and elected bodies when needed, also at state level. However, they are still dependent upon CECOEDECON in financial and in technical terms. None of the actors could have reached these changes independently from the other. CECOEDECON's huge network and position in Rajasthan state also creates the necessary leverage for change. These outcomes build upon 30 years of organisational and institutional development and MFS II support was a continuation of these processes.

CSA

The first outcome achieved is an increased membership of female farmers and their participation in decision making in the cooperatives created by CSA. The outcome is explained by a number of favorable conditions *(necessary but not sufficient)* that are in place such as increased market access, government programs that have adopted CSA's Non Pesticidal Management Model and are promoting the position of women in society and in agriculture, as well as the existence of the culture of self-help groups. On top of this, different actors, including CSA each explain the outcome *(sufficient but not necessary)*.

The second outcome achieved is improved livelihood security of cooperative members. Also this outcome is explained by a number of favourable conditions (market demand; promotion of CSA's farming model) on the one side *(necessary but not sufficient)* and on the other side CSA's and public advisory centres' efforts to promote sustainable agricultural practices amongst the members of the cooperatives *(sufficient but not necessary).*

MFS II support explains these outcomes to a great extent.

NNET

The outcome achieved and to be explained is that tribal communities in the villages where Para Legal Persons are active avail of their legal rights and entitlements. NNET's interventions explain the outcome but other actors and factors as well explain the outcome *(they are sufficient but not necessary)*. These are for instance state level factors such as the adoptions of laws and regulations conducive for Adivasi people; people's awareness in Tripura being increased by better roads and mass media; easier access to education of Adivasi people. MFS II funding is the only source of funding for NNET.

CWM

The first outcome achieved is increased membership of two trade unions in the garment and domestic workers sector. Four rival pathways were identified; 1) support by CWM since 2008; 2) other unions and resource centers having supported these unions; 3) the state of Tamil Nadu enjoying the best human development indicators of India and; 4) both trade unions having been successful before MFS II in influencing policies and practices and therefore attracting members. The third pathway was rejected and the other three explain the outcome as a causal package. CWM's most important role in this package has been the development of a template for the indexation of minimum wages over time (developed *before MFS II* but used

during MFS II) and their support to include international dimensions in the garment supply chains.

The second outcome achieved consists of one of the trade unions successfully negotiating a minimum wage hike and the effective payment of dearness allowances to garment workers by industries. Four pathways were identified, i.e.; 1) collaboration with CWM; 2) the trade union itself being able to negotiate without external support; 3) international pressure being built up by CWM and others after the collapse of an eight store garment factory in Bangladesh (Rana Plaza) and 4) mandatory revisions of wages have to be done every 3 to 5 years and the national elections taking place in 2014. Of these the third and fourth pathway were rejected. The outcome is explained by a causal package that comprises the trade union which in itself was already a very mature organization before MFS II, CWM whose support to calculate minimum wage prices was important and collaboration with other NGOs. Outcomes reached in the MFS II period build upon previous results obtained during MFS I. Until November 2012, Hivos' contribution to CWM is estimated at 29 percent and this percentage has possibly decreased as of that moment.

REDS

The first outcome achieved to some extent consists of Adijan (Dalit) people being better integrated and socially accepted in Tumkur district. Three rival pathways were identified: 1) During MFS II 76 Adijan youth were trained in install solar lamp systems in not only Adijan houses but also in non-Adijan houses who wanted to pay for these systems (4,163 families); 2) REDS has empowered the Adijan people and helped them to claim their rights and dignity in Tumkur district since 1984 and; 3) other actors and factors explain this outcome. Each of these pathways alone provides a *sufficient but not necessary explanation* for the outcome achieved. The solar lamp project is the most recent contribution of REDS, however unclarity exists with regards to the contribution of MFS II to this project, which is contested by REDS but mentioned in contracts with ICCO.. However more substantial contributions come from interventions supported *before* the MFS II period.

The second outcome consists of Adijan Panchayats and their organizations at hobli and taluk level increasingly being capable of claiming their rights, in particular with regards to reclaiming their land. Three pathways were identified, being 1) interventions by REDS to create the Adijan Panchayat movement with structures at village, hobly, taluk, district and state level; 2) lobby and advocacy activities for improved policies and regulations that provide access to land, and; 3) a conducive environment caused by the state. Whereas the second explanation was rejected, the two other pathways provide a *sufficient but not necessary* explanation of the outcome. REDS has possibly been far more effective *before MFS II* in explaining this outcome than *during MFS II*.

Findings contribution analysis for all SPOs

MDG 1

Under the MDG component we assessed six outcomes.

One outcome is to be *entirely explained by* the SPO *(necessary and sufficient).* Gram Vikas explains entirely how villages get access to water and sanitations, whilst at the same moment ensuring that all households take part as a means to ensure social inclusion.

Four outcomes can be explained by *multiple actors and factors that each are sufficient but not necessary:* the SPO provides a sufficient contribution to the outcome, but is not the only actor.

This is the case with the Village Executive Committees of Gram Vikas who increasingly are capable of defending the interests of their constituents, and the creation of the farmers clubs and self-help groups by Gene Campaign. Also CSA's performing cooperatives and their increased female membership are the result of different actors each working towards the same result. In addition favorable conditions *(necessary but not sufficient)* are in place such as increased market access, government programs that have adopted CSA's Non Pesticidal Management Model and are promoting the position of women in society and in agriculture, as well as the existence of the culture of self-help groups.

The policy changes achieved by CECOEDECON and the organizations it created are the result of joint action and none of the individual actors could have achieved the outcome on its own. CECOEDECON's reputation, past experiences and enormous network are specific features that explain the outcome. This is a *causal package.*

Governance theme

Under the Governance theme we assessed five outcomes:

Several actors and factors explain that tribal people in Assam and Tripura are able to claim their rights and NNET is one of them (sufficient but not a necessary explanation). Apart from this conditions need to be in place like favorable policies, access by road, communication and education.

Ninasam has been the driving force *(necessary and sufficient explanation)* that explains that more villages and people are made aware of political and social themes and how these affect day-to-day livelihoods. Other groups adhere to this 'movement'. The same conclusion has been drawn with regards to Ninasam's network.

The outcomes to which CWM has contributed can be explained as a causal package of the trade unions and other international actors. CWM was one of the conditions *(necessary but not sufficient)* needed to achieve the outcome.

Effectiveness

Considering the analysis of outcomes planned vs achieved, the findings of the contribution analysis, we estimate the effectiveness of the MFS II program between 50 and 70 percent, with organizations like Gene Campaign, Cenderet, REDs and CWM performing below 50 %.

6.3.3 Relevance of the changes

Generally speaking all changes achieved by the SPOs are relevant in the light of the ToC they constructed during the baseline workshop. However for some of the organizations progress towards achieving the outcomes described in these ToCs, progress is still limited, such as is the case with CECOEDECON, CWM. Other observations are that parts of the ToC have not been addressed, such as the creation of a school for worker activists for CWM; influencing policies and practices by NNET, and; for Ninasam addressing the negative trend that increasingly mass media invade rural areas and disorient people from their cultural roots and identities.

The changes achieved by Gene Campaign and REDS are not relevant in the light of their ToC: Gene's achievements still consist of agro-technological innovations, but did not address market linkages and favorable policies for organic agriculture. REDS completely changed its strategic orientation since the baseline and moved away from its ToC that put a strong emphasis on the creation of a strong Adijan Panchayat Movement, access to land and to other entitlements.

With regards to the context in which the SPOs are operating, also generally speaking all changes to which the SPOs contributed are relevant. Key issues addressed are empowerment of marginalized categories in society, social inclusion of these categories, agricultural policies in favor of small holder farming, the bureaucracy and corruption in relation to government schemes.

With regards to the MFS II alliance policies, most changes achieved are relevant, although some expectations were not met.

6.3.4 What factors explain the findings drawn from the questions above?

With regards to internal organizational factors with the SPO explaining the findings, we observe that the organizational capabilities of CECOEDECON, CSA, Gram Vikas and Ninasam had a positive influence, whereas those of the Gene Campaign Jharkhand office have a negative influence. REDS' outcomes are diluted because of a change in its strategic reorientation. NNET's findings are partially to be explained by a lack of coherence in interventions, due to routine transfers of those representing the member organizations in the network. CWM is gradually improving with the new board increasingly becoming operational.

Important external factors that hamper NNET's effectiveness consist of the insecurity in states where the organization is operating, bad road infrastructure and connectivity. Both NNET and CENDERET face the consequences of the 2011 FRCA. Cyclones urged Gram Vikas to shift its attention to reconstruction and rehabilitation works and CSA to adopt a sustainable livelihoods approach to cope with climate change. Apart from this, CSA saw Andhra Pradesh split into two states, and hence the necessity to engage with both bureaucracies, which is an extra burden. The conducive policy environment for REDS has been a positive factor.

Most CFAs and their partners had constructive relations during the evaluation period. However the Hivos office in India moved from Bangalore to Mumbai, implying in practice that new program officers became in charge of engaging with partners who nearly were at the end of their contract.

The relation between Cordaid and CENDERET significantly deteriorated when financial transfers did not arrive at destination, leading to a closure of the field offices, and; when the CENDERET program manager resigned and his successor past away.

Mensen met een Missie (Communities of Change) will end its partnership with NNET, because of unmet expectations.

When ICCO ended its financial support with REDS, the organization underwent a strategic reorientation, including a new organigram and staff, which negatively impacted upon expected outcomes formulated in the contracts with ICCO.

6.3.5 Design of the intervention

This section answers a question by the synthesis committee about the 'replicability' of the interventions. The evaluation team interpreted this in terms of innovations or approaches that can be replicated by another organization or in another context. In addition to this replicability implies a project mode and short term interventions. In this paragraph we have organized the intervention models that are replicable, those that are not replicable because they do not fit into a project mode of development and those whose design failed.

Gram Vikas, CSA and NNET have intervention designs that are replicable by other organizations, provided that these fulfil some of the conditions that need to be in place, or take into account some the evaluation findings.

CECOEDECON, NINASAM and REDS have successful intervention designs, but these are not replicable under a project mode of development. The outcomes achieved depend to a great extent to the context in which these organizations operate as well as rely upon a 'lifelong' change process.

7. Conclusion

This report presented a summary of the results of the three pillars of the evaluation. What remains is to assess whether there is a linkage between the findings of the three components. Since there is no overlap between the civil society sample on the one hand and the MDG and capacity development (CD) samples on the other hand, the focus is on the relationship between the MDG findings and the CD findings. In some of the reports of the MDG evaluation results of the CD evaluation have been taken into account (e.g. D1 – RGVN and D8 – Smile). In this concluding section, in order to examine whether results for the MDG projects are related to the capacity of the SPOs, we present a correlation matrix concerning the grading on MDG (see table 4) and end line scores on CD. The end line scores on CD are constructed by summing the baseline scores and the changes over the evaluation period. The correlation matrix obviously contains only SPOs represented in both samples and for which baseline and end line analyses have been conducted (See table below).

The table shows that there is almost no correlation between the scores on MDG and CD. There is only a significant but **negative** relationship at the 10 percent level between the Capability to relate and the question on whether the project has been well designed. In addition we find at the five percent significance level a positive correlation between Capability to relate and the observed results are relevant to the project beneficiaries. It is remarkable that pairwise correlation coefficients between the capability to deliver on development objectives and each of the MDG factors is extremely low and non-significant. However one should notice that these results are based on only seven observations and that much more in depth research is needed to link the capacity evaluation with the MDG evaluation.

Correlation Matrix

	Capability to act and commit	Capability to deliver on development objectives	Capability to adapt and self-renew	Capability to relate	Capability to achieve coherence
The project was well designed	-0.5634	-0.0813	0.2141	-0.7131	0.6459
	0.1878	0.8624	0.6448	0.0721	0.1171
The project was implemented as designed					
	-0.3993	0.1518	-0.2927	-0.204	0.0341
	0.3749	0.7453	0.5241	0.6609	0.9421
The project reached all its objectives	-0.6074	0.4219	0.3665	-0.3834	0.1039
	0.148	0.3457	0.4187	0.3959	0.8246
The observed results are relevant to the project beneficiaries	0.5851	0.0314	-0.1305	0.8128	-0.6341
	0.2225	0.9529	0.8054	0.0493	0.1764
The project was implemented efficiently	-0.1247	0.3874	0.1117	0.1047	0.3349
	0.79	0.3905	0.8116	0.8233	0.4628
The observed results are attributable to the project interventions	0.3353	-0.0054	-0.2529	0.2967	0.2242
	0.4622	0.9909	0.5843	0.5182	0.6289

The upper number denotes the correlation coefficient. The lower number is the significance level.

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Appendix 1

Table A1: **Millennium Development Goals (MDGs)**
MDG 1: Eradicate extreme poverty and hunger
MDG 2: Achieve universal primary education
MDG 3: Promote gender equality and empower women
MDG 4: Reduce child mortality
MDG 5: Improve maternal health
MDG 6: Combat HIV/AIDS, malaria and other diseases
MDG 7: Ensure environmental sustainability
MDG 8: Develop a global partnership for development

Appendix 2 Methodological approach & reflection

2.1 Introduction

This appendix describes the methodological design and challenges for the assessment of capacity development of Southern Partner Organisations (SPOs), also called the '5C study'. This 5C study is organised around four key evaluation questions:

1. What are the changes in partner organisations' capacity during the 2012-2014 period?
2. To what degree are the changes identified in partner capacity attributable to development interventions undertaken by the MFS II consortia (i.e. measuring effectiveness)?
3. Were the efforts of the MFS II consortia efficient?
4. What factors explain the findings drawn from the questions above?

It has been agreed that the question (3) around efficiency cannot be addressed for this 5C study. The methodological approach for the other three questions is described below. At the end, a methodological reflection is provided.

In terms of the attribution question (2), 'process tracing' is used. This is a theory-based approach that has been applied to a selected number of SPOs since it is a very intensive and costly methodology, although it provides rich information and can generate a lot of learning within the organisations. This approach was presented and agreed-upon during the synthesis workshop on 17-18 June 2013 by the 5C teams for the eight countries of the MFS II evaluation. A more detailed description of the approach was presented during the synthesis workshop in February 2014. The synthesis team, NWO-WOTRO, the country project leaders and the MFS II organisations present at the workshop have accepted this approach. It was agreed that this approach can only be used for a selected number of SPOs since it is a very intensive and costly methodology. Key organisational capacity changes/ outcomes of the SPO were identified, based on their relationship to the two selected capabilities, the capability to act and commit the capability to adapt and self-renew, and an expected relationship with CFA supported capacity development interventions (MFS II funding). It was agreed to focus on these two capabilities, since these are the most targeted capabilities by the CFAs, as established during the baseline process.

Please find below an explanation of how the above-mentioned evaluation questions have been addressed in the 5C evaluation.

Note: the methodological approach is applied to 4 countries that the Centre for Development Innovation, Wageningen University and Research centre is involved in in terms of the 5C study (Ethiopia, India, Indonesia, Liberia). The overall approach has been agreed with all the 8 countries selected for this MFS II evaluation. The 5C country teams have been trained and coached on this methodological approach during the evaluation process. Details specific to the SPO are described in chapter 5.1 of the SPO report. At the end of this appendix a brief methodological reflection is provided.

2.2 Changes in partner organisation's capacity – evaluation question 1

This section describes the data collection and analysis methodology for answering the first evaluation question: **What are the changes in partner organisations' capacity during the 2012-2014 period?**

This question was mainly addressed by reviewing changes in 5c indicators, but additionally a 'general causal map' based on the SPO perspective on key organisational capacity changes since the baseline has been developed. Each of these is further explained below. The development of the general causal map is integrated in the steps for the endline workshop, as mentioned below.

During the baseline in 2012 information has been collected on each of the 33 agreed upon indicators for organisational capacity. For each of the five capabilities of the 5C framework indicators have been developed as can be seen in Appendix 2. During this 5C baseline, a summary description has been provided for each of these indicators, based on document review and the information provided by staff, the Co-financing Agency (CFA) and other external stakeholders. Also a summary description has been provided for each capability. The results of these can be read in the baseline reports.

The description of indicators for the baseline in 2012 served as the basis for comparison during the endline in 2014. In practice this meant that largely the same categories of respondents (preferably the same respondents as during the baseline) were requested to review the descriptions per indicator and indicate whether and how the endline situation (2014) is different from the described situation in 2012.[11] Per indicator they could indicate whether there was an improvement or deterioration or no change and also describe these changes. Furthermore, per indicator the interviewee could indicate what interventions, actors and other factors explain this change compared to the baseline situation. See below the specific questions that are asked for each of the indicators. Per category of interviewees there is a different list of indicators to be looked at. For example, staff members were presented with a list of all the indicators, whilst external people, for example partners, are presented with a select number of indicators, relevant to the stakeholder.

The information on the indicators was collected in different ways:

1) **Endline workshop at the SPO - self-assessment and 'general causal map'**: similar to data collection during the baseline, different categories of staff (as much as possible the same people as during the baseline) were brought together in a workshop and requested to respond, in their staff category, to the list of questions for each of the indicators (self-assessment sheet). Prior to carrying out the self-assessments, a brainstorming sessions was facilitated to develop a 'general causal map', based on the key organisational capacity changes since the baseline as perceived by SPO staff. Whilst this general causal map is not validated with additional information, it provides a sequential narrative, based on organisational capacity changes as perceived by SPO staff;
2) **Interviews with staff members**: additional to the endline workshop, interviews were held with SPO staff, either to provide more in-depth information on the information provided on the self-assessment formats during the workshop, or as a separate interview for staff members that were not present during the endline workshop;
3) **Interviews with externals**: different formats were developed for different types of external respondents, especially the co-financing agency (CFA), but also partner agencies, and

[11] The same categories were used as during the baseline (except beneficiaries, other funders): staff categories including management, programme staff, project staff, monitoring and evaluation staff, field staff, administration staff; stakeholder categories including co-financing agency (CFA), consultants, partners.

organisational development consultants where possible. These externals were interviewed, either face-to-face or by phone/Skype. The interview sheets were sent to the respondents and if they wanted, these could be filled in digitally and followed up on during the interview;

4) **Document review**: similar to the baseline in 2012, relevant documents were reviewed so as to get information on each indicator. Documents to be reviewed included progress reports, evaluation reports, training reports, etc. (see below) since the baseline in 2012, so as to identify changes in each of the indicators;
5) **Observation**: similar to what was done in 2012, also in 2014 the evaluation team had a list with observable indicators which were to be used for observation during the visit to the SPO.

Below the key steps to assess changes in indicators are described.

Key steps to assess changes in indicators are described

1. Provide the description of indicators in the relevant formats – CDI team
2. Review the descriptions per indicator – in-country team & CDI team
3. Send the formats adapted to the SPO to CFA and SPO – in-country team (formats for SPO) and CDI team (formats for CFA)
4. Collect, upload & code the documents from CFA and SPO in NVivo – CDI team
5. Organise the field visit to the SPO – in-country team
6. Interview the CFA – CDI team
7. Run the endline workshop with the SPO – in-country team
8. Interview SPO staff – in-country team
9. Fill-in observation sheets – in-country team
10. Interview externals – in-country team
11. Upload and auto-code all the formats collected by in-country team and CDI team in NVivo – CDI team
12. Provide to the overview of information per 5c indicator to in-country team – CDI team
13. Analyse data and develop a draft description of the findings per indicator and for the general questions – in-country team
14. Analyse data and develop a final description of the findings per indicator and per capability and for the general questions – CDI team
15. Analyse the information in the general causal map –in-country team and CDI-team

Note: the CDI team include the Dutch 5c country coordinator as well as the overall 5c coordinator for the four countries (Ethiopia, India, Indonesia, Liberia). The 5c country report is based on the separate SPO reports.

Below each of these steps is further explained.

*Step 1. Provide the **description of indicators** in the relevant formats – CDI team*

- These formats were to be used when collecting data from SPO staff, CFA, partners, and consultants. For each of these respondents different formats have been developed, based on the list of 5C indicators, similar to the procedure that was used during the baseline assessment. The CDI team needed to add the 2012 baseline description of each indicator. The idea was that each respondent would be requested to review each description per indicator, and indicate whether the current situation is different from the baseline situation, how this situation has changed, and what the reasons for the changes in indicators are. At the end of each format, a more general question is added that addresses how the organisation has changed its capacity since the baseline, and what

possible reasons for change exist. Please see below the questions asked for each indicator as well as the more general questions at the end of the list of indicators.

General questions about key changes in the capacity of the SPO

What do you consider to be the key changes in terms of how the organisation/ SPO has developed its capacity since the baseline (2012)?

What do you consider to be the main explanatory reasons (interventions, actors or factors) for these changes?

List of questions to be asked for each of the 5C indicators (The entry point is the the description of each indicator as in the 2012 baseline report):

1. *How has the situation of this indicator changed compared to the situation during the baseline in 2012? Please tick one of the following scores:*
   - -2 = Considerable deterioration
   - -1 = A slight deterioration
   - 0 = No change occurred, the situation is the same as in 2012
   - +1 = Slight improvement
   - +2 = Considerable improvement
2. *Please describe what exactly has changed since the baseline in 2012*
3. *What interventions, actors and other factors explain this change compared to the baseline situation in 2012? Please tick and describe what interventions, actors or factors influenced this indicator, and how. You can tick and describe more than one choice.*
   - Intervention, actor or factor at the level of or by **SPO**: ..... .
   - Intervention, actor or factor at the level of or by the **Dutch CFA (MFS II funding)**: .... .
   - Intervention, actor or factor at the level of or by the **other funders**: ..... .
   - **Other** interventions, actors or factors: ..... .
   - Don't know.

*Step 2. **Review** the descriptions per indicator – in-country team & CDI team*

Before the in-country team and the CDI team started collecting data in the field, it was important that they reviewed the description for each indicator as described in the baseline reports, and also added to the endline formats for review by respondents. These descriptions are based on document review, observation, interviews with SPO staff, CFA staff and external respondents during the baseline. It was important to explain this to respondents before they filled in the formats.

*Step 3. **Send the formats** adapted to the SPO to CFA and SPO – in-country team (formats for SPO) and CDI team (formats for CFA)*

The CDI team was responsible for collecting data from the CFA:

- 5C Endline assessment Dutch co-financing organisation;
- 5C Endline support to capacity sheet – CFA perspective.

The in-country team was responsible for collecting data from the SPO and from external respondents (except CFA). The following formats were sent before the fieldwork started:

- 5C Endline support to capacity sheet – SPO perspective.
- 5C Endline interview guides for externals: partners; OD consultants.

Step 4. ***Collect, upload & code the documents*** *from CFA and SPO in NVivo – CDI team*

The CDI team, in collaboration with the in-country team, collected the following documents from SPOs and CFAs:

- Project documents: project proposal, budget, contract (Note that for some SPOs there is a contract for the full MFS II period 2011-2015; for others there is a yearly or 2-yearly contract. All new contracts since the baseline in 2012 will need to be collected);
- Technical and financial progress reports since the baseline in 2012;.
- Mid-term evaluation reports;
- End of project-evaluation reports (by the SPO itself or by external evaluators);
- Contract intake forms (assessments of the SPO by the CFA) or organisational assessment scans made by the CFA that cover the 2011-2014 period;
- Consultant reports on specific inputs provided to the SPO in terms of organisational capacity development;
- Training reports (for the SPO; for alliance partners, including the SPO);
- Organisational scans/ assessments, carried out by the CFA or by the Alliance Assessments;
- Monitoring protocol reports, especially for the 5C study carried out by the MFS II Alliances;
- Annual progress reports of the CFA and of the Alliance in relation to capacity development of the SPOs in the particular country;
- Specific reports that are related to capacity development of SPOs in a particular country.

The following documents (since the baseline in 2012) were requested from SPO:

- Annual progress reports;
- Annual financial reports and audit reports;
- Organisational structure vision and mission since the baseline in 2012;
- Strategic plans;
- Business plans;
- Project/ programme planning documents;
- Annual work plan and budgets;
- Operational manuals;
- Organisational and policy documents: finance, human resource development, etc.;
- Monitoring and evaluation strategy and implementation plans;
- Evaluation reports;
- Staff training reports;
- Organisational capacity reports from development consultants.

The CDI team will coded these documents in NVivo (qualitative data analysis software program) against the 5C indicators.

Step 5. ***Prepare and organise the field visit*** *to the SPO – in-country team*

Meanwhile the in-country team prepared and organised the logistics for the field visit to the SPO:

- **General endline workshop** consisted about one day for the self-assessments (about ½ to ¾ of the day) and brainstorm (about 1 to 2 hours) on key organisational capacity changes since the baseline and underlying interventions, factors and actors ('general causal map'), see also explanation below. This was done with the five categories of key staff: managers; project/ programme staff; monitoring

and evaluation staff; admin & HRM staff; field staff. Note: for SPOs involved in process tracing an additional 1 to 1½ day workshop (managers; program/project staff; monitoring and evaluation staff) was necessary. See also step 7;

- **Interviews with SPO staff** (roughly one day);
- **Interviews with external respondents** such as partners and organisational development consultants depending on their proximity to the SPO. These interviews coulc be scheduled after the endline workshop and interviews with SPO staff.

General causal map

During the 5C endline process, a 'general causal map' has been developed, based on key organisational capacity changes and underlying causes for these changes, as perceived by the SPO. The general causal map describes cause-effect relationships, and is described both as a visual as well as a narrative.

As much as possible the same people that were involved in the baseline were also involved in the endline workshop and interviews.

Step 6. ***Interview the CFA*** *– CDI team*

The CDI team was responsible for sending the sheets/ formats to the CFA and for doing a follow-up interview on the basis of the information provided so as to clarify or deepen the information provided. This relates to:

- 5C Endline assessment Dutch co-financing organisation;
- 5C Endline support to capacity sheet - CFA perspective.

Step 7. ***Run the endline workshop*** *with the SPO – in-country team*

This included running the endline workshop, including facilitation of the development of the general causal map, self-assessments, interviews and observations. Particularly for those SPOs that were selected for process tracing all the relevant information needed to be analysed prior to the field visit, so as to develop an initial causal map. Please see Step 6 and also the next section on process tracing (evaluation question two).

An endline workshop with the SPO was intended to:

- Explain the purpose of the fieldwork;
- Carry out in the self-assessments by SPO staff subgroups (unless these have already been filled prior to the field visits) - this may take some 3 hours.
- Facilitate a brainstorm on key organisational capacity changes since the baseline in 2012 and underlying interventions, factors and actors.

Purpose of the fieldwork**:** to collect data that help to provide information on what changes took place in terms of organisational capacity development of the SPO as well as reasons for these changes. The baseline that was carried out in 2012 was to be used as a point of reference.

Brainstorm on key organisational capacity changes and influencing factors: a brainstorm was facilitated on key organisational capacity changes since the baseline in 2012. In order to kick

start the discussion, staff were reminded of the key findings related to the historical time line carried out in the baseline (vision, mission, strategies, funding, staff). This was then used to generate a discussion on key changes that happened in the organisation since the baseline (on cards). Then cards were selected that were related to organisational capacity changes, and organised. Then a 'general causal map' was developed, based on these key organisational capacity changes and underlying reasons for change as experienced by the SPO staff. This was documented as a visual and narrative.This general causal map was to get the story of the SPO on what they perceived as key organisational capacity changes in the organisation since the baseline, in addition to the specific details provided per indicator.

***Self-assessments*:** respondents worked in the respective staff function groups: management; programme/ project staff; monitoring and evaluation staff; admin and HRM staff; field staff. Staff were assisted where necessary so that they could really understand what it was they were being asked to do as well as what the descriptions under each indicator meant.

Note: for those SPOs selected for process tracing an additional endline workshop was held to facilitate the development of detailed causal maps for each of the identified organisational change/ outcome areas that fall under the capability to act and commit, and under the capability to adapt and self-renew, and that are likely related to capacity development interventions by the CFA. See also the next section on process tracing (evaluation question two). It was up to the in-country team whether this workshop was held straight after the initial endline workshop or after the workshop and the follow-up interviews. It could also be held as a separate workshop at another time.

Step 8. ***Interview SPO staff*** *– in-country team*

After the endline workshop (developing the general causal map and carrying out self-assessments in subgroups), interviews were held with SPO staff (subgroups) to follow up on the information that was provided in the self-assessment sheets, and to interview staff that had not yet provided any information.

Step 9. ***Fill-in observation sheets*** *– in-country team*

During the visit at the SPO, the in-country team had to fill in two sheets based on their observation:

- 5C Endline observation sheet;
- 5C Endline observable indicators.

Step 10. ***Interview externals*** *– in-country team & CDI team*

The in-country team also needed to interview the partners of the SPO as well as organisational capacity development consultants that have provided support to the SPO. The CDI team interviewed the CFA.

Step 11. ***Upload and auto-code all the formats*** *collected by in-country team and CDI team – CDI team*

The CDI team was responsible for uploading and auto-coding (in Nvivo) of the documents that were collected by the in-country team and by the CDI team.

*Step 12. Provide the **overview of information** per 5C indicator to in-country team – CDI team*

After the analysis in NVivo, the CDI team provided a copy of all the information generated per indicator to the in-country team for initial analysis.

*Step 13. **Analyse the data and develop a draft description** of the findings per indicator and for the general questions – in-country team*

The in-country team provided a draft description of the findings per indicator, based on the information generated per indicator. The information generated under the general questions were linked to the general causal map or detailed process tracing related causal map.

*Step 14. **Analyse the data and finalize the description** of the findings per indicator, per capability and general – CDI team*

The CDI team was responsible for checking the analysis by the in-country team with the Nvivo generated data and to make suggestions for improvement and ask questions for clarification to which the in-country team responded. The CDI team then finalised the analysis and provided final descriptions and scores per indicator and also summarize these per capability and calculated the summary capability scores based on the average of all indicators by capability.

*Step 15. **Analyse the information** in the general causal map –in-country team & CDI team*

The general causal map based on key organisational capacity changes as perceived by the SPO staff present at the workshop, was further detailed by in-country team and CDI team, and based on the notes made during the workshop and where necessary additional follow up with the SPO. The visual and narrative was finalized after feedback by the SPO. During analysis of the general causal map relationships with MFS II support for capacity development and other factors and actors were identified. All the information has been reviewed by the SPO and CFA.

2.3 Attributing changes in partner organisation's capacity – evaluation question 2

This section describes the data collection and analysis methodology for answering the second evaluation question: ***To what degree are the changes identified in partner capacity attributable to (capacity) development interventions undertaken by the MFS II consortia (i.e. measuring effectiveness)?***

In terms of the attribution question (2), 'process tracing' is used. This is a theory-based approach that has been applied to a selected number of SPOs since it is a very intensive and costly methodology, although it provides rich information and can generate a lot of learning within the organisations. Key organisational capacity changes/ outcomes of the SPO were identified, based on their relationship to the two selected capabilities, the capability to act and commit

the capability to adapt and self-renew, and an expected relationship with CFA supported capacity development interventions (MFS II funding). It was agreed to focus on these two capabilities, since these are the most targeted capabilities by the CFAs, as established during the baseline process. The box below provides some background information on process tracing.

Background information on process tracing

The essence of process tracing research is that scholars want to go beyond merely identifying correlations between independent variables (Xs) and outcomes (Ys). Process tracing in social science is commonly defined by its addition to trace causal mechanisms (Bennett, 2008a, 2008b; Checkle, 2008; George & Bennett, 2005). A causal mechanism can be defined as "a complex system which produces an outcome by the interaction of a number of parts" (Glennan, 1996, p. 52). Process tracing involves "attempts to identify the intervening causal process – the causal chain and causal mechanism – between an independent variable (or variables) and the outcome of the dependent variable" (George & Bennett, 2005, pp. 206-207).

Process tracing can be differentiated into three variants within social science: theory testing, theory building, and explaining outcome process tracing (Beach & Pedersen, 2013).

- Theory testing process tracing uses a theory from the existing literature and then tests whether evidence shows that each part of hypothesised causal mechanism is present in a given case, enabling within case inferences about whether the mechanism functioned as expected in the case and whether the mechanism as a whole was present. No claims can be made however, about whether the mechanism was the only cause of the outcome.
- Theory building process tracing seeks to build generalizable theoretical explanations from empirical evidence, inferring that a more general causal mechanism exists from the fact of a particular case.
- Finally, explaining outcome process tracing attempts to craft a minimally sufficient explanation of a puzzling outcome in a specific historical case. Here the aim is not to build or test more general theories but to craft a (minimally) sufficient explanation of the outcome of the case where the ambitions are more case centric than theory oriented.

Explaining outcome process tracing is the most suitable type of process tracing for analysing the causal mechanisms for selected key organisational capacity changes of the SPOs. This type of process tracing can be thought of as a single outcome study defined as seeking the causes of the specific outcome in a single case (Gerring, 2006; in: Beach & Pedersen, 2013). Here the ambition is to craft a minimally sufficient explanation of a particular outcome, with sufficiency defined as an explanation that accounts for all of the important aspects of an outcome with no redundant parts being present (Mackie, 1965).

Explaining outcome process tracing is an iterative research strategy that aims to trace the complex conglomerate of systematic and case specific causal mechanisms that produced the outcome in question. The explanation cannot be detached from the particular case. Explaining outcome process tracing refers to case studies whose primary ambition is to explain particular historical outcomes, although the findings of the case can also speak to other potential cases of the phenomenon. Explaining outcome process tracing is an iterative research process in which 'theories' are tested to see whether they can provide a minimally sufficient explanation of the outcome. Minimal sufficiency is defined as an explanation that accounts for an outcome, with no redundant parts. In most explaining outcome studies, existing theorisation cannot provide a sufficient explanation, resulting in a second stage in which existing theories are re-conceptualised in light of the evidence gathered in the preceding empirical analysis. The conceptualisation phase in explaining outcome process tracing is therefore an iterative research process, with initial mechanisms re-conceptualised and tested until the result is a theorised mechanism that provides a minimally sufficient explanation of the particular outcome.

Below a description is provided of how SPOs are selected for process tracing, and a description is provided on how this process tracing is to be carried out. Note that this description of process tracing provides not only information on the extent to which the changes in organisational development can be attributed to MFS II (evaluation question 2), but also provides information on other contributing factors and actors (evaluation question 4). Furthermore, it must be noted that the evaluation team has developed an adapted form of 'explaining outcome process tracing', since the data collection and analysis was an iterative process of research so as to establish the most realistic explanation for a particular outcome/ organisational capacity change. Below selection of SPOs for process tracing as well as the different steps involved for process tracing in the selected SPOs, are further explained.

Selection of SPOs for 5C process tracing

Process tracing is a very intensive methodology that is very time and resource consuming (for development and analysis of one final detailed causal map, it takes about 1-2 weeks in total, for different members of the evaluation team). It has been agreed upon during the synthesis workshop on 17-18 June 2013 that only a selected number of SPOs will take part in this process tracing for the purpose of understanding the attribution question. The selection of SPOs is based on the following criteria:

- MFS II support to the SPO has not ended before 2014 (since this would leave us with too small a time difference between intervention and outcome);
- Focus is on the 1-2 capabilities that are targeted most by CFAs in a particular country;
- Both the SPO and the CFA are targeting the same capability, and preferably aim for similar outcomes;
- Maximum one SPO per CFA per country will be included in the process tracing.

The intention was to focus on about 30-50% of the SPOs involved. Please see the tables below for a selection of SPOs per country. Per country, a first table shows the extent to which a CFA targets the five capabilities, which is used to select the capabilities to focus on. A second table presents which SPO is selected, and takes into consideration the selection criteria as mentioned above.

ETHIOPIA

For Ethiopia the capabilities that are mostly targeted by CFAs are the capability to act and commit and the capability to adapt and self-renew. See also the table below.

Table 1

The extent to which the Dutch NGO explicitly targets the following capabilities – Ethiopia

Capability to:	AMREF	CARE	ECFA	FSCE	HOA-REC	HUNDEE	NVEA	OSRA	TTCA
Act and commit	5	4	5	5	5	3	4	4	3
Deliver on development objectives	2	1	1	1	2	1	1	2	1
Adapt and self-renew	4	2	3	4	2	5	3	3	3
Relate	3	1	2	2	3	2	1	3	1
Achieve coherence	2	2	1	1	1	1	1	1	1

Note: Number 1 stands for not targeted, 5 for intensively targeted. These scores are relative scores for the interventions by the CFA to strengthen the capacity of the SPO. The scores are relative to each other, a higher score means that this capability gets more attention by the CFA compared to other capabilities.

Source: country baseline report, Ethiopia.

Below you can see the table describing when the contract with the SPO is to be ended, and whether both SPO and the CFA expect to focus on these two selected capabilities (with MFS II funding). Based on the above-mentioned selection criteria the following SPOs are selected for process tracing: AMREF, ECFA, FSCE, HUNDEE. In fact, six SPOs would be suitable for process tracing. We just selected the first one per CFA following the criteria of not including more than one SPO per CFA for process tracing

Table 2

SPOs selected for process tracing – Ethiopia

Ethiopia – SPOs	End of contract	Focus on capability to act and commit– by SPO	Focus on capability to act and commit – by CFA	Focus on capability to adapt and self-renew –by SPO	Focus on capability to adapt and self-renew – by CFA	CFA	Selected for process tracing
AMREF	Dec 2015	Yes	Yes	Yes	Yes	AMREF NL	Yes
CARE	Dec 31, 2015	Partly	Yes	Yes	Yes – slightly	CARE Netherlands	No - not fully matching
ECFA	Jan 2015	Yes	Yes	Yes	Yes	Child Helpline International	Yes
FSCE	Dec 2015	Yes	Yes	Yes	Yes	Stichting Kinderpostzegels Netherlands (SKN); Note: no info from Defence for Children – ECPAT Netherlands	Yes
HOA-REC	Sustainable Energy project (ICCO Alliance): 2014 Innovative WASH (WASH Alliance): Dec 2015	Yes	Yes	Yes	Yes - slightly	ICCO	No - not fully matching
HUNDEE	Dec 2014	Yes	Yes	Yes	Yes	ICCO & IICD	Yes

NVEA	Dec 2015 (both)	Yes	Yes	Yes	Yes	Edukans Foundation (under two consortia); Stichting Kinderpostzegels Netherlands (SKN)	Suitable but SKN already involved for process tracing FSCE
OSRA	C4C Alliance project (farmers marketing): December 2014 ICCO Alliance project (zero grazing: 2014 (2nd phase)	Yes	Yes	Yes	Yes	ICCO & IICD	Suitable but ICCO & IICD already involved for process tracing - HUNDEE
TTCA	June 2015	Partly	Yes	No	Yes	Edukans Foundation	No - not fully matching

INDIA

For India the capability that is mostly targeted by CFAs is the capability to act and commit. The next one in line is the capability to adapt and self-renew. See also the table below in which a higher score means that the specific capability is more intensively targeted.

Table 3

The extent to which the Dutch NGO explicitly targets the following capabilities – India[12]

Capability to:	BVHA	COUNT	DRISTI	FFID	Jana Vikas	Samarthak Samiti	SMILE	SDS	VTRC
Act and commit	5	3	4	4	4	4	4	3	5
Deliver on development objectives	1	5	1	1	1	1	1	2	1
Adapt and self-renew	2	2	1	3	1	1	4	1	4
Relate	3	1	1	1	1	1	2	1	2
Achieve coherence	1	1	1	4	1	1	1	1	2

Note: Number 1 stands for not targeted, 5 for intensively targeted. These scores are relative scores for the interventions by the CFA to strengthen the capacity of the SPO. The scores are relative to each other, a higher score means that this capability gets more attention by the CFA compared to other capabilities.

Source: country baseline report, India.

Below you can see a table describing when the contract with the SPO is to be ended and whether SPO and the CFA both expect to focus on these two selected capabilities (with MFS II funding). Based on the above-mentioned selection criteria the following SPOs are selected for process tracing: BVHA, COUNT, FFID, SMILE and VTRC. Except for SMILE (capability to act and commit only), for the other SPOs the focus for process tracing can be on the capability to act and commit and on the capability to adapt and self-renew.

Table 4

SPOs selected for process tracing – India

India – SPOs	End of contract	Focus on capability to act and commit– by SPO	Focus on capability to act and commit – by CFA	Focus on capability to adapt and self-renew – by SPO	Focus on capability to adapt and self-renew – by CFA	CFA	Selected for process tracing
BVHA	2014	Yes	Yes	Yes	Yes	Simavi	Yes; both capabilities
COUNT	2015	Yes	Yes	Yes	Yes	Woord en	Yes; both capabilitie

[12] RGVN, NEDSF and Women's Rights Forum (WRF) could not be reached timely during the baseline due to security reasons. WRF could not be reached at all. Therefore these SPOs are not included in Table 1.

						Daad	s
DRISTI	31-03-2012	Yes	Yes	No	no	Hivos	No - closed in 2012
FFID	30-09-2014	Yes	Yes	Yes	Yes	ICCO	Yes

India – SPOs	End of contract	Focus on capability to act and commit– by SPO	Focus on capability to act and commit – by CFA	Focus on capability to adapt and self-renew –by SPO	Focus on capability to adapt and self-renew – by CFA	CFA	Selected for process tracing
Jana Vikas	2013	Yes	Yes	Yes	No	Cordaid	No - contract is and the by now; not fully matching focus
NEDSF							No – delayed baseline
RGVN							No - delayed baseline
Samarthak Samiti (SDS)	2013 possibly longer	Yes	Yes	Yes	No	Hivos	No - not certain of end date and not fully matching focus
Shivi Development Society (SDS)	Dec 2013 intention 2014	Yes	Yes	Yes	No	Cordaid	No - not fully matching focus
Smile	2015	Yes	Yes	Yes	Yes	Wilde Ganzen	Yes; first capability only
VTRC	2015	Yes	Yes	Yes	Yes	Stichting Reden Kind	Yes; both capabilities

INDONESIA

For Indonesia the capabilities that are most frequently targeted by CFAs are the capability to act and commit and the capability to adapt and self-renew. See also the table below.

Table 5

The extent to which the Dutch NGO explicitly targets the following capabilities – Indonesia

Capability to:	ASB	Daya kologi	ECPAT	GSS	Lem baga Kita	Pt. PPMA	Rifka Annisa	WIIP	Yad upa	Yayasa n Kelola	YPI	YRBI
Act and commit	4	4	4	5	4	4	5	3	3	2	5	4
Deliver on development objectives	1	1	1	2	2	1	2	1	1	1	1	1
Adapt and self-renew	3	1	2	4	2	3	4	4	1	1	4	3
Relate	1	1	2	3	3	2	1	2	2	2	3	2
Achieve coherence	1	1	1	2	1	1	2	2	1	1	2	1

Note: Number 1 stands for not targeted, 5 for intensively targeted. These scores are relative scores for the interventions by the CFA to strengthen the capacity of the SPO. The scores are relative to each other, a higher score means that this capability gets more attention by the CFA compared to other capabilities.

Source: country baseline report, Indonesia.

The table below describes when the contract with the SPO is to be ended and whether both SPO and the CFA expect to focus on these two selected capabilities (MFS II funding). Based on the above-mentioned selection criteria the following SPOs are selected for process tracing: ASB, ECPAT, Pt.PPMA, YPI, YRBI.

Table 6

SPOs selected for process tracing – Indonesia

Indonesia – SPOs	End of contract	Focus on capability to act and commit– by	Focus on capability to act and commit – by	Focus on capability to adapt and self-renew	Focus on capability to adapt and self-renew	CFA	Selected for process tracing

		SPO	CFA	–by SPO	– by CFA		
ASB	February 2012; extension Feb,1, 2013 – June,30, 2016	Yes	Yes	Yes	Yes	Hivos	Yes
Dayakologi	2013; no extension	Yes	Yes	Yes	No	Cordaid	No: contract ended early and not matching enough
ECPAT	August 2013; Extension Dec 2014	Yes	Yes	Yes, a bit	Yes	Free Press Unlimited - Mensen met een Missie	Yes
GSS	31 December 2012; no extension	Yes	Yes	Yes, a bit	Yes	Free Press Unlimited - Mensen met een Missie	No: contract ended early
Lembaga Kita	31 December 2012; no extension	Yes	Yes	No	Yes	Free Press Unlimited - Mensen met een Missie	No - contract ended early
Pt.PPMA	May 2015	Yes	Yes	No	Yes	IUCN	Yes, capability to act and commit only
Rifka Annisa	Dec, 31 2015	No	Yes	No	Yes	Rutgers WPF	No - no match between expectations CFA and SPO
WIIP	Dec 2015	Yes	Not MFS II	Yes	Not MFS II	Red Cross	No - Capacity develop

			ment interventions are not MFS II financed. Only some overhead is MFS II

Indonesia – SPOs	End of contract	Focus on capability to act and commit– by SPO	Focus on capability to act and commit – by CFA	Focus on capability to adapt and self-renew –by SPO	Focus on capability to adapt and self-renew – by CFA	CFA	Selected for process tracing
Yayasan Kelola	Dec 30, 2013; extension of contract being processed for two years (2014-2015)	Yes	Not really	Yes	Not really	Hivos	No - no specific capacity development interventions planned by Hivos
YPI	Dec 31, 2015	Yes	Yes	Yes	Yes	Rutgers WPF	Yes
YRBI	Oct, 30, 2013; YRBI end of contract from 31st Oct 2013 to 31st Dec 2013. Contract extension proposal is being proposed to MFS II, no decision yet.	Yes	Yes	Yes	Yes	ICCO	Yes
Yadupa	Under negotiation during baseline; new contract 2013 until	Yes	Nothing committed	Yes	Nothing committed	IUCN	No, since nothing was committed by CFA

now

LIBERIA

For Liberia the situation is arbitrary which capabilities are targeted most CFA's. Whilst the capability to act and commit is targeted more often than the other capabilities, this is only so for two of the SPOs. The capability to adapt and self-renew and the capability to relate are almost equally targeted for the five SPOs, be it not intensively. Since the capability to act and commit and the capability to adapt and self-renew are the most targeted capabilities in Ethiopia, India and Indonesia, we choose to focus on these two capabilities for Liberia as well. This would help the synthesis team in the further analysis of these capabilities related to process tracing. See also the table below.

Table 7

The extent to which the Dutch NGO explicitly targets the following capabilities – Liberia

Capability to:	BSC	DEN-L	NAWOCOL	REFOUND	RHRAP
Act and commit	5	1	1	1	3
Deliver on development objectives	3	1	1	1	1
Adapt and self-renew	2	2	2	2	2
Relate	1	2	2	2	2
Achieve coherence	1	1	1	1	1

Note: Number 1 stands for not targeted, 5 for intensively targeted. These scores are relative scores for the interventions by the CFA to strengthen the capacity of the SPO. The scores are relative to each other, a higher score means that this capability gets more attention by the CFA compared to other capabilities.

Source: country baseline report, Liberia.

Below you can see the table describing when the contract with the SPO is to be ended, and whether both SPO and the CFA expect to focus on these two selected capabilities (with MFS II funding). Also, for two of the five SPOs capability to act and commit is targeted more intensively compared to the other capabilities. Based on the above-mentioned selection criteria the following SPOs are selected for process tracing: BSC and RHRAP.

Table 8

SPOs selected for process tracing – Liberia

Liberia – SPOs	End of contract	Focus on capability to act and commit – by SPO	Focus on capability to act and commit – by CFA	Focus on capability to adapt and self-renew –by SPO	Focus on capability to adapt and self-renew – by CFA	CFA	Selected for process tracing
BSC	Dec 31, 2015	Yes	Yes	Yes	Yes	SPARK	Yes
DEN-L	2014	No	No	Unknow	A little	ICCO	No – not

				n			matching enough
NAWOCOL	2014	Yes	No	No	A little	ICCO	No – not matching enough
REFOUND	At least until 2013 (2015?)	Yes	No	Yes	A little	ICCO	No – not matching enough
RHRAP	At least until 2013 (2014?)	Yes	Yes	Yes	Yes	ICCO	Yes

Key steps in process tracing for the 5C study

In the box below you will find the key steps developed for the 5C process tracing methodology. These steps will be further explained here. Only key staff of the SPO is involved in this process: management; programme/ project staff; and monitoring and evaluation staff, and other staff that could provide information relevant to the identified outcome area/key organisational capacity change. Those SPOs selected for process tracing had a separate endline workshop, in addition to the ' general endline workshop. This workshop was carried out after the initial endline workshop and the interviews during the field visit to the SPO. Where possible, the general and process tracing endline workshop have been held consecutively, but where possible these workshops were held at different points in time, due to the complex design of the process. Below the detailed steps for the purpose of process tracing are further explained.

Key steps in process tracing for the 5C study

1. Identify the planned MFS II supported capacity development interventions within the selected capabilities (capability to act and commit and capability to adapt and self-renew) – CDI team
2. Identify the implemented MFS II supported capacity development interventions within the selected capabilities (capability to act and commit and capability to adapt and self-renew) – CDI team
3. Identify initial changes/ outcome areas in these two capabilities – CDI team & in-country team
4. Construct the detailed, initial causal map (theoretical model of change) – CDI team & in-country team
5. Identify types of evidence needed to verify or discard different causal relationships in the model of change – in-country teams, with support from CDI team
6. Collect data to verify or discard causal mechanisms and construct workshop based, detailed causal map (model of change) – in-country team
7. Assess the quality of data and analyse data and develop final detailed causal map (model of change) – in-country team with CDI team
8. Analyse and conclude on findings– CDI team, in collaboration with in-country team

Some definitions of the terminology used for this MFS II 5c evaluation

Based upon the different interpretations and connotations the use of the term causal mechanism we use the following terminology for the remainder of this paper:

- A **detailed causal map** (or **model of change)** = the representation of all possible explanations – causal pathways for a change/ outcome. These pathways are that of the intervention, rival pathways and pathways that combine parts of the intervention pathway with that of others. This also depicts the reciprocity of various events influencing each other and impacting the overall change.
- A **causal mechanism** = is the combination of parts that ultimately explains an outcome. Each part of the mechanism is an individually insufficient but necessary factor in a whole mechanism, which together produce the outcome (Beach and Pedersen, 2013, p. 176).
- **Part** or **cause** = one actor with its attributes carrying out activities/ producing outputs that lead to change in other parts. The final part or cause is the change/ outcome.
- **Attributes of the actor** = specificities of the actor that increase his chance to introduce change or not such as its position in its institutional environment.

*Step 1. Identify the **planned MFS II supported capacity development interventions** within the selected capabilities (capability to act and commit and capability to adapt and self-renew) – CDI team*

Chapter 4.1 and 4.2 in the baseline report were reviewed. Capacity development interventions as planned by the CFA for the capability to act and commit and for the capability to adapt and self-renew were described and details inserted in the summary format. This provided an overview of the capacity development activities that were originally planned by the CFA for these two capabilities and assisted in focusing on relevant outcomes that are possibly related to the planned interventions.

*Step 2. Identify the **implemented capacity development interventions** within the selected capabilities (capability to act and commit and capability to adapt and self-renew) – CDI team*

The input from the CFA was reviewed in terms of what capacity development interventions have taken place in the MFS II period. This information was be found in the 'Support to capacity

development sheet - endline - CFA perspective' for the SPO, based on details provided by the CFA and further discussed during an interview by the CDI team.

The CFA was asked to describe all the MFS II supported capacity development interventions of the SPO that took place during the period 2011 up to now. The CDI team reviewed this information, not only the interventions but also the observed changes as well as the expected long-term changes, and then linked these interventions to relevant outcomes in one of the capabilities (capability to act and commit; and capability to adapt and self-renew).

*Step 3. Identify **initial changes/ outcome areas** in these two capabilities – by CDI team & in-country team*

The CDI team was responsible for coding documents received from SPO and CFA in NVivo on the following:

- 5C Indicators: this was to identify the changes that took place between baseline and endline. This information was coded in Nvivo.
- Information related to the capacity development interventions implemented by the CFA (with MFS II funding) (see also Step 2) to strengthen the capacity of the SPO. For example, the training on financial management of the SPO staff could be related to any information on financial management of the SPO. This information was coded in Nvivo.

In addition, the response by the CFA to the changes in 5C indicators format, was auto-coded.

The in-country team was responsible for timely collection of information from the SPO (before the fieldwork starts). This set of information dealt with:

- MFS II supported capacity development interventions during the MFS II period (2011 until now).
- Overview of all trainings provided in relation to a particular outcome areas/organisational capacity change since the baseline.
- For each of the identified MFS II supported trainings, training questionnaires have been developed to assess these trainings in terms of the participants, interests, knowledge and skills gained, behaviour change and changes in the organisation (based on Kirkpatrick's model), one format for training participants and one for their managers. These training questionnaires were sent prior to the field visit.
- Changes expected by SPO on a long-term basis ('Support to capacity development sheet - endline - SPO perspective').

For the selection of change/ outcome areas the following criteria were important:

- The change/ outcome area is in one of the two capabilities selected for process tracing: capability to act and commit or the capability to adapt and self-renew. This was the first criteria to select upon.
- There was a likely link between the key organisational capacity change/ outcome area and the MFS II supported capacity development interventions. This also was an important criteria. This would need to be demonstrated through one or more of the following situations:
  - In the 2012 theory of change on organisational capacity development of the SPO a link was indicated between the outcome area and MFS II support;
  - During the baseline the CFA indicated a link between the planned MFS II support to organisational development and the expected short-term or long-term results in one of the selected capabilities;
  - During the endline the CFA indicated a link between the implemented MFS II capacity development interventions and observed short-term changes and expected long-term changes in the organisational capacity of the SPO in one of the selected capabilities;

- During the endline the SPO indicated a link between the implemented MFS II capacity development interventions and observed short-term changes and expected long-term changes in the organisational capacity of the SPO in one of the selected capabilities.

Reviewing the information obtained as described in Step 1, 2, and 3 provided the basis for selecting key organisational capacity change/ outcome areas to focus on for process tracing. These areas were to be formulated as broader outcome areas, such as 'improved financial management', 'improved monitoring and evaluation' or 'improved staff competencies'.

Note: the outcome areas were to be formulated as intermediates changes. For example: an improved monitoring and evaluation system, or enhanced knowledge and skills to educate the target group on climate change. Key outcome areas were also verified - based on document review as well as discussions with the SPO during the endline.

*Step 4. Construct the **detailed, initial causal map** (theoretical model of change) – CDI & in-country team*

A detailed initial causal map was developed by the CDI team, in collaboration with the in-country team. This was based on document review, including information provided by the CFA and SPO on MFS II supported capacity development interventions and their immediate and long-term objectives as well as observed changes. Also, the training questionnaires were reviewed before developing the initial causal map. This detailed initial causal map was to be provided by the CDI team with a visual and related narrative with related references. This initial causal map served as a reference point for further reflection with the SPO during the process tracing endline workshop, where relationships needed to be verified or new relationships established so that the second (workshop-based), detailed causal map could be developed, after which further verification was needed to come up with the final, concluding detailed causal map.

It's important to note that organisational change area/ outcome areas could be both positive and negative.

For each of the selected outcomes the team needed to make explicit the theoretical model of change. This meant finding out about the range of different actors, factors, actions, and events etc. that have contributed to a particular outcome in terms of organisational capacity of the SPO.

A model of change of good quality includes:

- The causal pathways that relate the intervention to the realised change/ outcome;
- Rival explanations for the same change/ outcome;
- Assumptions that clarify relations between different components or parts;
- Case specific and/or context specific factors or risks that might influence the causal pathway, such as for instance the socio-cultural-economic context, or a natural disaster;
- Specific attributes of the actors e.g. CFA and other funders.

A model of change (within the 5C study called a 'detailed causal map') is a complex system which produces intermediate and long-term outcomes by the interaction of other parts. It consists of parts or causes that often consist of one actor with its attributes that is implementing activities leading to

change in other parts (Beach & Pedersen, 2013). A helpful way of constructing the model of change is to think in terms of actors carrying out activities that lead to other actors changing their behaviour. The model of change can be explained as a range of activities carried out by different *actors* (including the CFA and SPO under evaluation) that will ultimately lead to an outcome. Besides this, there are also '*structural*' elements, which are to be interpreted as external factors (such as economic conjuncture); and *attributes* of the actor (does the actor have the legitimacy to ask for change or not, what is its position in the sector) that should be looked at (Beach & Pedersen, 2013). In fact Beach and Pedersen, make a fine point about the subjectivity of the actor in a dynamic context. This means, in qualitative methodologies, capturing the changes in the actor, acted upon area or person/organisation, in a non sequential and non temporal format. Things which were done recently could have corrected behavioural outcomes of an organisation and at the same ime there could be processes which incrementally pushed for the same change over a period of time. Beach and Pedersen espouse this methodology because it captures change in a dynamic fashion as against the methodology of logical framework. For the MFS II evaluation it was important to make a distinction between those paths in the model of change that are the result of MFS II and rival pathways.
The construction of the model of change started with the identified key organisational capacity change/ outcome, followed by an inventory of all possible subcomponents that possibly have caused the change/ outcome in the MFS II period (2011-up to now, or since the baseline). The figure below presents an imaginary example of a model of change. The different colours indicate the different types of support to capacity development of the SPO by different actors, thereby indicating different pathways of change, leading to the key changes/ outcomes in terms of capacity development (which in this case indicates the ability to adapt and self-renew).

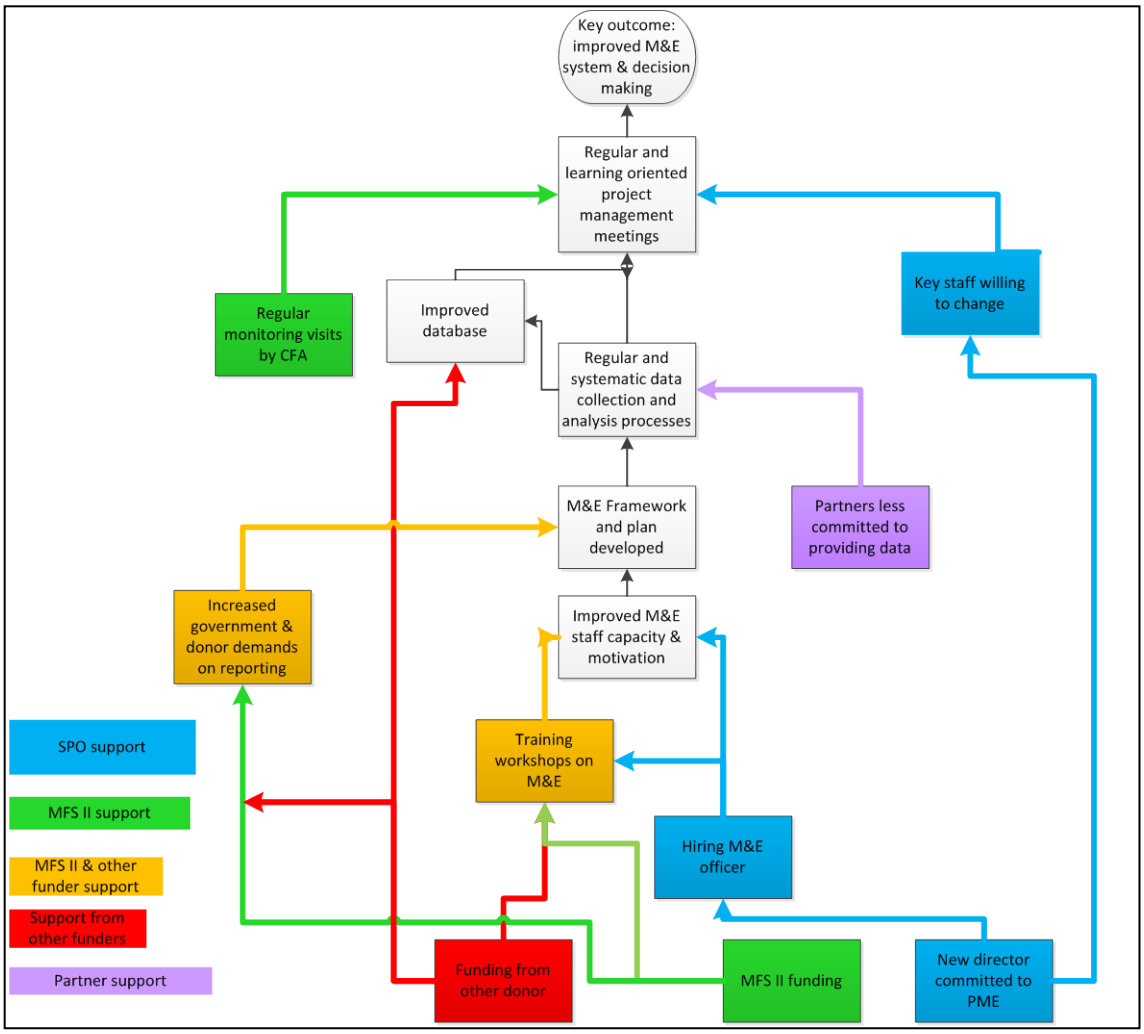

Figure 1 *An imaginary example of a model of change*

*Step 5. Identify **types of evidence** needed to verify or discard different causal relationships in the model of change – in-country teams with support from CDI team*

Once the causal mechanism at theoretical level were defined, empirical evidence was collected so as to verify or discard the different parts of this theoretical model of change, confirm or reject whether subcomponents have taken place, and to find evidence that confirm or reject the causal relations between the subcomponents.

A key question that we needed to ask ourselves was, *"What information do we need in order to confirm or reject that one subcomponent leads to another, that X causes Y?"*. The evaluation team needed to agree on what information was needed that provides empirical manifestations for each part of the model of change.

There are four distinguishable types of evidence that are relevant in process tracing analysis: *pattern, sequence, trace, and account*. Please see the box below for descriptions of these types of evidence.

The evaluation team needed to agree on the types of evidence that was needed to verify or discard the manifestation of a particular part of the causal mechanism. Each one or a combination of these different types of evidence could be used to confirm or reject the different parts of the model of change. This is what is meant by robustness of evidence gathering. Since causality as a concept can bend in many ways, our methodology, provides a near scientific model for accepting and rejecting a particular type of evidence, ignoring its face value.

Types of evidence to be used in process tracing

- **Pattern evidence** relates to predictions of statistical patterns in the evidence. For example, in testing a mechanism of racial discrimination in a case dealing with employment, statistical patterns of employment would be relevant for testing this part of the mechanism.
- **Sequence evidence** deals with the temporal and spatial chronology of events predicted by a hypothesised causal mechanism. For example, a test of the hypothesis could involve expectations of the timing of events where we might predict that if the hypothesis is valid, we should see that the event B took place after event A took place. However, if we found that event B took place before event A took place, the test would suggest that our confidence in the validity of this part of the mechanism should be reduced (disconfirmation/ falsification).
- **Trace evidence** is evidence whose mere existence provides proof that a part of a hypothesised mechanism exists. For example, the existence of the minutes of a meeting, if authentic ones, provide strong proof that the meeting took place.
- **Account evidence** deals with the content of empirical material, such as meeting minutes that detail what was discussed or an oral account of what took place in the meeting.

Source: Beach and Pedersen, 2013

Below you can find a table that provides guidelines on what to look for when identifying types of evidence that can confirm or reject causal relationships between different parts/

subcomponents of the model of change. It also provides one example of a part of a causal pathway and what type of information to look for.

Table 9

Format for identifying types of evidence for different causal relationships in the model of change (example included)

Part of the model of change	Key questions	Type of evidence needed	Source of information
Describe relationship between the subcomponents of the model of change	Describe questions you would like to answer a so as to find out whether the components in the relationship took place, when they took place, who was involved, and whether they are related	Describe the information that we need in order to answer these questions. Which type of evidence can we use in order to reject or confirm that subcomponent X causes subcomponent Y? Can we find this information by means of : Pattern evidence; Sequence evidence; Trace evidence; Account evidence?	Describe where you can find this information
Example: Training workshops on M&E provided by MFS II funding and other sources of funding	Example: What type of training workshops on M&E took place? Who was trained? When did the training take place? Who funded the training? Was the funding of training provided before the training took place? How much money was available for the training?	Example: Trace evidence: on types of training delivered, who was trained, when the training took place, budget for the training Sequence evidence on timing of funding and timing of training Content evidence: what the training was about	Example: Training report SPO Progress reports interviews with the CFA and SPO staff Financial reports SPO and CFA

Please note that for practical reasons, the 5C evaluation team decided that it was easier to integrate the specific questions in the narrative of the initial causal map. These questions would need to be addressed by the in country team during the process tracing workshop so as to discover, verify or discard particular causal mechanisms in the detailed, initial causal map. Different types of evidence was asked for in these questions.

Step 6. ***Collect data*** *to verify or discard causal mechanisms and develop workshop-based, detailed causal map – in-country team*

Once it was decided by the in-country and CDI evaluation teams what information was to be collected during the interaction with the SPO, data collection took place. The initial causal maps served as a basis for discussions during the endline workshop with a particular focus on process tracing for the identified organisational capacity changes. But it was considered to be very important to understand from the perspective of the SPO how they understood the identified key organisational capacity change/outcome area has come about. A new detailed, workshop-based causal map was developed that included the information provided by SPO staff as well as based on initial document review as described in the initial detailed causal map. This information was further analysed and verified with other relevant information so as to develop a final causal map, which is described in the next step.

Step 7. ***Assess the quality*** *of data and* ***analyse data****, and develop the* ***final detailed causal map*** *(model of change) – in-country team and CDI team*

Quality assurance of the data collected and the evidence it provides for rejecting or confirming parts of causal explanations are a major concern for many authors specialised in contribution analysis and process-tracing. Stern et al. (2012), Beach and Pedersen (2013), Lemire, Nielsen and Dybdal (2012), Mayne (2012) and Delahais and Toulemonde (2012) all emphasise the need to make attribution/ contribution claims that are based on pieces of evidence that are rigorous, traceable, and credible. These pieces of evidence should be as explicit as possible in proving that *subcomponent X causes subcomponent Y* and ruling out other explanations. Several tools are proposed to check the nature and the quality of data needed. One option is, Delahais and Toulemonde's Evidence Analysis Database, which we have adapted for our purpose.

Delahais and Toulemonde (2012) propose an Evidence Analysis Database that takes into consideration three criteria:

- Confirming/ rejecting a causal relation (yes/no);
- Type of causal mechanism: intended contribution/ other contribution/ condition leading to intended contribution/ intended condition to other contribution/ feedback loop;
- Strength of evidence: strong/ rather strong/ rather weak/ weak.

We have adapted their criteria to our purpose. The in-country team, in collaboration with the CDI team, used the criteria in assessing whether causal relationships in the causal map, were strong enough. This has been more of an iterative process trying to find additional evidence for the established relationships through additional document review or contacting the CFA and SPO as well as getting their feedback on the final detailed causal map that was established. Whilst the form below has not been used exactly in the manner depicted, it has been used indirectly when trying to validate the information in the detailed causal map. After that, the final

detailed causal map is established both as a visual as well as a narrative, with related references for the established causal relations.

Example format for the adapted evidence analysis database (example included) **Description of causal relation**	**Confirming / rejecting a causal relation (yes / no)**	**Type of information providing the background to the confirmation or rejection of the causal relation**	**Strength of evidence: strong / rather strong / rather weak / weak**	**Explanation for why the evidence is (rather) strong or (rather) weak, and therefore the causal relation is confirmed / rejected**
e.g. Training staff in M&E leads to enhanced M&E knowledge, skills and practice	e.g. Confirmed	e.g. Training reports confirmed that staff are trained in M&E and that knowledge and skills increased as a result of the training		

Step 8. ***Analyse and conclude*** *on findings– in-country team and CDI team*

The final detailed causal map was described as a visual and narrative and this was then analysed in terms of the evaluation question two and evaluation question four: *"To what degree are the changes identified in partner capacity attributable to development interventions undertaken by the MFS II consortia (i.e. measuring effectiveness)?"* and *"What factors explain the findings drawn from the questions above?"* It was analysed to what extent the identified key organisational capacity change can be attributed to MFS II supported capacity development interventions as well as to other related factors, interventions and actors.

2.4 Explaining factors – evaluation question 4

This paragraph describes the data collection and analysis methodology for answering the fourth evaluation question: **"What factors explain the findings drawn from the questions above?"**

In order to explain the changes in organisational capacity development between baseline and endline (evaluation question 1) the CDI and in-country evaluation teams needed to review the indicators and how they have changed between baseline and endline and what reasons have been provided for this. This has been explained in the first section of this appendix. It has been difficult to find detailed explanations for changes in each of the separate 5c indicators, but the 'general causal map' has provided some ideas about some of the key underlying factors actors

and interventions that influence the key organisational capacity changes, as perceived by the SPO staff.

For those SPOs that are selected for process tracing (evaluation question 2), more in-depth information was procured for the identified key organisational capacity changes and how MFS II supported capacity development interventions as well as other actors, factors and interventions have influenced these changes. This is integrated in the process of process tracing as described in the section above.

2.5 Methodological reflection

Below a few methodological reflections are made by the 5C evaluation team.

Use of the 5 core capabilities framework and qualitative approach: this has proven to a be very useful framework to assess organisational capacity. The five core capabilities provide a comprehensive picture of the capacity of an organisation. The capabilities are interlinked, which was also reflected in the description of standard indicators, that have been developed for the purpose of this 5C evaluation and agreed upon for the eight countries. Using this framework with a mainly qualitative approach has provided rich information for the SPOs and CFAs, and many have indicated this was a useful learning exercise.

Using standard indicators and scores: using standard indicators is useful for comparison purposes. However, the information provided per indicator is very specific to the SPO and therefore makes comparison difficult. Whilst the description of indicators has been useful for the SPO and CFA, it is questionable to what extent indicators can be compared across SPOs since they need to be seen in context, for them to make meaning. In relation to this, one can say that scores that are provided for the indicators, are only relative and cannot show the richness of information as provided in the indicator description. Furthermore, it must be noted that organisations are continuously changing and scores are just a snapshot in time. There cannot be perfect score for this. In hindsight, having rubrics would have been more useful than scores.

General causal map: whilst this general causal map, which is based on key organisational capacity changes and related causes, as perceived by the SPO staff present at the endline workshop, has not been validated with other sources of information except SPO feedback, the 5C evaluation team considers this information important, since it provides the SPO story about how and which changes in the organisation since the baseline, are perceived as being important, and how these changes have come about. This will provide information additional to the information that has been validated when analysing and describing the indicators as well as the information provided through process tracing (selected SPOs). This has proven to be a learning experience for many SPOs.

Using process tracing for dealing with the attribution question: this theory-based and mainly qualitative approach has been chosen to deal with the attribution question, on how the organisational capacity changes in the organisations have come about and what the relationship is with MFS II supported capacity development interventions and other factors. This has proven to be a very useful process, that provided a lot of very rich information. Many SPOs and CFAs have already indicated that they appreciated the richness of information which provided a story about how identified organisational capacity changes have come about. Whilst this process was intensive for SPOs during the process tracing workshops, many appreciated this to be a learning process that provided useful information on how the organisation can further develop itself. For the evaluation team, this has also been an intensive

and time-consuming process, but since it provided rich information in a learning process, the effort was worth it, if SPOs and CFAs find this process and findings useful.

A few remarks need to be made:

- Outcome explaining process tracing is used for this purpose, but has been adapted to the situation since the issues being looked at were very complex in nature.
- Difficulty of verifying each and every single change and causal relationship:
  - Intensity of the process and problems with recall: often the process tracing workshop was done straight after the general endline workshop that has been done for all the SPOs.In some cases, the process tracing endline workshop has been done at a different point in time, which was better for staff involved in this process, since process tracing asks people to think back about changes and how these changes have come about. The word difficulties with recalling some of these changes and how they have come about. See also the next paragraph.
  - Difficulty of assessing changes in knowledge and behaviour: training questionnaire is have been developed, based on Kirkpatrick's model and were specifically tailored to identify not only the interest but also the change in knowledge and skills, behaviour as well as organisational changes as a result of a particular training. The retention ability of individuals, irrespective of their position in the organisation, is often unstable. The 5C evaluation team experienced that it was difficult for people to recall specific trainings, and what they learned from those trainings. Often a change in knowledge, skills and behaviour is a result brought about by a combination of different factors , rather than being traceable to one particular event. The detailed causal maps that have been established, also clearly pointed this. There are many factors at play that make people change their behaviour, and this is not just dependent on training but also internal/personal (motivational) factors as well as factors within the organisation, that stimulate or hinder a person to change behaviour. Understanding how behaviour change works is important when trying to really understand the extent to which behaviour has changed as a result of different factors, actors and interventions. Organisations change because people change and therefore understanding when and how these individuals change behaviour is crucial. Also attrition and change in key organisational positions can contribute considerably to the outcome. Staff turnover may have seriously affected institutional memory, which is an important factor, next to the difficulty of recall when describing a chain of events, in qualitative information. These factors are important to take into account.

Utilisation of the evaluation

The 5C evaluation team considers it important to also discuss issues around utility of this evaluation. We want to mention just a few.

Design – mainly externally driven and with a focus on accountability and standard indicators and approaches within a limited time frame, and limited budget: this MFS II evaluation is originally based on a design that has been decided by IOB (the independent evaluation office of the Dutch Ministry of Foreign Affairs) and to some extent MFS II organisations. The evaluators have had no influence on the overall design and sampling for the 5C study. In terms of learning, one may question whether the most useful cases have been selected in this sampling process. The focus was very much on a rigorous evaluation carried out by an independent evaluation team. Indicators had to be streamlined across countries. The 5C team was requested to collaborate with the other 5C country teams (Bangladesh, Congo, Pakistan, Uganda) to streamline the methodological approach across the eight sampled countries. Whilst this may have its purpose in terms of synthesising results, the 5C evaluation team has also experienced the difficulty of tailoring the approach to the specific SPOs. The overall evaluation has been mainly accountability driven and was less focused on enhancing learning for improvement. Furthermore, the timeframe has been very small to compare baseline information (2012) with endline information (2014). Changes in organisational capacity may take a long, particularly if they are related to behaviour change. Furthermore, there has been limited budget to

carry out the 5C evaluation. For all the four countries (Ethiopia, India, Indonesia, Liberia) that the Centre for Development Innovation, Wageningen University and Research centre has been involved in, the budget has been overspent.

However, the 5C evaluation team has designed an endline process whereby engagement of staff, e.g. in a workshop process was considered important, not only due to the need to collect data, but also to generate learning in the organisation. Furthermore, having general causal maps and detailed causal maps generated by process tracing have provided rich information that many SPOs and CFAs have already appreciated as useful in terms of the findings as well as a learning process.

Another issue that must be mentioned is that additional requests have been added to the country teams during the process of implementation: developing a country based synthesis; questions on design, implementation, and reaching objectives of MFS II funded capacity development interventions, whilst these questions were not in line with the core evaluation questions for the 5C evaluation.

Complexity and inadequate coordination and communication: many actors, both in the Netherlands, as well as in the eight selected countries, have been involved in this evaluation and their roles and responsibilities, were often unclear. For example, 19 MFS II consortia, the internal reference group, the Ministry of Foreign Affairs, Partos, the Joint Evaluation Trust, NWO-Wotro, the evaluators (Netherlands and in-country), 2 external advisory committees, and the steering committee. Not to mention the SPO's and their related partners and consultants. CDI was involved in 4 countries with a total number of 38 SPOs and related CFAs. This complexity influenced communication and coordination, as well as the extent to which learning could take place. Furthermore, there was a distance between the evaluators and the CFAs, since the approach had to be synchronised across countries, and had to adhere to strict guidelines, which were mainly externally formulated and could not be negotiated or discussed for the purpose of tailoring and learning. Feedback on the final results and report had to be provided mainly in written form. In order to enhance utilisation, a final workshop at the SPO to discuss the findings and think through the use with more people than probably the one who reads the report, would have more impact on organisational learning and development. Furthermore, feedback with the CFAs has also not been institutionalised in the evaluation process in the form of learning events. And as mentioned above, the complexity of the evaluation with many actors involved did not enhance learning and thus utilization.

5C Endline process, and in particular thoroughness of process tracing often appreciated as learning process: The SPO perspective has also brought to light a new experience and technique of self-assessment and self-corrective measures for managers. Most SPOs whether part of process tracing or not, deeply appreciated the thoroughness of the methodology and its ability to capture details with robust connectivity. This is a matter of satisfaction and learning for both evaluators and SPOs. Having a process whereby SPO staff were very much engaged in the process of self-assessment and reflection has proven for many to be a learning experience for many, and therefore have enhanced utility of the 5C evaluation. For future evaluation purposes, it is important to keep 'utility' in mind since this is the first and most important evaluation standard. Helping to think through how evaluation can be useful for primary intended users is crucial. Ensuring a process whereby stakeholders involved are engaged in a learning process can support utility. However, it must be noted that, with qualitative information, respondents may suffer from recall bias if they describe a chain of events. Particularly when attrition is high, learning becomes limited since it is hard to find institutional memory. For future evaluations it is important to be more utilisation focused next time with engagement of stakeholders in a learning process so that they can also take up the lessons learned for further improve upon their organisations. Now, the evaluation was too much accountability driven. Furthermore, it's important that enough time is taken into account for the evaluation process, to provide useful insights for all involved. The time period of two years was too short to see remarkable change in terms of capacity development. Process tracing has proven to be a useful exercise that provided a lot of insight into how changes in terms of capacity development have taken place. Many SPOs and CFAs valued this insightful learning process and indicated they would work with the results to further improve the organisational capacity of the SPO. Furthermore, in case of staff turnover, this may have seriously affected institutional memory,

which is an important factor, next to the difficulty of recall when describing a chain of events, in qualitative information. Organisational capacity contains many different aspects that are constantly changing and it's important to see these as part of a whole rather than a separate issues, which had to be done for this specific evaluation in terms of standard indicators. The different aspects relate to each other, a need to be seen more from a whole systems perspective. Furthermore, organisational capacity is complex, methodologies for evaluation need to be tuned to the specific situation of each organisation.

Appendix 3 Background information on the five core capabilities framework

The 5 capabilities (5C) framework was to be used as a framework for the evaluation of capacity development of Southern Partner Organisations (SPOs) of the MFS II consortia. The 5C framework is based on a five-year research program on 'Capacity, change and performance' that was carried out by the European Centre for Development Policy Management (ECDPM). The research included an extensive review of the literature and sixteen case studies. The 5C framework has also been applied in an IOB evaluation using 26 case studies in 14 countries, and in the baseline carried out per organisation by the MFS II organisations for the purpose of the monitoring protocol.

The 5C framework is structured to understand and analyse (changes in) the capacity of an organization to deliver (social) value to its constituents. This introduction briefly describes the 5C framework, mainly based on the most recent document on the 5C framework (Keijzer et al., 2011).

The 5C framework sees capacity as an **outcome** of an **open system**. An organisation or collaborative association (for instance a network) is seen as a system interacting with wider society. The most critical practical issue is to ensure that relevant stakeholders share a common way of thinking about capacity and its core constituents or capabilities. Decisive for an organisation's capacity is the context in which the organisation operates. This means that **understanding context issues** is crucial. The use of the 5C framework requires a multi-stakeholder approach because shared values and results orientation are important to facilitate the capacity development process. The 5C framework therefore needs to **accommodate the different visions** of stakeholders and conceive different strategies for raising capacity and improving performance in a given situation.

The 5C framework defines capacity as '**producing social value'** and identifies five core capabilities that together result in that overall capacity. Capacity, capabilities and competences are seen as follows:

Capacity is referred to as the overall ability of an organisation or system to create value for others;

Capabilities are the collective ability of a group or a system to do something either inside or outside the system. The collective ability involved may be technical, logistical, managerial or generative (i.e. the ability to earn legitimacy, to adapt, to create meaning, etc.);

Competencies are the energies, skills and abilities of individuals.

Fundamental to developing capacity are inputs such as human, material and financial resources, technology, and information. To the degree that they are developed and successfully integrated, capabilities contribute to the overall capacity or ability of an organisation or system to create value for others. A single capability is not sufficient to create capacity. All are needed and are strongly interrelated and overlapping. Thus, to achieve its development goals, the 5C framework says that every organisation or system must have **five basic capabilities:**

1. The capability to act and commit;

2. The capability to deliver on development objectives;
3. The capability to adapt and self-renew;
4. The capability to relate (to external stakeholders);
5. The capability to achieve coherence.

In order to have a common framework for evaluation, the five capabilities have been reformulated in outcome domains and for each outcome domain performance indicators have been developed.

There is some overlap between the five core capabilities but together the five capabilities result in a certain level of capacity. Influencing one capability may have an effect on one or more of the other capabilities. In each situation, the level of any of the five capabilities will vary. Each capability can become stronger or weaker over time.

Appendix 4 Overview of capabilities, and related outcome domains and performance indicators

Capabilities	Outcome domains	Performance indicators
Capability to act and commit	Level of Effective Leadership	1.1.Responsive leadership: 'Leadership is responsive, inspiring, and sensitive'
		1.2.Strategic guidance: 'Leaders provide appropriate strategic guidance (strategic leader and operational leader)'
		1.3.Staff turnover: 'Staff turnover is relatively low'
	Level of realistic strategic planning	1.4.Organisational structure: 'Existence of clear organisational structure reflecting the objectives of the organisation'
		1.5.Articulated strategies: 'Strategies are articulated and based on good situation analysis and adequate M&E'
	Level of translation of strategy into operations	1.6.Daily operations: 'Day-to-day operations are in line with strategic plans'
	Level of Staff Capacity and Motivation	1.7.Staff skills: 'Staff have necessary skills to do their work'
		1.8.Training opportunities: 'Appropriate training opportunities are offered to staff'
		1.9.1.Incentives: 'Appropriate incentives are in place to sustain staff motivation'
	Level of Financial Resource Security	1.9.2.Funding sources: 'Funding from multiple sources covering different time periods'
		1.9.3.Funding procedures: 'Clear procedures for exploring new funding opportunities'
Capability to adapt and self-renew	Level of effective application of M&E	2.1.M&E application: 'M&E is effectively applied to assess activities, outputs and outcomes'
		2.2.M&E competencies: 'Individual competencies for performing M&E functions are in place'
	Level of strategic use of M&E	2.3.M&E for future strategies: 'M&E is effectively applied to assess the effects of delivered products and services (outcomes) for future strategies'
	Level of openness to strategic learning	2.4.Critical reflection: 'Management stimulates frequent critical reflection meetings that also deal with learning from mistakes'
		2.5. Freedom for ideas: 'Staff feel free to come up with ideas for implementation of objectives
	Level of context awareness	2.6.System for tracking environment: 'The organisation has a system for being in touch with general trends and developments in its operating environment'
		2.7.Stakeholder responsiveness: 'The organisation is open and responsive to their stakeholders and the general public'
Capability to deliver on development objectives	Extent to which organisation delivers on planned products and services	3.1.Clear operational plans: 'Organisation has clear operational plans for carrying out projects which all staff fully understand'
		3.2.Cost-effective resource use: 'Operations are based on cost-effective use of its resources'
		3.3.Delivering planned outputs: 'Extent to which planned outputs are delivered'

Capabilities	Outcome domains	Performance indicators
	Extent to which delivered products and services are relevant for target population in terms of the effect they have	3.4.Mechanisms for beneficiary needs: 'The organisation has mechanisms in place to verify that services meet beneficiary needs'
	Level of work efficiency	3.5.Monitoring efficiency: 'The organisation monitors its efficiency by linking outputs and related inputs (input-output ratio's)'
		3.6.Balancing quality-efficiency: 'The organisation aims at balancing efficiency requirements with the quality of its work'
Capability to relate	**Level of involving external parties in internal policy/strategy development**	4.1.Stakeholder engagement in policies and strategies: 'The organisation maintains relations/ collaboration/alliances with its stakeholders for the benefit of the organisation'
	Level of engagement of organisation in networks, alliances and collaborative efforts	4.2.Engagement in networks: 'Extent to which the organization has relationships with existing networks/alliances/partnerships'
	Extent to which organisation is actively engaging with target groups	4.3.Engagement with target groups: 'The organisation performs frequent visits to their target groups/ beneficiaries in their living environment'
	Level of effective relationships within the organisation	4.3.Relationships within organisation: 'Organisational structure and culture facilitates open internal contacts, communication, and decision-making'
Capability to achieve coherence	**Existence of mechanisms for coherence**	5.1.Revisiting vision, mission: 'Vision, mission and strategies regularly discussed in the organisation'
		5.2.Operational guidelines: 'Operational guidelines (technical, admin, HRM) are in place and used and supported by the management'
	Level of coherence of various efforts of organisation	5.3.Alignment with vision, mission: 'Projects, strategies and associated operations are in line with the vision and mission of the organisation'
		5.4.Mutually supportive efforts: 'The portfolio of project (activities) provides opportunities for mutually supportive efforts'

Appendix 4 CIVICUS and Civil Society Index Framework Title

CIVICUS, the World Alliance for Citizen Participation is an international alliance of members and partners which constitutes an influential network of organisations at the local, national, regional and international levels, and spans the spectrum of civil society. It has worked for nearly two decades to strengthen citizen action and civil society throughout the world. CIVICUS has a vision of a global community of active, engaged citizens committed to the creation of a more just and equitable world. This is based on the belief that the health of societies exists in direct proportion to the degree of balance between the state, the private sector and civil society.

One of the areas that CIVICUS works in is the Civil Society Index (CSI). Since 2000, CIVICUS has measured the state of civil society in 76 countries. In 2008, it considerably changed its CSI.

4.1 Guiding principles for measuring civil society

Action orientation: the principal aim of the CSI is to generate information that is of practical use to civil society practitioners and other primary stakeholders. Therefore, its framework had to identify aspects of civil society that can be changed, as well as generate knowledge relevant to action-oriented goals.

CSI implementation must be participatory by design: The CSI does not stop at the generation of knowledge alone. Rather, it also actively seeks to link knowledge-generation on civil society, with reflection and action by civil society stakeholders. The CSI has therefore continued to involve its beneficiaries, as well as various other actors, in this particular case, civil society stakeholders, in all stages of the process, from the design and implementation, through to the deliberation and dissemination stages.

This participatory cycle is relevant in that such a mechanism can foster the self-awareness of civil society actors as being part of something larger, namely, civil society itself. As a purely educational gain, it broadens the horizon of CSO representatives through a process of reflecting upon, and engaging with, civil society issues which may go beyond the more narrow foci of their respective organizations. A strong collective self-awareness among civil society actors can also function as an important catalyst for joint advocacy activities to defend civic space when under threat or to advance the common interests of civil society vis-à-vis external forces. These basic civil society issues, on which there is often more commonality than difference among such actors, are at the core of the CSI assessment.

CSI is change oriented: The participatory nature that lies at the core of the CSI methodology is an important step in the attempt to link research with action, creating a diffused sense of awareness and ownerships. However, the theory of change that the CSI is based on goes one step further, coupling this participatory principle with the creation of evidence in the form of a comparable and contextually valid assessment of the state of civil society. It is this evidence, once shared and disseminated, that ultimately constitutes a resource for action.

CSI is putting local partners in the driver's seat: CSI is to continue being a collaborative effort between a broad range of stakeholders, with most importance placed on the relationship between CIVICUS and its national partners.

4.2 Defining Civil Society

The 2008 CIVICUS redesign team modified the civil society definition as follows:

The arena, outside of the family, the state, and the market – which is created by individual and collective actions, organizations and institutions to advance shared interests.

Arena: In this definition the arena refers to the importance of civil society's role in creating public spaces where diverse societal values and interests interact (Fowler 1996). CSI uses the term 'arena' to describe the particular realm or space in a society where people come together to debate, discuss, associate and seek to influence broader society. CIVICUS strongly believes that this arena is distinct from other arenas in society, such as the market, state or family.

Civil society is hence defined as a political term, rather than in economic terms that resemble more the 'non-profit sector'.

Besides the spaces created by civil society, CIVICUS defines particular spaces for the family, the state and the market.

Individual and collective action, organizations and institutions: Implicit in a political understanding of civil society is the notion of agency; that civil society actors have the ability to influence decisions that affect the lives of ordinary people. The CSI embraces a broad range of actions taken by both individuals and groups. Many of these actions take place within the context of non-coercive organizations or institutions ranging from small informal groups to large professionally run associations.

Advance shared interests: The term 'interests' should be interpreted very broadly, encompassing the promotion of values, needs, identities, norms and other aspirations.

They encompass the personal and public, and can be pursued by small informal groups, large membership organizations or formal associations. The emphasis rests however on the element of 'sharing' that interest within the public sphere.

4.3 Civil Society Index- Analytical Framework

The 2008 Civil Society Index distinguishes 5 dimensions of which 4 (civic engagement, level of organization, practice of values and perception of impact), can be represented in the form of a diamond and the fifth one (external environment) as a circle that influences upon the shape of the diamond.

Civic Engagement, or 'active citizenship', is a crucial defining factor of civil society. It is the hub of civil society and therefore is one of the core components of the CSI's definition. Civic engagement describes the formal and informal activities and participation undertaken by individuals to advance shared interests at different levels. Participation within civil society is multi-faceted and encompasses socially-based and politically-based forms of engagement.

Level of Organization. This dimension assesses the organizational development, complexity and sophistication of civil society, by looking at the relationships among the actors within the civil society arena. Key sub dimensions are:

- Internal governance of Civil Society Organisations;
- Support infrastructure, that is about the existence of supporting federations or umbrella bodies;
- Self-regulation, which is about for instance the existence of shared codes of conducts amongst Civil Society Organisations and other existing self-regulatory mechanisms;
- Peer-to-peer communication and cooperation: networking, information sharing and alliance building to assess the extent of linkages and productive relations among civil society actors;
- Human resources, that is about the sustainability and adequacy of human resources available for CSOs in order to achieve their objectives:
  - Financial and technological resources available at CSOs to achieve their objectives;
  - International linkages, such as CSO's membership in international networks and participation in global events.

Practice of Values. This dimension assesses the internal practice of values within the civil society arena. CIVICUS identified some key values that are deemed crucial to gauge not only progressiveness but also the extent to which civil society's practices are coherent with their ideals. These are:

- Democratic decision-making governance: how decisions are made within CSOs and by whom;
- Labour regulations: includes the existence of policies regarding equal opportunities, staff membership in labour unions, training in labour rights for new staff and a publicly available statement on labour standards;
- Code of conduct and transparency: measures whether a code of conduct exists and is available publicly. It also measures whether the CSO's financial information is available to the public.
- Environmental standards: examines the extent to which CSOs adopt policies upholding environmental standards of operation;
- Perception of values within civil society: looks at how CSOs perceive the practice of values, such as non-violence. This includes the existence or absence of forces within civil society that use violence, aggression, hostility, brutality and/or fighting, tolerance, democracy, transparency, trustworthiness and tolerance in the civil society within which they operate.

Perception of Impact. This is about the perceived impact of civil society actors on politics and society as a whole as the consequences of collective action. In this, the perception of both civil society actors (internal) as actors outside civil society (outsiders) is taken into account. Specific sub dimensions are

- Responsiveness in terms of civil society's impact on the most important social concerns within the country. "Responsive" types of civil society are effectively taking up and voicing societal concerns.
- Social impact measures civil society's impact on society in general. An essential role of civil society is its contribution to meet pressing societal needs;
- Policy impact: covers civil society's impact on policy in general. It also looks at the impact of CSO activism on selected policy issues;
- Impact on attitudes: includes trust, public spiritedness and tolerance. The sub dimensions reflect a set of universally accepted social and political norms. These are drawn, for example, from sources such as the Universal Declaration of Human Rights, as well as CIVICUS' own core values. This dimension measures the extent to which these values are practised within civil society, compared to the extent to which they are practised in society at large.

Context Dimension: *External Environment*. It is crucial to give consideration to the social, political and economic environments in which it exists, as the environment both directly and indirectly affects civil society. Some features of the environment may enable the growth of civil society.

Conversely, other features of the environment hamper the development of civil society. Three elements of the external environment are captured by the CSI:

- Socio-economic context: The Social Watch's basic capabilities index and measures of corruption, inequality and macro-economic health are used portray the socioeconomic context that can have marked consequences for civil society, and perhaps most significantly at the lower levels of social development;
- Socio-political context: This is assessed using five indicators. Three of these are adapted from the Freedom House indices of political and civil rights and freedoms, including political rights and freedoms, personal rights and freedoms within the law and associational and organisational rights and freedoms. Information about CSO experience with the country's legal framework and state effectiveness round out the picture of the socio-political context;
- Socio-cultural context: utilises interpersonal trust, which examines the level of trust hat ordinary people feel for other ordinary people, as a broad measure of the social psychological climate for association and cooperation. Even though everyone experiences relationships of varying trust and distrust with different people, this measure provides a simple indication of the prevalence of a world view that can support and strengthen civil society. Similarly, the extent of tolerance and public spiritedness also offers indication of the context in which civil society unfolds.

Appendix 5 Methodology Civil Society

This appendix describes the evaluation methodology that was developed to evaluate the efforts of Dutch NGOs and their Southern Partner Organisations (SPO) to strengthen Civil Society in India, Ethiopia and Indonesia. The first paragraph introduces the terms of reference for the evaluation and the second discusses design issues, including sampling procedures and changes in the terms of reference that occurred between the 2012 and 2014 assessment. The third paragraph presents the methodologies developed to answer each of the evaluation questions. The evaluation team uses the qualitative software programme NVIVO and how this is being used is presented in paragraph 1.4.

5.1 Introduction

5.1.1 Terms of reference for the evaluation

The Netherlands has a long tradition of public support for civil bi-lateral development cooperation, going back to the 1960s. The Co-Financing System ('MFS) is its most recent expression. MFS II is the 2011-2015 grant programme which meant to achieve sustainable reduction in poverty. A total of 20 consortia of Dutch Co Financing Agencies have been awarded €1.9 billion in MFS II grants by the Dutch Ministry of Foreign Affairs (MoFA).

One component of the MFS II programme addresses the extent to which the Southern Partners of the Dutch Consortia are contributing towards strengthening civil society and this evaluation assesses this contribution for Southern Partner countries in Indonesia, India and Ethiopia. The evaluation comprised a baseline study, carried out in 2012, followed by an end line study in 2014.

The entire MFS II evaluation comprises assessments in eight countries where apart from a civil society component, also assessments towards achieving MDGs and strengthening the capacity of the southern partner organisations by the CFAs. A synthesis team is in place to aggregate findings of all eight countries. This team convened three synthesis team meetings, one in 2012, one in 2013 and one in 2014. All three meetings aimed at harmonising evaluation methodologies for each component across countries. CDI has been playing a leading role in harmonising its Civil Society and Organisational Capacity assessment with the other organisations in charge for those components in the other countries.

This appendix describes the methodology that has been developed for the evaluation of the efforts to strengthen civil society priority result area. We will first explain the purpose and scope of this evaluation and then present the overall evaluation design. We will conclude with describing methodological adaptations, limitations and implications.

5.1.2 Civil Society assessment – purpose and scope

The overall purpose of the joint MFS II evaluations is to account for results of MFS II-funded or –co-funded development interventions implemented by Dutch CFAs and/or their Southern partners and to contribute to the improvement of future development interventions.

The civil society evaluation is organised around 5 key questions:

- What are the changes in civil society in the 2012-2014 period, with particular focus on the relevant MDGs & themes in the selected country?

- To what degree are the changes identified attributable to the development interventions of the Southern partners of the MFS II consortia (i.e. measuring effectiveness)?
- What is the relevance of these changes?
- Were the development interventions of the MFS II consortia efficient?
- What factors explain the findings drawn from the questions above?

Furthermore, the evaluation methodology for efforts to strengthen civil society should:

- Describe how a representative sample of Southern partner organisations of the Dutch CFAs in the country will be taken
- Focus on five priority result areas that correspond with dimensions of the Civil Society Index (CSI) developed by CIVICUS (see paragraph 6.4 - Call for proposal). For each of those dimensions the call for proposal formulated key evaluation questions.
- Should compare results with available reference data (i.e. a CSI report or other relevant data from the country in question).

The results of this evaluation are to be used by the Dutch Ministry of Foreign Affairs, the Dutch Consortia and their partner organisations. The evaluation methodology has to be participatory in the sense that Dutch Consortia and their partner organisation would be asked to give their own perception on a range of indicators of the adjusted CIVICUS analytical framework in 2012 and in 2014.

5.2 Designing the methodology

5.2.1 Evaluation principles and standards

The overall approach selected is a participatory, theory-based evaluation through a before and after comparison. This paragraph briefly describes these principles and how these have been translated into data collection principles. It also describes how a 'representative sample' of Southern Partner Organisations was selected and how the initial terms of references were adjusted with the consent of the commissioner of the evaluation, given the nature of the evaluation component and the resources available for the evaluation.

Recognition of complexity

The issues at stake and the interventions in civil society and policy influence are complex in nature, meaning that cause and effect relations can sometimes only be understood in retrospect and cannot be repeated. The evaluation methods should therefore focus on recurring patterns of practice, using different perspectives to understand changes and to acknowledge that the evaluation means to draw conclusions about complex adaptive systems (Kurtz and Snowden, 2003)[13].

Changes in the values of the Civil Society Indicators in the 2012-2014 period are then the result of conflict management processes, interactive learning events, new incentives (carrots and sticks) that

[13] C. F. Kurtz, D. J. Snowden, The new dynamics of strategy: Sense-making in a complex and complicated world, in IBM Systems Journal vol 42, no 3, 2003)

mobilise or demobilise civil society, rather than the result of a change process that can be predicted from A to Z (a linear or logical framework approach)[14].

A theory-based evaluation

Theory-based evaluation has the advantage of situating the evaluation findings in an analysis that includes both what happened over the life of the project as well as the how and why of what happened (Rogers 2004). It demonstrates its capacity to help understand why a program works or fails to work, going further than knowing only outcomes by trying to systematically enter the black box (Weiss 2004).

Theory-based evaluations can provide a framework to judge effectiveness in context of high levels of complexity, uncertainty, and changeability when traditional (impact) evaluation methods are not suitable: the use of control groups for the civil society evaluation is problematic since comparable organizations with comparable networks and operating in a similar external environment would be quite difficult to identify and statistical techniques of matching cannot be used because of a small n.

Because SPO's theories of change regarding their efforts to build civil society or to influence policies may alter during the 2012-2014 period, it requires us to develop a deep understanding of the change process and the dynamics that affect civil society and policies. It is important to understand what has led to specific (non-) changes and (un)-expected changes. These external factors and actors, as well as the SPO's agency need to be taken into account for the attribution question. Linear input-activities-outputs-outcomes-impact chains do not suffice for complex issues where change is both the result of SPOs' interventions as those by other actors and/or factors.

Therefore, the most reasonable counterfactual that can be used for this evaluation is that of considering alternative causal explanations of change (White and Philips, 2012). Therefore the SPOs' Theory of Change constructed in 2012 is also related to a Model of Change constructed in 2014 that tries to find the ultimate explanations of what happened in reality, including other actors and factors that might possibly explain the outcomes achieved.

Triangulation of methods and sources of information

For purposes of triangulation to improve the robustness, validity or credibility of the findings of the evaluation we used different types of data collection and analysis methods as well as different sources of information. The CIVICUS analytical framework was adjusted for this evaluation in terms of providing standard impact outcome indicators to be taken into account. Data collection methods used consisted of workshops with the SPO, interviews with key resource persons, focus group discussions, social network analysis (during the baseline), consultation of project documents; MFS II consortia documents and other documents relevant to assess general trends in civil society

[14] Caluwe de, L & Vermaak H. (2003) "Learning to Change. A Guide for Organization Change Agents" Sage Publications.

Participatory evaluation
The evaluation is participatory in that both baseline and end line started with a workshop with SPO staff, decision makers and where possible board members. The baseline workshop helped SPOs to construct their own theory of change with regards to civil society. . Detailed guidelines and tools have been developed by CDI for both baseline and follow-up, and these have been piloted in each of the countries CDI is involved in. Country based evaluators have had a critical input in reviewing and adapting these detailed guidelines and tools. This enhanced a rigorous data collection process. Additionally, the process of data analysis has been participatory where both CDI and in-country teams took part in the process and cross-check each other's inputs for improved quality. Rigorous analysis of the qualitative data was done with the assistance of the NVivo software program..

Using the evaluation standards as a starting point
As much as possible within the boundaries of this accountability driven evaluation, the evaluation teams tried to respect the following internationally agreed upon standards for program evaluation (Yarbrough et al, 2011). These are, in order of priority: Utility; Feasibility; Propriety; Accuracy; Accountability. However, given the entire set-up of the evaluation, the evaluation team cannot fully ensure the extent to which the evaluation is utile for the SPO and their CFAs; and cannot ensure that the evaluation findings are used in a proper way and not for political reasons;

5.2.2 Sample selection

The terms of reference for this evaluation stipulate that the evaluators draw a sample of southern partner organisations to include in the assessment. Given the fact that the first evaluation questions intends to draw conclusions for the MDGs or the themes (governance or fragile states) for each countries a sample was drawn for the two or three most frequent MDGs or themes that the SPOs are working in.

The Dutch MFS II consortia were asked to provide information for each SPO regarding the MDG/theme it is working on, if it has an explicit agenda in the area of civil society strengthening and/or policy influence. The database then give an insight into the most important MDG/themes covered by the partner organisations, how many of these have an explicit agenda regarding civil society strengthening and/or policy influence. For Indonesia, 5 partner organisations were randomly selected for respectively MDG 7 (natural resources) and 5 for the governance theme. For India 5 SPOs were selected for MDG 1(economic or agricultural development) and 5 others for the theme governance. The sample in Ethiopia consists of 3 SPOs working on MDG 4,5 and 6 (Health); 3 SPOs for MDG 2 (education) and 3 SPOs for MDG 1 (economic or agricultural development).

5.2.3 Changes in the original terms of reference

Two major changes have been introduced during this evaluation and accepted by the commissioner of the MFS II evaluation. These changes were agreed upon during the 2013 and the 2014 synthesis team meetings.

The efficiency evaluation question:

During the June 2013 synthesis meeting the following decision was made with regards to measuring how efficient MFS II interventions for organisational capacity and civil society are:

[...] it was stressed that it is difficult to disentangle budgets for capacity development and civil society strengthening. SPOs usually don't keep track of these activities separately; they are included in general project budgets. Therefore, teams agreed to assess efficiency of CD [capacity development] and CS activities in terms of the outcomes and/or outputs of the MDG projects. This implies no efficiency assessment will be held for those SPOs without a sampled MDG project. Moreover, the

efficiency assessment of MDG projects needs to take into account CD and CS budgets (in case these are specified separately). Teams will evaluate efficiency in terms of outcomes if possible. If project outcomes are unlikely to be observed already in 2014, efficiency will be judged in terms of outputs or intermediate results (e-mail quotation from Gerton Rongen at February 6, 2014).

Attribution/contribution evaluation question

During the June 2013 NWO-WOTRO workshop strategies were discussed to fit the amount of evaluation work to be done with the available resources. Therefore,

1. The number of SPOs that will undergo a full-fledged analysis to answer the attribution question, were to be reduced to 50 percent of all SPOs. Therefore the evaluation team used the following selection criteria:
   - An estimation of the annual amount of MFS II funding allocated to interventions that have a more or less direct relation with the civil society component. This implies the following steps to be followed for the inventory:
   - Covering all MDGs/themes in the original sample
   - Covering a variety of Dutch alliances and CFAs
2. The focus of the attribution question will be on two impact outcome areas, those most commonly present in the SPO sample for each country. The evaluation team distinguishes four different impact outcome areas:
   - The extent to which the SPO, with MFS II funding, engages more and diverse categories of society in the 2011-2014 period (Civicus dimensions "Civic engagement" and "perception of impact")
   - The extent to which the SPOs supports its intermediate organisations to make a valuable contribution to civil society in the 2011 -2014 period (Civicus dimension "Level of organisation" and "perception of impact")
   - The extent to which the SPO itself engages with other civil society organisations to make a valuable contribution to civil society in the 2011-2014 period (Civicus dimension "level of organisation")
   - The extent to which the SPO contributes to changing public and private sector policies and practices in the 2011-2014 period (Civicus dimension "perception of impact")
3. The CS dimension 'Practice of Values' has been excluded, because this dimension is similar to issues dealt with for the organisational capacity assessment.

The aforementioned analysis drew the following conclusions:

Table 1

SPOs to be included for full-fledged process tracinganalysis.

Country	SPO in the in-depth analysis	Strategic CS orientation to include
Indonesia	Elsam, WARSI, CRI, NTFP-EP, LPPSLH	1. Strengthening intermediate organisations AND influencing policies and practices 2. If only one of the two above mentioned is applicable, then select another appropriate impact outcome area to look at.
India	NNET, CWM, CECOEDECON, Reds Tumkur, CSA	1. Enhancing civic engagement AND strengthening intermediate organisations 2. If only one of the two above mentioned is applicable then select another appropriate impact outcome area to look at.
Ethiopia	OSSA, EKHC, CCGG&SO, JeCCDO and ADAA	1. Strengthening the capacities of intermediate organisations AND SPO's engagement in the wider CS arena 2. If only one of the two above mentioned is applicable then select another appropriate impact outcome area to look at.

Source: Consultation of project documents

5.3 Answering the evaluation questions

5.3.1 Evaluation question 1 - Changes in civil society for the relevant MDGs/topics

Evaluation question 1: *What are the changes in civil society in the 2012-2014 period, with particular focus on the relevant MDGs & themes in the selected country*?

Indicators and tools used
In line with the CIVICUS Civil Society Index, a scoring tool was developed in 2012 which comprises 17 indicators. The selection was inspired by those suggested in the terms of reference of the commissioner. Each indicator was, also in line with the CIVICUS index accompanied by an open evaluation question to be used for data collection in 2012 and 2014. In 2012 the scoring tool contained four statements describing the level of achievements of the indicator and scores ranged from 0 to 3 (low score - high score).

A comparison of the scores obtained in 2012 informed the evaluation team that there was a positive bias towards high scores, mostly between 2 and 3. Therefore during the 2014 assessment, it was decided to measure relative changes for each indicator in the 2012 – 2014 period, as well as the reasons for changes or no changes and assigning a score reflecting the change between -2 (considerable deterioration of the indicator value since 2012) and +2 (considerable improvement).

In 2012 and based upon the Theory of Change constructed with the SPO, a set of *standard indicators* were identified that would ensure a relation between the standard CIVICUS indicators and the interventions of the SPO. However, these indicators were not anymore included in the 2014 assessment because of the resources available and because the methodology fine-tuned for the attribution question in 2013, made measurement of these indicators redundant.
Also in 2012, as a means to measure the 'level of organisation' dimension a *social network analysis tool* was introduced. However this tool received very little response and was discontinued during the end line study.

Key questions to be answered for this evaluation question
In 2012, SPO staff and leaders, as well as outside resource persons were asked to provide answers to 17 questions, one per standard indicator of the scoring tool developed by CDI.
In 2012, the SPO staff and leaders were given the description of each indicator as it was in 2012 and had to answer the following questions:

1. How has the situation of this indicator changed compared to its description of the 2012 situation? Did it deteriorate considerably or did it improve considerably (-2 → +2)
2. What exactly has changed since 2012 for the civil society indicator that you are looking at? Be as specific as possible in your description.
3. What interventions, actors and other factors explain this change compared to the situation in 2012? Please tick and describe what happened and to what change this led. It is possible to tick and describe more than one choice.
   - Intervention by SPO, NOT financed by any of your Dutch partners ……..
   - Intervention SPO, financed by your Dutch partner organisation ……(In case you receive funding from two Dutch partners, please specify which partner is meant here)
   - Other actor NOT the SPO, please specify…….
   - Other factor, NOT actor related, please specify……
   - A combination of actors and factors, INCLUDING the SPO, but NOT with Dutch funding, please specify…
   - A combination of actors and factors, INCLUDING the SPO, but WITH Dutch funding, please specify…
   - Don't know

4. Generally speaking, which two of the five CIVICUS dimensions (civic engagement, level of organisation, practice of values, perception of impact, environment) changed considerably between 2012 – 2014? For each of these changes, please describe:
   - Nature of the change
   - Key interventions, actors and factors (MFS II or non-MFS II related) that explain each change (entirely or partially).

Sources for data collection

During the baseline and the end line and for purposes of triangulation, several methods were used to collect data on each (standard) indicator:

- Self-assessment per category of staff within the SPO: where possible, three subgroups were made to assess the scores: field staff/programme staff, executive leadership and representatives of the board,, general assembly, and internal auditing groups if applicable completed with separate interviews;
- Interviews with external resource persons. These consisted of three categories: key actors that are knowledgeable about the MDG/theme the SPO is working on and who know the civil society arena around these topics; civil society organisations that are being affected by the programme through support or CSOs with which the SPO is collaborating on equal footing, and; representatives of public or private sector organisations with which the SPO is interacting
- Consultation and analysis of reports that relate to each of the five CIVICUS dimensions.
- Project documents, financial and narrative progress reports, as well as correspondence between the SPO and the CFA.
- Social network analysis (SNA), which was discontinued in the end line study.

During the follow-up, emphasis was put on interviewing the same staff and external persons who were involved during the baseline for purpose of continuity.

5.3.2 Evaluation question 2 – "Attribution" of changes in civil society to interventions of SPOs.

Evaluation question 2: *To what degree are the changes identified attributable to the development interventions of the Southern partners of the MFS II consortia (i.e. measuring effectiveness)?*

Adapting the evaluation question and introduction to the methodology chosen

In line with the observation of Stern et al. (2012) that the evaluation question, the programme attributes, and the evaluation approaches all provide important elements to conclude on the evaluation design to select, the teams in charge of evaluating the civil society component concluded that given the attributes of the programmes it was impossible to answer the *attribution* question as formulated in the Terms of References of the evaluation and mentioned above. Therefore, the evaluation teams worked towards answering the extent *to which the programme contributed towards realising the outcomes.*

For this endeavour explaining outcome process-tracing[15] was used. The objective of the process tracing methodology for MFS II, in particular for the civil society component is to:

- Identify what interventions, actors and factors explain selected impact outcomes for process tracing.
- Assess how the SPO with MFS II funding contributed to the changes in the selected impact outcomes and how important this contribution is given other actors and factors that possibly influence the attainment of the outcome. Ruling out rival explanations, which are other interventions, actors or factors that are not related to MFS II funding.
-

Methodology – getting prepared

As described before a limited number of SPOs were selected for process tracing and for each country strategic orientations were identified as a means to prevent a bias occurring towards only positive impact outcomes and as a means to support the in-country evaluation teams with the selection of outcomes to focus on a much as was possible, based upon the project documents available

[15] Explaining outcome process tracing attempts to craft a minimally sufficient explanation of a puzzling outcome in a specific historical case. Here the aim is not to build or test more general theories but to craft a (minimally) sufficient explanation of the outcome of the case where the ambitions are more case centric than theory oriented. The aim of process tracing is not to verify if an intended process of interventions took place as planned in a particular situation, but that it aims at increasing our understanding about what works under what conditions and why (Beach & Pedersen, 2013).

at CDI. These documents were used to track realised outputs and outcomes against planned outputs and outcomes. During the workshop (see evaluation question on changes in civil society) and follow-up interviews with the SPO, two impact outcomes were selected for process tracing.

Steps in process tracing

1. Construct the theoretical model of change – by in-country evaluation team

After the two impact outcomes have been selected and information has been obtained about what has actually been achieved, the in-country evaluation team constructs a visual that shows all pathways that might possibly explain the outcomes. The inventory of those possible pathways is done with the SPO, but also with external resource persons and documents consulted. This culminated in a Model of Change. A MoC of good quality includes: The causal pathways that relate interventions/parts by any actor, including the SPO to the realised impact outcome; assumptions that clarify relations between different parts in the pathway, and; case specific and/or context specific factors or risks that might influence the causal pathway, such as for instance specific attributes of the actor or socio-cultural-economic context. The Models of Change were discussed with the SPO and validated.

2. Identify information needs to confirm or reject causal pathways as well as information sources needed.

This step aims to critically reflect upon what information is needed that helps to confirm one of causal pathways and at that at same time helps to reject the other possible explanations. Reality warns that this type of evidence will hardly be available for complex development efforts. The evaluators were asked to behave as detectives of Crime Scene Investigation, ensuring that the focus of the evaluation was not only on checking if parts/interventions had taken place accordingly, but more specifically on identifying information needs that confirm or reject the relations between the parts/interventions. The key question to be answered was: "What information do we need in order to confirm or reject that one part leads to another part or, that X causes Y?". Four types of evidence were used, where appropriate:[16]

- *Pattern evidence* relates to predictions of statistical patterns in the evidence. This may consist of trends analysis and correlations.
- *Sequence evidence* deals with the temporal and spatial chronology of events predicted by a hypothesised causal mechanism. For example, a test of the hypothesis could involve expectations of the timing of events where we might predict that if the hypothesis is valid, we should see that the event B took place after event A. However, if we found that event B took place before event A, the test would suggest that our confidence in the validity of this part of the mechanism should be reduced (disconfirmation/ falsification).
- *Trace evidence* is evidence whose mere existence provides proof that a part of a hypothesised mechanism exists. For example, the existence of meeting minutes, if authentic, provides strong proof that the meeting took place.
- *Account evidence* deals with the content of empirical material, such as meeting minutes that detail what was discussed or an oral account of what took place in the meeting.

3. Collect information necessary to confirm or reject causal pathways

Based upon the inventory of information needs the evaluation teams make their data collection plan after which data collection takes place.

4. Analyse the data collected and assessment of their quality.

This step consists of compiling all information collected in favour or against a causal pathway in a table or in a list per pathway. For all information used, the sources of information are mentioned and an assessment of the strength of the evidence takes place, making a distinction between strong, weak and moderate evidence. For this we use the traffic light system: **green letters mean strong evidence**, **red letters mean weak evidence** and **orange letter mean moderate evidence:** The following table provides the format used to assess these issues.

[16] Beach and Pederson, 2013

Table 2

Organisation of information collected per causal pathway and assessing their quality

Causal pathway	Information that confirms (parts of) this pathway		Information that rejects (parts of) this pathway	
Pathway 1	**Information 1**	Source of information	**Information 1**	Source of information
Part 1.1	**Information 2**	Source of information	**Information 2**	Source of information
Part 1.2	**Information 3**	Source of information	**Information 3**	Source of information
Etc	etc	etc	etc	etc
Pathway 2	**Information 1**	Source of information	**Information 1**	Source of information
Part 2.1	**Information 2**	Source of information	**Information 2**	Source of information
Part 2.2	**Information 3**	Source of information	**Information 3**	Source of information
Etc.	etc	etc	etc	etc
Pathway 3				

Sources: Dieuwke Klaver

5. Assessing the nature of the relations between parts in the model of change

The classification of all information collected is being followed by the identification of the pathways that most likely explain the impact outcome achieved. For this the evaluators assess the nature of the relations between different parts in the MoC. Based upon Mayne (2012) and Stern et al (2012) the following relations between parts in the MoC are mapped and the symbols inserted into the original MoC.

Table 3

Nature of the relation between parts in the Model of Change

Nature of the relation between parts and other parts or outcome	
The part is the only causal explanation for the outcome. No other interventions or factors explain it. (necessary and sufficient)	
The part does not explain the outcome at all: other subcomponents explain the outcomes.	
The part explains the outcome but other parts explain the outcome as well: there are multiple pathways (sufficient but not necessary)	
The part is a condition for the outcome but won't make it happen without other factors (necessary but not sufficient)	
The part explains the outcome, but requires the help of other parts to explain the outcome in a sufficient and necessary way (not a sufficient cause, but necessary) → it is part of a causal package	

Sources: Mayne, 2012; Stern et al, 2012

6. Write down the contribution and assess the role of the SPO and MFS II funding

This final step consists of answering the following questions, as a final assessment of the contribution question:

- The first question to be answered is: What explains the impact outcome?
- The second question is: What is the role of the SPO in this explanation?
- The third question, if applicable is: what is the role of MFS II finding in this explanation?

Sources for data collection

Information necessary to answer this evaluation question is to be collected from:

- Interviews with resource persons inside and outside the SPO
- Project documents and documentation made available by other informants
- Websites that possibly confirm that an outcome is achieved and that the SPO is associated with this outcome
- Meeting minutes of meetings between officials
- Time lines to trace the historical relations between events
- Policy documents

- etc

5.3.3 Evaluation question 3 – Relevance of the changes

Evaluation question 3: *What is the relevance of these changes?*

The following questions are to be answered in order to assess the relevance of the changes in Civil Society.

- How do the MFS II interventions and civil society outcomes align with the Theory of Change developed during the baseline in 2012? What were reasons for changing or not changing interventions and strategies?
- What is the civil society policy of the Dutch alliance that collaborates with the SPO? And how do the MFS II interventions and civil society outcomes align with the civil society policy of the Dutch alliance that collaborates with the SPO?
- How relevant are the changes achieved in relation to the context in which the SPO is operating?
- What is the further significance of these changes for building a vibrant civil society for the particular MDG/ theme in the particular context?

Sources for data collection
For this question the following sources are to be consulted:

- Review of the information collected during interviews with the SPO and outside resource persons
- The 2012 Theory of Change
- Interview with the CFA liaison officer of the SPO;
- Review of reports, i.e: the civil society policy document of the Dutch Alliance that was submitted for MFS II funding, relevant documents describing civil society for the MDG/ theme the SPO is working on in a given context.

5.3.4 Evaluation question 4, previously 5 - Factors explaining the findings

Evaluation question 4: *What factors explain the findings drawn from the questions above?*

To answer this question we look into information available that:

- Highlight changes in the organisational capacity of the SPO
- Highlight changes in the relations between the SPO and the CFA
- Highlight changes in the context in which the SPO is operating and how this might affect positively or negatively its organisational capacity.

Sources for data collection
Sources of information to be consulted are:

- Project documents
- Communications between the CFA and the SPO
- Information already collected during the previous evaluation questions.

5.4 Analysis of findings

A qualitative software programme NVivo 10 (2010) was used to assist in organizing and making sense of all data collected. Although the software cannot take over the task of qualitative data analysis, it does 1) improve transparency by creating a record of all steps taken, 2) organize the data and allow the evaluator to conduct a systematic analysis, 3) assist in identifying important themes that might otherwise be missed, and 4) reduce the danger of bias due to human cognitive limitations, compared to “intuitive data processing” (Sadler 1981). The qualitative data in the evaluation consisted of transcripts from semi-structured interviews, focus group discussions workshops, field notes from observation, and a range of documents available at the SPO or secondary information used to collect reference data and to obtain a better understanding of the context in which the CS component evolves.

To analyse this diverse collection of data, several analytical strategies are envisioned, specifically content analysis, discourse analysis, and thematic analysis. Although each of these strategies can be understood as a different lens through which to view the data, all will require a carefully developed and executed coding plan.

Data have been coded according to: standard civil society indicator; outcome included for in-depth contribution analysis; relevance, and; explaining factors.

This qualitative analysis will be supported by a limited amount of quantitative data largely arising from the score assigned by the evaluation team to each performance indicator described in the civil society scoring tool. Other quantitative data in this study are drawn information provided in background literature and organisational documents as well as the Social Network Analysis method.

5.5 Limitations to the methodology

5.5.1 General limitations with regards to the MFS II evaluation

The MFS II programme and CIVICUS

Although the MFS II programme stated that all proposals need to contribute to civil society strengthening in the South[17], mention was made of the use of the CIVICUS framework for monitoring purposes. The fact that civil society was to be integrated as one of the priority result areas next to that of organisational capacity and MDGs became only clear when the MoFA communicated its mandatory monitoring protocol. In consequence, civil society strengthening in the MFS II programmes submitted to the ministry is mainstreamed into different sub programmes, but not addressed as a separate entity.

This late introduction of the Civil Society component also implies that project documents and progress reports to not make a distinction in MDG or theme components vs those of civil society strengthening, leaving the interpretation of what is a civil society intervention our outcome and what not to the interpretation of the evaluation team.

At the same time the evaluation team observes that SPOs and CFAs have started to incorporate the organisational capacity tool that is being used in the monitoring protocol in their own organisational assessment procedures. None of the SPOs is familiar with the CIVICUS framework and how it fits into their interventions.

Differences between CIVICUS and MFS II evaluation

[17] Policy Framework Dutch Cofinancing System II 2011 - 2015

CIVICUS developed a Civil Society Index that distinguishes 5 dimensions and for each of these a set of indicators has been developed. Based upon a variety of data collection methods, a validation team composed of civil society leaders provides the scores for the civil society index.

Major differences between the way the Civil Society Index is been used by CIVICUS and for this MFS II evaluation is the following:

1. CIVICUS defines its unit of analysis is terms of the civil society arena at national and/or subnational level and does not start from individual NGOs. The MFS II evaluation put the SPO in the middle of the civil society arena and then looked at organisations that receive support; organisations with which the SPO is collaborating. The civil society arena boundaries for the MFS II evaluation are the public or private sector organisations that the SPO relates to or whose policies and practices it aims to influence
2. The CIVICUS assessments are conducted by civil society members itself whereas the MFS II evaluation is by nature an external evaluation conducted by external researchers. CIVICUS assumes that its assessments, by organising them as a joint learning exercise, will introduce change that is however not planned. With the MFS II evaluation the focus was on the extent to which the interventions of the SPO impacted upon the civil society indicators.
3. CIVICUS has never used its civil society index as a tool to measure change over a number of years. Each assessment is a stand-alone exercise and no efforts are being made to compare indicators over time or to attribute changes in indicators to a number of organisations or external trends.

Dimensions and indicator choice

The CIVICUS dimensions in themselves are partially overlapping; the dimension 'perception of impact' for instance contains elements that relate to 'civic engagement' and to 'level of organisation'. Similar overlap is occurring in the civil society scoring tool developed for this evaluation and which was highly oriented by a list of evaluation questions set by the commissioner of the evaluation.

Apart from the overlap, we observe that some of the standard indicators used for the civil society evaluation were not meaningful for the SPOs under evaluation. This applies for instance for the political engagement indicator "How intense is your (individual staff or organisational) participation in locally-nationally elected bodies and/or sectoral user groups?".

Measuring change over a two-year period

The MFS II programme started its implementation in 2011 and it will finish in 2015, whereas its evaluation started mid-2012 and will end in the beginning of 2014. The period between the baseline and the end line measurement hardly covers 2 years in some cases. Civil society building and policy influence are considered the type of interventions that requires up to 10 years to reap significant results, especially when taking into account attitudes and behaviour. Apart from the fact that the baseline was done when MFS II was already operational in the field for some 1,5 years, some SPO interventions were a continuation of programmes designed under the MFS I programme, hence illustrating that the MFS II period is not a clear boundary. Contracts with other SPOs ended already in 2012, and practically coincided with the baseline assessment being conducted at the moment the relationship with the CFA had practically ended.

Aggregation of findings

Although working with standard indicators and assigning them scores creates expectations of findings being compared and aggregated at national and international level, this may lend itself to a quick but inaccurate assessment of change. Crude comparison between programs on the basis of findings is problematic, and risks being politically abused. The evaluation team has to guard against these abuses by ensuring the necessary modesty in extrapolating findings and drawing conclusions.

Linking the civil society component to the other components of the MFS II evaluation
The Theory of Change in the terms of reference assumes that CFAs are strengthening the organisational capacity of their partners, which is evaluated in the organisational capacity components, which then leads to impact upon MDGs or upon civil society. Because the evaluation methodology designed for both the organisational capacity and the civil society evaluation require considerable time investments of the SPOs, a deliberate choice was made not to include SPOs under the organisational capacity component in that of Civil Society. This may possibly hamper conclusions regarding the assumption of capacitated SPOs being able to impact upon civil society. However, where information is available and where it is relevant, the civil society component will address organisational capacity issues.

No such limitations were made with regards to SPOs in the MDG sample, however, apart from Indonesia; none of the SPOs in the civil society sample is also in that of MDG.

5.5.2 Limitations during baseline with regards to the methodology

A very important principle upon which this evaluation methodology is based is that of triangulation, which implies that different stakeholders and documents are consulted to obtain information about the same indicator from different perspectives. Based upon these multiple perspectives, a final score can be given on the same indicator which is more valid and credible.

For India this has not always been possible:

- For each SPO a Survey Monkey questionnaire was developed to assess the intensity of the interaction between stakeholders in the network. Out of 233 actors that were invited to fill in this 5 minute questionnaire, only 79 actors effectively filled in the questionnaire = 34 %. The online Social Network Analysis aims at having both the opinion of the SPO on the intensity of the interaction with another actor, as well as the opinion of the other for triangulation. Important reasons for not filling in this form are that actors in the network are not technology savvy, or that they have difficulties in accessing internet.
- With regards to filling in offline interview forms or answering questions during interviews a number of civil society actors did not want to score themselves because they do not benefit from the interventions of the MFS II projects. Having the scores of their own organisations will help to assess the wider environment in which the SPO operates and possibly an impact of the SPO on other civil society organisations in 2014.
- With regards to public officials the evaluation team faced difficulties to have their opinions on a certain number of indicators such as perception of impact on policy influencing and relations between public organisations and civil society. Public officials fear that they will be quoted in the assessment, which may have repercussions for their position.

India has many different ethnic groups which speak many different languages. Although the evaluation team speaks the most important languages, sometimes it was really difficult to have a deep insight into all the processes in civil society and in policy influencing. Due to these language barriers it has been difficult to map the processes – the ripple effects of efforts to build civil society and to influence policies.

5.5.3 Limitations during end line with regards to the methodology

Project documentation

The methodology assumed that project documents and progress reports would be helpful in linking project interventions to the CIVICUS framework and obtaining an overview of outputs-outcomes achieved versus planned. These overviews would then be used to orient the in-country evaluation teams for the quick or in-depth contribution analysis.

In practice the most recent progress reports were hardly available with the CFAs or were made available later in the process. These reports often were not helpful in accumulating outputs towards to the planned outputs and even outcomes. Hardly any information is available at outcome or impact level and no monitoring systems are available to do so. Key information missing and relevant for civil society impact (but also to track progress being made on effects of project interventions) is for

instance a comprehensive overview of the organisational performance of organisations supported by the SPO.

For a number of SPOs the reality was different than the progress reports reflected which meant that constant fine-tuning with the in-country evaluation team was necessary and that CDI could not always provide them with the guidance needed for the selection of impact outcomes for contribution analysis.

Country specific limitations – India

The India team observes that triangulation of data was not always possible, given the resources available for the evaluation team. This was in particular valid for the first evaluation question regarding *changes.* Like during the baseline, government officials were not willing to take part in the evaluation because of the strict protocol they have to follow.

With regards to the first evaluation question on changes:

- During the end line scores (-2 until +2) were assigned to indicate relative changes. The in-country evaluation team observes that SPOs were inclined to interpret a score 0 as the organization not being performant on the issue, whereas in terms of the evaluation methodology it only states that no change took place which can be positive or negative in itself. This could lead to a bias towards having more positive changes.
- As already mentioned, there is overlap in answers being given for different indicators. They are not discriminatory enough, which is partly due to the CIVICUS framework and the indications given in the call for proposals.

With regards to the second evaluation question regarding attribution

- A critical step was the selection of the impact outcomes to look at for contribution analysis. Although strategic orientations for selection were given for each country as a measure to prevent bias taking place at SPO level, the ultimate selection of outcomes after the workshop and with the SPO focussed in most cases on impact outcomes to which the SPO claims to have positively contributed.
- The design of the model of change that visualizes all pathways that possibly explain the outcome achieved has also proven to be a difficult step. In this phase it is critical that the evaluation team works together to brainstorm on alternative pathways. A major challenge is that in-country teams at that moment of the evaluation have obtained a lot of information from the SPO, and not from other NGOs or resource persons, which possibly might strengthen their bias in favour of attributing change to the SPO.
- The focus of the assessment has been on the contribution of the SPO, rather than that of MFS II funding. Not in all cases MFS II contribution has been clearly earmarked for specific interventions or results and some CFAs have preferred to give institutional support to their partners, making it even more difficult to assess contribution/attribution.
- The process tracing methodology was not a simple step to step straight forward methodology and has needed a lot of back and forth between CDI and IDF and even within the CDI team. Points that were challenging: defining the ultimate outcome (SMART enough) to be explained through process tracing, identifying relevant pathways and describing them properly, defining indicators to assess whether the impact outcome has been achieved or not

(look for the adequate information when it exists), dare to conclude that some pathways are less relevant than others, not wanting to include all the SPO's interventions to one outcome.

- Defining the strength of evidence came out to be quite subjective, especially when it came to assessing interviewee's inputs. How to carefully assess interview findings of the SPO with those of other actors.
- Process –Tracing requires sufficient documentation/ pieces of evidence and these were often not available at the level of the SPOs and when they were available they were often contradicting each other (different reports including different figures on the same results).
- More time was needed to get the methodology about process tracing well under control. Because of time and budget constraints, learning was made on the job. Moreover because of delayed feed-back from CDI side, errors were repeated since time did not allow for a spreading of SPO workshops.
- Because of resource constraints, coding of data collected was done once and for most but in practice it was not relevant: you first need to have an idea about the changes before you can do a good process tracing and before you can answer evaluation questions regarding relevance and explaining factors.

With regards to the general evaluation procedure

- The workshop methodology was structured for literate English speaking people, which was not always the case. As a consequence, delays and possible misunderstanding happened due to translation and more time was needed to process the data.
- Many forms were filled in after the workshop/interviews and not between the workshop and the interviews as a means to inform the interview questions and the process tracing. The methodology and overall evaluation process would have benefited from allowing more time between the different parts, for example having more time between workshop and implementing process tracing to get properly prepared
- The report format provided by the synthesis team includes lots of repetitions (for example, elements of the context are found back into standard indicators 5.1) and would have gained in being better structured.
- The ToC developed during the baseline took SPO's staff time and dedication. The participants who had been involved during that process regretted that the end line workshop did not utilize the ToC more. In fact the ToC was used as a starting point to assess relevance issues, which was discussed during interviews rather than during the workshop.

With regards to collaboration between CDI and IDF

- The CDI team would have gained in being more consolidated (for example sending one type of feed-back to IDF) and having more dedicated time for the evaluation (feed-back did not arrive on time).

Civil Society Scoring tool - baseline

Civil Society Assessment tool – Standard Indicators

Dimension	Outcome domains		Question	Statements 0	1	2	3	x	What are factors (strengths, weaknesses) that explain the current situation?
Civic engagement	1	Needs of marginalised groups	How does your organisation take the needs of your beneficiaries/target groups, in particular marginalised groups into account in your planning, actions, activities, and/or strategies?	Are NOT taken into account	Are POORLY taken into account	Are PARTLY taken into account	Are FULLY taken into account	Question not relevant, because	
	2	Involvement of target groups	What is the level of participation of your beneficiaries/target groups, in particular marginalised groups in the analysis, planning and evaluation of your activities?	They are INFORMED about on-going and/or new activities that you will implement	They are CONSULTED by your organisation. You define the problems and provide the solutions.	They CARRY OUT activities and/or form groups upon your request. They provide resources (time, land, labour) in return for your assistance (material and/or immaterial)	They ANALYSE PROBLEMS AND FORMULATE IDEAS together with your organisation and/or take action independently from you.	Question not relevant, because	
	3	Political engagement	How intense is your (individual staff or organisational) participation in locally-nationally elected bodies and/or sectoral user groups?	No participation	You are occasionally CONSULTED by these bodies	You are a member of these bodies. You attend meetings as a participant	You are a member of these bodies. You are chairing these bodies or sub groups	Question not relevant, because	

organisation level of	5	Relations with other organisations	In the past 12 months what has been the most intensive interaction you had with other CSOs?	No interaction at all	Networking - Cooperation: Inform each other; roles somewhat defined; all decisions made independently	Coordination - Coalition: ideas and resources shared; roles defined and divided; all have a vote in decision making	Collaboration: organisations belong to one system; mutual trust; consensus on all decisions.	Question not relevant, because	
	5	Frequency of dialogue with closest CSO	In the past 12 months how many meetings did you have with the CSO that you have most intensive interaction with?	No interaction at all	Less thatn 2 times a year	Between 2 and 3 times a year	More than 4 times a year	Question not relevant, because	
	6	Defending the interests of marginalised groups:	Which CSO are most effective in defending the interests of your target groups? In the past 12 months, how did you relate to those CSOs?	No interaction at all	Networking - Cooperation: Inform each other; roles somewhat defined; all decisions made independently	Coordination - Coalition: ideas and resources shared; roles defined and divided; all have a vote in decision making	Collaboration: organisations belong to one system; mutual trust; consensus on all decisions.	Question not relevant, because	
	7	Composition current financial resource base	How does your organisation finance institutional costs such as workshops of the General Assembly (if applicable); attendans to workshops of other CSOs; costs for organisational growth and/or networking?	Depends on 1 indernational donor	Depends on few financial sources: one fund cover(s) more than 75% of all costs.	Depends on a variety of financial sources; one fund cover(s) more than 50% of all costs.	Depends on a variety of sources of equal importance. Wide network of domestic funds	Question not relevant, because	
Practice of Values	**8**	Downward accountability	To what extent can mandatory social organs (steering committee, general assembly, internal auditing group) ask your executive leaders to be accountable to them?	(financial) information is made available and decisions are taken openly	They fulfil their formal obligation to explain strategic decisions and actions	They react to requests of social organs to justify/explain actions and decisions made	Social organs use their power to sanction management in case of misconduct or abuse	Question not relevant, because	
	9	Composition of social organs	What % of members of your mandatory social organs belong to the marginalised target groups you are working with/for?	Between 0-10 % of all members of the social organs	Between 11-30 % of all members of the social organs	Between 31-65 % of all members of the social organs	More than 65% of all members of the social organs	Question not relevant, because	

	10	External financial auditing	How regularly is your organisation audited externally?	Never	Occasionally, upon request of funders	Periodically and regularly, because our external funder asks for it	Periodically and regularly, because it is part of our code of conduct	Question not relevant, because	
Perception of impact	**11**	Client satisfaction	What are the most important concerns of your target groups? How do your services take into account those important concerns?	Majority of target groups are NOT satisfied	Majority of target groups are POORLY satisfied	Majority of target groups are PARTLY satisfied	Majority of target groups are MOSTLY satisfied	Question not relevant, because	
	12	Civil society impact.	In the past 12 months, what impact did you have on building a strong civil society?	You have not undertaken any activities of this kind	You have undertaken activities of this kind but there is no discernible impact	You have undertaken activities of this kind but impact is limited	You have undertaken activities and examples of significant success can be detected.	Question not relevant, because	
	13	Relation with public sector organisations.	In the past 12 months, what interaction did you have with public sector organisations to realise your programme and organisations' objectives?	No direct interaction	You have been invited by public sector organisations for sharing of information	You have been invited by public sector organisations for regular consultations (but public sector decides)	Formal and regular meetings as a multi-stakeholder task force.	Question not relevant, because	
	14	Relation with private sector organisations	In the past 12 months, what interaction did you have with private sector organisations to realise your programme and organisations' perspective?	No direct interaction	You have been invited by private sector organisations for sharing of information	You have been invited by private sector organisations for regular consultations (but public sector decides)	Formal and regular meetings as a multi-stakeholder task force.	Question not relevant, because	
	15	Influence upon public policies, rules, regulations	How successful have you been in influencing public policies and practices in the past 2 years?	No activities developed in this area	Some activities developed but without discernible impact	Many activities developed in this area, but impact until so far has been limited	Many activities developed in this area and examples of success can be detected	Question not relevant, because	

	16	Influence upon private sector agencies' policies, rules, regulations.	How successful have you been in influencing private sector policies and practices in the past 2 years?	No activities developed in this area	Some activities developed but without discernible impact	Many activities developed in this area, but impact until so far has been limited	Many activities developed in this area and examples of success can be detected	Question not relevant, because	
Environmental context	**17**	Coping strategies	In the past 2 years, how did your organisation cope with these changes in the context that may have been positive or negative consequences for civil society.	No analysis of the space and role of civil society has been done.	You are collecting information of the space and role of civil society but not regularly analysing it.	You are monitoring the space and role of civil society and analysing the consequences of changes in the context for your own activities. Examples are available.	You are involved in joint action to make context more favourable. Examples are available.	Question not relevant, because	

Appendix 6 Changes in the Civil Society Context 2010-2014

6.1 Civil Society context

This section describes the civil society context in India which is not SPO specific. The socioeconomic, socio-political, and sociocultural context can have marked consequences for civil society, perhaps more significantly at the lower levels of social development. The information used is in line with the information used by CIVICUS. [18]

6.1.1 Socioeconomic context (corruption, inequality and macro-economic health)

Social Watch assessed India's progress being made against the Millennium Development Goals (MDG) and concludes that the country fails to meet goals set with regards to; poverty and hunger (MDG 1); gender equality (MDG 3); infant mortality (MDG 4); maternal mortality (MDG 5) and; environmental sustainability MDG 7). Three fundamental factors explain these appalling shortfalls, which are:

- Although social sector expenditures (rural development, education, health, family welfare, women and child development and water and sanitation increased in absolute terms between 1999 – 2000 and 2012-2013, in percentages of total public expenditures there was a general decline.
- The administration costs of centrally sponsored schemes such as the Mahatma Gandhi National Rural Employment (MANREGA) schemes have been increasing between 2006-2007 and 2011-2012 and only 66 % of the budget has been used for wage employment. Apart from this, misappropriation of funds explains the weak impact of such schemes.
- The government is promoting 'non-inclusive growth' and has sought to provide basic social services through subsidized institutions that all have problems of inefficiency, corruption, and so on. The formal, organized sector, which is the main source of quality employment, employs only 12% to 13% of the country's workforce and this is declining. The remaining 87% are relegated to the agriculture and informal sectors with low and uncertain earnings.

As a consequence, in the rural areas more than a quarter million farmers committed suicide in the last several years because they could not earn a living anymore in the agricultural sector[19].

An additional indicator for the social and economic context in India is the Social and Economic Rights Fulfilment Index (SERF Index)[20]. The SERF Index provides a means of determining the extent to which countries are meeting their obligations to fulfil five of the substantive human rights enumerated in The International Covenant of Economic, Social, and Cultural Rights (ICESCR): the right to food, the right to adequate shelter, the right to healthcare, the right to education, and the right to decent work.

Table 1

Social and Economic Rights Fulfilment Index (SERF) for India

[18] Mati J.M., Silva F., Anderson T., April 2010, *Assessing and Strengthening Civil Society Worldwide; An updated programme description of the CIVICUS Civil Society Index: Phase 2008 to 2010.,* CIVICUS

[19] Bhaskara Rao Gorantla, Research Director and Ajay Kumar Ranjan, Research Officer, National Social Watch, India

[20] http://www.socialwatch.org/sites/default/files/SERF2012_eng.pdf

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India	2011	2012	2013
Core Country Right to Food Index Value	32.70	32.74	33.05
Core Country Right to Health Index Value	74.74	74.16	74.75
Core Country Right to Education Index Value	82.64	84.23	85.57
Core Country Right to Housing Index Value	62.55	62.60	66.48
Core Country Right to Work Index Value	27.57	27.69	32.71
Core Country SERF Index Value	**56.06**	**56.28**	**58.51**

Source: Social Watch's SERF index for 2011-2013

In 2011 and 2012 India was achieving a little over 56% of protecting its social and economic rights, feasible given its resources (table 2). Whereas relatively no changes occurred between 2011 and 2012, a slight improvement occurred in 2013, except for the right to food index (33.05) and the right to housing (27.57).

The Corruption Perception Index (CPI) ranks people's perception of corruption within the public sector of their respective countries.[21] A low score indicates that a country is perceived as highly corrupt. India's score was 3.6 out of 10 in 2012, which is 0.1 point lower than the average for all countries (3.7) and it occupies the 76th place on the CPI rank list with a total of 174 countries. In India, 24.8% of citizens surveyed believe that the government is effective in the fight against corruption. On the Bribery Perception Index India scores 7.5 out of 10, which is 2.6% lower than the average. Of the people who participated in the survey, 54% reported having paid a bribe in 2011. Since 2002, India's perception index in slightly improving from just below a score of 3 (0 is very corrupt and 10 is not corrupt at all) in 2002 to 3.6 in 2012. Most corrupt institutions in 2012 are political parties, the police, legislature, public officials, public officials in the education sector, NGOs.

The Index of Economic Freedom measures economic freedom of 186 countries based on trade freedom, business freedom, investment freedom and property rights. The score is based on 10 freedoms in 4 pillars: rule of law, limited government, regulatory efficiency, and open markets. India's economic freedom score in 2012 is 55.7, making its economy the 120th freest in the 2014 index[22]. India is ranked 25th out of 41 countries in the Asia-Pacific region, and its overall score is below the regional and world averages (see figure 3). In the past 20 years, India has advanced its economic freedom score by nearly 11 points out of 100 points. It has achieved very large improvements in half of the ten economic freedoms, most notably in trade freedom. This has improved by over 65 points. As seen in figure 3, India's score continued to increase steadily over the past four years. However, it is still perceived as a 'mostly unfree' country. The main reason for this, as stated in the Index report, is the institutional shortcomings in the country. The state owned enterprises and wasteful subsidy programs result in chronically high budget deficits.

[21] http://country-corruption.findthebest.com/l/98/India
[22] http://www.heritage.org/index/pdf/2014/countries/india.pdf

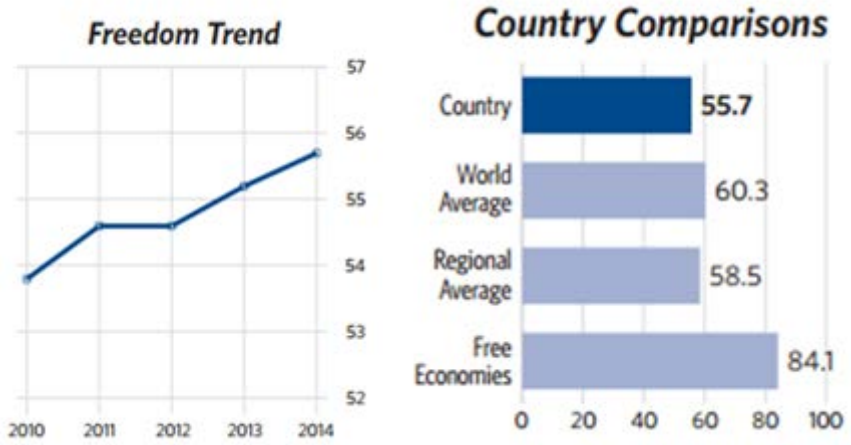

Figure 1: Freedom trend of India over time, and compared to other countries.

The Fragile States Index of FFP[23] is an index which is derived from 12 different indicators. These are social indicators, economic indicators and political and military indicators. From these, we can see trends in the overall development of a country.

Table 2 shows India's five of the twelve most problematic indicators of the past five years, as well as the average score for the twelve indicators: Low scores indicate a good situation and high scores indicate a bad situation.

Table 2

India's Fragile States Index scores of the critical indicators on a scale of 1 (good situation) to 10 (bad situation)

Year	Demographic Pressure	Group Grievance	Uneven Economic Development	Security Apparatus	Public Services	Average score 12 indicators
2014	7.7	7.8	7.8	7.0	7.9	76.9
2013	7.5	8.2	8.1	6.7	7.8	77.5
2012	7.3	7.9	8.4	6.9	7.5	78
2011	8.0	8.2	8.5	7.2	7.8	79.3
2010	8.1	7.8	8.7	7.2	7.6	79.2

Source: FFP Fragile States Index for 2010-2014[24]

The FSI shows that India is improving its status over the past five years, but is doing so at a very slow pace. Demographic pressure, uneven economic development and the security apparatus have improved slightly since 2010, which can be seen by the decline of the scores. However, group grievance has not improved and public service has even declined (the index got higher). Out of the 178 countries in this index, India does not succeed to become more than mediocre. However, the figure 2below shows that the development of India did have a steep improvement since 2006, but has been declining since 2011.

6.1.2 Socio-political context

Freedom House evaluates the state of freedom in 195 countries on an annual basis. Each country is assigned two numerical ratings – from 1 to 7 – for political rights and civil liberties. In this rating 1 represents the most freedom and 7 the least freedom. The two ratings are based on 25 more detailed indicators. [25]

[23] http://ffp.statesindex.org/2014-india
[24] Idem
[25] https://freedomhouse.org/report/freedom-world/2014/india-0#.VGCiRvlwtcQ

Table 3

India's Freedom indexes over time

Year	Freedom status	Political rights score	Civil liberties score
2011	Free	2	3
2012	Free	2	3
2013	Free	2	3
2014	Free	2	3

Source: Freedom House Freedom indexes for 2011-2014[26]

Table 3 shows that scores have not changed over the past four years. India is considered a free country with an overall 'Freedom Status' of 2.5 (out of 7).

6.1.3 Socio – cultural context

The World Values Survey is a global network of social scientists who study changing values and their impact on social and political life[27]. They survey different values which can give an indication of the social status of a country. People in India indicate that they are generally quite happy. In the wave of 2010-2014 a total of 38.2% of the people questioned stated that they were very happy. In comparison, in the period of 2005-2009 this number was significantly lower with 28.9%. When asked about general satisfaction with their lives respondents give different answers. The respondents were asked to rate their satisfaction from 1 to 10, 1 being completely dissatisfied and 10 being completely satisfied. In 2010-2014 a total of 16.4% indicated that they were quite dissatisfied (rating 2) and 11.9% indicated they were completely dissatisfied (rating 1). Whereas 17.7% stated that they were satisfied (rating 8). This situation is very different from the 2005-2009 results where 41% indicted to be moderately satisfied and 15.8% was satisfied. This indicates that during the past five years people have shifted from being neutral about their life satisfaction, to being either dissatisfied or satisfied.

Another index to look at for social-cultural context is the Global Peace Index. This index attempts to measure the positions of nations' peacefulness, and is developed by the Institute for Economics and Peace. The position of a country is based on 22 indicators which can be divided into three main factors. The main factors on which this index is based are 1) militarisation, 2) society and security, and 3) domestic and international conflict. The maximum score is 5, which indicates that this factor is a problem for the peacefulness of the country. The higher the score, the lower country ranks in the total Index. The current position of India is 143 out of 162 countries[28]. The table below shows the development of India as of 2010.

Table 4

India's Global Peace Index scores over time: scores from 1 (good) to 5 (bad)

Year	Militarisation	Society & Security	Domestic & International Conflict	Country Rank
2010	2.5	2.3	3.4	132 (of 148)
2011	2.4	2.4	3.4	142 (of 153)
2012	2.4	2.4	3.2	144 (of 158)
2013	2.4	2.4	3	141 (of 162)
2014	2.4	2.4	3	143 (of 162)

Source 4: Vision of Humanity Global Peace index from 2010-2014[29]

[26] Idem

[27] http://www.worldvaluessurvey.org/WVSContents.jsp

[28] http://www.visionofhumanity.org/#page/indexes/global-peace-index/2014/IND/OVER

[29] http://www.visionofhumanity.org/#page/indexes/global-peace-index/2014/IND/OVER

6.1.4 The Foreign Contribution Regulation Act 2010[30]

NGOs are perceived as very important in India, as they contribute a lot in the development of the country[31]. NGOs often work with marginalized groups and try to raise their awareness on their rights vis-à-vis the state. Most local NGOs are funded by international organizations. In order to keep this funding under control, India's government installed the 'Foreign Contribution Regulation Act' in 1976.

In March 2011 an amendment of the original Foreign Contribution Regulation Act passed both Houses of Parliament. Compared to the 1976 Act, major changes comprise a list of persons and organisations that cannot receive foreign contributions anymore. These are; election candidates; correspondents, columnists, journalists; judge, government servant or employee of an entity controlled or owned by the government; members of any legislature; political party or its office bearers; organizations of a political nature as may be specified; associations engaged in the production or broadcast of audio news.
In the first place this Act seems to have no consequences for the Dutch NGOs and their Southern Partners, however a leaked report of India's International Bureau tells a different story, suggesting that protests against development projects had caused a loss of India's GDP with 2-3%. These protests were allegedly fuelled by foreign-funded NGOs, mentioning Greenpeace, Cordaid, Hivos, Oxfam, Amnesty and ActionAid[32]. The main allegation against these NGOs is that they are funding organizations which are working in politically sensitive sectors such as the mining sector and the agricultural sector with regards to Genetically Modified Food production. Foreign contributions to support SPOs that work on human rights issues, governance and sensitive sectors like mining, forestry and agriculture are increasingly being monitored.

[30] http://www.fcraforngos.org/
[31] Status of grass root level NGOs in Rajasthan
[32] http://indianexpress.com/article/india/india-others/only-11-of-22-ngos-in-ib-report-are-fcra-compliant-none-filed-13-14-statement/

Final Report MFS II Joint Evaluations

Country	India
Consortium	SRHR Alliance
Responsible Dutch NGO	SIMAVI
Project (if applicable)	Community awareness building on girl child and conscientiousness building on the pre-conception, pre-natal, diagnostic testing (PCPNDT) Act
Southern partner organisation	Bihar Voluntary Health Association

The project/partner is part of the sample for the following evaluation component(s):

Achievement of MDGs and themes	X
Capacity development of Southern partner organisations	X
Efforts to strengthen civil society	

1. Introduction

This report presents the findings of a project funded and supported by SIMAVI and implemented by the Bihar Voluntary Health Association (BVHA) in rural areas of the North-Eastern state of Bihar, India. The project was motivated by the prevailing patterns of gender discrimination in the state and the aim of the project was to increase awareness of the pre-conception, pre-natal diagnostic techniques (PCPNDT) Act, to lobby for better implementation of the Act and thereby to reduce female foeticide. In addition, the project attempted to increase awareness of other legal instruments relating to women's health, such as the Prohibition of Child Marriage Act, the Domestic Violence Act and the Medical Termination of Pregnancy (MTP) Act. The report begins by setting out the context and providing a description of the project. This is followed by a discussion of the sampling strategy and the data. Estimates are presented in section 6 and the final section contains concluding remarks.

2. Context

The project under review was implemented by Bihar Voluntary Health Association (BVHA), a voluntary association of charitable hospitals and health centres which has been operating in Bihar for 38 years.

Bihar is one of India's poorest state (41.4 percent of the population lives below the poverty line) and with a population of about 100 million (Census 2011), it is the third most populous state in India. For about two decades (1985-2005) the state has been especially affected by political turmoil, and bad governance. This has affected both the agricultural and industrial sectors, and governance wise resulted in allegations of widespread corruption and law and order problems. While natural or governance factors such as periodic floods, poor infrastructure and high population density play their part, the state's backwardness also appears to be a function of its inequitable and exploitative socio-economic structure. These conditions have led to a lack of development and an environment in which large-scale poverty eradication programs have had little impact.

The state is overwhelmingly rural with 80 percent of its population living in rural areas and relying on subsistence agriculture for a livelihood. Bihar ranks among the lowest in the country on indicators related to primary healthcare infrastructure and reproductive and child health care (District Level Household Survey 2002–04). Health indicators such as the infant mortality rate (44 per 1000 live births as per Sample Registration Survey 2011),

maternal mortality ratio (261 per 100,000 live births as per Sample Registration Survey 2007-09) and total fertility rate (3.6 as per Sample Registration Survey 2011), among others, are amongst the highest in the country. Though certain health indicators such as infant mortality and child mortality are beginning to display a reduction, the continued lack of adequate medical and paramedical staff and medicines continues to afflict the state's healthcare system. Given this context, it is not surprising that Bihar is a priority state under the central government's National Rural Health Mission (NRHM).[1]

Women have a relatively poor social status and are discriminated in many aspects of life, such as access to nutrition, health care and education. For instance, female literacy rates (53.3 percent in 2011) are lower than the national average (65.6 percent in 2011). Bihar has one of the highest rates of girl child marriages in the country. According to the National Family Health Survey conducted in 2005-06, the median age at first marriage for women in the 20-49 age group is 15.1. Since 1951, the state has witnessed a decline in sex ratios (female to male). As also witnessed in other parts of India, the child sex ratio has declined from 953 in 1991 to 942 in 2001 and to 933 in 2011. In birth year 2000, according to census 2001, the state recorded a sex ratio at birth (SRB) of 917 as opposed to an expected SRB of 952 (see Table A1). Based on the number of births in the state in 2000 these figures translate into an annual shortfall of 32,000 girls. A substantial proportion of this shortfall may be attributed to the differential survival rates of girls and boys due to daughter elimination in the form of female infanticide, neglect, and sex selection. In recent years, the proximate cause for the abnormal sex ratio patterns appears to be the increasing use of technology for sex selection to prevent female births, which in turn is triggered by son preference and daughter aversion for economic and cultural reasons.

An important intervention to deal with the declining sex ratios is the Pre Conception and Pre Natal Diagnostic Techniques Act (PCPNDT) 2003, which prohibits the use of these techniques for sex selection.[2] In practice however, the Act is not implemented and sex selection leading to female foeticide still takes place. Given this setting, effective implementation of the PCPNDT Act together with efforts at social reform including the enhancement of the value of daughters in the eyes of their families are significant steps towards the prevention of female foeticide.

[1] For additional information on health indicators see http://nrhm.gov.in/nrhm-in-state/state-wise-information/bihar.html#ret_report. Accessed on November 26, 2014.

[2] The Pre-Natal Diagnostic Techniques (Regulation and Prevention of Misuse) Act, 1994 (PNDT), was amended in 2003 to The Pre-Conception and Pre-Natal Diagnostic Techniques Act (PCPNDT Act).

It is against this backdrop that BVHA together with 21 "smaller" NGOs (Field Operating Partners – FOPs) implemented this project to increase awareness among rural women and men about the PCPNDT Act and to lobby for better implementation, thereby aiming to reduce female foeticide. In addition, the project attempted to increase awareness of other legal instruments relating to women's health, such as the domestic violence Act, medical termination of pregnancy (MTP) Act.

3. Project description

a. Project duration and budget

The project started on March 1, 2009 and came to an end on March 1, 2012. It was a joint endeavour of the Dutch NGO, SIMAVI and a Southern Partner Organization (SPO) - the Bihar Voluntary Health Organization. For the three year duration the project budget was Euro 90,971 of which 47 percent or Euro 43,016 was funded through MFSII. The project records show a community contribution of Euro 1905 over three years.

b. Project objectives, activities, theory of change

The overall objective of the project was to create mass awareness about the consequences of female foeticide and thereby prevent the practice. The project also had a broader objective, that is, to promote gender justice and equity. To achieve these objectives, BVHA worked with 21 field operating partners (FOP) and implemented its activities in about 114 villages spread over 21 gram panchayats (14 districts).[3] A stylized result chain, which shows the manner in which SIMAVI/BVHA expected to accomplish its objectives is provided below.

Stylized result chain

Input:

- Financial and technical support from SIMAVI through BVHA to 21 of its field operating partners (FOPs)

Activities:

- Organizing and training of Behan Raksha Dal (BRD) - Behan Raksha Dal comprises of a minimum of 10 female members and includes the village auxiliary nurse midwife, Anganwadi workers, village social health activist, self-help group leaders.[4]
- BRD members visit households (married couples in child-bearing age) and create awareness on PCPNDT Act as well as the adverse effects of sex selective abortion on society

[3] A gram panchayat is the country's lowest administrative unit.

[4] The literal translation of *Behan Raksha Dal* is Sister Protection Brigade.

- Sensitization of media at block level; health service providers at GP level; members of the Panchayati raj institutions; religious leaders
- Stakeholder meetings with School teachers, Auxiliary Nurse Midwives (ANMs), Anganwadi workers, Accredited Social Health Activist (ASHA) and other village elites/opinion leaders. Topics deal with survival of girl child, PCPNDT Act awareness, birth, death and marriage registration, and prevention of child marriages.
- Organizing rallies at schools
- Training adolescent peer-educators - Peer-Educators (adolescent groups) comprise 6 males and 6 females who are trained to motivate and create awareness on girl child survival, PCPNDT Act and gender discrimination.
- Awareness creation amongst newlywed couples.

Output:

(Figures in parentheses indicate number of individuals who have attended meetings)

- Formation of 126 Behan Raksha Dals with 1260 members
- Provided training/knowledge/awareness to various stakeholders: Media personnel (210); NGOs/VOs (130); Parents and in-laws (2100); Service providers at panchayat level (315) and district level (630); newly-wed couples (1260)
- Provided information to village elite groups (4200), Religious leaders (210),various mixed group/stakeholders (2520), Adolescents (2100)
- Formation of peer educators group with 252 members

Impact/outcomes:

There are two sets of outcomes that the project may be expected to influence. These include outcomes that deal with greater awareness of various laws that deal with sex determination and sex selective abortion. These and related outcomes reflect the immediate impact of project activities. A second set of indicators are the expected consequences of greater awareness. **However, it should be emphasized that the project focused on and the evaluation also focuses mainly on the first set of outcomes.**

Outcomes - set 1

- Greater awareness of the PCPNDT Act
- Greater awareness of the domestic violence Act
- Greater awareness of the medical termination of pregnancy (MTP) Act
- Greater appreciation of the consequences of female foeticide
- Increased awareness of the importance of registering births, deaths, marriages
- Greater awareness of the minimum age for marriage

Outcomes - set 2

- Reduced incidence of domestic violence
- Reduced son preference
- Reduction in gender differences in infant mortality
- Sex ratios at birth (SRB)
- Child sex ratio (CSR)

4. Analytical approach and methods

The aim of the evaluation is to identify the effect of the awareness campaign launched by BVHA/SIMAVI on a range of indicators. The main focus of the evaluation is on the first set of indicators listed above. However, we also examine the impact of the project on the incidence of domestic violence and indicators of son preference. While we do provide information on indicators such as gender differences in infant mortality, SRB and CSR we do not attempt to identify the impact of the project on these indicators (see Tables A1 and A2). A credible assessment of such indicators requires a much larger volume of data than envisaged in the current evaluation and a different set of interventions.

The first point to be noted is that the project is being evaluated after it has been completed and hence it is not possible to conduct a before-after analysis or a traditional difference-in-differences analysis. The analysis focuses on comparing household-level outcomes in treatment and control villages at two points of time - that is, in 2012, soon after project completion and subsequently, two years later. The evaluation based on the 2014 data may be thought of as an assessment of the sustainability of the intervention. In the first instance we examine whether outcomes differ across households living in treated and control villages and in the second instance we examine whether these differences, if any, still persist. Since we are not dealing with households who have actually been treated but households living in villages which have been treated, the evaluation may also be thought of as an attempt to identify the intention to treat effect.

The evaluation needed to deal with two key issues – (i) purposive programme placement and (ii) spillover effects. With regard to the first issue, the project operated in 114 villages spread over 21 Gram Panchayats (GP) and spread across 14 districts. It is possible that the villages in which the intervention activities took place were selected because they had exhibited a lack of awareness of the various legal Acts pertaining to gender justice or had recorded high female infant mortality or instances of female foeticide. If this is the case then comparing outcomes between treated villages, that is, villages where the intervention was placed and villages which did not have such interventions (control villages) may be misleading and lead to an underestimate of the effect of the intervention. However, scrutiny of the project documents and discussions with project implementation staff on the manner in which the intervention villages were selected suggests that pre-existing conditions in the villages, at least with regard to the outcomes listed above, did not play a role in their selection into the intervention. Given the limited budget, BVHA and its partners did not attempt to identify villages with the lowest sex

ratios or evidence of female foeticide but decided to launch the campaign in villages where they already had an established network. Hence, it may be argued that village choice is "random" or more precisely, independent of the outcomes of interest under scrutiny and that purposive programme placement is unlikely to be a concern.

Turning to the second issue – attempting to isolate the causal effect of a mass awareness raising intervention is fraught with difficulty as it is very likely and desirable from the perspective of the project implementation team that the information imparted through the intervention should be spread as widely as possible. However, this makes it difficult to isolate the causal impact of the project as it is possible that households in control villages also exhibit an increase in awareness, thereby confounding identification of the programme's effect. To deal with such spillover effects, while at the same time creating a control group which is as similar as possible to the treated group, two distinct control groups (C – high and C – low) were created. The first of these includes control villages which are located in the same gram panchayat as the treated villages and are more likely to be susceptible to spillover effects (C – high). The second control group consists of villages which are in the same district but not in the same gram panchayat (C – low). These villages are less likely to be susceptible to spillover effects. While spillover effects cannot be denied, after assessing the project implementation plan, noting the "thinness" of the intervention, the available infrastructure and the distance between villages located in the same district, it was felt that spillovers are unlikely to be a serious concern for the villages located in a different gram panchayat.

5. Data

a. Household survey data

Two rounds of data have been collected. The first of these was collected in 2012 and the second round of data in 2014. Since the problem/issue we are studying may be defined as a socio-cultural problem we divided the state into 4 large and distinct socio-cultural groups.[5] Subsequently, districts were chosen to represent each of these groups and then we randomly chose villages from each district in proportion to the share of the villages in the programme. There are about 114 villages in which the program operates and of these 35 were selected. Within each of these villages, 20 currently married women in the age group 15-45 years (child-bearing age) were randomly selected from a list of all such women which was available with a

[5] These are four language based groupings, namely, Angika, Bhojpuri, Magadhi and Maithili. We also considered the use of agro-ecological differences to stratify the state but given the nature of the project we persisted with a socio-cultural stratification.

government employee (anganwadi worker). These women and their households serve as the treated group. Having decided on the treated villages to be surveyed we developed a set of control villages located in the same gram panchayat or in a different gram panchayat, although from the same district as the treated villages. Within each of these villages, 20 currently married women in the age group 15-45 years (child-bearing age) were randomly selected from a list of all such women which was available with a government employee (anganwadi worker). These women and their households serve as the control group. Based on an expected effect of an increase in awareness of about 7 to 8 percentage points, which was deemed to be reasonable by the project implementation team, a sample size of 1,400 (700 treatment, 700 control) has a power of 0.84. A table displaying information on the different control groups and the sample sizes is provided below (see Table 1).

The survey collected a range of information designed to control for differences in socio-economic characteristics and demographic structure across households. There were no attrition problems and we were able to interview all 1,400 households in the follow-up survey.

Descriptive statistics, based on the first round survey, for the entire sample as well as for the treatment and control groups are provided in Table 2, while Table 5 provides descriptive statistics for the treatment sample and for the control group which is less likely to be affected by spillovers. The statistics presented in Table 2 tend to suggest that that the two groups are not remarkably different from each other. There are no statistically significant differences in terms of consumption and wealth indicators, demographic characteristics are also similar. While there are statistically significant differences in terms of caste (other backward classes) and one of the infrastructure indicators (open defecation) the gaps are not pronounced. The one indicator where there is a difference and which may have a bearing on outcomes is the education of the household head. In the case of the treated households, head of households are more likely to have upper primary education (11.4 versus 8.3 percent) and less likely to have completed senior secondary education (8.5 versus 12 percent). The statistics in Table 5 display some more differences. This may be expected, since the control group is drawn from a different gram panchayat. The educational differences that were observed in Table 2 tend to persist and the groups are different in terms of their access to infrastructure (primary source of energy for cooking, open defecation) and in terms of their religious composition. Notwithstanding these patterns the main message emerging from the statistics is that when we consider the two groups in their entirety, observed differences between the treatment and the control group are not remarkable, and even for the sample drawn from a different gram panchayat the differences are not large. These patterns do support the idea that allocation of the intervention to treatment

and control villages does not seem to be systematically linked to pre-existing characteristics that may have a bearing on the outcomes of interest.

b. Other sources of data/information

Prior to visiting the project site, information was gathered from SIMAVI. This information included:

- Biannual reports
- Project monitoring data
- List of field operating partners

A field visit was undertaken in June 2012 to understand the project and obtain relevant project documents. This visit included discussions with BVHA staff in Patna and field visits to several villages where the project was operating. The field visits included:

- Meetings with relevant government officials from the radiology and family welfare departments: One-on-one semi-structured interviews with government officials provided an idea of the various measures the government had put in place to tackle sex selective abortion and the ways in which they were interacting with and utilizing the BVHA network to further these activities. . This was part of the government's idea of convergence of schemes with the help of NGOs.
- Visit to village Phulwari Sahrief, Patna district: Meeting with the field operating partner, St. Anne's Dispensary and interview with staff. This was followed by a visit to a village and a discussion with the *behan raksha dal* members and girls peer educators group members on gender discrimination, problems that women faced and sex selection.
- Jhitkiya village in Vaishali block, Vaishali district:

  Extensive discussions with the project staff on a number of issues relevant to the project followed by a visit to one of the villages where they work. We undertook a role play with members of the *behan raksha dal*, with anganwadi and ASHA workers and a few male peer educators. The idea was to explore the manner in which the awareness programme works and to assess the capacity and knowledge of the stakeholders.
- Nava Nagar village/Bidupur Bazar, Bidupur block, Vaishali district: Interacted with *Vaishali Samaaj Kalyan Sansthan* which focuses on preventing child marriages. Field visit to Nava Nagar included a discussion with the *behan raksha dal*, a few female peer educators and unmarried youth on the impact of dowry and consequences of female foeticide.
- Neerpur village/ Silaw block/ Nalanda district: We met the chief medical officer of the district who is responsible for monitoring the scan centres to understand the situation of declining sex ratios in this district and the measures the government had taken to tackle it. This was followed by discussions

with married women and young unmarried women on a number of issues including son preference and sex selective abortion.

6. Estimates and Discussion

We estimated a number of linear probability models to identify the effect of the intervention on the outcomes of interest. These were estimated over different samples and included a comparison of treated and control households in their entirety and a comparison of treated and control households (C – low) that are less likely to be susceptible to spillovers. These models were first estimated using data collected in 2012 and subsequently using data collected in 2014. We also pooled the data and estimated models which allowed us to explicitly test whether there were differences in outcomes between 2012 and 2014. An assessment of the estimates based on different cuts of the data and different years revealed that the results were for the most part robust to the use of different control groups (except for larger estimates of some of the domestic violence indicators) and that there were very few (two outcomes) statistically significant changes in outcomes over time. While detailed estimates for both samples and for both years have been provided, the discussion below focuses on the estimates for the full sample and for the first year. However, the narrative below does highlight differences in the estimates across samples and over years. The discussion begins by examining differences in awareness of the intervention itself and then goes on to do discuss awareness of issues surrounding medical termination of pregnancy, sex determination and sex-selective abortion. This is followed by an examination of intra-household relations, and finally deals with indicators of son preference.

a. *Awareness of the intervention*

As discussed above the intervention seeks to spread awareness of various issues within the project's ambit by directly spreading information to village elite groups, religious leaders and indirectly by setting up Behan Raksha Dals (BRD) and peer educators groups (PEG). These entities are, in turn, expected to organize various activities to raise awareness. Given the limited financial resources available to the project, the figures on the number of village elites that have been reached (4,210) and the BRDs that have been set up - 126 BRDs consisting of 1,260 members in 21 gram panchayats - seems impressive. Whether this translates into greater awareness is not clear. Hence, the first step in the evaluation was to examine the extent to which individuals in treated and control villages were aware of the existence of the BRD and PEG.

Overall, only 4% of the households in the sample were aware of the existence of a BRD. The treated group appears to have somewhat more knowledge (4.4 versus 3.3 percent) but the differences are not statistically significant. Perhaps of potentially greater concern than the lack of statistical significance is that the proportion of people (4%) who are aware of one of the key project

activities is almost negligible. Awareness of the PEG is even lower, about 3%. Finally, almost no one (96.5%) in the treated or control villages has witnessed or heard of a rally against sex determination and sex selective abortion (SSA). Estimates based on the different control group (C – low) are similar. Over time, there are some differences with a sharp increase in awareness of the BRD. Overall awareness doubles to close to 9% and households in the treated villages are about 7 percentage points more likely to have heard of the BRDs. This increase may be interpreted as evidence of BRD sustainability or could also be an outcome of the survey itself which asked about the BRD in 2012 and hence in 2014 households tended to recall that they had heard about such an entity. In any case, what is clear is that while there does seems to be an increase in awareness of project activities, overall awareness of the BRD/PEG is not overwhelming. While lack of knowledge about the existence of the BRD/PEG is perhaps a precursor of the effects on other outcomes, it is still likely that the other project activities have worked towards meeting the project's objectives.

b. *Awareness of issues regarding abortion, sex determination, registration*

While abortion or medical termination of pregnancy before 12 weeks is legal in India, sex-determination/detection and sex selective abortion (SSA) are both illegal under the PCPNDT Act.[6] However, only 17% of the sample respondents were aware that abortion is legal. A smaller proportion, about 13 percent believed that SSA was legal (that is, sex detection followed by abortion) and about 12 percent believed that sex detection (SD) (that is finding out the sex of the foetus) was legal. There are no statistically significant differences across the two groups in any of these three measures. One may expect that exposure to the intervention should increase the chances of knowing that abortion is legal while SD and SSA are illegal. However, this was not the case. The only difference in this area seems to be awareness of the possibility that the sex of a baby can be determined before birth. About half the sample households were aware that this was possible with treated households enjoying a 4 to 5 percentage point knowledge advantage.

A high proportion of households indicated that it was important to register the birth of a child (94.5%) and register marriages (91.2%). In case of both the outcomes the treated households were more likely to indicate that registration was important— statistically significant and 2.2-2.5 percentage point higher in the case of birth, and statistically significant and about 3 percentage points higher in the case of marriages. Registering the death of a child was not considered as important (67 versus 64 percent) and there were no statistically significant differences across the two groups. The legal age at which women may get married in India is 18. Only 5 percent of the

[6] Pregnancies not exceeding 12 weeks may be terminated based on the opinion of one doctor. In case of pregnancies exceeding 12 weeks but less than 20 weeks, termination needs the opinion of two doctors. Beyond that time period abortion is not permitted.

respondents think that marrying before this age is acceptable. There is a clear gap between treated and control households with the former 3 to 4 percentage points less likely to accept marriage before the age of 18. The effect persists over time and also across the two different control groups.

c. *Intra-household relations – awareness and outcomes*

Although illegal, dowry continues to be widely practiced in Bihar. The analysis shows that a small proportion of women (20%) consider it acceptable for a man to demand a dowry. However, a larger proportion (41%) thinks that it is acceptable for a woman's family to give a dowry. In both cases there are no differences across the treatment and control groups. The questions related to domestic violence show that knowledge of the illegality of domestic violence is widespread. About 83% of the sampled women indicate that they are aware that it is a crime, and there are no differences across the two groups. Neither group supports the idea that inflicting violence is a right and for both, emotional and physical abuse, only about 6 percent of women argue that inflicting violence is a husband's right. In terms of actual experience of domestic violence, at least in 2012 there are no differences in the incidence of violence across treated and control groups. The picture in 2014 is different with regard to one of the violence indicators. The estimates show that women living in treated village are 4 percentage points less likely to have experienced emotional violence in the last 12 months. This is a large effect as compared to the proportion of women who have experienced violence in 2014 (11%) and translates into a 36 percent (4/11) reduction in emotional violence for those exposed to the programme.

The effect of the intervention for these violence indicators does differ across control groups. We find that comparing the treated households to households in villages less likely to have been exposed to the programme leads to crisper effects of the effect of the intervention. As compared to women in these low spillover villages, women in the treated villages are 3 percentage points less likely to agree that men have a right to inflict violence and about 2.4-3.3 percentage points less likely to experience violence. These are large effects as only 4 to 5 percent of women report having experienced any violence. These effects persist in 2014 and we find that women exposed to the programme are less willing to accept that men have a right to use violence (3.5 to 4.1 percentage points) and they also report a reduced chance of having experienced violence (1.9 to 4 percentage points) in the 12 months preceding the survey. Differences across the two groups are statistically significant.

d. *Son preference and differences in aspirations*

About 75% of the respondents considered it imperative to have a son and about 54% have taken steps to ensure that they have son. For a majority of households (about 80%) these steps have been in the nature of praying or conducting a ceremony to ensure the birth of a son. Almost none of the respondents indicated that they had visited a scan centre. However, a larger proportion of the

women in treated villages indicated that they would like to know the sex of the foetus (13 versus 10 percent) and the differences are statistically significant. This may just indicate that such women are more curious or as is more likely, it reflects their greater knowledge of the availability of sex-detection technology. In any case, it does not seem that there are any differences in the desire to have a son across treatment and control groups. In terms of education aspirations, while 65% indicate that they would like their sons to acquire a university education only 48% feel that they would like their daughters to attend university. There are no differences in educational aspirations across the two groups. Results are not sensitive to the year of the analysis or changes in the control group.

e. Efficiency of the project

The project had a three-year budget of Euro 92,876 and its activities were spread out over 21 gram panchayats or a target population of about 228,270 individuals.[7] Based on the activities and the output data (see above) the project reached out directly to 15,187 individuals. Based on the estimates we find that between 4 to 9 percent of the sample (treatment and control) was aware of the existence of project activities. Thus, it may be argued that about 14,837 (0.065*228,270) individuals in addition to those who were directly targeted were reached by project activities. These figures translate into a cost of Euro 1 per person per year to spread the main messages of the project. While we do not have a benchmark against which to judge whether this is efficient or not, given the number of individuals who have heard of the project activities and those who have directly been a part of them it would seem that the project has spent its resources efficiently.

However, this efficiency has not been translated into effectiveness. The analysis presented above shows that in terms of the key project objective, that is, greater awareness of the PCPNDT Act there are no differences between treatment and control groups. From a broader perspective it is clear that the bulk of households (85%) are aware that sex determination/detection and SSA are illegal. However, this is unlikely to be due to the project. The project does appear to be more effective in terms of spreading information about the importance of registering births and avoiding early marriages. Extrapolating from the sample effects it seems that an additional 4,500 women are aware that it is important to avoid early marriages and about half of that have a greater appreciation that is important to register births.[8] The project also seems to have altered attitudes towards violence (based on estimates for 2014) with about an additional 4,500 women expressing the view

[7] There are about 8,500 gram panchayats in Bihar and in 2011 the state's rural population was estimated to be 92 million.

[8] The sample effect is 4 percentage points or 28 (0.04*700) more women express that it is important to avoid early marriages. The number of women in the treated panchayats is about half the population or 228,270/2. Hence, 0.04*228,270/2 = 4,565.

that their husbands do not have the right to use violence. It may be argued that these effects have been achieved at a cost of Euro 20 per person. Thus, while the project has conducted its activities in a very efficient manner this approach has not been effective in terms of reaching its main goal of increased awareness of the PCPNDT Act.

7. Concluding remarks

The paper assessed the impact of a project implemented by BVHA and funded by SIMAVI. The aim of the project was to increase the level of awareness among rural women and men about the PCPNDT Act and to lobby for better implementation and thereby reduce female foeticide. In addition, the project attempted to increase awareness of other legal instruments relating to women's health, such as the Prohibition of Child Marriage Act, the Domestic Violence Act and the Medical Termination of Pregnancy (MTP) Act.

The estimates presented here are robust to variations in control group and the year of evaluation. The main findings are that there is very little awareness of the project activities and there is no noticeable difference in the level of awareness about the PCPNDT Act between treated and control villages. However, it does seem that a larger proportion (2.2-2.5 percentage points) of respondents in treated villages consider that birth registration is important, and a smaller proportion are likely to accept marriage before the age of 18 (3-4 percentage points). The largest effect of the intervention appears to be on domestic violence with women in the treated villages less likely to accept that men have a right to use violence (3.5-4.1 percentage points). We also find women living in treated villages have a reduced chance (2-4 percentage points) of experiencing violence in the 12 months preceding the survey.

Based on the statistical analysis, the field work that was conducted and the information gathered from the existing reports it does seem that, in part, the project was well-conceived.[9] To elaborate, dealing with the deep-rooted issue of son preferences does require, among others, a

[9] Given your findings, do you think this project was well-designed, suitable for the environment in which it was implemented? Would you advice to fund a similar project in the future (or to continue funding this one)? What changes would you recommend, if any? How could the impact evaluation itself be improved?

community-based grass roots approach. It is hard to fault the project's approach of working through women's groups and through students with an attempt to promote inter-generational change while at the same time targeting so-called elite groups. However, give the financial resources available, the project does not seem to have been particularly well-conceived as the resources were very thinly spread. Trying to reach out to households in 21 gram panchayats through 21 different partners in 14 districts is unlikely to have been very effective, as shown by the results. Thus, while the project may be deemed efficient in terms of per capita expenditure, given the zero effect of the programme on the key outcome variable (knowledge of the PCPNDT) it is hard to argue that this was an effective approach. Our field work showed that there were substantial variations across gram panchayats and BRD – with some appearing to be more knowledgeable and others less so.

Overall, while we feel that the approach is sound and suited to the context it is just too thin. This raises questions as to why this approach was followed and puts the spotlight on the design of the project. While BVHA used its credibility and extensive networks to undertake the project, the funds provided to BVHA were shared between 21 field operating partners. Attempting to cover a large number of villages in a span of three years resulted in a thin spread of the intervention. In short, the project lacked depth and resulted in too little effort (on a per capita basis) to tackle a problem as large and complex as sex selection. In its current form (the project is no longer in operation) the project did not manage even to raise awareness about the PCPNDT.

The issues that the project addressed—sex selection, domestic violence and child marriage—are of course important and it is worth directing resources to such issues. So projects with similar objectives are certainly welcome. However, additional effort needs to be put into identifying whether there is a lack of awareness (which does not seem to be the case) or whether greater dividends maybe achieved by focusing on trying the implement the provisions of the PCPNDT Act. In short there needs to be a stronger link between converting the awareness into prevention. Examples of successful strategies and approaches to tackle issues of gender justice and sex-selective abortion are available from Bangladesh as well as other Indian states. A useful strategy would be to create and

strengthen communities of practice at local/ village levels which would serve as catalysts to facilitate awareness, create behavioural change and lead to prevention.[10] Examples of groups that lend themselves to evolving as communities of practice include some of the active *behan raksha dals* from this project, women's self-help groups (SHGs) created by the Indian Council for Child Welfare in Tamil Nadu to prevent female infanticide and women's and men's groups created for micro-credit by socially-oriented NGOs such as Nijera Kori and Saptagram in Bangladesh. [11]

[10] Kabeer, Naila (2011) Between affiliation and autonomy: Navigating pathways of women's empowerment and gender justice in rural Bangladesh, *Development and Change*, 42(2): 499–528.

[11] Srinivasan, Sharada and Arjun S. Bedi (2011) Ensuring daughter survival in Tamil Nadu, India, *Oxford Development Studies*, 39(3): 253-283.

Table 1: Treatment, control and sample

Treatment group Sample	Households living in one of 114 villages located in 21 gram panchayats which have been exposed to the intervention 700 households drawn from 35 intervention villages in 2012 and 2014
Control Group - high chance of spillover effects Sample	Households living in non-intervention villages located in the same gram panchayat 300 households drawn from 15 villages in 2012 and 2014
Control Group – low chance of spillover effects Sample	Households living in non-intervention villages in a different gram panchayat 400 households drawn from 20 villages in 2012 and 2014

Table 2
Descriptive Statistics – Means and testing for differences in means (2012)

Variable	Total	Treatment	Control	$\overline{X_t} = \overline{X_c}$ p-values
Socio-economic characteristics				
Consumption (monthly expenditure in Rs.)	4111	4006	4218	0.416
Illiterate, household head (%)	38.6	38.3	38.9	0.843
Primary education, completed, household head (%)	7.25	7.52	6.97	0.694
Upper primary education, completed, household head (%)	9.89	11.4	8.31	0.053
Secondary education, completed, household head (%)	24.2	25.6	22.8	0.233
Senior secondary, completed, household head (%)	10.3	8.53	12.0	0.016
Graduate, completed, household head (%)	5.71	4.05	7.41	0.007
House type, flooris *katcha* (%)	73.1	74.7	71.4	0.169
House type, roof is *katcha* (%)	64.2	64.9	63.5	0.607
House type, wall is *katcha* (%)	58.2	57.8	58.6	0.775
Demographic characteristics				
Age of household head	34.9	34.5	35.4	0.033
Number of males in household	2.59	2.58	2.59	0.890
Number of females in household	2.17	2.20	2.15	0.367
Number of adults	2.45	2.40	2.49	0.078
Household size	4.76	4.78	4.73	0.563
Infrastructure				
Primary source of energy for cooking – firewood	67.4	66.5	68.4	0.473
Primary source of lighting – kerosene lantern	77.7	76.1	79.4	0.145
Primary source of water – hand pump	78.7	78.4	78.9	0.806
Type of toilet – open defecation	77.8	80.3	75.3	0.026
Religion (%)				
Hindu	93.0	91.8	94.1	0.101
Muslim	7.0	7.71	5.60	0.114
Caste (%)				
Scheduled tribe	3.33	3.42	3.23	0.842
Scheduled caste	19.1	19.1	18.9	0.935
Other backward classes	54.1	56.6	51.6	0.065
Others	23.5	20.9	26.2	0.020
N	1356-1380	684-700	672-680	

Table 3a
Means and effect of treatment on outcomes using first round survey (2012)

Variable	Total	Treatment	Control	Treatment effect [a] (p-value)	Treatment effect [b] (p-value)
Awareness of the intervention					
Have you heard of the *Behan Raksha Dal? (Yes, %)*	3.92	4.43	3.39	0.0103 (0.322)	0.009 (0.376)
Have you heard of the *Peer Educator Group? (Yes, %)*	2.61	2.29	2.95	-0.007 (0.437)	-0.003 (0.733)
Witnessed a rally against sex determination and sex selective abortion *(Yes, %)*	3.48	3.29	3.69	-0.004 (0.685)	0.003 (0.788)
Awareness of issues covered by intervention activities					
Is abortion legal? *(Yes, %)*	18.63	18.17	19.11	-0.009 (0.654)	-0.026 (0.233)
Is sex-selective abortion legal? *(Yes, %)*	15.03	15.21	14.84	0.004 (0.190)	0.0007 (0.970)
Can the sex of a baby be determined prior to birth? *(Yes, %)*	48.9	51.7	46.0	0.057 (0.034)	0.056 (0.044)
Is sex determination legal? *(Yes, %)*	14.25	12.6	16.0	-0.033 (0.076)	-0.037 (0.058)
Are you aware of sex selective abortions? *(Yes, %)*	66.0	65.8	66.2	-0.004 (0.871)	0.014 (0.588)
It is okay for a girl to be married before 18 years of age *(Yes, %)*	4.93	3.14	6.78	-0.036 (0.002)	-0.040 (0.001)
It is important to register the birth of a child *(Yes, %)*	94.6	95.7	93.5	0.022 (0.070)	0.024 (0.060)
It is important to register the death of a child *(Yes, %)*	65.6	66.4	64.7	0.017 (0.512)	0.021 (0.423)
It is important to register a marriage *(Yes, %)*	91.0	92.4	89.5	0.029 (0.060)	0.026 (0.101)
It is acceptable for a man to demand a dowry? *(Yes, %)*	20.3	20.3	20.2	0.0001 (0.971)	0.005 (0.807)
It is acceptable for a woman's family to give a dowry? *(Yes, %)*	41.4	40.0	42.9	-0.029 (0.272)	-0.032 (0.228)
N	1375-1400	684-700	672-680	1375-1398	1320-1327

Notes: [a] No control variables; [b] Control variables include a range of variables to control for socio-economic differences across households, (see Table 1), demographic characteristics, religion and caste.

Table 3b

Means and effect of treatment on outcomes using first round survey (2012)

Variable	Total	Treatment	Control	Treatment effect [a] (p-value)	Treatment effect [b] (p-value)
Intra-household relations – awareness and outcomes					
Is domestic violence a crime? *(Yes, %)*	82.9	83.1	82.7	0.004	0.012
				(0.833)	(0.541)
It is a husband's right to emotionally/verbally abuse his wife *(Yes, %)*	5.96	5.73	6.19	-0.005	-0.004
				(0.716)	(0.762)
It is a husband's right to physically abuse his wife *(Yes, %)*	6.01	6.00	6.03	-0.0003	0.0004
				(0.977)	(0.977)
In the last 12 months has your husband abused you emotionally/verbally? *(Yes, %)*	4.35	4.00	4.71	-0.007	-0.001
				(0.521)	(0.912)
In the last 12 months has your husband abused you physically? *(Yes, %)*	3.63	3.15	4.12	-0.009	-0.005
				(0.336)	(0.641)
Would your husband support your decision if you wanted additional education? *(Yes, %)*	41.5	39.5	43.6	-0.041	-0.034
				(0.122)	(0.205)
Are you encouraged to work outside the house for an income? *(Yes, %)*	48.5	46.8	50.4	-0.036	-0.035
				(0.174)	(0.204)
Son preferences and differences in aspirations					
Is it imperative to have a son? *(Yes, %)*	74.6	76.1	73.0	-0.028	-0.028
				(0.374)	(0.378)
Have you done anything to ensure the birth of a son?[c] *(Yes, %)*	54.3	53.0	55.8	-0.038	-0.037
				(0.215)	(0.243)
If you were pregnant would you like to know the sex of the foetus? *(Yes, %)*	11.55	13.1	9.90	0.032	0.035
				(0.060)	(0.047)
Would you like your son to go to university? *(Yes, %)*	64.9	61.9	67.9	-0.059	-0.033
				(0.023)	(0.205)
Would you like your daughter to go to university? *(Yes, %)*	48.2	46.4	50.1	-0.036	-0.010
				(0.194)	(0.727)
N	1375-1400	684-700	672-680	1375-1398	1320-1327

Notes: [a] No control variables; [b] Control variables include a range of variables to control for socio-economic differences across households, (see Table 1), demographic characteristics, religion and caste. [c] The number of observations for this question are 1025 for the specification with no controls and 983 for the specification with controls.

Table 4a: Means and effect of treatment on outcomes using second round survey (2014)

Variable	Total	Treatment	Control	Treatment effect [a] (p-value)	Treatment effect [b] (p-value)
Awareness of the intervention					
Have you heard of the *Behan Raksha Dal? (Yes, %)*	8.94	12.29	5.47	0.068	0.066
				(0.000)	(0.000)
Have you heard of the *Peer Educator Group? (Yes, %)*	3.71	4.14	3.26	0.009	0.009
				(0.386)	(0.407)
Witnessed a rally against sex determination and sex selective abortion *(Yes, %)*	3.49	3.29	3.70	-0.004	-0.005
				(0.677)	(0.635)
Awareness of issues covered by intervention activities					
Is abortion legal? *(Yes, %)*	16.69	15.88	17.53	-0.017	-0.025
				(0.412)	(0.227)
Is sex-selective abortion legal? *(Yes, %)*	12.93	12.77	13.1	0.003	0.011
				(0.857)	(0.571)
Can the sex of a baby be determined prior to birth? *(Yes, %)*	48.1	50.4	46.5	0.044	0.054
				(0.101)	(0.053)
Is sex determination legal? *(Yes, %)*	11.5	10.6	12.4	-0.018	-0.019
				(0.285)	(0.284)
Are you aware of sex selective abortions? *(Yes, %)*	66.9	65.6	68.3	-0.029	0.0002
				(0.292)	(0.993)
It is okay for a girl to be married before 18 years of age *(Yes, %)*	4.94	3.14	6.80	-0.037	-0.039
				(0.002)	(0.002)
It is important to register the birth of a child *(Yes, %)*	94.5	95.6	93.3	0.022	0.025
				(0.071)	(0.059)
It is important to register the death of a child *(Yes, %)*	65.7	67.2	64.2	0.031	0.035
				(0.228)	(0.187)
It is important to register a marriage *(Yes, %)*	91.2	92.7	89.6	0.031	0.031
				(0.044)	(0.053)
It is acceptable for a man to demand a dowry? *(Yes, %)*	20.1	20.0	20.3	-0.003	0.011
				(0.902)	(0.623)
It is acceptable for a woman's family to give a dowry? *(Yes, %)*	41.0	39.1	42.9	-0.037	-0.027
				(0.157)	(0.333)
N	1376-1378	696-700	676-678	1376-1378	1290-1295

Notes: [a] No control variables; [b] Control variables include a range of variables to control for socio-economic differences across households, (see Table 1), demographic characteristics, religion and caste.

Table 4b
Means and effect of treatment on outcomes using second round survey (2014)

Variable	Total	Treatment	Control	Treatment effect [a] (p-value)	Treatment effect [b] (p-value)
Intra-household relations – awareness and outcomes					
Is domestic violence a crime? *(Yes, %)*	83.9	83.5	84.2	-0.007	0.011
				(0.715)	(0.599)
It is a husband's right to emotionally/verbally abuse his wife *(Yes, %)*	5.90	5.16	6.66	-0.015	-0.015
				(0.241)	(0.260)
It is a husband's right to physically abuse his wife *(Yes, %)*	5.81	5.29	6.34	-0.010	-0.008
				(0.406)	(0.559)
In the last 12 months has your husband abused you emotionally/verbally? *(Yes, %)*	11.0	9.0	13.13	-0.041	-0.041
				(0.014)	(0.022)
In the last 12 months has your husband abused you physically? *(Yes, %)*	3.20	3.15	3.24	-0.001	0.002
				(0.918)	(0.828)
Would your husband support your decision if you wanted additional education? *(Yes, %)*	40.9	40.3	41.6	-0.013	0.004
				(0.615)	(0.871)
Are you encouraged to work outside the house for an income? *(Yes, %)*	48.7	48.0	49.4	-0.015	-0.002
				(0.581)	(0.926)
Son preferences and differences in aspirations					
Is it imperative to have a son? *(Yes, %)*	75.0	74.5	75.6	-0.010	-0.006
				(0.662)	(0.798)
Have you done anything to ensure the birth of a son?[c] *(Yes, %)*	53.9	53.9	54.1	-0.003	0.010
				(0.934)	(0.765)
If you were pregnant would you like to know the sex of the foetus? *(Yes, %)*	11.42	12.0	10.8	0.013	0.013
				(0.466)	(0.438)
Would you like your son to go to university? *(Yes, %)*	64.8	63.2	66.3	-0.031	-0.003
				(0.241)	(0.911)
Would you like your daughter to go to university? *(Yes, %)*	48.7	48.2	49.4	-0.012	-0.012
				(0.672)	(0.672)
N	1376-1378	696-700	676-678	1376-1378	1290-1295

Notes: [a] No control variables; [b] Control variables include a range of variables to control for socio-economic differences across households, (see Table 1), demographic characteristics, religion and caste. [c] The number of observations for this question are 1041 for the specification with no controls and 997 for the specification with controls.

Table 5
Descriptive Statistics – Means and testing for differences in means (2012)
Control group less likely to be susceptible to spillover effects

Variable	Total	Treatment	Control	$\overline{X_t} = \overline{X_c}$ p-values
Socio-economic characteristics				
Consumption (monthly expenditure in Rs.)	3880	4006	3662	0.115
Illiterate, household head (%)	39.46	38.3	41.3	0.329
Primary education, completed, household head (%)	7.43	7.52	7.27	0.876
Upper primary education, completed, household head (%)	9.72	11.4	6.78	0.018
Secondary education, completed, household head (%)	24.8	25.6	23.5	0.450
Senior secondary, completed, household head (%)	8.99	8.53	9.77	0.492
Graduate, completed, household head (%)	5.13	4.05	7.01	0.033
House type, flooris *katcha* (%)	73.3	74.7	71.0	0.180
House type, roof is *katcha* (%)	64.7	64.9	64.5	0.905
House type, wall is *katcha* (%)	58.6	57.9	60.0	0.448
Demographic characteristics				
Age of household head	34.6	34.5	34.8	0.515
Number of males in household	2.56	2.58	2.52	0.440
Number of females in household	2.18	2.20	2.14	0.412
Number of adults	2.41	2.40	2.41	0.954
Household size	4.74	4.78	4.67	0.231
Infrastructure				
Primary source of energy for cooking – firewood	63.2	66.5	57.3	0.002
Primary source of lighting – kerosene lantern	77.1	76.1	78.8	0.323
Primary source of water – hand pump	77.9	78.4	77.0	0.583
Type of toilet – open defecation	77.6	80.3	73.0	0.005
Religion (%)				
Hindu	93.0	91.8	95.0	0.050
Muslim	7.0	7.71	4.75	0.058
Caste (%)				
Scheduled tribe	3.27	3.42	3.00	0.701
Scheduled caste	19.0	19.1	18.8	0.873
Other backward classes	55.7	56.6	54.2	0.456
Others	22.0	20.9	24.0	0.020
N	1080-1100	684-700	396-400	

Table 6a: Means and effect of treatment on outcomes using first round survey (2012)
Control group less likely to be susceptible to spillover effects

Variable	Total	Treatment	Control	Treatment effect [a] (p-value)	Treatment effect [b] (p-value)
Awareness of the intervention					
Have you heard of the *Behan Raksha Dal? (Yes, %)*	3.82	4.43	2.75	0.017	0.017
				(0.163)	(0.168)
Have you heard of the *Peer Educator Group? (Yes, %)*	2.18	2.29	2.01	0.003	0.006
				(0.760)	(0.558)
Witnessed a rally against sex determination and sex selective abortion *(Yes, %)*	2.82	3.29	2.00	0.013	0.009
				(0.216)	(0.404)
Awareness of issues covered by intervention activities					
Is abortion legal? *(Yes, %)*	17.7	18.17	16.8	0.013	-0.006
				(0.565)	(0.795)
Is sex-selective abortion legal? *(Yes, %)*	13.15	15.21	9.55	0.056	0.052
				(0.008)	(0.017)
Can the sex of a baby be determined prior to birth? *(Yes, %)*	48.9	51.7	44.0	0.077	0.089
				(0.014)	(0.005)
Is sex determination legal? *(Yes, %)*	12.1	12.6	11.3	0.014	0.007
				(0.507)	(0.719)
Are you aware of sex selective abortions? *(Yes, %)*	66.6	65.8	68.2	-0.024	0.009
				(0.416)	(0.756)
It is okay for a girl to be married before 18 years of age *(Yes, %)*	4.27	3.14	6.25	-0.031	-0.035
				(0.014)	(0.007)
It is important to register the birth of a child *(Yes, %)*	95.0	95.7	93.8	0.020	0.016
				(0.151)	(0.256)
It is important to register the death of a child *(Yes, %)*	66.3	66.4	66.2	0.0013	0.007
				(0.965)	(0.822)
It is important to register a marriage *(Yes, %)*	91.3	92.4	89.3	0.032	0.026
				(0.072)	(0.154)
It is acceptable for a man to demand a dowry? *(Yes, %)*	20.7	20.3	21.5	-0.012	-0.009
				(0.633)	(0.748)
It is acceptable for a woman's family to give a dowry? *(Yes, %)*	41.5	40.0	44.0	-0.04	-0.045
				(0.196)	(0.156)
N	1013-1100	644-700	369-400	1013-1100	979-1060

Notes: [a] No control variables; [b] Control variables include a range of variables to control for socio-economic differences across households, (see Table 1), demographic characteristics, religion and caste.

Table 6b
Means and effect of treatment on outcomes using first round survey (2012)
Control group less likely to be susceptible to spillover effects

Variable	Total	Treatment	Control	Treatment effect [a] (p-value)	Treatment effect [b] (p-value)
Intra-household relations – awareness and outcomes					
Is domestic violence a crime? *(Yes, %)*	83.7	83.1	84.8	-0.016	-0.002
				(0.475)	(0.927)
It is a husband's right to emotionally/verbally abuse his wife *(Yes, %)*	6.84	5.73	8.77	-0.030	-0.025
				(0.055)	(0.126)
It is a husband's right to physically abuse his wife *(Yes, %)*	7.09	6.00	8.75	-0.028	-0.023
				(0.086)	(0.167)
In the last 12 months has your husband abused you emotionally/verbally? *(Yes, %)*	5.09	4.00	7.00	-0.030	-0.024
				(0.029)	(0.085)
In the last 12 months has your husband abused you physically? *(Yes, %)*	4.37	3.15	6.50	-0.033	-0.030
				(0.009)	(0.021)
Would your husband support your decision if you wanted additional education? *(Yes, %)*	38.4	39.5	36.6	0.029	0.035
				(0.344)	(0.258)
Are you encouraged to work outside the house for an income? *(Yes, %)*	46.1	46.8	44.9	0.019	0.022
				(0.540)	(0.493)
Son preferences and differences in aspirations					
Is it imperative to have a son? *(Yes, %)*	73.8	76.1	69.7	0.063	0.073
				(0.023)	(0.010)
Have you done anything to ensure the birth of a son?[c] *(Yes, %)*	53.6	53.0	54.9	-0.019	-0.010
				(0.614)	(0.789)
If you were pregnant would you like to know the sex of the foetus? *(Yes, %)*	11.3	13.1	8.04	0.051	0.051
				(0.010)	(0.013)
Would you like your son to go to university? *(Yes, %)*	64.3	61.9	68.3	-0.064	-0.049
				(0.037)	(0.101)
Would you like your daughter to go to university? *(Yes, %)*	47.8	46.4	50.1	-0.037	-0.026
				(0.256)	(0.420)
N	1013-1100	644-700	369-400	1013-1100	979-1060

Notes: [a] No control variables; [b] Control variables include a range of variables to control for socio-economic differences across households, (see Table 1), demographic characteristics, religion and caste. [c] The number of observations for this question are 1025 for the specification with no controls and 983 for the specification with controls.

Table 7a: Means and effect of treatment on outcomes using second round survey (2014)
Control group less likely to be susceptible to spillover effects

Variable	Total	Treatment	Control	Treatment effect [a] (p-value)	Treatment effect [b] (p-value)
Awareness of the intervention					
Have you heard of the *Behan Raksha Dal? (Yes, %)*	8.93	12.29	3.02	0.093	0.093
				(0.000)	(0.000)
Have you heard of the *Peer Educator Group? (Yes, %)*	3.56	4.14	2.52	0.016	0.014
				(0.163)	(0.267)
Witnessed a rally against sex determination and sex selective abortion *(Yes, %)*	2.82	3.29	2.01	0.013	0.006
				(0.220)	(0.558)
Awareness of issues covered by intervention activities					
Is abortion legal? *(Yes, %)*	16.61	15.88	17.88	-0.020	-0.029
				(0.392)	(0.238)
Is sex-selective abortion legal? *(Yes, %)*	11.16	12.77	8.33	-0.044	-0.031
				(0.025)	(0.139)
Can the sex of a baby be determined prior to birth? *(Yes, %)*	48.1	50.4	44.0	0.064	0.092
				(0.040)	(0.005)
Is sex determination legal? *(Yes, %)*	9.4	10.6	7.3	0.033	0.026
				(0.071)	(0.170)
Are you aware of sex selective abortions? *(Yes, %)*	67.0	65.6	69.5	-0.039	0.009
				(0.187)	(0.751)
It is okay for a girl to be married before 18 years of age *(Yes, %)*	4.28	3.14	6.28	-0.031	-0.035
				(0.013)	(0.011)
It is important to register the birth of a child *(Yes, %)*	94.8	95.6	93.5	0.021	0.021
				(0.131)	(0.173)
It is important to register the death of a child *(Yes, %)*	66.6	67.2	65.3	0.019	0.024
				(0.519)	(0.434)
It is important to register a marriage *(Yes, %)*	91.5	92.7	89.5	0.033	0.034
				(0.062)	(0.071)
It is acceptable for a man to demand a dowry? *(Yes, %)*	20.6	20.0	21.6	-0.016	-0.001
				(0.527)	(0.969)
It is acceptable for a woman's family to give a dowry? *(Yes, %)*	40.9	39.1	44.0	-0.048	-0.031
				(0.118)	(0.337)
N	1013-1100	644-700	369-400	1013-1100	960-1060

Notes: [a] No control variables; [b] Control variables include a range of variables to control for socio-economic differences across households, (see Table 1), demographic characteristics, religion and caste.

Table 7b: Means and effect of treatment on outcomes using second round survey (2014)
Control group less likely to be susceptible to spillover effects

Variable	Total	Treatment	Control	Treatment effect [a] (p-value)	Treatment effect [b] (p-value)
Intra-household relations – awareness and outcomes					
Is domestic violence a crime? *(Yes, %)*	85.0	83.5	87.4	-0.039	-0.013
				(0.082)	(0.585)
It is a husband's right to emotionally/verbally abuse his wife *(Yes, %)*	6.67	5.16	9.32	-0.042	-0.041
				(0.008)	(0.016)
It is a husband's right to physically abuse his wife *(Yes, %)*	6.75	5.29	9.30	-0.040	-0.035
				(0.011)	(0.036)
In the last 12 months has your husband abused you emotionally/verbally? *(Yes, %)*	10.2	9.0	12.3	-0.033	-0.039
				(0.081)	(0.054)
In the last 12 months has your husband abused you physically? *(Yes, %)*	3.83	3.15	5.03	-0.019	-0.019
				(0.119)	(0.152)
Would your husband support your decision if you wanted additional education? *(Yes, %)*	38.4	40.3	35.2	0.051	0.082
				(0.096)	(0.010)
Are you encouraged to work outside the house for an income? *(Yes, %)*	46.8	48.0	44.7	0.033	0.056
				(0.297)	(0.093)
Son preferences and differences in aspirations					
Is it imperative to have a son? *(Yes, %)*	74.1	74.5	73.4	0.011	0.033
				(0.410)	(0.261)
Have you done anything to ensure the birth of a son?[c] *(Yes, %)*	52.9	53.9	51.0	0.028	0.049
				(0.441)	(0.210)
If you were pregnant would you like to know the sex of the foetus? *(Yes, %)*	10.6	12.0	8.06	0.039	0.045
				(0.040)	(0.024)
Would you like your son to go to university? *(Yes, %)*	63.8	63.2	64.8	-0.016	0.011
				(0.613)	(0.742)
Would you like your daughter to go to university? *(Yes, %)*	48.3	48.2	48.7	-0.005	0.003
				(0.881)	(0.915)
N	1013-1100	644-700	369-400	1013-1100	960-1060

Notes: [a] No control variables; [b] Control variables include a range of variables to control for socio-economic differences across households, (see Table 1), demographic characteristics, religion and caste. [c] The number of observations for this question are 1041 for the specification with no controls and 997 for the specification with controls.

Table 8

Statement (How much do you agree with the following statements?)	Score 1 = not at all 10 = completely
The project was well designed	5
The project was implemented as designed	10
The project reached all its objectives	5
The observed results are attributable to the project interventions	8
The observed results are relevant to the project beneficiaries	10
The project was implemented efficiently	10

Table A1
Sex ratio at birth, Child (0-6) sex ratio and infant mortality in Bihar

	Sex Ratio at Birth	Child (0-6) sex ratio	Infant Mortality Rate	
Year			Male	Female
2001[d]	917	942	.	.
2001-03[a]	861[@]	.	.	.
2003[b]	.	.	59	62
2006-08[a]	914	.	.	.
2011[d]	.	933	.	.
2013[c]	.	.	40	43

[@] Bihar and Jharkhand combined.
Sex ratio at birth= Number of female live births per 1000 male live births.
Source: [a] UNFPA (2010) *Trends in sex ratio at birth and estimates of girls missing at birth in India*. New Delhi.
[b] Registrar General (2005) *SRS bulletin*, 39(1): 5. New Delhi.
[c] Registrar General (2014) *SRS bulletin*, 49(1): 5. New Delhi.
[d] Office of the Registrar General, Government of India (2011) *MISSING: Mapping the adverse child sex ratio in India, Census 2011*. New Delhi.

Table A2
Child sex ratio in project districts

District	**2001**	**2011**
Gopalganj	964	954
Sitamarhi	924	930
Purnia	967	954
Patna	923	909
Nawada	978	945
Madhubani	939	936
Nalanda	942	931
Munger	914	922
Lakhisarai	951	920
Muzaffarpur	928	915
Saran	949	926
Vaishali	937	904
Sheikhpura	955	940
Champaran(W)	953	953

Endline report – India, BVHA MFS II country evaluations

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This report presents the findings of the endline of the evaluation of the organisational capacity component of the MFS II country evaluations. The focus of this report is India, FFID. The format is based on the requirements by the synthesis team and NWO/WOTRO. The endline was carried out in 2014. The baseline was carried out in 2012.

Key words: 5C (five core capabilities); attribution; baseline; causal map; change; CFA (Co-financing Organisation) endline; organisational capacity development; SPO (Southern Partner Organisation).

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The India 5C evaluation team

List of abbreviations and acronyms

5 C	Capacity development model which focuses on 5 core capabilities
ANM	Auxiliary Nurse Midwife
ANC	Ante Natal Checkup
BVHA	Bihar Voluntary Health Association
Causal map	Map with cause-effect relationships. See also 'detailed causal map'.
Causal mechanisms	The combination of parts that ultimately explains an outcome. Each part of the mechanism is an individually insufficient but necessary factor in a whole mechanism, which together produce the outcome
CBO	Community Based Organisation
CDI	Centre for Development Innovation
CFA	Co-Financing Agency
CHAI	Community Health and Advancement Initiative
CMAI	Christian Medical Association of India
CSE	Comprehensive Sexuality Education
CSO	Civil Society Organisation
Detailed causal map	Also 'model of change'. the representation of all possible explanations – causal pathways for a change/ outcome. These pathways are that of the intervention, rival pathways and pathways that combine parts of the intervention pathway with that of others. This also depicts the reciprocity of various events influencing each other and impacting the overall change. In the 5C evaluation identified key organisational capacity changes and underlying reasons for change (causal mechanisms) are traced through process tracing (for attribution question).
DLHS	District Level Household Survey
ED	Executive Director
General causal map	Causal map with key organisational capacity changes and underlying reasons for change (causal mechanisms), based on SPO perception.
HIV/AIDS	Human Immunodeficiency Virus infection/Acquired Immune Deficiency Syndrome
HMIS	Health Management Information System
ICDS	Integrated Child Development Services
IDD	Iodine Deficiency Disorders
IDF	India Development Foundation
IEC	Information, Education, Communication
KAP	Knowledge, Attitude, Practice
M&E	Monitoring and Evaluation
MCH	Maternal and Child Health
MDR	Maternal Death Review
MFS	Dutch co-financing system
MHM	Menstrual Hygiene Management
MIS	Management Information System
NGO	Non-Governmental Organisation
NRHM	National Rural Health Mission
OCP	Oral Contraceptive Pills
OD	Organisational Development
PCPNDT	Pre Conception and Pre Natal Diagnostic Techniques (Act)
PHC	Primary health centre
PME	Planning, Monitoring and Evaluation
PNC	Post natal care
PRI	Panchayati Raj Institution
Process tracing	Theory-based approach to trace causal mechanisms

RCH	Reproductive and Child Health
RTI/STI	Reproductive Tract Infection/ Sexually Transmitted Infection
SPO	Southern Partner Organisation
SRHR	Sexual and Reproductive Health Rights
UFBRE	Unite for Body Rights (Alliance)
UNDP	United Nations Development Programme
UNFPA	United Nations Population Fund
VHSNC	Village Health, Sanitation and Nutrition Committee
TB	Tuberculosis
TFR	Total Fertility Rate
ToC	Theory of Change
VHA	Village Health Association
VHAI	Voluntary Health Association Of India
VO	Voluntary Organisation
Wageningen UR	Wageningen University & Research centre
WHO	World Health Organisation

1 Introduction & summary

1.1 Purpose and outline of the report

The Netherlands has a long tradition of public support for civil bi-lateral development cooperation, going back to the 1960s. The Co-Financing System (*Medefinancieringsstelsel*, or 'MFS') is its most recent expression. MFS II is the 2011-2015 grant framework for Co-Financing Agencies (CFAs), which is directed at achieving a sustainable reduction in poverty. A total of 20 consortia of Dutch CFAs have been awarded €1.9 billion in MFS II grants by the Dutch Ministry of Foreign Affairs (MoFA).

The overall aim of MFS II is to help strengthen civil society in the South as a building block for structural poverty reduction. CFAs receiving MFS II funding work through strategic partnerships with Southern Partner Organisations.

The MFS II framework stipulates that each consortium is required to carry out independent external evaluations to be able to make valid, evaluative statements about the effective use of the available funding. On behalf of Dutch consortia receiving MFS II funding, NWO-WOTRO has issued three calls for proposals. Call deals with joint MFS II evaluations of development interventions at country level. Evaluations must comprise a baseline assessment in 2012 and a follow-up assessment in 2014 and should be arranged according to three categories of priority result areas as defined by MoFA:

Achievement of Millennium Development Goals (MDGs) & themes;

Capacity development of Southern partner organisations (SPO) (5 c study);

Efforts to strengthen civil society.

This report focuses on the assessment of capacity development of southern partner organisations. This evaluation of the organisational capacity development of the SPOs is organised around **four key evaluation questions**:

What are the changes in partner organisations' capacity during the 2012-2014 period?
To what degree are the changes identified in partner capacity attributable to development interventions undertaken by the MFS II consortia (i.e. measuring effectiveness)?
Were the efforts of the MFS II consortia efficient?
What factors explain the findings drawn from the questions above?

The purpose of this report is to provide endline information on one of the SPOs involved in the evaluation: BVHA in India. The baseline report is described in a separate document.

Chapter 2 describes general information about the Southern Partner Organisation (SPO). Here you can find general information about the SPO, the context in which the SPO operates, contracting details and background to the SPO. In chapter 3 a brief overview of the methodological approach is described. You can find a more detailed description of the methodological approach in appendix 1.Chapter 4 describes the results of the 5c endline study. It provides an overview of capacity development interventions of the SPO that have been supported by MFS II. It also describes what changes in organisational capacity have taken place since the baseline and why (evaluation question is 1 and 4). This is described as a summary of the indicators per capability as well as a general causal map that provides an overview of the key organisational capacity changes since the baseline, as experienced by the SPO. The complete overview of descriptions per indicator, and how these have changed since the baseline is described in appendix 3. The complete visual and narrative for the key organisational capacity changes that have taken place since the baseline according to the SPO staff present at the endline workshop is presented in appendix 4.

For those SPOs involved in process tracing a summary description of the causal maps for the identified organisational capacity changes in the two selected capabilities (capability to act and commit; capability to adapt and self-renew) is provided (evaluation questions 2 and 4). These causal maps describe the identified key organisational capacity changes that are possibly related to MFS II

interventions in these two capabilities, and how these changes have come about. More detailed information can be found in appendix 5.

Chapter 5 presents a discussion on the findings and methodology and a conclusion on the different evaluation questions.

The overall methodology for the endline study of capacity of southern partner organisations is coordinated between the 8 countries: Bangladesh (Centre for Development Studies, University of Bath; INTRAC); DRC (Disaster Studies, Wageningen UR); Ethiopia (CDI, Wageningen UR); India (CDI, Wageningen UR: Indonesia (CDI, Wageningen UR); Liberia (CDI, Wageningen UR); Pakistan (IDS; MetaMeta); (Uganda (ETC). Specific methodological variations to the approach carried out per country where CDI is involved are also described in this document.

This report is sent to the Co-Financing Agency (CFA) and the Southern Partner Organisation (SPO) for correcting factual errors and for final validation of the report.

1.2 Brief summary of analysis and findings

Over the last two years BVHA has slightly improved in its capability to act and commit. The main improvements were: the director became more responsive, salaries were raised to the government standard, staff improved skills because of trainings and exposure visits, there are better operational plans and strategies, diversification of funding and improved fundraising capacity. In the capability to adapt and self-renew BVHA also improved slightly. This was mainly due to improved M&E application in the SRHR project, strategic use of M&E, better tracking of BVHA's operating environment and being more responsive to network members. BVHA improved slightly in the capability to deliver on development objectives. Operational plans have become more critical and realistic in budget utilisation, BVHA is working more cost-effectively and feedback mechanisms have been formalised. The organisation improved very slightly in its capability to relate. BVHA now involves their partners in PME and has increased the amount and different levels of networks they are active in. The organisation also works more with the government and pays more visits to target groups. Finally, there has been no change in the capability to achieve coherence.

The evaluators considered it important to also note down the SPO's perspective on what they experienced as the most important changes in the organisation since the baseline. During the endline workshop the key organisational capacity changes that were brought up by BVHA's staff were strengthened programme monitoring and operational planning; improved capacity for Sexual and Reproductive Health Rights (SRHR) advocacy at state level and increased capacity to leverage more funds. According to the SPO, these changes happened to partly overlap with the key organisational capacity changes that were selected for process tracing because the first two changes were linked to MFS II supported capacity development interventions and related to the capability to adapt and self-renew, and the capability to act and commit. Strengthened programme monitoring and operational planning, with specific reference to the SRHR project, can to a large extent be attributed to MFS II supported capacity development interventions, and in particular the five biannual PME meetings (also planned during the baseline) and the feedback by Simavi on progress of the SRHR project. The only non-MFS II factors that have played a minor role are the regular staff meetings and the training on project management funded by the International Union, New Delhi. Under the improved capacity for Sexual and Reproductive Health Rights (SRHR) advocacy at state level, most of the improvement in BVHA's competence to deliver SRHR services can be attributed to MFS II funded capacity development interventions. Under the same organisational capacity change improved knowledge on advocacy and lobbying on SRHR can partly be attributed to MFS II supported capacity development interventions.

A key organisational capacity change that was brought up by BVHA's staff but that was not selected for process tracing was: increased capacity to leverage more funds. This capacity increased because of improved visibility, due to improved SRHR advocacy at state level; improved networking, due to being a member of the SRHR Alliance (MFS II funded); and due to improved project outcomes (mostly of MFS II funded projects).

2 General Information about the SPO – BVHA

2.1 General information about the Southern Partner Organisation (SPO)

Country	India
Consortium	Sexual and Reproductive Health and Rights Alliance (SRHR)
Responsible Dutch NGO	Simavi (Rutgers WPF, Lead CFA for Consortium)
Project (if applicable)	Community awareness building on girl child and conscientiousness building on PC & PNDT Act through NGO Intervention; Community empowerment on Gender Equity to Access Reproductive Health Rights in 2 districts of Bihar
Southern partner organisation	Bihar Voluntary Health Association (BVHA)

The project/partner is part of the sample for the following evaluation component(s):

Achievement of MDGs and themes	
Capacity development of Southern partner organisations	X
Efforts to strengthen civil society	

2.2 The socio-economic, cultural and political context in which the partner operates

Bihar is one of India's poorest states and with a population of about 100 million (Census 2011), it is the third most populous state in India. For about two decades (1985-2005) the state has been especially affected by political turmoil, and bad governance. This has affected both the agricultural and industrial sectors, and governance wise resulted in allegations of widespread corruption and law and order problems. While natural or governance factors such as floods, poor infrastructure and high population density play their part, the state's backwardness also appears to be a function of its inequitable and exploitative socio-economic structure. These conditions have led to a lack of development and an environment in which large-scale poverty eradication programs have had little impact.

The state is overwhelmingly rural with 80 percent of its population living in rural areas and relying on subsistence agriculture for a livelihood. According to the Tendulkar Committee Report 2009[1], nearly 54.4 percent of the population lives below the poverty line, which is much higher than the national average of 37.2 percent. However, if factors beyond income are considered (Multidimensional Poverty Index), about 79.3 percent of the state's population lives below the poverty line.Migration takes place in large number as well as trafficking of children and women is on the rise due to poverty and unemployment.

[1] http://www.in.undp.org/content/india/en/home/operations/about_undp/undp-in-bihar/about-bihar/ Accessed on November 27,2014

Bihar ranks among the lowest in the country on indicators related to primary healthcare infrastructure and reproductive and child health care (District Level Household Survey 2002–04). Health indicators such as the infant mortality rate (44 per 1000 live births as per Sample Registration Survey 2011), maternal mortality ratio (261 per 100,000 live births as per Sample Registration Survey 2007-09) and total fertility rate (3.6 as per Sample Registration Survey 2011), among others, are amongst the highest in the country. Though certain health indicators such as infant mortality and child mortality are beginning to display a progressive arresting trend, the continued lack of adequate medical and paramedical staff and medicines continues to afflict the state's healthcare system. Given this context, it is not surprising that Bihar is a priority state under the central government's National Rural Health Mission (NRHM).[2]

Women have a relatively poor social status and are discriminated in many aspects of life, such as access to nutrition, health care and education. For instance, female literacy rates (53.3 percent in 2011) are lower than the national average (65.6 percent in 2011). Bihar has one of the highest rates of girl child marriages in the country. According to the National Family Health Survey conducted in 2005-06, the median age at first marriage for women in the 20-49 age group is 15.1 years thus exposing them to complications associated with teenage pregnancies. According to District Level Household Survey-3 (DLHS-3; 2007-2008) less than 40 percent of the women have heard of RTI/STI (reproductive tract infection/sexual transmitted infection) and a still lesser percentage 27 percent have heard of HIV/AIDS. Also only around 7.7 per cent of the currently married non-users have ever received counselling by health personnel to adopt family planning.

Although the government has shown willingness to improve health facilities in rural areas, health facilities are still scarce and poorly equipped. The government encourages NGOs to give support to building the capacity of health workers in the government facilities (e.g. auxiliary nurse maid as well as in the community hence BVHA's work is complementing the efforts of the government to improving health care and in particular sexual reproductive health at individual, community, organisational and institutional level by building mass scale awareness on the sexual reproductive health rights (SRHR) issues. It is also influencing policy makers, demanding for implementation of existing policies, e.g. for better services by collaborating with other stakeholders, including the SRHR alliance[3] partners (Rutgers WPF, AMREF Flying Doctors, Dance4Life and Choice).

2.3 Contracting details

When did cooperation with this partner start: 2007

What is the MFS II contracting period:

- Project: Community awareness building on girl child and conscientiousness building on PC & PNDT Act through NGO Intervention, from 1st of November 2008 till 31st March 2012 (covered by MFS II funding from 1st of January 2011 till 31st March 2012).
- Project: Community empowerment on Gender Equity to Access Reproductive Health Rights in 2 districts of Bihar, from 1st of April 2012 till 31st December 2015.

Did cooperation with this partner end? No

If yes, when did it finish? NA

[2] For additional information on health indicators see http://nrhm.gov.in/nrhm-in-state/state-wise information/bihar.html#ret_report. Accessed on November 26, 2014.

[3] The SRHR alliance was formed to promote the sexual and reproductive health and rights of people of 9 countries in Africa and Asia with the help of local organisations. SIMAVI which is currently funding BVHA is a part of this SRHR alliance.

What is the reason for ending the cooperation with this partner: NA

Is there expected collaboration after the 31st of December 2015? Yes. Simavi started a new 3 year programme with BVHA in 2014. This means they will be collaborating after 2015. It is funded by the National Postal Code Lottery and the English name of this new programme is 'Making Periods Normal'. It is a programme on Menstrual Hygiene Management.

2.4 Background to the Southern Partner Organisation

History

Source: Historical timeline baseline report 2012

Bihar Voluntary Health Association (BVHA) is a secular and voluntary association of charitable Hospital and Health Centres established in the year 1969 by the Medical Mission Sisters. It got registered in February 1970 under the Societies Registration Act XXI of 1860 at Patna, Bihar. The organisation aims to make Health a reality for the people of Bihar especially the weaker section/unprivileged segment of the Society through Voluntary organization/institutions, Charitable Hospitals, Public health Service, groups/professionals/individuals engaged in health sector and with the active involvement and the participation of the community. The organisation not only works as a service provider but also actively involved in capacity building programmes of voluntary organizations and developing model programmes for major health problems e.g. Reproductive Health Issues Malaria, T.B., Diarrhoea, IDD, Kala-azar, Water Born Diseases ,Tobacco related diseases, Life style disorder etc.

During the initial years BVHA was mainly involved with the hospitals and relief activities (by organising health camps and distributing medicines) during the natural calamities. Gradually, it stepped down to the grass-root level NGOs and put effort to make a network of voluntary organizations (till 2013-14 it is involved with 124 network members and more than 270 associate non-member voluntary organizations) directly associated with the mass and responding to their health needs. It started off in 1969 with 10-15 founder members and 2 staff members and had grown to 18 staff (11 core staff and 7 project staff) during baseline. In 2014 it has grown to 34 staff (consist of core staff and project staff) and 11 board members.

In 1974, BVHA got involved in capacity building activities. Two workshops were organised by the Christian Aid on drug inventory management and cold chain management. In 1980 BVHA was asked by the state government to compile immunisation status of the entire state of Bihar.

In 1984 BVHA got involved in immunisation activities as cold chain facilities were not available at the district level in Bihar. Vaccines were collected from BVHA as it had a cold chain management system and taken to far off places. During this time BVHA was also involved in advocacy efforts with the state to install cold chain systems in all district headquarters to that vaccines could be sent to distant places. BVHA compiled the vaccine demand of all the districts.

In 1985 Capacity building activities started by Christian AID from London. Capacity building was in Community Health, School health, inventory management of drugs, documentation of medical records and issue diseases. In 1989-1990 BVHA had a training team of 4 people.

In 1986, a National Health Policy workshop was organised by BVHA and the Government for the assessment of the health scenario and to understand the role of the voluntary associations. After this a Community Health Medicinal Unit was formed whose role was to procure medicines and send it to the inaccessible areas. However since BVHA was a not for profit organisation and procuring drugs involved getting a drug licence and other tax issues the unit was registered as a separate legal entity in 1995-96.

In 1992, BVHA got involved in the Maternal and Child Health Care (MCH) programs which focussed on antenatal care and promotion of institutional delivery. It was also during this time that networking became a full-fledged program and from 1994-1995 BVHA's network not only consisted of diocesan partners but was also joined by the development sector members.

In 1995 BVHA was identified by MEMISA (STICHTING MEMISA MEDICUS MUNDI) for evaluating health programs in Bihar to assess refunding opportunities.

In 1998, Bihar Government made BVHA a nodal agency for AIDS. 31 field operating partners were trained for the purpose. Two MEMISA funded training programs were held in Rajgrih and West Champaran for advertising and raising awareness on AIDS.

In 1999, BVHA was identified as the Mother NGO for 5 districts namely Patna, Vaishali, Nalanda, Munger and Bhojpurfor RCH I project and for AYUSH. In the same year BVHA was asked to identify Polio Cases as the Government had declared Bihar Polio free.

In 1999, BVHA got involved in the Malaria Microscopy Program in 6 districts in Jharkhand (undivided Bihar) as there was a Malaria outbreak. The role of BVHA was to observe slides for the malaria parasites and if a slide for a patient was found, positive treatment was provided through the local partners.

During this period BVHA also started procuring IEC materials from the Government, UNICEF, & other sources and started distributing IEC materials to its partners. Since last two years BVHA also collects IEC materials from WHO, UNDP, CHAI, CMAI other state VHAs, VHAI & all other sources and started developing its own IEC materials for various programmes such as Kala-Azar, SRHR, etc.

Between 1999-2000 BVHA was working on HIV/AIDS, RCH I, Polio, distributing IEC materials and Malaria

The period between 1988 and 2000 also witnessed growth in the number of members and before the division of Bihar BVHA had 249 members. In 2012 it had 115 registered members and over 300 non-member organisations. In 2014 it has 117 registered members and more than 300 non-registered members.

Christian AID was the main funder of BVHA for the period between 1985-2003. In 2003 funding from Christian AID stopped as it started focusing on the Dalits and BVHA had to make amendments so that donors looking for specific programs could fund them. Recent amendments are inclusion of water and sanitation, women and trafficking and abortions in the objectives. While the management was worried that BVHA might collapse, the staff showed integrity by working without regular salaries. This period was marked by planning for fund raising strategies.

In 2004-2005 BVHA started implementing small programs on the ground despite the fact it that program implementation was not its strength. Donor policies did not allow funds to be transferred to 3rd parties and could give funds only if BVHA implemented the project. In 2006 onwards it started on a small scale in implementing projects along with networking partners.

In 2005-2006 when the new government came in it gave health a priority and did a lot in developing health infrastructure. In 2006 BVHA got its first foreign contribution to implement the PC & PNDT act[4] project on reducing female foeticide. Initially SIMAVI supported this project for one year on a pilot basis. On completion of one year it was extended further for three years and again in 2009 it was further extended till 2012. The objective was to reduce female foeticide by creating community awareness on girl child survival and conscientious building on Pre Conception and Post Natal Detection Act. It was supported by SIMAVI to implement in 14 selected districts of Bihar and the project was ended in 2012. Better outcome of this project increased visibility of BVHA at the state and national level and the motivation level of the staff. As a result it could leverage funds from Ministry of Health and Family Welfare, Government of India since 2013 for this project.

In 2007 it started implementing the project "Freedom from Arsenic" with the supported from MISEREOR, Germany. The objective of the project was to improve the quality of the health of the people by making them aware of the use of arsenic free drinking water. This project got over in 2010.

During the Kosi floods in 2008 BVHA not only involved in relief operations but also involved in psychosocial counselling of women and adolescent girls.

[4] Pre-conception Prenatal Diagnostic Techniques is used for the purpose of detecting genetic or metabolic disorders or chromosomal abnormalities or certain congenital malformations or sex linked disorders. The act was enacted and brought into operation from 1st January, 1996 for the prevention of the misuse of such techniques for the purpose of pre-natal sex determination leading to female foeticide.

In 2008 BVHA received funding from Geneva Global, USA to improve Health Service Delivery System and assured quality care service in maternal health care. It was implemented in three districts of Bihar from 2009 to 2011.

In 2011 it started implementing Social mobilization and service delivery programme along with 20 networking partners in 31 districts of Bihar for malaria control and kala-Azar elimination amongst vulnerable communities supported by Voluntary Health Association of India, New Delhi. It was identified that Bihar accounts for 80% kala-Azar cases in the world. 50% of the population in Bihar including the tribal and other marginalised communities are vulnerable to Kala-azar[5]. This project aimed at social mobilisation and service delivery through creating awareness among communities and capacity building of health workers. This project got over in 2013.

In July 2011 it implemented 'Let Girls be Born' project with financial support from Plan India with an aim to empower the community to address sex selection, sex determination and ensure girl child's right to create a gender balanced society.

In 2012 considering improvement in maternal health system and empowering community to access quality health service in Bihar it implemented the Oxfam funded project 'Initiative to improve maternal health with social determinants approach'. It was implemented in three districts of Bihar and the project was over in 2013.

Over the period while implementing several projects on the development of health in Bihar the capacity of the organization improved in community approach, influence decision makers through advocacy and knowledge on Sexual Reproductive Health Rights (SRHR). Thus, the donor (Simavi) suggested the organisation to develop proposals on the SRHR issues. In 2011-12 it developed proposal for MFS II funding on SRHR issues as suggested by Simavi. In April 2012 it received the MFS II funding from Simavi for Community Empowerment on Gender Equity to access Reproductive Rights. This programme focuses on the most socially and economically backward and unprivileged communities of two districts of Bihar and is implemented through its networking partner organisations – Duncan Hospital, Raxaul (East Champaran) and Fakirana Sisters Society, Betiah (West Champaran). The project interventions were right based which created recognition in the community as well as in government departments especially with health and Integrated Child Development Society (ICDS).

In February 2014 the Maternity Death Review (MDR) project funded by UNICEF was initiated in two districts of Bihar. This is a pilot intervention to institutionalise MDR process and provide a road map for establishing a routine system for review of all maternal deaths as per the Maternal Death Review guidelines of Government of India.

While MFS II funding is continuing for the SRHR project BVHA garnered new funds from Simavi for two new projects: child marriage programme and menstrual hygiene management. Some other new donors have extended support such as: UNFPA, the Population Foundation of India, BMZ-KKS, and the Ministry of Health and Family Welfare of the government of India. Along with diversified funding sources, BVHA could attract government agencies by increasing its visibility at various levels through their new partnership with bilateral and multilateral agencies.

Over the last two years BVHA strengthened its internal capacity, networking and visibility for e.g. it formed Advisory Committee consist of a body of intellectuals from different member organizations which provides visionary approach for the improvement of the programs activities of the organisation, SRHR Forum at state level involving government officials and development agencies, became a member of State Technical Advisory group, core group member in the Reduction of Total fertility Rate (TFR) under "Bihar Manav Vikas Mission" (a Bihar Human Resource Development Mission, Government of Bihar programme).

[5] Kala azar also known as Visceral Leishmaniasis is caused by bites from female phlebotomine sand flies the vector (or transmitter) of the leishmania parasite.

Vision

Source: http://www.biharvha.org/aboutus.html 23-10-2014

BVHA assists in making community health a reality for all the people of Bihar with priority for the less privileged millions, with their involvement & participation through the voluntary health sector.

Mission

Source: http://www.biharvha.org/aboutus.html 23-10-2014

The mission is to reach to the un-reached through Charitable Hospitals, Dispensaries, Health Centres & Voluntary Organizations/Institutions involved in health promotion and also groups, professionals & individuals engaged & dedicated with some concern in health promotion of the people of Bihar with priority for the less privileged millions with their involvement and participation through the Voluntary Health Sector.

Strategies

1. Support to voluntary organisations (VOs) & Community Based organisations (CBOs):
   a. Educational Programme on health & other health related programmes – through IEC, Mass Education, Exhibitions & Camps and Capacity Building through its scheduled training & also conducting On-Request trainings.
   b. Project Consultancy:
      BVHA does a lot of consultancy for voluntary organisation for project formulation, monitoring, evaluation, survey, data analysis & report writing & also does consultancy services as per T.O.R. mostly on health & related aspects for 7 international donors such as UNICEF, MEMISA etc. BVHA does play a role for pre funding evaluation, monitoring and evaluation.
   c. Information & Documentation & Dissemination of IEC Material Support:
      Knowledge is power & hence BVHA's one of the main strategy for intervention is dissemination of health information & message. It collects health information from various sources like Government, WHO, UNICEF, UNDP, CHAI, CMAI other state VHAs, VHAI & all other sources – and disseminates them as well as it documents health information's collected from paper clipping, books, journals, magazines on health & development. This facility is open for all organisations.
   d. Relief Work:
      BVHA does help in Medical relief to NGOs working in flood, famine areas & also provides training on preparedness.

2. Networking
   The main objective of Networking is to provide synergic strength to the network of VOs working in the health & related sector to act as a united pressure group for proper implementation of health programme & policies as well as to bring positive change at the local, district, regional & state level. Decentralizing the support activities of BVHA respond more to the regional needs & also focusing on major health issues of state at State Level Network Forum. It has 7 regional forums (4 in Bihar and 3 in Jharkhand) and also initiated one State level forum in which other network agencies are also involved which are working or willing to work with the grass root people for raising their health status.

3. Advocacy
   BVHA does Advocacy at various level – for grass-root & field level it advocates for promotion of healthy habits for promotion, prevention & presentation of health through Health Education, IEC and other Mass Education Media. By developing the capacities on NGOs, CBOs Panchayat representatives for policy & programme advocacy for health & related development aspect & also pressurizing & influencing the media, policy makers, legislators through appropriate study & information sharing on health & related issues for pro-people policy development. This is a major activity of BVHA.

BVHA mainly works through its member and non-member organisations in Bihar to create a healthy community. It conducts programmes to build up the capacity of voluntary agencies in Programme Planning, Implementation and Management. It facilitates community health action by promoting social justice in the provision and distribution of health care encouraging voluntary health action of people

and enabling them through various support services so that it addresses their health needs by accessing the Primary Health Services and basic health services rights through community and voluntary organisation's participation. However, the advocacy and liaising with the Government is the major activity of BVHA as the ultimate responsibility of Health is of the State Government.

3 Methodological approach and reflection

3.1 Overall methodological approach and reflection

This chapter describes the methodological design and challenges for the assessment of capacity development of Southern Partner Organisations (SPOs), also called the '5C study'. This 5C study is organised around **four key evaluation questions**:

1. What are the changes in partner organisations' capacity during the 2012-2014 period?
2. To what degree are the changes identified in partner capacity attributable to development interventions undertaken by the MFS II consortia (i.e. measuring effectiveness)?
3. Were the efforts of the MFS II consortia efficient?
4. What factors explain the findings drawn from the questions above?

It has been agreed that the question (3) around efficiency cannot be addressed for this 5C study. The methodological approach for the other three questions is described below. At the end, a methodological reflection is provided.

Note: this methodological approach is applied to 4 countries that the Centre for Development Innovation, Wageningen University and Research centre is involved in in terms of the 5C study (Ethiopia, India, Indonesia, Liberia). The overall approach has been agreed with all the 8 countries selected for this MFS II evaluation. The 5C country teams have been trained and coached on this methodological approach during the evaluation process. Details specific to the SPO are described in chapter 5.1 of the SPO report A detailed overview of the approach is described in appendix 1.

The first (changes in organisational capacity) and the fourth evaluation question are addressed together through:

- **Changes in the 5C indicators since the baseline:** standard indicators have been agreed upon for each of the five capabilities of the five capabilities framework (see appendix 2) and changes between the baseline, and the endline situation have been described. For data collection a mix of data collection methods has been used, including self-assessments by SPO staff; interviews with SPO staff and externals; document review; observation. For data analysis, the Nvivo software program for qualitative data analysis has been used. Final descriptions per indicator and per capability with corresponding scores have been provided.
- **Key organisational capacity changes – 'general causal map':** during the endline workshop a brainstorm has been facilitated to generate the key organisational capacity changes as perceived by the SPO since the baseline, with related underlying causes. For this purpose, a visual as well as a narrative causal map have been described.

In terms of the attribution question (2 and 4), **'process tracing'** is used. This is a theory-based approach that has been applied to a selected number of SPOs since it is a very intensive and costly methodology, although it provides rich information and can generate a lot of learning within the organisations. This approach was presented and agreed-upon during the synthesis workshop on 17-18 June 2013 by the 5C teams for the eight countries of the MFS II evaluation. A more detailed description of the approach was presented during the synthesis workshop in February 2014. The synthesis team, NWO-WOTRO, the country project leaders and the MFS II organisations present at the workshop have accepted this approach. It was agreed that this approach can only be used for a selected number of SPOs since it is a very intensive and costly methodology. Key organisational capacity changes/ outcomes of the SPO were identified, based on their relationship to the two selected capabilities, the capability to act and commit the capability to adapt and self-renew, and an expected relationship with CFA supported capacity development interventions (MFS II funding). It was agreed to focus on these two capabilities, since these are the most targeted capabilities by the CFAs, as established during the baseline process.

Please find below an explanation of how the above-mentioned evaluation questions have been addressed in the 5C evaluation.

At the end of this appendix a brief methodological reflection is provided.

3.2 Assessing changes in organisational capacity and reasons for change - evaluation question 1 and 4

This section describes the data collection and analysis methodology for answering the first evaluation question: **What are the changes in partner organisations' capacity during the 2012-2014 period?** And the fourth evaluation question: **"What factors explain the findings drawn from the questions above?"**

In order to explain the changes in organisational capacity development between baseline and endline (evaluation question 1) the CDI and in-country evaluation teams needed to review the indicators and how they have changed between baseline and endline and what reasons have been provided for this. This is explained below. It has been difficult to find detailed explanations for changes in each of the separate 5c indicators, but the 'general causal map' has provided some ideas about some of the key underlying factors actors and interventions that influence the key organisational capacity changes, as perceived by the SPO staff.

The evaluators considered it important to also note down a consolidated SPO story and this would also provide more information about what the SPO considered to be important in terms of organisational capacity changes since the baseline and how they perceived these key changes to have come about. Whilst this information has not been validated with sources other than SPO staff, it was considered important to understand how the SPOs has perceived changes in the organisation since the baseline.

For those SPOs that are selected for process tracing (evaluation question 2), more in-depth information is provided for the identified key organisational capacity changes and how MFS II supported capacity development interventions as well as other actors, factors and interventions have influenced these changes. This is integrated in the next session on the evaluation question on attribution, as described below and in the appendix 1.

How information was collected and analysed for addressing evaluation question 1 and 4, in terms of description of changes in indicators per capability as well as in terms of the general causal map, based on key organisational capacity changes as perceived by the SPO staff, is further described below.

During the baseline in 2012 information has been collected on each of the 33 agreed upon indicators for organisational capacity. For each of the five capabilities of the 5C framework indicators have been developed as can be seen in Appendix 2. During this 5C baseline, a summary description has been provided for each of these indicators, based on document review and the information provided by staff, the Co-financing Agency (CFA) and other external stakeholders. Also a summary description has been provided for each capability. The results of these can be read in the baseline reports.

The description of indicators for the baseline in 2012 served as the basis for comparison during the endline in 2014. In practice this meant that largely the same categories of respondents (preferably the same respondents as during the baseline) were requested to review the descriptions per indicator and indicate whether and how the endline situation (2014) is different from the described situation in 2012[6].

Per indicator they could indicate whether there was an improvement or deterioration or no change and also describe these changes. Furthermore, per indicator the interviewee could indicate what interventions, actors and other factors explain this change compared to the baseline situation. See

[6] The same categories were used as during the baseline (except beneficiaries, other funders): staff categories including management, programme staff, project staff, monitoring and evaluation staff, field staff, administration staff; stakeholder categories including co-financing agency (CFA), consultants, partners.

below the specific questions that are asked for each of the indicators. Per category of interviewees there is a different list of indicators to be looked at. For example, staff members were presented with a list of all the indicators, whilst external people, for example partners, are presented with a select number of indicators, relevant to the stakeholder.

The information on the indicators was collected in different ways:

1. **Endline workshop at the SPO - self-assessment and 'general causal map'**: similar to data collection during the baseline, different categories of staff (as much as possible the same people as during the baseline) were brought together in a workshop and requested to respond, in their staff category, to the list of questions for each of the indicators (self-assessment sheet). Prior to carrying out the self-assessments, a brainstorming sessions was facilitated to develop a 'general causal map', based on the key organisational capacity changes since the baseline as perceived by SPO staff. Whilst this general causal map is not validated with additional information, it provides a sequential narrative, based on organisational capacity changes as perceived by SPO staff;
2. **Interviews with staff members**: additional to the endline workshop, interviews were held with SPO staff, either to provide more in-depth information on the information provided on the self-assessment formats during the workshop, or as a separate interview for staff members that were not present during the endline workshop;
3. **Interviews with externals**: different formats were developed for different types of external respondents, especially the co-financing agency (CFA), but also partner agencies, and organisational development consultants where possible. These externals were interviewed, either face-to-face or by phone/Skype. The interview sheets were sent to the respondents and if they wanted, these could be filled in digitally and followed up on during the interview;
4. **Document review**: similar to the baseline in 2012, relevant documents were reviewed so as to get information on each indicator. Documents to be reviewed included progress reports, evaluation reports, training reports, etc. (see below) since the baseline in 2012, so as to identify changes in each of the indicators;
5. **Observation**: similar to what was done in 2012, also in 2014 the evaluation team had a list with observable indicators which were to be used for observation during the visit to the SPO.

Below the key steps to assess changes in indicators are described.

Key steps to assess changes in indicators are described

1. Provide the description of indicators in the relevant formats – CDI team
2. Review the descriptions per indicator – in-country team & CDI team
3. Send the formats adapted to the SPO to CFA and SPO – in-country team (formats for SPO) and CDI team (formats for CFA)
4. Collect, upload & code the documents from CFA and SPO in NVivo – CDI team
5. Organise the field visit to the SPO – in-country team
6. Interview the CFA – CDI team
7. Run the endline workshop with the SPO – in-country team
8. Interview SPO staff – in-country team
9. Fill-in observation sheets – in-country team
10. Interview externals – in-country team
11. Upload and auto-code all the formats collected by in-country team and CDI team in NVivo – CDI team
12. Provide to the overview of information per 5c indicator to in-country team – CDI team
13. Analyse data and develop a draft description of the findings per indicator and for the general questions – in-country team
14. Analyse data and develop a final description of the findings per indicator and per capability and for the general questions – CDI team
15. Analyse the information in the general causal map –in-country team and CDI-team

Note: the CDI team include the Dutch 5c country coordinator as well as the overall 5c coordinator for the four countries (Ethiopia, India, Indonesia, Liberia). The 5c country report is based on the separate SPO reports.

Please see appendix 1 for a description of the detailed process and steps.

3.3 Attributing changes in organisational capacity - evaluation question 2 and 4

This section describes the data collection and analysis methodology for answering the second evaluation question*: **To what degree are the changes identified in partner capacity attributable to (capacity) development interventions undertaken by the MFS II consortia*** **(i.e. measuring effectiveness)?** and the fourth evaluation question: **"What factors explain the findings drawn from the questions above?"**

In terms of the attribution question (2), 'process tracing' is used. This is a theory-based approach that has been applied to a selected number of SPOs since it is a very intensive and costly methodology, although it provides rich information and can generate a lot of learning within the organisations. Key organisational capacity changes/ outcomes of the SPO were identified, based on their relationship to the two selected capabilities, the capability to act and commit the capability to adapt and self-renew, and an expected relationship with CFA supported capacity development interventions (MFS II funding). It was agreed to focus on these two capabilities, since these are the most targeted capabilities by the CFAs, as established during the baseline process.

Below, the selection of SPOs for process tracing as well as the different steps involved for process tracing in the selected SPOs, are further explained.

3.3.1 Selection of SPOs for 5C process tracing

Process tracing is a very intensive methodology that is very time and resource consuming (for development and analysis of one final detailed causal map, it takes about 1-2 weeks in total, for different members of the evaluation team). It has been agreed upon during the synthesis workshop on 17-18 June 2013 that only a selected number of SPOs will take part in this process tracing for the purpose of understanding the attribution question. The selection of SPOs is based on the following criteria:

- MFS II support to the SPO has not ended before 2014 (since this would leave us with too small a time difference between intervention and outcome);
- Focus is on the 1-2 capabilities that are targeted most by CFAs in a particular country;
- Both the SPO and the CFA are targeting the same capability, and preferably aim for similar outcomes;
- Maximum one SPO per CFA per country will be included in the process tracing.

The intention was to focus on about 30-50% of the SPOs involved. Please see the tables below for a selection of SPOs per country. Per country, a first table shows the extent to which a CFA targets the five capabilities, which is used to select the capabilities to focus on. A second table presents which SPO is selected, and takes into consideration the selection criteria as mentioned above.

For the detailed results of this selection, in the four countries that CDI is involved in, please see appendix 1. The following SPOs were selected for process tracing:

- Ethiopia: AMREF, ECFA, FSCE, HUNDEE (4/9)
- India: BVHA, COUNT, FFID, SMILE, VTRC (5/10)
- Indonesia: ASB, ECPAT, PtPPMA, YPI, YRBI (5/12)
- Liberia: BSC, RHRAP (2/5).

3.3.2 Key steps in process tracing for the 5C study

In the box below you will find the key steps developed for the 5C process tracing methodology. These steps will be further explained here. Only key staff of the SPO is involved in this process: management; programme/ project staff; and monitoring and evaluation staff, and other staff that could provide information relevant to the identified outcome area/key organisational capacity change. Those SPOs selected for process tracing had a separate endline workshop, in addition to the ' general endline workshop. This workshop was carried out after the initial endline workshop and the interviews during the field visit to the SPO. Where possible, the general and process tracing endline workshop

have been held consecutively, but where possible these workshops were held at different points in time, due to the complex design of the process. Below the detailed steps for the purpose of process tracing are further explained. More information can be found in Appendix 1.

Key steps in process tracing for the 5C study

1. Identify the planned MFS II supported capacity development interventions within the selected capabilities (capability to act and commit and capability to adapt and self-renew) – CDI team
2. Identify the implemented MFS II supported capacity development interventions within the selected capabilities (capability to act and commit and capability to adapt and self-renew) – CDI team
3. Identify initial changes/ outcome areas in these two capabilities – CDI team & in-country team
4. Construct the detailed, initial causal map (theoretical model of change) – CDI team & in-country team
5. Identify types of evidence needed to verify or discard different causal relationships in the model of change – in-country teams, with support from CDI team
6. Collect data to verify or discard causal mechanisms and construct workshop based, detailed causal map (model of change) – in-country team
7. Assess the quality of data and analyse data and develop final detailed causal map (model of change) – in-country team with CDI team
8. Analyse and conclude on findings– CDI team, in collaboration with in-country team

3.3.3 Methodological reflection

Below a few methodological reflections are made by the 5C evaluation team. These can also be found in appendix 1.

Use of the 5 core capabilities framework and qualitative approach: this has proven to a be very useful framework to assess organisational capacity. The five core capabilities provide a comprehensive picture of the capacity of an organisation. The capabilities are interlinked, which was also reflected in the description of standard indicators, that have been developed for the purpose of this 5C evaluation and agreed upon for the eight countries. Using this framework with a mainly qualitative approach has provided rich information for the SPOs and CFAs, and many have indicated this was a useful learning exercise.

Using standard indicators and scores: using standard indicators is useful for comparison purposes. However, the information provided per indicator is very specific to the SPO and therefore makes comparison difficult. Whilst the description of indicators has been useful for the SPO and CFA, it is questionable to what extent indicators can be compared across SPOs since they need to be seen in context, for them to make meaning. In relation to this, one can say that scores that are provided for the indicators, are only relative and cannot show the richness of information as provided in the indicator description. Furthermore, it must be noted that organisations are continuously changing and scores are just a snapshot in time. There cannot be perfect score for this. In hindsight, having rubrics would have been more useful than scores.

General causal map: whilst this general causal map, which is based on key organisational capacity changes and related causes, as perceived by the SPO staff present at the endline workshop, has not been validated with other sources of information except SPO feedback, the 5C evaluation team considers this information important, since it provides the SPO story about how and which changes in the organisation since the baseline, are perceived as being important, and how these changes have come about. This will provide information additional to the information that has been validated when analysing and describing the indicators as well as the information provided through process tracing (selected SPOs). This has proven to be a learning experience for many SPOs.

Using process tracing for dealing with the attribution question: this theory-based and mainly qualitative approach has been chosen to deal with the attribution question, on how the organisational capacity changes in the organisations have come about and what the relationship is with MFS II supported capacity development interventions and other factors. This has proven to be a very useful process, that provided a lot of very rich information. Many SPOs and CFAs have already indicated that they appreciated the richness of information which provided a story about how identified

organisational capacity changes have come about. Whilst this process was intensive for SPOs during the process tracing workshops, many appreciated this to be a learning process that provided useful information on how the organisation can further develop itself. For the evaluation team, this has also been an intensive and time-consuming process, but since it provided rich information in a learning process, the effort was worth it, if SPOs and CFAs find this process and findings useful.

A few remarks need to be made:

- Outcome explaining process tracing is used for this purpose, but has been adapted to the situation since the issues being looked at were very complex in nature.
- Difficulty of verifying each and every single change and causal relationship:
  - Intensity of the process and problems with recall: often the process tracing workshop was done straight after the general endline workshop that has been done for all the SPOs.In some cases, the process tracing endline workshop has been done at a different point in time, which was better for staff involved in this process, since process tracing asks people to think back about changes and how these changes have come about. The word difficulties with recalling some of these changes and how they have come about. See also the next paragraph.
  - Difficulty of assessing changes in knowledge and behaviour: training questionnaire is have been developed, based on Kirkpatrick's model and were specifically tailored to identify not only the interest but also the change in knowledge and skills, behaviour as well as organisational changes as a result of a particular training. The retention ability of individuals, irrespective of their position in the organisation, is often unstable. The 5C evaluation team experienced that it was difficult for people to recall specific trainings, and what they learned from those trainings. Often a change in knowledge, skills and behaviour is a result brought about by a combination of different factors , rather than being traceable to one particular event. The detailed causal maps that have been established, also clearly pointed this. There are many factors at play that make people change their behaviour, and this is not just dependent on training but also internal/personal (motivational) factors as well as factors within the organisation, that stimulate or hinder a person to change behaviour. Understanding how behaviour change works is important when trying to really understand the extent to which behaviour has changed as a result of different factors, actors and interventions. Organisations change because people change and therefore understanding when and how these individuals change behaviour is crucial. Also attrition and change in key organisational positions can contribute considerably to the outcome.

Utilisation of the evaluation

The 5C evaluation team considers it important to also discuss issues around utility of this evaluation. We want to mention just a few.

Design – mainly externally driven and with a focus on accountability and standard indicators and approaches within a limited time frame, and limited budget: this MFS II evaluation is originally based on a design that has been decided by IOB (the independent evaluation office of the Dutch Ministry of Foreign Affairs) and to some extent MFS II organisations. The evaluators have had no influence on the overall design and sampling for the 5C study. In terms of learning, one may question whether the most useful cases have been selected in this sampling process. The focus was very much on a rigorous evaluation carried out by an independent evaluation team. Indicators had to be streamlined across countries. The 5C team was requested to collaborate with the other 5C country teams (Bangladesh, Congo, Pakistan, Uganda) to streamline the methodological approach across the eight sampled countries. Whilst this may have its purpose in terms of synthesising results, the 5C evaluation team has also experienced the difficulty of tailoring the approach to the specific SPOs. The overall evaluation has been mainly accountability driven and was less focused on enhancing learning for improvement. Furthermore, the timeframe has been very small to compare baseline information (2012) with endline information (2014). Changes in organisational capacity may take a long, particularly if they are related to behaviour change. Furthermore, there has been limited budget to carry out the 5C evaluation. For all the four countries (Ethiopia, India, Indonesia, Liberia) that the Centre for Development Innovation, Wageningen University and Research centre has been involved in, the budget has been overspent.

However, the 5C evaluation team has designed an endline process whereby engagement of staff, e.g. in a workshop process was considered important, not only due to the need to collect data, but also to generate learning in the organisation. Furthermore, having general causal maps and detailed causal maps generated by process tracing have provided rich information that many SPOs and CFAs have already appreciated as useful in terms of the findings as well as a learning process.

Another issue that must be mentioned is that additional requests have been added to the country teams during the process of implementation: developing a country based synthesis; questions on design, implementation, and reaching objectives of MFS II funded capacity development interventions, whilst these questions were not in line with the core evaluation questions for the 5C evaluation.

Complexity and inadequate coordination and communication: many actors, both in the Netherlands, as well as in the eight selected countries, have been involved in this evaluation and their roles and responsibilities, were often unclear. For example, 19 MFS II consortia, the internal reference group, the Ministry of Foreign Affairs, Partos, the Joint Evaluation Trust, NWO-Wotro, the evaluators (Netherlands and in-country), 2 external advisory committees, and the steering committee. Not to mention the SPO's and their related partners and consultants. CDI was involved in 4 countries with a total number of 38 SPOs and related CFAs. This complexity influenced communication and coordination, as well as the extent to which learning could take place. Furthermore, there was a distance between the evaluators and the CFAs, since the approach had to be synchronised across countries, and had to adhere to strict guidelines, which were mainly externally formulated and could not be negotiated or discussed for the purpose of tailoring and learning. Feedback on the final results and report had to be provided mainly in written form. In order to enhance utilisation, a final workshop at the SPO to discuss the findings and think through the use with more people than probably the one who reads the report, would have more impact on organisational learning and development. Furthermore, feedback with the CFAs has also not been institutionalised in the evaluation process in the form of learning events. And as mentioned above, the complexity of the evaluation with many actors involved did not enhance learning and thus utilization.

5C Endline process, and in particular thoroughness of process tracing often appreciated as learning process: The SPO perspective has also brought to light a new experience and technique of self-assessment and self-corrective measures for managers. Most SPOs whether part of process tracing or not, deeply appreciated the thoroughness of the methodology and its ability to capture details with robust connectivity. This is a matter of satisfaction and learning for both evaluators and SPOs. Having a process whereby SPO staff were very much engaged in the process of self-assessment and reflection has proven for many to be a learning experience for many, and therefore have enhanced utility of the 5C evaluation.

4 Results

4.1 MFS II supported capacity development interventions

Below an overview of the different MFS II supported capacity development interventions of BVHA that have taken place since 2011 are described. The information is based on the information provided by Simavi.

Table 1
Information about MFS II supported capacity development interventions since baseline

Title of the MFS II supported capacity development intervention	Objectives	Activities	Timing and duration	Budget
Strengthening advocacy capacity including evidence based lobby efforts	To develop the capacity of Partner Organisations on Policy influencing and Policy implementation with focus on SRHR, services/entitlements	Joint planning and training, having a national programme coordinator who advised on advocacy efforts, learning from other partners how they do it:		In the period 2011 till May 2014: Estimated 4500 Euro for BVHA (more than 5 occasions)
		Identifying the advocacy issue, what is advocacy by Simavi and VHAI	21-24 November 2011	
		Advocacy, continuation, what is advocacy by VHAI	18-20 April 2012	
		Advocacy, progress, joint agenda by Simavi	11-12 October 2012	
		Workshop joint advocacy (CINI) and state level visits	April, 7- 9 May and December 2013	
		3 day advocacy workshop: working on state level and national joint agendas by Simavi and Rineke van Dam	19-22 May 2014	
Planning, monitoring and evaluation sessions in workshops, multiple feedback on report, and documents. Training on HMIS; sharing examples from partners	To develop capacity of Partner Organisations on PME	Training and feedback, discussion on formats, explanations on evaluation methodologies, discussions on purpose of monitoring systems		Around 6100 Euro for BVHA (several occasions training was provided). This excludes travel/ accommodation of the facilitators.
		Training given on baseline tools and methodology by Simavi	3 days in March 2011	
		Discussing results of baseline, planning, reporting and OCA's by Simavi and external	21-24 November 2011	

		consultant Planning, discussion on second baseline by Simavi PME - how to measure results; planning 2013 by Simavi PME: how to measure results, discussion on output in annual report by Simavi Preliminary discussion on results, annual planning 2014 by Simavi Analysing results, are we on track, discussion on Midterm evaluation by Simavi	17-18 May 2012 11-12 October 2012 4-6 March 2013 8-10 October 2013 11 March 2014	
Training on SRHR and Comprehensive Sexual Education (CSE) through training sessions, exposure visits, feedback on implementation	To develop capacity of partner organisations on CSE.	All activities related to this contribute to stronger capacity, having more ideas and also feeling comfortably to talk about sensitive issues. Training SRHR with different speakers and topics CSE training for all SRHR alliance partners (basic) by Restless Development Discussion on content of joint SRHR manual (all partners and external facilitator, government staff) Refresher CSE training for all partners (Restless Development and external consultants)	 18 -20 April 2012 24 June 2012 4-6 March 2013 4-6 April 2013	Around 3000 Euro in total, used during several occasions, - Estimation is only for BVHA
Workshop "Accountability and Compliance in Voluntary Sector" At Hotel Dee Emprasa, Esplande, Kolkata Organized by : Credibility Alliance	To develop capacity of Partner Organisations on governance and financial management. Compliance to national regulatory system and to improve transparency in financial management and practices.	•Accountable Governance & processes •Effective Financial Management •Importance and integration of transparency in organisational systems and practices •Recent developments in legal framework & Compliance (New FCRA 2010 and the impending Direct Taxes Code and its implications)	17-18 January 2013	275 Euro
Review Meet at NEEDS covering topics of advocacy, PME and SRHR	Half Yearly review, PME and joint action planning.	Field exposure and Learning- one day. Presentation by PME buddy –SIMAVI and Joint capacity building planning.	10 October 2012	200 Euro

Exchange visit to SRHR YFS clinic of VHAI	To develop capacity of partners in Jharkhand and Bihar to promote ARSH services through government system	Visits to government run ARSH clinics in Ganjam district Odisha.	19 December 2012	300 Euros
Regional meeting Indonesia, focus on SRHR-CSE delivery (Indonesia team, alliance office)	Inter Country Learning Agenda -To learn what different activities (incl. CSE materials) and what approaches are implemented in the several countries' CSE programs. To identify successful strategies and success factors in the implementation of learning materials on SRHR.	CSE Workshop facilitated by Rutgers WPF in Indonesia. Exposure to SRHR Alliance programme in Indonesia. Sharing of experience by Bangladesh, India, Indonesia and Pakistan.	21-24 October 2013	2000 Euros (RWPF funds)

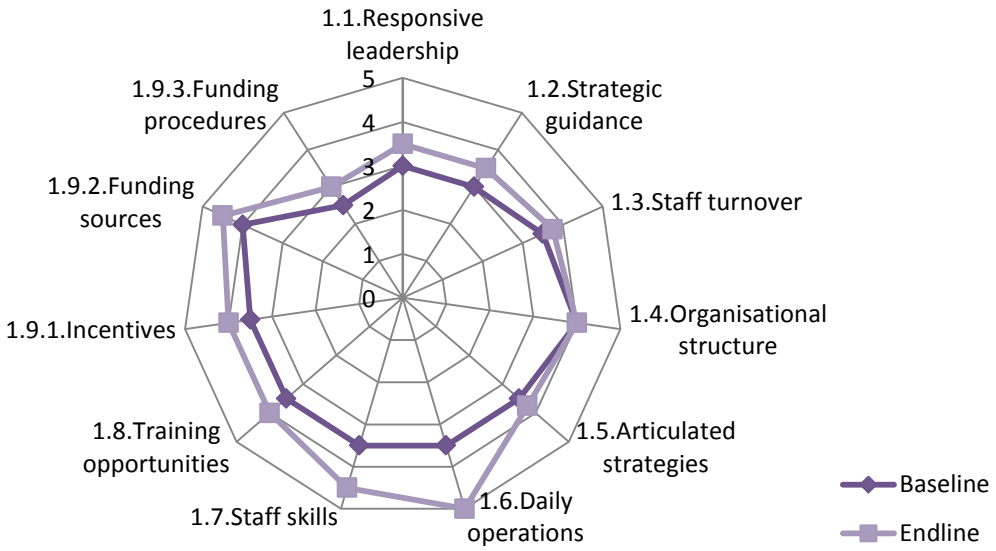
Source: 5C endline_support to capacity development sheet_CFA perspective_India_BVHA

4.2 Changes in capacity and reasons for change - evaluation question 1 and 4

Below you can find a description of the changes in each of the five core capabilities. This information is based on the analysis of the information per each of the indicators. This detailed information for each of the indicators describes the current situation, and how and why it has changed since the baseline. See also annex 3.

4.2.1 Changes in the five core capabilities

Capability to act and commit



The Executive Director is more responsive in his interaction with BVHA's partner organisations. This was initially triggered by a requirement of Simavi. The ED has been given more flexibility by the board to take up new projects and approach new donor agencies by getting more involvement in promotion and fundraising for the organisation. While the governing board still holds most authority for making decisions on funding of the projects and utilisation of funds, the executive director experiences less

opposition from the network members in terms of his strategic guidance to the organisation as he gains more support from the board.

There is still some staff turnover at the project level, where staff has left because of low salaries or better opportunities. The governing board is now looking more within the organisation to fill vacant senior positions and recognise the performance of existing staff by promoting them. This together with the revision of the salary structure after the baseline assessment and discussions with Simavi has improved the incentives of staff to work at BVHA. Other incentives still include freedom at work, skill development through training and the homely environment created by collaboration between staff. BVHA staff members are aware of the organisational structure in BVHA, and a written copy is available.

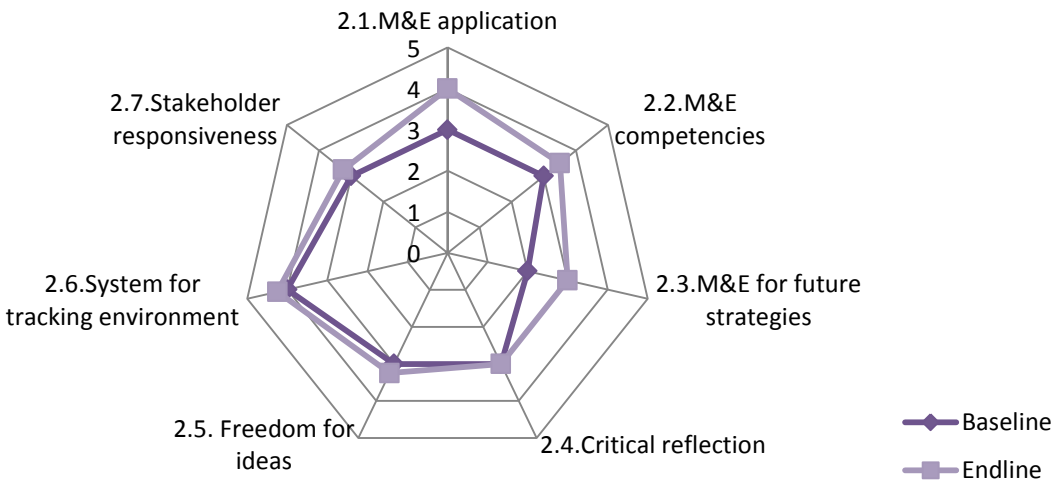
BVHA's strategies are now more based on project outcomes from its M&E system, rather than just on outputs. They continue to involve their target groups and link with like-minded NGOs and the government when formulating strategies. The organisation continues to work with annual, quarterly and monthly work plans and BVHA's work continues to rely on their partners' timeliness. However, partners have improved their timeliness because of the introduction of proper progress monitoring methods in the SRHR project by Simavi, that have had its effect on other project teams as well. Some of the core skills that needed to be upgraded during the baseline, have now been developed. This includes: PME and fundraising but also more specific skills and knowledge on SRHR. The presence of the national coordinator of the SRHR alliance at BVHA has contributed to this. Also all BVHA staff had equal access to more training programmes, as per their programme's need on the topics: SRHR, MIS, success story writing, government schemes, comprehensive sexual education, advocacy, output and outcome indicators, the PC and PNDT Act, financial compliance and communication.

BVHA has increased its visibility because of its involvement in the SRHR project and alliance. This attracted donors like UNFPA, UNICEF, the Population Foundation of India, BMZ-KKS and the government of India and Simavi approving two new projects. They also have other strategies to raise funds which include renting out their training facilities and providing training for paying participants. There are still no written funding procedures, but staff has become more motivated after the revision of the salary structure and better capable to write and send more and better proposals to new donor agencies.

Score baseline: 3.5

Score endline: 4.0 (slight improvement)

Capability to adapt and self-renew



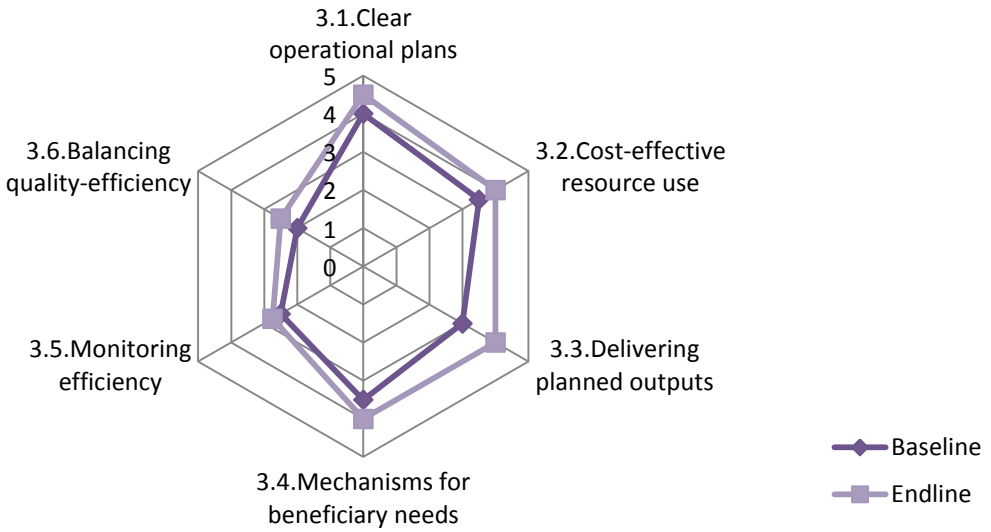
Already during the baseline evaluation, BVHA had a monitoring and evaluation system in place. The M&E is now focussing more on outcomes than during the baseline. This is evident from BVHA's

improved understanding of how to measure outcomes through discussing this within the SRHR alliance and guidance of Simavi. There is an overview of how M&E is organised in the SRHR project which provides very clear instructions on each output and outcome indicator and how to measure it. Use of MIS has also improved since the baseline: MIS formats are in place for advocacy officers and partner organisation for monthly reporting on progress in the SRHR project. While there is still no dedicated M&E person at BVHA, staff skills in M&E have improved with support from the national programme coordinator, PME workshops, individual supervision by Simavi and through inviting M&E experts for in-house training (sometimes funded by other donors). Project officers do most the monitoring of the projects, the Executive Director is now also more pro-actively involved in monitoring. There is more room for making strategic changes based on M&E, because of the focus now also on outcomes, not just outputs. Furthermore, Simavi stimulates this and BVHA has improved its M&E capacity so that they are now better at analysing (also strategic level) data and identifying strategic moves and more effective interventions based on this. Staff can raise issues with their project heads, who are now more empowered to take decisions, during regular monthly meetings or during quarterly governing board meetings. In the monthly meetings staff give a progress update and reflect upon their performance. The Executive Director continues to have limited power which causes delays in communicating decisions to staff and acting upon them. Staff is still free to come up with ideas that are welcomed by the ED. Through encouragement and learning from other organisations BVHA has been coming up with some new ideas like integrating different programmes. Through its involvement in the SRHR alliance, BVHA has improved its networking capability and is now better informed on what is happening in other states, and at national level and can respond proactively. BVHA also gets information through its network members and other NGOs on important new NGO laws and external changes that are then discussed with staff and in board meetings. BVHA continues to be open and responsive to their stakeholders, but this has still not been institutionalised. Inputs of network partners are used to identify projects and BVHA now holds at least two Governing Board Meetings per year so that the board can meet the management and staff of the hosting network organisation and identify their need and expectations from BVHA face to face.

Score baseline: 3.0

Score endline: 3.5 (slight improvement)

Capability to deliver on development objectives



Every project of BVHA still has an operational work plan and budget. BVHA is now more critical and realistic about efficient budget utilisation, asks timely for reallocation due to contextual changes and has improved its operational plans. This led to BVHA's budgets being more realistic now and them being able to implement the plan within the budget. The organisation is still doing its level best to use its resources effectively by keeping an inventory, reducing on mailing and paper costs by using the internet and by using its own facilities for trainings and meetings. As operational plans of BVHA improved, so did the formats to monitor their partners' progress. These are now easier to understand

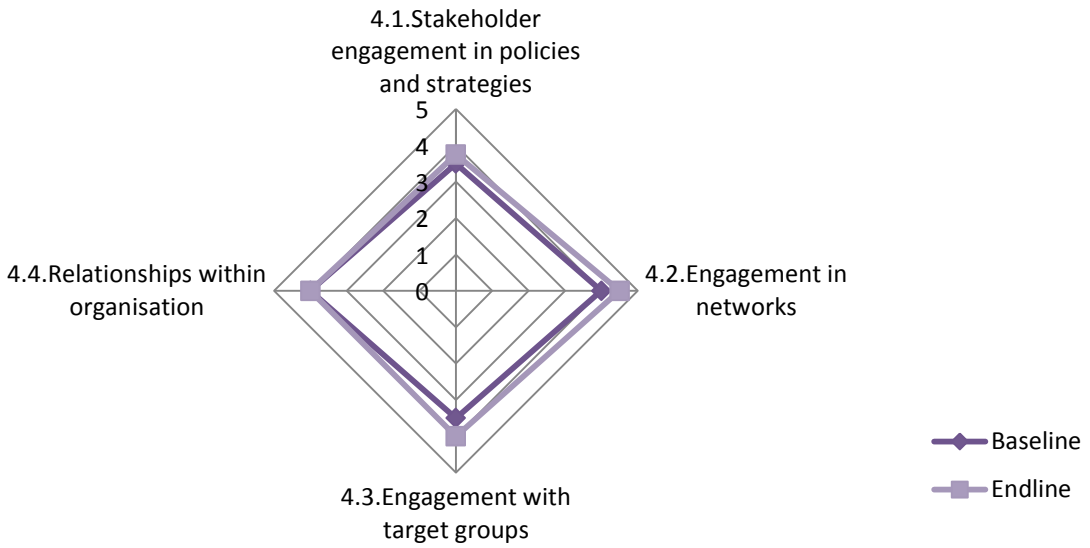
so that the information that reaches BVHA is more accurate and timely. BVHA is now reaching its output and outcome results and has monthly action plans in place through which staff report their progress and follow up on unaccomplished tasks.

In contradiction with the baseline scenario, BVHA now has a structured mechanism in place to verify that services meet beneficiary needs, as Simavi made client opinion and satisfaction surveys part of the monitoring framework for the MFS II funded project. BVHA also assesses the needs of its network partners through formats and regional meetings. There are still no formal input-output ratios calculated in BVHA. Although there are still no formal quality control mechanisms, the monitoring mechanisms of BVHA were strengthened. BVHA is now keener to discuss budget reallocations to increase the effectiveness or quality of their work. Efficiency is also discussed with Simavi through e.g. scaling up in areas where work is going well. Quality control has also been a topic of discussion during SRHR alliance meeting and review meetings with other donors. BVHA is continuously trying to upgrade its quality control.

Score baseline: 3.0

Score endline: 3.5 (slight improvement)

Capability to relate



The Board of BVHA, that is composed of network members, still has an important role in developing policies and strategies together with staff. BVHA still engage partner organisations in planning of projects, but now also involves them in developing M&E formats. A BVHA Programme Advisory Committee has been established that meets every six months to discuss strategies and give directions for effective implementation. An example of a project that was designed participatory is the SRHR initiative that was developed together with BVHA's network partners. The organisational structure of BVHA is based on its engagement with partner organisations. BVHA continued to work in 38 districts of Bihar with 115 members and 300 associated non-members. Over the last two years the main change has been BVHA's increased work on advocacy with different levels of government officials for better SRHR services specifically at the state, district and block level which has led to proper access of the required services for the community. With a view to be in a better position to carry out sustained lobbying and advocacy with policy targets, further capacity strengthening initiatives have been undertaken by BVHA: increased collaboration between SRHR partners; training of partner representatives of SRHR Alliance on CSE and SRHR.

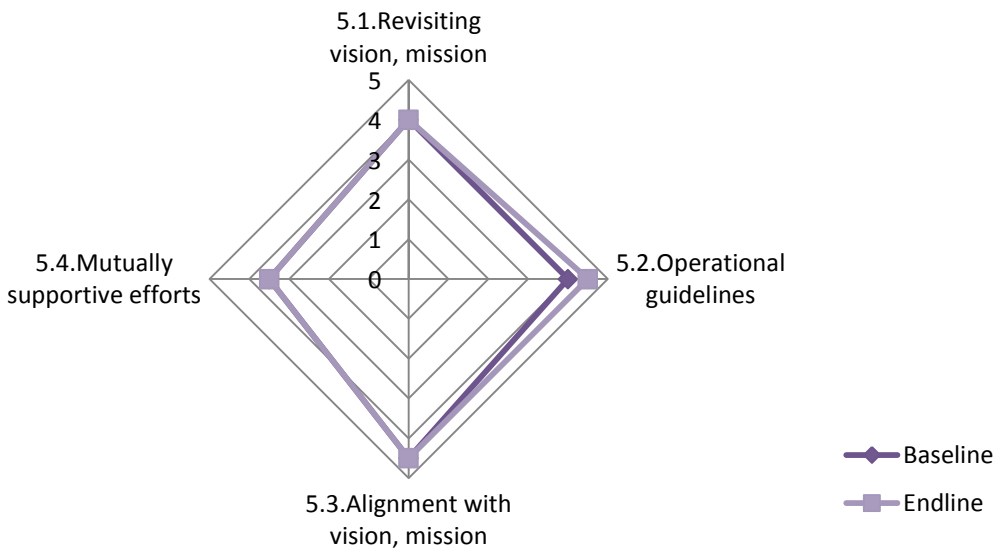
BVHA still works mostly through their network partners which they now visit more frequently (monthly) as this was in the requirements of the MFS II funded project. The Board and Executive Director also took the initiative to visit target groups themselves and make surprise visits. BVHA has also started implementing projects directly and has in that sense increased its interaction with the beneficiaries. Staff continue to be free to share their problems and opinion at any time. Staff can communicate their issues to top management during monthly and quarterly meetings. Issues or

grievances of staff are now first discussed with their immediate supervisors and if it is not solved there, then it is referred to higher level.

Score baseline: 3.75

Score endline: 4.0 (very slight improvement)

Capability to achieve coherence



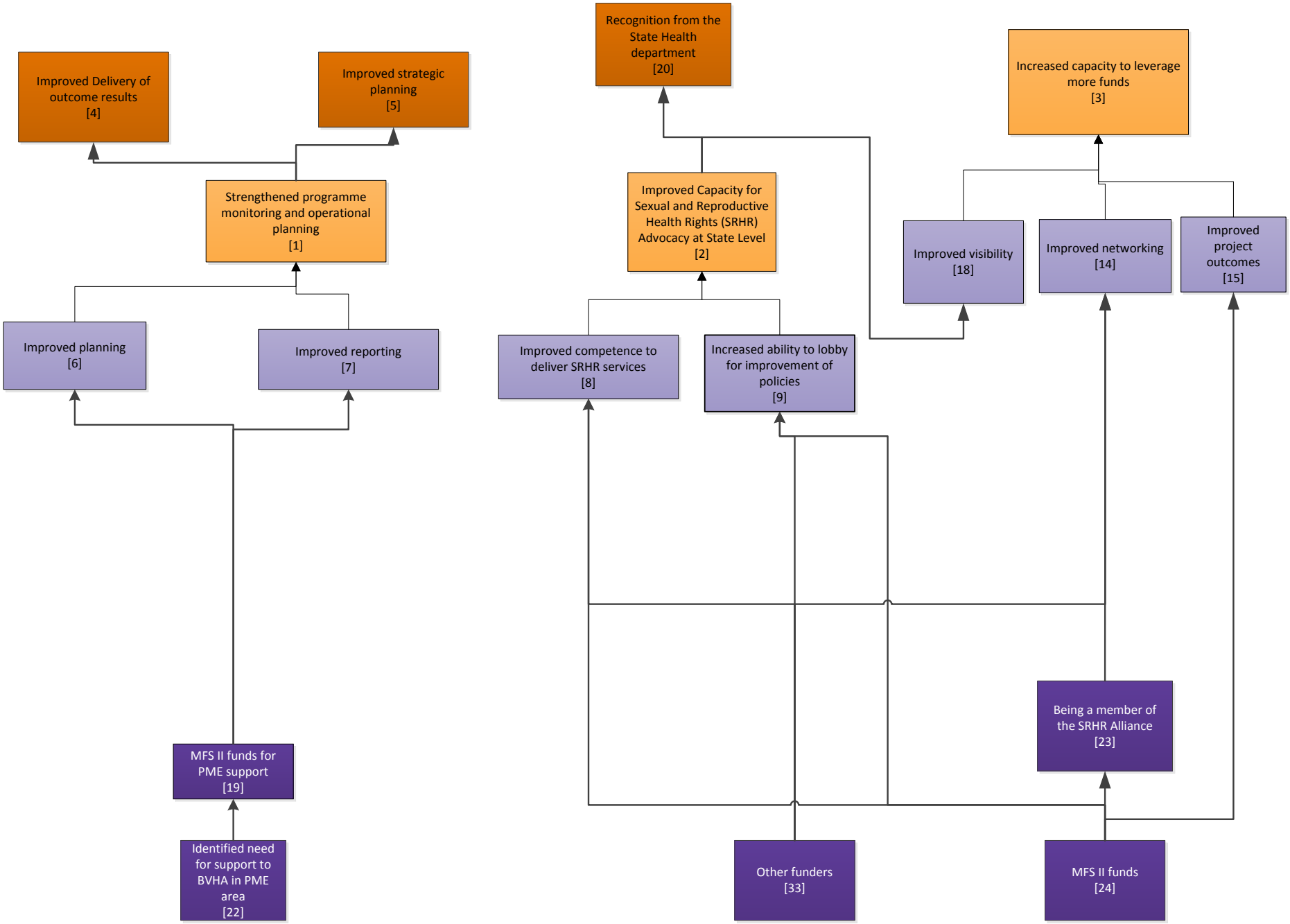
The vision and mission of BVHA have remained the same. BVHA's projects remain to mostly focus on health related issues, where the availability of donor agencies determines the specific issue to focus on. Projects are mutually supportive. Personnel, admin, finance, gender and child protection policies remain in place. There are now detailed technical guidelines for the SRHR project, developed with the SRHR alliance since the baseline. Operations and strategies of BVHA which now include health and livelihoods remain aligned to their vision and mission.

Score baseline: 4.0

Score endline: 4.1 (no change)

4.2.2 General changes in the organisational capacity of the SPO

During the endline workshop at the SPO, a discussion was held around what were the main changes in organisational capacity since the baseline and why these changes have taken place. The discussion was visualised in a general causal map as can be seen below. The narrative for the general causal map is also described below. It gives a more general picture of what was seen as important changes in the organisation since the baseline, and how these changes have come about , and that tells the more general story about the organisational changes in the SPO. The evaluators considered it important to also note down the SPO's story and this would also provide more information about reasons for change, which were difficult to get for the individual indicators. Also for some issues there may not have been relevant indicators available in the list of core indicators provide by the evaluation team.


Improved Delivery of outcome results [4]
Improved strategic planning [5]
Strengthened programme monitoring and operational planning [1]
Improved planning [6]
Improved reporting [7]
MFS II funds for PME support [19]
Identified need for support to BVHA in PME area [22]
Recognition from the State Health department [20]
Increased capacity to leverage more funds [3]
Improved Capacity for Sexual and Reproductive Health Rights (SRHR) Advocacy at State Level [2]
Improved visibility [18]
Improved networking [14]
Improved project outcomes [15]
Improved competence to deliver SRHR services [8]
Increased ability to lobby for improvement of policies [9]
Being a member of the SRHR Alliance [23]
Other funders [33]
MFS II funds [24]

The evaluation team carried out an end line assessment at BVHA from 18 to 20 June 2014. During this workshop, the team made a recap of key features of the organisation in the baseline in 2012 (such as vision, mission, strategies, clients, partnerships). This was the basis for discussing changes that had happened to the organisation since the baseline.

There were three main changes that happened in the organisation since the baseline in 2012:

1. Strengthened programme monitoring and operational planning [1];
2. Improved Capacity for Sexual and Reproductive Health Rights (SRHR) Advocacy at State Level [2];
3. Increased capacity in to leverage more funds [3].

These changes coincided partly with the outcome areas that were chosen for process tracing, so as to get detailed information on how these changes in organisational capacity came about. Therefore the general causal map overlaps strongly with the causal maps developed for each of these outcome areas/organisational capacity changes to be analysed during the process tracing. All the details about these changes in organisational capacity as well as the underlying factors that influenced these changes are described in the narrative and visual below. There is general causal map that explains the overview of these but for the details please see the separate causal maps for improved program monitoring and planning, and the causal map for improved capacity for SRHR advocacy.

The first three main organisational capacity changes are described in the light orange boxes and some of their key consequences are noted above these cards in dark orange. Light purple boxes represent factors and aspects that influence the key organisational capacity changes (in light orange). Key underlying factors that have impacted the organisation are listed at the bottom in dark purple. The numbers in the visual correspond with the numbers in the narrative.

1. Strengthened Programme Monitoring and Operational Planning [1]

Improved planning and monitoring has led to improved delivery on outcome results [4] as well as improved strategic planning [5].

According to the Executive Director, BVHA has strengthened its planning and monitoring activities in the past two years [1]. During the completion of the SRHR project and Oxfam India project, BVHA developed better M&E formats. These formats were shared with their partner organisations for systematic data collection and timely reporting. Through improved planning and monitoring The organisation was thus able to use timely information while planning for future activities. Programme monitoring and operational planning was strengthened because of:

- *Improved planning [6]:* BVHA has improved its planning over the last two years. Strategic planning has improved as "BVHA is now able to identify strategic moves, more effective interventions, such as use of multiple strategies, multi-stakeholder involvement at various levels, use of multimedia IEC strategies."
- *Improved reporting [7]:* BVHA participants that attended the endline workshop indicated that BVHA has improved reporting since the baseline. Evidence of this can be found in Simavi's response to a report submitted by the Project Manager.

2. Improved Capacity for Sexual and Reproductive Health Rights (SRHR) Advocacy at State Level [2]

Over the last two years BVHA has improved its capacity for sexual and reproductive health advocacy at the state level [2]. This has helped BVHA in getting recognition from the State Health department [20] . BVHA has brought up SRHR issues to the attention of the state government which is demonstrated by the examples described here. They wrote an advocacy paper with the objective of ensuring availability and accessibility of comprehensive Sexual and Reproductive Health services for adolescents & women at community and school level.

Improved Capacity for Sexual and Reproductive Health Rights (SRHR) Advocacy at State Level [2] is due to:

- *Improved competence to deliver SRHR services [8]:* BVHA's capacity for Sexual and Reproductive Health Rights (SRHR) Advocacy at State Level [2] occurred because BVHA as an organisation has been in the fore front in delivering SRHR services through its local partner organisations and thus is seen as one of the leading partners to take forward advocacy issues on SRHR. Over the last two years BVHA has improved its competence to deliver SRHR services through its local partner organisations
- *Increased ability to lobby for improvement of policies [9]:* BVHA is in a unique position to be working with a large variety of stakeholders. Thus, BVHA is in a very good position to create a base, generate awareness, harness the critical mass of stakeholders at all levels to carry out lobby and advocacy at the state level, mainly targeting state policies on SRHR.

3. Increased capacity to leverage more funds [3]

The capacity to leverage more funds has increased. Staff of BVHA is highly motivated and tries to go an extra mile to explore new funding opportunities especially with the corporate sector. Now, more new proposals are prepared and sent to different donor agencies the utilization of the BVHA training hall and facilities by other organisations has increased which provides a good source of income for BVHA. This increased due to:

- *Improved visibility [18]:* BVHA's visibility improved because of improved advocacy at state level [2]. Some of the advocacy interventions in the SRHR project have led to BVHA meeting the most senior officials and ministers to discuss on the SRHR issues in Bihar and it has helped for better recognition of BVHA at the state level.
- *Improved networking [14]:* Being a member of the SRHR Alliance , their credibility as SRHR alliance member, and ability to implement a comprehensive SRHR programme has attracted donors . For example UNICEF started funding the Maternal Death Review Project under the project title 'Piloting Review Maternal Death in two districts of Gaya and Purniya, Bihar' since February 2014.
- *Improved project outcomes [15]:* The project "Pre-conception and Prenatal Diagnostic Techniques (PC PNDT)" supported by Simavi since 2009 to 2012 resulted in improved perception of the community regarding female feticide. As a result BVHA could use this project results to leverage funds from the Ministry of Health and Family Welfare, Government of India since 2013 for the "Awareness Building Among communities on Girl Child Survival and PC & PNDT Act" project.

The main underlying causes for these three key organisational changes were:

- *Identified need for support to BVHA in PME area [22]* and the subsequent MFS II funds for PME support [22] have led to all the capacity changes under: strengthened programme monitoring and operational planning [1] through support of Simavi to BVHA mainly by providing feedback and holding biannual PME meetings.
- *Other funders [33]* have funded trainings and meetings that have contributed to improved competence to deliver SRHR services [8], increased ability to lobby for improvement of policies [9] and improved networking [14].
- *(General) MFS II funds [24]* for the SRHR project of BVHA, have allowed BVHA to become a member of the SRHR alliance [23] which has contributed positively to the networking [14] of BVHA.

4.3 Attributing changes in organisational capacity development - evaluation question 2 and 4

Note: for each country about 50% of the SPOs has been chosen to be involved in process tracing, which is the main approach chosen to address evaluation question 2. For more information please also see chapter 3 on methodological approach. For each of these SPOs the focus has been on the capability to act and commit and the capability to adapt and self-renew, since these were the most commonly addressed capabilities when planning MFS II supported capacity development interventions for the SPO.

For each of the MFS II supported capacity development interventions -under these two capabilities- an outcome area has been identified, describing a particular change in terms of organisational capacity of the SPO. Process tracing has been carried out for each outcome area. The following outcome areas have been identified under the capability to act and commit and the capability to adapt and self-renew. Also the MFS II capacity development interventions that could possibly be linked to these outcome areas are described in the table below.

Table 2

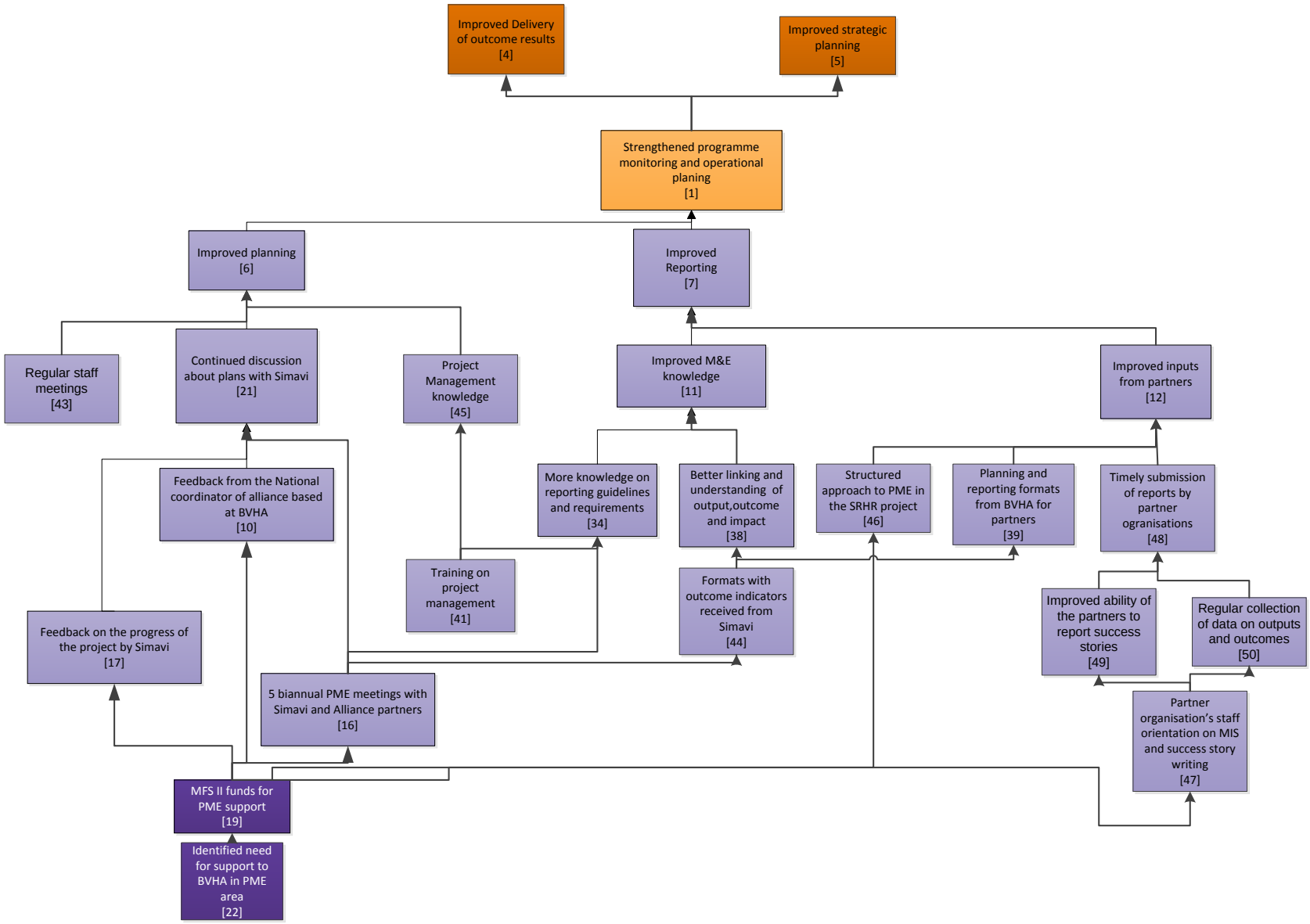
Information on selected capabilities, outcome areas and MFS II supported capacity development interventions since the baseline

Capability	Outcome area	MFS II supported capacity development intervention(2)
Capability to act and commit	Improved Capacity for Sexual and Reproductive Health Rights (SRHR) Advocacy at State Level	Strengthening advocacy capacity including evidence based lobby efforts; Training on SRHR and Comprehensive Sexual Education (CSE) through training sessions, exposure visits, feedback on implementation; Review Meet at NEEDS covering topics of advocacy, PME and SRHR
Capability to adapt and self-renew	Strengthened Programme Monitoring and Operational Planning	Planning, monitoring and evaluation sessions in workshops, multiple feedback on report, and documents. Training on HMIS; sharing examples from partners

The next sections will describe the results of process tracing for each of the outcome areas, and will describe to what extent these outcome areas have taken place as a result of MFS II supported capacity development interventions and/or other related factors and actors.

4.3.1 Strengthened Programme Monitoring and Operational Planning

This is a summary of the final causal map of the key change: improved financial sustainability. For a detailed visual to which the numbers refer and narrative with sources please see Appendix 5.


Improved Delivery of outcome results [4]
Improved strategic planning [5]
Strengthened programme monitoring and operational planing [1]
Improved planning [6]
Improved Reporting [7]
Regular staff meetings [43]
Continued discussion about plans with Simavi [21]
Project Management knowledge [45]
Improved M&E knowledge [11]
Improved inputs from partners [12]
Feedback from the National coordinator of alliance based at BVHA [10]
More knowledge on reporting guidelines and requirements [34]
Better linking and understanding of output,outcome and impact [38]
Structured approach to PME in the SRHR project [46]
Planning and reporting formats from BVHA for partners [39]
Timely submission of reports by partner ogranisations [48]
Training on project management [41]
Formats with outcome indicators received from Simavi [44]
Improved ability of the partners to report success stories [49]
Regular collection of data on outputs and outcomes [50]
Feedback on the progress of the project by Simavi [17]
5 biannual PME meetings with Simavi and Alliance partners [16]
Partner organisation's staff orientation on MIS and success story writing [47]
MFS II funds for PME support [19]
Identified need for support to BVHA in PME area [22]

According to the Executive Director, BVHA has strengthened its planning and monitoring activities in the past two years [1]. During the completion of the SRHR project and Oxfam India project, BVHA developed better M&E formats. These formats were shared with their partner organisations for systematic data collection and timely reporting. Through improved planning and monitoring The organisation was thus able to use timely information while planning for future activities. BVHA is now in the process of developing organisational M&E formats for tracking progress of the programs/projects as and when required.

Improved planning and monitoring has led to **improved delivery on outcome results** [4] as **well as improved strategic planning** [5]. This is evident from the fact that "*During the baseline, the current project was evaluated and they reached the outputs but not the outcomes. Now their outcome results were very good, this indicates improvement"* . The improvement in outcome results has been due to continuous and regular discussions on outputs/ outcomes and planning of achievements with the CFA and support provided through PME workshops.

Strengthened Program monitoring and planning was due to [1]: improved planning [6] and improved reporting [7]. Each of these changes are further discussed below.

Improved planning [6]:

BVHA has improved its planning over the last two years. This is due to having regular staff meetings [43], continued discussion about plans with Simavi [21], and project management knowledge [45]. Strategic planning has improved as *"BVHA is now able to identify strategic moves, more effective interventions, such as use of multiple strategies, multi-stakeholder involvement at various levels, use of multimedia IEC strategies."* And *"Simavi allows for strategic changes. In the case of BVHA, we were not encouraging working with in-school youth, but they lobbied for it, so we revised strategy together. Government was supposed to train midwives but because of insufficient quality, we asked BVHA to step into this issue and organise training"* .

- *Regular staff meetings [43].* Every month, the staff has to present action plans stating details of activities they would be doing in the coming month and staff are also expected to explain the reasons for not fulfilling their stated objectives in the previous month.

- *Continued discussions about plans with Simavi [21]:* The support from Simavi has been in the form of feedback on project progress by Simavi [17], feedback from the National Coordinator [10] based at BVHA and through Biannual PME meetings with Simavi and the Alliance Partners [16].
  - As the National Coordinator of the SRHR alliance has been based in BVHA since February 2012 [10], there has been continued discussion about plans with Simavi [21]. This national coordinator gave constructive feedback to BVHA on plans in order to align them with Simavi's PME requirements.
  - The continued discussions [21] also took place because BVHA received support from Simavi, consisting of feedback on the progress of the project by Simavi [17] as is evident from the program appraisal form.
  - Furthermore, the biannual PME meetings of the alliance partners [16] have helped BVHA to improve its planning. These meetings provided in depth insight into the project interventions and BVHA also received feedback from the Country lead of Simavi and other Alliance members, as well as their experiences and comments to improve the project implementation and strategies. It helped them adopt best practices, strategies etc.

- *Project management knowledge [45].*
  - Trainings such as the 5 Days Course on Project Management [41] at Goa organised and funded by the International Union against Lung Disease and Tuberculosis, New Delhi in which the Executive Director took part equipped the participants with required knowledge and skill on Project Life Cycle, situation analysis, stakeholders analysis, problem tree, cause effect relationship, means-end relationship, objective tree, strategy analysis, log frame analysis, activity detailing, Gantt Chart preparation, SWOT analysis, sustainability plan.

The national coordinator [10], biannual PME meetings [16] and feedback on project progress [17] were all PME support funded by MFS II [19]. Simavi supported the Planning, Monitoring and Evaluation capacity of BVHA in this way because they identified a need for this [22]. BVHA staff articulated their need to be trained in PME. This is evident from the minutes of the meeting of the inception workshop in November 2011.

Improved reporting [7]:

BVHA participants that attended the endline workshop indicated that BVHA has improved reporting since the baseline [7]. Evidence of this can be found in Simavi's response to a report submitted by the Project Manager. The improved reporting is due to improved PME knowledge [11] and improved inputs from partners through reports [12].

- *M&E knowledge improved [11]:* According to the National SRHR Coordinator, BVHA now has got the capacity to develop the M&E System for the SRHR Alliance which other alliance members can adopt. PME knowledge improved because of:
  - More knowledge on reporting guidelines and requirements [34]. Over the period as BVHA gained more knowledge on reporting guidelines and requirements it was capacitated in developing formats that are easy to understand for their network and partner organisations to collect systematic data. It fine-tuned the indicators which resulted in getting information as per the requirements. The staff linked the output, outcome and impact to assess the achievement. Knowledge on reporting guidelines and requirements improved because of a training on project management [41] and feedback, discussion on formats, explanations on evaluation methodologies and discussions on purpose of monitoring during the biannual PME meetings [16]:
    - Training on project management [41]: This training helped BVHA gain more knowledge on reporting guidelines and requirements. For example, they fine tune the indicators to better assess the progress and collect the data as required, the activities and the achievements are better linked to assess the impact.
    - Sharing and reflecting during the biannual PME meetings [16]: In these meetings the alliance members shared and reflected on various issues related to PME such as, reporting requirements of the PME group of the SRHR alliance, monitoring and evaluation requirements, detailed discussion on the field visits in terms of strengths and weaknesses of the project, partners reported on their project highlights, progress, successes and main bottlenecks, etc.
  - Better linking and understanding of output, outcome and impact [38] mainly by BVHA project officer, because of:
    - Formats with outcome indicators were given by Simavi [44] so that BVHA could assess the outcome and impact of the activities of their partners on the ground. Also during the Biannual PME meetings [16] there was detail discussion on how to select outcome indicators, Identifying sources of verification and tools for outcome indicator measurement, monitoring output indicators, etc. It helped the project staff of BVHA to link and better understand outcome and impact.
  - Sharing and reflecting during the biannual PME meetings [16]. During the Biannual PME meeting there is extensive discussion/sharing on monitoring output and outcome indicators, frame work for the outcome and output indicator, identifying sources of verification and tools for outcome indicator measurement, setting up of target indicator for 2015 etc. helped BVHA better linking output, outcome and impact.

- *Improved inputs from partners through reports [12].* BVHA has been implementing the project "Community empowerment on Gender Equity to access Reproductive Health Rights in 2 districts of Bihar" through its partner organizations – Duncan Hospital, Raxaul (East Champaran) and Fakirana Sisters Society, Bettiah (West Champaran).
  - The SRHR project follows a structured approach to PME [46]. There is dedicated staff for M&E: the district coordinator at the field level; the project manager and ED at BVHA are responsible for monitoring and evaluation. Simavi has provided planning and reporting formats that enable BVHA to track all the proposed activities, find reasons for the success or failure of completion of those activities and plan for the next quarter.
  - The partner organisations of BVHA involved in the programme implementation of BVHA were given formats for data collection and reporting [39] which they had received from Simavi [44]. This

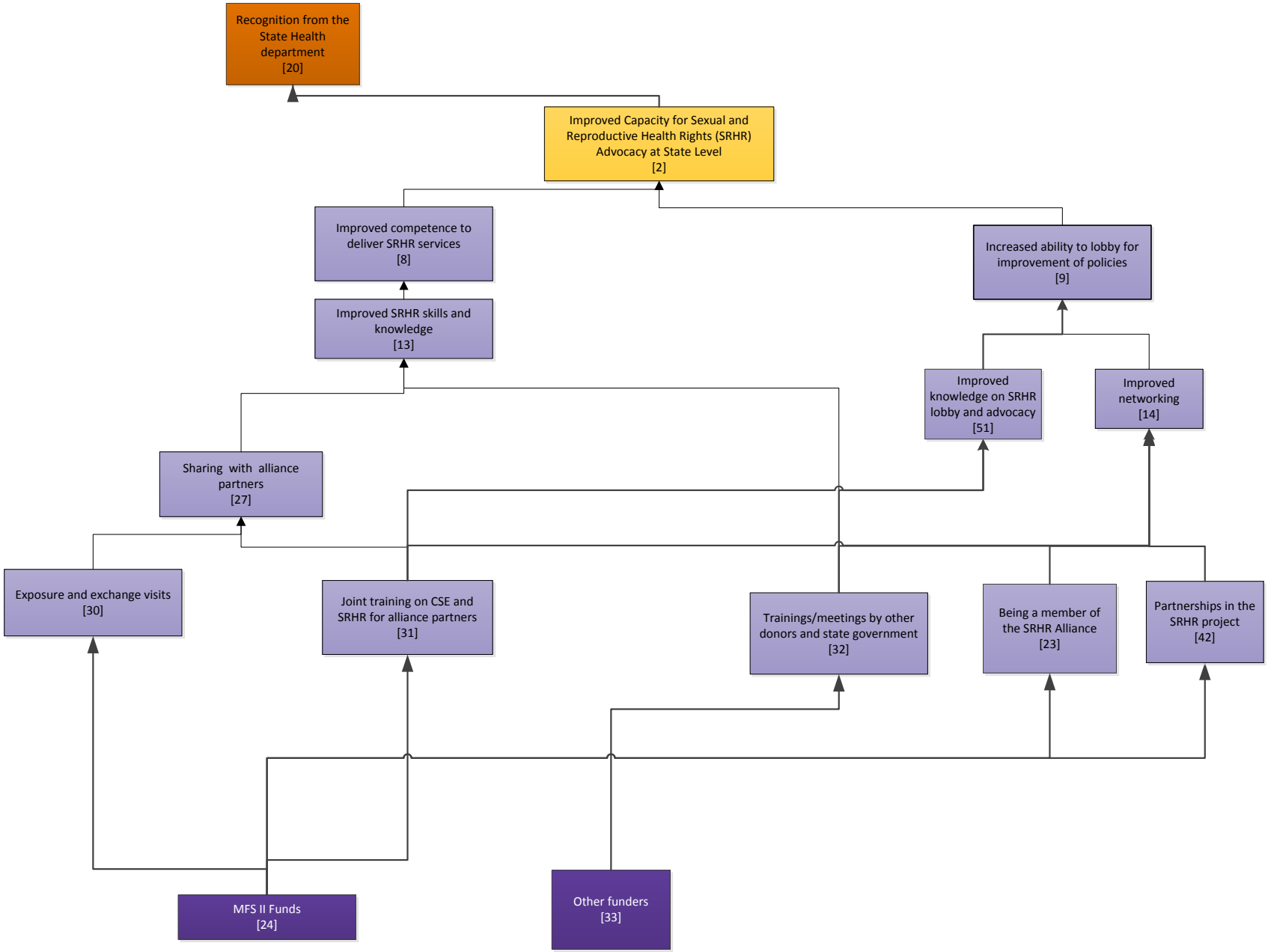
helped the partners not only improve the quality of their data collection but also ensured their timely input.

- There was timely submission of reports [48] with qualitative and quantitative inputs because:
  - The ability of the partners to report success stories improved [49] and
  - There was regular collection of data on outputs and outcomes [50].

Both [49] and [50] were a result of: *Two days orientation of the staff on MIS and success story writing was given to the partner organisations [47]* in September 2012 which further helped the staff of the partner organisation to fill the MIS formats with ease and regularly collect data on output and outcome indicator. This was funded by MFS II as PME support [19].

4.3.2 Improved Capacity for Sexual and Reproductive Health Rights (SRHR) Advocacy at State Level

This is a summary of the final causal map of the key change: improved financial sustainability. For a detailed visual to which the numbers refer and narrative with sources please see Appendix 5.


Recognition from the State Health department [20]
Improved Capacity for Sexual and Reproductive Health Rights (SRHR) Advocacy at State Level [2]
Improved competence to deliver SRHR services [8]
Increased ability to lobby for improvement of policies [9]
Improved SRHR skills and knowledge [13]
Improved knowledge on SRHR lobby and advocacy [51]
Improved networking [14]
Sharing with alliance partners [27]
Exposure and exchange visits [30]
Joint training on CSE and SRHR for alliance partners [31]
Trainings/meetings by other donors and state government [32]
Being a member of the SRHR Alliance [23]
Partnerships in the SRHR project [42]
MFS II Funds [24]
Other funders [33]

Improved Capacity for Sexual and Reproductive Health Rights (SRHR) Advocacy at State Level [2]

Over the last two years BVHA has improved its capacity for sexual and reproductive health advocacy at the state level [2]. This has helped BVHA in getting recognition from the State Health department [20]. BVHA has brought up SRHR issues to the attention of the state government which is demonstrated by the examples described here. They wrote an advocacy paper with the objective of ensuring availability and accessibility of comprehensive Sexual and Reproductive Health services for adolescents & women at community and school level.

Improved Capacity for Sexual and Reproductive Health Rights (SRHR) Advocacy at State Level [2] is due to: improved competence to deliver SRHR services [8] and increased ability to lobby for improvement of policies [9]. Each of these organisational capacity changes and how they have come about is described below.

Improved competence to deliver SRHR services [8]

BVHA's capacity for Sexual and Reproductive Health Rights (SRHR) Advocacy at State Level [2] occurred because BVHA as an organisation has been in the fore front in delivering SRHR services through its local partner organisations and thus is seen as one of the leading partners to take forward advocacy issues on SRHR. Over the last two years BVHA has improved its competence to deliver SRHR services through its local partner organisations [8].

BVHA's competences to deliver SRHR services improved [8] because of **improved SRHR skills and knowledge [13]**. The improved SRHR skills and knowledge are reflected in the special curriculum on Comprehensive Sexuality Education (CSE) which was developed by BVHA in consultation with the Government. BVHA developed a special curriculum for young people on CSE which they used through trained staff for educating young boys and girls and empower them to make their own choices around sexuality and reproduction and claim their rights. SRHR skills and knowledge have improved since the baseline [13] because of sharing with alliance partners [27], trainings and meetings by other donors and state government [32]:

- *Sharing with alliance partners [27].* The continuous interaction and sharing of experiences of BVHA with the alliance partners through exposure visits and trainings in their respective target areas helped BVHA improve their SRHR knowledge and skills. These learnings were then shared with their partner organisations to improve programme implementation. Some details of the interactions with the alliance partners are given below:
  - Exchange and exposure visits [30]:
    - Exchange visit to NEEDS covering SRHR 10 October 2012. The aim of the visit to NEEDS- SRHR project was to share experiences, to understand the different project strategies; to give recommendations to the project, to identify strengths that can be replicated. NEEDS showed their community approach in SRHR, and innovations through mobile phone for SRHR. This visit helped in better program implementation and desired outcomes. They identified SRHR issues for advocacy, and program strengths that could be used by them for program implementation. This was funded by MFS II [24].
    - Exposure visit to SRHR-YFS/ARSHC clinic of VHAI 19 December 2012. The objective was to use the learning from the ARSH clinic visit to replicate it in developing adolescent reproductive health clinic services in the government system as well as bringing about improvement in the quality of the clinic. The Executive Director of BVHA could get a basic understanding of adolescent health problems, counselling techniques, how to establish and run such clinics, how to convince the government to take up such an initiative, and how to link with HIV testing and counselling centres and its linkages with the project at community level. This was funded by MFS II [24].
  - Joint training on CSE and SRHR for alliance partners [31]:
    - Meeting for Capacity Building of SRHR Alliance Partners' staff on18-20 April 2012 in Delhi funded by MFS II. The aim was to improve the capacities of the alliance partners on SRHR by providing them technical information to be used later for training their field partners:

understanding the concept of "Sex and Sexuality," female reproductive system and the various methods of contraception. This was funded by MFS II [24].

- Regional meeting Indonesia, focus on SRHR-CSE delivery (Indonesia team, alliance office) in November 2013. The Executive Director of BVHA and the program manager went to Indonesia to see how their alliance partners worked with authorities on creating an enabling environment for Comprehensive Sexuality Education (CSE) activities and how the CSE curriculum was being implemented and benefiting a Muslim setting. This was funded by MFS II [24].
- Training on Comprehensive Sexuality Education (CSE): 3 days for project staff in April 2013. A refresher training of partners' staff in the SRHR alliance of India was facilitated by Restless Development India on Sexual and Reproductive Health Rights and on Adolescence Health care in Bihar Voluntary Health Association (BVHA), Patna. This was funded by MFS II [24].
- Discussion on content of joint SRHR manual (all partners and external facilitator, government staff) 5th March 2013. The objective of this meeting was to finalise the SRHR manual, initiated by VHAI and reviewed by a consultant. BVHA has contributed in developing the SRHR Guidelines which has now been turned into a Manual. This manual is used by all alliance partners. This was funded by MFS II [24].
- Comprehensive Sexuality Education (CSE) training for all partners (basic) by Restless Development in 25-29 June 2012. This training involved introduction to SRHR and 10 life skills through discussion, case study (field level), sharing and learning, physical, psychological and social changes during adolescence, male & female reproductive system, menstrual hygiene STI, HIV, gender, sex and sexuality; sexual abuse; pregnancy, miscarriage, unwanted pregnancy; ANC, PNC; preparation for delivery. This was funded by MFS II [24].
- Participation in trainings and meetings funded and organised by other donors and state government [32].

BVHA staff participated in various workshops, seminars, training programs related to SRHR organized by Government of Bihar (department of health) and other development agencies such as Population Foundation of India [33]:

- Meeting on Repositioning of Family Planning by Population Foundation of India (PFI), New Delhi on Dec. 2012. A half day workshop was organized by PFI. Here discussions were held around repositioning of family planning within a woman's empowerment and human rights framework so that every family is a planned family and every child is a wanted, healthy child. The staff of BVHA (Executive Director and Advocacy Officer, SRHR Project) learned about improving the quality of care of family planning and reproductive health, preventing sex selection, family planning and reproductive health services, spacing between births etc.

Increased ability to lobby for improvement of policies [9]

BVHA is in a unique position to be working with a large variety of stakeholders. These include NGOs and their workers, network organizations, state level SRHR Alliance members, frontline health service providers, Village Health and Sanitation Committee at Panchayat level, target population in need for SRHR services adolescents both male and female, newlywed couples, eligible couples[7], District and Block level, PRI representatives at Panchayat level, mixed stake holders (religious leaders, opinion leaders, School teacher and other local identified reputed people), Self Help Groups for Dalit Women. Thus, BVHA is in a very good position to create a base, generate awareness, harness the critical mass of stakeholders at all levels to carry out lobby and advocacy at the state level, mainly targeting state policies on SRHR.

The increased ability to lobby is due to **improved knowledge on SRHR lobby and advocacy [51]** and **improved networking [14].**

7 An eligible couple in India is a currently married couple wherein the wife is in the reproductive age, which is generally assumed to lie between the ages of 15-45 years. Such couples are target groups for family planning services.

- *Improved knowledge on SRHR lobbying and advocacy [51]* was mainly the result of joint training on CSE and SRHR for Alliance partners [31] and trainings/meetings from other donors and state government [32]:
  - The joint trainings on CSE and SRHR for Alliance partners [31] included capacity development of the alliance partners on the following issues: to identify and analyse advocacy issues, key strategies, building advocacy skills and for developing a work plan, to understand how a joint advocacy agenda defines a shared ambition which gives greater opportunities for reaching different stakeholders. The importance of identifying active key players and how to engage them in advocacy. This was funded by MFS II [24].
  - The trainings/meetings from other donors and state government [32] included:
    - Workshop on WASH was organized by Wada Na Todo Abhiyan at A.N.Sinha Institute, Patna on 12th December, 2012. The aim was to develop effective and communicative tools for awareness building program to mobilise, sensitize and motivate people to lobby for their rights as well as the discussions on various food security issues, nutrition for pregnant and lactating women etc., led to a common understanding to create a civil society force for advocacy with government to develop policy and plans in the interest of common people.
    - Workshop on Bitiya Bachao –Manavta Bachao Aandolan was organized by Action Aid, Patna on 26th December, 2012. This training enabled the staff to organize a meeting in January 2013 with the Minister of Health of the Government of Bihar to discuss on infant mortality rates, maternal mortality rates, sex selective abortion including Save the Girl Child. Thus networking with the government improved considerably and improved BVHA's ability to lobby.
  - The improved networking [14] occurred also, as a result of training by other donors [32], BVHA being a member of the SRHR Alliance [23] and partnerships in the SRHR project [42]. These are further explained below:
    - Being a member of the SRHR Alliance [23] (through the Simavi supported projects under MFS II [24]). BVHA is an active part of the India SRHR Alliance which is continuously working on the SRHR related issues to advocate at national, state and district level. Several issues are jointly identified which are common in the three states involved in the alliance and strategies have been developed to address them. Besides that, BVHA is an active member of the Wada Na Toda Abhiyan[8] Bihar and India Chapter. Many health issues were discussed with the community people in 16 MP (Member of Parliament) constituencies of Bihar and accordingly these issues were compiled and submitted to concerned Political Parties for inclusion in their Political Manifesto. Many of the issues are now included.
    - Partnerships in the SRHR project [42], which is MFS II funded [24], is another reason for improved networking. At the state level, BVHA formed the State level SRHR forum under the chairmanship of the Government authority and other international agencies such as Pathfinder International, Care-India, Population Foundation of India, two network partners, two SRHR Alliance partners and renowned NGOs at Patna. The government of Bihar recognizes BVHA as a member of the State Technical Advisory group in Bihar. Further BVHA is the member of the state level thematic sub groups on Total Fertility Rates (TFR), Maternal Mortality Rates (MMR) and Infant Mortality Rates (IMR) for policy level changes. At the district level too an SRHR forum was formed that liaised with District level authorities on SRHR issues such as Maternal Death Review, Rogi Kalyan Samitis (RKS, i.e. health facility management committees) orientation, Gaps in service delivery
    - Participation in trainings and meetings funded and organised by other donors and state government [32].
  - BVHA staff participated in various workshops, seminars, training programs related to SRHR organized by Government of Bihar (department of health) and other development agencies such as Population Foundation of India, Magic Bus India, World vision, Oxfam India, Future groups etc. [33]:
    - Meeting on Repositioning of Family Planning by Population Foundation of India (PFI), New Delhi in Dec. 2012.

[8] Wada Na Todo ABHIYAN (WNTA) is a national campaign to hold the government accountable to its promise to end poverty and social exclusion

- Workshop on WASH was organized by Wada Na Todo Abhiyan at A.N.Sinha Institute, Patna on 12th December, 2012. The aim was to develop effective and communicative tools for awareness building program as well as multi-departmental coordination approaches. This created a platform for various civil society organisations to come together and form a task force to lobby and advocacy with government and other policy makers for various health related policies.
- Workshop on Bitiya Bachao –Manavta Bachao Aandolan was organized by Action Aid, Patna on 26th December, 2012. This training enabled the staff to organize meeting on January 2013 with health minister, Government of Bihar to discuss on IMR, MMR, sex selective abortion including Save the Girl Child. This also served as a preparatory meeting to organize 3day events to sensitize the people on the above mentioned issues. Due to this workshop, networking with the government improved considerably for BVHA to participate in the strategic planning for health development in Bihar.

5 Discussion and conclusion

5.1 Methodological issues

In order to get detailed information on the capacity development of the staff, self–assessment forms were filled in by the management (Executive Director), programme staff (Project Manager SRHR Project, Project Manager KKS Project, Project Manager MDR Project, Advocacy Officer SRHR Project) and HR/Admin staff (Administrator, Assistant Accountant). The agreed questionnaire was aimed at teasing out information from various levels of staff without putting them in any awkward situation. The modified and nuanced repetition of questions when translated to an audience not properly exposed to the English language, created a sense of repetitiveness. Evaluators tried to resolve this, by clarifying the responses by a follow-up interview.

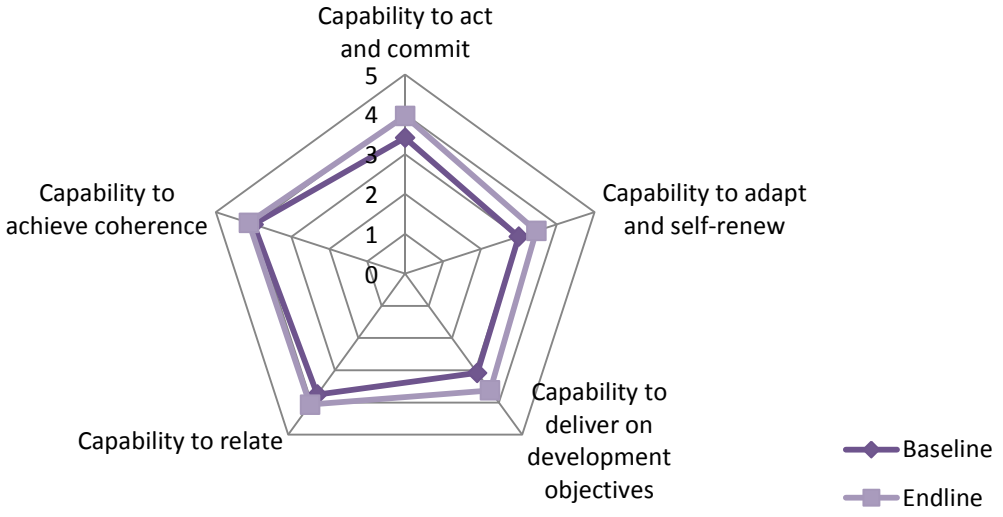
In the endline workshop, staff of BVHA who participated in the baseline workshop in 2012 was present, except for Project Manager KKS project and Assistant Accountant. As a result, the staff faced no difficulty in identifying the key organisational capacity changes in developing a general causal map. Two Organisational Development (OD) consultants were interviewed which provided deeper insight into the organisation with regard to its structure, MIS system, documentation, leadership, financial management, reputation and ability to deliver etc. The chairman of the State Level SRHR forum could not outline the details regarding the changes in the organisation over the period as he was only involved in giving technical and analytical inputs in the SRHR project. The national coordinator for the SRHR alliance highlighted BVHA's improved knowledge and skill in M&E system and improved leadership which led to better networking and funding opportunities. Two of BVHA's implementing partners were interviewed, who gave a deeper insight into the improved capacity of the organisation (BVHA) and its relationship with the partners/government.

In relation to process tracing, training questionnaires were filled in for the relevant trainings under MFS II supported funding. However, for the staff it was sometimes difficult to recall what they learnt during a specific training as they were exposed to various training programmes and exposure visits (both under MFSII programme and others) which at times were overlapping in themes and it was difficult for staff at all levels to know which training was sponsored by which donor. Therefore, the observed changes are attributed to various factors beyond a specific training programme.
The training questionnaires provided details such as: knowledge acquired and skill developed by the staff and its impact on the organisational capacity. Training questionnaires were filled in for most of the trainings under MFS II interventions for BVHA such as: 1) Exchange visit to NEEDS covering PME, Advocacy and SRHR in Deoghar; 2) Exposure visit to Adolescent Reproductive & Sexual Health Clinic in Ganjam, Odissa; 3) Regional meeting Indonesia, focus on SRHR-CSE delivery (Indonesia team, alliance office); 4) Comprehensive Sexual Education (CSE) training all partners (basic) by Restless Development; 5) 2 day Orientation of the staff on MIS and success story writing;6) Workshop joint advocacy and state level visit (CINI).

5.2 Changes in organisational capacity

This section aims to provide an answer to the first and fourth evaluation questions:

1. *What are the changes in partner organisations' capacity during the 2012-2014 period?*
4. *What factors explain the findings drawn from the questions above?*



Whilst changes took place in four of the five core capabilities, in some indicators the improvements were more pronounced than in others Below the changes in each of the capabilities are further explained, by referring to the specific indicators that changed.

Over the last two years most improvements took place in the indicators under the capability to act and commit. Many of these were said to be triggered by donor requirements in general and for the SRHR project by Simavi in specific. The Executive Director became more responsive to BVHA's partner organisations. This was something that was triggered by discussions with Simavi. The ED is now experiencing that by being more responsive and cooperative he is also facing less opposition form the network members in the board. BVHA has taken the step to look to promote existing staff when a vacancy for a higher level position needs to be filled. This has helped in the motivation of staff. With regards to financial incentives, Simavi has had discussions with BVHA so that now they adhere to the government standard for salaries. The strategies that BVHA articulates are now not only based on M&E findings on the output level but also on the outcome level. Their operation plans have become more professional, because BVHA now has formats in place that are easier to understand for their partner organisations and has also trained their partners in this. Getting better inputs from their partners facilitates making better operational plans. This is the case for the SRHR project, but it has also influenced how BVHA works in its other projects. Staff have improved their skills in SRHRS, advocacy, record keeping in PME and in finance matters. The national coordinator of the SRHR alliance, who is based at BVHA and funded by MFSII has played a vital role in this by providing continuous discussions and feedback on these topics. In the SRHR project staff have been able to partake in many exposure visits, meeting and trainings, also funded by the government and other donors. Regarding its funding situation, BVHA has a pretty diversified resource base, as they receive funding from six different donors and are looking into possibilities of getting funding through the CSR Act and the government. Staff has become more motivated to explore these new funding opportunities and has also gotten better at writing proposals and looking at innovative funding strategies.

In the capability to adapt and self-renew BVHA has also improved slightly in various indicators. Through the MFSII funded biannual PME meetings, specific workshops and feedback from the national coordinator and Simavi, BVHA learned about a variety of monitoring tools to measure outcomes. The M&E in the SRHR project is organised in a very structured way and has been discussed through during the biannual PME meetings. BVHA now has MIS formats in place that are easy to understand for their partners at different levels in the project. Because of all this BVHA staff has become more expert in PME, they are better in designing formats and analysing the data that is collected. Through this improved PME system BVHA is better able to base its strategic moves on the M&E findings. Through the meetings with other SHRS alliance partners, BVHA has got some new ideas, including on M&E by learning from others. In the SRHR alliance and its other networks BVHA is better connected to stay abreast of the development in their operating environment of which they also inform their network

members. BVHA tries to be more responsive to their network member by holding at least two Governing Board meetings per year in the location of the members.

In terms of the capability to deliver on development objectives , there has been some improvements. Because of Simavi's requirements and feedback on the annual plans of BVHA, they have become more critical and realistic in their budget utilisation which has also led to better operational plans. BVHA is working more cost-effectively as they cut costs through using their own facilities for trainings and using technology to avoid printing costs. BVHA has also improved in formalising its mechanisms through which they make sure that their services meet their beneficiaries needs. They have feedback questionnaires in place for this. Through improved monitoring formats BVHA can now better see what has been achieved and is also reaching more of their planned outputs and now also outcomes. Finally, staff have gained a better understanding of the log frames that are used in its projects.

In the capability to relate BVHA has somewhat improved. They now involve their partners in the planning, implementation and M&E design phases of their projects. BVHA has improved on their networks as they are part of at least 10 networks at national, state and district levels. They are working more with the government on different levels, e.g. through their State level SRHR forum and are very active in the SRHR alliance. On Simavi's request, BVHA's Executive Director and Board members are now paying more visits to the target groups.

Finally, BVHA has slightly improved in one of the indicators in the capability to achieve coherence as they now have detailed guidelines on SRHR which was much needed in the SRHR project.

During the endline workshop some key organisational capacity changes were brought up by BVHA's staff: strengthened programme monitoring and operational planning, improved capacity for Sexual and Reproductive Health Rights (SRHR) advocacy at state level and increased capacity in to leverage more funds. The evaluators considered it important to also note down the SPO's story and this would also provide more information about reasons for change, which were difficult to get for the individual indicators. Also for some issues there may not have been relevant indicators available in the list of core indicators provide by the evaluation team. These changes happened to partly overlap with the key changes that were selected for process tracing. The increased capacity to leverage funding was not linked to a MFS II supported capacity development intervention and thus not selected for process tracing. This capacity increased because of improved visibility, due to improved SRHR advocacy at state level; improved networking, due to being a member of the SRHR Alliance (MFS II funded); and due to improved project outcomes (mostly of MFS II funded projects).

The funding of Simavi, especially the funding for PME support, has led to many of the changes mentioned above and also to the first key organisational capacity change. The active involvement of BVHA in the SRHR alliance, through their MFS II funded SRHR project, has also been very important for both key organisational capacity changes and comes back in many of the other changes mentioned above. This will further be explained below in 5.3.

5.3 Attributing changes in organisational capacity to MFS II

This section aims to provide an answer to the second and fourth evaluation questions:

2. *To what degree are the changes identified in partner capacity attributable to development interventions undertaken by the MFS II consortia (i.e. measuring effectiveness)?*
4. *What factors explain the findings drawn from the questions above?*

To address the question of attribution it was agreed that for all the countries in the 5C study, the focus would be on the capability to act and commit and the capability to adapt and self-renew, with a focus on MFS II supported organisational capacity development interventions that were possibly related to these capabilities. 'Process tracing' was used to get more detailed information about the changes in these capabilities that were possibly related to the specific MFS II capacity development interventions. The organisational capacity changes that were focused on were:

- Strengthened programme monitoring and operational planning;
- Improved capacity for Sexual and Reproductive Health and Rights (SRHR) Advocacy at state level.

The first organisational change area falls under the capability to adapt and self-renew, while the second one falls under the capability to act and commit. The organisational capacity change areas that were chosen are based on document review as well as discussions with the SPO and CFA.

Each of these organisational capacity changes is further discussed below.

The following issues are discussed for the MFS II funded activities that are related to the above mentioned organisational capacity changes:

a. Design: the extent to which the MFS II supported capacity development intervention was well-designed. (Key criteria: relevance to the SPO; SMART objectives)
b. Implementation: the extent to which the MFS II supported capacity development was implemented as designed (key criteria: design, according to plans during the baseline);
c. Reaching objectives: the extent to which the MFS II capacity development intervention reached all its objectives (key criteria: immediate and long-term objectives, as formulated during the baseline);
d. the extent to which the observed results are attributable to the identified MFS II supported capacity development intervention (reference made to detailed causal map, based on 'process tracing').

Please note that whilst (d) addresses the evaluation question related to attribution (evaluation question 2), the other three issues (a, b and c) have been added by the synthesis team as additional reporting requirements. This was done when fieldwork for the endline process had already started.

Strengthened programme monitoring and operational planning

The following MFS II capacity development interventions were linked to the key organisational capacity, change "strengthened programme monitoring and operational planning":

1. Biannual PME meetings of the alliance partners (planned during the baseline and details provided during the endline); and
2. Feedback by Simavi on progress of the SRHR project (not specifically planned during the baseline and nog details provided during the endline).

Below the intervention will be discussed that was planned during the baseline and for which details were provided during the endline. The capacity development interventions for which no objectives have been provided during baseline or endline will only be discussed when addressing the attribution question (here: feedback by Simavi).

5 Biannual PME meetings of the alliance partners;

Design

During the baseline it was planned to have "continued capacity development in planning and monitoring for two staff members two times in 2012." The immediate objectives of these interventions were to ensure that "key staff is able to provide detailed and consistent project related plans and to understand monitoring on outputs and outcomes." The long term objective the CFA formulated was: "better project design and implementation to be able to achieve and demonstrate results." The agenda and minutes of the 5 biannual meetings that took place during 2012 and 2014 were shared. The PME meetings seemed to be designed well for achieving their objectives.

These objectives were relevant for BVHA. During the baseline workshop they formulated five conditions that needed to be in place in order for them to strengthen their position as a "State Health Resource Centre" in Bihar. One of these conditions was "Strengthened program monitoring and evaluation." The understanding of monitoring on outputs and outcomes is very much related to this condition that BVHA formulated.

These objectives were not formulated in a SMART way (specific, measurable, achievable, relevant and time-bound). Then again, the evaluation team did not ask the CFA for SMART objectives specifically,

but rather asked about the expected or observed immediate and long term effects of the interventions.

Implementation
This intervention was partly planned during the baseline in 2012. By then it was planned to have continued capacity development in planning and monitoring for two staff members, two times in 2012. The capacity development plans by the CFA for the SPO for 2013 were still in the making. The PME meetings took place two times a year: 17-18 May 2012, 11-12 October 2012, 4-6 March 2013, 8-10 October 2013 and on 11 March 2014. No judgement can be made on whether this intervention was implemented as designed, since the design was not completely known during baseline, and its objectives were not described in a SMART way. Looking at the agendas and minutes for the meetings, what happened during the meetings seems to match what has been planned in the meetings' agendas.

Reaching objectives
The focus of this evaluation has been the role of the MFS II funded capacity development interventions in the key organisational capacity changes that were identified. The 5 biannual PME meetings came up in the map and narrative on the organisational capacity change: strengthened programme monitoring and operational planning. In this regard we can conclude that these meetings led to continued discussions about plans with Simavi (which led to improved planning), receiving formats with outcome indicators (which further improved BVHA's M&E knowledge) and to more knowledge on reporting guidelines and requirements.

Though not the focus of this evaluation, we can conclude to some extent whether the expected immediate and long-term objectives of this intervention as formulated during the baseline have been achieved. The immediate objectives: "key staff is able to provide detailed and consistent project related plans and to understand monitoring on outputs and outcomes, " were achieved. The CFA observed that development of monitoring tools, documentation of results, case studies and the ability to do baseline and compare to midterm, improved. The long term objective: "better project design and implementation to be able to achieve and demonstrate results" has been achieved to some extent as BVHA has improved its reports (demonstrating results), according to Simavi. Achieving results has also improved, at least for the SRHR project. BVHA is reaching or even surpassing the targets that are set for output indicators in the different result areas, such as civil society strengthening, MDGs and increased capacity of partner organisations.

Attribution of observed results to MFS II capacity development interventions
The strengthening of BVHA's programme monitoring and operational planning in the SRHR project was due to improved planning and improved reporting (also see section 4.3).

The improved planning can be partly attributed to MFS II as improved planning was due to regular staff meetings (in which MFS II funding had no direct role), continued discussions about plans with Simavi (in the MFS II funded project) and project management knowledge (no direct role for MFS II). The continued discussions about plans with Simavi can be fully attributed to MFS II as these continued discussions consisted of feedback from Simavi on the MFS II funded project progress, feedback from the national coordinator of the SRHR alliance (of which BVHA was part because of the MFS II funded SRHR project) and finally the biannual PME meetings with Simavi and Alliance partners. These biannual meetings have been discussed in detail above. One of the non-MFS II factors that improved planning can be attributed to were the regular staff meetings. This was an internal organisational development through which reporting on staff's plans and activities became more streamlined. There was also one training the "5 Day Course on Project Management" that was not funded by MFS II but by The International Union against Lung Disease and Tuberculosis in New Delhi, to which the improved project management knowledge can be attributed. All in all, MFS II supported capacity building interventions played a considerable role in BVHA's improved planning.

The improved reporting of BVHA was due to improved M&E knowledge and improved inputs from partners. Improved M&E knowledge can almost completely be attributed to MFS II supported capacity building interventions. BVHA staff improved their M&E knowledge because of more knowledge on reporting guidelines and requirements, which can be attributed to the 5 biannual PME meetings

(funded by MFS II) and the training on project management that was mentioned before (not funded by MFS II). M&E knowledge also improved because of better linking and understanding of output, outcome and impact, which can be fully attributed to MFS II supported capacity development interventions as during the biannual PME meeting formats with indicators for the different levels were distributed and discussed with BVHA, Simavi and the other SRHR alliance partners.

Improved inputs from partners can be completely attributed to MFS II supported capacity building interventions because improved inputs from partners were due to a structured approach to PME in the SRHR project, planning and reporting formats from BVHA for partners, an and all of these can be attributed to MFS support to capacity development of the organisation. Timely submission of reports by partner organisations can be attributed to a MFS II funded orientation for BVHA partner organisation's staff on MIS and success story writing in September 2012. Furthermore, the planning and reporting formats from BVHA for its partners led to the improved inputs from partners, and these formats were based on the formats that BVHA received from Simavi and were discussed during the biannual PME meetings. Finally the improved inputs from partners were also due to a structured approach to PME in the MFS II funded SRHR project. While this last factor is not directly linked to an intervention it can be attributed to the overall guidance and requirements of Simavi in the MFS II funded project.

All in all, strengthened programme monitoring and operational planning, with specific reference to the SRHR project, can almost completely be attributed to MFS II supported capacity development interventions, and in particular the five biannual PME meetings (also planned during the baseline) and the feedback by Simavi on progress of the SRHR project. The only non-MFS II factors that have played a minor role are the regular staff meetings and the training on project management funded by the International Union, New Delhi.

Improved capacity for Sexual and Reproductive Health and Rights (SRHR) Advocacy at state level.

The following MFS II capacity development interventions supported by Simavi are linked to the key organisational capacity change "improved capacity for Sexual and Reproductive Health and Rights (SRHR) Advocacy at state level." (please also see section 4.3):

1. Strengthening advocacy capacity including evidence based lobby efforts (planned during the baseline and details provided during the endline);
2. Training on SRHR and Comprehensive Sexual Education and (CSE) through training sessions, exposure visits, feedback on implementation (planned during the baseline and details provided during the endline);
3. Review Meet at NEEDS covering topics of advocacy, PME and SRHR (not planned during the baseline but details provided during the endline);
4. Exchange visit to SRHR YFS clinic of VHAI (not planned during the baseline but details provided during the endline); and
5. Regional meeting Indonesia, focus on SRHR-CSE delivery (Indonesia team, alliance office) (not planned during the baseline but details provided during the endline).

Strengthening advocacy capacity including evidence based lobby efforts

Design

During the baseline the following was planned for 2012:"Capacity development in advocacy on various occasions for one staff member and 2 partner staff members." It was not further specified which activities would fall under this capacity development in advocacy. The immediate objective of this (set of) interventions was that "key staff should be able to improve their advocacy plans in all aspects through a systematic approach and is keen to know the results of their advocacy efforts." The long term objective was "better organisational advocacy capacity."

These objectives were relevant for BVHA because during the baseline the staff felt a need for training in lobbying and advocacy. They wanted to focus on formation and strengthening of regional forums and have a focussed advocacy agenda. Both the short term and long term objectives that were formulated by Simavi are very much related to these goals of BVHA.

These expected effects were not formulated in a SMART way (specific, measurable, achievable, relevant and time-bound). Then again, the evaluation team did not ask the CFA for SMART objectives specifically during the baseline, but rather asked about the expected or observed immediate and long term effects of the interventions.

Implementation
During the baseline, capacity development in advocacy, on various occasions for one staff member and two partner staff members, was planned for 2012, but no specific activities were mentioned, and therefore it cannot be indicated with the planned activities took place. However, from Simavi's and BVHA's documents it can be seen that the following activities took place under the title of "strengthening advocacy capacity including evidence based lobbying": "Advocacy, continuation, what is advocacy" by VHAI (18-20 April 2012), "Advocacy, progress, joint agenda" by Simavi (11-12 October 2012), "Workshop joint advocacy" (CINI) and state level visits (April, 7-9 May and December 2013) and a "3 day advocacy workshop: "working on state level and national joint agendas" by Simavi and Rineke van Dam (19-22 May 2014).

Reaching objectives
The focus of this evaluation has been the role of the MFS II funded capacity development interventions in the key organisational capacity changes that were identified. Especially the activity on 18-20 April 2012 came up in the map and narrative on the organisational capacity change: improved capacity for Sexual and Reproductive Health and Rights (SRHR) Advocacy at state level. This activity has led (together with other interventions) to improved knowledge on SRHR lobby and advocacy.

Though not the focus of this evaluation, we can conclude to some extent whether the expected immediate and long-term objectives of this intervention as formulated during the baseline have been achieved. Simavi has observed some immediate effects of these interventions: there is an initiating SRHR forum at state level, BVHA brings in SRHR issues under the attention of the government and there is a stronger capacity to describe case-studies for lobby purposes. BVHA is on the way to achieving the long term objective. The immediate objective "key staff should be able to improve their advocacy plans in all aspects through a systematic approach and is keen to know the results of their advocacy efforts," is not directly reflected in these observed effects but these effects seem to indicate that BVHA is now having "better organisational advocacy capacity."

Training on SRHR and Comprehensive Sexual Education (CSE) through training sessions, exposure visits, feedback on implementation
Design
During the baseline the following was planned for 2012: "Capacity development in SRHR (general and specifically sex education for young people) (6 staff – including partners)." The immediate objective of this intervention was "Project staff is able to provide more comprehensive SRHR package." The long term objective was: "Strengthened organisation to support SRHR project run by partners." Details about the specific design cannot be provided, since this wasn't the focus of the evaluation.

These objectives do not directly relate to the goals and conditions that BVHA set out for themselves during the baseline. Indirectly these objectives are relevant for BVHA as they identified during the baseline that they wanted to strengthen their network of partners. Being able to offer a more comprehensive SRHR package can contribute to this goal.

These objectives were not formulated in a SMART way (specific, measurable, achievable, relevant and time-bound). Then again, the evaluation team did not ask the CFA for SMART objectives specifically during the baseline, but rather asked about the expected or observed immediate and long term effects of the interventions.

Implementation
During the baseline "Capacity development in SRHR (general and specifically sex education for young people) (6 staff – including partners)" was planned for 2012. The planning for 2013 was still in the

making at the time of the baseline. What actually took place was: Training SRHR with different speakers and topics (18-20 April 2012), CSE training for all SRHR alliance partners (basic) by Restless Development (24 June 2012), Discussion on content of joint SRHR manual (all partners and external facilitator, government staff) (4-6 March 2013) and Refresher CSE training for all partners (Restless Development and external consultants) (4-6 April 2013).

Reaching objectives
The focus of this evaluation has been the role of the MFS II funded capacity development interventions in the key organisational capacity changes that were identified. The trainings on SRHR and Comprehensive Sexual Education (CSE) came up in the map and narrative on the organisational capacity change: improved capacity for Sexual and Reproductive Health and Rights (SRHR) Advocacy at state level. These trainings led to sharing with alliance partners which resulted in improved SRHR skills and knowledge and improved knowledge on SRHR lobby and advocacy, as this was often a topic that was discussed.

Though not the focus of this evaluation, we can conclude to some extent whether the expected immediate and long-term objectives of this intervention as formulated during the baseline have been achieved. The short term objective has been achieved, as Simavi observed that BVHA now has strong project implementation in more aspects of SRHR and provides advice to government technical SRHR committees. Simavi also observed that BVHA now has the confidence to talk about sensitive SRHR issues and has increased knowledge on youth SRHR issues. Additionally, BVHA developed special curriculum for young people on CSE which they used through trained staff for boys and girls. The long term objective (a strengthened organisation that can support SRHR projects runs by partners) is therefore on the way to achievement.

Review Meet at NEEDS covering topics of advocacy, PME and SRHR
Design
This specific intervention was not planned for during the baseline by the CFA. Details about the specific design cannot be provided, since this wasn't the focus of the evaluation. According to a report of this meet, the aim of this visit was to share experiences, to understand the different project strategies, to give recommendations to the project and to identify strengths that can be replicated. No long term objective has been formulated.

These aims were relevant for BVHA as they identified during the baseline that they want to strengthen their network of partners in health to share information. This Review Meet at one of the partners within the SRHR alliance is therefore relevant for BVHA.

These expected effects were not formulated in a SMART way (specific, measurable, achievable, relevant and time-bound). Then again, the evaluation team did not ask the CFA for SMART objectives specifically, but rather asked about the expected or observed immediate and long term effects of the interventions.

Implementation
This intervention was not planned for during the baseline and details about the specific design cannot be provided, since this wasn't the focus of the evaluation. Therefore, no judgement can be made on whether this intervention was implemented as designed. However, it can be said that the Review Meet at NEEDS took place on October 10, 2014.

Reaching objectives
The focus of this evaluation has been the role of the MFS II funded capacity development interventions in the key organisational capacity changes that were identified. The NEEDS visit came up in the map and narrative on the organisational capacity change: improved capacity for Sexual and Reproductive Health and Rights (SRHR) Advocacy at state level. This visit led to sharing with alliance partners which resulted in improved SRHR skills and knowledge.

Though not the focus of this evaluation, we can conclude to some extent whether the expected immediate and long-term objectives of this intervention as formulated during the endline have been

achieved. The objective of this meet was mainly to share experiences. NEEDS showed their community approach in SRHR and innovations through mobiles phones for SRHR. This visit helped BVHA in better programme implementation. During the meeting SRHR issues for advocacy were identified and programme strengths of NEEDS that could be used by BVHA for their programme implementation were identified. To some extent these aims have thus been reached.

Exchange visit to SRHR YFS/ARSHC of VHAI

Design

This specific intervention was not planned for during the baseline by the CFA. Details about the specific design cannot be provided, since this wasn't the focus of the evaluation. From a report of the visit it can be concluded that the objective was to use the learning from the Youth Friendly Service/Adolescent Reproductive and Sexual Health clinic (YFS/ARSHC) visit to replicate it in developing ARSHCs in the government system as well as bringing about improvement in the quality of the clinic. These were the only objectives that were formulated.

These objectives do not seem to be directly relevant for BVHA, but they could learn from how such a clinic is run and see if some of this can be applied in their SRHR work with youth.

These expected effects were not formulated in a SMART way (specific, measurable, achievable, relevant and time-bound). Then again, the evaluation team did not ask the CFA for SMART objectives specifically, but rather asked about the expected or observed immediate and long term effects of the interventions.

Implementation

This intervention was not planned for during the baseline and details about the specific design cannot be provided, since this wasn't the focus of the evaluation. Therefore, no judgement can be made on whether this intervention was implemented as designed. However, it can be said that the visit to the clinic took place on 19 December 2012 and that the Executive Director of BVHA went on this visit.

Reaching objectives

The focus of this evaluation has been the role of the MFS II funded capacity development interventions in the key organisational capacity changes that were identified. The exchange visit came up in the map and narrative on the organisational capacity change: improved capacity for Sexual and Reproductive Health and Rights (SRHR) Advocacy at state level. This visit led to sharing with alliance partners which resulted in improved SRHR skills and knowledge.

Though not the focus of this evaluation and there is no information available on whether these specific objectives were reached, we cannot conclude whether the objectives of this visit, as formulated during the endline, have been achieved. From a report of the visit it can be concluded that the executive director of BVHA obtained a basic understanding of health problems, counselling techniques, how to run such a clinic, how to convince the government to take up such an initiative and how to link with projects at the community level.

Regional meeting Indonesia, focus on SRHR-CSE delivery (Indonesia team, alliance office)

Design

This specific intervention was not planned for during the baseline by the CFA. Details about the specific design cannot be provided, since this wasn't the focus of the evaluation. The objective of going to this meeting has been formulated by Simavi during the endline. The objective of this meeting was to see how their alliance partners worked with authorities on creating an enabling environment for CSE activities.

Within the SRHR project this objective became relevant for BVHA put it is only indirectly related to one of the goals that they formulated during the baseline which was to strengthen their networks with partners in health for sharing information.

These expected effects were not formulated in a SMART way (specific, measurable, achievable, relevant and time-bound). Then again, the evaluation team did not ask the CFA for SMART objectives specifically, but rather asked about the expected or observed immediate and long term effects of the interventions.

Implementation
This intervention was not planned for during the baseline and details about the specific design cannot be provided, since this wasn't the focus of the evaluation. Therefore, no judgement can be made on whether this intervention was implemented as designed. However, it can be said that the Executive Director and programme manager went to this meeting in November 2013.

Reaching objectives
The focus of this evaluation has been the role of the MFS II funded capacity development interventions in the key organisational capacity changes that were identified. The Regional meeting Indonesia came up in the map and narrative on the organisational capacity change: improved capacity for Sexual and Reproductive Health and Rights (SRHR) Advocacy at state level. This visit led to sharing with alliance partners which resulted in improved SRHR skills and knowledge and improved knowledge on SRHR lobby and advocacy.

Though not the focus of this evaluation, we can say something about to what extent the objective, as formulated by Simavi during the endline, of this meeting has been achieved. The objective was "to see how their alliance partners worked with authorities on creating an enabling environment for CSE activities." This objective seems to have been achieved to a certain extent, as the group presentations on the strategies an activities on CSE enabled the Executive Director to get knowledge on CSE and update it in Bihar.

Attribution of observed results to MFS II capacity development interventions
BVHA has improved its capacity for SRHR Advocacy at State Level because of increased competence to deliver SRHR services and because of increased ability to lobby for improvement of policies (see also section 4.3.2). MFS II funded capacity development interventions have played a significant role in both of these changes.

Improved competence to deliver SRHR services was due to improved SRHR skills and knowledge which can partly be attributed to MFS II funded interventions and partly to trainings and meetings funded by other donors and state government. BVHA staff improved their skills and knowledge on SRHR first of all because of sharing with alliance partners. This part can be completely attributed to MFS II funded interventions. Sharing with SRHR alliance partners took place during exposure and exchange visits, that is the Review Meet at NEEDS and the exposure visit to YFS/ASRHC of VHAI, which are described above (both MFS II funded). Sharing with alliance partners also took place during joint MFS II funded training on CSE and SRHR. These trainings have been further specified above.

Secondly, BVHA staff improved their skills and knowledge on SRHR because of trainings and meetings organised and funded by other donors and the state government. This includes seminars and trainings organised by the state government of Bihar and a meeting on repositioning of family planning, organised and funded by the Population Foundation of India, where BVHA staff learned about improving quality of family planning and reproductive health care, preventing sex selection etc. As the sharing with SRHR alliance partners took place on many occasions and during many trainings and visits that seem to have had an important effect on improving the skills of BVHA staff (especially of those involved in the SRHR project), and the trainings by others where less frequent and important, most of the improvement in BVHA's improved competence to deliver SRHR services can be attributed to MFS II funded capacity development interventions.

Improved ability to lobby for improvement of policies was due to improved knowledge on SRHR lobby and advocacy and improved networking. BVHA improved its knowledge on SRHR lobby and advocacy mainly because of the joint MFS II funded trainings on CSE and SRHR for the alliance partners. These trainings partly overlapped with the activities that were discussed under the MFS II interventions on strengthening advocacy capacity. For example a session and discussion on what is advocacy by VHAI was held during the training SRHR with different speakers and topics on 18-20 April 2012. BVHA's knowledge on this topic also increased because of two trainings by other funders. A workshop on WASH was organised by Wada Na Todo Abhiyan on the 12th of December 2012, where staff developed effective and communicative tools for awareness building and reached a common understanding to

create a civil society force for advocacy with government on various issues including nutrition for pregnant and lactating women. The second workshop was organised and funded by Action Aid on the 26th of December. This meeting enabled BVHA staff to organise a meeting with the Minister of Health in January 2013 to discuss among other things infant and maternal mortality rates and sex selective abortion. This improved knowledge on advocacy and lobbying on SRHR can therefore partly be attributed to MFS II supported capacity development interventions. It seems like both the trainings by other funders and the MFS II supported interventions have been of equal importance to improving BVHA's knowledge on SRHR advocacy and lobbying. BVHA's improved networking can be partly attributed to BVHA's involvement in the MFS II funded SRHR project and partly to the trainings funded by other funders and government. Through BVHA's involvement in the SRHR project, they became part of the SRHR alliance, which connected them to many new partners. Also through this project BVHA formed a state level SRHR forum under the chairmanship of the government of Bihar and many other agencies. On the other hand, trainings funded and organised by government departments and the Population Foundation for India, Wada Na todo Abhiyan and Action Aid, also allowed BVHA staff to improve on their networking. Although it is not directly an MFS II intervention, BVHA involvement in the MFS II funded SRHR project has had a slightly more important role on improving their networks than the trainings funded by other funders and government.

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2014-04-01_(f1) LINKING OUTPUTS TO OUTCOMES India.docx
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Fieldwork data:
Annex C_5C endline_support to capacity development sheet_BVHA.docx
5c endline interview guide_2nd partners _selected indicators_BVHA.docx
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5c endline_overview_trainings_BVHA_staff_India.docx
Annex K_5c endline workshop_key changes and factors_SPO perspective_country_name BVHA.docx
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2014-05-07_(LL2)
5C_endline_support_to_capacity_development_sheet_CFA_perspective_India_BVHA_Simavi_NB (2).docx

List of Respondents

BVHA staff:

NAME	DESIGNATION	18th June	19th June	20th June
Swapan Mazumdar	Executive Director	Present	Present	Present
Sashi Kumar	Project Manager	Present	Present	Present
Malay Kumar Dalal	Project manager (Sexual reproductive health rights)	Present	Present	Present
Binay Fidelis	Program officer	Present	Present	Present
Khurshid Ekram	Program officer	Present	Present	Present
Mrs. Benedicta Crasta	Personal Assistant to the Executive Director cum Admin Assistant	Present	Present	Present
Sadab Qureshi	Assistant Accountant	Busy with annual audit	Present	Present
Urmila Sharma	St Annes Dispensary Phulwarisharif	Not Selected for Process Tracing	Not Selected for Process Tracing	Not Selected for Process Tracing
Ramkrishna	AAAK Vaishali	Present	Not Selected for Process Tracing	Not Selected for Process Tracing

Partners:

Ramkrishna from Aulia Adhyatmik Anusadhan Kendra(AAAK),Vaishali. Interviewed on June 18, 2104.

Sister Ellis, Fakirana Sisters Soceity, Bettiah, West Champaran. Interviewed on June 19, 2014.

OD consultants:

Jose Thomas, National Programme Co-ordinator SRHR Alliance India. Interviewed on June 20, 2014.

Dr JM Dewan, Senior Professor and Former director at SIHFW, Chairman of the State level SRHR Forum. Interviewed on June 20, 2014.

CFA:

Loan Liem, Sr Programme Officer/ interim SRHR team manager at Simavi. Interviewed on April 3, 2014.

Appendix 1 Methodological approach & reflection

Introduction

This appendix describes the methodological design and challenges for the assessment of capacity development of Southern Partner Organisations (SPOs), also called the '5C study'. This 5C study is organised around four key evaluation questions:

1. What are the changes in partner organisations' capacity during the 2012-2014 period?
2. To what degree are the changes identified in partner capacity attributable to development interventions undertaken by the MFS II consortia (i.e. measuring effectiveness)?
3. Were the efforts of the MFS II consortia efficient?
4. What factors explain the findings drawn from the questions above?

It has been agreed that the question (3) around efficiency cannot be addressed for this 5C study. The methodological approach for the other three questions is described below. At the end, a methodological reflection is provided.

In terms of the attribution question (2), 'process tracing' is used. This is a theory-based approach that has been applied to a selected number of SPOs since it is a very intensive and costly methodology, although it provides rich information and can generate a lot of learning within the organisations. This approach was presented and agreed-upon during the synthesis workshop on 17-18 June 2013 by the 5C teams for the eight countries of the MFS II evaluation. A more detailed description of the approach was presented during the synthesis workshop in February 2014. The synthesis team, NWO-WOTRO, the country project leaders and the MFS II organisations present at the workshop have accepted this approach. It was agreed that this approach can only be used for a selected number of SPOs since it is a very intensive and costly methodology. Key organisational capacity changes/ outcomes of the SPO were identified, based on their relationship to the two selected capabilities, the capability to act and commit the capability to adapt and self-renew, and an expected relationship with CFA supported capacity development interventions (MFS II funding). It was agreed to focus on these two capabilities, since these are the most targeted capabilities by the CFAs, as established during the baseline process.

Please find below an explanation of how the above-mentioned evaluation questions have been addressed in the 5C evaluation.

Note: the methodological approach is applied to 4 countries that the Centre for Development Innovation, Wageningen University and Research centre is involved in in terms of the 5C study (Ethiopia, India, Indonesia, Liberia). The overall approach has been agreed with all the 8 countries selected for this MFS II evaluation. The 5C country teams have been trained and coached on this methodological approach during the evaluation process. Details specific to the SPO are described in chapter 5.1 of the SPO report. At the end of this appendix a brief methodological reflection is provided.

Changes in partner organisation's capacity – evaluation question 1

This section describes the data collection and analysis methodology for answering the first evaluation question: **What are the changes in partner organisations' capacity during the 2012-2014 period?**

This question was mainly addressed by reviewing changes in 5c indicators, but additionally a 'general causal map' based on the SPO perspective on key organisational capacity changes since the baseline

has been developed. Each of these is further explained below. The development of the general causal map is integrated in the steps for the endline workshop, as mentioned below.

During the baseline in 2012 information has been collected on each of the 33 agreed upon indicators for organisational capacity. For each of the five capabilities of the 5C framework indicators have been developed as can be seen in Appendix 2. During this 5C baseline, a summary description has been provided for each of these indicators, based on document review and the information provided by staff, the Co-financing Agency (CFA) and other external stakeholders. Also a summary description has been provided for each capability. The results of these can be read in the baseline reports.

The description of indicators for the baseline in 2012 served as the basis for comparison during the endline in 2014. In practice this meant that largely the same categories of respondents (preferably the same respondents as during the baseline) were requested to review the descriptions per indicator and indicate whether and how the endline situation (2014) is different from the described situation in 2012.[9] Per indicator they could indicate whether there was an improvement or deterioration or no change and also describe these changes. Furthermore, per indicator the interviewee could indicate what interventions, actors and other factors explain this change compared to the baseline situation. See below the specific questions that are asked for each of the indicators. Per category of interviewees there is a different list of indicators to be looked at. For example, staff members were presented with a list of all the indicators, whilst external people, for example partners, are presented with a select number of indicators, relevant to the stakeholder.

The information on the indicators was collected in different ways:

1. **Endline workshop at the SPO - self-assessment and 'general causal map'**: similar to data collection during the baseline, different categories of staff (as much as possible the same people as during the baseline) were brought together in a workshop and requested to respond, in their staff category, to the list of questions for each of the indicators (self-assessment sheet). Prior to carrying out the self-assessments, a brainstorming sessions was facilitated to develop a 'general causal map', based on the key organisational capacity changes since the baseline as perceived by SPO staff. Whilst this general causal map is not validated with additional information, it provides a sequential narrative, based on organisational capacity changes as perceived by SPO staff;
2. **Interviews with staff members**: additional to the endline workshop, interviews were held with SPO staff, either to provide more in-depth information on the information provided on the self-assessment formats during the workshop, or as a separate interview for staff members that were not present during the endline workshop;
3. **Interviews with externals**: different formats were developed for different types of external respondents, especially the co-financing agency (CFA), but also partner agencies, and organisational development consultants where possible. These externals were interviewed, either face-to-face or by phone/Skype. The interview sheets were sent to the respondents and if they wanted, these could be filled in digitally and followed up on during the interview;
4. **Document review**: similar to the baseline in 2012, relevant documents were reviewed so as to get information on each indicator. Documents to be reviewed included progress reports, evaluation reports, training reports, etc. (see below) since the baseline in 2012, so as to identify changes in each of the indicators;
5. **Observation**: similar to what was done in 2012, also in 2014 the evaluation team had a list with observable indicators which were to be used for observation during the visit to the SPO.

[9] The same categories were used as during the baseline (except beneficiaries, other funders): staff categories including management, programme staff, project staff, monitoring and evaluation staff, field staff, administration staff; stakeholder categories including co-financing agency (CFA), consultants, partners.

Below the key steps to assess changes in indicators are described.

Key steps to assess changes in indicators are described

1. Provide the description of indicators in the relevant formats – CDI team
2. Review the descriptions per indicator – in-country team & CDI team
3. Send the formats adapted to the SPO to CFA and SPO – in-country team (formats for SPO) and CDI team (formats for CFA)
4. Collect, upload & code the documents from CFA and SPO in NVivo – CDI team
5. Organise the field visit to the SPO – in-country team
6. Interview the CFA – CDI team
7. Run the endline workshop with the SPO – in-country team
8. Interview SPO staff – in-country team
9. Fill-in observation sheets – in-country team
10. Interview externals – in-country team
11. Upload and auto-code all the formats collected by in-country team and CDI team in NVivo – CDI team
12. Provide to the overview of information per 5c indicator to in-country team – CDI team
13. Analyse data and develop a draft description of the findings per indicator and for the general questions – in-country team
14. Analyse data and develop a final description of the findings per indicator and per capability and for the general questions – CDI team
15. Analyse the information in the general causal map –in-country team and CDI-team

Note: the CDI team include the Dutch 5c country coordinator as well as the overall 5c coordinator for the four countries (Ethiopia, India, Indonesia, Liberia). The 5c country report is based on the separate SPO reports.

Below each of these steps is further explained.

*Step 1. Provide the **description of indicators** in the relevant formats – CDI team*

- These formats were to be used when collecting data from SPO staff, CFA, partners, and consultants. For each of these respondents different formats have been developed, based on the list of 5C indicators, similar to the procedure that was used during the baseline assessment. The CDI team needed to add the 2012 baseline description of each indicator. The idea was that each respondent would be requested to review each description per indicator, and indicate whether the current situation is different from the baseline situation, how this situation has changed, and what the reasons for the changes in indicators are. At the end of each format, a more general question is added that addresses how the organisation has changed its capacity since the baseline, and what possible reasons for change exist. Please see below the questions asked for each indicator as well as the more general questions at the end of the list of indicators.

General questions about key changes in the capacity of the SPO

What do you consider to be the key changes in terms of how the organisation/ SPO has developed its capacity since the baseline (2012)?

What do you consider to be the main explanatory reasons (interventions, actors or factors) for these changes?

List of questions to be asked for each of the 5C indicators (The entry point is the the description of each indicator as in the 2012 baseline report):

1. *How has the situation of this indicator changed compared to the situation during the baseline in 2012? Please tick one of the following scores:*
   - -2 = Considerable deterioration
   - -1 = A slight deterioration
   - 0 = No change occurred, the situation is the same as in 2012
   - +1 = Slight improvement
   - +2 = Considerable improvement
2. *Please describe what exactly has changed since the baseline in 2012*

3. *What interventions, actors and other factors explain this change compared to the baseline situation in 2012? Please tick and describe what interventions, actors or factors influenced this indicator, and how. You can tick and describe more than one choice.*
   - Intervention, actor or factor at the level of or by **SPO**: ..... .
   - Intervention, actor or factor at the level of or by the **Dutch CFA (MFS II funding)**: .... .
   - Intervention, actor or factor at the level of or by the **other funders**: ..... .
   - **Other** interventions, actors or factors: ..... .
   - Don't know.

Step 2. ***Review*** *the descriptions per indicator – in-country team & CDI team*

Before the in-country team and the CDI team started collecting data in the field, it was important that they reviewed the description for each indicator as described in the baseline reports, and also added to the endline formats for review by respondents. These descriptions are based on document review, observation, interviews with SPO staff, CFA staff and external respondents during the baseline. It was important to explain this to respondents before they filled in the formats.

Step 3. ***Send the formats*** *adapted to the SPO to CFA and SPO – in-country team (formats for SPO) and CDI team (formats for CFA)*

The CDI team was responsible for collecting data from the CFA:

- 5C Endline assessment Dutch co-financing organisation;
- 5C Endline support to capacity sheet – CFA perspective.

The in-country team was responsible for collecting data from the SPO and from external respondents (except CFA). The following formats were sent before the fieldwork started:

- 5C Endline support to capacity sheet – SPO perspective.
- 5C Endline interview guides for externals: partners; OD consultants.

Step 4. ***Collect, upload & code the documents*** *from CFA and SPO in NVivo – CDI team*

The CDI team, in collaboration with the in-country team, collected the following documents from SPOs and CFAs:

- Project documents: project proposal, budget, contract (Note that for some SPOs there is a contract for the full MFS II period 2011-2015; for others there is a yearly or 2-yearly contract. All new contracts since the baseline in 2012 will need to be collected);
- Technical and financial progress reports since the baseline in 2012;.
- Mid-term evaluation reports;
- End of project-evaluation reports (by the SPO itself or by external evaluators);
- Contract intake forms (assessments of the SPO by the CFA) or organisational assessment scans made by the CFA that cover the 2011-2014 period;
- Consultant reports on specific inputs provided to the SPO in terms of organisational capacity development;
- Training reports (for the SPO; for alliance partners, including the SPO);
- Organisational scans/ assessments, carried out by the CFA or by the Alliance Assessments;
- Monitoring protocol reports, especially for the 5C study carried out by the MFS II Alliances;
- Annual progress reports of the CFA and of the Alliance in relation to capacity development of the SPOs in the particular country;
- Specific reports that are related to capacity development of SPOs in a particular country.

The following documents (since the baseline in 2012) were requested from SPO:

- Annual progress reports;
- Annual financial reports and audit reports;
- Organisational structure vision and mission since the baseline in 2012;
- Strategic plans;

- Business plans;
- Project/ programme planning documents;
- Annual work plan and budgets;
- Operational manuals;
- Organisational and policy documents: finance, human resource development, etc.;
- Monitoring and evaluation strategy and implementation plans;
- Evaluation reports;
- Staff training reports;
- Organisational capacity reports from development consultants.

The CDI team will coded these documents in NVivo (qualitative data analysis software program) against the 5C indicators.

Step 5. ***Prepare and organise the field visit*** *to the SPO – in-country team*

Meanwhile the in-country team prepared and organised the logistics for the field visit to the SPO:

- **General endline workshop** consisted about one day for the self-assessments (about ½ to ¾ of the day) and brainstorm (about 1 to 2 hours) on key organisational capacity changes since the baseline and underlying interventions, factors and actors ('general causal map'), see also explanation below. This was done with the five categories of key staff: managers; project/ programme staff; monitoring and evaluation staff; admin & HRM staff; field staff. Note: for SPOs involved in process tracing an additional 1 to 1½ day workshop (managers; program/project staff; monitoring and evaluation staff) was necessary. See also step 7;
- **Interviews with SPO staff** (roughly one day);
- **Interviews with external respondents** such as partners and organisational development consultants depending on their proximity to the SPO. These interviews coulc be scheduled after the endline workshop and interviews with SPO staff.

General causal map

During the 5C endline process, a 'general causal map' has been developed, based on key organisational capacity changes and underlying causes for these changes, as perceived by the SPO. The general causal map describes cause-effect relationships, and is described both as a visual as well as a narrative.

As much as possible the same people that were involved in the baseline were also involved in the endline workshop and interviews.

Step 6. ***Interview the CFA*** *– CDI team*

The CDI team was responsible for sending the sheets/ formats to the CFA and for doing a follow-up interview on the basis of the information provided so as to clarify or deepen the information provided. This relates to:

- 5C Endline assessment Dutch co-financing organisation;
- 5C Endline support to capacity sheet - CFA perspective.

Step 7. ***Run the endline workshop*** *with the SPO – in-country team*

This included running the endline workshop, including facilitation of the development of the general causal map, self-assessments, interviews and observations. Particularly for those SPOs that were selected for process tracing all the relevant information needed to be analysed prior to the field visit, so as to develop an initial causal map. Please see Step 6 and also the next section on process tracing (evaluation question two).

An endline workshop with the SPO was intended to:

- Explain the purpose of the fieldwork;
- Carry out in the self-assessments by SPO staff subgroups (unless these have already been filled prior to the field visits) - this may take some 3 hours.
- Facilitate a brainstorm on key organisational capacity changes since the baseline in 2012 and underlying interventions, factors and actors.

***Purpose of the fieldwork*:** to collect data that help to provide information on what changes took place in terms of organisational capacity development of the SPO as well as reasons for these changes. The baseline that was carried out in 2012 was to be used as a point of reference.

Brainstorm on key organisational capacity changes and influencing factors: a brainstorm was facilitated on key organisational capacity changes since the baseline in 2012. In order to kick start the discussion, staff were reminded of the key findings related to the historical time line carried out in the baseline (vision, mission, strategies, funding, staff). This was then used to generate a discussion on key changes that happened in the organisation since the baseline (on cards). Then cards were selected that were related to organisational capacity changes, and organised. Then a 'general causal map' was developed, based on these key organisational capacity changes and underlying reasons for change as experienced by the SPO staff. This was documented as a visual and narrative.This general causal map was to get the story of the SPO on what they perceived as key organisational capacity changes in the organisation since the baseline, in addition to the specific details provided per indicator.

***Self-assessments*:** respondents worked in the respective staff function groups: management; programme/ project staff; monitoring and evaluation staff; admin and HRM staff; field staff. Staff were assisted where necessary so that they could really understand what it was they were being asked to do as well as what the descriptions under each indicator meant.

Note: for those SPOs selected for process tracing an additional endline workshop was held to facilitate the development of detailed causal maps for each of the identified organisational change/ outcome areas that fall under the capability to act and commit, and under the capability to adapt and self-renew, and that are likely related to capacity development interventions by the CFA. See also the next section on process tracing (evaluation question two). It was up to the in-country team whether this workshop was held straight after the initial endline workshop or after the workshop and the follow-up interviews. It could also be held as a separate workshop at another time.

Step 8. ***Interview SPO staff*** *– in-country team*

After the endline workshop (developing the general causal map and carrying out self-assessments in subgroups), interviews were held with SPO staff (subgroups) to follow up on the information that was provided in the self-assessment sheets, and to interview staff that had not yet provided any information.

Step 9. ***Fill-in observation sheets*** *– in-country team*

During the visit at the SPO, the in-country team had to fill in two sheets based on their observation:

- 5C Endline observation sheet;
- 5C Endline observable indicators.

Step 10. ***Interview externals*** *– in-country team & CDI team*

The in-country team also needed to interview the partners of the SPO as well as organisational capacity development consultants that have provided support to the SPO. The CDI team interviewed the CFA.

Step 11. ***Upload and auto-code all the formats*** *collected by in-country team and CDI team – CDI team*

The CDI team was responsible for uploading and auto-coding (in Nvivo) of the documents that were collected by the in-country team and by the CDI team.

*Step 12. Provide the **overview of information** per 5C indicator to in-country team – CDI team*

After the analysis in NVivo, the CDI team provided a copy of all the information generated per indicator to the in-country team for initial analysis.

*Step 13. **Analyse the data and develop a draft description** of the findings per indicator and for the general questions – in-country team*

The in-country team provided a draft description of the findings per indicator, based on the information generated per indicator. The information generated under the general questions were linked to the general causal map or detailed process tracing related causal map.

*Step 14. **Analyse the data and finalize the description** of the findings per indicator, per capability and general – CDI team*

The CDI team was responsible for checking the analysis by the in-country team with the Nvivo generated data and to make suggestions for improvement and ask questions for clarification to which the in-country team responded. The CDI team then finalised the analysis and provided final descriptions and scores per indicator and also summarize these per capability and calculated the summary capability scores based on the average of all indicators by capability.

*Step 15. **Analyse the information** in the general causal map –in-country team & CDI team*

The general causal map based on key organisational capacity changes as perceived by the SPO staff present at the workshop, was further detailed by in-country team and CDI team, and based on the notes made during the workshop and where necessary additional follow up with the SPO. The visual and narrative was finalized after feedback by the SPO. During analysis of the general causal map relationships with MFS II support for capacity development and other factors and actors were identified. All the information has been reviewed by the SPO and CFA.

Attributing changes in partner organisation's capacity – evaluation question 2

This section describes the data collection and analysis methodology for answering the second evaluation question: ***To what degree are the changes identified in partner capacity attributable to (capacity) development interventions undertaken by the MFS II consortia (i.e. measuring effectiveness)?***

In terms of the attribution question (2), 'process tracing' is used. This is a theory-based approach that has been applied to a selected number of SPOs since it is a very intensive and costly methodology, although it provides rich information and can generate a lot of learning within the organisations. Key organisational capacity changes/ outcomes of the SPO were identified, based on their relationship to the two selected capabilities, the capability to act and commit the capability to adapt and self-renew, and an expected relationship with CFA supported capacity development interventions (MFS II funding). It was agreed to focus on these two capabilities, since these are the most targeted capabilities by the CFAs, as established during the baseline process. The box below provides some background information on process tracing.

Background information on process tracing

The essence of process tracing research is that scholars want to go beyond merely identifying correlations between independent variables (Xs) and outcomes (Ys). Process tracing in social science is commonly defined by its addition to trace causal mechanisms (Bennett, 2008a, 2008b; Checkle, 2008; George & Bennett, 2005). A causal mechanism can be defined as "a complex system which produces an outcome by the interaction of a number of parts" (Glennan, 1996, p. 52). Process tracing involves "attempts to identify the intervening causal process – the causal chain and causal mechanism – between an independent variable (or variables) and the outcome of the dependent variable" (George & Bennett, 2005, pp. 206-207).

Process tracing can be differentiated into three variants within social science: theory testing, theory building, and explaining outcome process tracing (Beach & Pedersen, 2013).

Theory testing process tracing uses a theory from the existing literature and then tests whether evidence shows that each part of hypothesised causal mechanism is present in a given case, enabling within case inferences about whether the mechanism functioned as expected in the case and whether the mechanism as a whole was present. No claims can be made however, about whether the mechanism was the only cause of the outcome.

Theory building process tracing seeks to build generalizable theoretical explanations from empirical evidence, inferring that a more general causal mechanism exists from the fact of a particular case.

Finally, explaining outcome process tracing attempts to craft a minimally sufficient explanation of a puzzling outcome in a specific historical case. Here the aim is not to build or test more general theories but to craft a (minimally) sufficient explanation of the outcome of the case where the ambitions are more case centric than theory oriented.

Explaining outcome process tracing is the most suitable type of process tracing for analysing the causal mechanisms for selected key organisational capacity changes of the SPOs. This type of process tracing can be thought of as a single outcome study defined as seeking the causes of the specific outcome in a single case (Gerring, 2006; in: Beach & Pedersen, 2013). Here the ambition is to craft a minimally sufficient explanation of a particular outcome, with sufficiency defined as an explanation that accounts for all of the important aspects of an outcome with no redundant parts being present (Mackie, 1965).

Explaining outcome process tracing is an iterative research strategy that aims to trace the complex conglomerate of systematic and case specific causal mechanisms that produced the outcome in question. The explanation cannot be detached from the particular case. Explaining outcome process tracing refers to case studies whose primary ambition is to explain particular historical outcomes, although the findings of the case can also speak to other potential cases of the phenomenon. Explaining outcome process tracing is an iterative research process in which 'theories' are tested to see whether they can provide a minimally sufficient explanation of the outcome. Minimal sufficiency is defined as an explanation that accounts for an outcome, with no redundant parts. In most explaining outcome studies, existing theorisation cannot provide a sufficient explanation, resulting in a second stage in which existing theories are re-conceptualised in light of the evidence gathered in the preceding empirical analysis. The conceptualisation phase in explaining outcome process tracing is therefore an iterative research process, with initial mechanisms re-conceptualised and tested until the result is a theorised mechanism that provides a minimally sufficient explanation of the particular outcome.

Below a description is provided of how SPOs are selected for process tracing, and a description is provided on how this process tracing is to be carried out. Note that this description of process tracing provides not only information on the extent to which the changes in organisational development can be attributed to MFS II (evaluation question 2), but also provides information on other contributing factors and actors (evaluation question 4). Furthermore, it must be noted that the evaluation team has developed an adapted form of 'explaining outcome process tracing', since the data collection and analysis was an iterative process of research so as to establish the most realistic explanation for a particular outcome/ organisational capacity change. Below selection of SPOs for process tracing as well as the different steps involved for process tracing in the selected SPOs, are further explained.

Selection of SPOs for 5C process tracing

Process tracing is a very intensive methodology that is very time and resource consuming (for development and analysis of one final detailed causal map, it takes about 1-2 weeks in total, for different members of the evaluation team). It has been agreed upon during the synthesis workshop on 17-18 June 2013 that only a selected number of SPOs will take part in this process tracing for the purpose of understanding the attribution question. The selection of SPOs is based on the following criteria:

- MFS II support to the SPO has not ended before 2014 (since this would leave us with too small a time difference between intervention and outcome);
- Focus is on the 1-2 capabilities that are targeted most by CFAs in a particular country;
- Both the SPO and the CFA are targeting the same capability, and preferably aim for similar outcomes;
- Maximum one SPO per CFA per country will be included in the process tracing.

The intention was to focus on about 30-50% of the SPOs involved. Please see the tables below for a selection of SPOs per country. Per country, a first table shows the extent to which a CFA targets the five capabilities, which is used to select the capabilities to focus on. A second table presents which SPO is selected, and takes into consideration the selection criteria as mentioned above.

ETHIOPIA

For Ethiopia the capabilities that are mostly targeted by CFAs are the capability to act and commit and the capability to adapt and self-renew. See also the table below.

Table 1

The extent to which the Dutch NGO explicitly targets the following capabilities – Ethiopia

Capability to:	AMREF	CARE	ECFA	FSCE	HOA-REC	HUNDEE	NVEA	OSRA	TTCA
Act and commit	5	4	5	5	5	3	4	4	3
Deliver on development objectives	2	1	1	1	2	1	1	2	1
Adapt and self-renew	4	2	3	4	2	5	3	3	3
Relate	3	1	2	2	3	2	1	3	1
Achieve coherence	2	2	1	1	1	1	1	1	1

Note: Number 1 stands for not targeted, 5 for intensively targeted. These scores are relative scores for the interventions by the CFA to strengthen the capacity of the SPO. The scores are relative to each other, a higher score means that this capability gets more attention by the CFA compared to other capabilities.

Source: country baseline report, Ethiopia.

Below you can see the table describing when the contract with the SPO is to be ended, and whether both SPO and the CFA expect to focus on these two selected capabilities (with MFS II funding). Based on the above-mentioned selection criteria the following SPOs are selected for process tracing: AMREF, ECFA, FSCE, HUNDEE. In fact, six SPOs would be suitable for process tracing. We just selected the first one per CFA following the criteria of not including more than one SPO per CFA for process tracing

Table 2

SPOs selected for process tracing – Ethiopia

Ethiopia – SPOs	End of contract	Focus on capability to act and commit– by SPO	Focus on capability to act and commit – by CFA	Focus on capability to adapt and self-renew – by SPO	Focus on capability to adapt and self-renew – by CFA	CFA	Selected for process tracing
AMREF	Dec 2015	Yes	Yes	Yes	Yes	AMREF NL	Yes
CARE	Dec 31, 2015	Partly	Yes	Yes	Yes – slightly	CARE Netherlands	No - not fully matching
ECFA	Jan 2015	Yes	Yes	Yes	Yes	Child Helpline International	Yes
FSCE	Dec 2015	Yes	Yes	Yes	Yes	Stichting Kinderpostzegels Netherlands (SKN); Note: no info from Defence for Children – ECPAT Netherlands	Yes
HOA-REC	Sustainable Energy project (ICCO Alliance): 2014 Innovative WASH (WASH Alliance): Dec 2015	Yes	Yes	Yes	Yes - slightly	ICCO	No - not fully matching
HUNDEE	Dec 2014	Yes	Yes	Yes	Yes	ICCO & IICD	Yes
NVEA	Dec 2015 (both)	Yes	Yes	Yes	Yes	Edukans Foundation (under two consortia); Stichting Kinderpostzegels Netherlands (SKN)	Suitable but SKN already involved for process tracing FSCE
OSRA	C4C Alliance project (farmers marketing): December 2014 ICCO Alliance project (zero grazing: 2014 (2nd phase)	Yes	Yes	Yes	Yes	ICCO & IICD	Suitable but ICCO & IICD already involved for process tracing - HUNDEE
TTCA	June 2015	Partly	Yes	No	Yes	Edukans Foundation	No - not fully matching

INDIA

For India the capability that is mostly targeted by CFAs is the capability to act and commit. The next one in line is the capability to adapt and self-renew. See also the table below in which a higher score means that the specific capability is more intensively targeted.

Table 3

The extent to which the Dutch NGO explicitly targets the following capabilities – India[10]

Capability to:	BVHA	COUNT	DRISTI	FFID	Jana Vikas	Samarthak Samiti	SMILE	SDS	VTRC
Act and commit	5	3	4	4	4	4	4	3	5
Deliver on development objectives	1	5	1	1	1	1	1	2	1
Adapt and self-renew	2	2	1	3	1	1	4	1	4
Relate	3	1	1	1	1	1	2	1	2
Achieve coherence	1	1	1	4	1	1	1	1	2

Note: Number 1 stands for not targeted, 5 for intensively targeted. These scores are relative scores for the interventions by the CFA to strengthen the capacity of the SPO. The scores are relative to each other, a higher score means that this capability gets more attention by the CFA compared to other capabilities.

Source: country baseline report, India.

Below you can see a table describing when the contract with the SPO is to be ended and whether SPO and the CFA both expect to focus on these two selected capabilities (with MFS II funding). Based on the above-mentioned selection criteria the following SPOs are selected for process tracing: BVHA, COUNT, FFID, SMILE and VTRC. Except for SMILE (capability to act and commit only), for the other SPOs the focus for process tracing can be on the capability to act and commit and on the capability to adapt and self-renew.

Table 4

SPOs selected for process tracing – India

India – SPOs	End of contract	Focus on capability to act and commit– by SPO	Focus on capability to act and commit – by CFA	Focus on capability to adapt and self-renew –by SPO	Focus on capability to adapt and self-renew – by CFA	CFA	Selected for process tracing
BVHA	2014	Yes	Yes	Yes	Yes	Simavi	Yes; both capabilities
COUNT	2015	Yes	Yes	Yes	Yes	Woord en Daad	Yes; both capabilities
DRISTI	31-03-2012	Yes	Yes	No	no	Hivos	No - closed in 2012
FFID	30-09-2014	Yes	Yes	Yes	Yes	ICCO	Yes

10 RGVN, NEDSF and Women's Rights Forum (WRF) could not be reached timely during the baseline due to security reasons. WRF could not be reached at all. Therefore these SPOs are not included in Table 1.

\	End of contract	Focus on capability to act and commit– by SPO	Focus on capability to act and commit – by CFA	Focus on capability to adapt and self-renew –by SPO	Focus on capability to adapt and self-renew – by CFA	CFA	Selected for process tracing
Jana Vikas	2013	Yes	Yes	Yes	No	Cordaid	No - contract is and the by now; not fully matching focus
NEDSF							No – delayed baseline
RGVN							No - delayed baseline
Samarthak Samiti (SDS)	2013 possibly longer	Yes	Yes	Yes	No	Hivos	No - not certain of end date and not fully matching focus
Shivi Development Society (SDS)	Dec 2013 intention 2014	Yes	Yes	Yes	No	Cordaid	No - not fully matching focus
Smile	2015	Yes	Yes	Yes	Yes	Wilde Ganzen	Yes; first capability only
VTRC	2015	Yes	Yes	Yes	Yes	Stichting Red een Kind	Yes; both capabilities

INDONESIA

For Indonesia the capabilities that are most frequently targeted by CFAs are the capability to act and commit and the capability to adapt and self-renew. See also the table below.

Table 5

The extent to which the Dutch NGO explicitly targets the following capabilities – Indonesia

Capability to:	ASB	Daya kologi	ECPAT	GSS	Lem baga Kita	Pt. PPMA	Rifka Annisa	WIIP	Yad upa	Yayasan Kelola	YPI	YRBI
Act and commit	4	4	4	5	4	4	5	3	3	2	5	4
Deliver on development objectives	1	1	1	2	2	1	2	1	1	1	1	1
Adapt and self-renew	3	1	2	4	2	3	4	4	1	1	4	3
Relate	1	1	2	3	3	2	1	2	2	2	3	2
Achieve coherence	1	1	1	2	1	1	2	2	1	1	2	1

Note: Number 1 stands for not targeted, 5 for intensively targeted. These scores are relative scores for the interventions by the CFA to strengthen the capacity of the SPO. The scores are relative to each other, a higher score means that this capability gets more attention by the CFA compared to other capabilities.

Source: country baseline report, Indonesia.

The table below describes when the contract with the SPO is to be ended and whether both SPO and the CFA expect to focus on these two selected capabilities (MFS II funding). Based on the above-mentioned selection criteria the following SPOs are selected for process tracing: ASB, ECPAT, Pt.PPMA, YPI, YRBI.

Table 6

SPOs selected for process tracing – Indonesia

Indonesia – SPOs	End of contract	Focus on capability to act and commit– by SPO	Focus on capability to act and commit – by CFA	Focus on capability to adapt and self-renew – by SPO	Focus on capability to adapt and self-renew – by CFA	CFA	Selected for process tracing
ASB	February 2012; extension Feb,1, 2013 – June,30, 2016	Yes	Yes	Yes	Yes	Hivos	Yes
Dayakologi	2013; no extension	Yes	Yes	Yes	No	Cordaid	No: contract ended early and not matching enough
ECPAT	August 2013; Extension Dec 2014	Yes	Yes	Yes, a bit	Yes	Free Press Unlimited - Mensen met een Missie	Yes
GSS	31 December 2012; no extension	Yes	Yes	Yes, a bit	Yes	Free Press Unlimited - Mensen met een Missie	No: contract ended early
Lembaga Kita	31 December 2012; no extension	Yes	Yes	No	Yes	Free Press Unlimited - Mensen met een Missie	No - contract ended early
Pt.PPMA	May 2015	Yes	Yes	No	Yes	IUCN	Yes, capability to act and commit only
Rifka Annisa	Dec, 31 2015	No	Yes	No	Yes	Rutgers WPF	No - no match between expectations CFA and SPO
WIIP	Dec 2015	Yes	Not MFS II	Yes	Not MFS II	Red Cross	No - Capacity development interventions are not MFS II financed. Only some overhead is MFS II

Indonesia – SPOs	End of contract	Focus on capability to act and commit– by SPO	Focus on capability to act and commit – by CFA	Focus on capability to adapt and self-renew – by SPO	Focus on capability to adapt and self-renew – by CFA	CFA	Selected for process tracing
Yayasan Kelola	Dec 30, 2013; extension of contract being processed for two years (2014-2015)	Yes	Not really	Yes	Not really	Hivos	No - no specific capacity development interventions planned by Hivos
YPI	Dec 31, 2015	Yes	Yes	Yes	Yes	Rutgers WPF	Yes
YRBI	Oct, 30, 2013; YRBI end of contract from 31st Oct 2013 to 31st Dec 2013. Contract extension proposal is being proposed to MFS II, no decision yet.	Yes	Yes	Yes	Yes	ICCO	Yes
Yadupa	Under negotiation during baseline; new contract 2013 until now	Yes	Nothing committed	Yes	Nothing committed	IUCN	No, since nothing was committed by CFA

LIBERIA

For Liberia the situation is arbitrary which capabilities are targeted most CFA's. Whilst the capability to act and commit is targeted more often than the other capabilities, this is only so for two of the SPOs. The capability to adapt and self-renew and the capability to relate are almost equally targeted for the five SPOs, be it not intensively. Since the capability to act and commit and the capability to adapt and self-renew are the most targeted capabilities in Ethiopia, India and Indonesia, we choose to focus on these two capabilities for Liberia as well. This would help the synthesis team in the further analysis of these capabilities related to process tracing. See also the table below.

Table 7

The extent to which the Dutch NGO explicitly targets the following capabilities – Liberia

Capability to:	BSC	DEN-L	NAWOCOL	REFOUND	RHRAP
Act and commit	5	1	1	1	3
Deliver on development objectives	3	1	1	1	1
Adapt and self-renew	2	2	2	2	2
Relate	1	2	2	2	2
Achieve coherence	1	1	1	1	1

Note: Number 1 stands for not targeted, 5 for intensively targeted. These scores are relative scores for the interventions by the CFA to strengthen the capacity of the SPO. The scores are relative to each other, a higher score means that this capability gets more attention by the CFA compared to other capabilities.

Source: country baseline report, Liberia.

Below you can see the table describing when the contract with the SPO is to be ended, and whether both SPO and the CFA expect to focus on these two selected capabilities (with MFS II funding). Also, for two of the five SPOs capability to act and commit is targeted more intensively compared to the other capabilities. Based on the above-mentioned selection criteria the following SPOs are selected for process tracing: BSC and RHRAP.

Table 8

SPOs selected for process tracing – Liberia

Liberia – SPOs	End of contract	Focus on capability to act and commit– by SPO	Focus on capability to act and commit – by CFA	Focus on capability to adapt and self-renew –by SPO	Focus on capability to adapt and self-renew – by CFA	CFA	Selected for process tracing
BSC	Dec 31, 2015	Yes	Yes	Yes	Yes	SPARK	Yes
DEN-L	2014	No	No	Unknown	A little	ICCO	No – not matching enough
NAWOCOL	2014	Yes	No	No	A little	ICCO	No – not matching enough
REFOUND	At least until 2013 (2015?)	Yes	No	Yes	A little	ICCO	No – not matching enough
RHRAP	At least until 2013 (2014?)	Yes	Yes	Yes	Yes	ICCO	Yes

Key steps in process tracing for the 5C study

In the box below you will find the key steps developed for the 5C process tracing methodology. These steps will be further explained here. Only key staff of the SPO is involved in this process: management; programme/ project staff; and monitoring and evaluation staff, and other staff that could provide information relevant to the identified outcome area/key organisational capacity change. Those SPOs selected for process tracing had a separate endline workshop, in addition to the ' general endline workshop. This workshop was carried out after the initial endline workshop and the interviews during the field visit to the SPO. Where possible, the general and process tracing endline workshop have been held consecutively, but where possible these workshops were held at different points in time, due to the complex design of the process. Below the detailed steps for the purpose of process tracing are further explained.

Key steps in process tracing for the 5C study

1. Identify the planned MFS II supported capacity development interventions within the selected capabilities (capability to act and commit and capability to adapt and self-renew) – CDI team
2. Identify the implemented MFS II supported capacity development interventions within the selected capabilities (capability to act and commit and capability to adapt and self-renew) – CDI team
3. Identify initial changes/ outcome areas in these two capabilities – CDI team & in-country team
4. Construct the detailed, initial causal map (theoretical model of change) – CDI team & in-country team
5. Identify types of evidence needed to verify or discard different causal relationships in the model of change – in-country teams, with support from CDI team
6. Collect data to verify or discard causal mechanisms and construct workshop based, detailed causal map (model of change) – in-country team
7. Assess the quality of data and analyse data and develop final detailed causal map (model of change) – in-country team with CDI team
8. Analyse and conclude on findings– CDI team, in collaboration with in-country team

Some definitions of the terminology used for this MFS II 5c evaluation

Based upon the different interpretations and connotations the use of the term causal mechanism we use the following terminology for the remainder of this paper:

A **detailed causal map** (or **model of change)** = the representation of all possible explanations – causal pathways for a change/ outcome. These pathways are that of the intervention, rival pathways and pathways that combine parts of the intervention pathway with that of others. This also depicts the reciprocity of various events influencing each other and impacting the overall change.

A **causal mechanism** = is the combination of parts that ultimately explains an outcome. Each part of the mechanism is an individually insufficient but necessary factor in a whole mechanism, which together produce the outcome (Beach and Pedersen, 2013, p. 176).

Part or **cause** = one actor with its attributes carrying out activities/ producing outputs that lead to change in other parts. The final part or cause is the change/ outcome.

Attributes of the actor = specificities of the actor that increase his chance to introduce change or not such as its position in its institutional environment.

*Step 1. Identify the **planned MFS II supported capacity development interventions** within the selected capabilities (capability to act and commit and capability to adapt and self-renew) – CDI team*

Chapter 4.1 and 4.2 in the baseline report were reviewed. Capacity development interventions as planned by the CFA for the capability to act and commit and for the capability to adapt and self-renew were described and details inserted in the summary format. This provided an overview of the capacity development activities that were originally planned by the CFA for these two capabilities and assisted in focusing on relevant outcomes that are possibly related to the planned interventions.

*Step 2. Identify the **implemented capacity development interventions** within the selected capabilities (capability to act and commit and capability to adapt and self-renew) – CDI team*

The input from the CFA was reviewed in terms of what capacity development interventions have taken place in the MFS II period. This information was be found in the 'Support to capacity development sheet - endline - CFA perspective' for the SPO, based on details provided by the CFA and further discussed during an interview by the CDI team.

The CFA was asked to describe all the MFS II supported capacity development interventions of the SPO that took place during the period 2011 up to now. The CDI team reviewed this information, not only the interventions but also the observed changes as well as the expected long-term changes, and

then linked these interventions to relevant outcomes in one of the capabilities (capability to act and commit; and capability to adapt and self-renew).

*Step 3. Identify **initial changes/ outcome areas** in these two capabilities – by CDI team & in-country team*

The CDI team was responsible for coding documents received from SPO and CFA in NVivo on the following:

- 5C Indicators: this was to identify the changes that took place between baseline and endline. This information was coded in Nvivo.
- Information related to the capacity development interventions implemented by the CFA (with MFS II funding) (see also Step 2) to strengthen the capacity of the SPO. For example, the training on financial management of the SPO staff could be related to any information on financial management of the SPO. This information was coded in Nvivo.

In addition, the response by the CFA to the changes in 5C indicators format, was auto-coded.

The in-country team was responsible for timely collection of information from the SPO (before the fieldwork starts). This set of information dealt with:

- MFS II supported capacity development interventions during the MFS II period (2011 until now).
- Overview of all trainings provided in relation to a particular outcome areas/organisational capacity change since the baseline.
- For each of the identified MFS II supported trainings, training questionnaires have been developed to assess these trainings in terms of the participants, interests, knowledge and skills gained, behaviour change and changes in the organisation (based on Kirkpatrick's model), one format for training participants and one for their managers. These training questionnaires were sent prior to the field visit.
- Changes expected by SPO on a long-term basis ('Support to capacity development sheet - endline - SPO perspective').

For the selection of change/ outcome areas the following criteria were important:

- The change/ outcome area is in one of the two capabilities selected for process tracing: capability to act and commit or the capability to adapt and self-renew. This was the first criteria to select upon.
- There was a likely link between the key organisational capacity change/ outcome area and the MFS II supported capacity development interventions. This also was an important criteria. This would need to be demonstrated through one or more of the following situations:
  - In the 2012 theory of change on organisational capacity development of the SPO a link was indicated between the outcome area and MFS II support;
  - During the baseline the CFA indicated a link between the planned MFS II support to organisational development and the expected short-term or long-term results in one of the selected capabilities;
  - During the endline the CFA indicated a link between the implemented MFS II capacity development interventions and observed short-term changes and expected long-term changes in the organisational capacity of the SPO in one of the selected capabilities;
  - During the endline the SPO indicated a link between the implemented MFS II capacity development interventions and observed short-term changes and expected long-term changes in the organisational capacity of the SPO in one of the selected capabilities.

Reviewing the information obtained as described in Step 1, 2, and 3 provided the basis for selecting key organisational capacity change/ outcome areas to focus on for process tracing. These areas were to be formulated as broader outcome areas, such as 'improved financial management', 'improved monitoring and evaluation' or 'improved staff competencies'.

Note: the outcome areas were to be formulated as intermediates changes. For example: an improved monitoring and evaluation system, or enhanced knowledge and skills to educate the target group on

climate change. Key outcome areas were also verified - based on document review as well as discussions with the SPO during the endline.

*Step 4. Construct the **detailed, initial causal map** (theoretical model of change) – CDI & in-country team*

A detailed initial causal map was developed by the CDI team, in collaboration with the in-country team. This was based on document review, including information provided by the CFA and SPO on MFS II supported capacity development interventions and their immediate and long-term objectives as well as observed changes. Also, the training questionnaires were reviewed before developing the initial causal map. This detailed initial causal map was to be provided by the CDI team with a visual and related narrative with related references. This initial causal map served as a reference point for further reflection with the SPO during the process tracing endline workshop, where relationships needed to be verified or new relationships established so that the second (workshop-based), detailed causal map could be developed, after which further verification was needed to come up with the final, concluding detailed causal map.

It's important to note that organisational change area/ outcome areas could be both positive and negative.

For each of the selected outcomes the team needed to make explicit the theoretical model of change. This meant finding out about the range of different actors, factors, actions, and events etc. that have contributed to a particular outcome in terms of organisational capacity of the SPO.

A model of change of good quality includes:

- The causal pathways that relate the intervention to the realised change/ outcome;
- Rival explanations for the same change/ outcome;
- Assumptions that clarify relations between different components or parts;
- Case specific and/or context specific factors or risks that might influence the causal pathway, such as for instance the socio-cultural-economic context, or a natural disaster;
- Specific attributes of the actors e.g. CFA and other funders.

A model of change (within the 5C study called a 'detailed causal map') is a complex system which produces intermediate and long-term outcomes by the interaction of other parts. It consists of parts or causes that often consist of one actor with its attributes that is implementing activities leading to change in other parts (Beach & Pedersen, 2013). A helpful way of constructing the model of change is to think in terms of actors carrying out activities that lead to other actors changing their behaviour. The model of change can be explained as a range of activities carried out by different *actors* (including the CFA and SPO under evaluation) that will ultimately lead to an outcome. Besides this, there are also '*structural*' elements, which are to be interpreted as external factors (such as economic conjuncture); and *attributes* of the actor (does the actor have the legitimacy to ask for change or not, what is its position in the sector) that should be looked at (Beach & Pedersen, 2013). In fact Beach and Pedersen, make a fine point about the subjectivity of the actor in a dynamic context. This means, in qualitative methodologies, capturing the changes in the actor, acted upon area or person/organisation, in a non sequential and non temporal format. Things which were done recently could have corrected behavioural outcomes of an organisation and at the same ime there could be processes which incrementally pushed for the same change over a period of time. Beach and Pedersen espouse this methodology because it captures change in a dynamic fashion as against the methodology of logical framework. For the MFS II evaluation it was important to make a distinction between those paths in the model of change that are the result of MFS II and rival pathways.
The construction of the model of change started with the identified key organisational capacity change/ outcome, followed by an inventory of all possible subcomponents that possibly have caused the change/ outcome in the MFS II period (2011-up to now, or since the baseline). The figure below presents an imaginary example of a model of change. The different colours indicate the different types of support to capacity development of the SPO by different actors, thereby indicating different pathways of change, leading to the key changes/ outcomes in terms of capacity development (which in this case indicates the ability to adapt and self-renew).

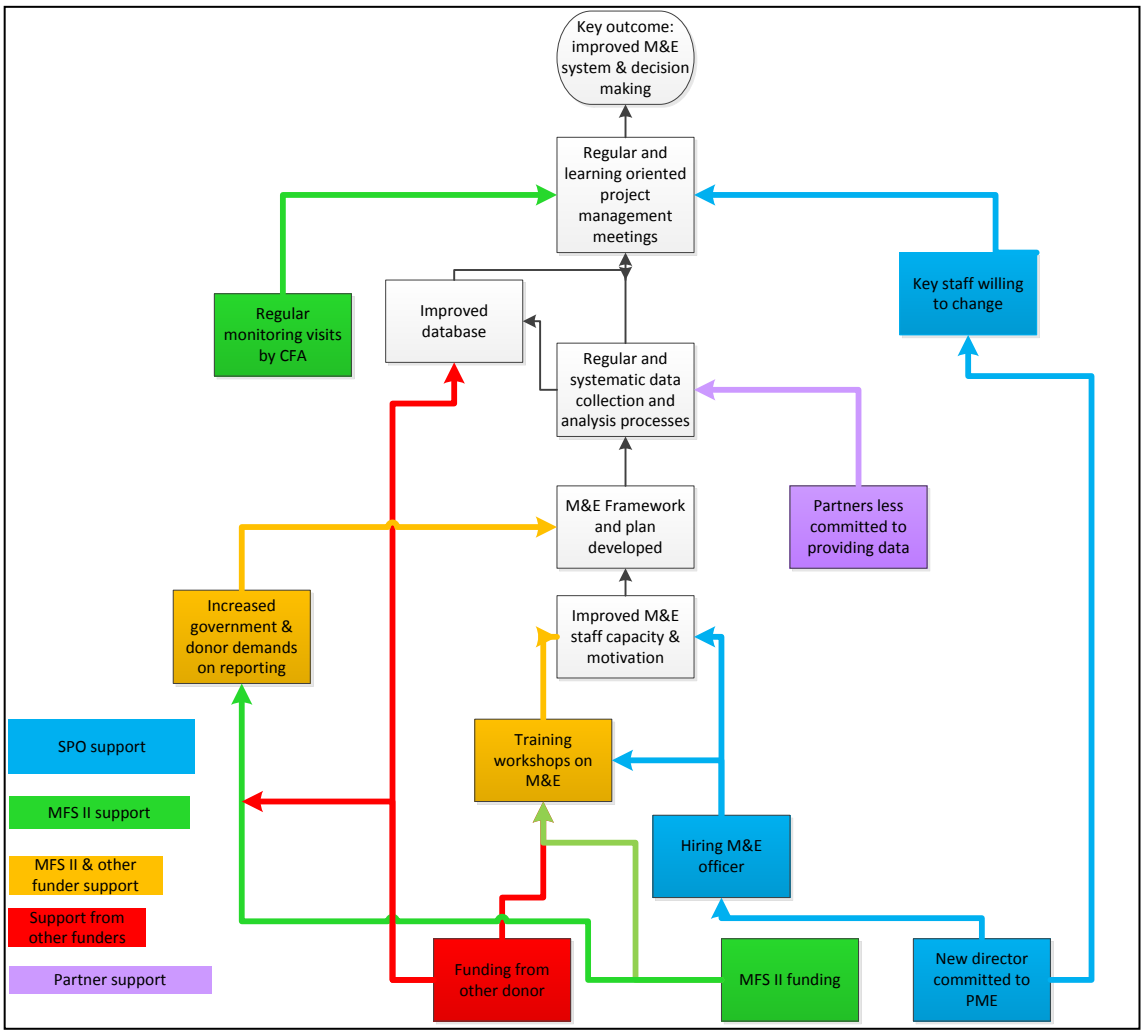


Figure 1 *An imaginary example of a model of change*

Step 5. Identify ***types of evidence*** *needed to verify or discard different causal relationships in the model of change – in-country teams with support from CDI team*

Once the causal mechanism at theoretical level were defined, empirical evidence was collected so as to verify or discard the different parts of this theoretical model of change, confirm or reject whether subcomponents have taken place, and to find evidence that confirm or reject the causal relations between the subcomponents.

A key question that we needed to ask ourselves was, *"What information do we need in order to confirm or reject that one subcomponent leads to another, that X causes Y?"*. The evaluation team needed to agree on what information was needed that provides empirical manifestations for each part of the model of change.

There are four distinguishable types of evidence that are relevant in process tracing analysis: *pattern, sequence, trace, and account*. Please see the box below for descriptions of these types of evidence.

The evaluation team needed to agree on the types of evidence that was needed to verify or discard the manifestation of a particular part of the causal mechanism. Each one or a combination of these different types of evidence could be used to confirm or reject the different parts of the model of change. This is what is meant by robustness of evidence gathering. Since causality as a concept can bend in many ways, our methodology, provides a near scientific model for accepting and rejecting a particular type of evidence, ignoring its face value.

Types of evidence to be used in process tracing

Pattern evidence relates to predictions of statistical patterns in the evidence. For example, in testing a mechanism of racial discrimination in a case dealing with employment, statistical patterns of employment would be relevant for testing this part of the mechanism.

Sequence evidence deals with the temporal and spatial chronology of events predicted by a hypothesised causal mechanism. For example, a test of the hypothesis could involve expectations of the timing of events where we might predict that if the hypothesis is valid, we should see that the event B took place after event A took place. However, if we found that event B took place before event A took place, the test would suggest that our confidence in the validity of this part of the mechanism should be reduced (disconfirmation/ falsification).

Trace evidence is evidence whose mere existence provides proof that a part of a hypothesised mechanism exists. For example, the existence of the minutes of a meeting, if authentic ones, provide strong proof that the meeting took place.

Account evidence deals with the content of empirical material, such as meeting minutes that detail what was discussed or an oral account of what took place in the meeting.

Source: Beach and Pedersen, 2013

Below you can find a table that provides guidelines on what to look for when identifying types of evidence that can confirm or reject causal relationships between different parts/ subcomponents of the model of change. It also provides one example of a part of a causal pathway and what type of information to look for.

Table 9

Format for identifying types of evidence for different causal relationships in the model of change (example included)

Part of the model of change	Key questions	Type of evidence needed	Source of information
Describe relationship between the subcomponents of the model of change	Describe questions you would like to answer a so as to find out whether the components in the relationship took place, when they took place, who was involved, and whether they are related	Describe the information that we need in order to answer these questions. Which type of evidence can we use in order to reject or confirm that subcomponent X causes subcomponent Y? Can we find this information by means of : Pattern evidence; Sequence evidence; Trace evidence; Account evidence?	Describe where you can find this information
Example: Training workshops on M&E provided by MFS II funding and other sources of funding	Example: What type of training workshops on M&E took place? Who was trained? When did the training take place? Who funded the training? Was the funding of training provided before the training took place? How much money was available for the training?	Example: Trace evidence: on types of training delivered, who was trained, when the training took place, budget for the training Sequence evidence on timing of funding and timing of training Content evidence: what the training was about	Example: Training report SPO Progress reports interviews with the CFA and SPO staff Financial reports SPO and CFA

Please note that for practical reasons, the 5C evaluation team decided that it was easier to integrate the specific questions in the narrative of the initial causal map. These questions would need to be addressed by the in country team during the process tracing workshop so as to discover, verify or discard particular causal mechanisms in the detailed, initial causal map. Different types of evidence was asked for in these questions.

Step 6. ***Collect data*** *to verify or discard causal mechanisms and develop workshop-based, detailed causal map – in-country team*

Once it was decided by the in-country and CDI evaluation teams what information was to be collected during the interaction with the SPO, data collection took place. The initial causal maps served as a basis for discussions during the endline workshop with a particular focus on process tracing for the identified organisational capacity changes. But it was considered to be very important to understand from the perspective of the SPO how they understood the identified key organisational capacity change/outcome area has come about. A new detailed, workshop-based causal map was developed that included the information provided by SPO staff as well as based on initial document review as described in the initial detailed causal map. This information was further analysed and verified with other relevant information so as to develop a final causal map, which is described in the next step.

Step 7. ***Assess the quality*** *of data and* ***analyse data****, and develop the* ***final detailed causal map*** *(model of change) – in-country team and CDI team*

Quality assurance of the data collected and the evidence it provides for rejecting or confirming parts of causal explanations are a major concern for many authors specialised in contribution analysis and process-tracing. Stern et al. (2012), Beach and Pedersen (2013), Lemire, Nielsen and Dybdal (2012), Mayne (2012) and Delahais and Toulemonde (2012) all emphasise the need to make attribution/ contribution claims that are based on pieces of evidence that are rigorous, traceable, and credible. These pieces of evidence should be as explicit as possible in proving that *subcomponent X causes subcomponent Y* and ruling out other explanations. Several tools are proposed to check the nature and the quality of data needed. One option is, Delahais and Toulemonde's Evidence Analysis Database, which we have adapted for our purpose.

Delahais and Toulemonde (2012) propose an Evidence Analysis Database that takes into consideration three criteria:

Confirming/ rejecting a causal relation (yes/no);
Type of causal mechanism: intended contribution/ other contribution/ condition leading to intended contribution/ intended condition to other contribution/ feedback loop;
Strength of evidence: strong/ rather strong/ rather weak/ weak.

We have adapted their criteria to our purpose. The in-country team, in collaboration with the CDI team, used the criteria in assessing whether causal relationships in the causal map, were strong enough. This has been more of an iterative process trying to find additional evidence for the established relationships through additional document review or contacting the CFA and SPO as well as getting their feedback on the final detailed causal map that was established. Whilst the form below has not been used exactly in the manner depicted, it has been used indirectly when trying to validate the information in the detailed causal map. After that, the final detailed causal map is established both as a visual as well as a narrative, with related references for the established causal relations.

Example format for the adapted evidence analysis database (example included) Description of causal relation	Confirming/ rejecting a causal relation (yes/no)	Type of information providing the background to the confirmation or rejection of the causal relation	Strength of evidence: strong/ rather strong/ rather weak/ weak	Explanation for why the evidence is (rather) strong or (rather) weak, and therefore the causal relation is confirmed/ rejected
e.g. Training staff in M&E leads to enhanced M&E knowledge, skills and practice	e.g. Confirmed	e.g. Training reports confirmed that staff are trained in M&E and that knowledge and skills increased as a result of the training		

Step 8. ***Analyse and conclude*** *on findings– in-country team and CDI team*

The final detailed causal map was described as a visual and narrative and this was then analysed in terms of the evaluation question two and evaluation question four: *"To what degree are the changes identified in partner capacity attributable to development interventions undertaken by the MFS II consortia (i.e. measuring effectiveness)?"* and *"What factors explain the findings drawn from the questions above?"* It was analysed to what extent the identified key organisational capacity change can be attributed to MFS II supported capacity development interventions as well as to other related factors, interventions and actors.

Explaining factors – evaluation question 4

This paragraph describes the data collection and analysis methodology for answering the fourth evaluation question: **"What factors explain the findings drawn from the questions above?"**

In order to explain the changes in organisational capacity development between baseline and endline (evaluation question 1) the CDI and in-country evaluation teams needed to review the indicators and how they have changed between baseline and endline and what reasons have been provided for this. This has been explained in the first section of this appendix. It has been difficult to find detailed explanations for changes in each of the separate 5c indicators, but the 'general causal map' has provided some ideas about some of the key underlying factors actors and interventions that influence the key organisational capacity changes, as perceived by the SPO staff.

For those SPOs that are selected for process tracing (evaluation question 2), more in-depth information was procured for the identified key organisational capacity changes and how MFS II supported capacity development interventions as well as other actors, factors and interventions have influenced these changes. This is integrated in the process of process tracing as described in the section above.

Methodological reflection

Below a few methodological reflections are made by the 5C evaluation team.

Use of the 5 core capabilities framework and qualitative approach: this has proven to a be very useful framework to assess organisational capacity. The five core capabilities provide a comprehensive picture of the capacity of an organisation. The capabilities are interlinked, which was also reflected in the description of standard indicators, that have been developed for the purpose of this 5C evaluation

and agreed upon for the eight countries. Using this framework with a mainly qualitative approach has provided rich information for the SPOs and CFAs, and many have indicated this was a useful learning exercise.

Using standard indicators and scores: using standard indicators is useful for comparison purposes. However, the information provided per indicator is very specific to the SPO and therefore makes comparison difficult. Whilst the description of indicators has been useful for the SPO and CFA, it is questionable to what extent indicators can be compared across SPOs since they need to be seen in context, for them to make meaning. In relation to this, one can say that scores that are provided for the indicators, are only relative and cannot show the richness of information as provided in the indicator description. Furthermore, it must be noted that organisations are continuously changing and scores are just a snapshot in time. There cannot be perfect score for this. In hindsight, having rubrics would have been more useful than scores.

General causal map: whilst this general causal map, which is based on key organisational capacity changes and related causes, as perceived by the SPO staff present at the endline workshop, has not been validated with other sources of information except SPO feedback, the 5C evaluation team considers this information important, since it provides the SPO story about how and which changes in the organisation since the baseline, are perceived as being important, and how these changes have come about. This will provide information additional to the information that has been validated when analysing and describing the indicators as well as the information provided through process tracing (selected SPOs). This has proven to be a learning experience for many SPOs.

Using process tracing for dealing with the attribution question: this theory-based and mainly qualitative approach has been chosen to deal with the attribution question, on how the organisational capacity changes in the organisations have come about and what the relationship is with MFS II supported capacity development interventions and other factors. This has proven to be a very useful process, that provided a lot of very rich information. Many SPOs and CFAs have already indicated that they appreciated the richness of information which provided a story about how identified organisational capacity changes have come about. Whilst this process was intensive for SPOs during the process tracing workshops, many appreciated this to be a learning process that provided useful information on how the organisation can further develop itself. For the evaluation team, this has also been an intensive and time-consuming process, but since it provided rich information in a learning process, the effort was worth it, if SPOs and CFAs find this process and findings useful.

A few remarks need to be made:

- Outcome explaining process tracing is used for this purpose, but has been adapted to the situation since the issues being looked at were very complex in nature.
- Difficulty of verifying each and every single change and causal relationship:
- Intensity of the process and problems with recall: often the process tracing workshop was done straight after the general endline workshop that has been done for all the SPOs.In some cases, the process tracing endline workshop has been done at a different point in time, which was better for staff involved in this process, since process tracing asks people to think back about changes and how these changes have come about. The word difficulties with recalling some of these changes and how they have come about. See also the next paragraph.
- Difficulty of assessing changes in knowledge and behaviour: training questionnaire is have been developed, based on Kirkpatrick's model and were specifically tailored to identify not only the interest but also the change in knowledge and skills, behaviour as well as organisational changes as a result of a particular training. The retention ability of individuals, irrespective of their position in the organisation, is often unstable. The 5C evaluation team experienced that it was difficult for people to recall specific trainings, and what they learned from those trainings. Often a change in knowledge, skills and behaviour is a result brought about by a combination of different factors , rather than being traceable to one particular event. The detailed causal maps that have been established, also clearly pointed this. There are many factors at play that make people change their behaviour, and this is not just dependent on training but also internal/personal (motivational) factors as well as factors within the organisation, that stimulate or hinder a person to change behaviour. Understanding how behaviour change works is important when trying to really understand the extent to which behaviour has changed as a result of different factors, actors and interventions. Organisations change because people

change and therefore understanding when and how these individuals change behaviour is crucial. Also attrition and change in key organisational positions can contribute considerably to the outcome.

Utilisation of the evaluation

The 5C evaluation team considers it important to also discuss issues around utility of this evaluation. We want to mention just a few.

Design – mainly externally driven and with a focus on accountability and standard indicators and approaches within a limited time frame, and limited budget: this MFS II evaluation is originally based on a design that has been decided by IOB (the independent evaluation office of the Dutch Ministry of Foreign Affairs) and to some extent MFS II organisations. The evaluators have had no influence on the overall design and sampling for the 5C study. In terms of learning, one may question whether the most useful cases have been selected in this sampling process. The focus was very much on a rigorous evaluation carried out by an independent evaluation team. Indicators had to be streamlined across countries. The 5C team was requested to collaborate with the other 5C country teams (Bangladesh, Congo, Pakistan, Uganda) to streamline the methodological approach across the eight sampled countries. Whilst this may have its purpose in terms of synthesising results, the 5C evaluation team has also experienced the difficulty of tailoring the approach to the specific SPOs. The overall evaluation has been mainly accountability driven and was less focused on enhancing learning for improvement. Furthermore, the timeframe has been very small to compare baseline information (2012) with endline information (2014). Changes in organisational capacity may take a long, particularly if they are related to behaviour change. Furthermore, there has been limited budget to carry out the 5C evaluation. For all the four countries (Ethiopia, India, Indonesia, Liberia) that the Centre for Development Innovation, Wageningen University and Research centre has been involved in, the budget has been overspent.

However, the 5C evaluation team has designed an endline process whereby engagement of staff, e.g. in a workshop process was considered important, not only due to the need to collect data, but also to generate learning in the organisation. Furthermore, having general causal maps and detailed causal maps generated by process tracing have provided rich information that many SPOs and CFAs have already appreciated as useful in terms of the findings as well as a learning process.

Another issue that must be mentioned is that additional requests have been added to the country teams during the process of implementation: developing a country based synthesis; questions on design, implementation, and reaching objectives of MFS II funded capacity development interventions, whilst these questions were not in line with the core evaluation questions for the 5C evaluation.

Complexity and inadequate coordination and communication: many actors, both in the Netherlands, as well as in the eight selected countries, have been involved in this evaluation and their roles and responsibilities, were often unclear. For example, 19 MFS II consortia, the internal reference group, the Ministry of Foreign Affairs, Partos, the Joint Evaluation Trust, NWO-Wotro, the evaluators (Netherlands and in-country), 2 external advisory committees, and the steering committee. Not to mention the SPO's and their related partners and consultants. CDI was involved in 4 countries with a total number of 38 SPOs and related CFAs. This complexity influenced communication and coordination, as well as the extent to which learning could take place. Furthermore, there was a distance between the evaluators and the CFAs, since the approach had to be synchronised across countries, and had to adhere to strict guidelines, which were mainly externally formulated and could not be negotiated or discussed for the purpose of tailoring and learning. Feedback on the final results and report had to be provided mainly in written form. In order to enhance utilisation, a final workshop at the SPO to discuss the findings and think through the use with more people than probably the one who reads the report, would have more impact on organisational learning and development. Furthermore, feedback with the CFAs has also not been institutionalised in the evaluation process in the form of learning events. And as mentioned above, the complexity of the evaluation with many actors involved did not enhance learning and thus utilization.

5C Endline process, and in particular thoroughness of process tracing often appreciated as learning process: The SPO perspective has also brought to light a new experience and technique of self-assessment and self-corrective measures for managers. Most SPOs whether part of process tracing or not, deeply appreciated the thoroughness of the methodology and its ability to capture details with robust connectivity. This is a matter of satisfaction and learning for both evaluators and SPOs. Having a process whereby SPO staff were very much engaged in the process of self-assessment and reflection has proven for many to be a learning experience for many, and therefore have enhanced utility of the 5C evaluation.

Appendix 2 Background information on the five core capabilities framework

The 5 capabilities (5C) framework was to be used as a framework for the evaluation of capacity development of Southern Partner Organisations (SPOs) of the MFS II consortia. The 5C framework is based on a five-year research program on 'Capacity, change and performance' that was carried out by the European Centre for Development Policy Management (ECDPM). The research included an extensive review of the literature and sixteen case studies. The 5C framework has also been applied in an IOB evaluation using 26 case studies in 14 countries, and in the baseline carried out per organisation by the MFS II organisations for the purpose of the monitoring protocol.

The 5C framework is structured to understand and analyse (changes in) the capacity of an organization to deliver (social) value to its constituents. This introduction briefly describes the 5C framework, mainly based on the most recent document on the 5C framework (Keijzer et al., 2011).

The 5C framework sees capacity as an **outcome** of an **open system**. An organisation or collaborative association (for instance a network) is seen as a system interacting with wider society. The most critical practical issue is to ensure that relevant stakeholders share a common way of thinking about capacity and its core constituents or capabilities. Decisive for an organisation's capacity is the context in which the organisation operates. This means that **understanding context issues** is crucial. The use of the 5C framework requires a multi-stakeholder approach because shared values and results orientation are important to facilitate the capacity development process. The 5C framework therefore needs to **accommodate the different visions** of stakeholders and conceive different strategies for raising capacity and improving performance in a given situation.

The 5C framework defines capacity as '**producing social value'** and identifies five core capabilities that together result in that overall capacity. Capacity, capabilities and competences are seen as follows:

Capacity is referred to as the overall ability of an organisation or system to create value for others;

Capabilities are the collective ability of a group or a system to do something either inside or outside the system. The collective ability involved may be technical, logistical, managerial or generative (i.e. the ability to earn legitimacy, to adapt, to create meaning, etc.);

Competencies are the energies, skills and abilities of individuals.

Fundamental to developing capacity are inputs such as human, material and financial resources, technology, and information. To the degree that they are developed and successfully integrated, capabilities contribute to the overall capacity or ability of an organisation or system to create value for others. A single capability is not sufficient to create capacity. All are needed and are strongly interrelated and overlapping. Thus, to achieve its development goals, the 5C framework says that every organisation or system must have **five basic capabilities:**

- The capability to act and commit;
- The capability to deliver on development objectives;
- The capability to adapt and self-renew;
- The capability to relate (to external stakeholders);
- The capability to achieve coherence.

In order to have a common framework for evaluation, the five capabilities have been reformulated in outcome domains and for each outcome domain performance indicators have been developed.

There is some overlap between the five core capabilities but together the five capabilities result in a certain level of capacity. Influencing one capability may have an effect on one or more of the other capabilities. In each situation, the level of any of the five capabilities will vary. Each capability can become stronger or weaker over time.

Appendix 3 Changes in organisational capacity of the SPO - 5C indicators

Below you will find a description for each of the indicators under each of the capabilities, what the situation is as assessed during the endline, how this has changed since the baseline and what are the reasons for change.

Capability to act and commit

Level of Effective Leadership

1.1.Responsive leadership: 'Leadership is responsive, inspiring, and sensitive'

This is about leadership within the organisation (operational, strategic). If there is a larger body then you may also want to refer to leadership at a higher level but not located at the local organisation.

The Executive Director (ED) of BVHA continues to be responsive, democratic and gives space for decentralized decision-making. The present leadership has also shown increased interaction with the partner organisations which in turn led to partners becoming more responsive towards their work, which is said to be visible through the feedbacks received by the ED. While this change was triggered by the demand of Simavi, nevertheless it brought about overhauling in the working of the present leadership. The ED has also engaged more proactively in promotion, networking, fundraising and management. However, the division of authority between the board and Executive Director continues to be imbalanced with the former taking major decisions, especially decisions on funding of the projects and utilization of the funds received.

Score baseline: 3.0

Score endline: 3.5 (slight improvement)

1.2.Strategic guidance: 'Leaders provide appropriate strategic guidance (strategic leader and operational leader)'

This is about the extent to which the leader(s) provide strategic directions

There could be no denying of the fact that the Executive Director's ability to single-handedly take major decisions is tied to the governing board that is composed of the network members. Due to this, the decision of the leadership has to be in tune with the larger mandate of the governing board members. The composition of the governing board itself poses difficulty in the ED's independent decision-making. With overlapping and conflict views of network members, the ED's work sometimes gets hampered.

However, in the last two years there has been a slight improvement in the leadership position. The network members offer less opposition to the ED, because over the period he is has become more approachable, cooperative and responsive and as a result of which he is able to get support for his decisions from the board members. He is thus able to implement his decisions and guide his staff better.

The Executive Director has now more flexibility to take up new projects as per the need and demand and can send it to different donor agencies. This has resulted in getting projects from UNICEF on MDR

(maternal child death review)[11] and from Simavi on MHM (menstrual hygiene management) and Child Marriage. This in turn has led to increased financial and other resources not only for BVHA but also for its partners as well as increased job satisfaction for the senior and junior management staff. BVHA has also formed Advisory Committees comprising 15 visionary intellectuals who contribute/assist ideas/suggestions in the strategic planning process.

Score baseline: 3.0

Score endline: 3.5 (slight improvement)

1.3.Staff turnover: 'Staff turnover is relatively low'

This is about staff turnover.

BVHA's staff turnover is not uniform. While the top leadership continued to remain in the same position for the last two decades, over the last two years some project staff have left the organisation. The main reason for this is linked to the amount of salaries (salaries cannot be more than 15 % of the budget as a donor requirement) received by them in comparison to the work done; better opportunities found in other places and absence of any scope of promotion within the organisation. To deal with the high programme staff turnover, Simavi demanded a clause in the contracts of recruits and the ED has brought in a new policy with the approval of the Board that when project staff join the organisation they cannot leave a project before completion.

Earlier the Governing Board members were not very interested in giving promotions to staff who were working in BVHA for many years as they were more interested in conducting interviews with people from outside for vacant posts at senior positions. But now, the Governing Board has taken a positive step to promote the existing staff to higher levels based on their dedication, performance and years of service at BVHA. This is a major motivating factor at the staff level.

Score baseline: 3.5

Score endline: 3.75 (very slight improvement)

Level of realistic strategic planning

1.4.Organisational structure: 'Existence of clear organisational structure reflecting the objectives of the organisation'

Observable indicator: Staff have copy of org structure and understand this

BVHA staff members are aware of the organisational structure in BVHA, and a written copy is available.

Score baseline: 4.0

Score endline: 4.0 (no change)

1.5.Articulated strategies: 'Strategies are articulated and based on good situation analysis and adequate M&E'

Observable indicator: strategies are well articulated. Situation analysis and monitoring and evaluation are used to inform strategies.

For all the progammes BVHA's strategies are now based more on situational analysis and project outcomes rather than just outputs. There are now continuous and regular discussions on outputs/ outcomes, planning of achievements, use of multimedia IEC strategies and multi-stakeholder

[11] A project funded by UNICEF was initiated in two districts of Bihar. This is a pilot intervention to institutionalise MDR process and provide a road map for establishing a routine system for review of all maternal deaths as per the Maternal Death Review guidelines of Government Of India.

involvement at various levels which facilitates strategic planning. For example: training and support is given to Civil Society Organisations (CSOs) and target groups on SRHR issues which increases the meaningful participation of target groups in monitoring the health delivery services/system. For example, in implementing the project 'Initiative to improve maternal health with social determinants approach' they formed Village Health Sanitation and Nutrition Committees (VHSNCs) as taskforces to monitor the maternal health services in the villages. This facilitated the organisation to analyse the situation on how maternal deaths are not reported properly though it is mandatory under NRHM. Moreover, the actual reason for death (e.g. socio-economic, health facility and other) are neither analysed nor addressed. It is very much necessary for the service providers and policy makers to identify the root cause for to create healthy maternity in Bihar. In the light of this situational analysis BVHA initiated a pilot intervention project 'Maternal Death Review' funded by Oxfam to institutionalise MDR process, documentation of the reports and provide a road map for establishing a routine system for review of all maternal death. On another instance, discussions with the local partners especially those working in the bordering districts (adjacent to Nepal) identified the big problem regarding the sexual reproductive health issues. Being bordering districts there is high prevalence of trafficking especially for women/adolescent girls leading to SRHR problems, which make the situation more critical. This situational analysis helped BVHA to initiate the "Community empowerment on Gender Equity to access Reproductive Health Rights" project in these regions. BVHA has also been working on establishing linkages and collaboration with likeminded NGOs and government for sharing and learning SRHR issues. It conducts monthly meeting with Integrated Child Development Service (ICDS) staff, medical officers, ANM etc., where the status of the immunisation, ANC, PNC etc. are discussed and monitored. This further facilitates the organisation to develop strategies for its programmes.

Score baseline: 3.5

Score endline: 3.75 (very slight improvement)

Level of translation of strategy into operations

1.6.Daily operations: 'Day-to-day operations are in line with strategic plans'

This is about the extent to which day-to-day operations are aligned with strategic plans.

In the baseline assessment it was pointed out that the overall operational plan of BVHA was not prepared professionally. BVHA still makes annual plans that are broken down to quarterly and monthly plans that are in line with its strategic goals. However, the implementation of the project continues to depend upon partner/network organisations. Since the baseline BVHA has improved its capability with regard to operational plans by developing formats that are easy to understand for their network and partner organisations, which resulted systematic data collection and timely reporting. The data is further analysed by the project staff to monitor the output and outcome of the project. Proper methods for monitoring progress are now in place, and training of the partners on M&E helped the partners to articulate the work done by them to BVHA by aligning their daily operations with the larger plans. This was a requirement of Simavi for the SRHR project, but its progress in this project has become a motivating factor for other team members to follow such PME methods and as result now reports (qualitative and quantitative) are sent to concerned donors. The district project coordinators conduct monthly review meeting at the field level; the project manager and ED at BVHA are taking more responsibility for monitoring and evaluation of the projects and Simavi has provided planning and reporting formats that enable BVHA to track all the proposed activities, feedback from the donor. All these systems and processes contribute in tracking whether the day to day operations are in line with the strategic plan.

Score baseline: 3.5

Score endline: 4.0 (slight improvement)

Level of staff capacity and motivation

1.7.Staff skills: 'Staff have necessary skills to do their work'

This is about whether staff have the skills necessary to do their work and what skills they might they need.

BVHA's success in the SRHR programme was an outcome of various processes including developing the skills of the members of the project. Enhanced skill sets of BVHA staff members (as an outcome of ARSH clinic visit) led them to replicate it in developing adolescent reproductive health clinic services in the government system as well as bringing about improvement in the quality of the clinic. For instance, the Adolescent Friendly Health Clinics is a case in point. The Executive Director of BVHA could get a basic understanding of adolescent health problems, counselling techniques, how to establish and run such clinics, how to convince the government to take up such an initiative and its linkages with the project at community level. As a result BVHA convinced the Government of Bihar to take up the East Champaran District in the first phase for setting up the ARSH (Adolescence Reproductive Sexual Health) clinics. Staff skills have also been developed with regard to improving their results-oriented activity, inter-staff coordination, cooperation between BVHA personnel and their project partners. Broadly, skill development of the staff has taken place in three broad areas: advocacy, record keeping of PME and financial training.

A new national coordinator of the SRHR alliance has been appointed by the Dutch organisation Rutgers WPF. He plays a vital role in strengthening the SRHR alliance partners through capacity building workshops, review meetings and by providing technical support in the areas of strategy development. He has triggered various discussions on SRHR issues and has been working closely with the BVHA programme manager. He gives constructive feedback to BVHA on plans in order to align them with Simavi's PME requirements. As a result the staff of BVHA has improved, compared to the baseline, its knowledge on SRHR and its 'core skills' such as planning, monitoring and evaluation; data collection; report writing and giving training to its partners. The organisation has also worked on the 'core skill' fundraising: a core committee has been formed at BVHA level for new project proposal development, liaising with new donors and meeting with senior level officials and policy makers for advocacy.

Score baseline: 3.5

Score endline: 4.5 (improvement)

1.8.Training opportunities: 'Appropriate training opportunities are offered to staff'

This is about whether staff at the SPO are offered appropriate training opportunities

The Executive Director provides equal opportunity to all his staff to participate in various workshops and training programmes so that each and everybody is able to enhance his or her skills. For example, the third category level staff (assistants) is given opportunities to participate in the BVHA organised capacity building programmes and also in the programmes organised by other agencies. The number of training programmes for the staff has increased since the baseline. This includes trainings on SRHR, MIS, success story writing, government schemes, comprehensive sexual education, advocacy, output and outcome indicators, the PC and PNDT (Preconception and Prenatal Diagnostic Treatment) Act, financial compliance and communication. All the programme level staff is participating in the capacity building programmes; this is as per the need of the project. In the SRHR project that is funded under MFS II, BVHA staff participated in all workshops and training that were offered via the SRHR alliance. The training topics were identified with BVHA's input and in some cases detailed assessment took place to tailor the training to the participants. Staff also felt strong to give advice to other alliance partners (e.g. on HMIS) and to showcase their project, as best practises so that others could learn from them. BVHA developed a structured capacity building programme for its partner organizations. The capacity building programmes were divided into 2 components – one is to enhance the knowledge of the project staff on the issues related to SRHR and the other is to increase capacity of the staff to conduct sessions in the villages with effective communication skills. This was possible only after the programme staff of BVHA was trained through exposure visits, six monthly regional meetings with alliance partners and training by other donors and state government.

Score baseline: 3.5

Score endline: 4.0 (slight improvement)

1.9.1.Incentives: 'Appropriate incentives are in place to sustain staff motivation'

This is about what makes people want to work here. Incentives could be financial, freedom at work, training opportunities, etc.

In the baseline assessment BVHA's staff indicated that they were not receiving adequate financial incentives. Especially the payments of the programme staffs were not enough, which in turn led to employees leaving the organisation for a better salary. This triggered a major change after the 2012 baseline leading to revision of the salary structure of the BVHA staff members. This was after Simavi asked BVHA to adhere to government standards and agreed to increase their salaries (minimum wage plus 10% provision fund). This was made possible through the accumulation of a corpus fund.

Apart from the changes in the salary structure, additional incentives have been provided through: freedom at work without interference of ED and the board; skill building through training programmes; homely environment as a result of cooperation amongst staff members.

Score baseline: 3.5

Score endline: 4.0 (slight improvement)

Level of Financial Resource Security

1.9.2.Funding sources: 'Funding from multiple sources covering different time periods'

This is about how diversified the SPOs funding sources are over time, and how the level of funding is changing over time.

BVHA has diverse funding sources, following a detailed budget structure. The utilization of money is done accordingly. BVHA receives 100 percent funding from SIMAVI for the MFS II programme on Sexual Reproductive Health Rights. BVHA has also been able to garner funds from Simavi for two new projects: child marriage programme and menstrual hygiene management. Other donors include: UNFPA, UNICEF, the Population Foundation of India, BMZ-KKS, and the Ministry of Health and Family Welfare of the government of India.

Along with diversified funding sources, BVHA could attract government agencies by increasing its visibility at various levels through their new partnership with bilateral and multilateral agencies. This in turn has helped them to attract new funding from different sources. They have also partnered with the alliances formed during the SRHR programme. The SRHR programme of BVHA also became a reference for them to draw the attention of the funding agencies. After the introduction of the CSR Act, BVHA is also exploring funding opportunities with the corporate sector.

The staff is highly motivated and they try to go an extra mile to explore new funding opportunities especially with the corporate sector. Now, more new proposals are prepared and sent to different donor agencies. There is also a tight booking plan for BVHA's training halls and facilities which they rent out to raise funds and they have also planned to conduct various capacity building training programmes and charge the participants to raise money. BVHA has started taking one year to five years subscription fee by making members of its Quarterly NEWS letter to meet the NEWS letter printing costs.

Score baseline: 4.0

Score endline: 4.5 (slight improvement)

1.9.3.Funding procedures: 'Clear procedures for exploring new funding opportunities'

This is about whether there are clear procedures for getting new funding and staff are aware of these procedures.

In BVHA, there are no written, official fund raising procedures but exploring of funding opportunities is done on a regular basis as per the direction and suggestion of the Governing board of BVHA. With the revision of the salary structure there is a new lease of energy amongst the staff. The staff is highly motivated and they try to go an extra mile to explore new funding opportunities especially with the corporate sector. Now, more and better proposals are prepared and sent to different donor agencies.

Other strategies for raising funds including on request training (where participants pay), selling of books, membership fees, renting out its training facilities, and exploring funding possibilities under the CSR act, are being implemented.

Score baseline: 2.5

Score endline: 3.0 (slight improvement)

Summary of capability to act and commit

The Executive Director is more responsive in his interaction with BVHA's partner organisations. This was initially triggered by a requirement of Simavi. The ED has been given more flexibility by the board to take up new projects and approach new donor agencies by getting more involvement in promotion and fundraising for the organisation. While the governing board still holds most authority for making decisions on funding of the projects and utilisation of funds, the executive director experiences less opposition from the network members in terms of his strategic guidance to the organisation as he gains more support from the board.

There is still some staff turnover at the project level, where staff has left because of low salaries or better opportunities. The governing board is now looking more within the organisation to fill vacant senior positions and recognise the performance of existing staff by promoting them. This together with the revision of the salary structure after the baseline assessment and discussions with Simavi has improved the incentives of staff to work at BVHA. Other incentives still include freedom at work, skill development through training and the homely environment created by collaboration between staff. BVHA staff members are aware of the organisational structure in BVHA, and a written copy is available.

BVHA's strategies are now more based on project outcomes from its M&E system, rather than just on outputs. They continue to involve their target groups and link with like-minded NGOs and the government when formulating strategies. The organisation continues to work with annual, quarterly and monthly work plans and BVHA's work continues to rely on their partners' timeliness. However, partners have improved their timeliness because of the introduction of proper progress monitoring methods in the SRHR project by Simavi, that have had its effect on other project teams as well. Some of the core skills that needed to be upgraded during the baseline, have now been developed. This includes: PME and fundraising but also more specific skills and knowledge on SRHR. The presence of the national coordinator of the SRHR alliance at BVHA has contributed to this. Also all BVHA staff had equal access to more training programmes, as per their programme's need on the topics: SRHR, MIS, success story writing, government schemes, comprehensive sexual education, advocacy, output and outcome indicators, the PC and PNDT Act, financial compliance and communication.

BVHA has increased its visibility because of its involvement in the SRHR project and alliance. This attracted donors like UNFPA, UNICEF, the Population Foundation of India, BMZ-KKS and the government of India and Simavi approving two new projects. They also have other strategies to raise funds which include renting out their training facilities and providing training for paying participants. There are still no written funding procedures, but staff has become more motivated after the revision of the salary structure and better capable to write and send more and better proposals to new donor agencies.

Score baseline: 3.5

Score endline: 4.0 (slight improvement)

Capability to adapt and self-renew

Level of effective application of M&E

2.1.M&E application: 'M&E is effectively applied to assess activities, outputs and outcomes'

This is about what the monitoring and evaluation of the SPO looks at, what type of information they get at and at what level (individual, project, organisational).

Already during the baseline evaluation, BVHA had a monitoring and evaluation system in place. The M&E is now focussing more on outcomes than during the baseline. The project officer of BVHA for the SRHR project took part in the M&E activities and is now better equipped to understand outcomes and impacts. BVHA has learned to understand better how outcomes are measured through frequent interactions with Simavi, workshops on PME, biannual PME meetings with other SRHR alliance partners in which BVHA compared strategies, learned from best monitoring examples and did peer-reviewed organisational assessment exercises.

Various tools for monitoring outcomes in the SRHR project were discussed during these SRHR alliance meetings and interaction with Simavi, for example:

- List of questions measuring Knowledge, Attitude and Practice (KAP) on SRHR issues linked to the different outcomes. A list of essential KAP questions and possible answers is given in the template.
- Use of an exit satisfaction questionnaire for the outcome: 40% of maternal health facilities show an increase in satisfaction by women. This allows project managers to analyse surveys per 3 months and compare the level of satisfaction in the first 3 months with the last 3 months.

In the overview on how the M&E is organised in India for the SRHR alliance it can be seen that for the BVHA SRHR project:

- Planned outputs are monitored and reported on;
- There is an outcome plan for 2013, with per outcome indicator: a definition, notes of the discussion that has taken place on the indicator during the PME meetings with Simavi and other alliance partners, source of verification (what is planned on how to measure it) and frequency of measurement;
- For each indicator on both outcome and output level agreements on the definition and how to measure it, were made during the alliance meetings in May and October 2012;
- In this overview BVHA filled in for each indicator which method for data collection they intend to use, which sample and the period for when this is planned. Simavi gives her feedback on this and makes suggestions for improvement.

BVHA visits the partner organisations for a monthly review and invites them for a quarterly review in the BVHA office. The Executive Director also does independent and regular monitoring of the projects through personal visits, phone calls and monthly review meetings. There are also surprise visits by the board members. Community based monitoring is done by filling up monitoring sheets. In the SRHR project BVHA has MIS formats in place for the advocacy officer of BVHA to create monthly reports, for district coordinator of the partner NGO to produce monthly NGO District consolidation reports based on the monthly MIS formats of the Panchayat level motivator of partner NGOs and the project manager of BVHA to produce monthly state reports of the SRHR project.

Score baseline: 3.0

Score endline: 4.0 (improvement)

2.2.M&E competencies: 'Individual competencies for performing M&E functions are in place'

This is about whether the SPO has a trained M&E person; whether other staff have basic understanding of M&E; and whether they know what information to collect, how to process the information, how to make use of the information so as to improve activities etc.

While there is still no dedicated M&E person at BVHA, at least one staff member has become much more expert in M&E through support from the national programme coordinator, PME workshops and individual supervision by Simavi. Other staff have also improved their skills to design formats for data

collection and analyse data through participating in various training programmes organized by development agencies on M&E and through inviting M&E experts themselves for in-house training.

Project officers do the monitoring of the projects. In the SRHR project, M&E is very structured with formats for monitoring and report writing and the project manager makes monthly monitoring visits.

The Executive Director is also involved in monitoring by taking pro-active measures in the form of surprise visits to the partners, and being on call in case there is a need. This has also inspired the Board members to do the same. Every month the project officers send project progress reports and plans to the ED through e-mail.

Score baseline: 3.0

Score endline: 3.5 (slight improvement)

Level of strategic use of M&E

2.3.M&E for future strategies: 'M&E is effectively applied to assess the effects of delivered products and services (outcomes) for future strategies'

This is about what type of information is used by the SPO to make decisions; whether the information comes from the monitoring and evaluation; and whether M&E info influences strategic planning.

BVHA has since the baseline improved its M&E capacity and is better able to analyse collected data, now also at outcome level, not only output level, which helps them to inform future strategies. This enables them to identify strategic moves, develop more effective interventions, such as multiple strategies. BVHA was able to develop this because of learning from others, workshops on strategies and joint analysis of project results within the SRHR alliance. Simavi (as a funder) allows for strategic changes in the programme and budget. An example of this is that BVHA lobbied for working with in-school youth, while Simavi was not encouraging this, but together they revised the strategy to include this group. There is thus more room for making strategic changes based on M&E, particularly because the results of a focus on outcomes and not only outputs and engagement of stakeholders in strategic development.

Score baseline: 2.0

Score endline: 3.0 (improvement)

Level of openness to strategic learning

2.4.Critical reflection: 'Management stimulates frequent critical reflection meetings that also deal with learning from mistakes'

This is about whether staff talk formally about what is happening in their programs; and, if so, how regular these meetings are; and whether staff are comfortable raising issues that are problematic.

Regular monthly meetings, quarterly governing board meetings, submission of reports and discussion of programmes where staff feel comfortable to raise issues, continue to be the norm. The project heads are now empowered to take decisions related to their projects when issues arrive and only need to follow administrative formalities and accounting principles when this happens. In the monthly meetings that are held each staff member has to give an update on the work done in the previous month and give reasons if they have not been able to deliver an output. While this is a stock taking exercise it also allows the staff to critically reflect upon the reasons for their under/non-performance. The Executive Director continues to have limited power and still has to consult the board often which causes delays in communicating decisions to staff and acting upon them.

Score baseline: 3.0

Score endline: 3.0 (no change)

2.5. Freedom for ideas: 'Staff feel free to come up with ideas for implementation of objectives

This is about whether staff feel that ideas they bring for implementation of the program are welcomed and used.

The Executive Director is very friendly, approachable and open to ideas of his staff members. There has been some improvement in that BVHA staff has now been able to come up with some new ideas, albeit donor driven, through learning from other organisations and encouragement by Simavi to look for innovations or new strategies. For example, the idea of integrating different programmes has now been taken on board. Staff ideas are still welcomed and supported.

Score baseline: 3.0

Score endline: 3.25 (very slight improvement)

Level of context awareness

2.6.System for tracking environment: 'The organisation has a system for being in touch with general trends and developments in its operating environment'

This is about whether the SPO knows what is happening in its environment and whether it will affect the organization.

Over the last two years BVHA has improved its networking capability. By virtue of its involvement in the SRHR forum, BVHA interacts with many organisations and the government. This has enabled BVHA to continue to follow trends and developments by getting information through its network members, board members, government officials, UN agencies, donors and media at various forums such as meetings, seminars, training sessions and workshops. BVHA asks VANI (Voluntary Action Network India), New Delhi or VHAI for any new laws related to NGOs and also shares it with its network organisations. Besides this, BVHA meets the different concerned stakeholders to find out the actual situation which is then discussed in staff meetings, Governing Board Meetings and also in the General Body Meetings if an imported external change is noted or a new NGO law is implemented.

Also through BVHA increased involvement in the SRHR alliance, there is an exchange of information so that they are better informed of what is happening in other states or at national level to pro-actively explore what is happening in their own environment.

Score baseline: 4.0

Score endline: 4.25 (very slight improvement)

2.7.Stakeholder responsiveness: 'The organisation is open and responsive to their stakeholders and the general public'

This is about what mechanisms the SPO has to get input from its stakeholders, and what they do with that input.

BVHA continues to be open and responsive to their stakeholders, but this has still not been institutionalised. Inputs of network partners during network meetings are used to identify projects for proposals. BVHA has started to hold at least two Governing Board Meetings in the area of any network member organisation and also invite them to BVHA's office twice a year. In this way, the Governing Board has the opportunity to meet the management and staff of the hosting network organisation and at the same time BVHA can meet other network partner organisations to discuss and identify their need and expectations from BVHA face to face.

Score baseline: 3.0

Score endline: 3.25 (very slight improvement)

Summary of capability to adapt and self-renew

Already during the baseline evaluation, BVHA had a monitoring and evaluation system in place. The M&E is now focussing more on outcomes than during the baseline. This is evident from BVHA's improved understanding of how to measure outcomes through discussing this within the SRHR alliance and guidance of Simavi. There is an overview of how M&E is organised in the SRHR project which provides very clear instructions on each output and outcome indicator and how to measure it. Use of MIS has also improved since the baseline: MIS formats are in place for advocacy officers and partner organisation for monthly reporting on progress in the SRHR project. While there is still no dedicated M&E person at BVHA, staff skills in M&E have improved with support from the national programme coordinator, PME workshops, individual supervision by Simavi and through inviting M&E experts for in-house training (sometimes funded by other donors). Project officers do most the monitoring of the projects, the Executive Director is now also more pro-actively involved in monitoring. There is more room for making strategic changes based on M&E, because of the focus now also on outcomes, not just outputs. Furthermore, Simavi stimulates this and BVHA has improved its M&E capacity so that they are now better at analysing (also strategic level) data and identifying strategic moves and more effective interventions based on this. Staff can raise issues with their project heads, who are now more empowered to take decisions, during regular monthly meetings or during quarterly governing board meetings. In the monthly meetings staff give a progress update and reflect upon their performance. The Executive Director continues to have limited power which causes delays in communicating decisions to staff and acting upon them. Staff is still free to come up with ideas that are welcomed by the ED. Through encouragement and learning from other organisations BVHA has been coming up with some new ideas like integrating different programmes. Through its involvement in the SRHR alliance, BVHA has improved its networking capability and is now better informed on what is happening in other states, and at national level and can respond proactively. BVHA also gets information through its network members and other NGOs on important new NGO laws and external changes that are then discussed with staff and in board meetings. BVHA continues to be open and responsive to their stakeholders, but this has still not been institutionalised. Inputs of network partners are used to identify projects and BVHA now holds at least two Governing Board Meetings per year so that the board can meet the management and staff of the hosting network organisation and identify their need and expectations from BVHA face to face.

Score baseline: 3.0

Score endline: 3.5 (slight improvement)

Capability to deliver on development objectives

Extent to which organisation delivers on planned products and services

3.1.Clear operational plans: 'Organisation has clear operational plans for carrying out projects which all staff fully understand'

This is about whether each project has an operational work plan and budget, and whether staff use it in their day-to-day operations.

Every project of BVHA still has an operational work plan and budget. The concerned programme staff has full knowledge of the implementation plan and budget of their respective budgets. BVHA is now more critical and realistic about efficient budget utilisation, asks timely for reallocation due to contextual changes and has improved its operational plans. There is now a core group that sits together to discuss certain issues and prepare the budget for proper project implementation. BVHA is consulting its partners in the preparation of formats that guide the project implementation in the SRHR project, but is now also applying this in other programmes. The improvement of operational plans and corresponding budgets is because of stronger requirements from Simavi and the support and feedback BVHA receives from them in planning and using the budget.

Score baseline: 4.0

Score endline: 4.5 (slight improvement)

3.2.Cost-effective resource use: 'Operations are based on cost-effective use of its resources'

This is about whether the SPO has the resources to do the work, and whether resources are used cost-effectively.

BVHA's budgets are now more realistic. They are able to implement the plan within the budget and ask timely for reallocation due to contextual changes. For the SRHR project the budget per year per beneficiary (block population) is 0,67 Euro.

To cut costs BVHA conducts most of their meetings in their own facilities, uses the internet to cut the costs of mailing and paper, uses PowerPoint during meetings to save paper costs and schedules visits to network member organisations when they are on the way during visits to ongoing projects. Furthermore, BVHA has started to enrol participants of its member organisations in the capacity building programmes of any ongoing projects based on the theme. This way they reduce travel costs and save on organising separate capacity building events. BVHA is maintaining a proper inventory and stock register, which has helped in the proper use of the resources. Some costs are still there in sending annual general body meetings letters and a few important letters through post to some of the partners that do not have access to internet services.

Score baseline: 3.5

Score endline: 4.0 (slight improvement)

3.3.Delivering planned outputs: 'Extent to which planned outputs are delivered'

This is about whether the SPO is able to carry out the operational plans.

In the baseline assessment it was pointed out that the overall operational plan of BVHA was not prepared professionally. Since the baseline BVHA has improved its capability with regard to operational plans by developing formats that are easy to understand for their network and partner organisations. Information from its partners is now reaching BVHA on time and according to the requirements. It has therefore become easier to monitor what has been achieved and done by the partner organisations. These changes in BVHA are attributed to the donor driven requirements of Simavi, NPC and Alliance partners. While during the baseline BVHA only reached their outputs, they are now reaching outcome results, which indicates improvement. For example in the annual report for the SRHR project it can be seen that BVHA is reaching or even surpassing the targets that are set for output indicators in the different result areas, such as civil society strengthening, MDGs and increased capacity of partner organisations. Monthly action plans help staff to carry out the operational plans, report on their progress and in case of not accomplishing a particular task, give reasons for it and complete it in the next month.

Score baseline: 3.0

Score endline: 4.0 (improvement)

Extent to which delivered products and services are relevant for target population in terms of the effect they have

3.4.Mechanisms for beneficiary needs: 'The organisation has mechanisms in place to verify that services meet beneficiary needs'

This is about how the SPO knows that their services are meeting beneficiary needs

Despite working through network partners, who in turn are directly involved with the beneficiaries, BVHA is still aware of the needs of the beneficiaries by sending their staff on household visits in the target area and through close interaction with partners. In addition to this, BVHA is now monitoring its programmes through feedback questionnaires to stay informed about the actual situation in beneficiary areas. With the help of Simavi, client opinion and satisfaction surveys are now included in the monitoring framework, as a way for clients to provide feedback on the project. Contrary to the baseline situation, now structured mechanisms to verify whether services meet beneficiary needs are in place, at least for the MFS II funded project. BVHA has also developed formats to assess the needs

of its network partner organisations and it has sent this to its member network organisations. Furthermore, management has started to conduct regional meetings with its partner organisations to find out their needs and what they expect from BVHA.

Score baseline: 3.5

Score endline: 4.0 (slight improvement)

Level of work efficiency

3.5.Monitoring efficiency: 'The organisation monitors its efficiency by linking outputs and related inputs (input-output ratios)'

This is about how the SPO knows they are efficient or not in their work.

There are still no formal input-output ratios calculated in BVHA, even though monitoring and evaluation generally has improved. Staff is monitored through monthly action plans and progress reports. Periodical staff appraisal has been initiated to monitor efficiency. Most projects have a log frame matrix in which activities are linked to outputs and outcomes, as per demand of the donor. Regular meetings with the SRHR alliance partners and periodic guidance from Simavi and the national coordinator of the SRHR alliance who is based at BVHA have led to a better understanding of these log frames. An advanced monitoring training and sharing in meetings with other project donors have further enhanced BVHA's skills in this.

Score baseline: 2.5

Score endline: 2.75 (very slight improvement)

3.6.Balancing quality-efficiency: 'The organisation aims at balancing efficiency requirements with the quality of its work'

This is about how the SPO ensures quality work with the resources available

There are still no formal quality control mechanisms. The monitoring mechanism at BVHA has been strengthened. Close monitoring has increased and is now done by the concerned project head as well as by management. In the last financial year BVHA's Governing Board took the decision to hold its quarterly meetings at the site of the projects that are either directly implemented by BVHA or that are implemented by its network organisations to see the progress, gaps and challenges.

The accounting system of BVHA has been upgraded as per the standard norms. BVHA is now keener to discuss budget reallocations to increase the effectiveness or quality of their work. Efficiency is then also discussed with the donor, for example through scaling up in areas where the work is going well. Quality control was a topic of discussion during the SRHR alliance meetings, joint capacity building programmes and in ongoing review meetings with other donors. Accordingly corrections were made and BVHA is continuously trying to upgrade its quality control mechanisms.

Score baseline: 2.0

Score endline: 2.5 (slight improvement)

Summary of capability to deliver on development objectives

Every project of BVHA still has an operational work plan and budget. BVHA is now more critical and realistic about efficient budget utilisation, asks timely for reallocation due to contextual changes and has improved its operational plans. This led to BVHA's budgets being more realistic now and them being able to implement the plan within the budget. The organisation is still doing its level best to use its resources effectively by keeping an inventory, reducing on mailing and paper costs by using the internet and by using its own facilities for trainings and meetings. As operational plans of BVHA improved, so did the formats to monitor their partners' progress. These are now easier to understand so that the information that reaches BVHA is more accurate and timely. BVHA is now reaching its

output and outcome results and has monthly action plans in place through which staff report their progress and follow up on unaccomplished tasks.

In contradiction with the baseline scenario, BVHA now has a structured mechanism in place to verify that services meet beneficiary needs, as Simavi made client opinion and satisfaction surveys part of the monitoring framework for the MFS II funded project. BVHA also assesses the needs of its network partners through formats and regional meetings. There are still no formal input-output ratios calculated in BVHA. Although there are still no formal quality control mechanisms, the monitoring mechanisms of BVHA were strengthened. BVHA is now keener to discuss budget reallocations to increase the effectiveness or quality of their work. Efficiency is also discussed with Simavi through e.g. scaling up in areas where work is going well. Quality control has also been a topic of discussion during SRHR alliance meeting and review meetings with other donors. BVHA is continuously trying to upgrade its quality control.

Score baseline: 3.0

Score endline: 3.5 (slight improvement)

Capability to relate

Level of involving external parties in internal policy/strategy development

4.1.Stakeholder engagement in policies and strategies: 'The organisation maintains relations/ collaboration/alliances with its stakeholders for the benefit of the organisation'

This is about whether the SPO engages external groups in developing their policies and strategies, and how.

The Governing Board of members continues to play a very important role to the extent of sometimes being authoritative. It is the responsibility of the executive director of BVHA to arrange meetings with the Board and keep them updated on all important issues. The board members, trained staff of BVHA and consultants take part in developing policies and strategies for BVHA. BVHA has formed a BVHA Programme Advisory Committee which sits after every six months to help BVHA in developing and setting strategies, quality programmes and direction for effective implementation. Besides direction of the Governing Board of BVHA, now BVHA is engaging its partner organisations in planning the programme, designing the implementation plan as well as also in developing the M&E and data collection formats.

BVHA has been able to play a pivotal role in the SRHR Alliance. BVHA’s SRHR initiative aims at Community empowerment on Gender Equity to access Reproductive Health Rights in 2 districts of Bihar. This initiative was identified through discussion with the network partners especially those working in the bordering districts who experience problems due to sexual reproductive health issues.

Score baseline: 3.5

Score endline: 3.75 (very slight improvement)

Level of engagement of organisation in networks, alliances and collaborative efforts

4.2.Engagement in networks: 'Extent to which the organization has relationships with existing networks/alliances/partnerships'

This is about what networks/alliances/partnerships the SPO engages with and why; with they are local or international; and what they do together, and how do they do it.

The organisational structure of BVHA is based on its engagement with partner organisations. Their networks can be broadly divided into (1) SRHR or NGO network; (2) National or local level and (3) formal or informal. Some of the organisations with which they have networked are as follows:

Network	Level
Jan AdhikarManch	State Level, formal, (only NGOs)
Public Health Resource Network (PHRN)	National level, formal, only NGOs, lawyers, activists
Health Watch Forum Bihar	State Level, formal, only NGOs, Activists
Vada Na todoAbhiyan	National Level, formal, only NGOs, Activists
Christian Health Association of Bihar & Jharkhand	State Level (Bihar & Jharkhand), formal, only health clinics and NGOs
Jan SwasthyaAbhiyan	National level, formal,
VHAI – New Delhi	National Level, State voluntary Health Associations
VANI (Voluntary Action Network of India)	National Level, formal, NGOs
State Level SRHR forum at Patna	State Level, Formal, NGOs, Govt. and networks.
District level SRHR Forum at West Champaran	District Level, Formal, NGOs, development partners

BVHA has networked with government, Panchayati Raj Institutions (PRIs), the education and health department and NGOs to improve health conditions for individuals, especially sexual and reproductive health for women as well as the promotion of preventive and curative measures. Engagement with these networks has been mainly through workshops. Some of the examples of these workshops are: training on advocacy, progress, joint agenda; three day advocacy workshop: working on state level and national joint agendas; state level visit; three day capacity building workshop for SRHR Alliance by CINI on policy and advocacy.

BVHA continued to work in 38 districts of Bihar with 115 members and 300 associated non-members. Over the last two years the main change has been BVHA's increased work on advocacy with different levels of government officials for better SRHR services specifically at the state, district and block level which has led to proper access of the required services for the community. This has been a component of the SRHR project with the aim for BVHA to serve as a link between the government and the beneficiaries so that the beneficiaries get quality services. In networking with various agencies BVHA has been initiated as a state level network for SRHR issues that led to enhanced recognition and rapport with government officials and development agencies. With a view to be in a better position to carry out sustained lobbying and advocacy with policy targets, further capacity strengthening initiatives have been undertaken by BVHA: increased collaboration between SRHR partners; training of partner representatives of SRHR Alliance on CSE and SRHR.

BVHA is now an active part of the India SRHR Alliance which is continuously working on the SRHR related issues to advocate at national, state and district level. Several issues are jointly identified which are common in the three states and strategies to address them by for example developing the SRHR manual. Besides that, BVHA is an active member of the Wada Na Toda Abhiyan-Bihar and the India Chapter. BVHA has also discussed many health issues with the community people in 16 Member of Parliament constituencies of Bihar and accordingly these issues were compiled and submitted to the concerned political parties for inclusion in their political manifesto and many of the issues are now included. BVHA is in collaboration with the Health Watch Forum Bihar and Centre for Health and Social Justice, New Delhi, addressing the quality of family planning issues in Bihar. Besides that, BVHA is raising health issues in different other forums and is making regular correspondences with its network partners to visit and meet the Civil Surgeon and District Magistrate to make the District Health Society and other government formed Committees functional.

A last example of BVHA's network at work is when they were able to help their sister organisation in Bettiah by getting permission from the district collector for the civil surgeon and the medical officer in charge of the community health centre to implement their SRHR in the sister's organisation hospital without any resistance. This has led to improving their quality of work and strengthening of their relationship with BVHA.

Score baseline: 4.0

Score endline: 4.5 (slight improvement)

Extent to which organisation is actively engaging with target groups

4.3.Engagement with target groups: 'The organisation performs frequent visits to their target groups/ beneficiaries in their living environment'

This is about how and when the SPO meets with target groups.

The organisational structure of BVHA is still such that their direct target groups are their network partners, who in turn interact with the beneficiaries. It is only during the Annual General Body meetings and workshops organised by BVHA that there is an opportunity for direct interaction with the beneficiaries. Over the last two years, board members and the Executive Director of BVHA have taken the initiative to visit the target groups when invited by the partners, and surprise visits are also made. This change has been attributed to the demands made by the donor. When the concerned project head goes to their concerned project operational areas, they also visit the other network partners who are close by or on the way. The BVHA Governing Board also took the decision to hold at least two Governing Board Meetings in the project network partner's place so as to meet and interact with them and other network organisations located nearby. BVHA has also started implementing some projects directly in the community where they are continuously interacting with the target beneficiaries in the Maner and Phulwarisharif blocks of the Patna district and in the Bidupur block of the Vaishali district. Regular engagement with the partner organisations is also in the mandate of the MFS II funded project on SRHR. Within this project BVHA visits the partner projects on a monthly basis and reviews the activities and progress on quarterly basis. Partners received frequent supervision from BVHA and got new exposures through the SRHR alliance.

Score baseline: 3.5

Score endline: 4.0 (slight improvement)

Level of effective relationships within the organisation

4.4.Relationships within organisation: 'Organisational structure and culture facilitates open internal contacts, communication, and decision-making'

How do staff at the SPO communicate internally? Are people free to talk to whomever they need to talk to? When and at what forum? What are the internal mechanisms for sharing information and building relationships?

Staff continue to be free to share their problems and opinions at any time. Some of the forums where staffs can communicate their issues to top management are: monthly staff meetings, quarterly financial meetings, quarterly meetings with board members and meetings with the core group and project coordinators. For issues or grievances staff now first discuss this with their immediate supervisors and if it is not solved there, then it is referred to higher level. Many such issues are also discussed in the one to one meetings and sometimes jointly in the monthly staff meetings. Sometimes, if the matter is very serious, then it is referred to the Governing Board. If staff members want to discuss an issue on the programme part, then they first discuss the matter with the programme manager and if it is required to discuss it at the higher level, then, the concerned project head on an individual basis or along with the programme manager comes to the Executive Director to sort out the matter.

Score baseline: 4.0

Score endline: 4.0 (no change)

Summary of capability to relate

The Board of BVHA, that is composed of network members, still has an important role in developing policies and strategies together with staff. BVHA still engage partner organisations in planning of projects, but now also involves them in developing M&E formats. A BVHA Programme Advisory Committee has been established that meets every six months to discuss strategies and give directions

for effective implementation. An example of a project that was designed participatory is the SRHR initiative that was developed together with BVHA's network partners. The organisational structure of BVHA is based on its engagement with partner organisations. BVHA continued to work in 38 districts of Bihar with 115 members and 300 associated non-members. Over the last two years the main change has been BVHA's increased work on advocacy with different levels of government officials for better SRHR services specifically at the state, district and block level which has led to proper access of the required services for the community. With a view to be in a better position to carry out sustained lobbying and advocacy with policy targets, further capacity strengthening initiatives have been undertaken by BVHA: increased collaboration between SRHR partners; training of partner representatives of SRHR Alliance on CSE and SRHR.

BVHA still works mostly through their network partners which they now visit more frequently (monthly) as this was in the requirements of the MFS II funded project. The Board and Executive Director also took the initiative to visit target groups themselves and make surprise visits. BVHA has also started implementing projects directly and has in that sense increased its interaction with the beneficiaries. Staff continue to be free to share their problems and opinion at any time. Staff can communicate their issues to top management during monthly and quarterly meetings. Issues or grievances of staff are now first discussed with their immediate supervisors and if it is not solved there, then it is referred to higher level.

Score baseline: 3.75

Score endline: 4.0 (very slight improvement)

Capability to achieve coherence

Existence of mechanisms for coherence

5.1.Revisiting vision, mission: 'Vision, mission and strategies regularly discussed in the organisation'

This is about whether there is a vision, mission and strategies; how often staff discuss/revise vision, mission and strategies; and who is involved in this.

Vision and mission of BVHA remain unchanged. There continues to be discussion on the vision and mission of the organisation once a year in the Annual General Body Meeting. Members, programme officials and management are involved in the discussion. A Programme Advisory Committee that has been formed for effective programme management and future strategy development. Strategy related changes that were adopted by BVHA as a result of donor's demands only led to strengthening of the organisation's mission.

Score baseline: 4.0

Score endline: 4.0 (no change)

5.2.Operational guidelines: 'Operational guidelines (technical, admin, HRM) are in place and used and supported by the management'

This is about whether there are operational guidelines, which operational guidelines exist; and how they are used.

BVHA has a personnel, admin, finance, gender and child protection policy which remain unchanged. The detailed technical guidelines for the SRHR project that were missing during baseline are now in place. BVHA developed with the SRHR alliance a detailed SRHR manual with guidelines for better implementation of the SRHS project.

Score baseline: 4.0

Score endline: 4.5 (slight improvement)

Level of coherence of various efforts of organisation

5.3.Alignment with vision, mission: 'Projects, strategies and associated operations are in line with the vision and mission of the organisation'

This is about whether the operations and strategies are line with the vision/mission of the SPO.

BVHA continues to keep its projects; strategies and operations in line with the vision and mission of the organisation.

Score baseline: 4.5

Score endline: 4.5 (no change)

5.4.Mutually supportive efforts: 'The portfolio of project (activities) provides opportunities for mutually supportive efforts'

This is about whether the efforts in one project complement/support efforts in other projects.

Health remains the focus area for BVHA and projects are chosen in consonance with it and are mutually supportive. While health remains a focus area, availability of donor agencies determines the particular area under health issues to be focussed on.

Score baseline: 3.5

Score endline: 3.5 (no change)

Summary of capability to achieve coherence

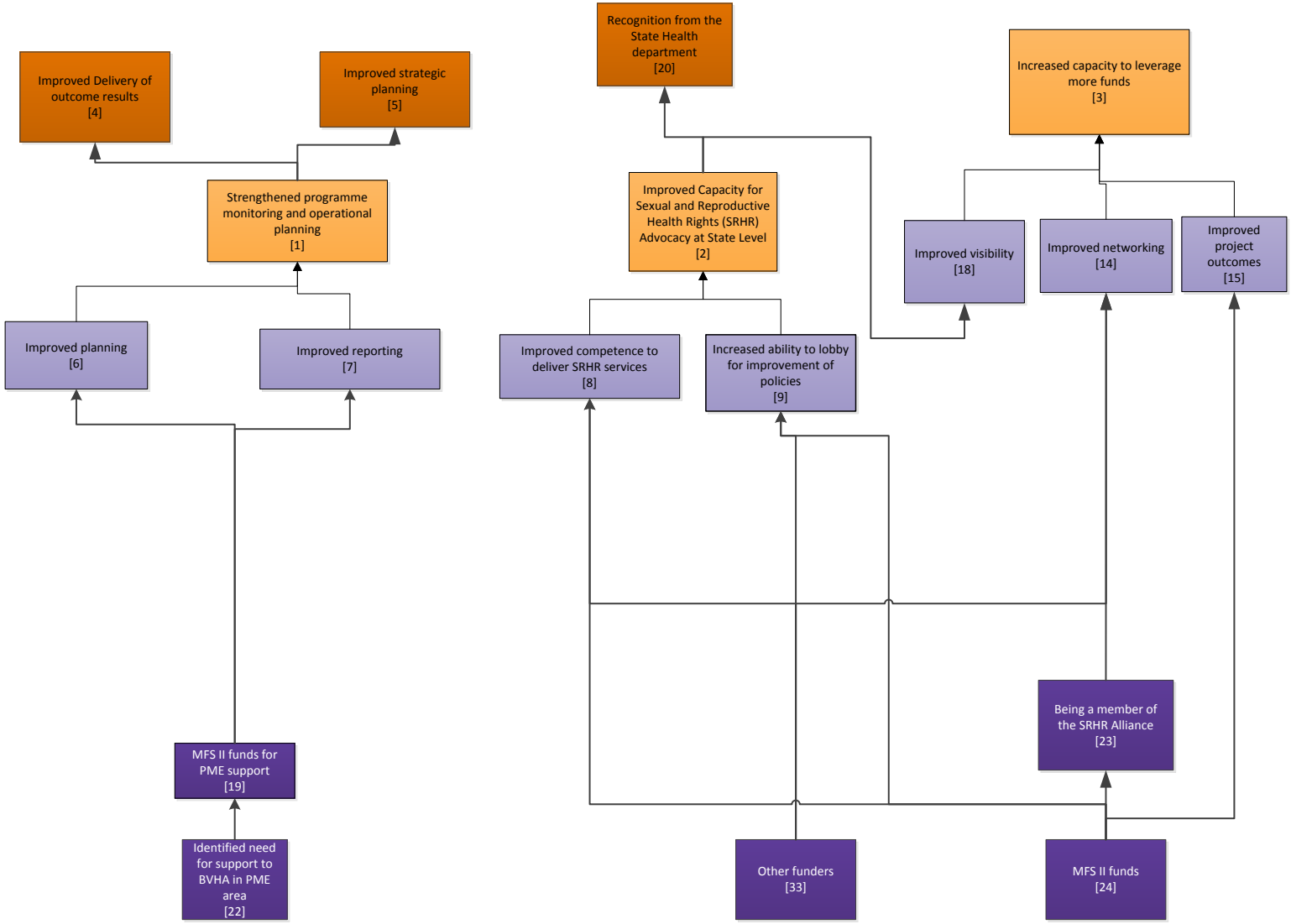
The vision and mission of BVHA have remained the same. BVHA's projects remain to mostly focus on health related issues, where the availability of donor agencies determines the specific issue to focus on. Projects are mutually supportive. Personnel, admin, finance, gender and child protection policies remain in place. There are now detailed technical guidelines for the SRHR project, developed with the SRHR alliance since the baseline. Operations and strategies of BVHA which now include health and livelihoods remain aligned to their vision and mission.

Score baseline: 4.0

Score endline: 4.1 (no change)

Appendix 4 Results - key changes in organisational capacity - general causal map

As the changes in organisational capacity in the general causal map and the detailed causal maps partly overlap, you will find the detailed causal map of increased capacity to leverage more funds here, for the other two key outcome changes, please refer to Appendix 5 for the details.



Increased capacity to leverage more funds [3]

This was another key organisational change that was mentioned by the staff present at the endline workshop. This increased due to: improved networking [14]; improved project outcomes [15] and improved visibility [18].

The capacity to leverage more funds [3] has increased. Staff of BVHA is highly motivated and tries to go an extra mile to explore new funding opportunities especially with the corporate sector. Now, more new proposals are prepared and sent to different donor agencies the utilization of the BVHA training hall and facilities by other organisations has increased which provides a good source of income for BVHA. Besides this, BVHA has planned to conduct various capacity building training programmes and charge the participants to raise money. BVHA has also started collecting a subscription fee for its Quarterly NEWS letter to meet the costs of producing NEWS [Source: 5c endline self-assessment sheet_management_India_BVHA].

- Improved visibility [18] was another reason for improved capacity to leverage funds.
  - BVHA's visibility improved because *of improved advocacy at state level [2].* Some of the advocacy interventions in the SRHR project have led to BVHA meeting the most senior officials and ministers to discuss on the SRHR issues in Bihar and it has helped for better recognition of BVHA at the state level. This evident from the fact that BVHA could get the approval of the state government to undertake East Champaran district (one of the SRHR project districts) and set up Adolescent Friendly Health Clinics. Further, the Government of Bihar recognizes BVHA as a member of the State Technical Advisory group in Bihar and invites BVHA for consultation whenever there is a meeting related to SRHR issues. Also BVHA is the member of state level thematic sub groups on TFR, MMR and IMR for policy level changes. Improved capacity and visibility facilitated BVHA to leverage funds from government and other sources. For example, as a result BVHA leveraged funds from the Ministry of Health and Family Welfare of the Government of India since 2013 for the "Awareness Building Among communities on Girl Child Survival and PC & PNDT Act" project [Source: 5c endline self-assessment sheet_management_India_BVHA, discussion during endline evaluation, thematic group 11, stag meeting-PFI].

- Improved networking [14] is one of the reasons for this improved capacity to leverage more funds**.** BVHA's networking improved because of:
  - *Being a member of the SRHR Alliance [23]* (through the Simavi supported projects under MFS II [24] [Source: 5c endline self-assessment sheet_management_India_BVHA]. Their credibility as SRHR alliance member, and ability to implement a comprehensive SRHR programme has attracted donors . For example UNICEF started funding the Maternal Death Review Project under the project title 'Piloting Review Maternal Death in two districts of Gaya and Purniya, Bihar' since February 2014 [Source: discussion during endline workshop, BVHA Annual Report 2013-14].

- Improved project outcomes [15]. The project "Pre-conception and Prenatal Diagnostic Techniques (PC PNDT)" supported by Simavi since 2009 to 2012 resulted in improved perception of the community regarding female feticide. For example BVHA Annual Report 2011-12 indicates that over the three year period (2009-12) due to this project there is gender balance in child care, improvement in social and educational status of girls, decline of child marriage and violence against women, pre-sex detection for girl feticide stopped etc. It not only increased visibility and capacity of BVHA at the state and national level but also motivated the staff to approach new funders. As a result BVHA could use this project results to leverage funds from the Ministry of Health and Family Welfare, Government of India since 2013 for the "Awareness Building Among communities on Girl Child Survival and PC & PNDT Act" project [Source: discussion during endline workshop]. This project was funded under MFS II [24].

Appendix 5 Results - attribution of changes in organisational capacity - detailed causal maps

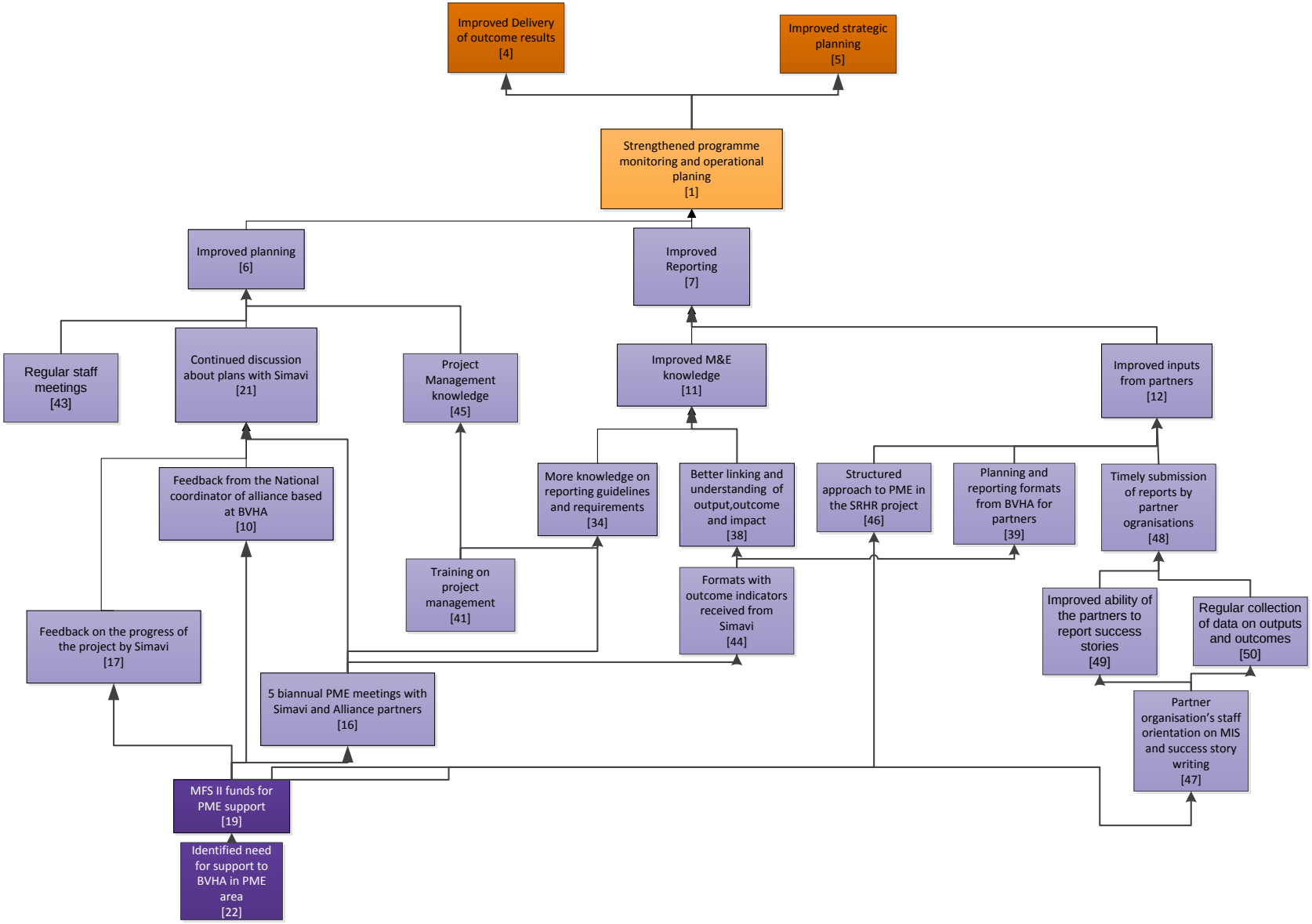
The evaluation team carried out an end line assessment at BVHA from 18 to 20 June 2014. During this workshop, the team made a recap of key features of the organisation in the baseline in 2012 (such as vision, mission, strategies, clients, partnerships). This was the basis for discussing changes that had happened to the organisation since the baseline.

There were three main changes that happened in the organisation since the baseline in 2012:

1. Strengthened programme monitoring and operational planning;
2. Improved Capacity for Sexual and Reproductive Health Rights (SRHR) Advocacy at State Level;
3. Increased capacity in to leverage more funds.

These changes coincided partly with the outcome areas that were chosen for process tracing, so as to get detailed information on how these changes in organisational capacity came about. Therefore the general causal map overlaps strongly with the causal maps developed for each of these outcome areas/organisational capacity changes to be analysed during the process tracing. All the details about these changes in organisational capacity as well as the underlying factors that influenced these changes are described in the narrative and visual below. There is general causal map that explains the overview of these but for the details please see the separate causal maps for improved program monitoring and planning, and the causal map for improved capacity for SRHR advocacy.

The first two main organisational capacity changes are described in the light orange boxes and some of their key consequences are noted above these cards in dark orange. Light purple boxes represent factors and aspects that influence the key organisational capacity changes (in light orange). Key underlying factors that have impacted the organisation are listed at the bottom in dark purple. The numbers in the visual correspond with the numbers in the narrative.


Improved Delivery of outcome results [4]
Improved strategic planning [5]
Strengthened programme monitoring and operational planing [1]
Improved planning [6]
Improved Reporting [7]
Regular staff meetings [43]
Continued discussion about plans with Simavi [21]
Project Management knowledge [45]
Improved M&E knowledge [11]
Improved inputs from partners [12]
Feedback from the National coordinator of alliance based at BVHA [10]
More knowledge on reporting guidelines and requirements [34]
Better linking and understanding of output,outcome and impact [38]
Structured approach to PME in the SRHR project [46]
Planning and reporting formats from BVHA for partners [39]
Timely submission of reports by partner ogranisations [48]
Training on project management [41]
Formats with outcome indicators received from Simavi [44]
Improved ability of the partners to report success stories [49]
Regular collection of data on outputs and outcomes [50]
Feedback on the progress of the project by Simavi [17]
5 biannual PME meetings with Simavi and Alliance partners [16]
Partner organisation's staff orientation on MIS and success story writing [47]
MFS II funds for PME support [19]
Identified need for support to BVHA in PME area [22]

Strengthened Programme Monitoring and Operational Planning [1]

According to the Executive Director, BVHA has strengthened its planning and monitoring activities in the past two years [1] [Source: 5c_endline assessment_ sheet _ India_BVHA _ Simavi_NB]. During the completion of the SRHR project and Oxfam India project, BVHA developed better M&E formats. These formats were shared with their partner organisations for systematic data collection and timely reporting. Through improved planning and monitoring The organisation was thus able to use timely information while planning for future activities. BVHA is now in the process of developing organisational M&E formats for tracking progress of the programs/projects as and when required [Source: 5c endline self-assessment sheet_management_India_BVHA].

Improved planning and monitoring has led to **improved delivery on outcome results** [4] as **well as improved strategic planning** [5]. This is evident from the fact that "*During the baseline, the current project was evaluated and they reached the outputs but not the outcomes. Now their outcome results were very good, this indicates improvement"* [Source: 5c_endline assessment_ sheet _ India_BVHA _ Simavi_NB]. The improvement in outcome results has been due to continuous and regular discussions on outputs/ outcomes and planning of achievements with the CFA and support provided through PME workshops [Source: 5c_endline assessment_ sheet _ India_BVHA _ Simavi_NB].

Strengthened Program monitoring and planning was due to [1]: improved planning [6] and improved reporting [7]. Each of these changes are further discussed below.

Improved planning [6]:

BVHA has improved its planning over the last two years [Source: 5c endline self-assessment sheet_management_ India_BVHA]. This is due to having regular staff meetings [43], continued discussion about plans with Simavi [21], and project management knowledge [45]. Strategic planning has improved as *"BVHA is now able to identify strategic moves, more effective interventions, such as use of multiple strategies, multi-stakeholder involvement at various levels, use of multimedia IEC strategies."* And *"Simavi allows for strategic changes. In the case of BVHA, we were not encouraging working with in-school youth, but they lobbied for it, so we revised strategy together. Government was supposed to train midwives but because of insufficient quality, we asked BVHA to step into this issue and organise training"* [Source: 5c_endline assessment_ sheet _ India_BVHA _ Simavi_NB].

- Regular staff meetings [43]. Every month, the staff has to present action plans stating details of activities they would be doing in the coming month and staff are also expected to explain the reasons for not fulfilling their stated objectives in the previous month. There are pre-designed formats in which the staff has to report on their plans in the meetings [Source: Action plan].This exercise has helped the staff individually to improve their capacities in making plans as well as keeping their commitments. This in turn has improved the planning process of the organization.

- Continued discussions about plans with Simavi [21]: The support from Simavi has been in the form of feedback on project progress by Simavi [17], feedback from the National Coordinator [10] based at BVHA and through Biannual PME meetings with Simavi and the Alliance Partners [16].
  - *As the National Coordinator of the SRHR alliance has been based in BVHA since February 2012 [10],* there has been continued discussion about plans with Simavi [21]. This national coordinator gave constructive feedback to BVHA on plans in order to align them with Simavi's PME requirements [Source: interview with National coordinator, discussion during workshop; 20130923-SRHR Programme and NGB meeting TT(oct)].
  - The continued discussions [21] also took place because BVHA received support from Simavi, consisting of *feedback on the progress of the project by Simavi [17]* as is evident from the program appraisal form [Source: 2014-01-09_PAF BVHA UFBR ct 2014-2015].
  - Furthermore, *the biannual PME meetings of the alliance partners [16]* have helped BVHA to improve its planning [Source: Dates May 2012,October 2012,March 2013,October 2013; 5c endline self-assessment sheet_management_India_BVHA; 20120501-SRHR review meeting plan;20121002-SRHR review and planning meeting;20130211-SRHR program and NGB meeting TT(Oct)]. These biannual meetings with alliance partners included the following activities:

- There was organised sharing of and reflection on results with alliance partners;
- A field visit to the area of intervention of one of the partners;
- Detailed discussion on learnings from the visit in terms of strengths and weaknesses of the project ;
- Presentation by partners on their project highlights, progress, successes and main bottlenecks.
- These meetings provided in depth insight into the project interventions and BVHA also received feedback from the Country lead of Simavi and other Alliance members, as well as their experiences and comments to improve the project implementation and strategies. It helped them adopt best practices, strategies etc. [Source: Annex C_5C endline_support to capacity development sheet_BVHA].

- Project management knowledge [45]
  - Trainings such as the *5 Days Course on Project Management [41]* at Goa funded and organized by the International Union against Lung Disease and Tuberculosis, New Delhi in which the Executive Director took part equipped the participants with required knowledge and skill of proposal development on Tobacco Control and other social development issues. The major topics covered under the five days course were: Project Life Cycle, situation analysis, stakeholders analysis, problem tree, cause effect relationship, means-end relationship, objective tree, strategy analysis, log frame analysis, activity detailing, Gantt Chart preparation, SWOT analysis, sustainability plan [Source: BVHA Annual Report_2012-2013]

The national coordinator [10], biannual PME meetings [16] and feedback on project progress [17] were all PME support funded by MFS II [19]. Simavi supported the Planning, Monitoring and Evaluation capacity of BVHA in this way because they identified a need for this [22]. BVHA staff articulated their need to be trained in PME. This is evident from the minutes of the meeting of the inception workshop in November 2011. In this workshop there was a "marketplace" exercise, where partners put forward the capacities they could offer, and the capacities they required for the SRHR project. Skills (both offered and required) were grouped by topic, and those relevant to the SRHR issues were taken up in the Joint Capacity Building Plan. Thus building capacities of BVHA in PME were incorporated in the plan [Source: 9jan2012_Minute of India Workshop 21-24 November 2011].

Improved reporting [7]:

BVHA participants that attended the endline workshop indicated that BVHA has improved reporting since the baseline [7]. Evidence of this can be found in Simavi's response to a report submitted by the Project Manager [Source: Approval of revised Annual Report and Financial report 2012]. The improved reporting is due to improved PME knowledge [11] and improved inputs from partners through reports [12].

- M&E knowledge improved [11][Source: CFA endline assessment, and support to capacity development sheet – CFA]. According to the National SRHR Coordinator, BVHA now has got the capacity to develop the M&E System for the SRHR Alliance which other alliance members can adopt [Source: 5c endline interview guide_OD consultants_selected indicators_(BVHA-Jose T)]. PME knowledge improved because of:
  - More knowledge on reporting guidelines and requirements [34] [Source: 2014-04-04_RA1-CSS (f1) India country paragraph]. Over the period as BVHA gained more knowledge on reporting guidelines and requirements it was capacitated in developing formats that are easy to understand for their network and partner organisations to collect systematic data. It fine-tuned the indicators which resulted in getting information as per the requirements. The staff linked the output, outcome and impact to assess the achievement. Proper methods for monitoring progress are now in place and the partners are trained on this which resulted in the partners to better articulate their work to BVHA. Project staff analyse and monitor the data to identify practical gaps for further planning [Source: 2014-04-04_RA1-CSS (f1) India country paragraph, 2014-03-03_v3 BVHA SRHR Annual Report 2013, 2014-04-18 vs4 (FINAL for distribution India 2013 UFBR AReport, 20120501-SRHRreview meeting-plan]. Knowledge on reporting guidelines and requirements improved because of a training on project management [41] and feedback, discussion on formats, explanations on evaluation methodologies and discussions on purpose of monitoring during the biannual PME meetings [16] [Source: 2014-05-07_(LL2)

5C_endline_support_to_capacity_development_sheet_CFA_perspective_India_BVHA_Simavi_NB (2)]

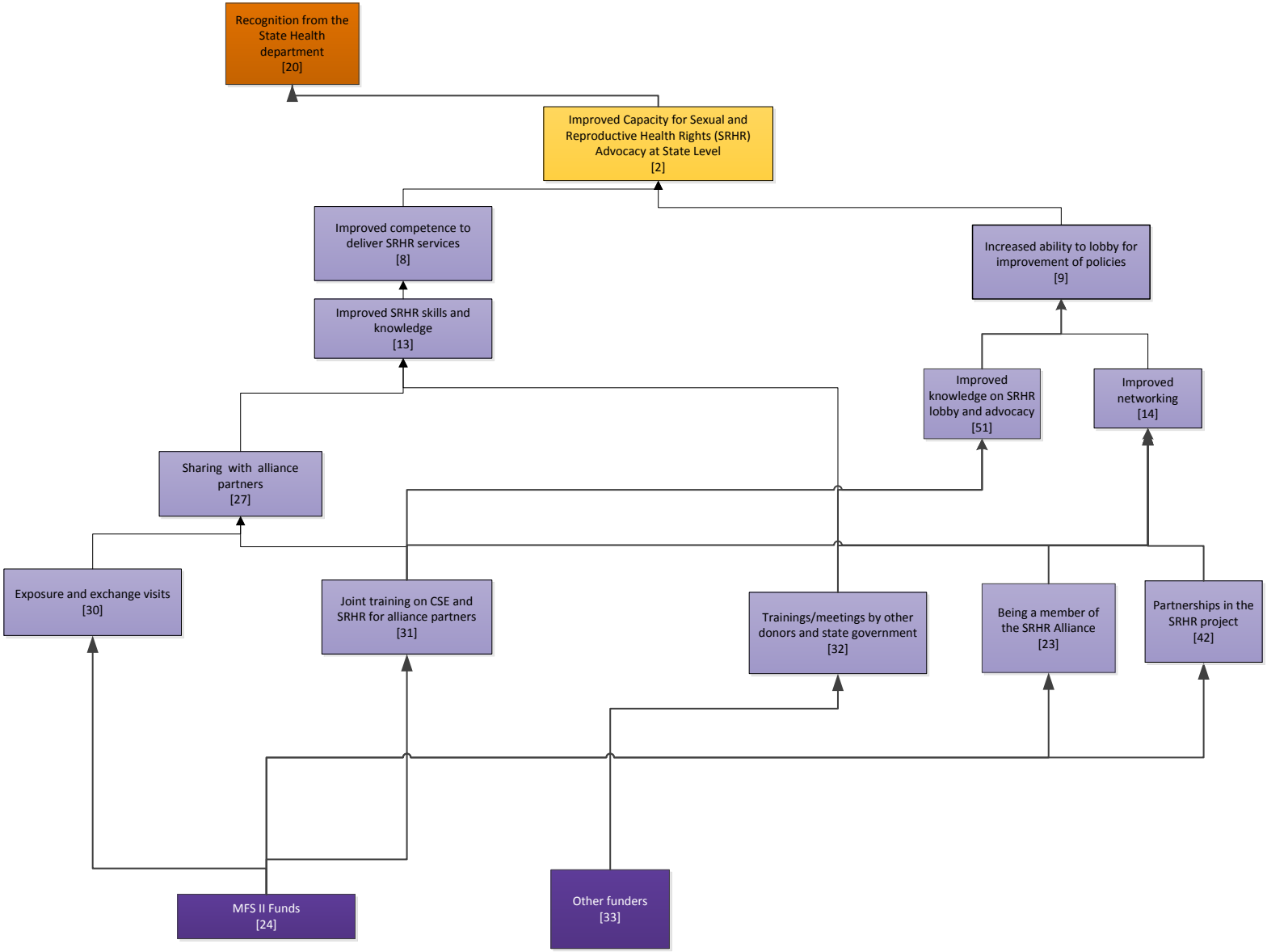
- Training on project management [41]: 5 Days Course on Project Management at Goa by the International Union against Lung Disease and Tuberculosis, New Delhi. The major topics covered under the five days course was- Project Life Cycle, situation analysis, stakeholders analysis, problem tree, cause effect relationship, means-end relationship, objective tree, strategy analysis, log-frame analysis, activity detailing, Gantt Chart preparation, SWOT analysis, sustainability plan. This resulted BVHA to learn various evaluation methodologies and monitoring process to improve its planning and monitoring process. This training helped BVHA gain more knowledge on reporting guidelines and requirements. For example, they fine tune the indicators to better assess the progress and collect the data as required, the activities and the achievements are better linked to assess the impact [Source: BVHA Annual Report_2012-2013].
- Sharing and reflecting during the biannual PME meetings [16]: In these meetings the alliance members shared and reflected on various issues related to PME such as, reporting requirements of the PME group of the SRHR alliance, monitoring and evaluation requirements, detailed discussion on the field visits in terms of strengths and weaknesses of the project, partners reported on their project highlights, progress, successes and main bottlenecks, etc. As a result BVHA received feedback from Country lead of Simavi and other Alliance members, their experiences, comments to improve the reporting structure, setting up formats as per requirement, linking up the activities, outcome and impact etc. It also helped them adopt best practices, strategies etc., to improve their planning and monitoring process [Source: Annex C_5C endline_support to capacity development sheet_BVHA,p5, 20121002-SRHR review and planning meeting TT(2), 20120501-SRHRreview meeting-plan].

- Better linking and understanding of output, outcome and impact [38] mainly by BVHA project officer [Source: (LL2)5c_endline_assessment_sheet_India_BVHA_Simavi_NB; reports of biannual PME meetings and document;2014-04-01_(f1) LINKING OUTPUTS TO OUTCOMES India].
  - Formats with outcome indicators were given by Simavi [44] so that BVHA could assess the outcome and impact of the activities of their partners on the ground. Also during the Biannual PME meetings [16] there was detail discussion on how to select outcome indicators, Identifying sources of verification and tools for outcome indicator measurement, monitoring output indicators, etc. It helped the project staff of BVHA to link and better understand outcome and impact. This is evident by the fact that BVHA assessed the satisfaction level of beneficiaries in their partner organisation project area i.e. in Raxaul and Majhaulia. Also an assessment of the involvement of Community Leaders and their awareness levels with respect to SRHR was made by the BVHA project staff as per a given set of indicators in the M&E format [Source: Assessment of involvement of community leaders – Report]. During the completion of the SRHR project and Oxfam India project, BVHA developed better M&E formats. These formats were shared with their partner organisations for systematic data collection and timely reporting. Through improved planning and monitoring. The organisation was thus able to use timely information while planning for future activities. BVHA is now in the process of developing organisational M&E formats for tracking progress of the programs/projects as and when required [Source: 5c endline self-assessment sheet_management_India_BVHA].

- Sharing and reflecting during the biannual PME meetings [16]. During the Biannual PME meeting there is extensive discussion/sharing on monitoring output and outcome indicators, frame work for the outcome and output indicator, identifying sources of verification and tools for outcome indicator measurement, setting up of target indicator for 2015 etc. helped BVHA better linking output, outcome and impact. For example, as indicated in the Linking Output and Outcome report for 2014 reveals that because of improved ability to link output and outcome BVHA could identify the impact of the SRHR project and the gaps in between plan and implementation of government programmes [Source: 20121002-SRHR review and planning meeting TT(2), 20120501-SRHRreview meeting-plan]

- Improved inputs from partners through reports [12]. BVHA has been implementing the project "Community empowerment on Gender Equity to access Reproductive Health Rights in 2 districts of Bihar" through its partner organizations – Duncan Hospital, Raxaul (East Champaran) and Fakirana Sisters Society, Bettiah (West Champaran).

- *The SRHR project follows a structured approach to PME [46]*. There is dedicated staff for M&E: the district coordinator at the field level; the project manager and ED at BVHA are responsible for monitoring and evaluation. Simavi has provided planning and reporting formats that enable BVHA to track all the proposed activities, find reasons for the success or failure of completion of those activities and plan for the next quarter. On the basis of the results based monitoring concept there are quarterly monitoring formats and BVHA compiles the collected data from the partners. Reports are sent to Simavi biannually. Simavi sends feedback on the data [Source: 19Jan12_Final Application Form (BVHA) Simavi-UFBR alliance, 5c endline_questionnaire_training_participant_perspective_India_orientation for the CSO staff and 5c_endline assessment_ sheet _ India_BVHA _ Simavi_NB].
- The partner organisations of BVHA involved in the programme implementation of BVHA were *given formats for data collection and reporting [39] which they had received from Simavi [44]* [Source: Outcome monitoring templates]. This helped the partners not only improve the quality of their data collection but also ensured their timely input.
- There was *timely submission of reports [48]* with qualitative and quantitative inputs because:
  - The ability of the partners to report success stories improved [49] and
  - There was regular collection of data on outputs and outcomes [50] [Source: Annex C_5C endline_support to capacity development sheet_BVHA].
  - Both [49] and [50] were a result of: Two days orientation of the staff on MIS and success story writing was given to the partner organisations [47] in September 2012 which further helped the staff of the partner organisation to fill the MIS formats with ease and regularly collect data on output and outcome indicator. This was funded by MFS II as PME support [19] [Source: Annex C_5C endline_support to capacity development sheet_BVHA].


Recognition from the State Health department [20]
Improved Capacity for Sexual and Reproductive Health Rights (SRHR) Advocacy at State Level [2]
Improved competence to deliver SRHR services [8]
Increased ability to lobby for improvement of policies [9]
Improved SRHR skills and knowledge [13]
Improved knowledge on SRHR lobby and advocacy [51]
Improved networking [14]
Sharing with alliance partners [27]
Exposure and exchange visits [30]
Joint training on CSE and SRHR for alliance partners [31]
Trainings/meetings by other donors and state government [32]
Being a member of the SRHR Alliance [23]
Partnerships in the SRHR project [42]
MFS II Funds [24]
Other funders [33]

Improved Capacity for Sexual and Reproductive Health Rights (SRHR) Advocacy at State Level [2]

Over the last two years BVHA has improved its capacity for sexual and reproductive health advocacy at the state level [2] [Source: 5C_endline_support_to_capacity_development_sheet_CFA_perspective_India_ BVHA _Simavi_NB; discussion during the endline workshop]. This has helped BVHA in getting recognition from the State Health department [20] [Source: 5c endline self-assessment sheet_management_India_BVHA, Letter of ED SHS Bihar for SRHR Project, stag meeting-PFI] BVHA has brought up SRHR issues to the attention of the state government which is demonstrated by the examples described here. They wrote an advocacy paper with the objective of ensuring availability and accessibility of comprehensive Sexual and Reproductive Health services for adolescents & women at community and school level [Source: Bihar advocacy paper _ 4 pager].
BVHA has brought about and showcased successful models and approaches that have either been mainstreamed or promoted by the government as 'replicable models.' An example to substantiate the above claim is the newly launched 'Dus kadam Ka Dum' which translated into English means 'The power of 10 steps'. This is a campaign initiated by the Government of Bihar that promotes a package of practices for better maternal and child health seeking behaviour of communities. BVHA as a partner of the Government of Bihar on health issues, contributed significantly to this process, especially on matters pertaining to use of contraceptives [Source: Interactions_with_CSO_and_others-22_2_20141].

Another example of translation of advocacy efforts into success has been the way, the SRHR Alliance got the government health service delivery mechanism to upgrade the infrastructure in the rural health centres (RHC) and district maternity homes (DMH). Lack of privacy for pregnant women especially during the delivery process was a major deterrent for women to visit these RHCs and DMHs. As a result of constant advocacy by BVHA, the district maternity homes have been provided with curtains and better amenities to ensure privacy during delivery. Presence of a qualified medical practitioner has also been made mandatory for all institutional deliveries [Source: Interactions_with_CSO_and_others-22_2_20141].

BVHA was closely involved in the core group of – Reduction of Total fertility Rate (TFR) under "Bihar Manav Vikas Mission (Bihar Human Resource Development Mission)" [Source: 2014-03-03_v3 BVHA SRHR Annual Report 2013]. BVHA has also been able to convince the Government of Bihar to take up the East Champaran District in the first phase for setting up the ARSH (Adolscence Reproductive Sexual Health) clinics [Source: 5cendline_questionnaire_training_participant_perspective_India_BVHA_Exposure visit Adolescent RSH clinic dec 2012_Swapan Mazumder].

Improved Capacity for Sexual and Reproductive Health Rights (SRHR) Advocacy at State Level [2] is due to: improved competence to deliver SRHR services [8] and increased ability to lobby for improvement of policies [9]. Each of these organisational capacity changes and how they have come about is described below.

Improved competence to deliver SRHR services [8]

BVHA's capacity for Sexual and Reproductive Health Rights (SRHR) Advocacy at State Level [2] occurred because BVHA as an organisation has been in the fore front in delivering SRHR services through its local partner organisations and thus is seen as one of the leading partners to take forward advocacy issues on SRHR. Over the last two years BVHA has improved its competence to deliver SRHR services through its local partner organisations [8] [Source: Interactions_with_CSO_and_others-22_2_20141, 2014-01-09_PAF BVHA UFBR ct 2014-2015, 5c endline self-assessment sheet_management_India_BVHA]. The SRHR program supported by Dutch Alliance is working through its local partner organizations namely NEEDS, VHAI, SEWA, BVHA, CINI and Restless Development in the states of Jharkhand, Odisha and Bihar for a period of five years: 2011 - 2015. The programme covers five districts in Bihar, three districts in Jharkhand and two districts in Odisha [Source: ARSH clinic visit, SRHR Training Manual & Resource book hindi].

BVHA's SRHR initiative aims at "Community empowerment on Gender Equity to access Reproductive Health Rights in 2 districts of Bihar". This initiative was identified through discussion with the local partners especially those working in the bordering districts since they have experienced a big problem regarding the sexual reproductive health issues. These districts are adjacent to NEPAL and there is high prevalence of trafficking especially for women/adolescent girls as well as the above mentioned problems, which make the situation more critical [Source: 2012Jan19_PDF_BVHA 3312001]. BVHA's improved competence to deliver SRHR services [8] is evident from the fact that the Government of Bihar recognizes BVHA as a member of State Technical Advisory group in Bihar and invites BVHA for consultation whenever there is a meeting related to SRHR issues. Further, BVHA is the member of state level thematic sub groups on TFR, MMR and IMR for policy level changes [Source: thematic group 11; BVHA Annual Report 2012-2013]. Also, Magic bus organized a two day state consultation on Adolescent Reproductive and Sexual health with the government of Bihar and development Partners at Patna and the BVHA staff were invited to participate in this event [Source: BVHA Annual Report 2013-2014].

BVHA's competences to deliver SRHR services improved [8] because of **improved SRHR skills and knowledge [13]** [Source: (LL2)5c_endline_assessment_sheet_India_BVHA_Simavi_NB; 2014-05-07_(LL2) 5C_endline_support_to_capacity_development_sheet_CFA_perspective_India_BVHA_Simavi_NB (2)]. The improved SRHR skills and knowledge are reflected in the special curriculum on Comprehensive Sexuality Education (CSE) which was developed by BVHA in consultation with the Government. BVHA developed a special curriculum for young people on CSE which they used through trained staff for educating young boys and girls and empower them to make their own choices around sexuality and reproduction and claim their rights. This is modelled on the Compendium on Young People's SRHR Policies in Europe, which was developed as part of SAFE II Project (Sexual Awareness for Europe). BVHA also organised Refresher Trainings on CSE in April 2013. BVHA conducted sessions for young people to provide proper SRHR education. Newly wed young couples were given education on family planning, delaying early pregnancy, sex selective abortions, mutual understanding and faithfulness with their counter parts etc. They also held sessions with the adolescent boys and girls to discuss topics like life skill education, gender, changes during adolescence, reproduction system, sexual violence, HIV/AIDS, RTI/STI, early marriage, early pregnancy, restart of school education, etc. [Source: CSE definition SRHR Alliances Asian Countries; SRHR Training Manual & Resource book hindi, 2014-03-03_v3 BVHA SRHR Annual Report 2013]. SRHR skills and knowledge have improved since the baseline [13] because of sharing with alliance partners [27], trainings and meetings by other donors and state government [32]:

- Sharing with alliance partners [27]. The continuous interaction and sharing of experiences of BVHA with the alliance partners through exposure visits and trainings in their respective target areas helped BVHA improve their SRHR knowledge and skills [Source: 2014-04-18 vs4 (FINAL for distribution India 2013 UFBR A Report)]. These learnings were then shared with their partner organisations to improve programme implementation. Some details of the interactions with the alliance partners are given below:
  - *Exchange and exposure visits [30]:*
    - Exchange visit to NEEDS covering SRHR 10 October 2012. The aim of the visit to NEEDS- SRHR project was to share experiences, to understand the different project strategies; to give recommendations to the project, to identify strengths that can be replicated. NEEDS showed their community approach in SRHR, and innovations through mobile phone for SRHR. This visit helped in better program implementation and desired outcomes. They identified SRHR issues for advocacy, and program strengths that could be used by them for program implementation[Source: 5C_endline_support_to_capacity_development_sheet_CFA_perspective_India_BVHA_Simavi_NB,p. 37; discussion during the endline workshop; 20121002-SRHR review and planning meeting TT(2);5c endline_questionnaire_training_participant_perspective_India_BVHA_Exchange visit NEEDS Oct 2012_Project Manager].This was funded by MFS II [24].
    - Exposure visit to SRHR-YFS/ARSHC clinic of VHAI 19 December 2012 [Source: 5C_endline_support_to_capacity_development_sheet_CFA_perspective_India_BVHA_Simavi_NB; ARSH clinic visit]. The objective was to use the learning from the ARSH clinic visit to replicate it in developing adolescent reproductive health clinic services in the government system as well as bringing about improvement in the quality of the

clinic. The Executive Director of BVHA could get a basic understanding of adolescent health problems, counselling techniques, how to establish and run such clinics, how to convince the government to take up such an initiative, and how to link with HIV testing and counselling centres and its linkages with the project at community level [Source: Training questionnaires: 5c endline_questionnaire_training_participant_perspective_India_BVHA_Exposure visit Adolescent RSH clinic dec 2012_Executive Director & management; ARSH clinic visit].This was funded by MFS II [24].

- *Joint training on CSE and SRHR for alliance partners [31]:*
  - Meeting for Capacity Building of SRHR Alliance Partners'_staff on18-20 April 2012 in Delhi funded by MFS II [Source: Minutes of the Meeting (April SRHR 2012) revised]. The aim was to improve the capacities of the alliance partners on SRHR by providing them technical information to be used later for training their field partners: understanding the concept of "Sex and Sexuality," female reproductive system and the various methods of contraception. Various apprehensions were faced on the field while providing sex education or counselling on Reproductive and Child Health (RCH) issues. This was funded by MFS II [24].
  - Regional meeting Indonesia focus on SRHR-CSE delivery (Indonesia team, alliance office) in November 2013. The Executive Director of BVHA and the program manager went to Indonesia to see how their alliance partners worked with authorities on creating an enabling environment for Comprehensive Sexuality Education (CSE) activities and how the CSE curriculum was being implemented and benefiting a Muslim setting. Group presentations on the strategies and activities on CSE enabled the Executive Director to get knowledge to update CSE in Bihar [Source: 5C_endline_support_to_capacity_development_sheet_CFA_perspective_India_BVHA_Simavi_NB, Facilitation Guide Regional Learning Event_IDN version]. The program manager learnt to implement the adolescent awareness program more smoothly in their project area [Source: Training questionnaires: 5c endline_questionnaire_training_participant_perspective_India_BVHA_Regional meeting Indonesia SRHR-CSE delivery Nov 2013_Malay Kumar.docx & participants]. This was funded by MFS II [24].
  - Training on Comprehensive Sexuality Education (CSE): 3 days for project staff in April 2013 [Source: Training for SRHR partners on Comprehensive Sexual Reproductive Health Rights ;CSE Refresher Training Report]. A refresher training of partners' staff in the SRHR alliance of India was facilitated by Restless Development India on Sexual and Reproductive Health Rights and on Adolescence Health care in Bihar Voluntary Health Association (BVHA), Patna. The consultant from Restless Development Odisha facilitated the session on adolescence and the social, physical and emotional changes that take place during that period, gender, sex and sexuality, abortion, HIV/AIDS. This resulted in the staff of BVHA to improve in SRHR communication skills, coordination and awareness generation with stakeholders. It further resulted in the target groups becoming aware of their rights and they started demanding health services by putting pressure on the government. Also stakeholders had meetings with UNICEF Officials and Principal Secretary Health, Bihar to discuss on various health issues like, Infant Mortality Rate (IMR), Maternal Mortality Rate (MMR), Malnutrition, Anaemia and prepare a strategy document to submit to the state government [Source: thematic group 11, discussion during workshop]. This was funded by MFS II [24].
  - Discussion on content of joint SRHR manual (all partners and external facilitator, government staff) 5th March 2013 [Source: 20130211-SRHR Programme and NGB meeting TT(2); 5c endline interview guide_OD consultants_selected indicators_BVHA_Dr. JM Dewan]. The objective of this meeting was to finalise the SRHR manual, initiated by VHAI and reviewed by a consultant. BVHA has contributed in developing the SRHR Guidelines which has now been turned into a Manual (SRHR Training Manual & Resource book hindi). This manual is used by all alliance partners (Evaluation Workshop, SRHR Manual). This was funded by MFS II [24].
  - Comprehensive Sexuality Education (CSE) training for all partners (basic) by Restless Development in 25-29 June 2012. This training involved introduction to SRHR and 10 life skills through discussion, case study (field level), sharing and learning, physical, psychological and social changes during adolescence, male & female reproductive system, menstrual hygiene STI, HIV, gender, sex and sexuality; sexual abuse; pregnancy, miscarriage, unwanted pregnancy; ANC, PNC; preparation for delivery. Team Building exercises were carried out in order to strengthen the participant's

important skills such as leadership, communication, decision making, critical thinking etc. This training helped the partners to become efficient in their work and achieve program outputs easily[Source: 5cendline_questionnaire_training_participant_perspective_India_BVHA_Workshop_5day CSE training June 25-29_Ram Krishna, SRHR PRTNER TRAINING AT PATNA FROM]. This was funded by MFS II [24].

- *Participation in trainings and meetings funded and organised by other donors and state government [32].*

BVHA staff participated in various workshops, seminars, training programs related to SRHR organized by Government of Bihar (department of health) and other development agencies such as Population Foundation of India, Magic Bus India, World vision, Oxfam India, Future groups etc. [33]. By participating in these events, the capacity of the staff, especially SRHR project staff, enhanced and by sharing their field experience they are able to give input on health budget and strategic plan for health (related to SRHR, HIV/AIDS, etc.) to the Ministry of Health Bihar and on urban health issues to Plan India, New Delhi [Source: 2014-03-03_v3 BVHA SRHR Annual Report 2013]:

- Meeting on Repositioning of Family Planning by Population Foundation of India (PFI), New Delhi on Dec. 2012. A half day workshop was organized by PFI. Here discussions were held around repositioning of family planning within a woman's empowerment and human rights framework so that every family is a planned family and every child is a wanted, healthy child. The staff of BVHA (Executive Director and Advocacy Officer, SRHR Project) learned about improving the quality of care of family planning and reproductive health, preventing sex selection, family planning and reproductive health services, spacing between births etc. [Source: BVHA Annual Report- 2012-13, p. 48, discussion during endline evaluation].

Increased ability to lobby for improvement of policies [9]

BVHA is in a unique position to be working with a large variety of stakeholders. These include NGOs and their workers, network organizations, state level SRHR Alliance members, frontline health service providers, Village Health and Sanitation Committee at Panchayat level, target population in need for SRHR services adolescents both male and female, newlywed couples, eligible couples[12], District and Block level, PRI representatives at Panchayat level, mixed stake holders (religious leaders, opinion leaders, School teacher and other local identified reputed people), Self Help Groups for Dalit Women. Thus, BVHA is in a very good position to create a base, generate awareness, harness the critical mass of stakeholders at all levels to carry out lobby and advocacy at the state level, mainly targeting state policies on SRHR [Source: SIMAVI-Support to capacity sheet – CFA, 5C_endline_support_to_capacity_development_sheet_CFA_perspective_India_BVHA].

The increased ability to lobby is due to **improved knowledge on SRHR lobby and advocacy [51]** and **improved networking [14].**

- Improved knowledge on SRHR lobbying and advocacy [51] was mainly the result of joint training on CSE and SRHR for Alliance partners [31] and trainings/meetings from other donors and state government [32]:
  - *The joint trainings on CSE and SRHR for Alliance partners [31]* included capacity development of the alliance partners on the following issues: to identify and analyse advocacy issues, key strategies, building advocacy skills and for developing a work plan, to understand how a joint advocacy agenda defines a shared ambition which gives greater opportunities for reaching different stakeholders. The importance of identifying active key players and how to engage them in advocacy. This was funded by MFS II [24].
  - *The trainings/meetings from other donors and state government [32]* included:
    - Workshop on WASH was organized by Wada Na Todo Abhiyan at A.N.Sinha Institute, Patna on 12th December, 2012 [Source: BVHA Annual Report- 2012-13, p. 48]. The aim was to develop effective and communicative tools for

[12] An eligible couple in India is a currently married couple wherein the wife is in the reproductive age, which is generally assumed to lie between the ages of 15-45 years. Such couples are target groups for family planning services.

awareness building program to mobilise, sensitize and motivate people to lobby for their rights as well as the discussions on various food security issues, nutrition for pregnant and lactating women etc., led to a common understanding to create a civil society force for advocacy with government to develop policy and plans in the interest of common people.

- Workshop on Bitiya Bachao –Manavta Bachao Aandolan was organized by Action Aid, Patna on 26th December, 2012 [Source: BVHA Annual Report- 2012-13, p. 48]. This training enabled the staff to organize a meeting in January 2013 with the Minister of Health of the Government of Bihar to discuss on infant mortality rates, maternal mortality rates, sex selective abortion including Save the Girl Child. Thus networking with the government improved considerably and improved BVHA's ability to lobby.

- The improved networking [14] occurred also, as a result of training by other donors [32], BVHA being a member of the SRHR Alliance [23] and partnerships in the SRHR project [42]. These are further explained below.
  - *Being a member of the SRHR Alliance [23]* (through the Simavi supported projects under MFS II [24]). BVHA is an active part of the India SRHR Alliance which is continuously working on the SRHR related issues to advocate at national, state and district level. Several issues are jointly identified which are common in the three states involved in the alliance and strategies have been developed to address them. Besides that, BVHA is an active member of the Wada Na Toda Abhiyan[13] Bihar and India Chapter. Many health issues were discussed with the community people in 16 MP (Member of Parliament) constituencies of Bihar and accordingly these issues were compiled and submitted to concerned Political Parties for inclusion in their Political Manifesto. Many of the issues are now included. BVHA in collaboration with Health Watch Forum Bihar and Centre for Health and Social Justice, New Delhi is addressing the quality of family planning issues in Bihar. Besides that, BVHA is raising health issues in different other forums and makes regular correspondences with its network partners to visit and meet the civil surgeon and district magistrate to make the District Health Society and other government formed committees functional [14] [Source: 5c endline self-assessment sheet_management_India_BVHA].
  - *Partnerships in the SRHR project [42],* which is MFS II funded [24], is another reason for improved networking. At the state level, BVHA formed the State level SRHR forum under the chairmanship of the Government authority and other international agencies such as Pathfinder International, Care-India, Population Foundation of India, two network partners, two SRHR Alliance partners and renowned NGOs at Patna. The government of Bihar recognizes BVHA as a member of the State Technical Advisory group in Bihar. Further BVHA is the member of the state level thematic sub groups on Total Fertility Rates (TFR), Maternal Mortality Rates (MMR) and Infant Mortality Rates (IMR) for policy level changes. At the district level too an SRHR forum was formed that liaised with District level authorities on SRHR issues such as Maternal Death Review, Rogi Kalyan Samitis (RKS, i.e. health facility management committees) orientation, Gaps in service delivery [Source: 2014-03-03_v3 BVHA SRHR Annual Report 2013]. It is through discussions at the State level SRHR forum that BVHA identified 5 points for joint advocacy – Gender; Adolescence Reproductive Sexual Health (ARSH); Ante Natal Checkups (ANC); early marriage; Sexually Transmitted Infections (STI)/ Reproductive Tract Infection (RTI) [Source: BVHA Annual Progress Report, SRHR Project 2012]. Furthermore, BVHA as an organisation has been in the fore front in delivering SRHR services in its SRHR project through its local partner organisations and thus is seen as one of the leading partners to take forward advocacy issues on SRHR [Source: Interactions_with_CSO_and_others-22_2_20141, 2014-01-09_PAF BVHA UFBR ct 2014-2015, 5c endline self-assessment sheet_management_India_BVHA].
  - *Participation in trainings and meetings funded and organised by other donors and state government [32].*

    BVHA staff participated in various workshops, seminars, training programs related to SRHR organized by Government of Bihar (department of health) and other development

[13] Wada Na Todo ABHIYAN (WNTA) is a national campaign to hold the government accountable to its promise to end poverty and social exclusion

agencies such as Population Foundation of India, Magic Bus India, World vision, Oxfam India, Future groups etc. [33] [Source: 2014-03-03_v3 BVHA SRHR Annual Report 2013]:

- Meeting on Repositioning of Family Planning by Population Foundation of India (PFI), New Delhi on Dec. 2012. A half day workshop was organized by PFI. Here discussions were held around repositioning of family planning within a woman's empowerment and human rights framework so that every family is a planned family and every child is a wanted, healthy child. This meeting facilitated BVHA to discuss on various health problems in Bihar and strengthen its relationship with PFI. For example, Population Foundation of India is the state nodal NGO and technical agency for the Community Based Planning and Monitoring Programme (CBPM) in Bihar. BVHA being the member of State Technical Advisory Group (STAG) and vast experience in community empowerment was invited to May 2014 CTAG meeting to give input to strengthen the CBPM project. As a result of better networking BVHA could advocate with the government for people friendly policies [Source: BVHA Annual Report- 2012-13, p. 48].
- Workshop on WASH was organized by Wada Na Todo Abhiyan at A.N.Sinha Institute, Patna on 12th December, 2012 [Source: BVHA Annual Report- 2012-13, p. 48]. The aim was to develop effective and communicative tools for awareness building program as well as multi-departmental coordination approaches. This created a platform for various civil society organisations to come together and form a task force to lobby and advocacy with government and other policy makers for various health related policies [Source: discussed during endline evaluation].
- Workshop on Bitiya Bachao –Manavta Bachao Aandolan was organized by Action Aid, Patna on 26th December, 2012 [Source: BVHA Annual Report- 2012-13, p. 48]. This training enabled the staff to organize meeting on January 2013 with health minister, Government of Bihar to discuss on IMR, MMR, sex selective abortion including Save the Girl Child. This also served as a preparatory meeting to organize 3day events to sensitize the people on the above mentioned issues. Due to this workshop, networking with the government improved considerably for BVHA to participate in the strategic planning for health development in Bihar.

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Final Report MFS II Joint Evaluations

Country	India
Consortium	Red een Kind/Woord en Daad
Responsible Dutch NGO	Woord en Daad
Project (if applicable)	Education Program / Program for Financial Sponsorship and Scholarships "Agape Homes and Bethlehem Day Care Centre"
Southern partner organisation	Christian Outreach Uplifting New Tribes (COUNT)

The project/partner is part of the sample for the following evaluation component(s):

	X
Achievement of MDGs and themes	X
Capacity development of Southern partner organisations	X
Efforts to strengthen civil society	

1. Introduction

This report presents the findings of a project funded and supported by Woord en Daad and implemented by a church-based NGO - COUNT (Christian Outreach Uplifting New Tribes).[1] The project under review was motivated by a desire to provide quality education to children of tribal communities living in remote villages with limited access to formal education. The project involves placing children from needy households in residential (Agape) homes with foster parents and ensuring that such children have access to education either in government schools or in schools run by COUNT and ensuring their all-round development. To quote from a COUNT project document – "The education program, works towards developing the child holistically. The program focuses on improving the abilities of the child, to build leadership skills and to make the child grow up to become a responsible citizen of our nation" (Dexter, 2010).[2] The aim of this report is to examine the effect of residing in these foster homes on the cognitive and non-cognitive development of children. Given the broad scope of the intervention, cognitive and non-cognitive development is broadly construed and includes outcomes such as educational aspirations, ethical values and habits.

The report begins by setting out the context (Section 2) and providing a description of the project (Section 3). This is followed by a discussion of the sampling strategy (Section 4) and the data (Section 5). Estimates are presented in Section 6 and the final section contains concluding remarks.

2. Context

Located in South-eastern India, Andhra Pradesh (AP) accounts for 8.4 percent of India's geographical area and 7.1 percent of its population. Scheduled Castes and Scheduled Tribes account respectively for 16.2 percent and 6 to 9 percent of the total population of the state. The state has 33 major tribes with a population of about 3.2 million tribals.

In the last ten years the state has experienced rapid growth and has recorded a sharp drop in poverty. In 2011-12 the poverty rate stood at 9.2 percent, a figure, which places the state amongst the least-poor states in the country.[3] Despite impressive economic achievements, certain population

[1] COUNT also works in Orissa, Chattisgarh, Maharashtra and Gujarat, although the majority of its work is with tribal communities in the Southern Indian state of Andhra Pradesh (AP).

[2] Smap education 2011 to 15.doc, provided by Woord en Daad.

[3] Goa has the least percentage of people living below the poverty line (5.09 per cent) followed by Kerala (7.05%), Himachal Pradesh (8.06%), Sikkim (8.19%), Punjab (8.26%) and Andhra Pradesh (9.20%). In 2011-12 the Indian poverty line was set at an expenditure of Rs. 27.2 per person per day or annual consumption expenditure of Rs.48,960 for a family of five. For details, see http://articles.economictimes.indiatimes.com/2013-07-23/news/40749596_1_poverty-ratio-poverty-line-tendulkar-committee.

groups, especially those residing in isolated mountain communities (tribals) are less likely to have experienced the benefits of this growth. For instance, in the areas where the current project operates access to piped water and electricity is limited. There is better access to educational facilities – available educational infrastructure includes pre-primary schooling and almost all villages in the project catchment area have a primary school (up to class five). In terms of health, access to publicly financed health centres is nominally available although the most common health care providers are rural medical practitioners who are unlicensed and provide allopathic care. Most births take place at home with the help of midwives.

In recent years, to ensure better access to services the government has begun to operate several programs such as the Integrated Tribal Development Program for tribal families residing in these isolated areas. These efforts are complemented by the efforts of NGOs who are also engaged in improving tribal welfare. Such program include free education, hostel facilities for children from remote areas, development of cottage industries, housing societies, agricultural facilities, bank loans and cooperative operations for the marketing of forest produce like honey and herbs. However, it has been difficult for the government to reach a number of communities due to lack of infrastructure. In addition, large parts of Andhra Pradesh, especially the forested tribal areas face the threat of armed rebellion by Maoist groups which has further reduced the accessibility of the government and NGOs in the region.

In economic terms, tribal communities are mainly engaged in subsistence rain-fed agriculture and gathering and selling of minor forest produce. Cultivated crops include tobacco, pulses, cotton and rice and forest products such as wood, honey, gum, herbs, tobacco leaves. In terms of socio-political organization, most of the tribes have their own tribal heads. At the same time while their villages are embedded in the formal governing structures of the country (Gram Panchayat with a head) in a number of the project areas, while present these structures do not function effectively as they are controlled by armed Maoist groups who resist government intervention and control. Culturally, socially and economically women and men are considered equal. Women engage in economic activities. They also have the right to divorce and remarry.

3. Project Description

a. Project duration and budget

The project under scrutiny has been operating for a number of years. Woord en Daad has been financing this project/organization (COUNT) since 1993 and it is expected that project funding will continue till 2020. However, since Woord en Daad has indicated that financing will stop in 2020, the Southern Partner Organization (SPO) has been actively moving to shut down the homes and transfer

children to alternative facilities. At the time of the first survey in 2012 there were 722 children in 18 Agape homes (excluding a day care centre). For 290 of these 722 children alternative homes had already been identified.

The annual project budget for April 2012-March 2013 for all COUNT activities supported by Woord en Daad was Rs. 19,022,400 (about Euro 280,000).[4] Of this Rs. 15,361,166 (about Euro 226,000) or 80 percent was allocated to support the needs of about 935 children residing in 18 Agape homes and enrolled in the Bethlehem day care centre (see Table A1).

b. Project objectives, activities, theory of change

The main objective of the project under review is to provide shelter, care and quality education to children and youngsters (aged 4 to 18) from poor ST/SC families to help open new educational and career prospects. Children from the project's target group are selected on the basis of recommendations made by local church pastors or village leaders. These local leaders inform COUNT about destitute families whose children could benefit from being in an Agape (love of God) home. Such children are then provided a place in one of the 18 Agape homes operated by COUNT.

Typically, each home has 30 children (except for the central Agape home which is larger) and is managed by foster parents. In these homes children are provided food, shelter and clothing. The foster parents are also responsible for teaching the bible and imparting moral values. Children in these homes attend either a school operated by COUNT or government schools. The overall idea is to meet the physical, educational and spiritual needs of children. In addition COUNT operates a training and vocational education component for a small number of participants. The overall aim of the vocational educational component is to empower the target group through improved skills training and through generating (self) employment opportunities.

The manner in which the intervention operates and hopes to achieve its objectives is laid out in the figure below. Since the project hopes to exert an influence on several aspects of a child's development the outcomes that are analysed reflect this broad scope and have been developed on the basis of reading a number of project documents and conversations with individuals responsible for implementing the project.

[4] At the end of September 2012 the exchange rate was Rs. 68 per Euro.

Stylized result chain

Input

Financial and technical resources. Technical help includes - assessment of activities and providing advice, coaching in writing proposals

↓

Activities

Vocational training; capacity building of teachers; provision of pre-primary, primary, secondary education, setting up foster homes which provide food, shelter, clothing, provision of extra-curricular activities; teaching moral values, tolerance, bible teaching

↓

Output

Youngsters in vocational centres are trained; children in foster homes receive quality education; children learn in a conducive environment; Children's physical needs and spiritual development has taken place

Attribution gap

Impact

Objective 1/Indicators:
Impact on education related outcomes: Mathematics test scores, interest in schooling, doing homework regularly, educational aspirations, attitudes towards cheating in school
Objective 2/Indicators:
Impact on non-education related outcomes: Well organized, attitudes towards wasting food, stealing, engaging in cruel behaviour, using foul language; teacher's evaluation of students' emotional development, conduct problems, hyperactivity, peer relationships, pro-social behaviour

4. Analytical approach and methods

The project consists of a foster home and educational component (about 722 students) which provides for children living in foster homes and supports two schools; Woord en Daad scholarships (112 scholarships in 2012-2013); and additional scholarships for 35 students. There are several elements of the project to which the evaluation needed to respond and these issues are discussed below.

The first issue was the scope of the evaluation. Given (i) the small number of participants in a number of the project components[5] (ii) the overlap between programme components - for example, the additional Woord en Daad scholarships are for students living in the foster homes and a large proportion of the children in the foster homes attend COUNT schools and (iii) the large share of the budget (about 81 percent) spent on the foster homes, the project team decided to focus on the foster home component. Hence, the primary objective of the evaluation is to identify the impact of living in a foster home on the various education and non-education related indicators listed in the previous section. While the focus of the evaluation is on identifying the effect of residing in an Agape home we also examine the effect of studying in a COUNT school and the effect of living in an Agape home **and** studying in a COUNT school.

A second challenge for the evaluation was identification of an appropriate control group. The challenge stems from the fact that the intervention groups consists of children who are not living with their parents. There were two possibilities. One option was to create a control group based on children who live in and go to school in the village of origin of the students residing in Agape homes. A second option was to create a control group based on children who live in the village where the Agape homes are located and attend the same schools as the students residing in the Agape homes. The research team discovered from the field visits that after completing primary school almost all children in the village of origin(typically remote mountain villages) attend boarding schools. Hence using children who live in the village of origin as a control group was not viable. Thus, the control group consists of children who live in the same village and attend the same school as those who reside in Agape homes. Despite living in the same village and attending the same school it is likely that the background of children who are in the Agape homes is quite different from their peers. While data details and comparability of the two groups is discussed in the next section, it does highlight the importance of providing estimates after controlling for differences in the backgrounds of the two groups of children.

[5] Given the small number of children in the vocational training component of the project it is difficult to provide a credible quantitative impact evaluation.

A third issue confronting the evaluation was that due to the end of funding in 2020 the SPO was already in the process of moving children to other homes. During the first round of data collection in 2012 there were 722 children in 18 Agape homes and it was expected that in a short period of time after the first-round survey, 290 of these children would be placed in different homes. One option would have been to follow the children who had been placed elsewhere after the first round of data collection and examine whether changes in their treatment status has a bearing on outcomes. However, due to logistical and financial reasons this was ruled out. Also, we could not gather data on children who were about to join the Agape homes but had not yet joined as the SPO was in the process of relocating children and no additional intake was planned.

Keeping these constraints in mind the evaluation is mainly based on comparing children who reside in Agape homes with those who do not reside in Agape homes in 2012. To enhance comparability we provide Ordinary Least Squares (OLS) estimates after controlling for various socio-economic and demographic characteristics. In addition, we also provide non-parametric estimates after using propensity score matching to obtain comparable treatment and control groups. While we do have access to a second round of data which was gathered in 2014, we use this sparingly. The main reason is that about 140 children who were included in the first round could not be traced. This includes children from Agape homes who have been placed elsewhere and children who did not live in such homes but have migrated. The reduction in the sample size makes it hard to detect differences between treatment and control and the large non-random attrition rate further hinders comparability of the treatment and control groups.[6]

Overall, while we attempt to create comparable treatment and control groups by using propensity score matching and controlling for a range of confounding variables which may determine program entry and the outcome of interest, the limitations of the evaluation need to be highlighted. First, we do not have baseline data as the evaluation is being conducted after the project has been launched and this makes it difficult to identify a causal project effect. Second, since the project is being phased out a number of children who were interviewed in the first round do not appear in the second round of the survey. This makes it difficult to estimate whether there have been changes in outcomes over time which may be attributed to the project.

5. Data

a. Household survey data

[6] Soon after the first round of data collection the research team had pointed out that gathering a second round of data may not be very meaningful due to the relocation of children. However, this was not accepted by NWO-WOTRO.

Two rounds of data have been collected. The first round was conducted in 2012 and the second in 2014. Based on power calculations and financial constraints a sample size of 600 children - 300 treated and 300 controls was targeted.[7] Several survey instruments were developed. These included a household questionnaire, designed to gather information on the socio-economic background of children and their households. This questionnaire also included modules to capture educational aspirations, and scenario-based questions to capture attitudes towards cheating, stealing, tolerance; a school and teacher questionnaire to gather information on school facilities, school attendance of children and their grades; a maths test for grades 1 to 8 in 2012 and for grades 3 to 10 in 2014. These tests were administered by the evaluating team.[8] To capture the non-cognitive development of children we used the teacher response version of a well-known instrument called the strengths and difficulties questionnaire.[9]

To select the sample of children in Agape homes a list was obtained from COUNT. From this list of 18 Agape homes with 432 children, 12 were selected.[10] This left us with a list of 318 children in grades 1 to 10 and the aim was to survey all these children. The control group consisted of children in the same grade and the same school as the treated group but not residing in Agape homes, and after identifying these children they were traced to their homes and data were gathered through the household survey instrument. The first survey round covered 568 children, 289 treatment and 279 control. Due to the exit plan designed to place children in other facilities there was a high attrition rate (25 percent) between the two survey rounds. As indicated earlier, the attrition rate was higher (47 percent) for those who resided in Agape homes and substantially lower (12.5 percent) for non-Agape residents. The follow-up survey covered 428 children, 184 treatment and 244 control.

Descriptive statistics, based on the first round survey, for the entire sample as well as for the treatment and control groups are provided in Table 1. In terms of the various socio-economic characteristics there are some clear differences between the treatment and control groups. Children living in Agape homes are more likely to have come from a household where the head is illiterate (74 versus 66 percent) and more likely to be employed as agricultural labourers (63 vs 51 percent). They are also less likely to have lived in dwellings where the floors, roofs and walls are *pucca*. The two groups are quite similar in terms of demographic characteristics. There are clear differences in terms

[7] Power calculations based on a small effect size suggested that this sample has adequate power (0.8).

[8] To develop the tests we drew upon Mathematics text books for classes 1 to 10 covering syllabus typical in government schools across India, see for example http://www.textbooksonline.tn.nic.in/

[9] The instrument was developed by a psychologist, Dr. Robert Goodman and has been widely applied. For details see http://www.sdqinfo.com/a0.html.

[10] Six Agape homes with seven children or less in grades 1 to 10 were excluded. Of the 722 children in these 18 Agape homes, 290 were already in the exit program.

of religion and caste and children living in Agape homes are more likely to be Christians (77 vs 29 percent) and are also more likely to belong to scheduled tribes (56.6 vs 29.4). The children are similar in terms of age and prior attendance of a pre-primary school. However, about 65 percent of children residing in Agape homes are male as compared to 51 percent in the case of non-Agape residents. Given the target group that COUNT attempts to reach out differences in terms of socio-economic status, caste and religion are not unexpected. It does, however, highlight the need to control for these attributes in comparisons of the effects of living in an Agape home on outcomes.

b. Other sources of data/information

Prior to visiting the project site, information was gathered from Woord en Daad. This information included:

- Project progress documents/half-yearly activity reports
- Financial information on the project
- Project plans – yearly and long-term.

A field visit was undertaken in July-August 2012 when the evaluation team met with several staff members of the SPO/COUNT and gathered relevant documents to understand the intervention.[11]The field visits included:

Discussion at Onyx Agape Home in Rampachodavaram in East Godavri district of Andhra Pradesh: At the home semi-structured interviews were conducted with the house parents, and with several children residing in the home. Some of the questions were addressed to the group of 30 children (17 girls and 13 boys) and four children were interviewed individually.

Discussion at Immanuel Agape home, Arku Valley, Vishakapatnam district of Andhra Pradesh: At the home semi-structured interviews were conducted with the house parents, and with several children residing in the home. Some of the questions were addressed to the group of about 40 children (17 girls) and eight respondents children were interviewed individually.

Visit to Zandagarh village, Vishakapatnam district: A number of children from this village live in Agape homes. During the village visit we met with the church pastor and parents whose children live in an Agape home.

In addition to the discussions at the homes and the villages we examined the records maintained by each of the homes (each home maintains 12 records) and also collected several documents from COUNT. These documents included:

- Account statements for various periods
- Documents containing information on how the Agape homes are organized and administered

[11] Mr. Dexter Gollapalli, Director, COUNT; Mr. S. Williams (Human resources); Mr. John (in-charge of the vocational training component); Mr. Vijay (in-charge of adoption); Mr. Prabhakar (in-charge of HIV/AIDS awareness programs), Mr. Samuel (Co-ordinator and Account department).

- COUNT – Administrational Manuals
- Organizational capacity assessments
- Development strategy for the period 2010-2014
- COUNT Programs internal evaluations[12]

6. Estimates and Discussion

Tables 2a and 2b contains estimates of the effect of residing in an Agape home on education and non-education related outcomes, respectively. These estimates are based on the first-round of data collection. The last three columns of the tables contain three different sets of estimates. Column 4 contains OLS estimates without any control variables, column 5 contains OLS estimates after controlling for a range of traits including child age, gender and pre-primary school attendance, socio-economic and demographic characteristics including religion and caste. A set of district-fixed effects is also included.[13] Column 6 provides estimates based on propensity score matching (PSM). Tables 3a and 3b provide OLS and PSM estimates of studying in a COUNT school and Tables 4a and 4b provide OLS and PSM estimates of studying in a COUNT school **and** residing in an Agape home. There are some differences across the OLS and PSM estimates and while these are pointed out below, for the most part the discussion focuses on the OLS estimates as these are based on controlling for a much larger range of traits as compared to the PSM estimates.[14] We also provide estimates for the effect of residing in an Agape home using data collect in 2014 (see Tables 5a and 5b). However, as discussed above, due to sample attrition these estimates do not yield much additional information.

a. Effect of residing in Agape homes - education related outcomes

The first 4 rows of Table 2a provide estimates of the effect of residing in an Agape home on cognitive achievement in Mathematics. The estimates show that in grades 1 and 2 children residing in an Agape home tend to score less as compared to the control group. In grades 1 and 2 Agape residents score about 7 percent less while in grades 3 and 4 it is about 9 percent less. However, in the higher

[12] These evaluations include reports by AC Nielsen conducted in May 2011. The evaluators visited five villages in Rampachodavaram and conducted a household survey of 150 households. An evaluation report of COUNT's activities produced by ASK (Association for Stimulating Know-how) and a report titled, *Balancing provision, protection and participation: Good practices with regard to supplementary education for children in India*, submitted on July 07, 2011 by Esteves, Goswami and Fons van der Velden.

[13] In most cases, in our sample, there is only one school per district and so we are unable to control for both school and district fixed-effects.

[14] PSM requires knowledge of factors that determine entry into Agape homes – that is, information on the economic conditions of the child's household at the time that the child entered the Agape homes. However, we only have information on the current situation. This limitation suggests that it is prudent to focus on the OLS estimates as we can control for a number of variables that may have a bearing on the outcomes.

grades, that is class 5 to 8 there does not seem to be any difference between the two sets of children. A literal interpretation of these estimates is that being an Agape resident has a negative effect on achievement for children in grades 1 to 4 and no negative effect beyond that level. An alternative interpretation given the background of children staying in Agape homes and the inability to control for unobserved traits of children is that children from a weaker socio-economic background join Agape homes and while they tend to perform worse than non-Agape residents in the first four years of primary school, by grade 5 they have caught up. This interpretation is also supported by the patterns that we observe in estimates based on the 2014 data. In 2012, children in grades 3 and 4 scored 9 percent less on the mathematics test as compared to their non-Agape counterparts. However, in 2014 when they were in grades 5 and 6 their test scores are 12 percentage points higher than the control group. Similarly, for those who were in grades 5 and 6 in 2012 we found no difference between treatment and control group in 2014 (grades 7 and 8); in fact they tend to perform far better than their non-Agape counterparts (26 percent higher). At the very least the estimates suggest that even if children who join Apape homes display lower levels of cognitive achievement when they first join the homes by the time they are in Grades 5 and 6 (aged 10-11) they are performing as well as their non-Agape colleagues.

The remainder of Table 2a examines differences on a range of education related outcomes including interest in studies, whether they do homework regularly, educational aspirations and attitudes dues towards cheating in examinations. There are no statistically significant differences in terms of educational aspirations across the two groups. About 45 percent of both groups of children are interested in engineering and medicine while the rest aspire to earn BA/MA degrees. Attitudes towards cheating are also not statistically different across groups and about 78 percent of children indicate that they do not consider it appropriate to cheat on an exam in order to pass. The differences that do emerge relate to the regularity with which homework is done and interest in studies. According to their foster parents, children living in Agape homes are 14 percentage points more likely to do their homework regularly. Consistent with this finding we find that children living in Agape home are 10 percentage points more likely to be interested in their studies.

b. Effect of residing in Agape homes – non-education related outcomes

According to their (foster) parents, the estimates reported in column 5 of Table 2b show that children residing in Agape homes are 10 percentage points more likely to be ranked as well-organized as compared to their counterparts. There are no statistically significant differences between the two groups with regard to habits such as wasting food or using foul language. The survey included two vignettes designed to capture attitudes and responses to stealing and humane/cruel behaviour. In both cases there are no statistically significant differences in responses between the two sets of children. Based on the estimates in Column 4, it seems that children residing

in Agape homes are more likely to intervene when they see a cruel act being committed. A substantially larger share indicated that they would stop an individual from stoning animals - 37 versus 12 percent. However, these differences do not persist once various controls are included. The gap remains at but 7 percentage points but it is no longer statistically significant.

The teacher version of the strengths and difficulties instrument was used to assess differences between Agape and non-Agape residents with regard to five non-cognitive aspects. Based on the estimates in Column 4 of Table 2b it seems that on all five dimensions children residing in Agape homes are rated by teachers as having more problems than their non-Agape counterparts. The PSM estimates (Column 6) also suggest that children in Agape homes experience greater emotional and conduct problems and are more likely to be hyperactive and have problems with their peers although the estimates are not precise. However, OLS estimates including controls paint a very different picture. Estimates of the effect of residing in an Agape home, after controlling for differences in socio-economic status, religion, and caste reveal that living in a home is not associated with notably higher non-cognitive development. The picture emerging from a comparison of the three sets of estimates is that children who reside in Agape homes are viewed by their teachers as being less social and having greater emotional and conduct problems, however, this has nothing to do with the Agape home and is a function of their backgrounds. The sharp differences across estimates also highlight the importance of controlling for background traits that are likely to influence entry into Agape homes and the outcomes being scrutinised.

*c. Effect of residing in an Agape home **and** attending a COUNT School*

The effects of simultaneously experiencing two interventions, that is, residing in an Agape home and attending a COUNT school as compared to not attending either are provided in Tables 4a and 4b. About 56 percent of the children living in an Agape home also attend a COUNT school (156 of 279).[15] With regard to the education related outcomes, the estimates display roughly the same pattern as seen in the case of those who only attend Agape homes. Initially, that is in classes 1 to 4 children residing in Agape homes seem to be at a disadvantage. However, by the time they reach classes 5 through 8 the deficit seems to have been erased and, for those attending classes 7 and 8 there seems to be a 17 percent Agape-resident advantage, although the estimates are statistically significant at only the 11 percent level. For all the other education related outcomes there seems to be no differences between those who have received both interventions and those who have not experienced any such intervention. There is a clearer effect of both interventions on some of the habit and value outcomes. Children who live in an Agape home and attend a COUNT school are thought to be substantially better organized (17.4 percentage points) and they also seem to be less

[15] The distribution of the sample in the different categories is provided in Table A2.

inclined to ignore inhumane behaviour. However, the clearest difference between those who experience one intervention and those who experience both interventions comes from the set of five variables that capture non-cognitive attributes. Estimates that do not control for differences continue to show that those who experience such interventions have greater problems on all five dimensions. However, once we control for various attributes we see that those who experience both interventions are less likely to experience emotional and conduct problems. In fact, in the case of problems with peers and pro-social behaviour those experiencing both interventions have a higher and statistically significant score on both outcomes. A comparison of the estimates between those who experience only one intervention and those who experience both suggests that the two interventions complement each other and work towards reducing the deficit in non-cognitive skills that may afflict children who are the target of COUNT's interventions.

d. Efficiency of the project

In 2012-2013 the project had a total budget of Rs. 19,022,400 of which Rs. 15,361,166 was allocated to the Agape homes. This translates into an annual budget of Rs. 16,430 per child or Rs. 1369 per month per child. These funds are intended to meet among other costs, the current costs of housing and feeding children in the Agape homes. From the available information it is not clear whether these funds are also expected to finance the educational costs of children residing in the Agape homes. Clarity is still needed on the scope of these expenditures. Notwithstanding this lack of clarity, available information from the Government of India reveals that a sum of Rs. 42,000 per child is allocated to meet current expenditures in Ekalayva Residential Schools (ERS). [16] These schools have been set up by the Government to provide education to children from tribal families. The funds per child are expected to cover the costs of feeding, housing and educating children who attend such schools. A breakdown of costs by component is not available. While we still need to ensure that the figures are comparable, *prima facie*, it does seem that the Agape homes are able to support children in a more efficient manner than government run schools which focus on the same target group as COUNT.

Not only does the project seem to have been executed efficiently, based on the estimates provided it seems that as children spend more time in these Agape homes their educational performance as judged by their performance in Maths test is no worse—there is some evidence that it is better— compared to their non-Agape counterparts. There is also evidence that children residing in Agape homes are more dedicated to their studies and are more conscientiousness (doing homework regularly) and better organized. Changes in the estimates in terms of performance by grade and over time, and estimates with and without controls suggests that the Agape homes are

[16] Ekalavya Residential Schools have been set up by the Government of India as model residential schools for tribal families. See http://tribal.nic.in/Content/EklavyaModelResidentialSchool.aspx.

successful at bridging the gap in cognitive and non-cognitive attributes between children from relatively weaker socio-economic backgrounds.

7. Concluding remarks

The paper assessed the impact of a project implemented by COUNT (Christian Outreach Uplifting New Tribes) and funded by Woord en Daad. The project aims to provide quality education to children of tribal communities living in remote villages with limited access to formal education by placing children from needy households in residential (Agape) homes with foster parents and ensuring that such children have access to education either in government schools or in schools run by COUNT and ensuring their all-round development. The primary objective of the evaluation was to identify the impact of living in a foster home on the various education and non-education related indicators. The paper presented the findings of the evaluation of the effects of residing in foster homes on the cognitive and non-cognitive development of children which included outcomes such as educational aspirations, ethical values and habits.

The main findings are that residing in an Agape home for a longer period contributes to the improvement of cognitive and non-cognitive skills compared to children in regular schools and in non-Agape homes. The estimates presented in the paper indicate that while in the initial years Agape children do not fare well in school compared to non-Agape children, their performance improves with the length of time and is as good as their non-Agape counterparts. Children residing in Agape homes are also likely to be more organised, do their homework more regularly and show more interest in studies than non-Agape children. The gains are particularly substantial for children who reside in an Agape home and attend a COUNT school with the two interventions complementing each other to benefit the child's cognitive and non-cognitive development. While these findings ae promising the extent to which one can imbue them with a causal interpretation is circumscribed by the lack of baseline data. To enhance the credibility of the impact evaluation, baseline data and several rounds of follow-up data on the same children needs to be collected. Furthermore, a more compelling efficiency and effectiveness analysis requires not just an evaluation of COUNT's programs but an assessment of alternative programs run by the government.

Notwithstanding these remarks, based on the statistical analysis, the field work that was conducted and the information gathered from the existing reports it does seem that the project has been efficiently executed. It also seems to be well-conceived and suitable for the environment in which it is located. To elaborate, COUNT works to provide quality education to some of the most vulnerable and historically marginalised groups, namely children from Scheduled Tribes (ST). Mainstream development including the provision of schools may often bypass these groups who are located in inaccessible areas. While there are government programs that are designed to cater to

these groups, the popular press often argues that these suffer from poor implementation.[17] Hence, there continues to be a need for interventions such as that run by COUNT.

[17] We have not been able to locate any evaluations of the Ekalavya Residential School programme.

Table 1
Descriptive Statistics – Means and testing for differences in means (2012)

Variable	Total	Treatment	Control	$\overline{X_t} = \overline{X_c}$ p-values
Socio-economic characteristics				
Consumption (monthly expenditure in Rs.)	5096	5588	4619	0.062
Illiterate, household head (%)	70.3	74.3	66.4	0.039
Primary education, completed, household head (%)	5.83	5.77	5.88	0.957
Upper primary education, completed, household head (%)	4.97	3.24	6.57	0.068
Secondary education, completed, household head (%)	9.01	6.13	11.8	0.019
Senior secondary, completed, household head (%)	1.06	0.72	1.38	0.443
Graduate, completed, household head (%)	1.23	1.08	1.38	0.746
House type, floor is *katcha* (%)	68.5	75.9	61.2	0.000
House type, roof is *katcha* (%)	64.4	73.8	55.4	0.000
House type, wall is *katcha* (%)	54.0	60.9	47.4	0.001
Self-employed in non-agriculture (%)	8.62	8.6	8.65	0.984
Agricultural labour (%)	56.7	63.1	50.5	0.003
Non-agricultural labour (%)	31.3	37.0	25.4	0.003
Self-employed in agriculture (%)	0.70	0.0	1.38	0.049
Demographic characteristics				
Age of household head	38.43	38.74	38.14	0.296
Number of males in household	2.425	2.496	2.356	0.125
Number of females in household	2.158	2.140	2.176	0.658
Number of adults	2.195	2.226	2.166	0.327
Household size				
Infrastructure				
Primary source of energy for cooking – firewood (%)	70.2	86.3	54.7	0.000
Primary source of energy for cooking – LPG (%)	19.2	7.16	30.8	0.000
Primary source of lighting – kerosene lantern (%)	8.27	10.4	6.22	0.072
Primary source of lighting – electricity (%)	86.1	81.0	91.0	0.000
Primary source of water – hand pump (%)	53.2	61.6	44.9	0.000
Primary source of water – private tap in house (%)	26.1	16.1	35.6	0.000
Type of toilet – open defecation (%)	59.3	77.1	42.2	0.000
Type of toilet – toilet at home (%)	35.9	16.8	54.3	0.000
Religion (%)				
Hindu	40.3	20.1	59.8	0.000
Muslim	5.98	2.15	9.68	0.000
Christian	52.8	77.1	29.4	0.000
Caste (%)				
Scheduled tribe	42.8	56.6	29.4	0.000
Scheduled caste	29.7	32.9	26.6	0.099
Other backward classes	23.9	10.0	37.4	0.000
Others	3.52	0.36	6.57	0.000
Child characteristics				
Age	11.28	11.38	11.18	0.360
Male (%)	58.0	65.1	51.2	0.001
Attended private pre-primary school (%)	32.2	34.7	29.7	0.202
N	566-568	277-279	289	

Table 2a

Means and effect of residing in an Agape home on outcomes using first round survey (2012)

Variable	**Total** (1)	**Treatment** (2)	**Control** (3)	**Treatment effect** [a] (p-value) (4)	**Treatment effect** [b] (p-value) (5)	**Treatment effect** [c] (std. err.) (6)
Education related outcomes						
Mathematics test scores - class 1 and 2 (%), N =81; T = 39, C = 42	94.9	91.3	98.2	-0.069	-0.067	-0.059
				(0.002)	(0.158)	(0.024)
Mathematics test scores - class 3 and 4 (%), N= 141; T = 73, C=68	64.4	62.1	66.9	-0.048	-0.090	-0.077
				(0.052)	(0.032)	(0.027)
Mathematics test scores - class 5 and 6 (%), N= 146; T = 78, C = 68	95.6	94.9	96.4	-0.015	0.003	-0.013
				(0.053)	(0.792)	(0.011)
Mathematics test scores - class 7 and 8 (%), N = 144, T = 68, C = 76	81.8	84.2	79.6	0.046	0.011	0.081
				(0.232)	(0.821)	(0.065)
Child has little interest in studies – parental response (%)	61.3	63.4	59.1	0.043	-0.096	0.058
				(0.297)	(0.056)	(0.058)
Child does **not** do homework regularly – parental response (%)	66.0	63.8	68.2	-0.043	-0.136	0.010
				(0.273)	(0.004)	(0.056)
Aspires to reach secondary school – child response (%)	20.6	20.1	21.1	-0.010	-0.007	0.039
				(0.761)	(0.879)	(0.047)
Aspires to complete BA/BSc degree – child response (%)	18.7	18.3	19.0	-0.007	0.065	0.039
				(0.819)	(0.154)	(0.047)
Aspires to complete MA/MSc degree – child response (%)	14.1	14.3	13.8	0.005	0.000	-0.002
				(0.865)	(0.999)	(0.041)
Aspires to complete B.Tech (engineering) – child response (%)	22.4	22.9	21.7	0.011	-0.052	-0.065
				(0.745)	(0.301)	(0.051)
Aspires to complete MBBS (medical degree) – child response (%)	23.9	23.6	24.2	0.006	-0.013	-0.019
				(0.875)	(0.800)	(0.053)
It is **not** ok to cheat in an exam to pass – child response (%)	78.5	82.8	74.4	0.084	-0.046	0.088
				(0.015)	(0.270)	(0.050)
N[c]	568	279	289	568	563-564	553

Notes: [a] No control variables - OLS; [b] Control variables include a range of variables to control for socio-economic differences across households, demographic characteristics, religion and caste (see Table 1) - OLS. [c] Estimates based on 5 nearest neighbors, propensity score matching. [d]-Number of observations except for test scores.

Table 2b: Means and effect of residing in an Agape home on outcomes using first round survey (2012)

Variable **Non-education related outcomes – values, habits**	**Total** (1)	**Treatment** (2)	**Control** (3)	**Treatment effect** [a] (p-value) (4)	**Treatment effect** [b] (p-value) (5)	**Treatment effect** [c] (std. err.) (6)
Child is well-organized – parental response (%)	22.7	26.9	18.7	0.082	0.104	0.045
				(0.020)	(0.017)	(0.047)
Child does **not** waste food – parental response (%)	80.8	77.4	84.1	-0.066	-0.048	-0.030
				(0.044)	(0.232)	(0.046)
Your friend asks you to join him/her to steal – child response (%)						
Decline and mind my own business	49.3	50.9	47.8	0.031	-0.049	-0.148
				(0.454)	(0.364)	(0.060)
Decline and persuade him/her against it	46.4	44.8	48.1	-0.032	0.015	0.119
You see someone throwing stones at a dog – child response (%)				(0.432)	(0.776)	(0.060)
Ignore it	40.1	37.3	42.9	-0.056	-0.059	0.075
				(0.172)	(0.216)	(0.060)
Shoo the dog	31.9	22.9	40.4	-0.175	-0.054	-0.294
				(0.000)	(0.260)	(0.057)
Try to stop the person	24.1	36.6	12.1	0.244	0.069	0.196
				(0.000)	(0.140)	(0.044)
The use of foul language displays strength/cool factor – child response (%)						
Strongly disagree	86.4	91.4	81.6	0.097	0.014	0.048
				(0.000)	(0.710)	(0.042)
It is ok to waste food – child response (%)						
Strongly disagree	51.5	55.2	48.1	0.071	0.083	0.152
				(0.091)	(0.107)	(0.061)
Strengths and difficulties module – teacher version						
Emotional problems (a higher score indicates greater problems)	1.75	2.15	1.35	0.799	-0.069	1.011
				(0.000)	(0.716)	(0.200)
Conduct problems (a higher score indicates greater problems)	1.78	2.30	1.28	1.019	0.205	1.150
				(0.000)	(0.265)	(0.200)
Hyperactivity/inattention (a higher score indicates greater problems)	1.85	2.42	1.31	1.11	0.386	1.171
				(0.000)	(0.065)	(0.217)
Problems with peers (a higher score indicates greater problems)	2.25	2.69	1.82	0.872	-0.304	1.084
				(0.000)	(0.100)	(0.226)
Prosocial behavior (a higher score indicates child is more social)	8.36	7.80	8.91	-1.11	-0.048	-1.28
				(0.000)	(0.782)	(0.209)
N	568	279	289	566	563-564	553

Notes: [a] No control variables - OLS; [b] Control variables include a range of variables to control for socio-economic differences across households, demographic characteristics, religion and caste (see Table 1) - OLS. [c] Estimates based on 5 nearest neighbors, propensity score matching.

Table 3a
Effect of studying in a COUNT school on outcomes using first round survey (2012)

Variable	**Treatment effect** [a] (p-value)	**Treatment effect** [b] (p-value)
Education related outcomes		
Mathematics test scores - class 1 and 2 (%), N =81; T = 39, C = 42	-0.054	-0.025
	(0.015)	(0.712)
Mathematics test scores - class 3 and 4 (%), N= 141; T = 73, C=68	0.002	0.279
	(0.923)	(0.000)
Mathematics test scores - class 5 and 6 (%), N= 146; T = 78, C = 68	-0.017	0.047
	(0.065)	(0.080)
Mathematics test scores - class 7 and 8 (%), N = 144, T = 68, C = 76	-0.119	-0.189
	(0.007)	(0.021)
Child has little interest in studies – parental response (%)	0.053	-0.245
	(0.220)	(0.008)
Child does **not** do homework regularly – parental response (%)	0.005	-0.232
	(0.914)	(0.008)
Aspires to reach secondary school – child response (%)	-0.037	-0.072
	(0.298)	(0.403)
Aspires to complete BA/BSc degree – child response (%)	-0.016	-0.344
	(0.647)	(0.000)
Aspires to complete MA/MSc degree – child response (%)	-0.001	0.020
	(0.963)	(0.794)
Aspires to complete B.Tech (engineering) – child response (%)	0.038	0.255
	(0.304)	(0.006)
Aspires to complete MBBS (medical degree) – child response (%)	0.014	0.141
	(0.711)	(0.135)
It is **not** ok to cheat in an exam to pass – child response (%)	0.176	-0.041
	(0.000)	(0.594)
N [c]	568	563-564

Notes: [a] No control variables - OLS; [b] Control variables include a range of variables to control for socio-economic differences across households, demographic characteristics, religion and caste (see Table 1) - OLS. [c]Number of observations except for test scores.

Table 3b
Effect of studying in a COUNT school on outcomes using first round survey (2012)

Variable **Non-education related outcomes – values, habits**	**Treatment effect** [a] (p-value)	**Treatment effect** [b] (p-value)
Child is well-organized – parental response (%)	-0.014	0.142
	(0.699)	(0.074)
Child does **not** waste food – parental response (%)	-0.023	-0.135
	(0.506)	(0.064)
Your friend asks you to join him/her to steal – child response (%)		
Decline and mind my own business	-0.087	-0.090
	(0.048)	(0.355)
Decline and persuade him/her against it	0.136	0.095
	(0.002)	(0.308)
You see someone throwing stones at a dog – child response (%)		
Ignore it	-0.059	-0.329
	(0.178)	(0.000)
Shoo the dog	-0.263	-0.189
	(0.000)	(0.031)
Try to stop the person	0.349	0.430
	(0.000)	(0.000)
The use of foul language displays strength/cool factor – child response (%)		
Strongly disagree	0.127	-0.054
	(0.000)	(0.426)
It is ok to waste food – child response (%)		
Strongly disagree	-0.091	-0.532
	(0.041)	(0.000)
Strengths and difficulties module – teacher version		
Emotional problems (a higher score indicates greater problems)	1.663	2.438
	(0.000)	(0.000)
Conduct problems (a higher score indicates greater problems)	1.992	3.124
	(0.000)	(0.000)
Hyperactivity/inattention (a higher score indicates greater problems)	1.890	2.117
	(0.000)	(0.000)
Problems with peers (a higher score indicates greater problems)	2.401	3.623
	(0.000)	(0.000)
Prosocial behavior (a higher score indicates child is more social)	-2.381	-3.076
	(0.000)	(0.000)
N	566	563-564

Notes: [a] No control variables - OLS; [b] Control variables include a range of variables to control for socio-economic differences across households, demographic characteristics, religion and caste (see Table 1) - OLS.

Table 4a

Effect of studying in a COUNT school and residing in an Agape home on outcomes using first round survey (2012)

Variable	**Treatment effect** [a] (p-value)	**Treatment effect** [b] (p-value)
Education related outcomes		
Mathematics test scores - class 1 and 2 (%), N =81; T = 39, C = 42	-0.072	-0.041
	(0.001)	(0.405)
Mathematics test scores - class 3 and 4 (%), N= 141; T = 73, C=68	-0.041	-0.162
	(0.121)	(0.020)
Mathematics test scores - class 5 and 6 (%), N= 146; T = 78, C = 68	-0.024	-0.012
	(0.016)	(0.675)
Mathematics test scores - class 7 and 8 (%), N = 144, T = 68, C = 76	-0.087	0.172
	(0.060)	(0.108)
Child has little interest in studies – parental response (%)	0.057	0.044
	(0.216)	(0.628)
Child does **not** do homework regularly – parental response (%)	-0.018	-0.059
	(0.693)	(0.493)
Aspires to reach secondary school – child response (%)	-0.072	0.032
	(0.059)	(0.711)
Aspires to complete BA/BSc degree – child response (%)	-0.028	-0.073
	(0.454)	(0.379)
Aspires to complete MA/MSc degree – child response (%)	0.036	0.108
	(0.277)	(0.157)
Aspires to complete B.Tech (engineering) – child response (%)	0.045	-0.011
	(0.249)	(0.901)
Aspires to complete MBBS (medical degree) – child response (%)	0.015	-0.057
	(0.717)	(0.544)
It is **not** ok to cheat in an exam to pass – child response (%)	0.164	0.068
	(0.000)	(0.373)
N [c]	568	563-564

Notes: [a] No control variables - OLS; [b] Control variables include a range of variables to control for socio-economic differences across households, demographic characteristics, religion and caste (see Table 1) - OLS. [c] Number of observations except for test scores.

Table 4b

Effect of studying in a COUNT school and residing in an Agape home on outcomes using first round survey (2012)

Variable **Non-education related outcomes – values, habits**	**Treatment effect** [a] (p-value)	**Treatment effect** [b] (p-value)
Child is well-organized – parental response (%)	0.049	0.174
	(0.212)	(0.027)
Child does **not** waste food – parental response (%)	-0.045	-0.017
	(0.227)	(0.814)
Your friend asks you to join him/her to steal – child response (%)		
Decline and mind my own business	-0.079	0.069
	(0.094)	(0.479)
Decline and persuade him/her against it	0.119	-0.084
	(0.011)	(0.366)
You see someone throwing stones at a dog – child response (%)		
Ignore it	-0.129	-0.228
	(0.005)	(0.009)
Shoo the dog	-0.227	0.072
	(0.000)	(0.405)
Try to stop the person	0.374	0.100
	(0.000)	(0.241)
The use of foul language displays strength/cool factor – child response (%)		
Strongly disagree	0.116	0.005
	(0.000)	(0.947)
It is ok to waste food – child response (%)		
Strongly disagree	-0.075	0.108
	(0.111)	(0.245)
Strengths and difficulties module – teacher version		
Emotional problems (a higher score indicates greater problems)	1.409	-0.400
	(0.000)	(0.245)
Conduct problems (a higher score indicates greater problems)	1.719	-0.323
	(0.000)	(0.332)
Hyperactivity/inattention (a higher score indicates greater problems)	1.734	-0.100
	(0.000)	(0.792)
Problems with peers (a higher score indicates greater problems)	1.911	-1.005
	(0.000)	(0.003)
Prosocial behavior (a higher score indicates child is more social)	-2.058	0.618
	(0.000)	(0.047)
N	567-568	563-564

Notes: [a] No control variables - OLS; [b] Control variables include a range of variables to control for socio-economic differences across households, demographic characteristics, religion and caste (see Table 1) - OLS.

Table 5a

Effect of residing in an Agape home and studying in a COUNT school using second round survey (2014)

Variable	**Treatment effect** [a] (p-value) Agape home	**Treatment effect** [b] (p-value) COUNT School
Education related outcomes		
Mathematics test scores - class 3 and 4 (%), N =18	-0.011	-0.069
	(0.901)	(0.406)
Mathematics test scores - class 5 and 6 (%), N= 62	0.138	0.124
	(0.019)	(0.010)
Mathematics test scores - class 7 and 8 (%), N= 57	0.126	0.258
	(0.040)	(0.000)
Mathematics test scores - class 9 and 10 (%), N = 54	0.143	-0.043
	(0.032)	(0.482)
Child has little interest in studies – parental response (%), N=427	-0.139	-0.424
	(0.004)	(0.000)
Child does **not** do homework regularly – parental response (%), N=251	-0.047	.
	(0.452)	
Aspires to reach secondary school – child response (%), N=423	0.000	-0.150
	(0.996)	(0.000)
Aspires to complete BA/BSc degree – child response (%), N=423	-0.014	0.011
	(0.734)	(0.807)
Aspires to complete MA/MSc degree – child response (%), N=423	-0.030	-0.005
	(0.345)	(0.874)
Aspires to complete B.Tech (engineering) – child response (%), N=423	0.011	0.065
	(0.792)	(0.135)
Aspires to complete MBBS (medical degree) – child response (%), N=423	0.003	0.026
	(0.951)	(0.561)
It is **not** ok to cheat in an exam to pass – child response (%), N=425	-0.018	-0.190
	(0.711)	(0.000)

Notes: [a] No control variables - OLS;

Table 5b

Effect of residing in an Agape home and studying in a COUNT school using second round survey (2014)

Variable **Non-education related outcomes – values, habits**	**Treatment effect** [a] (p-value) Agape home	**Treatment effect** [b] (p-value) COUNT School
Child is well-organized – parental response (%), N=251	0.021 (0.717)	.
Child does **not** waste food – parental response (%), N=251	-0.039 (0.462)	.
Your friend asks you to join him/her to steal – child response (%), N=291		
Decline and mind my own business	0.154 (0.021)	0.478 (0.341)
Decline and persuade him/her against it	0.080 (0.169)	-0.251 (0.565)
You see someone throwing stones at a dog – child response (%), N=251		
Ignore it	0.040 (0.380)	-0.127 (0.008)
Shoo the dog	-0.061 (0.168)	-0.114 (0.015)
Try to stop the person	0.124 (0.006)	0.293 (0.000)
The use of foul language displays strength/cool factor – child response (%), N=201		
Strongly disagree	0.026 (0.596)	.
It is ok to waste food – child response (%), N=201		
Strongly disagree	0.054 (0.447)	.
Strengths and difficulties module – teacher version, N=526		
Emotional problems (a higher score indicates greater problems)	0.027 (0.847)	-0.101 (0.480)
Conduct problems (a higher score indicates greater problems)	0.030 (0.825)	0.060 (0.672)
Hyperactivity/inattention (a higher score indicates greater problems)	0.049 (0.753)	-0.115 (0.479)
Problems with peers (a higher score indicates greater problems)	0.008 (0.957)	-0.061 (0.678)
Prosocial behavior (a higher score indicates child is more social)	-0.175 (0.252)	-0.088 (0.580)

Notes: [a] No control variables - OLS;

Table 6

Statement (How much do you agree with the following statements?)	Score 1 = not at all 10 = completely
The project was well designed	8
The project was implemented as designed	9
The project reached all its objectives	8
The observed results are attributable to the project interventions	6
The observed results are relevant to the project beneficiaries	8
The project was implemented efficiently	9

Table A1

EDUCATION / SCHOLARSHIPS :
BUDGET FOR APRIL - 2012 TO MARCH - 2013
BUDGET FOR 735 + 200 = 935 + 35 vrf = 970 CHILDREN

I.	**Service Delivery:**					
	Agape Homes	No.	**AMOUNT**			**AMOUNT**
			Per Month			**Per Year**
1	10.101 - Central Agape Home	230	337.989,60	X	12	4.055.875,20
2	10.102 - Carmel Agape Home	25	36.738,00	X	12	440.856,00
3	10.103 - Immanuel Agape Home	25	36.738,00	X	12	440.856,00
4	10.104 - Mizpah Agape Home	30	44.085,60	X	12	529.027,20
5	10.105 - Olive Agape Home	30	44.085,60	X	12	529.027,20
6	10.106 - Bethany Agape Home	30	44.085,60	X	12	529.027,20
7	10.107 - Negev Agape Home	30	44.085,60	X	12	529.027,20
8	10.108 - Gilgal Agape Home	30	44.085,60	X	12	529.027,20
9	10.109 - Ruby Agape Home	30	44.085,60	X	12	529.027,20
10	10.110 - Engedi Agape Home	30	44.085,60	X	12	529.027,20
11	10.111 - Canaan Agape Home	25	36.738,00	X	12	440.856,00
12	10.112 - Kedar Agape Home	30	44.085,60	X	12	529.027,20
13	10.113 - Amythist Agape Home	30	44.085,60	X	12	529.027,20
14	10.114 - Sardis Agape Home	30	44.085,60	X	12	529.027,20
15	10.116 - Sardonyx Agape Home	30	44.085,60	X	12	529.027,20
16	10.117 - Chrysoprasus Agape Home	30	44.085,60	X	12	529.027,20
17	10.118 - Onyx Agape Home	40	58.780,80	X	12	705.369,60
18	10.119 - Dorcas Agape Home	30	44.085,60	X	12	529.027,20
19	10.115 - Bethlehem Daycare Center (B.D.C)	200	200.000,00	X	12	2.400.000,00
	Total Homes	*935*	*1.280.097*			*15.361.166*
20	WD Additional Scholarships (112)		88.276,13	X	12	1.059.313,60
	(Amount has been Adjusted with BDC sup.)					
21	**VRF** Scholarships (35)	35	95.900,00	X	12	1.150.800,00
	Total Amount:	970	**1.464.273,33**			**17.571.280,00**
II.	**Capacity building / Civil society strengthening (C S S) :**					
22	Capacity buidling for 30 / 50					590.000,00
	teachers / house parents, staff					
23	Pedagogical training for Jala					361.120,00
	16 teachers / 4 caretakers					
	Total Amount:					**951.120,00**
	Policy Influencing					**500.000,00**
	Total Amount:					**19.022.400,00**

Table A2

	Resides in Agape home	Does not reside in Agape home	Total
Attends COUNT School	156	37	193
Does not attend COUNT School	123	252	375
Total	279	289	568

Endline report – India, COUNT MFS II country evaluations

Capacity of Southern Partner Organisations (5C) component

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Report CDI-15-003

Kusters, C., Mohapatra B.P., Sethi, S., Buizer, N., Das, A., Bhatra R.W., Sen P., 2015. *Endline report – India, COUNT. MFS II country evaluations; Capacity of Southern Partner Organisations (5C) component.* Centre for Development Innovation, Wageningen UR (University & Research centre). Report CDI-15-003. Wageningen.

This report presents the findings of the endline of the evaluation of the organisational capacity component of the MFS II country evaluations. The focus of this report is India , COUNT. The format is based on the requirements by the synthesis team and NWO/WOTRO. The endline was carried out in 2014. The baseline was carried out in 2012.

Key words: 5C (five core capabilities); attribution; baseline; causal map; change; CFA (Co-financing Organisation) endline; organisational capacity development; SPO (Southern Partner Organisation).

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The India 5C evaluation team

List of abbreviations and acronyms

5 C	Capacity development model which focuses on 5 core capabilities
AF	Agape Fellowship
AP	Andhra Pradesh
ASK	Association for Stimulating Know How
Causal map	Map with cause-effect relationships. See also 'detailed causal map'.
Causal mechanisms	The combination of parts that ultimately explains an outcome. Each part of the mechanism is an individually insufficient but necessary factor in a whole mechanism, which together produce the outcome
CDI	Centre for Development Innovation, Wageningen University and Research centre
CFA	Co-Financing Agency
COUNT	Christian Outreach Uplifting New Tribes
Detailed causal map	Also 'model of change'. the representation of all possible explanations – causal pathways for a change/ outcome. These pathways are that of the intervention, rival pathways and pathways that combine parts of the intervention pathway with that of others. This also depicts the reciprocity of various events influencing each other and impacting the overall change. In the 5C evaluation identified key organisational capacity changes and underlying reasons for change (causal mechanisms) are traced through process tracing (for attribution question).
DRDA	District Rural Development Agency
FMC	Free Methodist Church
General causal map	Causal map with key organisational capacity changes and underlying reasons for change (causal mechanisms), based on SPO perception.
GGM	Global Gospel Ministry
HACI	Help a Child India
HBA	Health Bridge Alliance
HIV/AIDS	Human Immunodeficiency Virus Infection/ Acquired Immune Deficiency Syndrome
IDF	India Development Foundation
IKP	ICIC Knowledge Park
ITDA	Integrated Tribal Development Agency
ITI	Industrial Training Institute
M&E	Monitoring and Evaluation
MCA	Master in Computer Application
MFS	Dutch co-financing system
MIS	Management Information System
NACP	National Aids Control Programme
NGO	Non-Governmental Organisation
OD	Organisational Development
PLHIV	People Living with HIV
PME	Planning, Monitoring and Evaluation
Process tracing	Theory-based approach to trace causal mechanisms
PVTG	Particularly Vulnerable Tribal Group
RDT	Rural Development Trust
SETWIN	Society for Employment Promotion & Training in Twin Cities
SPO	Southern Partner Organisation
TLM	The Leprosy Mission Trust India
ToC	Theory of Change
TVET	Technical and Vocational Education and Training
VTS	Vocational Training Students

W&D NL	Woord en Daad Nederland
W&D I	Word and Deed India
Wageningen UR	Wageningen University & Research centre
WDCAP Programme	WDCAP is an online programme developed by W&D, Netherland to connect all its partners in a central server to store documents, generate and save reports. Each partner has been given independent user ID and password. They have to follow the browser link (www.wdcap.woordendaad.nl) and login on the given ID and password to access and upload documents. This can facilitate the partners to avoid loss of data.

1 Introduction & summary

1.1 Purpose and outline of the report

The Netherlands has a long tradition of public support for civil bi-lateral development cooperation, going back to the 1960s. The Co-Financing System (*Medefinancieringsstelsel*, or 'MFS') is its most recent expression. MFS II is the 2011-2015 grant framework for Co-Financing Agencies (CFAs), which is directed at achieving a sustainable reduction in poverty. A total of 20 consortia of Dutch CFAs have been awarded €1.9 billion in MFS II grants by the Dutch Ministry of Foreign Affairs (MoFA).

The overall aim of MFS II is to help strengthen civil society in the South as a building block for structural poverty reduction. CFAs receiving MFS II funding work through strategic partnerships with Southern Partner Organisations.

The MFS II framework stipulates that each consortium is required to carry out independent external evaluations to be able to make valid, evaluative statements about the effective use of the available funding. On behalf of Dutch consortia receiving MFS II funding, NWO-WOTRO has issued three calls for proposals. Call deals with joint MFS II evaluations of development interventions at country level. Evaluations must comprise a baseline assessment in 2012 and a follow-up assessment in 2014 and should be arranged according to three categories of priority result areas as defined by MoFA:

Achievement of Millennium Development Goals (MDGs) & themes;

Capacity development of Southern partner organisations (SPO) (5 c study);

Efforts to strengthen civil society.

This report focuses on the assessment of capacity development of southern partner organisations. This evaluation of the organisational capacity development of the SPOs is organised around **four key evaluation questions**:

1. What are the changes in partner organisations' capacity during the 2012-2014 period?
2. To what degree are the changes identified in partner capacity attributable to development interventions undertaken by the MFS II consortia (i.e. measuring effectiveness)?
3. Were the efforts of the MFS II consortia efficient?
4. What factors explain the findings drawn from the questions above?

The purpose of this report is to provide endline information on one of the SPOs involved in the evaluation: COUNT in India. The baseline report is described in a separate document.

Chapter 2 describes general information about the Southern Partner Organisation (SPO). Here you can find general information about the SPO, the context in which the SPO operates, contracting details and background to the SPO. In chapter 3 a brief overview of the methodological approach is described. You can find a more detailed description of the methodological approach in appendix 1.Chapter 4 describes the results of the 5c endline study. It provides an overview of capacity development interventions of the SPO that have been supported by MFS II. It also describes what changes in organisational capacity have taken place since the baseline and why (evaluation question is 1 and 4). This is described as a summary of the indicators per capability as well as a general causal map that provides an overview of the key organisational capacity changes since the baseline, as experienced by the SPO. The complete overview of descriptions per indicator, and how these have changed since the baseline is described in appendix 3.The complete visual and narrative for the key organisational capacity changes that have taken place since the baseline according to the SPO staff present at the endline workshop is presented in appendix 4.

For those SPOs involved in process tracing a summary description of the causal maps for the identified organisational capacity changes in the two selected capabilities (capability to act and commit; capability to adapt and self-renew) is provided (evaluation questions 2 and 4). These causal maps describe the identified key organisational capacity changes that are possibly related to MFS II

interventions in these two capabilities, and how these changes have come about. More detailed information can be found in appendix 5.

Chapter 5 presents a discussion on the findings and methodology and a conclusion on the different evaluation questions.

The overall methodology for the endline study of capacity of southern partner organisations is coordinated between the 8 countries: Bangladesh (Centre for Development Studies, University of Bath; INTRAC); DRC (Disaster Studies, Wageningen UR); Ethiopia (CDI, Wageningen UR); India (CDI, Wageningen UR: Indonesia (CDI, Wageningen UR); Liberia (CDI, Wageningen UR); Pakistan (IDS; MetaMeta); (Uganda (ETC). Specific methodological variations to the approach carried out per country where CDI is involved are also described in this document.

This report is sent to the Co-Financing Agency (CFA) and the Southern Partner Organisation (SPO) for correcting factual errors and for final validation of the report.

1.2 Brief summary of analysis and findings

Over the last two years COUNT has slightly improved in its capability to act and commit. Important improvements were the leader becoming more pragmatic, COUNT receiving support in developing strategic plans from the MFS II funded regional coordinator, improved staff skills, improved fundraising and fundraising procedures. In the capability to adapt and self-renew COUNT also improved slightly. This was mainly due to improved ability to collect data and to report due to methodological guidance and evaluations supported by W&D. COUNT did not change in its capability to deliver on development objectives. The organisation improved slightly in its capability to relate because they increased their engagement with target groups and increased the number of networks they are active in. Finally there was a very slight improvement in the capability to achieve coherence because strategies have been revisited and a new child protection policy is now in place.

The evaluators considered it important to also note down the SPO's perspective on the most important changes in the organisation since the baseline . During the endline workshop the key organisational capacity changes that were brought up by COUNT's staff were diversification of funds, reduction of programme costs and improved strategic planning. These changes happened to overlap with the key changes that were selected to process tracing as they were linked to MFS II supported capacity development interventions. Diversification of funds and reducing programme costs can be only partly attributed to MFS II supported capacity development interventions, which have played a relatively important role in improving the funding situation of COUNT, particularly in terms of accountability towards and retention of existing donors. Improved strategic planning can be largely attributed to MFS II supported capacity development interventions. These interventions, which include COUNT's involvement in different MFS II funded evaluations that aimed to improve COUNT's capacities and implementation of programmes, played an important role in terms of the development of a phase-out plan, improved staff skills in data collection and reporting, and more efficient project fund allocation.

2 General Information about the SPO – COUNT

2.1 General information about the Southern Partner Organisation (SPO)

Country	India
Consortium	Woord en Daad Red een Kind
Responsible Dutch NGO	Woord en Daad
Project (if applicable)	Education and TVET
Southern partner organisation	Christian Outreach Uplifting New Tribes (COUNT)

The project/partner is part of the sample for the following evaluation component(s):

Achievement of MDGs and themes	X
Capacity development of Southern partner organisations	X
Efforts to strengthen civil society	

2.2 The socio-economic, cultural and political context in which the partner operates

COUNT is an organisation which works amongst the remote tribal population of undivided Andhra Pradesh, Odisha and Chhattisgarh. It works as the social and developmental organ of Agape Fellowship (AF), which is a faith based organisation, focusing on social, cultural, educational and developmental opportunities for the tribals. In June 2014, after a protracted struggle, the state of Andhra Pradesh was divided into Seemandhra and Telangana.[1]Telangana region is the part of the erstwhile state which was under the princely rule of Nizam of Hyderabad, while Seemandhra region was part of British India, Madras Province. The region is mostly forested and rich with cultural, social and geological wealth. Yet it remained as one of the most backward regions of the state, reflecting the skewed development strategy of the post independent India. It has the rare glory of having the first peasant rebellion against landlords, led by the Communist Party of India (CPI), from 1946 to 1951, when the Government of India quelled it through operation Polo, an army operation. According to a study by Planning Commission, nine out of the ten districts in the Telangana state fall under the Backward Regions Grant Fund (BRGF)[2]. Telangana with a population of 35 million (2011 Census) is the

[1]On 2nd June 2014 Telangana emerged out of the existing state of Andhra Pradesh and became a new state of India. Due to the bifurcation of Andhra Pradesh, most of the areas under Count's operation now fall under Telengana, though a few homes do exist in Andhra, Odisha and Chhattisgarh.

[2]The Backward Regions Grant Fund is designed to redress regional imbalances in development. The fund provides financial resources for supplementing and converging existing developmental inflows into 250 identified districts, so as to: bridge critical gaps in local infrastructure and other development requirements that are not being adequately met through existing inflows and empower the local government through capacity building exercises. These districts also have been selected on the basis of a higher concentration of STs and SCc and primitive tribes.

12th most populous state of India. About 39% (by 2011) of the state population is Urban. The literacy rate of the State is 66.46 per cent (72.99 per cent in India) and that in the rural and urban areas are 57.25 per cent and 81.08 percent respectively. It is higher for males (74.95 per cent) than females (57.92). In 2013-14, the dropout rates from class's I-V, I-VII, and I-X are 22.32 per cent, 32.56 per cent and 38.21 per cent respectively.[3]

The Scheduled Castes and Scheduled Tribes account respectively for 15.4% and 9.3% (2011 census) of the total population in the state.[4] The target group of COUNT is the tribal community who are living in geographically inaccessible areas. Count provides homes for poor and orphan children in a locality accessible to school. These homes are under supervision of House parents, where all their educational, health and other needs are taken care of without any expense to the parents. Apart from these activities Count works for access to services for remote communities, entitlements and facilitating skill development of these communities for better livelihood.

Poverty

Unlike the Coastal Andhra, the Telangana region receives less rainfall and is hardly irrigated. Most of the agriculture is rain fed and the extraction of natural wealth goes to the development of urban centres rather than the remote areas. The majority of the tribal population live below the poverty line, without access to basic amenities.

Health and Nutrition

The tribal population mostly suffers from chronic infections, deficiency diseases and water borne diseases which are life threatening. Tuberculosis is common among them. Infant mortality is high among many tribes. Children are malnourished. According to the Social Assessment Study commissioned for National AIDS Control Programme 3(NACP 3) the tribes are vulnerable to HIV/AIDS due to various factors, such as migration, inaccessibility to resources and lack of awareness. Further, NACP 3 State Fact Sheet has categorized all the districts of Andhra Pradesh in 'category A' (districts with high prevalence of HIV / AIDS). Existence of stigma and poor health care facilities in the community demands for more awareness on prevention and transmission of HIV/AIDS and the COUNT HIV/AIDS program thus stands relevant.

Education

Despite various efforts by the government to improve literacy, formal education has made very little impact on the tribal groups. This was primarily due to lack of qualified teachers, teacher absenteeism, poor infrastructure, poor quality of education, inaccessibility and scattered habitations, the need for the children to work for a living and distant schools.

The government has made relevant policies to develop the tribal communities. But accessing these entitlements and delivery of services are the need of the hour. This governance deficit could only be bridged through dedicated and focused non-governmental organisations who concentrate on the vulnerable population. Another crucial hindrance to the development of the region is the existence of Maoist groups who have looked at any governmental attempts to intervene in the region with suspicion. The operations of COUNT focus on empowering the tribal groups, as earlier and until the recent past, who were unable to access social benefits from government schemes they are entitled to. However, now in most areas the tribal groups are able to assert their entitlements. In case of the remotely located tribal groups, most of whom have been declared as Particularly Vulnerable Tribal Groups (PVTGs) by the government, they hardly have any access to schemes and programmes run for their benefit. COUNT operates amongst such groups and directly takes care of their children's education, nutrition, health care etc. These activities in themselves have become a pathway to

[3] Source:http://www.telangana.gov.in/Other%20Docs/Socio-Economic-outlook-2014.pdf.
4 http://www.telangana.gov.in/Other%20Docs/Socio-Economic-outlook-2014.pdf

organise these communities in learning about their rights to safe drinking water, inoculation, maternal health care, MGNREGA etc. These groups rely on the COUNT contact persons who disseminate information and help them fill in forms etc.

2.3 Contracting details

When did cooperation with this partner start: 1991

What is the MFS II contracting period: 1 January 2011-31 December 2015

Did cooperation with this partner end? No.

If yes, when did it finish? N/A

What is the reason for ending the cooperation with this partner: N/A

If not, is there an expected end date for the collaboration? The phase-out of the financial support of Woord en Daad to COUNT will be completed by 2020. Until then, Woord en Daad will continue to support COUNT on the basis of yearly contracts following the Indian fiscal year: starting on the first of April and ending on the 31st of March.

2.4 Background to the Southern Partner Organisation

History

Christian Outreach for Uplifting New Tribes (COUNT) is a faith based NGO. It works mostly with tribals and the socially and economically downtrodden people groups. It was founded by Rev. John Gollapalli in 1978 with a vision to reach out to the unreached, backward and underprivileged tribal communities of India to uplift and bring development among them by providing child care, medical attention, education, economic opportunities, health care awareness etc. However, the concern to uplift these poorest of the poor people goes back to the early sixties when the social, economic and educational situation was much different from what it is now. These groups were backward, suffered from malnutrition, lived under the burden of superstitions and fear of the spirits they worshipped. COUNT realised the need to uplift these people and began its work in the tribal regions of Andhra Pradesh, and Madhya Pradesh (now Chhattisgarh) with the Koya, Gondu, Yerukala and Lambada tribes. COUNT began its development work through its church ministry of Agape Fellowship which is the sister organization of COUNT. It began with adopting one child from the Yerukala tribe and was cared in the founder's home. Within a short span of one year another 12 children were added to the first agape home (presently called "The Children Homes") (Source: Count Programs- updated version 11-12-13). The children were cared by providing food, shelter, medical care, clothing and education. To support his ministry the Founder began to mobilize funds by sharing his concerns with friends and relatives. The initial activities of the organisation were under an un-registered society called "Christ for Indian Tribes" and in 1978 it was registered as a society under the name "Christian Outreach for Uplifting New Tribes (COUNT)". In the same year, the Founder was introduced to a Dutch Businessman named Jacob van Rijswijk (JvR) who gave him INR 80,000 to build a Church building for a congregation which he was pastoring in Lallaguda, Secunderabad.

Since inception the strategy of the Founder was to make COUNT self-supportive by raising their own income through self-help projects. The strategy was further strengthened when COUNT got financial support from Jacob van Rijswijk for buying agricultural land at Chengicherla, Hyderabad in between 1978 to 1980. Meanwhile, local support increased as hundreds of well-wishers joined COUNT's ministries. Individuals, families and churches started supporting the mission of COUNT. Thus, the number of children and staff increased. Gradually various developmental projects were added such as education/sponsorship, higher education, vocational training, basic needs and medical care.

In 1982, the vocational training for young tribal youths who never went to school or were dropouts was introduced so that through skills training, (self) employment opportunities and through positive values and attitudes building their self-esteem, leading to sustainable income and a better position in

the labour market. The Vocational training centre (VTC) which is also called Antonia Vocational Training Institute (AVTI) offered vocational trainings and skills such as carpentry, tailoring, electrical Training, automobile repairing and most recently (2014) printing (outside the Agape Centre). After the completion of these courses, most candidates are also encouraged to appear in Andhra Pradesh government accredited SETWIN[5] exam which gives validation and accreditation to their vocational training degree. Since 2013 COUNT transferred/outsourced the responsibility of getting job placements for the trained students under the MFS II funded TVET/JBS program to Word and Deed India, as they have more staff and hence more expertise in the field. Such an accreditation makes it easier for the participants and youth who undergo the COUNT training to get jobs. There was also focus on agriculture based livelihoods, such as paddy, fruits, vegetables, flowers, poultry and a dairy farm. Since 2013 planting tamarind, drumstick and hybrid coconut saplings were also added to the agriculture based livelihood. The (edible) yield from the self–help projects is used for children in the Agape Hostels and the rest is sold either to the staff or to people in COUNT's networks.

On 20th April 1983, Theeba and Rev. John's third child died of measles. They decided to make April 20 as a day of rededication and turned their attention afresh towards the orphan tribal children. In 1984, with 107 children, they moved to the village Chengicherla, 15 km away from Hyderabad. They lived there and cleared the bushes and put up thatched huts for their housing. It took six years before they had electricity. Due to distance from the city, the necessity demanded to start their own school called St. John's High school at Chengicherla village. It offers education up to 10th grade, in both English and Telugu medium of instruction and has Andhra Pradesh government recognition. COUNT has another school name St. Zechariah's High School at Jala, Nalgonda district, where there is an Agape Home and 315 children from the surrounding villages attend the school as day scholars with the support of a mid-day meal. This is an English medium school and is also recognised by the Andhra Pradesh government. The Christian values and principles are eminent and upheld by all the educational institutes of COUNT. In 1984, Jimmy Memorial Home took 25 orphan children from COUNT.

In 1988, COUNT received its first foreign contribution for children from Missionary World Service and Evangelism (MWSE). The fund flow was mostly irregular, once in four or six months. They provided support for 80-90 children, but by this time they had nearly 200 children. Yet, due to change in leadership, MWSE stopped funding in 2006.

In 1991 Woord en Daad started funding the first Agape Children Home for 30 girls. The most needy tribal children after being selected are placed in the Agape Homes (at present The Children Home). These tribal children are chosen from the orphan's first, semi orphans secondly and from the poorest of the poor thirdly. A committed personnel or a family called House Parents (Wardens) is specially trained for to look after these tribal children. These Agape children are sent to schools and are given every possible care, such as free boarding, lodging, clothing, medical care and spiritual nurture, under the guidance and supervision of the House Parents. There are two types of Agape Homes: one is Central Agape Home which is a cluster of homes at Agape centre at Chengicherla. The other one Satellite Homes which are homes in various strategic areas covering a group of tribal areas to provide "Agape Home" facilities to the needy children around that area. Some of the children attend the agape schools as in central home in Secunderabad and Jala while others go to the nearby government schools. Every Agape Children Home has about 25-30 children. During baseline there were nineteen such Children Homes in Andhra Pradesh with 970 children supported by Woord en Daad. At present there are eighteen children homes with 604 children of whom 544 children are supported by Woord en Daad and since 2014 another 60 children are supported by Free Methodist Churches (FMC), USA.

In 1994, the activities of the organization were divided between COUNT, the social and educational unit and Agape Fellowship (AF) the worship groups which developed as regular Churches. COUNT and AF are now working together as partner agencies.

In 2005-2006, due to rising incidence of HIV/AIDS, COUNT started creating awareness programs on HIV/AIDS in all the five States, in the areas where it is working. The awareness program addressed the issue of HIV/AIDS thrice a year, through three days seminars conducted by doctors, government

[5] SETWIN was established in the year 1978 by the Government of Andra Pradesh with a view to impart training in skill development short term, need based and job oriented training programmes for the educated and unemployed youth so that they can live on to make them Self-Reliant.

officials and experts from Voluntary tests and Counselling Centres. Since 2011 COUNT's HIV program has been part of the ICCO/Prisma Health Bridge Alliance which further strengthened the programme.

In 2006, MWSE stopped funding and COUNT had to sell 18 acres of land in order to be sustainable. The funds from the sale were used for setting up colleges providing MBA, MCA and B.Ed. courses. Two new colleges have been set-up: (a) a teachers' training college and, (b) a Master's programme in Business Administration and Master in Computer Application. These colleges are registered in the name of St. John's Educational Trust (SJET) a sister organisation of COUNT. Both programmes have been initiated by the church and income raised from these colleges will mostly benefit the church/mission and their related activities mostly in the area of social and developmental issues. The set up was financed with a loan from the bank [Source: Report Visit India May 2013.lst].

Over the decades, COUNT has grown from 4 staff in 1978 to 50 during baseline and in 2014 there is 70 staff on the pay roll of COUNT. The budget went from under 1,000 EUR in 1978 to more than 400,000 EUR in 2012 and in 2013 it is more than 500,000 EUR.

COUNT is presently working with 67(new tribe Porja is added) tribes and scheduled caste groups in six states of India such as Telangana, Andhra Pradesh, Orissa, Chhattisgarh, Maharashtra and Gujarat. COUNT has had a sound and sustained financial relationship with Woord en Daad (W&D) for over a decade and W&D continues to be one of the major donor partners of COUNT. Almost 80% of the total programme funding for COUNT activities has been mobilized through Woord en Daad support. Since 2013-14 COUNT has mobilised new funders like Free Methodist Churches (FMC) and Word and Deed Canada. The phase out plan of Woord en Daad (W&D) began in the year 2010 June and it is being implemented since 2012. According to this plan W&D would gradually decrease 10% in budget and will stop funding COUNT after 2020. Over the period COUNT has been trying to develop and implement plans to become more self-sufficient and not be completely dependent on W&D. W&D continue to support in the capacity building of COUNT through trainings.

Vision

COUNT is a holistic ministry uplifting the underprivileged, the rural, tribal and slum dwellers – educationally, economically, socially and spiritually.

Mission

In Christ-like spirit, sharing Agape love, building individuals and developing new societies. Motto: In three words – love, wisdom and growth – expresses the main objective of the organization.

Strategies

[Source: Overview WD NL-India sustainability strategies-COUNT]

COUNT runs various developmental programmes such as the education programme, HIV/AIDS awareness programme and vocational training programme for its target . For the education programme children identified from poor and vulnerable families with the help of Agape Fellowship, its sister concern, are cared for in the agape homes by a committed family called house parents, and the children are provided access to free education, boarding, lodging and medical care. They are educated in either private, government or the two schools owned by COUNT at Secunderabad and Jala, in Nalgonda district. The HIV/AIDS awareness is mainstreamed into the education program. The program aims to develop the child holistically catering to their spiritual, social, physical, and academic needs. The program runs through primary, secondary, high school and college education, focusing on developing the community and providing a decent settlement to the target groups through education. COUNT has also integrated the school dropouts and vulnerable youth from these areas into its technical and vocational education training program(TVET program). Young men and women are encouraged to acquire vocational skills and are guided to seek employment and earn a sustainable income after the training. COUNT provided training to students in electrical, tailoring, printing and automobile courses. The TVET program has also enrolled its students in the SETWIN institute which is government institute that conducts exams for the students and certifies them and adds value for job placements.

In addition to the programs COUNT has developed agricultural projects and dairy farming, by growing and selling crops such as rice, vegetables, guava, lemon, mango, milk, Ghee, etc. with an aim of earning some income in order to be self-sustaining.

3 Methodological approach and reflection

3.1 Overall methodological approach and reflection

This chapter describes the methodological design and challenges for the assessment of capacity development of Southern Partner Organisations (SPOs), also called the '5C study'. This 5C study is organised around **four key evaluation questions**:

1. What are the changes in partner organisations' capacity during the 2012-2014 period?
2. To what degree are the changes identified in partner capacity attributable to development interventions undertaken by the MFS II consortia (i.e. measuring effectiveness)?
3. Were the efforts of the MFS II consortia efficient?
4. What factors explain the findings drawn from the questions above?

It has been agreed that the question (3) around efficiency cannot be addressed for this 5C study. The methodological approach for the other three questions is described below. At the end, a methodological reflection is provided.

Note: this methodological approach is applied to 4 countries that the Centre for Development Innovation, Wageningen University and Research centre is involved in in terms of the 5C study (Ethiopia, India, Indonesia, Liberia). The overall approach has been agreed with all the 8 countries selected for this MFS II evaluation. The 5C country teams have been trained and coached on this methodological approach during the evaluation process. Details specific to the SPO are described in chapter 5.1 of the SPO report A detailed overview of the approach is described in appendix 1.

The first (changes in organisational capacity) and the fourth evaluation question are addressed together through:

- **Changes in the 5C indicators since the baseline:** standard indicators have been agreed upon for each of the five capabilities of the five capabilities framework (see appendix 2) and changes between the baseline, and the endline situation have been described. For data collection a mix of data collection methods has been used, including self-assessments by SPO staff; interviews with SPO staff and externals; document review; observation. For data analysis, the Nvivo software program for qualitative data analysis has been used. Final descriptions per indicator and per capability with corresponding scores have been provided.
- **Key organisational capacity changes – 'general causal map':** during the endline workshop a brainstorm has been facilitated to generate the key organisational capacity changes as perceived by the SPO since the baseline, with related underlying causes. For this purpose, a visual as well as a narrative causal map have been described.

In terms of the attribution question (2 and 4), **'process tracing'** is used. This is a theory-based approach that has been applied to a selected number of SPOs since it is a very intensive and costly methodology, although it provides rich information and can generate a lot of learning within the organisations. This approach was presented and agreed-upon during the synthesis workshop on 17-18 June 2013 by the 5C teams for the eight countries of the MFS II evaluation. A more detailed description of the approach was presented during the synthesis workshop in February 2014. The synthesis team, NWO-WOTRO, the country project leaders and the MFS II organisations present at the workshop have accepted this approach. It was agreed that this approach can only be used for a selected number of SPOs since it is a very intensive and costly methodology. Key organisational capacity changes/ outcomes of the SPO were identified, based on their relationship to the two selected capabilities, the capability to act and commit the capability to adapt and self-renew, and an expected relationship with CFA supported capacity development interventions (MFS II funding). It was agreed to

focus on these two capabilities, since these are the most targeted capabilities by the CFAs, as established during the baseline process.

Please find below an explanation of how the above-mentioned evaluation questions have been addressed in the 5C evaluation.

At the end of this appendix a brief methodological reflection is provided.

3.2 Assessing changes in organisational capacity and reasons for change - evaluation question 1 and 4

This section describes the data collection and analysis methodology for answering the first evaluation question: **What are the changes in partner organisations' capacity during the 2012-2014 period?** And the fourth evaluation question: **"What factors explain the findings drawn from the questions above?"**

In order to explain the changes in organisational capacity development between baseline and endline (evaluation question 1) the CDI and in-country evaluation teams needed to review the indicators and how they have changed between baseline and endline and what reasons have been provided for this. This is explained below. It has been difficult to find detailed explanations for changes in each of the separate 5c indicators, but the 'general causal map' has provided some ideas about some of the key underlying factors actors and interventions that influence the key organisational capacity changes, as perceived by the SPO staff.

The evaluators considered it important to also note down a consolidated SPO story and this would also provide more information about what the SPO considered to be important in terms of organisational capacity changes since the baseline and how they perceived these key changes to have come about. Whilst this information has not been validated with sources other than SPO staff, it was considered important to understand how the SPOs has perceived changes in the organisation since the baseline.

For those SPOs that are selected for process tracing (evaluation question 2), more in-depth information is provided for the identified key organisational capacity changes and how MFS II supported capacity development interventions as well as other actors, factors and interventions have influenced these changes. This is integrated in the next session on the evaluation question on attribution, as described below and in the appendix 1.

How information was collected and analysed for addressing evaluation question 1 and 4, in terms of description of changes in indicators per capability as well as in terms of the general causal map, based on key organisational capacity changes as perceived by the SPO staff, is further described below.

During the baseline in 2012 information has been collected on each of the 33 agreed upon indicators for organisational capacity. For each of the five capabilities of the 5C framework indicators have been developed as can be seen in Appendix 2. During this 5C baseline, a summary description has been provided for each of these indicators, based on document review and the information provided by staff, the Co-financing Agency (CFA) and other external stakeholders. Also a summary description has been provided for each capability. The results of these can be read in the baseline reports.

The description of indicators for the baseline in 2012 served as the basis for comparison during the endline in 2014. In practice this meant that largely the same categories of respondents (preferably the same respondents as during the baseline) were requested to review the descriptions per indicator and indicate whether and how the endline situation (2014) is different from the described situation in 2012[6].

[6] The same categories were used as during the baseline (except beneficiaries, other funders): staff categories including management, programme staff, project staff, monitoring and evaluation staff, field staff, administration staff; stakeholder categories including co-financing agency (CFA), consultants, partners.

Per indicator they could indicate whether there was an improvement or deterioration or no change and also describe these changes. Furthermore, per indicator the interviewee could indicate what interventions, actors and other factors explain this change compared to the baseline situation. See below the specific questions that are asked for each of the indicators. Per category of interviewees there is a different list of indicators to be looked at. For example, staff members were presented with a list of all the indicators, whilst external people, for example partners, are presented with a select number of indicators, relevant to the stakeholder.

The information on the indicators was collected in different ways:

1) **Endline workshop at the SPO - self-assessment and 'general causal map'**: similar to data collection during the baseline, different categories of staff (as much as possible the same people as during the baseline) were brought together in a workshop and requested to respond, in their staff category, to the list of questions for each of the indicators (self-assessment sheet). Prior to carrying out the self-assessments, a brainstorming sessions was facilitated to develop a 'general causal map', based on the key organisational capacity changes since the baseline as perceived by SPO staff. Whilst this general causal map is not validated with additional information, it provides a sequential narrative, based on organisational capacity changes as perceived by SPO staff;
2) **Interviews with staff members**: additional to the endline workshop, interviews were held with SPO staff, either to provide more in-depth information on the information provided on the self-assessment formats during the workshop, or as a separate interview for staff members that were not present during the endline workshop;
3) **Interviews with externals**: different formats were developed for different types of external respondents, especially the co-financing agency (CFA), but also partner agencies, and organisational development consultants where possible. These externals were interviewed, either face-to-face or by phone/Skype. The interview sheets were sent to the respondents and if they wanted, these could be filled in digitally and followed up on during the interview;
4) **Document review**: similar to the baseline in 2012, relevant documents were reviewed so as to get information on each indicator. Documents to be reviewed included progress reports, evaluation reports, training reports, etc. (see below) since the baseline in 2012, so as to identify changes in each of the indicators;
5) **Observation**: similar to what was done in 2012, also in 2014 the evaluation team had a list with observable indicators which were to be used for observation during the visit to the SPO.

Below the key steps to assess changes in indicators are described.

Key steps to assess changes in indicators are described

1. Provide the description of indicators in the relevant formats – CDI team
2. Review the descriptions per indicator – in-country team & CDI team
3. Send the formats adapted to the SPO to CFA and SPO – in-country team (formats for SPO) and CDI team (formats for CFA)
4. Collect, upload & code the documents from CFA and SPO in NVivo – CDI team
5. Organise the field visit to the SPO – in-country team
6. Interview the CFA – CDI team
7. Run the endline workshop with the SPO – in-country team
8. Interview SPO staff – in-country team
9. Fill-in observation sheets – in-country team
10. Interview externals – in-country team
11. Upload and auto-code all the formats collected by in-country team and CDI team in NVivo – CDI team
12. Provide to the overview of information per 5c indicator to in-country team – CDI team
13. Analyse data and develop a draft description of the findings per indicator and for the general questions – in-country team
14. Analyse data and develop a final description of the findings per indicator and per capability and for the general questions – CDI team
15. Analyse the information in the general causal map –in-country team and CDI-team

Note: the CDI team include the Dutch 5c country coordinator as well as the overall 5c coordinator for the four countries (Ethiopia, India, Indonesia, Liberia). The 5c country report is based on the separate SPO reports.

Please see appendix 1 for a description of the detailed process and steps.

3.3 Attributing changes in organisational capacity - evaluation question 2 and 4

This section describes the data collection and analysis methodology for answering the second evaluation question*: **To what degree are the changes identified in partner capacity attributable to (capacity) development interventions undertaken by the MFS II consortia*** **(i.e. measuring effectiveness)?** and the fourth evaluation question: **"What factors explain the findings drawn from the questions above?"**

In terms of the attribution question (2), 'process tracing' is used. This is a theory-based approach that has been applied to a selected number of SPOs since it is a very intensive and costly methodology, although it provides rich information and can generate a lot of learning within the organisations. Key organisational capacity changes/ outcomes of the SPO were identified, based on their relationship to the two selected capabilities, the capability to act and commit the capability to adapt and self-renew, and an expected relationship with CFA supported capacity development interventions (MFS II funding). It was agreed to focus on these two capabilities, since these are the most targeted capabilities by the CFAs, as established during the baseline process.

Below, the selection of SPOs for process tracing as well as the different steps involved for process tracing in the selected SPOs, are further explained.

3.3.1 Selection of SPOs for 5C process tracing

Process tracing is a very intensive methodology that is very time and resource consuming (for development and analysis of one final detailed causal map, it takes about 1-2 weeks in total, for different members of the evaluation team). It has been agreed upon during the synthesis workshop on 17-18 June 2013 that only a selected number of SPOs will take part in this process tracing for the purpose of understanding the attribution question. The selection of SPOs is based on the following criteria:

- MFS II support to the SPO has not ended before 2014 (since this would leave us with too small a time difference between intervention and outcome);
- Focus is on the 1-2 capabilities that are targeted most by CFAs in a particular country;
- Both the SPO and the CFA are targeting the same capability, and preferably aim for similar outcomes;
- Maximum one SPO per CFA per country will be included in the process tracing.

The intention was to focus on about 30-50% of the SPOs involved. Please see the tables below for a selection of SPOs per country. Per country, a first table shows the extent to which a CFA targets the five capabilities, which is used to select the capabilities to focus on. A second table presents which SPO is selected, and takes into consideration the selection criteria as mentioned above.

For the detailed results of this selection, in the four countries that CDI is involved in, please see appendix 1. The following SPOs were selected for process tracing:

Ethiopia: AMREF, ECFA, FSCE, HUNDEE (4/9)

India: BVHA, COUNT, FFID, SMILE, VTRC (5/10)

Indonesia: ASB, ECPAT, PtPPMA, YPI, YRBI (5/12)

Liberia: BSC, RHRAP (2/5).

3.3.2 Key steps in process tracing for the 5C study

In the box below you will find the key steps developed for the 5C process tracing methodology. These steps will be further explained here. Only key staff of the SPO is involved in this process: management; programme/ project staff; and monitoring and evaluation staff, and other staff that could provide information relevant to the identified outcome area/key organisational capacity change. Those SPOs selected for process tracing had a separate endline workshop, in addition to the ' general endline workshop. This workshop was carried out after the initial endline workshop and the interviews

during the field visit to the SPO. Where possible, the general and process tracing endline workshop have been held consecutively, but where possible these workshops were held at different points in time, due to the complex design of the process. Below the detailed steps for the purpose of process tracing are further explained. More information can be found in Appendix 1.

Key steps in process tracing for the 5C study

1. Identify the planned MFS II supported capacity development interventions within the selected capabilities (capability to act and commit and capability to adapt and self-renew) – CDI team

2. Identify the implemented MFS II supported capacity development interventions within the selected capabilities (capability to act and commit and capability to adapt and self-renew) – CDI team

3. Identify initial changes/ outcome areas in these two capabilities – CDI team & in-country team

4. Construct the detailed, initial causal map (theoretical model of change) – CDI team & in-country team

5. Identify types of evidence needed to verify or discard different causal relationships in the model of change – in-country teams, with support from CDI team

6. Collect data to verify or discard causal mechanisms and construct workshop based, detailed causal map (model of change) – in-country team

7. Assess the quality of data and analyse data and develop final detailed causal map (model of change) – in-country team with CDI team

8. Analyse and conclude on findings– CDI team, in collaboration with in-country team

3.3.3 Methodological reflection

Below a few methodological reflections are made by the 5C evaluation team. These can also be found in appendix 1.

Use of the 5 core capabilities framework and qualitative approach: this has proven to a be very useful framework to assess organisational capacity. The five core capabilities provide a comprehensive picture of the capacity of an organisation. The capabilities are interlinked, which was also reflected in the description of standard indicators, that have been developed for the purpose of this 5C evaluation and agreed upon for the eight countries. Using this framework with a mainly qualitative approach has provided rich information for the SPOs and CFAs, and many have indicated this was a useful learning exercise.

Using standard indicators and scores: using standard indicators is useful for comparison purposes. However, the information provided per indicator is very specific to the SPO and therefore makes comparison difficult. Whilst the description of indicators has been useful for the SPO and CFA, it is questionable to what extent indicators can be compared across SPOs since they need to be seen in context, for them to make meaning. In relation to this, one can say that scores that are provided for the indicators, are only relative and cannot show the richness of information as provided in the indicator description. Furthermore, it must be noted that organisations are continuously changing and scores are just a snapshot in time. There cannot be perfect score for this. In hindsight, having rubrics would have been more useful than scores.

General causal map: whilst this general causal map, which is based on key organisational capacity changes and related causes, as perceived by the SPO staff present at the endline workshop, has not been validated with other sources of information except SPO feedback, the 5C evaluation team considers this information important, since it provides the SPO story about how and which changes in

the organisation since the baseline, are perceived as being important, and how these changes have come about. This will provide information additional to the information that has been validated when analysing and describing the indicators as well as the information provided through process tracing (selected SPOs). This has proven to be a learning experience for many SPOs.

Using process tracing for dealing with the attribution question: this theory-based and mainly qualitative approach has been chosen to deal with the attribution question, on how the organisational capacity changes in the organisations have come about and what the relationship is with MFS II supported capacity development interventions and other factors. This has proven to be a very useful process, that provided a lot of very rich information. Many SPOs and CFAs have already indicated that they appreciated the richness of information which provided a story about how identified organisational capacity changes have come about. Whilst this process was intensive for SPOs during the process tracing workshops, many appreciated this to be a learning process that provided useful information on how the organisation can further develop itself. For the evaluation team, this has also been an intensive and time-consuming process, but since it provided rich information in a learning process, the effort was worth it, if SPOs and CFAs find this process and findings useful.

A few remarks need to be made:

- Outcome explaining process tracing is used for this purpose, but has been adapted to the situation since the issues being looked at were very complex in nature.
- Difficulty of verifying each and every single change and causal relationship:
  - Intensity of the process and problems with recall: often the process tracing workshop was done straight after the general endline workshop that has been done for all the SPOs.In some cases, the process tracing endline workshop has been done at a different point in time, which was better for staff involved in this process, since process tracing asks people to think back about changes and how these changes have come about. The word difficulties with recalling some of these changes and how they have come about. See also the next paragraph.
  - Difficulty of assessing changes in knowledge and behaviour: training questionnaire is have been developed, based on Kirkpatrick's model and were specifically tailored to identify not only the interest but also the change in knowledge and skills, behaviour as well as organisational changes as a result of a particular training. The retention ability of individuals, irrespective of their position in the organisation, is often unstable. The 5C evaluation team experienced that it was difficult for people to recall specific trainings, and what they learned from those trainings. Often a change in knowledge, skills and behaviour is a result brought about by a combination of different factors , rather than being traceable to one particular event. The detailed causal maps that have been established, also clearly pointed this. There are many factors at play that make people change their behaviour, and this is not just dependent on training but also internal/personal (motivational) factors as well as factors within the organisation, that stimulate or hinder a person to change behaviour. Understanding how behaviour change works is important when trying to really understand the extent to which behaviour has changed as a result of different factors, actors and interventions. Organisations change because people change and therefore understanding when and how these individuals change behaviour is crucial. Also attrition and change in key organisational positions can contribute considerably to the outcome.

Utilisation of the evaluation

The 5C evaluation team considers it important to also discuss issues around utility of this evaluation. We want to mention just a few.

Design – mainly externally driven and with a focus on accountability and standard indicators and approaches within a limited time frame, and limited budget: this MFS II evaluation is originally based on a design that has been decided by IOB (the independent evaluation office of the Dutch Ministry of Foreign Affairs) and to some extent MFS II organisations. The evaluators have had no influence on the overall design and sampling for the 5C study. In terms of learning, one may question whether the most useful cases have been selected in this sampling process. The focus was very much on a rigorous evaluation carried out by an independent evaluation team. Indicators had to be streamlined across countries. The 5C team was requested to collaborate with the other 5C country teams (Bangladesh,

Congo, Pakistan, Uganda) to streamline the methodological approach across the eight sampled countries. Whilst this may have its purpose in terms of synthesising results, the 5C evaluation team has also experienced the difficulty of tailoring the approach to the specific SPOs. The overall evaluation has been mainly accountability driven and was less focused on enhancing learning for improvement. Furthermore, the timeframe has been very small to compare baseline information (2012) with endline information (2014). Changes in organisational capacity may take a long, particularly if they are related to behaviour change. Furthermore, there has been limited budget to carry out the 5C evaluation. For all the four countries (Ethiopia, India, Indonesia, Liberia) that the Centre for Development Innovation, Wageningen University and Research centre has been involved in, the budget has been overspent.

However, the 5C evaluation team has designed an endline process whereby engagement of staff, e.g. in a workshop process was considered important, not only due to the need to collect data, but also to generate learning in the organisation. Furthermore, having general causal maps and detailed causal maps generated by process tracing have provided rich information that many SPOs and CFAs have already appreciated as useful in terms of the findings as well as a learning process.

Another issue that must be mentioned is that additional requests have been added to the country teams during the process of implementation: developing a country based synthesis; questions on design, implementation, and reaching objectives of MFS II funded capacity development interventions, whilst these questions were not in line with the core evaluation questions for the 5C evaluation.

Complexity and inadequate coordination and communication: many actors, both in the Netherlands, as well as in the eight selected countries, have been involved in this evaluation and their roles and responsibilities, were often unclear. For example, 19 MFS II consortia, the internal reference group, the Ministry of Foreign Affairs, Partos, the Joint Evaluation Trust, NWO-Wotro, the evaluators (Netherlands and in-country), 2 external advisory committees, and the steering committee. Not to mention the SPO's and their related partners and consultants. CDI was involved in 4 countries with a total number of 38 SPOs and related CFAs. This complexity influenced communication and coordination, as well as the extent to which learning could take place. Furthermore, there was a distance between the evaluators and the CFAs, since the approach had to be synchronised across countries, and had to adhere to strict guidelines, which were mainly externally formulated and could not be negotiated or discussed for the purpose of tailoring and learning. Feedback on the final results and report had to be provided mainly in written form. In order to enhance utilisation, a final workshop at the SPO to discuss the findings and think through the use with more people than probably the one who reads the report, would have more impact on organisational learning and development. Furthermore, feedback with the CFAs has also not been institutionalised in the evaluation process in the form of learning events. And as mentioned above, the complexity of the evaluation with many actors involved did not enhance learning and thus utilization.

5C Endline process, and in particular thoroughness of process tracing often appreciated as learning process: The SPO perspective has also brought to light a new experience and technique of self-assessment and self-corrective measures for managers. Most SPOs whether part of process tracing or not, deeply appreciated the thoroughness of the methodology and its ability to capture details with robust connectivity. This is a matter of satisfaction and learning for both evaluators and SPOs. Having a process whereby SPO staff were very much engaged in the process of self-assessment and reflection has proven for many to be a learning experience for many, and therefore have enhanced utility of the 5C evaluation.

4 Results

4.1 MFS II supported capacity development interventions

Below an overview of the different MFS II supported capacity development interventions of COUNT that have taken place since 2011 are described. The information is based on the information provided by Woord en Daad.

Table 1
Information about MFS II supported capacity development interventions since baseline

Title of the MFS II supported capacity development intervention	Objectives	Activities	Timing and duration	Budget
TVET Quality Score Assessment and Phase out Strategy facilitated by Cees Van Breugel, Programme Manager TVET/JBS of Woord en Daad	To ensure continuation of this programme after phasing out of Woord en Daad and assessment was required by Woord en Daad to know the progress in this programme	Application of scorecard assessment stimulated a systematic review of the TVET programme; critical facilitation by W&D staff later led to the learning being turned into an action plan/strategy was developed to continue working: includes fundraising locally and nationally, involve corporate sector (fund students and employ them when graduating)	8 March 2013	Staff time and travel expenses paid from Strengthening Partner Network (SPN)-budget, estimation: € 2500
External evaluation of the HIV/Aids project of COUNT by ASK	It follows the evaluation policy of Woord en Daad which stipulates that all programmes are evaluated once every 4-5 years to provide insight in effects of this programme.	Joint external midterm evaluation of two partners of Woord en Daad: COUNT and Word and Deed India by the Delhi based organisation ASK ASK finalised the scope and process of evaluation together with COUNT, visited team and community members in the field to gather information, facilitated a final de-briefing to share collected data and findings to make decisions to strengthen the project, draft report was shared with COUNT for feedback. Evaluation methods included: Desk review documents, Focused Group Discussions, Semi-structured interviews and SWOT Analysis	24 June - 2 July 2013	€ 3.600 (for COUNT only)

Outcome studies conducted on Quality of Education by Woord en Daad, with the assistance of Help A Child of India	to measure the progress of the programme for a number of outcome indicators and also to see whether the alliance (with Red een Kind and Woord en Daad) worked well.	Help a Child India (HACI) is a partner of Red een Kind (an alliance partner of Woord en Daad) that was hired to support the outcome studies on quality of education in the education programme of COUNT. The consultants visited two schools in the education programme of COUNT. Results and the proposed action plan were shared and discussed with COUNT project officers.	26-28 October 2013	€ 3.000
Sustainability Strategy workshop facilitated by Leen Stok and Samuel Nirmal	For COUNT to continue after phase-out of Woord en Daad in 2020.	The organisational capacity of COUNT was reviewed, cross-section of the staff was present (15-20 people). A written strategic plan document was the result of objectively looking at goals, constraints, options and the way forward.	29-30May 2013	€ 3.500
5C workshop, facilitated by Samuel Nirmal, Regional Coordinator.	Requirement of Woord en Daad: done for all partners as part of its commitment to the Dutch government	COUNT assessed their own capacity: first talk about strengths, weaknesses, experiences, challenges areas for improvement and contributing factors to this in small groups, then the 5c concept was introduced. Cross section of staff was present from director to driver (21 people). COUNT reviewed their skill gaps and capacity building possibilities.	2-3 December 2013	€ 500

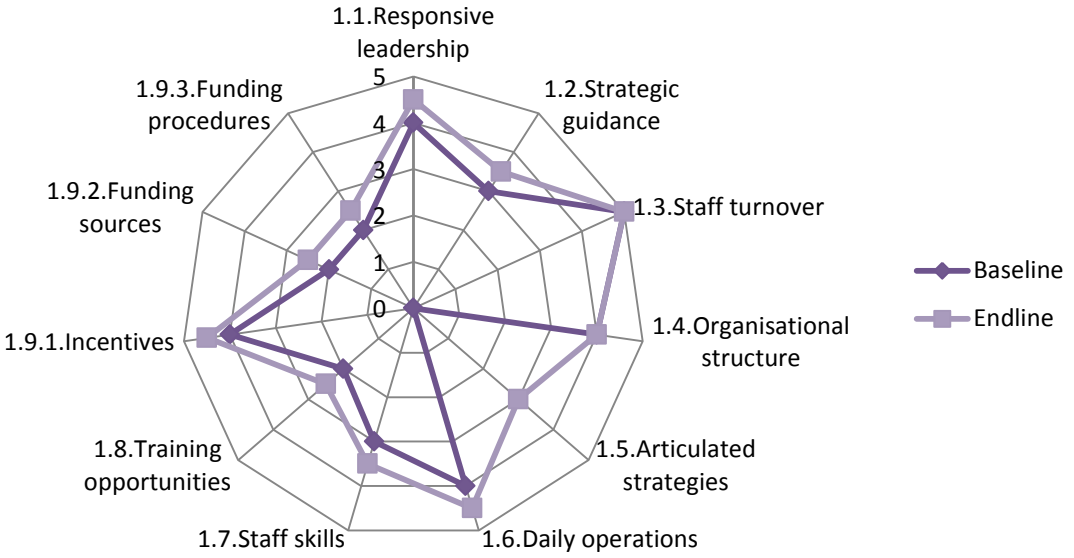
Source: 5C endline_support to capacity development sheet_CFAperspective_India_COUNT_WoordenDaad

4.2 Changes in capacity and reasons for change - evaluation question 1 and 4

Below you can find a description of the changes in each of the five core capabilities. This information is based on the analysis of the information per each of the indicators. This detailed information for each of the indicators describes the current situation, and how and why it has changed since the baseline. See also Appendix 3.

4.2.1 Changes in the five core capabilities

Capability to act and commit



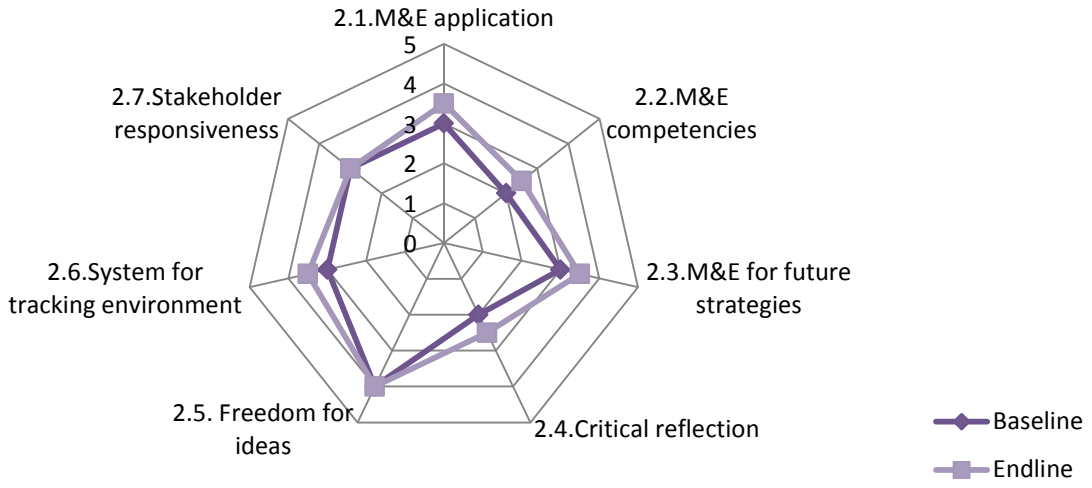
The phasing-out of funding by Woord en Daad (W&D) by 2020 has led to a variety of changes in COUNT's capability to act and commit. First of all, the leader has become more pragmatic and proactive in terms of strengthening COUNT's resource base: he is approaching new donors, strengthening networks and takes initiative to develop new income generating projects. Board members are now more involved in helping the leader make important strategic directions. Secondly, the phasing-out plan has led to more articulated strategies directed towards the sustainability of the different programmes of COUNT after W&D funding ends. Thirdly, there has been a slight improvement in ensuring funding from multiple sources. COUNT started receiving funds from the Free Methodist Church, USA, through the Director's and Founder Member's contacts with this church. COUNT also continues to receive funding from Word and Deed Canada and has started to focus more on generating income from self-help projects. There are still no written funding procedures in place and most of it is in the hands of senior management.

Staff turnover remains low as staff of COUNT is still dedicated and loyal to the organisation, whilst monetary incentives have increased (annual increments, recognition of hard working staff, mobile phones, and medical allowances). Furthermore, some of the gaps (e.g. language barrier) in training opportunities have been addressed. For most positions capable and skilled staff is available. However, there remains to be a slight gap in communication skills in English and technological skills needed to train the students. The organisational structure of COUNT has not changed, except for the fact that the leader has formed a management core group to assist him in planning and decision making in absence of mentoring support from W&D. There is now support from the regional coordinator, appointed by W&D, to develop annual plans with a strategic focus on sustainability. Also the internal reporting system has improved which leads to better alignment between day-to-day operations and strategic plans.

Score baseline: 3

Score endline: 3.5 (slight improvement)

Capability to adapt and self-renew



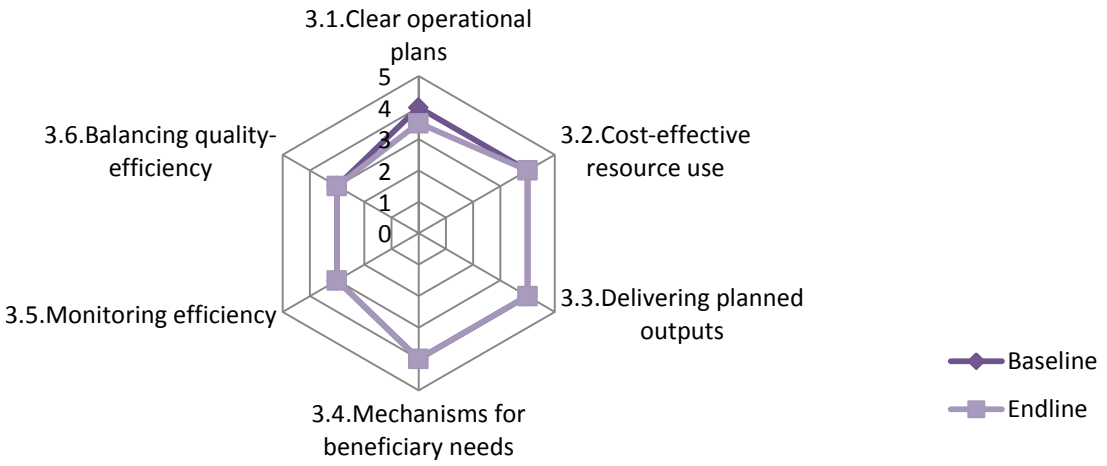
Though there has been some learning on collecting information on output and outcome level from being involved in outcome studies for the Education and TVET programme, the monitoring and evaluation of COUNT remains to be focussed on the activity level. Intentions to hire a PMEL expert jointly with Word and Deed India did not materialise. COUNT now receives methodological guidance from the regional coordinator, appointed by W&D, and is still willing to collaborate with local consultants. While COUNT has discussions about results of evaluations to inform future phases of the programme and receives support in this from the regional coordinator, lack of proper monitoring mechanisms and community engagement at the field level lead to gaps in understanding of the actual accomplishments of the programme and thus scope for M&E informing future strategies is limited. COUNT tries to be more open to its stakeholders for example through involving parents and teachers in quality assessment of the education programme. However, an evaluation of its health programme found that community participation has been found to be low in the planning and monitoring of the programme.

Though staff has access to management at all time to informally discuss ideas, problems and be heard, there are now also regular department-wise staff meetings which are documented formally to inform the Director. The changing donor environment has triggered a need to keep abreast about the latest developments in the society, at state level and in the international community, which COUNT does through its networks and through its main funder: W&D.

Score baseline: 3

Score endline: 3.5 (slight improvement)

Capability to deliver on development objectives



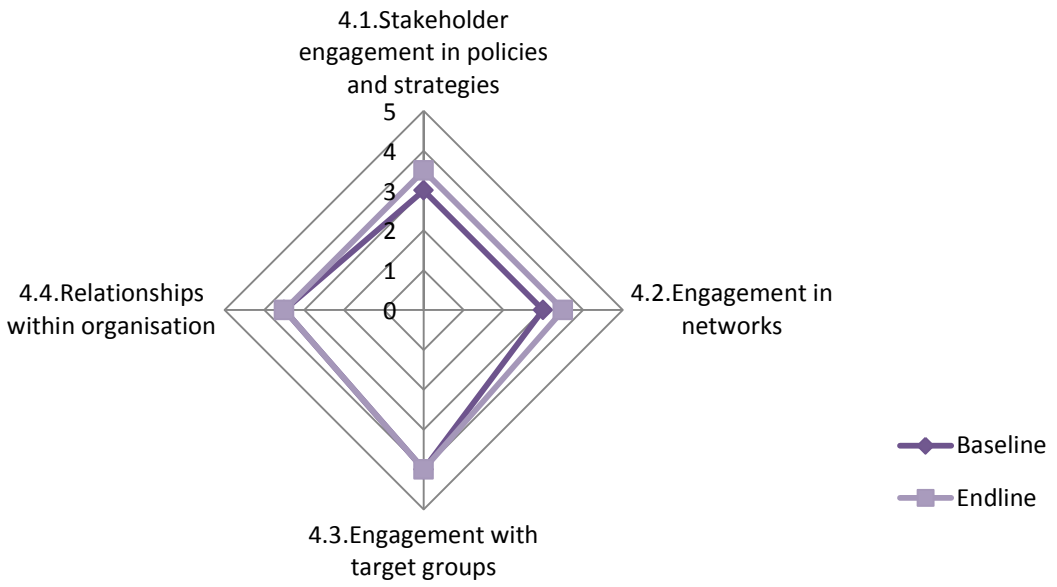
COUNT still has operational plans per project. All the activity level, plans are worked out with the staff so that they fully know what needs to be done. However, in the Basic Needs programme there exists some confusion among volunteer Change Agents about their responsibilities as there is no action plan developed for them. Staff still has access to the technological and material resources they need to carry out their work. Resources are used cost effectively, for example by using technology to cut down on travel and postal expenses. Sometimes inflation leads to minor overspending. All programmes now have a coordinator that is responsible for monitoring and reporting back to the project manager. Generally planned outputs are being delivered and COUNT works on implementing recommendations after the score card outcome studies for the TVET and Education programmes. Programme staff study progress report results to check whether their work benefits the beneficiaries. Quality checks that link input to outputs are not carried out in a structured way nor is there a formal system of balancing quality with efficiency, but COUNT is a learning organisation that uses recommendations from outcome studies in their strategic annual plans.

There continues to be a strong link between COUNT and its beneficiaries because of the Church and programmes seem to be relevant for the community COUNT serves. The organisation is working on formalising feedback from students and parents through satisfaction forms.

Score baseline: 3.5

Score endline: 3.5 (no change)

Capability to relate



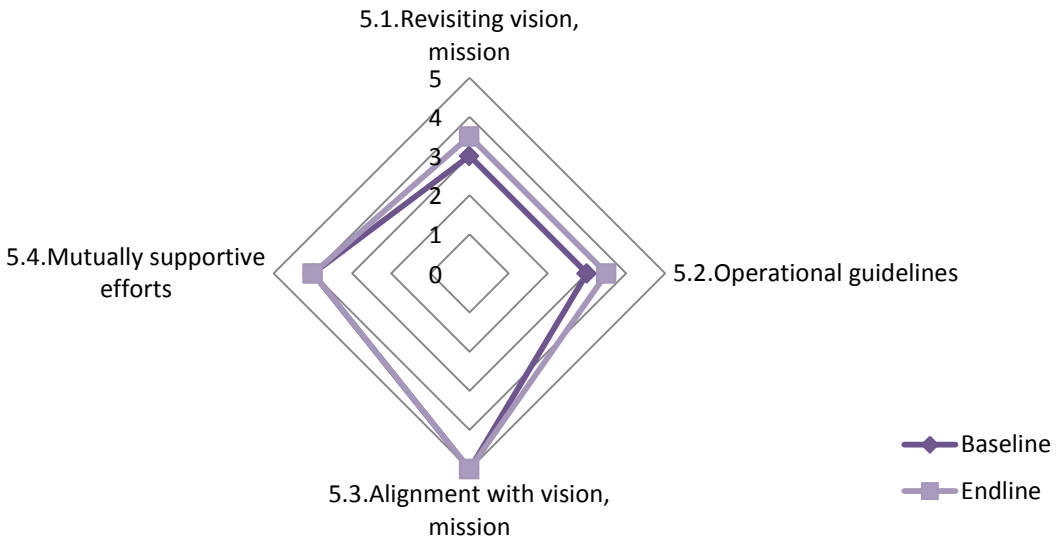
Since the baseline COUNT has focussed more on strengthening its networks. At the community level COUNT is improving stakeholder engagement through the appointment of nine regional coordinators to address the needs of the people in the interior tribal regions. For any new project inputs are taken from stakeholders like parents, local leaders and elders. On the local level COUNT engages with the Integrated Tribal Development Agency (ITDA) and looks at partners that adopt good policies and practices. The organisation is engaged in more national and international networks including Blossoms Network and the Health Bridge Alliance. COUNT received a quality award from the VIVA network and is reaching out to a government institute for the benefit of the students in the TVET programme. While in general the organisation continues to stay in close contact with its target group, mainly through the church, sometimes geographic spread and limited budget make regular visits difficult. High level of dependence on Change Agents in the Basic Needs programme lead to poor follow up by COUNT.

While COUNT offers an enabling environment to its staff in practice and also practices a horizontal working culture, there is predominantly a vertical top-down culture. The only change that has occurred since baseline is that the minutes of the regular staff meetings are being documented now and there is a follow up on those meetings.

Score baseline: 3

Score endline: 3.25 (very slight improvement)

Capability to achieve coherence



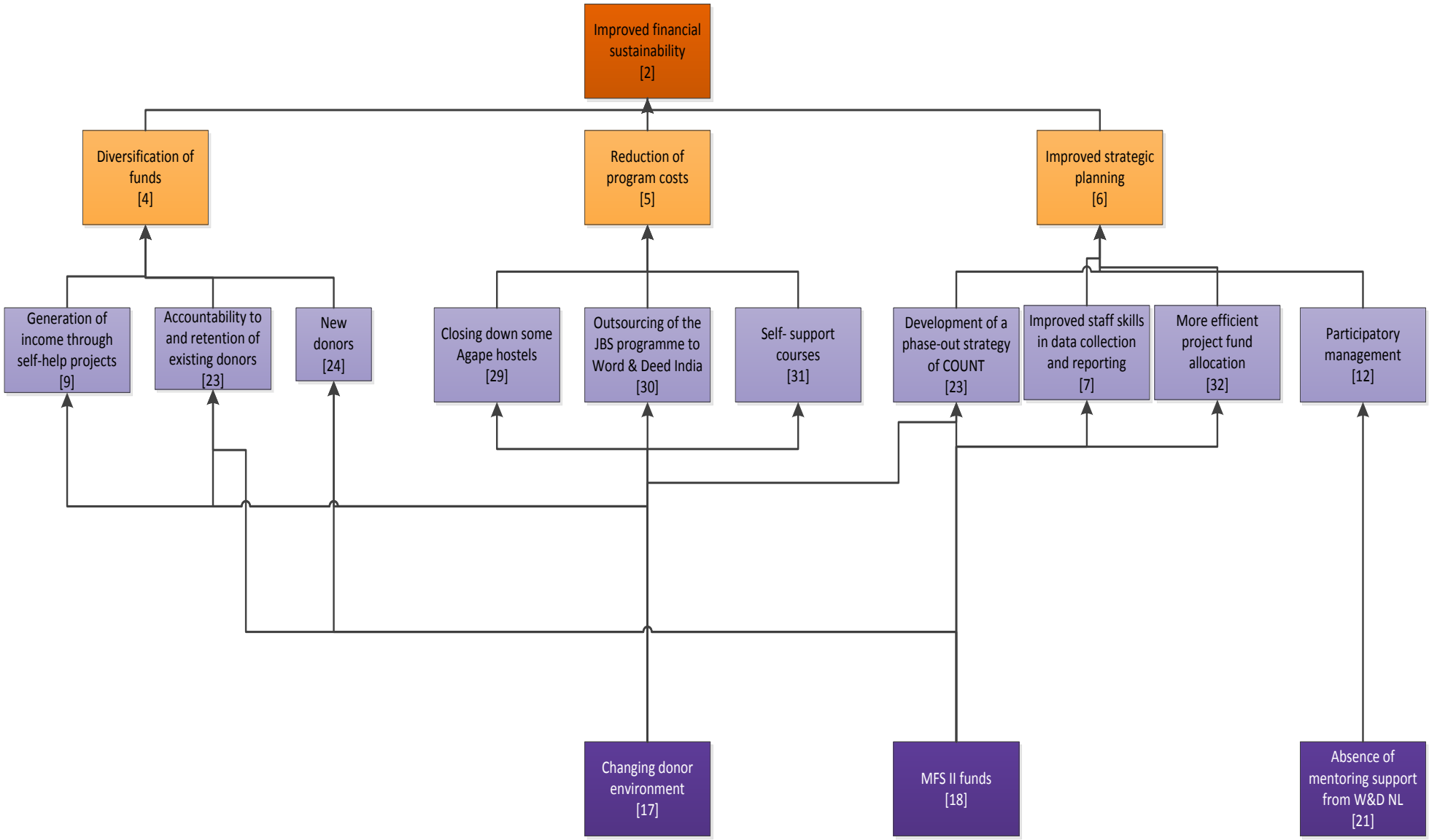
COUNT has organised a vision casting seminar for staff, pastors and leaders, where they revisited their vision. While the vision and mission of COUNT continue to be the same, a new strategy for the period 2014-2020 was developed in face of the phase-out plan of W&D NL with the help of a W&D supported strategy development workshop. A cross section of the staff was involved in this process. Since the baseline a child protection policy has been introduced in COUNT which all staff that work directly or indirectly with children is made aware of. All operations of COUNT continue to be completely aligned with its vision and mission. All the programmes and activities within the organisation are well linked and mutually supportive.

Score baseline: 3.5

Score endline: 3.75 (very slight improvement)

4.2.2 General changes in the organisational capacity of the SPO

During the endline workshop at the SPO, a discussion was held around what were the main changes in organisational capacity since the baseline and why these changes have taken place. The discussion was visualised in a general causal map as can be seen below. The narrative for the general causal map is also described below. It gives a more general picture of what was seen as important changes in the organisation since the baseline, and how these changes have come about , and that tells the more general story about the organisational changes in the SPO. The evaluators considered it important to also note down the SPO's story and this would also provide more information about reasons for change, which were difficult to get for the individual indicators. Also for some issues there may not have been relevant indicators available in the list of core indicators provide by the evaluation team.


Improved financial sustainability [2]
Diversification of funds [4]
Reduction of program costs [5]
Improved strategic planning [6]
Generation of income through self-help projects [9]
Accountability to and retention of existing donors [23]
New donors [24]
Closing down some Agape hostels [29]
Outsourcing of the JBS programme to Word & Deed India [30]
Self- support courses [31]
Development of a phase-out strategy of COUNT [23]
Improved staff skills in data collection and reporting [7]
More efficient project fund allocation [32]
Participatory management [12]
Changing donor environment [17]
MFS II funds [18]
Absence of mentoring support from W&D NL [21]

The evaluation team carried out an end line assessment at COUNT from 2 to 4 June 2014. During this workshop, the team made a recap of key features of the organisation in the baseline in 2012 (such as vision, mission, strategies, clients, partnerships). This was the basis for discussing changes that had happened to the organisation since the baseline. The three main changes that happened in the organisation since the baseline were:

- Diversification of funds [4];
- Reduction of program costs [5];
- Improved strategic planning [6]

These three changes are expected to lead to COUNT being more financially sustainable as an organisation [2]. They happened to coincide with the outcome areas that were chosen for process tracing, so as to get detailed information on how these changes in organisational capacity came about. Therefore the general causal map overlaps strongly with the causal maps developed for each of these outcome areas/organisational capacity changes to be analysed to during the process tracing. All the details about these changes in organisational capacity as well as the underlying factors that influenced these changes are described in the narrative and visual below. These three key organisational capacity changes will be discussed in more detail in the related detailed causal maps, which were a result of process tracing.

The three main organisational capacity changes are described in the light orange boxes and the key expected consequence (improved financial sustainability of COUNT) is noted above these cards in dark orange. Light purple boxes represent factors and aspects that influence the key organisational capacity changes (in light orange). Key underlying factors that have impacted the organisation are listed at the bottom in dark purple. The narrative below describes per key organisational capacity change, the contributing factors as described from the top down. The numbers in the visual correspond with the numbers in the narrative.

1. Diversification of funds [4]

The phase out plan of W&D began in June 2010, and since then COUNT has been trying to develop and implement plans to become more self-sufficient and not be completely dependent on W&D, since W&D will stop funding COUNT after 2020. Over the last two years, COUNT has diversified its funding sources by:

- *Generation of income through self-help projects [9]:*The Founders of COUNT have focused on being self-reliant ever since its inception and there have been consistent efforts by them towards raising their own income through self-help projects. In the last two years a variety of self-help projects was started to increase COUNT's income. This includes e.g. expanding the area of paddy cultivation.

- *Accountability to and retention of existing donors [23]:*This was because staff improved their skills to report and communicate to donors. Staff improved their skills in this area because of trainings, methodological guidance and experience gained through MFS II evaluations.

- *New donors were attracted [24]:* The fact that COUNT is now attracting funds from other funders like Free Methodist Churches (FMC) and Word and Deed Canada, is a consequence of COUNT strengthening its networks.

2. Reduction of programme costs [5]

- *Closing down some Agape hostels [29]:*Closing down some of the smaller Agape hostels and focusing only on Agape hostels in their headquarters in Chengicherla.

- *Outsourcing of the JBS programme to Word & Deed India [30]:* Another way of reducing programme costs has been the outsourcing of the JBS part of the TVET programme to Word & Deed India in 2013.

- *Self-support courses [31]:* In the tribal areas, there is a pilot programme in which self- support courses are run by graduate students and the trainees are required to pay a small fee to sustain this course. The aim is to reduce the expenses of board and lodging which would have been there had the students been trained at the headquarters.

3. Improved strategic planning [6]

Improved strategic planning was the third key change in the organisation, which is expected to contribute to financial sustainability of COUNT. Improved strategic planning is important to contribute to financial sustainability of the organisation because COUNT developed the strategies to reduce costs and generate income. There are four main reasons why strategic planning has improved:

- *Development of a phase-out strategy of COUNT [23]:* COUNT is aware that W&D will phase out their funding of the TVET and education programme of COUNT in 2020, and therefore, since 2010, together they have been working on the development of a phase-out strategy. COUNT has been trying to develop and implement plans to become more self-sufficient and not be completely dependent on W&D. The phase-out strategies were thought out for different programmes which further helped in the strategic planning.

- *Improved staff skills in data collection and reporting [7]:* This improved skill was mainly a result of W&D's methodological guidance, trainings on reporting and staff's involvement in MFS II funded evaluations.

- *More efficient project fund allocation [32]:* The finance manager's financial skills improved as a result of the external evaluation of the HIV/AIDS program by ASK (funded by W&D) in June-July 2013. He was able to plan better and allocate funds more efficiently towards the project.

- *Participatory management [12]:* In 2013, the leader of COUNT formed a core group. comprising of experienced members of the staff for participatory planning and decision making.

The main underlying causes for these three key organisational changes were:

- *Changing donor environment [17]*which led to a need to diversify funds which influenced all the factors under reduction of programme costs [5], diversification of funds [4], and also led to the development of a phase out strategy for COUNT [23].

- *MFS II funds [18]* have had an effect on: The development of a phase-out strategy of COUNT [23] (through funding some workshops on it and funding the regional coordinator), more efficient project fund allocation through involvement of the financial manager in an evaluation[32], improved staff skills in data collection and reporting through trainings and guidance [7], the accountability and retention of existing donors [23] and attracting new donors [24] through trainings on communicating to donors.

- *Absence of monitoring support by Woord en Daad [21]* led to the director of COUNT adopting a more participatory form of management [12].

4.3 Attributing changes in organisational capacity - evaluation question 2 and 4

Note: for each country about 50% of the SPOs has been chosen to be involved in process tracing, which is the main approach chosen to address evaluation question 2. For more information please also see chapter 3 on methodological approach. For each of these SPOs the focus has been on the capability to act and commit and the capability to adapt and self-renew, since these were the most commonly addressed capabilities when planning MFS II supported capacity development interventions for the SPO.

For each of the MFS II supported capacity development interventions -under these two capabilities- an organisational capacity change has been identified, describing a particular change in terms of organisational capacity of the SPO. Process tracing has been carried out for each organisational capacity, change. The following outcome areas have been identified under the capability to act and commit and the capability to adapt and self-renew. Also the MFS II capacity development interventions that could possibly be linked to these outcome areas are described in the table below.

Table 2
Information on selected capabilities, outcome areas and MFS II supported capacity development interventions since the baseline

Capability	Organisational capacity change	MFS II supported capacity development intervention
Capability to act and commit	Diversification of funds and Reduction of Programme costs	5c workshop December 2013; External Evaluation HIV/Aids programme by ASK June-July 2013
Capability to adapt and self-renew	Improved Strategic Planning	External Evaluation HIV/Aids programme by ASK June-July 2013; Outcome study on Quality of Education October 2013; TVET Score Card Assessment March 2013; Phase-out strategy workshop March 2013; Sustainability strategy workshop May 2013;

The next sections will describe the results of process tracing for each of the outcome areas, and will describe to what extent these outcome areas have taken place as a result of MFS II supported capacity development interventions and/or other related factors and actors.

4.3.1 Diversification of funds and Reduction of Programme costs

This is a summary of the final causal map of the key change: improved financial sustainability. For a detailed visual to which the numbers refer and narrative with sources please see Appendix 5.

COUNT has been funded by W&D since 1991. The phase out plan of W&D began in June 2010, and since then COUNT has been trying to develop and implement plans to become more self-sufficient and not be completely dependent on W&D, since W&D will stop funding COUNT after 2020. **Over the last two years, COUNT has diversified its funding sources [4] by**:

- *Generation of income through self-help projects [9]:*The Founders of COUNT have focused on being self-reliant ever since its inception and there have been consistent efforts by them towards raising their own income through self-help projects. In the period from 1978 to 1980, the Founder bought agricultural land at Chengicherla, Hyderabad with the financial support from a Dutch Businessman named Jacob van Rijswijk to make COUNT self-supportive.

- *Accountability to and retention of existing donors [23]:* This was because staff improved their skills to report and communicate to donors. Staff improved their skills in this area because of trainings methodological guidance and experience gained through MFS II evaluations. These are further explained below:

- Methodological guidance [27] received by COUNT from Woord en Daad and the Regional Coordinator [14]. Both funded by MFS II [22]. Methodological guidance was provided on the data collection process for each outcome indicator.
- Experience gained through MFS II evaluations [19]: ASK (Association for Stimulating Know How, based in Gurgaon, India) evaluated COUNT HIV / AIDS awareness program that addresses the needs of the tribal community in Andhra Pradesh. The finance manager's financial skills improved as a result of this evaluation. He was able to plan better and allocate funds more efficiently towards the project. Help a child of India (funded by Woord en Daad) evaluated COUNT with an aim to measure the progress of the programs for a number of outcome indicators. The staff members learnt about teaching methodologies, to monitor the outcomes of student performance, day to day administration of the school, impact of supervision on teachers and students, to improve quality of their work and in turn bring about improvement in quality of education. These evaluations were funded by MFS II [18].
- The following capacity building activities [22] were conducted in the past two years to strengthen staff's skills for communicating with donors [10], all these trainings were funded by MFS II [18]:
  - Basic spoken English training. Funded by MFS II.
  - Participation in the Sponsorship programme conference in May 2013 in the Netherlands by Woord en Daad. This conference was organised by COUNT and funded by Woord en Daad, under MFS II.
  - Training of the house parents by adoption/sponsorship department to assist the children in writing innovative greeting letters, providing interesting information and taking pictures for a regular update of the children to the donors and for improving accountability. Funded by MFS II.
  - Training on WDCAP programme in October, 2013 by Woord en Daad. WDCAP is a software for tracking children's information and enables COUNT to provide regular updates to the donor. This training was also funded by MFS II.

- *A third reason for diversification of funds is that new donors were attracted [24]:* The fact that COUNT is now attracting funds from other funders like Free Methodist Churches (FMC) and Word and Deed Canada, is a consequence of COUNT strengthening its networks [11].

  The trainings, the income generation self-help projects and the strengthening of networks were undertaken because of an increasing need to diversify funds, coming from a changing donor environment, where Woord en Daad is phasing out its support.

COUNT is furthermore contributing to financial sustainability of the organisation by reducing programme costs [5], which is done through closing down some of the Agape hostels [29], outsourcing JBS to Word and Deed India [30] and the self-support courses [31]. These changes were also triggered by a need to diversify funds [16] because of the changing donor environment [17]. Word and Deed India is a partner of Woord en Daad NL, just like COUNT. COUNT was able to outsource the JBS part of the TVET programme to Word and Deed India because W&D NL linked them up to them [33] in the TVET programme that is funded under MFS II [18].

4.3.2 Improved Strategic Planning

This is a summary of the detailed causal map of the key organisational capacity change: improved strategic planning. For a detailed visual to which the numbers refer and narrative with sources see Appendix 4.

Improved strategic planning [4]also contributed to financial sustainability of the organisation [2] because COUNT developed the strategies to reduce costs and generate income.

There are four main reasons why strategic planning has improved: development of a phase-out strategy of COUNT [23]; improved staff skills in data collection and reporting [7]; more efficient project fund allocation [32]; and participatory management [12]. These changes are further described below.

Development of a phase-out strategy of COUNT [23]: COUNT is aware that W&D will phase out the funding the TVET and education programme of COUNT in 2020and therefore, since 2010, together they have been working on the development of a phase-out strategy. The development of this phase-out strategy was mainly a result of:

- *The leader becoming more pragmatic in his thinking [15].* He now strategizes more in the long term and thinks about how to obtain alternative funds. The change in the leader's thinking can be explained by:
  - The overall need to plan strategically and diversify funds that arises from the changing donor environment
  - The 5c workshop in December 2013. This workshop gave COUNT another opportunity to review its strengths, weaknesses, skill gaps and capacity buildings opportunities. This was used in drawing up the annual plan and the budgeting activity plan for the next year. This workshop was funded by Woord en Daad under MFS II.

- *The Phase-out strategy workshop March 2013 [25]:* This workshop was funded by MFS II [18]. This workshop was organised in light of the need for diversifying funds[16] because of the changing donor environment [17], which includes the phasing out of the Woord en Daad support by 2020. This workshop influenced both the leader and the functional staff and helped them to understand the importance of making TVET as a sustainable programme of the phase-out plan.

- *Sustainability strategy workshop May 2013 [26]:* This workshop funded by MFS II [18]. The objective of the workshop was to discuss on strategies for education programme and TVET/JBS programme, in light of the need for diversifying funds [16] because of the changing donor environment [17].

- *Appointment of a Regional Coordinator [14]* to serve as a link between India partners and W&D, to help with monitoring without the need for frequent visits from Woord en Daad people and to act as an advisor and help whenever required to do so. He has also been involved in the sustainability strategy workshop and in that way is contributing to the development of the sustainability plan of COUNT [23].

The second reason for improved strategic planning for financial sustainability is based **on improved staff skills in data collection and reporting [7].** The development of this skill was mainly a result of:

- *Methodological guidance [27]* received by COUNT from Woord en Daad (funded by MFS II [18]) and the Regional Coordinator [14].

- *Trainings on reporting [22]*
  - Basic spoken English training. Funded by MFS II [18].
  - Participation in the Sponsorship programme conference in May 2013 in the Netherlands by Woord en Daad. This conference was organised and funded by Woord en Daad, under MFS II [18].
  - Training on WDCAP programme in October, 2013 by Woord en Daad. WDCAP is a software for tracking children's information and enables COUNT to provide regular updates to the donor. This training was given by Woord en Daad and also funded by MFS II [18].

- *COUNT staff gained useful PME experiences in collecting data through MFS II funded evaluations [19].*
  - External Evaluation HIV/AIDS program by ASK June-July 2013
  - Outcome study on Quality of Education October 2013
  - TVET Score Card Assessment March 2013

The third reason for improved strategic planning is more efficient project fund allocation [32]. The finance manager's financial skills improved as a result of the external evaluation of the HIV/AIDS program by ASK in June-July 2013 [19]. He was able to plan better and allocate funds more efficiently towards the project.

The fourth reason for improved strategic planning is participatory management [12]. In 2013, the leader of COUNT formed a core group [20] comprising of experienced members of the staff for participatory planning and decision making. This core group was formed because the leader realised that in absence of mentoring support from W&D [21] he would have to look for help and guidance within COUNT.

5 Discussion and conclusion

5.1 Methodological issues

In order to get detailed information on the capacity development of the staff, self–assessment forms were being filled in by the management (CEO and Manager of Projects and Programme), Programme Staff (Coordinator of schools, Principal St. John's High School, Coordinator Homes, Teacher St. John's High School and House Parents), HR/Admin staff (Finance Manager, Co-ordinator, TVET Co-ordinator, HR, Co-ordinator-Basic Needs), and field staff (Inter State leader cum House parent Gujrat, Area Superintendent cum House parent, Area supervisor cum Principal of School). Except for one field staff (inter-state leader cum house parents Gujrat) the rest were present in the baseline workshop. The agreed questionnaire was aimed at getting information from various levels of staff without putting them in any awkward situation. The modified and nuanced repetition of questions when translated to an audience not properly exposed to the English language, created a sense of repetitiveness. Evaluators tried to resolve this, by clarifying the responses by a follow-up interview. For example the supervisor of the self-help projects and house parent was interviewed specifically related to the self-help projects and challenges facing the running of the house from the management's perspective.

After going through the self-assessment forms, the evaluators came to know that COUNT is closing down its Agape homes, resulting in the decrease of house parents and teachers and consequently the number of children served by these homes in the remote tribal areas. Taking this into account, the house parents and teachers, who were present on the first day of the workshop, were not invited for the second and third day for process tracing. The reason behind focusing on core staff members was to get detailed response in the process tracing part of the endline workshop. However, one house parent was invited for the development of the detailed causal map in the process tracing endline workshop because he held dual responsibilities as house parent and as the supervisor of self-help projects. He was also the parent who had attended the baseline workshop and the evaluators had visited his home near Vishakhapatnam to get an idea of how the Agape homes ran during the baseline in 2012.

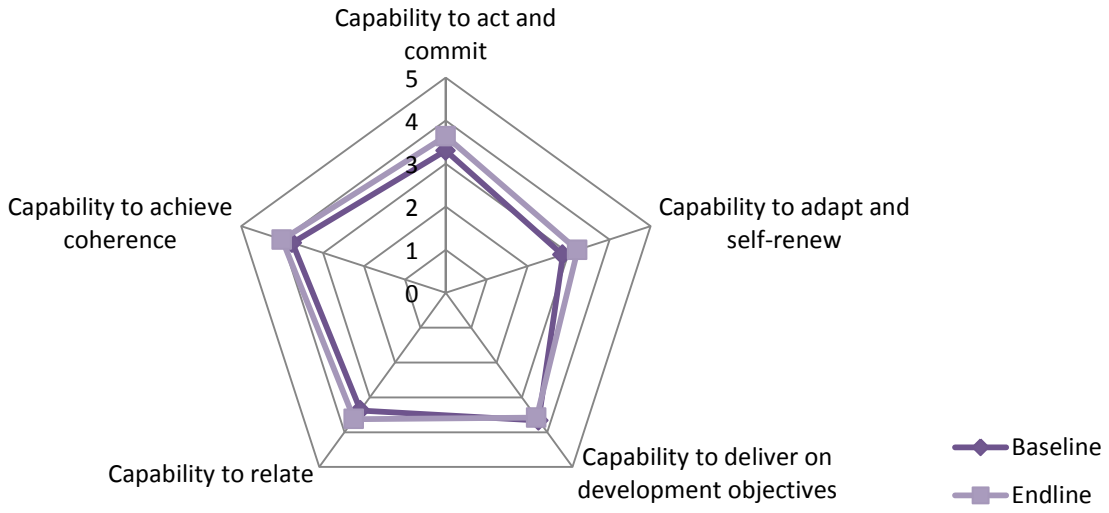
The Organisation Development Consultant was the regional coordinator who is hired by Woord en Daad to provide strategic guidance to COUNT. In order to get a free-flowing and insightful perspective of the organisation, the organisation development consultant was interviewed by the evaluators over and above the CFA interview separately. No partners were interviewed as COUNT had already requested during the baseline workshop not to name the network partners they work with. This was a conscious decision by COUNT. In the fast changing political scenario in their work area, the government policies are still evolving and they are certainly not very favourable to certain type of activities. As evaluators, it was our responsibility to respect the wishes of the organisation as long as they are fulfilling the mandate for which they received funding.

In relation to process tracing, training questionnaires were filled in for all the trainings under MFS II supported funding. However, for the staff it was sometimes difficult to recall what they learnt during a specific training as they are exposed to various training programme and exposure visits (both under MFS II programme and others). Therefore, the observed changes could be attributed to various factors beyond a specific training programme. However, the training questionnaires formed the basis of distinguishing the changes which resulted from a particular training over others. The training questionnaires provided details such as: knowledge acquired and skills developed by the staff and its impact on the organisational capacity. Training questionnaires were filled in for most of the MFS II supported trainings for COUNT such as: 1) 5c workshop facilitated by Samuel Nirmal; 2) External Evaluation of the HIV/AIDS Project; 3) Outcome studies by Woord & Daad with assistance of Help a Child of India; 4) Sustainability strategy workshop facilitated by Leen Stok and Samuel Nirmal; 5) TVET Quality Score Assessment workshop facilitated by Cees van Breugel (Woord & Daad).

5.2 Changes in organisational capacity

This section aims to provide an answer to the first and fourth evaluation questions:

1. *What are the changes in partner organisations' capacity during the 2012-2014 period?*
4. *What factors explain the findings drawn from the questions above?*



Whilst changes took place in all five core capabilities, the improvements were only minor. Below the changes in each of the capabilities are further explained, by referring to the specific indicators that changed.
Over the last two years most improvements took place in the indicators under the capability to act and commit. Due to the phasing out of Woord en Daad by 2020, the leader became more pragmatic and proactive in working on expanding COUNT's resource base. The Board members also became more involved in helping the leader to make strategic decisions and move more towards self-support. While in the baseline there was no information on how strategies where articulated, now they are based on situational analysis and the M&E findings of for example the MFS II funded outcome studies. The support from the Regional Coordinator, supported by MFS II, was new during the endline and helped COUNT in developing their strategic and operational plans. Also the outcome studies and quality assessments led to better programme implementation. COUNT staff improved their communication skills slightly and the tuition teachers became more skilled in a variety of topics including child psychology. There was a training on basic spoken English to try to bridge the communication gap as many staff don't speak English and all trainings are in English. All these trainings were funded by Woord en Daad under MFS II. The monetary incentives for staff increased in the form of e.g. annual increments, mobile phones, medical expenses covered. Regarding the funding situation, COUNT has improved slightly in diversifying its funding base through approaching new donors, having self-help projects that generate income and by asking for a small fee for the courses they offer. They also improved somewhat in their funding procedures as their communication with and showcasing their work to donors improved and they started with donor mapping.

In the capability to adapt and self-renew COUNT also improved slightly in various indicators. Their ability to collect information and reflect on these has increased due to methodological guidance they receive and being involved in several outcomes studies funded by MFS II (Woord en Daad). They are now making more use of M&E findings in their annual plans. The Regional Coordinator who was installed after the baseline assures that this is done. There are now regular departmental meetings for critical reflection and the leader has set up new networks for learning and sharing with likeminded organisations.

In terms of the capability to deliver on development objectives , there has been a minor deterioration in the area of clear operational plans. An external evaluation of COUNT's HIV/AIDS programme found that the Change Agent (field level volunteers) have no action plans to work with and that this causes confusion.

In the capability to relate, COUNT has somewhat improved. They now have nine regional coordinators in the field , compared to no regional coordinators during the baseline, and this helps to ensure that the voices of COUNT's target groups in the tribal regions are being heard and taken into account in their policies and strategies. COUNT has increased the number of networks it is active in. Since the baseline they have joined the VIVA and Blossoms network, and for their health related projects they are part of the HBA, GGM and REACH. For TVET they work with SETWIN and ITI, to mention a few.

Finally, COUNT has slightly improved in its capability to achieve coherence as a vision casting workshop funded by Woord en Daad was organised for all staff in February 2014 and strategies have been revisited and included in the phase out strategy. They also now have a child protection policy in place, which is very relevant in their line of work.

During the endline workshop some key organisational capacity changes were brought up by COUNT's staff: diversification of funds, reduction of programme costs and improved strategic planning. The evaluators considered it important to also note down the SPO's story and this would also provide more information about reasons for change, which were difficult to get for the individual indicators. Also for some issues there may not have been relevant indicators available in the list of core indicators provide by the evaluation team. These changes happened to overlap with the key changes that were selected to process tracing. The phasing-out of funding by Woord en Daad (W&D) by 2020 has led to most of the changes in COUNT's organisational capacity. Woord en Daad had announced this to COUNT in 2010, but in 2013 they really started working together on a strategic phase out plan in which strategies were included on how to generate more income and reduce programme costs especially in the TVET and Education programmes that are supported by W&D. The MFS II funding of Woord en Daad also played an important role in all the key changes. This will further be explained below in 5.3.

5.3 Attributing changes in organisational capacity to MFS II

Attributing changes in organisational capacity development to MFS II

This section aims to provide an answer to the second and fourth evaluation questions:

2. *To what degree are the changes identified in partner capacity attributable to development interventions undertaken by the MFS II consortia (i.e. measuring effectiveness)?*
4. *What factors explain the findings drawn from the questions above?*

To address the question of attribution it was agreed that for all the countries in the 5C study, the focus would be on the capability to act and commit and the capability to adapt and self-renew, with a focus on MFS II supported organisational capacity development interventions that were possibly related to these capabilities. 'Process tracing' was used to get more detailed information about the changes in these capabilities that were possibly related to the specific MFS II capacity development interventions. The organisational capacity changes that were focused on were:

- Diversification of funds and reduction of programme costs;
- Improved Strategic Planning.

Diversification of funds and reduction of programme costs falls in the capability to act and commit. Improved strategic planning falls partly in the capability to act and commit and partly in the capability to adapt and self-renew. The organisational capacity change areas that were chosen are based on document review as well as discussions with the SPO and CFA. Each of these organisational capacity changes is further discussed below.

The following issues are discussed for the MFS II funded activities that are related to the above mentioned organisational capacity changes:

a. Design: the extent to which the MFS II supported capacity development intervention was well-designed. (Key criteria: relevance to the SPO; SMART objectives);

b. Implementation: the extent to which the MFS II supported capacity development was implemented as designed (key criteria: design, according to plans during the baseline);
c. Reaching objectives: the extent to which the MFS II capacity development intervention reached all its objectives (key criteria: immediate and long-term objectives, as formulated during the baseline);
d. the extent to which the observed results are attributable to the identified MFS II supported capacity development intervention (reference made to detailed causal map, based on 'process tracing').

Please note that whilst (d) addresses the evaluation question related to attribution (evaluation question 2), the other three issues (a, b and c) have been added by the synthesis team as additional reporting requirements. This was done when fieldwork for the endline process had already started, and therefore inadequate information is available on this. Then again, this wasn't the purpose of this 5c evaluation.

Diversification of funds and reduction of programme costs
The following MFS II capacity development interventions that were mentioned by Woord en Daad were linked to the key organisational capacity, change "diversification of funds and reduction of programme costs":

1. External evaluation of the HIV/Aids project of COUNT by ASK, from 24 June till 2 July 2013 (not planned during the baseline, but mentioned as a capacity development intervention by the CFA during the endline);
2. Outcome studies conducted on Quality of Education by Woord en Daad, with the assistance of Help A Child of India, from 26 till 28 October 2013 (planned during the baseline and mentioned as a capacity development intervention by the CFA during the baseline and endline);
3. 5c workshop December 2013 facilitated by the Regional Coordinator (not planned during the baseline, but details provided during the endline);
4. Methodological guidance by Woord en Daad and the Regional Coordinator (both funded by MFS II) to COUNT (not planned during the baseline, no details provided during the endline);
5. Basic spoken English training in March 2013 (not planned during the baseline and no details provided during the endline);
6. Sponsorship programme conference in May 2013 (not planned during the baseline and no details provided during the endline);
7. Training on WDCAP (a software to track children's information to give regular updates to donors) in October 2013 (not planned during the baseline and no details provided during the endline).

Below the capacity development interventions will be discussed that were either planned during the baseline or not planned during the baseline, but details on the interventions were provided during the endline. The capacity development interventions for which no objectives have been provided during baseline or endline will only be discussed when addressing the attribution question (here: methodological guidance, basic spoken English training, sponsorship programme conference and training on WDCAP).

External evaluation of the HIV/Aids project of COUNT by ASK
Design
The CFA indicated this evaluation as a capacity development intervention as the CFA envisioned that COUNT would learn from and use the results of the evaluation. This specific intervention was not planned for during the baseline by the CFA. Details about the specific design cannot be provided, since this wasn't the focus of this 5c evaluation. The immediate effect of this workshop that the CFA observed was "insight in effects of this programme." The long term effect the CFA expects is: 'improved networking relevant for the programme' as it was one of the recommendations of the evaluation to improve COUNT's network with other NGOs on topic of HIV/AIDS.

These objectives were very relevant for COUNT. During the baseline workshop they formulated three conditions that needed to be in place in order for them to become the leading organization in holistic

development of the tribal belt in India. One of these conditions was to have a strengthened M&E system. Learning from how this evaluation was done and insights into the effects of the HIV/AIDS contribute to this. The long term objective is also very relevant as COUNT formulated a similar goal for itself during the baseline "strengthened networking with like-minded organizations."

These expected effects were not formulated in a SMART way (specific, measurable, achievable, relevant and time-bound). Then again, the evaluation team did not ask the CFA for SMART objectives specifically, but rather asked about the expected or observed immediate and long term effects of the interventions.

Implementation
While the CFA indicates that the terms of reference of this evaluation and an evaluation report are available for this intervention, judging whether the intervention was implemented as it was specifically designed was not the focus of this evaluation. This intervention was implemented and the evaluation took place in June-July 2013.

Reaching objectives
The focus of this evaluation has been the role of the MFS II funded capacity development interventions in the key organisational capacity changes that were identified. The external evaluation of the HIV/AIDS programme came up in the map and narrative on the organisational capacity change: diversification of funds and improved strategic planning. In this regard we can conclude that the experience that staff gained through this evaluation contributed to better accountability to and retention of existing donors which contributed to diversification of funds. The experience the finance manager gained during this evaluation contributed to more efficient fund allocation improved COUNT's strategic planning.

Though not the focus of this evaluation, we can conclude to some extent whether the expected immediate and long-term objectives of this intervention as formulated during the endline have been achieved. The immediate objective: "insight in effects of this programme," has been achieved according to the CFA as the evaluation generated insight into the quality of the programme and yielded concrete and relevant recommendations for further strengthening of the programme by COUNT. COUNT has formulated a response to the recommendations that shows that all recommendations have received meaningful follow-up. The long term objective does not seem to be reached yet as COUNT will need to link with more NGOs in its HIV/AIDS programme.

Outcome studies conducted on Quality of Education by Woord en Daad, with the assistance of Help A Child of India
Design
The CFA indicated that these outcome studies can be seen as capacity development interventions as they envisioned that COUNT would learn from and use the results of the outcome studies. This intervention was planned by the CFA during the baseline. The immediate expected effect that was formulated was: "Awareness of quality issues among Education staff and management of COUNT." The long term objective was articulated as: "upgrade of quality in the Education programme in a lot of aspects." The CFA has clarified that "upgrade of quality" means to raise the overall mean score for the Education score cards with at least 0.5 point between 2011 and 2015.

Being involved in the outcome studies was relevant for COUNT as they wanted to strengthen their own M&E system and they could learn from the experience. Getting insights into quality issues in the education programme seems very relevant for staff working in that programme as well as for management. The longer term objective to upgrade the quality also seems very relevant as COUNT sees itself as a learning organisation that wants to provide quality services.

The immediate expected effect was not formulated in a SMART way (specific, measurable, achievable, relevant and time-bound). The long term objective, however, is formulated in a specific, measurable and time-bound way. The evaluation team did not ask the CFA for SMART objectives specifically, but rather asked about the expected or observed immediate and long term effects of the interventions.

Implementation
During the baseline this outcome study was planned. It has been carried out in 2011 and in October 2013, it is planned for 2015. As far as the evaluation team knows, it was implemented as designed, however, details about the specific design cannot be provided, since this wasn't the focus of the evaluation.

Reaching objectives
The focus of this evaluation has been the role of the MFS II funded capacity development interventions in the key organisational capacity changes that were identified as explained in the detailed causal map. The outcome studies for the education programme came up in the map and narrative on the organisational capacity change: diversification of funds. In this regard we can conclude that the experience that staff gained through these outcome studies contributed to better accountability to and retention of existing donors which contributed to diversification of funds.
Though not the focus of this evaluation, we can conclude to some extent whether the expected immediate and long-term objectives of this intervention as formulated during the endline have been achieved. The immediate objective "awareness of quality issues among Education staff and management of COUNT," has been achieved as awareness is raised about the importance of educational quality and concrete insight is provided into the various elements of a school's quality. The CFA regards the follow-up on scorecards by COUNT as sufficient. COUNT is using the quality score card for the education program as a benchmark to reach its annual goals and to upgrade the quality of the schools. The next outcome study in 2015 will have to show if the longer term objective has been reached and whether the education programme's quality has improved by at least 0.5 in various aspects between 2011 and 2015.

5c workshop December 2013 facilitated by the Regional Coordinator
Design
This specific intervention was not planned for during the baseline by the CFA. Details about the specific design cannot be provided, since this wasn't the focus of the evaluation. The immediate effect of this workshop that the CFA observed was "COUNT had yet another opportunity to review its strengths, weaknesses, skill gaps, capacity building possibilities etc." The long term effect the CFA expects is: "this also contributes to strengthening the strategic thinking of the organization."

These effects were relevant for COUNT, as during the baseline workshop discussions the organisation formulated the condition "strengthened resource base for sustainability" in order to become the leading organization on holistic development of the tribal belt in India in the next few years. Reviewing their strengths and weaknesses and thinking more strategically about their sustainability was therefore very relevant for COUNT.

These expected effects were not formulated in a SMART way (specific, measurable, achievable, relevant and time-bound). Then again, the evaluation team did not ask the CFA for SMART objectives specifically, but rather asked about the expected or observed immediate and long term effects of the interventions.

Implementation
This intervention was not planned for during the baseline and details about the specific design cannot be provided, since this wasn't the focus of the evaluation. Therefore, no judgement can be made on whether this intervention was implemented as designed. However, in the 5C workshop has been implemented in December 2013. No further details can be provided whether this was implemented according to design.

Reaching objectives
The focus of this evaluation has been the role of the MFS II funded capacity development interventions in the key organisational capacity changes that were identified, as explained in the detailed causal map. The 5c workshop came up in the maps and narratives on the organisational capacity changes: diversification of funds and improved strategic planning. In this regard we can conclude that this workshop has contributed to the leader of COUNT becoming more pragmatic which strengthened

COUNT's networks and contributed to attracting new donors. With regard to improved strategic planning, the 5c workshop also contributed to the leader becoming more pragmatic which helped in the development of a strategic phase-out plan for COUNT.

Though not the focus of this evaluation, we can conclude to some extent whether the expected immediate and long-term objectives of this intervention as formulated during the endline have been achieved. The immediate objective: "COUNT had yet another opportunity to review its strengths, weaknesses, skill gaps, capacity building possibilities etc." has been achieved, as the 5c workshop offered an opportunity to reflect on and review strategic organisational capacities in light of COUNT's current context and expected changes in this context. It was a good exercise for programme and management staff to review the strengths and weakness of the organisation. The long term objective, "this also contributes to strengthening the strategic thinking of the organization" has also already been achieved to some extent, as the leader of COUNT became more pragmatic and started thinking more strategically about COUNT's funding base.

Attribution of observed results to MFS II capacity development interventions
The diversification of funding and reduction of programme costs are taken together as a key organisational capacity change as both of them directly concern the funding situation of COUNT.

The diversification of funding of COUNT was due to generation of income through self-help projects, accountability to and retention of existing donors, and attraction of new donors (please also see section 4.3). The improved accountability to and retention of existing donors can be mostly attributed to MFS II, because Woord en Daad and the Regional Coordinator (both funded by MFS II) provided methodological guidance to COUNT which helped them in improving the quality of their data and data collection process. Through MFS II sponsored evaluations, such as the external evaluation of the HIV/Aids project and the outcome studies for the education programme, helped COUNT to gain experience in being accountable to existing donors. This can be seen in the detailed causal map and narrative on COUNT's diversification of funding and reduction of programme costs in 4.3.1. Staff skills in communicating with and reporting to donors also increased because trainings that were planned for during the baseline and that were funded by MFS II: basic spoken English training in March 2013, Sponsorship programme conference in May 2013 and a training on WDCAP (a software to track children's information to give regular updates to donors) in October 2013. In terms of attracting new donors, this can only partly be attributed to MFS II, as improved staff skills to report and communicate to donors due to the previously mentioned trainings led to attracting new donors, but strengthening their networks played a more important role. While COUNT's involvement in their networks is not directly funded by MFS II, working with Woord en Daad has given them the opportunity to network with other Woord en Daad partners and through their HIV/AIDS programme become part of the Health Bridge Alliance Network. The Viva and Blossoms networks are two other important networks for COUNT that do not seem to be directly based on the work they do with Woord en Daad. There was one other training funded by the Blossoms network together with VIVA in April 2014 called "Quality Improvement Systems" to strengthen COUNT's networks with other organisations. Improved networks can also be attributed to the leader becoming more pragmatic in looking for new funding sources. The leader became more pragmatic and proactive because of the changing funding situation in which Woord en Daad is phasing out and the gaps that were identified during the 5c Workshop, funded by MFS II, in December 2013. All in all, MFS II played a large role in COUNT's accountability to and retention of existing donors, but they played a lesser role in attracting new donors as explained above. In income generation through self-help projects there was no direct link to MFS II funding, except for the phasing out of Woord en Daad by 2020 leading COUNT to look for diversified funding sources.

The reduction of programme costs is due to: closing down of Agape hostels, outsourcing of JBS programme to Word and Deed India and self-support courses. The outsourcing of the JBS programme to one of the partners of Woord en Daad was possible was due to Woord en Daad linking COUNT up to their partners in India. While these initiatives were triggered by Woord en Daad phasing out their support by 2020, they were not directly an effect of any of the MFS II supported capacity building interventions.

All in all, diversification of funds and reducing programme costs can be only partly attributed to MFS II supported capacity development interventions, which have played a relatively important role in improving the funding situation of COUNT, particularly in terms of accountability towards and retention of existing donors .The other areas to which diversification of funds can be attributed (generation of income through self-help projects; and attracting new donors) can to a lesser extent be attributed to MFS II support for capacity development for the organization. In the case of generation of income through self-help projects, the link with MFS II is more indirectly through the phasing out of Woord en Daad by 2020. For attracting new donors the link is through improved communication with donors, which can be attributed to MFS II but more importantly due to COUNT strengthening its networks which can only indirectly, through the changing funding situation, be attributed to MFS II. Then there is the reduction of programme costs, which plays a less important role than the diversification of funding in terms of improving the financial sustainability of COUNT. For the reduction of programme costs there is no link to MFS II supported capacity development interventions, although the changing funding situation, also in terms of MFS II has been one of the underlying factors influencing all of these changes. The income generation through self-help projects and attracting new donors were the most important in terms of diversifying COUNT's funding. The accountability to and retention of existing donors which can be attributed to MFS II supported capacity development interventions played a less important role for diversifying COUNT's funding. The attracting of new donors can be partly attributed to MFS II supported interventions as explained above.

Improved Strategic Planning

The following MFS II capacity development interventions were mentioned by Woord en Daad and are linked to the key organisational capacity change "Improved Strategic Planning" (please also see section 4.3):

1. TVET Score Card Assessment March 2013 (planned during the baseline and mentioned as a capacity development intervention by the CFA);
2. Phase out Strategy Workshop in March 2013 (not planned during the baseline, but details provided during the endline);
3. Sustainability Strategy workshop facilitated in May 2013(not planned during the baseline, but details provided during the endline);
4. 5c workshop in December 2013 facilitated by the Regional Coordinator (not planned during the baseline, but details provided during the endline);
5. Appointment of the regional coordinator by W&D (not planned for during the baseline, not details provided during the endline);
8. External evaluation of the HIV/Aids project of COUNT by ASK, from 24 June till 2 July 2013 (not planned during the baseline, but mentioned as a capacity development intervention by the CFA during the endline);
9. Outcome studies conducted on Quality of Education by Woord en Daad, with the assistance of Help A Child of India, from 26 till 28 October 2013 (planned during the baseline and mentioned as a capacity development intervention by the CFA);
6. Methodological guidance by Woord en Daad and the Regional Coordinator (both funded by MFS II) to COUNT (not planned during the baseline, no details provided during the endline);
7. Basic spoken English training in March 2013 (not planned during the baseline and no details provided during the endline);
8. Sponsorship programme conference in May 2013 (not planned during the baseline and no details provided during the endline);
9. Training on WDCAP (a software to track children's information to give regular updates to donors) in October 2013(not planned during the baseline and no details provided during the endline).

Since the design, implementation and reaching objectives questions for the 5c workshop, external evaluation HIV/AIDS project and outcome studies for the education programme were already discussed in detail under the organisational capacity change concerning the Diversification of funds and reduction of programme costs, this was not repeated under this capacity change. However, it will be discussed in the following part of the attribution of observed results to MFS II capacity development interventions. In addition, the interventions will be discussed that were either planned during the baseline or not planned during the baseline, but details on the intervention were provided

during the endline. The capacity development interventions for which no objectives have been provided during baseline or endline will only be discussed when addressing the attribution question (here: appointment of the regional coordinator, methodological guidance, basic spoken English training, sponsorship programme conference and training on WDCAP).

TVET Score Card Assessment March 2013

Design

The CFA indicated that this score card assessment can be seen as a capacity development interventions as they envisioned that COUNT would learn from and use the results of the assessment. This intervention was planned for by the CFA during the baseline. In the TVET Score Card Assessment, every two years scores are given to a number of indicators for the quality of the programme after which there is discussion between the external evaluator and COUNT's staff and action points are formulated. The immediate expected effect that was formulated was: "Awareness of quality issues among TVET staff and management of COUNT." The long term expected effect was articulated as: "upgrade of quality in the TVET programme in a lot of aspects." The CFA has clarified that "upgrade of quality" means to raise the overall mean score for the Education score cards with at least 0.5 point between 2011 and 2015.

Being involved in the TVET Score Card Assessment, was relevant for COUNT as they wanted to strengthen their own M&E system and they could learn from the experience. Getting insights into quality issues in the TVET programme seems very relevant for staff working in that programme as well as for management. The longer term objective to upgrade the quality also seems very relevant as COUNT sees itself as a learning organisation that wants to provide quality services. It was a good moment in the programme to do this assessment, after an earlier assessment in 2011, this allowed staff to notice the changes and work on a quality improvement plan.

The immediate expected effect was not formulated in a SMART way (specific, measurable, achievable, relevant and time-bound). The long term objective, however, is formulated in a specific, measurable and time-bound way. The evaluation team did not ask the CFA for SMART objectives specifically, but rather asked about the expected or observed immediate and long term effects of the interventions.

Implementation

During the baseline this assessment was planned. It has been carried out in 2011 and in March 2013, and it is planned for 2015. As far as the evaluation team knows, it was implemented as designed, however, details about the specific design cannot be provided, since this wasn't the focus of the evaluation. However, what can be said is that the TVET scorecard assessment took place in March 2013 as the scorecards of 2011 and 2013 have been made available to the evaluation team.

Reaching objectives

The focus of this evaluation has been the role of the MFS II funded capacity development interventions in the key organisational capacity changes that were identified, as explained in the detailed causal map. The TVET scorecard assessments came up in the map and narrative on the organisational capacity change: improved strategic planning. In this regard we can conclude that these assessments were useful as staff gained experience through these assessments and improved their skills in data collection and reporting.

Though not the focus of this evaluation, we can conclude to some extent whether the expected immediate and long-term objectives of this intervention as formulated during the baseline have been achieved. The immediate objective of this intervention has been reached. Staff members of COUNT were able to review the bottlenecks in the TVET programmes and take steps to further improve it during the coming year. From 2011 to 2013 there were already some improvements in COUNT's quality score. The next assessment in 2015 will have to show if the longer term objective has been reached and whether the TVET programme's quality has improved in various aspects since 2013.

Phase out Strategy Workshop in March 2013

Design

This specific intervention was not planned for during the baseline by the CFA. Details about the specific design cannot be provided, since this wasn't the focus of the evaluation. The immediate effect of this workshop that the CFA observed was "the learning being turned into action plan." The long term effect the CFA expects is: "understanding the importance of making TVET as a sustainable programme for continuation of this programme after phasing out of Woord en Daad."

These effects were relevant for COUNT, as during the baseline workshop discussions the organisation formulated the condition "strengthened resource base for sustainability" in order to become the leading organization on holistic development of the tribal belt in India in the next few years. Being involved in this strategy workshop and looking at ways to make TVET a sustainable programme is very relevant for the overall sustainability of the organisation.

These expected effects were not formulated in a SMART way (specific, measurable, achievable, relevant and time-bound). Then again, the evaluation team did not ask the CFA for SMART objectives specifically, but rather asked about the expected or observed immediate and long term effects of the interventions.

Implementation

This intervention was not planned for during the baseline and details about the specific design cannot be provided, since this wasn't the focus of the evaluation. Therefore, no judgement can be made on whether this intervention was implemented as designed. However, it can be said that the phase-out strategy workshop did take place in March 2013. No further details about design have been shared and can be assessed.

Reaching objectives

The focus of this evaluation has been the role of the MFS II funded capacity development interventions in the key organisational capacity changes that were identified, as explained in the detailed causal map. The Phase-out strategy workshop came up in the map and narrative on the organisational capacity change: improved strategic planning. In this regard we can conclude that this workshop (together with other events) contributed to the development of a phase-out strategy.

Though not the focus of this evaluation, we can conclude to some extent whether the expected immediate and long-term objectives of this intervention as formulated during the endline have been achieved. The immediate objective: "the learning being turned into action plan," has been achieved as a well-discussed phasing out strategy has been developed and mutually accepted as a viable route towards 2020. The long term objective: "understanding the importance of making TVET as a sustainable programme for continuation of this programme after phasing out of Woord en Daad," has also been achieved as strategies were developed to make TVET sustainable and these were included in the Strategic Phase-out plan of COUNT. Strategies included the sourcing out of the JBS component to WDI and some income generating activities.

Sustainability strategy workshop May 2013

Design

This specific intervention was not planned for during the baseline by the CFA. Details about the specific design cannot be provided, since this wasn't the focus of the evaluation. While the Phase out Strategy Workshop in March 2013 coincided with the TVET Score Card Assessment and focussed mainly on how to make the TVET programme sustainable, the sustainability strategy workshop in May 2013 also looked at the education programme and more at the overall sustainability of the organisation. The immediate effect of this workshop that the CFA observed was "COUNT could come out with a written strategic plan document. It could objectively look at goals, various constraints, options and the way forward." The long term effect the CFA expects is: "the workshop contributes to sharpening the strategic planning skills in the SPO, especially that of the leadership."

These effects were relevant for COUNT, as during the baseline workshop discussions the organisation formulated the condition "strengthened resource base for sustainability" in order to become the

leading organization for holistic development of the tribal belt in India in the next few years. Being involved in this strategy workshop an developing a strategic plan was very relevant for the overall sustainability of the organisation.

These expected effects were to some extent formulated in a SMART way (specific, measurable, achievable, relevant and time-bound). The immediate effect is specific, measurable and relevant: coming up with a strategic plan. Then again, the evaluation team did not ask the CFA for SMART objectives specifically, but rather asked about the expected or observed immediate and long term effects of the interventions.

Implementation
This intervention was not planned for during the baseline and details about the specific design cannot be provided, since this wasn't the focus of the evaluation. Therefore, no judgement can be made on whether this intervention was implemented as designed. However, it can be said that the sustainability strategy workshop did take place in May 2013. No further details about design have been shared and can be assessed.

Reaching objectives
The focus of this evaluation has been the role of the MFS II funded capacity development interventions in the key organisational capacity changes that were identified, as explained in the detailed causal map. The sustainability strategy workshop came up in the map and narrative on the organisational capacity change: improved strategic planning. In this regard we can conclude that this workshop (together with other events) led to the development of a phase-out strategy.

Though not the focus of this evaluation, we can conclude to some extent whether the expected immediate and long-term objectives of this intervention as formulated during the endline have been achieved. The immediate objective: "COUNT could come out with a written strategic plan document. It could objectively look at goals, various constraints, options and the way forward," of this intervention has been reached. Staff members of COUNT reviewed their achievements during 2012-2014 and gaps, risk factors and challenges were traced out. Income generation activities and action point were set that resulted in the phase out plan till 2020. It was observed by the CFA that the long term objective of the leader sharpening his strategic planning skills was achieved. He now strategises more and is more outward looking on how to obtain alternative funding. The implementation of the sustainability plan is still in its early stage. COUNT is downsizing itself to focus more on sustainability of programs and projects.

Attribution of observed results to MFS II capacity development interventions
The improved strategic planning of COUNT which also was one of the key organisational capacity changes that COUNT experienced over the last two years can to a large extent be attributed to MFS II funded organisational capacity development support. COUNT improved their strategic planning because of the development of a phase-out strategy, improved staff skills in data collection and reporting, more efficient project fund allocation and more participatory management (see also section 4.3.2).

The development of a phase-out strategy can be attributed to MFS II funded capacity development interventions. Woord en Daad organised various workshops: the 5c workshop in December 2013, phase out strategy workshop in March 2013 and the sustainability strategy workshop in May 2013 that all had the objective to identify challenges for COUNT and come up with strategies to allow the continuation of its programmes (in particular the education and TVET programme) after phasing out of W&D in 2020. Also the appointment of the regional coordinator, who was appointed and funded by W&D was an important intervention to support COUNT's organisational capacity, since he helped a lot in developing this phase-out strategy.

The second underlying reason for improved strategic planning: improved staff skills in data collection and reported can also largely be attributed to MFS II funded capacity development interventions. It was because of the methodological guidance of the regional coordinator and W&D staff trainings funded by MFS II (as mentioned above on communicating and reporting to donors) and experience gained through MFS II capacity development interventions (the TVET assessment mentioned here, and

the HIV/AIDS and Education evaluations mentioned earlier) that COUNT staff improved their data collection and reporting skills.

More efficient project allocation, which was another explaining factor for improved strategic planning , was due to the finance manager gaining skills in this through being involved in the MFS II funded HIV/AIDS programme evaluation. The finance manager was involved in the discussion of the evaluation results and learned about where the funds are most needed within this programme.

Finally the participatory management cannot be attributed to MFS II funded capacity development interventions, but was triggered by the absence of mentoring support from W&D (before the appointment of the Regional Coordinator). The leader of COUNT, in the absence of this support, formed a core group to help him in participatory planning and decision making which led to more participatory management and finally to improved strategic planning. All in all, improved strategic planning can be largely attributed to MFS II supported capacity development interventions, in the important role they played in terms of the development of a phase-out plan, improved staff skills in data collection and reporting, and more efficient project fund allocation can be attributed to MFS II funded capacity development interventions .

The development of a phase-out plan, improved staff skills in data collection and reporting, and more efficient project fund allocation were the most important in terms of improving strategic planning. The participatory management played a less important role. Therefore the role of MFS II has in these first three issues has more weight and most of the improved strategic planning can be attributed to MFS II.

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5c endline_assessment sheet_Dutch co-financing organisations_India_COUNT_WoordenDaad CvB SN WB_NB_interview - response WB.docx
5C endline_support to capacity development sheet_CFA perspective_India_COUNT_WoordenDaad SN WB_NB_interview - response WB.docx
Annex L_5c endline interview guide_subgroup_management_selected indicators.docx
Interview _ Rev M. Andrews.docx

5c endline interview guide_OD consultants_selected indicators_COUNT.docx
5c endline self-assessment sheet_management_India_COUNT_NB.docx
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5c endline self-assessment sheet_admin HRM staff_India_COUNT_NB.docx
Training Questionnaires:

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  - Mr. Babu Rao.jpg
- Outcome studies by Woord & Daad with assistance of Help a Child of India
  - K. Samuel.jpg
  - Mrs. Susheela.jpg
  - N. Sudhir Sudakar.jpg
  - G. Shanthi.jpg
  - K. Bhagya Bhavani.jpg
- Sustainability strategy workshop facilitated by Leen Stok and Samuel Nirmal
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Annex K_5c endline workshop_key changes and factors_SPO perspective_country_name COUNT.docx
ATTENDANCE SHEET for COUNT 2-4 JUNE Workshop.docx

List of Respondents

COUNT staff:

SL.NO	NAME	DESIGNATION	2nd June	3rd June	4th June
1.	Dexter T.J. Gollapalli	Executive Director	Present	Present	Present
2.	Mrs. Sushila	Coordinator (Agape Home)	Present	Present	Present
3.	Mrs. Shanthi	House Parent	Present	Not selected for PT	Not selected for PT
4.	Mrs N Mary	House Parent	Present	Not selected for PT	Not selected for PT
5.	Mrs. Neerja Neel	Teacher	Present	Not selected for PT	Not selected for PT
6.	Mrs K BhagyaBhavani	Teacher	Present	Not selected for PT	Not selected for PT
7.	Mr N Devdas	Teacher	Present	Not selected for PT	Not selected for PT
8.	Mr. K. Samuel	Coordinator – Education	Present	Present	Present
9.	N SudhirSudhakar	Principal, St. John High School	Present		
10.	Mr. B. Babu Rao	Finance Manager	Present	Present	Present
11.	Mr. K. Santosh William	HR	Present	Present	Present
12.	Mrs. Deena Dexter	Manager – Project and Programs	Present	Present	Present
13.	Mr. Z. Vijay Kumar	Coordinator - Adopt Department Homes	Present	Present	Present
14.	Mr. A. Prabhakar	Coordinator Basic Needs	Present	Present	Present
15.	Mr. S. John	House Parent and Area Leader	Present	Present	Present
16.	Rev. M. Andrews	Supervisor – Agri. Self-Help Project.	Present	Present	Present
17.	Rev. Elisha	House Parent (Gujrat Field)	Present	Present	Present
18.	Joshua V K	Principal – St. Zechariah's High School and Field leader	Present	Present	Present

CFA

Wim Blok, Manager Result management and Learning at Woord en Daad. Interviewed on 21 March 2014.

Samuel Nirmal, Regional coordinator India for Woord en Daad. Interviewed on 21 March 2014, by skype by evaluator at CDI.

Others

Bishop John, Founder member, Mentor. Interviewed on 3 June 2014.

Theeba John, Founder member, Mentor. Interviewed on 3 June 2014.

Samuel Nirmal, Regional coordinator India for Woord en Daad on 1st August 2014 by evaluators of IDF.

Appendix 1 Methodological approach & reflection

1. Introduction

This appendix describes the methodological design and challenges for the assessment of capacity development of Southern Partner Organisations (SPOs), also called the '5C study'. This 5C study is organised around four key evaluation questions:

1. What are the changes in partner organisations' capacity during the 2012-2014 period?
2. To what degree are the changes identified in partner capacity attributable to development interventions undertaken by the MFS II consortia (i.e. measuring effectiveness)?
3. Were the efforts of the MFS II consortia efficient?
4. What factors explain the findings drawn from the questions above?

It has been agreed that the question (3) around efficiency cannot be addressed for this 5C study. The methodological approach for the other three questions is described below. At the end, a methodological reflection is provided.

In terms of the attribution question (2), 'process tracing' is used. This is a theory-based approach that has been applied to a selected number of SPOs since it is a very intensive and costly methodology, although it provides rich information and can generate a lot of learning within the organisations. This approach was presented and agreed-upon during the synthesis workshop on 17-18 June 2013 by the 5C teams for the eight countries of the MFS II evaluation. A more detailed description of the approach was presented during the synthesis workshop in February 2014. The synthesis team, NWO-WOTRO, the country project leaders and the MFS II organisations present at the workshop have accepted this approach. It was agreed that this approach can only be used for a selected number of SPOs since it is a very intensive and costly methodology. Key organisational capacity changes/ outcomes of the SPO were identified, based on their relationship to the two selected capabilities, the capability to act and commit the capability to adapt and self-renew, and an expected relationship with CFA supported capacity development interventions (MFS II funding). It was agreed to focus on these two capabilities, since these are the most targeted capabilities by the CFAs, as established during the baseline process.

Please find below an explanation of how the above-mentioned evaluation questions have been addressed in the 5C evaluation.

Note: the methodological approach is applied to 4 countries that the Centre for Development Innovation, Wageningen University and Research centre is involved in in terms of the 5C study (Ethiopia, India, Indonesia, Liberia). The overall approach has been agreed with all the 8 countries selected for this MFS II evaluation. The 5C country teams have been trained and coached on this methodological approach during the evaluation process. Details specific to the SPO are described in chapter 5.1 of the SPO report. At the end of this appendix a brief methodological reflection is provided.

2. Changes in partner organisation's capacity – evaluation question 1

This section describes the data collection and analysis methodology for answering the first evaluation question: **What are the changes in partner organisations' capacity during the 2012-2014 period?**

This question was mainly addressed by reviewing changes in 5c indicators, but additionally a 'general causal map' based on the SPO perspective on key organisational capacity changes since the baseline

has been developed. Each of these is further explained below. The development of the general causal map is integrated in the steps for the endline workshop, as mentioned below.

During the baseline in 2012 information has been collected on each of the 33 agreed upon indicators for organisational capacity. For each of the five capabilities of the 5C framework indicators have been developed as can be seen in Appendix 2. During this 5C baseline, a summary description has been provided for each of these indicators, based on document review and the information provided by staff, the Co-financing Agency (CFA) and other external stakeholders. Also a summary description has been provided for each capability. The results of these can be read in the baseline reports.

The description of indicators for the baseline in 2012 served as the basis for comparison during the endline in 2014. In practice this meant that largely the same categories of respondents (preferably the same respondents as during the baseline) were requested to review the descriptions per indicator and indicate whether and how the endline situation (2014) is different from the described situation in 2012.[7] Per indicator they could indicate whether there was an improvement or deterioration or no change and also describe these changes. Furthermore, per indicator the interviewee could indicate what interventions, actors and other factors explain this change compared to the baseline situation. See below the specific questions that are asked for each of the indicators. Per category of interviewees there is a different list of indicators to be looked at. For example, staff members were presented with a list of all the indicators, whilst external people, for example partners, are presented with a select number of indicators, relevant to the stakeholder.

The information on the indicators was collected in different ways:

1) **Endline workshop at the SPO - self-assessment and 'general causal map'**: similar to data collection during the baseline, different categories of staff (as much as possible the same people as during the baseline) were brought together in a workshop and requested to respond, in their staff category, to the list of questions for each of the indicators (self-assessment sheet). Prior to carrying out the self-assessments, a brainstorming sessions was facilitated to develop a 'general causal map', based on the key organisational capacity changes since the baseline as perceived by SPO staff. Whilst this general causal map is not validated with additional information, it provides a sequential narrative, based on organisational capacity changes as perceived by SPO staff;
2) **Interviews with staff members**: additional to the endline workshop, interviews were held with SPO staff, either to provide more in-depth information on the information provided on the self-assessment formats during the workshop, or as a separate interview for staff members that were not present during the endline workshop;
3) **Interviews with externals**: different formats were developed for different types of external respondents, especially the co-financing agency (CFA), but also partner agencies, and organisational development consultants where possible. These externals were interviewed, either face-to-face or by phone/Skype. The interview sheets were sent to the respondents and if they wanted, these could be filled in digitally and followed up on during the interview;
4) **Document review**: similar to the baseline in 2012, relevant documents were reviewed so as to get information on each indicator. Documents to be reviewed included progress reports, evaluation reports, training reports, etc. (see below) since the baseline in 2012, so as to identify changes in each of the indicators;
5) **Observation**: similar to what was done in 2012, also in 2014 the evaluation team had a list with observable indicators which were to be used for observation during the visit to the SPO.

Below the key steps to assess changes in indicators are described.

[7] The same categories were used as during the baseline (except beneficiaries, other funders): staff categories including management, programme staff, project staff, monitoring and evaluation staff, field staff, administration staff; stakeholder categories including co-financing agency (CFA), consultants, partners.

Key steps to assess changes in indicators are described

1. Provide the description of indicators in the relevant formats – CDI team
2. Review the descriptions per indicator – in-country team & CDI team
3. Send the formats adapted to the SPO to CFA and SPO – in-country team (formats for SPO) and CDI team (formats for CFA)
4. Collect, upload & code the documents from CFA and SPO in NVivo – CDI team
5. Organise the field visit to the SPO – in-country team
6. Interview the CFA – CDI team
7. Run the endline workshop with the SPO – in-country team
8. Interview SPO staff – in-country team
9. Fill-in observation sheets – in-country team
10. Interview externals – in-country team
11. Upload and auto-code all the formats collected by in-country team and CDI team in NVivo – CDI team
12. Provide to the overview of information per 5c indicator to in-country team – CDI team
13. Analyse data and develop a draft description of the findings per indicator and for the general questions – in-country team
14. Analyse data and develop a final description of the findings per indicator and per capability and for the general questions – CDI team
15. Analyse the information in the general causal map –in-country team and CDI-team

Note: the CDI team include the Dutch 5c country coordinator as well as the overall 5c coordinator for the four countries (Ethiopia, India, Indonesia, Liberia). The 5c country report is based on the separate SPO reports.

Below each of these steps is further explained.

*Step 1. Provide the **description of indicators** in the relevant formats – CDI team*

- These formats were to be used when collecting data from SPO staff, CFA, partners, and consultants. For each of these respondents different formats have been developed, based on the list of 5C indicators, similar to the procedure that was used during the baseline assessment. The CDI team needed to add the 2012 baseline description of each indicator. The idea was that each respondent would be requested to review each description per indicator, and indicate whether the current situation is different from the baseline situation, how this situation has changed, and what the reasons for the changes in indicators are. At the end of each format, a more general question is added that addresses how the organisation has changed its capacity since the baseline, and what possible reasons for change exist. Please see below the questions asked for each indicator as well as the more general questions at the end of the list of indicators.

General questions about key changes in the capacity of the SPO

What do you consider to be the key changes in terms of how the organisation/ SPO has developed its capacity since the baseline (2012)?

What do you consider to be the main explanatory reasons (interventions, actors or factors) for these changes?

List of questions to be asked for each of the 5C indicators (The entry point is the the description of each indicator as in the 2012 baseline report):

1. *How has the situation of this indicator changed compared to the situation during the baseline in 2012? Please tick one of the following scores:*
   - -2 = Considerable deterioration
   - -1 = A slight deterioration
   - 0 = No change occurred, the situation is the same as in 2012
   - +1 = Slight improvement
   - +2 = Considerable improvement
2. *Please describe what exactly has changed since the baseline in 2012*
3. *What interventions, actors and other factors explain this change compared to the baseline situation in 2012? Please tick and describe what interventions, actors or factors influenced this indicator, and how. You can tick and describe more than one choice.*
   - Intervention, actor or factor at the level of or by **SPO**: ..... .
   - Intervention, actor or factor at the level of or by the **Dutch CFA (MFS II funding)**: .... .
   - Intervention, actor or factor at the level of or by the **other funders**: ..... .
   - **Other** interventions, actors or factors: ..... .
   - Don't know.

*Step 2. **Review** the descriptions per indicator – in-country team & CDI team*

Before the in-country team and the CDI team started collecting data in the field, it was important that they reviewed the description for each indicator as described in the baseline reports, and also added to the endline formats for review by respondents. These descriptions are based on document review, observation, interviews with SPO staff, CFA staff and external respondents during the baseline. It was important to explain this to respondents before they filled in the formats.

*Step 3. **Send the formats** adapted to the SPO to CFA and SPO – in-country team (formats for SPO) and CDI team (formats for CFA)*

The CDI team was responsible for collecting data from the CFA:

- 5C Endline assessment Dutch co-financing organisation;
- 5C Endline support to capacity sheet – CFA perspective.

The in-country team was responsible for collecting data from the SPO and from external respondents (except CFA). The following formats were sent before the fieldwork started:

- 5C Endline support to capacity sheet – SPO perspective.
- 5C Endline interview guides for externals: partners; OD consultants.

*Step 4. **Collect, upload & code the documents** from CFA and SPO in NVivo – CDI team*

The CDI team, in collaboration with the in-country team, collected the following documents from SPOs and CFAs:

- Project documents: project proposal, budget, contract (Note that for some SPOs there is a contract for the full MFS II period 2011-2015; for others there is a yearly or 2-yearly contract. All new contracts since the baseline in 2012 will need to be collected);
- Technical and financial progress reports since the baseline in 2012;.

- Mid-term evaluation reports;
- End of project-evaluation reports (by the SPO itself or by external evaluators);
- Contract intake forms (assessments of the SPO by the CFA) or organisational assessment scans made by the CFA that cover the 2011-2014 period;
- Consultant reports on specific inputs provided to the SPO in terms of organisational capacity development;
- Training reports (for the SPO; for alliance partners, including the SPO);
- Organisational scans/ assessments, carried out by the CFA or by the Alliance Assessments;
- Monitoring protocol reports, especially for the 5C study carried out by the MFS II Alliances;
- Annual progress reports of the CFA and of the Alliance in relation to capacity development of the SPOs in the particular country;
- Specific reports that are related to capacity development of SPOs in a particular country.

The following documents (since the baseline in 2012) were requested from SPO:

- Annual progress reports;
- Annual financial reports and audit reports;
- Organisational structure vision and mission since the baseline in 2012;
- Strategic plans;
- Business plans;
- Project/ programme planning documents;
- Annual work plan and budgets;
- Operational manuals;
- Organisational and policy documents: finance, human resource development, etc.;
- Monitoring and evaluation strategy and implementation plans;
- Evaluation reports;
- Staff training reports;
- Organisational capacity reports from development consultants.

The CDI team will coded these documents in NVivo (qualitative data analysis software program) against the 5C indicators.

Step 5. ***Prepare and organise the field visit*** *to the SPO – in-country team*

Meanwhile the in-country team prepared and organised the logistics for the field visit to the SPO:

- **General endline workshop** consisted about one day for the self-assessments (about ½ to ¾ of the day) and brainstorm (about 1 to 2 hours) on key organisational capacity changes since the baseline and underlying interventions, factors and actors ('general causal map'), see also explanation below. This was done with the five categories of key staff: managers; project/ programme staff; monitoring and evaluation staff; admin & HRM staff; field staff. Note: for SPOs involved in process tracing an additional 1 to 1½ day workshop (managers; program/project staff; monitoring and evaluation staff) was necessary. See also step 7;
- **Interviews with SPO staff** (roughly one day);
- **Interviews with external respondents** such as partners and organisational development consultants depending on their proximity to the SPO. These interviews coulc be scheduled after the endline workshop and interviews with SPO staff.

General causal map

During the 5C endline process, a 'general causal map' has been developed, based on key organisational capacity changes and underlying causes for these changes, as perceived by the SPO. The general causal map describes cause-effect relationships, and is described both as a visual as well as a narrative.

As much as possible the same people that were involved in the baseline were also involved in the endline workshop and interviews.

Step 6. ***Interview the CFA*** *– CDI team*

The CDI team was responsible for sending the sheets/ formats to the CFA and for doing a follow-up interview on the basis of the information provided so as to clarify or deepen the information provided. This relates to:

- 5C Endline assessment Dutch co-financing organisation;
- 5C Endline support to capacity sheet - CFA perspective.

Step 7. ***Run the endline workshop*** *with the SPO – in-country team*

This included running the endline workshop, including facilitation of the development of the general causal map, self-assessments, interviews and observations. Particularly for those SPOs that were selected for process tracing all the relevant information needed to be analysed prior to the field visit, so as to develop an initial causal map. Please see Step 6 and also the next section on process tracing (evaluation question two).

An endline workshop with the SPO was intended to:

- Explain the purpose of the fieldwork;
- Carry out in the self-assessments by SPO staff subgroups (unless these have already been filled prior to the field visits) - this may take some 3 hours.
- Facilitate a brainstorm on key organisational capacity changes since the baseline in 2012 and underlying interventions, factors and actors.

Purpose of the fieldwork**:** to collect data that help to provide information on what changes took place in terms of organisational capacity development of the SPO as well as reasons for these changes. The baseline that was carried out in 2012 was to be used as a point of reference.

Brainstorm on key organisational capacity changes and influencing factors: a brainstorm was facilitated on key organisational capacity changes since the baseline in 2012. In order to kick start the discussion, staff were reminded of the key findings related to the historical time line carried out in the baseline (vision, mission, strategies, funding, staff). This was then used to generate a discussion on key changes that happened in the organisation since the baseline (on cards). Then cards were selected that were related to organisational capacity changes, and organised. Then a 'general causal map' was developed, based on these key organisational capacity changes and underlying reasons for change as experienced by the SPO staff. This was documented as a visual and narrative.This general causal map was to get the story of the SPO on what they perceived as key organisational capacity changes in the organisation since the baseline, in addition to the specific details provided per indicator.

Self-assessments**:** respondents worked in the respective staff function groups: management; programme/ project staff; monitoring and evaluation staff; admin and HRM staff; field staff. Staff were assisted where necessary so that they could really understand what it was they were being asked to do as well as what the descriptions under each indicator meant.

Note: for those SPOs selected for process tracing an additional endline workshop was held to facilitate the development of detailed causal maps for each of the identified organisational change/ outcome areas that fall under the capability to act and commit, and under the capability to adapt and self-renew, and that are likely related to capacity development interventions by the CFA. See also the next section on process tracing (evaluation question two). It was up to the in-country team whether this workshop was held straight after the initial endline workshop or after the workshop and the follow-up interviews. It could also be held as a separate workshop at another time.

Step 8. ***Interview SPO staff*** *– in-country team*

After the endline workshop (developing the general causal map and carrying out self-assessments in subgroups), interviews were held with SPO staff (subgroups) to follow up on the information that was provided in the self-assessment sheets, and to interview staff that had not yet provided any information.

Step 9. ***Fill-in observation sheets*** *– in-country team*

During the visit at the SPO, the in-country team had to fill in two sheets based on their observation:

- 5C Endline observation sheet;
- 5C Endline observable indicators.

Step 10. ***Interview externals*** *– in-country team & CDI team*

The in-country team also needed to interview the partners of the SPO as well as organisational capacity development consultants that have provided support to the SPO. The CDI team interviewed the CFA.

Step 11. ***Upload and auto-code all the formats*** *collected by in-country team and CDI team – CDI team*

The CDI team was responsible for uploading and auto-coding (in Nvivo) of the documents that were collected by the in-country team and by the CDI team.

Step 12. Provide the ***overview of information*** *per 5C indicator to in-country team – CDI team*

After the analysis in NVivo, the CDI team provided a copy of all the information generated per indicator to the in-country team for initial analysis.

Step 13. ***Analyse the data and develop a draft description*** *of the findings per indicator and for the general questions – in-country team*

The in-country team provided a draft description of the findings per indicator, based on the information generated per indicator. The information generated under the general questions were linked to the general causal map or detailed process tracing related causal map.

Step 14. ***Analyse the data and finalize the description*** *of the findings per indicator, per capability and general – CDI team*

The CDI team was responsible for checking the analysis by the in-country team with the Nvivo generated data and to make suggestions for improvement and ask questions for clarification to which the in-country team responded. The CDI team then finalised the analysis and provided final descriptions and scores per indicator and also summarize these per capability and calculated the summary capability scores based on the average of all indicators by capability.

Step 15. ***Analyse the information*** *in the general causal map –in-country team & CDI team*

The general causal map based on key organisational capacity changes as perceived by the SPO staff present at the workshop, was further detailed by in-country team and CDI team, and based on the notes made during the workshop and where necessary additional follow up with the SPO. The visual and narrative was finalized after feedback by the SPO. During analysis of the general causal map relationships with MFS II support for capacity development and other factors and actors were identified. All the information has been reviewed by the SPO and CFA.

3. Attributing changes in partner organisation's capacity – evaluation question 2

This section describes the data collection and analysis methodology for answering the second evaluation question: ***To what degree are the changes identified in partner capacity attributable to (capacity) development interventions undertaken by the MFS II consortia (i.e. measuring effectiveness)?***

In terms of the attribution question (2), 'process tracing' is used. This is a theory-based approach that has been applied to a selected number of SPOs since it is a very intensive and costly methodology, although it provides rich information and can generate a lot of learning within the organisations. Key organisational capacity changes/ outcomes of the SPO were identified, based on their relationship to the two selected capabilities, the capability to act and commit the capability to adapt and self-renew, and an expected relationship with CFA supported capacity development interventions (MFS II funding). It was agreed to focus on these two capabilities, since these are the most targeted capabilities by the CFAs, as established during the baseline process. The box below provides some background information on process tracing.

Background information on process tracing

The essence of process tracing research is that scholars want to go beyond merely identifying correlations between independent variables (Xs) and outcomes (Ys). Process tracing in social science is commonly defined by its addition to trace causal mechanisms (Bennett, 2008a, 2008b; Checkle, 2008; George & Bennett, 2005). A causal mechanism can be defined as "a complex system which produces an outcome by the interaction of a number of parts" (Glennan, 1996, p. 52). Process tracing involves "attempts to identify the intervening causal process – the causal chain and causal mechanism – between an independent variable (or variables) and the outcome of the dependent variable" (George & Bennett, 2005, pp. 206-207).

Process tracing can be differentiated into three variants within social science: theory testing, theory building, and explaining outcome process tracing (Beach & Pedersen, 2013).

Theory testing process tracing uses a theory from the existing literature and then tests whether evidence shows that each part of hypothesised causal mechanism is present in a given case, enabling within case inferences about whether the mechanism functioned as expected in the case and whether the mechanism as a whole was present. No claims can be made however, about whether the mechanism was the only cause of the outcome.

Theory building process tracing seeks to build generalizable theoretical explanations from empirical evidence, inferring that a more general causal mechanism exists from the fact of a particular case.

Finally, explaining outcome process tracing attempts to craft a minimally sufficient explanation of a puzzling outcome in a specific historical case. Here the aim is not to build or test more general theories but to craft a (minimally) sufficient explanation of the outcome of the case where the ambitions are more case centric than theory oriented.

Explaining outcome process tracing is the most suitable type of process tracing for analysing the causal mechanisms for selected key organisational capacity changes of the SPOs. This type of process tracing can be thought of as a single outcome study defined as seeking the causes of the specific outcome in a single case (Gerring, 2006; in: Beach & Pedersen, 2013). Here the ambition is to craft a minimally sufficient explanation of a particular outcome, with sufficiency defined as an explanation that accounts for all of the important aspects of an outcome with no redundant parts being present (Mackie, 1965).

Explaining outcome process tracing is an iterative research strategy that aims to trace the complex conglomerate of systematic and case specific causal mechanisms that produced the outcome in question. The explanation cannot be detached from the particular case. Explaining outcome process tracing refers to case studies whose primary ambition is to explain particular historical outcomes, although the findings of the case can also speak to other potential cases of the phenomenon. Explaining outcome process tracing is an iterative research process in which 'theories' are tested to see whether they can provide a minimally sufficient explanation of the outcome. Minimal sufficiency is defined as an explanation that accounts for an outcome, with no redundant parts. In most explaining outcome studies, existing theorisation cannot provide a sufficient explanation, resulting in a second stage in which existing theories are re-conceptualised in light of the evidence gathered in the preceding empirical analysis. The conceptualisation phase in explaining outcome process tracing is therefore an iterative research process, with initial mechanisms re-conceptualised and tested until the result is a theorised mechanism that provides a minimally sufficient explanation of the particular outcome.

Below a description is provided of how SPOs are selected for process tracing, and a description is provided on how this process tracing is to be carried out. Note that this description of process tracing provides not only information on the extent to which the changes in organisational development can be attributed to MFS II (evaluation question 2), but also provides information on other contributing factors and actors (evaluation question 4). Furthermore, it must be noted that the evaluation team has developed an adapted form of 'explaining outcome process tracing', since the data collection and analysis was an iterative process of research so as to establish the most realistic explanation for a particular outcome/ organisational capacity change. Below selection of SPOs for process tracing as well as the different steps involved for process tracing in the selected SPOs, are further explained.

Selection of SPOs for 5C process tracing

Process tracing is a very intensive methodology that is very time and resource consuming (for development and analysis of one final detailed causal map, it takes about 1-2 weeks in total, for

different members of the evaluation team). It has been agreed upon during the synthesis workshop on 17-18 June 2013 that only a selected number of SPOs will take part in this process tracing for the purpose of understanding the attribution question. The selection of SPOs is based on the following criteria:

- MFS II support to the SPO has not ended before 2014 (since this would leave us with too small a time difference between intervention and outcome);
- Focus is on the 1-2 capabilities that are targeted most by CFAs in a particular country;
- Both the SPO and the CFA are targeting the same capability, and preferably aim for similar outcomes;
- Maximum one SPO per CFA per country will be included in the process tracing.

The intention was to focus on about 30-50% of the SPOs involved. Please see the tables below for a selection of SPOs per country. Per country, a first table shows the extent to which a CFA targets the five capabilities, which is used to select the capabilities to focus on. A second table presents which SPO is selected, and takes into consideration the selection criteria as mentioned above.

ETHIOPIA

For Ethiopia the capabilities that are mostly targeted by CFAs are the capability to act and commit and the capability to adapt and self-renew. See also the table below.

Table 1

The extent to which the Dutch NGO explicitly targets the following capabilities – Ethiopia

Capability to:	AMREF	CARE	ECFA	FSCE	HOA-REC	HUNDEE	NVEA	OSRA	TTCA
Act and commit	5	4	5	5	5	3	4	4	3
Deliver on development objectives	2	1	1	1	2	1	1	2	1
Adapt and self-renew	4	2	3	4	2	5	3	3	3
Relate	3	1	2	2	3	2	1	3	1
Achieve coherence	2	2	1	1	1	1	1	1	1

Note: Number 1 stands for not targeted, 5 for intensively targeted. These scores are relative scores for the interventions by the CFA to strengthen the capacity of the SPO. The scores are relative to each other, a higher score means that this capability gets more attention by the CFA compared to other capabilities.

Source: country baseline report, Ethiopia.

Below you can see the table describing when the contract with the SPO is to be ended, and whether both SPO and the CFA expect to focus on these two selected capabilities (with MFS II funding). Based on the above-mentioned selection criteria the following SPOs are selected for process tracing: AMREF, ECFA, FSCE, HUNDEE. In fact, six SPOs would be suitable for process tracing. We just selected the first one per CFA following the criteria of not including more than one SPO per CFA for process tracing

Table 2

SPOs selected for process tracing – Ethiopia

Ethiopia – SPOs	End of contract	Focus on capability to act and commit– by SPO	Focus on capability to act and commit – by CFA	Focus on capability to adapt and self-renew –by SPO	Focus on capability to adapt and self-renew – by CFA	CFA	Selected for process tracing
AMREF	Dec 2015	Yes	Yes	Yes	Yes	AMREF NL	Yes
CARE	Dec 31, 2015	Partly	Yes	Yes	Yes – slightly	CARE Netherlands	No - not fully matching
ECFA	Jan 2015	Yes	Yes	Yes	Yes	Child Helpline International	Yes
FSCE	Dec 2015	Yes	Yes	Yes	Yes	Stichting Kinderpostzegels Netherlands (SKN); Note: no info from Defence for Children – ECPAT Netherlands	Yes
HOA-REC	Sustainable Energy project (ICCO Alliance): 2014 Innovative WASH (WASH Alliance): Dec 2015	Yes	Yes	Yes	Yes - slightly	ICCO	No - not fully matching
HUNDEE	Dec 2014	Yes	Yes	Yes	Yes	ICCO & IICD	Yes
NVEA	Dec 2015 (both)	Yes	Yes	Yes	Yes	Edukans Foundation (under two consortia); Stichting Kinderpostzegels Netherlands (SKN)	Suitable but SKN already involved for process tracing FSCE
OSRA	C4C Alliance project (farmers marketing): December 2014 ICCO Alliance project (zero grazing: 2014 (2nd phase)	Yes	Yes	Yes	Yes	ICCO & IICD	Suitable but ICCO & IICD already involved for process tracing - HUNDEE
TTCA	June 2015	Partly	Yes	No	Yes	Edukans Foundation	No - not fully matching

INDIA

For India the capability that is mostly targeted by CFAs is the capability to act and commit. The next one in line is the capability to adapt and self-renew. See also the table below in which a higher score means that the specific capability is more intensively targeted.

Table 3

The extent to which the Dutch NGO explicitly targets the following capabilities – India[8]

Capability to:	BVHA	COUNT	DRISTI	FFID	Jana Vikas	Samarthak Samiti	SMILE	SDS	VTRC
Act and commit	5	3	4	4	4	4	4	3	5
Deliver on development objectives	1	5	1	1	1	1	1	2	1
Adapt and self-renew	2	2	1	3	1	1	4	1	4
Relate	3	1	1	1	1	1	2	1	2
Achieve coherence	1	1	1	4	1	1	1	1	2

Note: Number 1 stands for not targeted, 5 for intensively targeted. These scores are relative scores for the interventions by the CFA to strengthen the capacity of the SPO. The scores are relative to each other, a higher score means that this capability gets more attention by the CFA compared to other capabilities.

Source: country baseline report, India.

Below you can see a table describing when the contract with the SPO is to be ended and whether SPO and the CFA both expect to focus on these two selected capabilities (with MFS II funding). Based on the above-mentioned selection criteria the following SPOs are selected for process tracing: BVHA, COUNT, FFID, SMILE and VTRC. Except for SMILE (capability to act and commit only), for the other SPOs the focus for process tracing can be on the capability to act and commit and on the capability to adapt and self-renew.

Table 4

SPOs selected for process tracing – India

India – SPOs	End of contract	Focus on capability to act and commit– by SPO	Focus on capability to act and commit – by CFA	Focus on capability to adapt and self-renew –by SPO	Focus on capability to adapt and self-renew – by CFA	CFA	Selected for process tracing
BVHA	2014	Yes	Yes	Yes	Yes	Simavi	Yes; both capabilities
COUNT	2015	Yes	Yes	Yes	Yes	Woord en Daad	Yes; both capabilities
DRISTI	31-03-2012	Yes	Yes	No	no	Hivos	No - closed in 2012
FFID	30-09-2014	Yes	Yes	Yes	Yes	ICCO	Yes

[8] RGVN, NEDSF and Women's Rights Forum (WRF) could not be reached timely during the baseline due to security reasons. WRF could not be reached at all. Therefore these SPOs are not included in Table 1.

India – SPOs	End of contract	Focus on capability to act and commit– by SPO	Focus on capability to act and commit – by CFA	Focus on capability to adapt and self-renew –by SPO	Focus on capability to adapt and self-renew – by CFA	CFA	Selected for process tracing
Jana Vikas	2013	Yes	Yes	Yes	No	Cordaid	No - contract is and the by now; not fully matching focus
NEDSF							No – delayed baseline
RGVN							No - delayed baseline
Samarthak Samiti (SDS)	2013 possibly longer	Yes	Yes	Yes	No	Hivos	No - not certain of end date and not fully matching focus
Shivi Development Society (SDS)	Dec 2013 intention 2014	Yes	Yes	Yes	No	Cordaid	No - not fully matching focus
Smile	2015	Yes	Yes	Yes	Yes	Wilde Ganzen	Yes; first capability only
VTRC	2015	Yes	Yes	Yes	Yes	Stichting Red een Kind	Yes; both capabilities

INDONESIA

For Indonesia the capabilities that are most frequently targeted by CFAs are the capability to act and commit and the capability to adapt and self-renew. See also the table below.

Table 5

The extent to which the Dutch NGO explicitly targets the following capabilities – Indonesia

Capability to:	ASB	Daya kologi	ECPAT	GSS	Lem baga Kita	Pt. PPMA	Rifka Annisa	WIIP	Yad upa	Yayasan Kelola	YPI	YRBI
Act and commit	4	4	4	5	4	4	5	3	3	2	5	4
Deliver on development objectives	1	1	1	2	2	1	2	1	1	1	1	1
Adapt and self-renew	3	1	2	4	2	3	4	4	1	1	4	3
Relate	1	1	2	3	3	2	1	2	2	2	3	2
Achieve coherence	1	1	1	2	1	1	2	2	1	1	2	1

Note: Number 1 stands for not targeted, 5 for intensively targeted. These scores are relative scores for the interventions by the CFA to strengthen the capacity of the SPO. The scores are relative to each other, a higher score means that this capability gets more attention by the CFA compared to other capabilities.

Source: country baseline report, Indonesia.

The table below describes when the contract with the SPO is to be ended and whether both SPO and the CFA expect to focus on these two selected capabilities (MFS II funding). Based on the above-mentioned selection criteria the following SPOs are selected for process tracing: ASB, ECPAT, Pt.PPMA, YPI, YRBI.

Table 6

SPOs selected for process tracing – Indonesia

Indonesia – SPOs	End of contract	Focus on capability to act and commit– by SPO	Focus on capability to act and commit – by CFA	Focus on capability to adapt and self-renew – by SPO	Focus on capability to adapt and self-renew – by CFA	CFA	Selected for process tracing
ASB	February 2012; extension Feb,1, 2013 – June,30, 2016	Yes	Yes	Yes	Yes	Hivos	Yes
Dayakologi	2013; no extension	Yes	Yes	Yes	No	Cordaid	No: contract ended early and not matching enough
ECPAT	August 2013; Extension Dec 2014	Yes	Yes	Yes, a bit	Yes	Free Press Unlimited - Mensen met een Missie	Yes
GSS	31 December 2012; no extension	Yes	Yes	Yes, a bit	Yes	Free Press Unlimited - Mensen met een Missie	No: contract ended early
Lembaga Kita	31 December 2012; no extension	Yes	Yes	No	Yes	Free Press Unlimited - Mensen met een Missie	No - contract ended early
Pt.PPMA	May 2015	Yes	Yes	No	Yes	IUCN	Yes, capability to act and commit only
Rifka Annisa	Dec, 31 2015	No	Yes	No	Yes	Rutgers WPF	No - no match between expectations CFA and SPO
WIIP	Dec 2015	Yes	Not MFS II	Yes	Not MFS II	Red Cross	No - Capacity development interventions are not MFS II financed. Only some overhead is MFS II

Indonesia – SPOs	End of contract	Focus on capability to act and commit– by SPO	Focus on capability to act and commit – by CFA	Focus on capability to adapt and self-renew – by SPO	Focus on capability to adapt and self-renew – by CFA	CFA	Selected for process tracing
Yayasan Kelola	Dec 30, 2013; extension of contract being processed for two years (2014-2015)	Yes	Not really	Yes	Not really	Hivos	No - no specific capacity development interventions planned by Hivos
YPI	Dec 31, 2015	Yes	Yes	Yes	Yes	Rutgers WPF	Yes
YRBI	Oct, 30, 2013; YRBI end of contract from 31st Oct 2013 to 31st Dec 2013. Contract extension proposal is being proposed to MFS II, no decision yet.	Yes	Yes	Yes	Yes	ICCO	Yes
Yadupa	Under negotiation during baseline; new contract 2013 until now	Yes	Nothing committed	Yes	Nothing committed	IUCN	No, since nothing was committed by CFA

LIBERIA

For Liberia the situation is arbitrary which capabilities are targeted most CFA's. Whilst the capability to act and commit is targeted more often than the other capabilities, this is only so for two of the SPOs. The capability to adapt and self-renew and the capability to relate are almost equally targeted for the five SPOs, be it not intensively. Since the capability to act and commit and the capability to adapt and self-renew are the most targeted capabilities in Ethiopia, India and Indonesia, we choose to focus on these two capabilities for Liberia as well. This would help the synthesis team in the further analysis of these capabilities related to process tracing. See also the table below.

Table 7

The extent to which the Dutch NGO explicitly targets the following capabilities – Liberia

Capability to:	BSC	DEN-L	NAWOCOL	REFOUND	RHRAP
Act and commit	5	1	1	1	3
Deliver on development objectives	3	1	1	1	1
Adapt and self-renew	2	2	2	2	2
Relate	1	2	2	2	2
Achieve coherence	1	1	1	1	1

Note: Number 1 stands for not targeted, 5 for intensively targeted. These scores are relative scores for the interventions by the CFA to strengthen the capacity of the SPO. The scores are relative to each other, a higher score means that this capability gets more attention by the CFA compared to other capabilities.

Source: country baseline report, Liberia.

Below you can see the table describing when the contract with the SPO is to be ended, and whether both SPO and the CFA expect to focus on these two selected capabilities (with MFS II funding). Also, for two of the five SPOs capability to act and commit is targeted more intensively compared to the other capabilities. Based on the above-mentioned selection criteria the following SPOs are selected for process tracing: BSC and RHRAP.

Table 8

SPOs selected for process tracing – Liberia

Liberia – SPOs	End of contract	Focus on capability to act and commit– by SPO	Focus on capability to act and commit – by CFA	Focus on capability to adapt and self-renew – by SPO	Focus on capability to adapt and self-renew – by CFA	CFA	Selected for process tracing
BSC	Dec 31, 2015	Yes	Yes	Yes	Yes	SPARK	Yes
DEN-L	2014	No	No	Unknown	A little	ICCO	No – not matching enough
NAWOCOL	2014	Yes	No	No	A little	ICCO	No – not matching enough
REFOUND	At least until 2013 (2015?)	Yes	No	Yes	A little	ICCO	No – not matching enough
RHRAP	At least until 2013 (2014?)	Yes	Yes	Yes	Yes	ICCO	Yes

Key steps in process tracing for the 5C study

In the box below you will find the key steps developed for the 5C process tracing methodology. These steps will be further explained here. Only key staff of the SPO is involved in this process: management; programme/ project staff; and monitoring and evaluation staff, and other staff that could provide information relevant to the identified outcome area/key organisational capacity change. Those SPOs selected for process tracing had a separate endline workshop, in addition to the ' general endline workshop. This workshop was carried out after the initial endline workshop and the interviews during the field visit to the SPO. Where possible, the general and process tracing endline workshop have been held consecutively, but where possible these workshops were held at different points in time, due to the complex design of the process. Below the detailed steps for the purpose of process tracing are further explained.

Key steps in process tracing for the 5C study

1. Identify the planned MFS II supported capacity development interventions within the selected capabilities (capability to act and commit and capability to adapt and self-renew) – CDI team
2. Identify the implemented MFS II supported capacity development interventions within the selected capabilities (capability to act and commit and capability to adapt and self-renew) – CDI team
3. Identify initial changes/ outcome areas in these two capabilities – CDI team & in-country team
4. Construct the detailed, initial causal map (theoretical model of change) – CDI team & in-country team
5. Identify types of evidence needed to verify or discard different causal relationships in the model of change – in-country teams, with support from CDI team
6. Collect data to verify or discard causal mechanisms and construct workshop based, detailed causal map (model of change) – in-country team
7. Assess the quality of data and analyse data and develop final detailed causal map (model of change) – in-country team with CDI team
8. Analyse and conclude on findings– CDI team, in collaboration with in-country team

Some definitions of the terminology used for this MFS II 5c evaluation

Based upon the different interpretations and connotations the use of the term causal mechanism we use the following terminology for the remainder of this paper:

A detailed causal map (or model of change) = the representation of all possible explanations – causal pathways for a change/ outcome. These pathways are that of the intervention, rival pathways and pathways that combine parts of the intervention pathway with that of others. This also depicts the reciprocity of various events influencing each other and impacting the overall change.

A causal mechanism = is the combination of parts that ultimately explains an outcome. Each part of the mechanism is an individually insufficient but necessary factor in a whole mechanism, which together produce the outcome (Beach and Pedersen, 2013, p. 176).

Part or cause = one actor with its attributes carrying out activities/ producing outputs that lead to change in other parts. The final part or cause is the change/ outcome.

Attributes of the actor = specificities of the actor that increase his chance to introduce change or not such as its position in its institutional environment.

*Step 1. Identify the **planned MFS II supported capacity development interventions** within the selected capabilities (capability to act and commit and capability to adapt and self-renew) – CDI team*

Chapter 4.1 and 4.2 in the baseline report were reviewed. Capacity development interventions as planned by the CFA for the capability to act and commit and for the capability to adapt and self-renew were described and details inserted in the summary format. This provided an overview of the capacity development activities that were originally planned by the CFA for these two capabilities and assisted in focusing on relevant outcomes that are possibly related to the planned interventions.

*Step 2. Identify the **implemented capacity development interventions** within the selected capabilities (capability to act and commit and capability to adapt and self-renew) – CDI team*

The input from the CFA was reviewed in terms of what capacity development interventions have taken place in the MFS II period. This information was be found in the 'Support to capacity development sheet - endline - CFA perspective' for the SPO, based on details provided by the CFA and further discussed during an interview by the CDI team.

The CFA was asked to describe all the MFS II supported capacity development interventions of the SPO that took place during the period 2011 up to now. The CDI team reviewed this information, not only the interventions but also the observed changes as well as the expected long-term changes, and

then linked these interventions to relevant outcomes in one of the capabilities (capability to act and commit; and capability to adapt and self-renew).

*Step 3. Identify **initial changes/ outcome areas** in these two capabilities – by CDI team & in-country team*

The CDI team was responsible for coding documents received from SPO and CFA in NVivo on the following:

- 5C Indicators: this was to identify the changes that took place between baseline and endline. This information was coded in Nvivo.
- Information related to the capacity development interventions implemented by the CFA (with MFS II funding) (see also Step 2) to strengthen the capacity of the SPO. For example, the training on financial management of the SPO staff could be related to any information on financial management of the SPO. This information was coded in Nvivo.

In addition, the response by the CFA to the changes in 5C indicators format, was auto-coded.

The in-country team was responsible for timely collection of information from the SPO (before the fieldwork starts). This set of information dealt with:

- MFS II supported capacity development interventions during the MFS II period (2011 until now).
- Overview of all trainings provided in relation to a particular outcome areas/organisational capacity change since the baseline.
- For each of the identified MFS II supported trainings, training questionnaires have been developed to assess these trainings in terms of the participants, interests, knowledge and skills gained, behaviour change and changes in the organisation (based on Kirkpatrick's model), one format for training participants and one for their managers. These training questionnaires were sent prior to the field visit.
- Changes expected by SPO on a long-term basis ('Support to capacity development sheet - endline - SPO perspective').

For the selection of change/ outcome areas the following criteria were important:

- The change/ outcome area is in one of the two capabilities selected for process tracing: capability to act and commit or the capability to adapt and self-renew. This was the first criteria to select upon.
- There was a likely link between the key organisational capacity change/ outcome area and the MFS II supported capacity development interventions. This also was an important criteria. This would need to be demonstrated through one or more of the following situations:
  - In the 2012 theory of change on organisational capacity development of the SPO a link was indicated between the outcome area and MFS II support;
  - During the baseline the CFA indicated a link between the planned MFS II support to organisational development and the expected short-term or long-term results in one of the selected capabilities;
  - During the endline the CFA indicated a link between the implemented MFS II capacity development interventions and observed short-term changes and expected long-term changes in the organisational capacity of the SPO in one of the selected capabilities;
  - During the endline the SPO indicated a link between the implemented MFS II capacity development interventions and observed short-term changes and expected long-term changes in the organisational capacity of the SPO in one of the selected capabilities.

Reviewing the information obtained as described in Step 1, 2, and 3 provided the basis for selecting key organisational capacity change/ outcome areas to focus on for process tracing. These areas were to be formulated as broader outcome areas, such as 'improved financial management', 'improved monitoring and evaluation' or 'improved staff competencies'.

Note: the outcome areas were to be formulated as intermediates changes. For example: an improved monitoring and evaluation system, or enhanced knowledge and skills to educate the target group on

climate change. Key outcome areas were also verified - based on document review as well as discussions with the SPO during the endline.

*Step 4. Construct the **detailed, initial causal map** (theoretical model of change) – CDI & in-country team*

A detailed initial causal map was developed by the CDI team, in collaboration with the in-country team. This was based on document review, including information provided by the CFA and SPO on MFS II supported capacity development interventions and their immediate and long-term objectives as well as observed changes. Also, the training questionnaires were reviewed before developing the initial causal map. This detailed initial causal map was to be provided by the CDI team with a visual and related narrative with related references. This initial causal map served as a reference point for further reflection with the SPO during the process tracing endline workshop, where relationships needed to be verified or new relationships established so that the second (workshop-based), detailed causal map could be developed, after which further verification was needed to come up with the final, concluding detailed causal map.

It's important to note that organisational change area/ outcome areas could be both positive and negative.

For each of the selected outcomes the team needed to make explicit the theoretical model of change. This meant finding out about the range of different actors, factors, actions, and events etc. that have contributed to a particular outcome in terms of organisational capacity of the SPO.

A model of change of good quality includes:

- The causal pathways that relate the intervention to the realised change/ outcome;
- Rival explanations for the same change/ outcome;
- Assumptions that clarify relations between different components or parts;
- Case specific and/or context specific factors or risks that might influence the causal pathway, such as for instance the socio-cultural-economic context, or a natural disaster;
- Specific attributes of the actors e.g. CFA and other funders.

A model of change (within the 5C study called a 'detailed causal map') is a complex system which produces intermediate and long-term outcomes by the interaction of other parts. It consists of parts or causes that often consist of one actor with its attributes that is implementing activities leading to change in other parts (Beach & Pedersen, 2013). A helpful way of constructing the model of change is to think in terms of actors carrying out activities that lead to other actors changing their behaviour. The model of change can be explained as a range of activities carried out by different *actors* (including the CFA and SPO under evaluation) that will ultimately lead to an outcome. Besides this, there are also '*structural*' elements, which are to be interpreted as external factors (such as economic conjuncture); and *attributes* of the actor (does the actor have the legitimacy to ask for change or not, what is its position in the sector) that should be looked at (Beach & Pedersen, 2013). In fact Beach and Pedersen, make a fine point about the subjectivity of the actor in a dynamic context. This means, in qualitative methodologies, capturing the changes in the actor, acted upon area or person/organisation, in a non sequential and non temporal format. Things which were done recently could have corrected behavioural outcomes of an organisation and at the same ime there could be processes which incrementally pushed for the same change over a period of time. Beach and Pedersen espouse this methodology because it captures change in a dynamic fashion as against the methodology of logical framework. For the MFS II evaluation it was important to make a distinction between those paths in the model of change that are the result of MFS II and rival pathways.
The construction of the model of change started with the identified key organisational capacity change/ outcome, followed by an inventory of all possible subcomponents that possibly have caused the change/ outcome in the MFS II period (2011-up to now, or since the baseline). The figure below presents an imaginary example of a model of change. The different colours indicate the different types of support to capacity development of the SPO by different actors, thereby indicating different pathways of change, leading to the key changes/ outcomes in terms of capacity development (which in this case indicates the ability to adapt and self-renew).

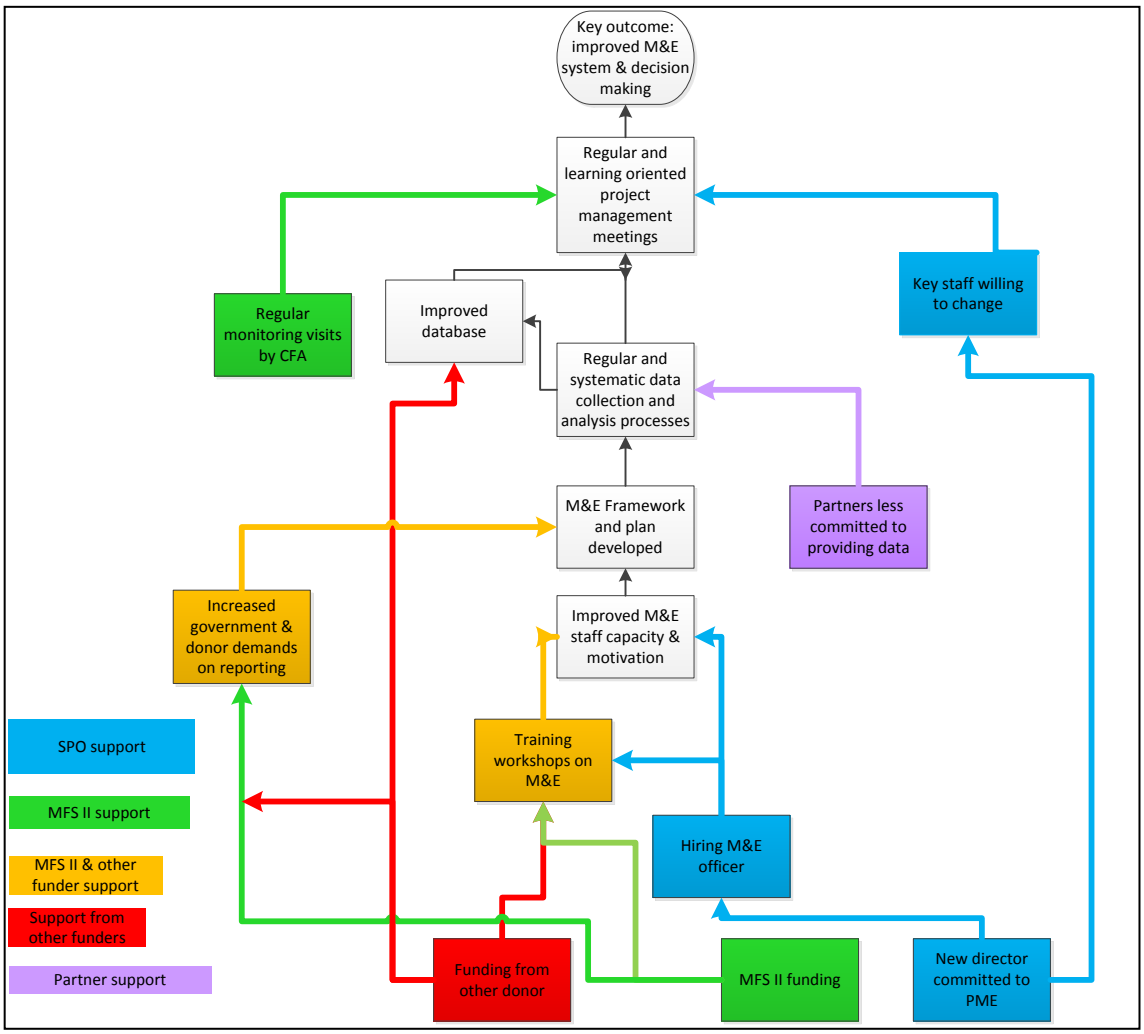


Figure 1 *An imaginary example of a model of change*

Step 5. Identify ***types of evidence*** *needed to verify or discard different causal relationships in the model of change – in-country teams with support from CDI team*

Once the causal mechanism at theoretical level were defined, empirical evidence was collected so as to verify or discard the different parts of this theoretical model of change, confirm or reject whether subcomponents have taken place, and to find evidence that confirm or reject the causal relations between the subcomponents.

A key question that we needed to ask ourselves was, *"What information do we need in order to confirm or reject that one subcomponent leads to another, that X causes Y?"*. The evaluation team needed to agree on what information was needed that provides empirical manifestations for each part of the model of change.

There are four distinguishable types of evidence that are relevant in process tracing analysis: *pattern, sequence, trace, and account*. Please see the box below for descriptions of these types of evidence.

The evaluation team needed to agree on the types of evidence that was needed to verify or discard the manifestation of a particular part of the causal mechanism. Each one or a combination of these different types of evidence could be used to confirm or reject the different parts of the model of change. This is what is meant by robustness of evidence gathering. Since causality as a concept can bend in many ways, our methodology, provides a near scientific model for accepting and rejecting a particular type of evidence, ignoring its face value.

Types of evidence to be used in process tracing

Pattern evidence relates to predictions of statistical patterns in the evidence. For example, in testing a mechanism of racial discrimination in a case dealing with employment, statistical patterns of employment would be relevant for testing this part of the mechanism.

Sequence evidence deals with the temporal and spatial chronology of events predicted by a hypothesised causal mechanism. For example, a test of the hypothesis could involve expectations of the timing of events where we might predict that if the hypothesis is valid, we should see that the event B took place after event A took place. However, if we found that event B took place before event A took place, the test would suggest that our confidence in the validity of this part of the mechanism should be reduced (disconfirmation/ falsification).

Trace evidence is evidence whose mere existence provides proof that a part of a hypothesised mechanism exists. For example, the existence of the minutes of a meeting, if authentic ones, provide strong proof that the meeting took place.

Account evidence deals with the content of empirical material, such as meeting minutes that detail what was discussed or an oral account of what took place in the meeting.

Source: Beach and Pedersen, 2013

Below you can find a table that provides guidelines on what to look for when identifying types of evidence that can confirm or reject causal relationships between different parts/ subcomponents of the model of change. It also provides one example of a part of a causal pathway and what type of information to look for.

Table 9

Format for identifying types of evidence for different causal relationships in the model of change (example included)

Part of the model of change	Key questions	Type of evidence needed	Source of information
Describe relationship between the subcomponents of the model of change	Describe questions you would like to answer a so as to find out whether the components in the relationship took place, when they took place, who was involved, and whether they are related	Describe the information that we need in order to answer these questions. Which type of evidence can we use in order to reject or confirm that subcomponent X causes subcomponent Y? Can we find this information by means of : Pattern evidence; Sequence evidence; Trace evidence; Account evidence?	Describe where you can find this information
Example: Training workshops on M&E provided by MFS II funding and other sources of funding	Example: What type of training workshops on M&E took place? Who was trained? When did the training take place? Who funded the training? Was the funding of training provided before the training took place? How much money was available for the training?	Example: Trace evidence: on types of training delivered, who was trained, when the training took place, budget for the training Sequence evidence on timing of funding and timing of training Content evidence: what the training was about	Example: Training report SPO Progress reports interviews with the CFA and SPO staff Financial reports SPO and CFA

Please note that for practical reasons, the 5C evaluation team decided that it was easier to integrate the specific questions in the narrative of the initial causal map. These questions would need to be addressed by the in country team during the process tracing workshop so as to discover, verify or discard particular causal mechanisms in the detailed, initial causal map. Different types of evidence was asked for in these questions.

Step 6. ***Collect data*** *to verify or discard causal mechanisms and develop workshop-based, detailed causal map – in-country team*

Once it was decided by the in-country and CDI evaluation teams what information was to be collected during the interaction with the SPO, data collection took place. The initial causal maps served as a basis for discussions during the endline workshop with a particular focus on process tracing for the identified organisational capacity changes. But it was considered to be very important to understand from the perspective of the SPO how they understood the identified key organisational capacity change/outcome area has come about. A new detailed, workshop-based causal map was developed that included the information provided by SPO staff as well as based on initial document review as described in the initial detailed causal map. This information was further analysed and verified with other relevant information so as to develop a final causal map, which is described in the next step.

Step 7. ***Assess the quality*** *of data and* ***analyse data****, and develop the* ***final detailed causal map*** *(model of change) – in-country team and CDI team*

Quality assurance of the data collected and the evidence it provides for rejecting or confirming parts of causal explanations are a major concern for many authors specialised in contribution analysis and process-tracing. Stern et al. (2012), Beach and Pedersen (2013), Lemire, Nielsen and Dybdal (2012), Mayne (2012) and Delahais and Toulemonde (2012) all emphasise the need to make attribution/ contribution claims that are based on pieces of evidence that are rigorous, traceable, and credible. These pieces of evidence should be as explicit as possible in proving that *subcomponent X causes subcomponent Y* and ruling out other explanations. Several tools are proposed to check the nature and the quality of data needed. One option is, Delahais and Toulemonde's Evidence Analysis Database, which we have adapted for our purpose.

Delahais and Toulemonde (2012) propose an Evidence Analysis Database that takes into consideration three criteria:

Confirming/ rejecting a causal relation (yes/no);
Type of causal mechanism: intended contribution/ other contribution/ condition leading to intended contribution/ intended condition to other contribution/ feedback loop;
Strength of evidence: strong/ rather strong/ rather weak/ weak.

We have adapted their criteria to our purpose. The in-country team, in collaboration with the CDI team, used the criteria in assessing whether causal relationships in the causal map, were strong enough. This has been more of an iterative process trying to find additional evidence for the established relationships through additional document review or contacting the CFA and SPO as well as getting their feedback on the final detailed causal map that was established. Whilst the form below has not been used exactly in the manner depicted, it has been used indirectly when trying to validate the information in the detailed causal map. After that, the final detailed causal map is established both as a visual as well as a narrative, with related references for the established causal relations.

Example format for the adapted evidence analysis database (example included) **Description of causal relation**	**Confirming/ rejecting a causal relation (yes/no)**	**Type of information providing the background to the confirmation or rejection of the causal relation**	**Strength of evidence: strong/ rather strong/ rather weak/ weak**	**Explanation for why the evidence is (rather) strong or (rather) weak, and therefore the causal relation is confirmed/ rejected**
e.g. Training staff in M&E leads to enhanced M&E knowledge, skills and practice	e.g. Confirmed	e.g. Training reports confirmed that staff are trained in M&E and that knowledge and skills increased as a result of the training		

Step 8. ***Analyse and conclude*** *on findings– in-country team and CDI team*

The final detailed causal map was described as a visual and narrative and this was then analysed in terms of the evaluation question two and evaluation question four: *"To what degree are the changes identified in partner capacity attributable to development interventions undertaken by the MFS II consortia (i.e. measuring effectiveness)?"* and *"What factors explain the findings drawn from the questions above?"* It was analysed to what extent the identified key organisational capacity change can be attributed to MFS II supported capacity development interventions as well as to other related factors, interventions and actors.

4. Explaining factors – evaluation question 4

This paragraph describes the data collection and analysis methodology for answering the fourth evaluation question: **"What factors explain the findings drawn from the questions above?"**

In order to explain the changes in organisational capacity development between baseline and endline (evaluation question 1) the CDI and in-country evaluation teams needed to review the indicators and how they have changed between baseline and endline and what reasons have been provided for this. This has been explained in the first section of this appendix. It has been difficult to find detailed explanations for changes in each of the separate 5c indicators, but the 'general causal map' has provided some ideas about some of the key underlying factors actors and interventions that influence the key organisational capacity changes, as perceived by the SPO staff.

For those SPOs that are selected for process tracing (evaluation question 2), more in-depth information was procured for the identified key organisational capacity changes and how MFS II supported capacity development interventions as well as other actors, factors and interventions have influenced these changes. This is integrated in the process of process tracing as described in the section above.

5. Methodological reflection

Below a few methodological reflections are made by the 5C evaluation team.

Use of the 5 core capabilities framework and qualitative approach: this has proven to a be very useful framework to assess organisational capacity. The five core capabilities provide a comprehensive picture of the capacity of an organisation. The capabilities are interlinked, which was also reflected in

the description of standard indicators, that have been developed for the purpose of this 5C evaluation and agreed upon for the eight countries. Using this framework with a mainly qualitative approach has provided rich information for the SPOs and CFAs, and many have indicated this was a useful learning exercise.

Using standard indicators and scores: using standard indicators is useful for comparison purposes. However, the information provided per indicator is very specific to the SPO and therefore makes comparison difficult. Whilst the description of indicators has been useful for the SPO and CFA, it is questionable to what extent indicators can be compared across SPOs since they need to be seen in context, for them to make meaning. In relation to this, one can say that scores that are provided for the indicators, are only relative and cannot show the richness of information as provided in the indicator description. Furthermore, it must be noted that organisations are continuously changing and scores are just a snapshot in time. There cannot be perfect score for this. In hindsight, having rubrics would have been more useful than scores.

General causal map: whilst this general causal map, which is based on key organisational capacity changes and related causes, as perceived by the SPO staff present at the endline workshop, has not been validated with other sources of information except SPO feedback, the 5C evaluation team considers this information important, since it provides the SPO story about how and which changes in the organisation since the baseline, are perceived as being important, and how these changes have come about. This will provide information additional to the information that has been validated when analysing and describing the indicators as well as the information provided through process tracing (selected SPOs). This has proven to be a learning experience for many SPOs.

Using process tracing for dealing with the attribution question: this theory-based and mainly qualitative approach has been chosen to deal with the attribution question, on how the organisational capacity changes in the organisations have come about and what the relationship is with MFS II supported capacity development interventions and other factors. This has proven to be a very useful process, that provided a lot of very rich information. Many SPOs and CFAs have already indicated that they appreciated the richness of information which provided a story about how identified organisational capacity changes have come about. Whilst this process was intensive for SPOs during the process tracing workshops, many appreciated this to be a learning process that provided useful information on how the organisation can further develop itself. For the evaluation team, this has also been an intensive and time-consuming process, but since it provided rich information in a learning process, the effort was worth it, if SPOs and CFAs find this process and findings useful.

A few remarks need to be made:

- Outcome explaining process tracing is used for this purpose, but has been adapted to the situation since the issues being looked at were very complex in nature.
- Difficulty of verifying each and every single change and causal relationship:
- Intensity of the process and problems with recall: often the process tracing workshop was done straight after the general endline workshop that has been done for all the SPOs.In some cases, the process tracing endline workshop has been done at a different point in time, which was better for staff involved in this process, since process tracing asks people to think back about changes and how these changes have come about. The word difficulties with recalling some of these changes and how they have come about. See also the next paragraph.
- Difficulty of assessing changes in knowledge and behaviour: training questionnaire is have been developed, based on Kirkpatrick's model and were specifically tailored to identify not only the interest but also the change in knowledge and skills, behaviour as well as organisational changes as a result of a particular training. The retention ability of individuals, irrespective of their position in the organisation, is often unstable. The 5C evaluation team experienced that it was difficult for people to recall specific trainings, and what they learned from those trainings. Often a change in knowledge, skills and behaviour is a result brought about by a combination of different factors , rather than being traceable to one particular event. The detailed causal maps that have been established, also clearly pointed this. There are many factors at play that make people change their behaviour, and this is not just dependent on training but also internal/personal (motivational) factors as well as factors within the organisation, that stimulate or hinder a person to change behaviour. Understanding how behaviour change works is important when trying to really understand the extent to which behaviour has changed as a

result of different factors, actors and interventions. Organisations change because people change and therefore understanding when and how these individuals change behaviour is crucial. Also attrition and change in key organisational positions can contribute considerably to the outcome.

Utilisation of the evaluation

The 5C evaluation team considers it important to also discuss issues around utility of this evaluation. We want to mention just a few.

Design – mainly externally driven and with a focus on accountability and standard indicators and approaches within a limited time frame, and limited budget: this MFS II evaluation is originally based on a design that has been decided by IOB (the independent evaluation office of the Dutch Ministry of Foreign Affairs) and to some extent MFS II organisations. The evaluators have had no influence on the overall design and sampling for the 5C study. In terms of learning, one may question whether the most useful cases have been selected in this sampling process. The focus was very much on a rigorous evaluation carried out by an independent evaluation team. Indicators had to be streamlined across countries. The 5C team was requested to collaborate with the other 5C country teams (Bangladesh, Congo, Pakistan, Uganda) to streamline the methodological approach across the eight sampled countries. Whilst this may have its purpose in terms of synthesising results, the 5C evaluation team has also experienced the difficulty of tailoring the approach to the specific SPOs. The overall evaluation has been mainly accountability driven and was less focused on enhancing learning for improvement. Furthermore, the timeframe has been very small to compare baseline information (2012) with endline information (2014). Changes in organisational capacity may take a long, particularly if they are related to behaviour change. Furthermore, there has been limited budget to carry out the 5C evaluation. For all the four countries (Ethiopia, India, Indonesia, Liberia) that the Centre for Development Innovation, Wageningen University and Research centre has been involved in, the budget has been overspent.

However, the 5C evaluation team has designed an endline process whereby engagement of staff, e.g. in a workshop process was considered important, not only due to the need to collect data, but also to generate learning in the organisation. Furthermore, having general causal maps and detailed causal maps generated by process tracing have provided rich information that many SPOs and CFAs have already appreciated as useful in terms of the findings as well as a learning process.

Another issue that must be mentioned is that additional requests have been added to the country teams during the process of implementation: developing a country based synthesis; questions on design, implementation, and reaching objectives of MFS II funded capacity development interventions, whilst these questions were not in line with the core evaluation questions for the 5C evaluation.

Complexity and inadequate coordination and communication: many actors, both in the Netherlands, as well as in the eight selected countries, have been involved in this evaluation and their roles and responsibilities, were often unclear. For example, 19 MFS II consortia, the internal reference group, the Ministry of Foreign Affairs, Partos, the Joint Evaluation Trust, NWO-Wotro, the evaluators (Netherlands and in-country), 2 external advisory committees, and the steering committee. Not to mention the SPO's and their related partners and consultants. CDI was involved in 4 countries with a total number of 38 SPOs and related CFAs. This complexity influenced communication and coordination, as well as the extent to which learning could take place. Furthermore, there was a distance between the evaluators and the CFAs, since the approach had to be synchronised across countries, and had to adhere to strict guidelines, which were mainly externally formulated and could not be negotiated or discussed for the purpose of tailoring and learning. Feedback on the final results and report had to be provided mainly in written form. In order to enhance utilisation, a final workshop at the SPO to discuss the findings and think through the use with more people than probably the one who reads the report, would have more impact on organisational learning and development. Furthermore, feedback with the CFAs has also not been institutionalised in the evaluation process in the form of learning events. And as mentioned above, the complexity of the evaluation with many actors involved did not enhance learning and thus utilization.

5C Endline process, and in particular thoroughness of process tracing often appreciated as learning process: The SPO perspective has also brought to light a new experience and technique of self-assessment and self-corrective measures for managers. Most SPOs whether part of process tracing or not, deeply appreciated the thoroughness of the methodology and its ability to capture details with robust connectivity. This is a matter of satisfaction and learning for both evaluators and SPOs. Having a process whereby SPO staff were very much engaged in the process of self-assessment and reflection has proven for many to be a learning experience for many, and therefore have enhanced utility of the 5C evaluation.

Appendix 2 Background information on the five core capabilities framework

The 5 capabilities (5C) framework was to be used as a framework for the evaluation of capacity development of Southern Partner Organisations (SPOs) of the MFS II consortia. The 5C framework is based on a five-year research program on 'Capacity, change and performance' that was carried out by the European Centre for Development Policy Management (ECDPM). The research included an extensive review of the literature and sixteen case studies. The 5C framework has also been applied in an IOB evaluation using 26 case studies in 14 countries, and in the baseline carried out per organisation by the MFS II organisations for the purpose of the monitoring protocol.

The 5C framework is structured to understand and analyse (changes in) the capacity of an organization to deliver (social) value to its constituents. This introduction briefly describes the 5C framework, mainly based on the most recent document on the 5C framework (Keijzer et al., 2011).

The 5C framework sees capacity as an **outcome** of an **open system**. An organisation or collaborative association (for instance a network) is seen as a system interacting with wider society. The most critical practical issue is to ensure that relevant stakeholders share a common way of thinking about capacity and its core constituents or capabilities. Decisive for an organisation's capacity is the context in which the organisation operates. This means that **understanding context issues** is crucial. The use of the 5C framework requires a multi-stakeholder approach because shared values and results orientation are important to facilitate the capacity development process. The 5C framework therefore needs to **accommodate the different visions** of stakeholders and conceive different strategies for raising capacity and improving performance in a given situation.

The 5C framework defines capacity as '**producing social value'** and identifies five core capabilities that together result in that overall capacity. Capacity, capabilities and competences are seen as follows:

Capacity is referred to as the overall ability of an organisation or system to create value for others;

Capabilities are the collective ability of a group or a system to do something either inside or outside the system. The collective ability involved may be technical, logistical, managerial or generative (i.e. the ability to earn legitimacy, to adapt, to create meaning, etc.);

Competencies are the energies, skills and abilities of individuals.

Fundamental to developing capacity are inputs such as human, material and financial resources, technology, and information. To the degree that they are developed and successfully integrated, capabilities contribute to the overall capacity or ability of an organisation or system to create value for others. A single capability is not sufficient to create capacity. All are needed and are strongly interrelated and overlapping. Thus, to achieve its development goals, the 5C framework says that every organisation or system must have **five basic capabilities:**

- The capability to act and commit;
- The capability to deliver on development objectives;
- The capability to adapt and self-renew;
- The capability to relate (to external stakeholders);
- The capability to achieve coherence.

In order to have a common framework for evaluation, the five capabilities have been reformulated in outcome domains and for each outcome domain performance indicators have been developed.

There is some overlap between the five core capabilities but together the five capabilities result in a certain level of capacity. Influencing one capability may have an effect on one or more of the other capabilities. In each situation, the level of any of the five capabilities will vary. Each capability can become stronger or weaker over time.

Appendix 3 Changes in organisational capacity of the SPO - 5C indicators

Below you will find a description for each of the indicators under each of the capabilities, what the situation is as assessed during the endline, how this has changed since the baseline and what are the reasons for change.

Capability to act and commit

Level of Effective Leadership

1.1.Responsive leadership: 'Leadership is responsive, inspiring, and sensitive'

This is about leadership within the organisation (operational, strategic). If there is a larger body then you may also want to refer to leadership at a higher level but not located at the local organisation.

There has been a slight improvement in the leader since the baseline. While the leader continues to be passionate, sensitive and guided by the Founder members as well as the board members, the leader has become more pragmatic and proactive especially towards strengthening COUNT's resource base. He is now focussing on strengthening networks and approaching new donors. The leader has also taken up several initiatives to develop self-help projects for sustainability of the organisation as well as trying to reduce costs of the existing programmes. The leader introduced "transferred kids programme" as an experiment in 2012, whereby children who were staying in hostels left the programme after COUNT told their parents about the phase-out strategy of Woord en Daad to prepare them. The openness of the organisation did not favour COUNT as the parents dropped their children from the programme and continued their education in their own areas. COUNT continued to give them financial support until they were dropped from the sponsorship support for the year. This programme did not yield the desired results but reflects the willingness to be creative and pro-active on the part of the leadership as well as his risk taking capability. The top leadership is open to change and is taking all efforts to manage change. He has been motivating the staff to undergo trainings and increase their capacities so that they not only perform better but also have better opportunities in the future. He has formed a management core group to advise and guide him and together they work strategically to achieve their goals. There is however still a need for strengthening the second line leadership. While the core group gives inputs and feedback on plans and strategies, none of the members can step into the shoes of the leader in case of need.

The phasing out of funding by Woord en Daad (W&D) by 2020 has triggered the need for COUNT to be self-dependent and this triggered the change in leader leadership style.

Score baseline: 4

Score endline: 4.5 (slight improvement)

1.2.Strategic guidance: 'Leaders provide appropriate strategic guidance (strategic leader and operational leader)'

This is about the extent to which the leader(s) provide strategic directions

There has been a slight improvement since the baseline for this indicator. The Board members are more involved in helping the leader to make important and strategic decisions based on the founding vision and mission. The Leader conducts frequent meetings to discuss operations and strategically plan to reach the programme objectives. He also ensures that internal monitoring systems have improved and the staff is always connected with him and with each other.

The leader continues to provide clear strategic directions to his programme staff and they can call him for any clarifications. Both the director and staff are all aware of the need for change and are motivated to work on it. Steps are taken to move into a direction of more self-support and sustainability in the long run. The director participated in leadership trainings and by being involved in organisational capacity and quality assessments this has all contributed to an improvement in terms of strategic guidance.

Score baseline: 3

Score endline: 3.5 (slight improvement)

1.3.Staff turnover: 'Staff turnover is relatively low'

This is about staff turnover.

Staff turnover continues to be low. The staff is dedicated and loyal to the leader as well as the organisation. The staff continues to remain committed to the organisation because of their internal calling and love for the ministry.

Score baseline: 5

Score endline: 5 (no change)

Level of realistic strategic planning

1.4.Organisational structure: 'Existence of clear organisational structure reflecting the objectives of the organisation'

Observable indicator: Staff have copy of org structure and understand this

There has been no change in the organisational structure since the baseline except for the fact that the leader has formed a management core group. The leader realised that in absence of mentoring support from W&D NL he would have to look for help and guidance within COUNT. In 2013, he formed a core group comprising of experienced members of the staff for participatory planning and decision making.

The staff at COUNT is aware of the organisational structure. Hard copies of the organogram (separate for Agape Homes and St. John’s High Schools for programme Education, Job and Income) were shared with the evaluation team during the baseline. The administrative manual which gives details of the administrative structure was also shared with the evaluation team during the endline.

Score baseline: 4

Score endline: 4 (no change)

1.5.Articulated strategies: 'Strategies are articulated and based on good situation analysis and adequate M&E'

Observable indicator: strategies are well articulated. Situation analysis and monitoring and evaluation are used to inform strategies.

In each of its programmes COUNT has articulated strategies that are based on good situational analysis and may be revised based on M&E findings. For its HIV/AIDS programme COUNT has identified, articulated and adopted certain strategies to achieve the long term goals. In this regard, the organisation developed outcomes and indicators and designed interventions. Programme participants are more or less clear on long-term goals; the programme has identified measurable indicators of success, and formulated actions to achieve goals.

Another example, from COUNT's education programme, is that the organisation based on the phase-out plan of W&D NL decided to take steps for the sustainability of this programme. In the period 2013-2014, W&D NL sponsors 604 children. The plan is to continue supporting 550 children through Churches, self-help projects and other local support after W&D NL gradually phases out in 2020. During the phase-out period, children who drop out of school will be supported by COUNT for one year with school books and stationary through COUNT's agriculture projects. They will also be encouraged to join the government school or hostel to continue their education. The plan was that each year COUNT would close down one or two homes in the different districts of Andhra Pradesh and focus on continuing the child care, whilst having the education programme only at the headquarters in Hyderabad. However, unexpectedly COUNT has had a large number of school dropouts in the last year. This led COUNT to reduce the number of children being phased out of the program.

For the TVET programme, the strategy of coping with W&D NL's phase-out plan includes letting students pay a small fee for the training and focus more on income generating activities, linked to the programme (e.g. repairing work and stitching school uniforms).

Score baseline: no information available

Score endline: 3

Level of translation of strategy into operations

1.6.Daily operations: 'Day-to-day operations are in line with strategic plans'

This is about the extent to which day-to-day operations are aligned with strategic plans.

COUNT continues to make annual plans for all programmes separately. This was evident from the hard copies of the plan for the period 2011 to 2015, which was shared with the evaluation team. Objectives, planned results, activities, issues and approaches have been outlined in detail in the plan documents and continue to ensure that day to day operations are in line with the strategic plan. Sometimes there may be changes in the plan but these are due to circumstances that are beyond control. Further to this, there is support from the Regional coordinator, appointed by W&D NL, to develop annual plans strategically with a specific focus on sustainability. This was absent in the baseline. The improvement in the internal reporting systems, training of the staff and improvement in programme operations after the quality assessments conducted by the donor has further helped in aligning the day to day operations with the planning process.

Score baseline: 4

Score endline: 4.5 (slight improvement)

Level of Staff Capacity and Motivation

1.7.Staff skills: 'Staff have necessary skills to do their work'

This is about whether staff have the skills necessary to do their work and what skills they might they need.

Staff commitment to the organisation has not changed since the baseline. The leader has been motivating the staff to undergo trainings and increase their capacities so that they not only perform better but also have better opportunities in the future. Woord en Daad too has given capacity building trainings for further skill development: teacher training programme, training in spoken English, personality development, child psychology, child rights, and web based training for sponsorship department. Thus capable and skilled staff is available for most positions. There has been a slight improvement in the communication skills, but there continues to be a gap, which the organisation is striving hard to bridge. COUNT also needs further skills development among its staff in the area of technology. These two skills in turn, are to be imparted to the students in the current competitive environment in the job market.

Score baseline: 3

Score endline: 3.5 (slight improvement)

1.8.Training opportunities: 'Appropriate training opportunities are offered to staff'

This is about whether staff at the SPO are offered appropriate training opportunities

There has been a slight improvement in this indicator. In the baseline it was found that in the few training sessions that the staff was exposed to, the training was in English and since the training material provided to them was not in their mother tongue it became difficult for the staff to get the most out of the training. Some of these gaps were addressed in the last two years through the following:

- Even though training material is given in English, Telugu translation has been given on child protection policy and child rights;
- Basic spoken English training for the purpose of improving communication skills with the donors as well as for better report writing;
- Sponsorship programme conference in May 2013 in the Netherlands by W&D NL. The aim of the conference was to strengthen the sponsorship programme by improving communication with the donors using new methods and thereby improving accountability with the donors, to teach how to make personal development plans, to increase awareness of the changing global economic scenario and to train in WDCAP Adoption programme 2.0 version software for better reporting on the status of the children;
- Training of the house parents by adoption/sponsorship department to assist the children in writing innovative greeting letters, providing interesting information and taking pictures for a regular update of the children to the donors and for improving accountability;
- Training on WDCAP programme in October, 2013 by W&D, NL. This is software for tracking child information and enables COUNT to provide regular updates to the donor;
- In May 2014, COUNT organised a two-day seminar on “Caring Leadership” conducted by the Christian Institute of Counselling, Person to Person. The training focused on several issues, such as work ethics, commitment to their call, inter-personal relationships, stress and anger management, leadership, integrity and team work.

Trainings have been based on organisational level needs and are not based on individual capacity building plans or capacity assessments.

Score baseline: 2

Score endline: 2.5 (slight improvement)

1.9.1.Incentives: 'Appropriate incentives are in place to sustain staff motivation'

This is about what makes people want to work here. Incentives could be financial, freedom at work, training opportunities, etc.

There has been no change in the motivation levels of the staff. Most of the staff of COUNT came in as children from underprivileged families and grew up in the Agape homes. The staff are motivated by the vision and mission of COUNT. Also, they feel that by working for children they are fulfilling God's will. There is also a great degree of freedom at work. In spite of the social threat and low salaries they are working with devotion and modesty. However there is a slight improvement in terms of monetary incentives with annual increments, recognition of hard working staff and awarding them with special increments, rewarding the staff with special provisions like mobile phones, medical allowances for some etc. The staff is covered by accidental insurance and regular trainings, which add further to the motivation levels.

Score baseline: 4

Score endline: 4.5 (slight improvement)

Level of Financial Resource Security

1.9.2.Funding sources: 'Funding from multiple sources covering different time periods'

This is about how diversified the SPOs funding sources are over time, and how the level of funding is changing over time.

COUNT has been funded by W&D NL since 1991. For decades, COUNT had no need to look beyond its funding partner Woord en Daad to relate and attract resources – at least for its financial resources. This in turn, made the organisation an inward looking one and the only other relationship was with the local government and regulating authorities. However, with the phasing out of Woord en Daad and the changing donor environment, COUNT is now focussing on its financial sustainability. In the last two years there has been a slight improvement in the organisation's effort to ensure funding from multiple sources. It is doing so by approaching new donors on its own or through networks, self-help projects and by reducing costs of the existing programmes. Having said that, COUNT has started attracting funds from the Free Methodist Church, USA and it also continues to receive funds from Word & Deed Canada.

COUNT has also undertaken self-help projects such as utilising its land for agricultural and kitchen gardening purposes, cultivating their own crops and vegetables to support its interventions. Similarly, there is an ongoing dairy programme that meets institutional needs and generates resources for its interventions. COUNT has also set up schools (both English and non-English medium), a Vocational training College, a Bachelors of Education College for Teacher Training and a college for Masters of Computer Application (MCA (2006 and MBA started in 2009)). These colleges help generate resources from fees paid by non-COUNT students. In order to make the education programme more sustainable, COUNT has been motivating the parents of the children to pay a small amount in cash or kind towards the education programme annually according to their financial ability and partake in sharing responsibilities. The schools of COUNT in Secunderabad and Jala are also collecting a small amount of monthly tuition fee and transport fee from the children from surrounding villages. These amounts are being used towards the school maintenance and any other miscellaneous expenses. Some of the graduates from the higher education programme who have now found jobs are willing to contribute a small amount towards the education programme, at least for a few months. The programme also at times receives gifts in cash and kind from overseas guests, and other locals towards the education programme which will remain as a source of income. To further ensure sustainability of the Adoption/Education programme, a draft version of the sustainability plan is going to be developed for the years 2014-2020. In view of the gradual decrease in the number of children in the programme, COUNT aims to decrease the number of children in Agape homes and/or possibly close down one or two homes which are spread out in the districts of Andhra Pradesh. The profits from the agriculture projects will be used for students who are dropped out of school each year and they will be supported for one year with books, stationary and clothes and motivated to join government schools and hostels so that they will continue with their education.

Currently, COUNT is relying mostly on funding by Woord en Daad. The director realises that their donor base would reduce in due course of time and is thinking of reaching out to the corporate sector as well.

Score baseline: 2

Score endline: 2.5 (slight improvement)

1.9.3.Funding procedures: 'Clear procedures for exploring new funding opportunities'

This is about whether there are clear procedures for getting new funding and staff are aware of these procedures.

There has been a slight improvement in terms of funding procedures. The senior management is mainly involved in fundraising but there seems to be no written procedures for exploring new funding opportunities. However, the staff provides support in terms of showcasing COUNT's work which the senior management can use to approach donors. As an example the Sponsorship programme conference in May 2013 in the Netherlands by W&D NL. This conference aimed at strengthening the sponsorship programme by improving communication with the donors using new methods and thereby improving accountability with the donors. Furthermore, participants increased their awareness of the changing global economic scenario and were trained in WDCAP Adoption programme 2.0 version software[9] for better reporting on the status of the children to donors.

Donor mapping has been done and alumni have been identified. For a certain category of students the government gives scholarships and since COUNT works with scheduled tribes' students who are entitled to receive these scholarships COUNT tried to negotiate, and make applications to the government so that the students can access these entitlements.

Score baseline: 2

Score endline: 2.5 (slight improvement)

Summary of capability to act and commit

The phasing-out of funding by Woord en Daad (W&D) by 2020 has led to a variety of changes in COUNT's capability to act and commit. First of all, the leader has become more pragmatic and proactive in terms of strengthening COUNT's resource base: he is approaching new donors, strengthening networks and takes initiative to develop new income generating projects. Board members are now more involved in helping the leader make important strategic directions. Secondly, the phasing-out plan has led to more articulated strategies directed towards the sustainability of the different programmes of COUNT after W&D funding ends. Thirdly, there has been a slight improvement in ensuring funding from multiple sources. COUNT started receiving funds from the Free Methodist Church, USA, through the Director's and Founder Member's contacts with this church. COUNT also continues to receive funding from Word and Deed Canada and has started to focus more on generating income from self-help projects. There are still no written funding procedures in place and most of it is in the hands of senior management.

Staff turnover remains low as staff of COUNT is still dedicated and loyal to the organisation, whilst monetary incentives have increased (annual increments, recognition of hard working staff, mobile phones, and medical allowances). Furthermore, some of the gaps (e.g. language barrier) in training opportunities have been addressed. For most positions capable and skilled staff is available. However, there remains to be a slight gap in communication skills in English and technological skills needed to train the students. The organisational structure of COUNT has not changed, except for the fact that

9WDCAP is an online programme developed by W&D, Netherland to connect all its partners in a central server to store documents, generate and save reports. Each partner has been given independent user ID and password. They have to follow the browser link (www.wdcap.woordendaad.nl) and login on the given ID and password to access and upload documents. his can facilitate the partners to avoid loss of data.

the leader has formed a management core group to assist him in planning and decision making in absence of mentoring support from W&D. There is now support from the regional coordinator, appointed by W&D, to develop annual plans with a strategic focus on sustainability. Also the internal reporting system has improved which leads to better alignment between day-to-day operations and strategic plans.

Score baseline: 3.3

Score endline: 3.6 (very slight improvement)

Capability to adapt and self-renew

Level of effective application of M&E

2.1.M&E application: 'M&E is effectively applied to assess activities, outputs and outcomes'

This is about what the monitoring and evaluation of the SPO looks at, what type of information they get at and at what level (individual, project, organisational).

The systems of planning, monitoring and reporting exist in COUNT but the monitoring and evaluation is mostly restricted to the activity level. The staff still discusses problems they encounter in their day to day operations and decisions to overcome these problems are undertaken at the organisational level by the Director. There continues to be a need for COUNT to focus on results by linking activities to outputs and outcomes. This was found not only in the baseline but also in a mid-term evaluation of the ongoing Woord en Daad supported basic needs programme being implemented by COUNT in the last three years (2010-2013).

The evaluation revealed that the programme was able to establish a few monitoring mechanisms at the management level. For example, the use of an annual activity plan, monthly and annual questionnaires filled by pastors as well as the management's visit to the field. However, at the field level there were no proper monitoring mechanisms found and community engagement in planning and monitoring of the programme is low. The follow up of the monitoring at the community level by the pastors or the Change Agents was found not to be effective. Furthermore the lack of a baseline study makes it hard to measure changes in level of HIV/AIDS awareness. This all affects the ability to understand gaps and problems in the programme and limits the scope for improving consecutive plans. In the basic needs programme the organisation is currently focussed on 'activity achievement' rather than 'result achievement'.

The Education and TVET programme, both funded by W&D, have a results framework which outlines indicators on activity, output and outcome level, including instruments for measurement. A baseline was conducted in 2011 and in October 2013 an external consultant together with Help a Child of India conducted a second round of outcome studies. Being involved in these outcome studies together with the methodological guidance of W&D has helped COUNT in its ability to collect information on outcomes.

Score baseline: 3

Score endline: 3.5 (slight change)

2.2.M&E competencies: 'Individual competencies for performing M&E functions are in place'

This is about whether the SPO has a trained M&E person; whether other staff have basic understanding of M&E; and whether they know what information to collect, how to process the information, how to make use of the information so as to improve activities etc.

There is no trained M&E person in the staff. During the baseline, COUNT and Woord en Daad were looking into the option of hiring an external PME expert whose guidance could be shared across all partners supported by Woord en Daad but this proposal to hire an expert jointly with Word and Deed India did not materialise. Though there is no change in the individual competencies since the baseline their capacity to collect and reflect on outcome information has increased due to involvement in outcome study in 2013. COUNT is willing to collaborate with local consultants to help them do part of data collection and has received methodological guidance of W&D.

Score baseline: 2

Score endline: 2.5 (slight change)

Level of strategic use of M&E

2.3.M&E for future strategies: 'M&E is effectively applied to assess the effects of delivered products and services (outcomes) for future strategies'

This is about what type of information is used by the SPO to make decisions; whether the information comes from the monitoring and evaluation; and whether M&E info influences strategic planning.

There has been a slight improvement in terms of M&E for future strategies since the baseline. Generally, advice from M&E is followed and this influences strategic planning. The regional coordinator, appointed by W&D, provides feedback on the annual plans of COUNT and tries to make sure that learning from M&E is used in these plans. For example, a discussion on the outcome study on quality of education reveals that the reasons for lack of progress, and difference in the performance of the schools in two different locations were analysed and will be used for the next phase of the programme. However, in the Basic Needs programme a lack of proper field level monitoring mechanisms makes it hard to understand the actual achievements and problems in the programme which reduces scope for M&E to be used for improving plans and future strategies.

Score baseline: 3

Score endline: 3.5 (slight improvement)

Level of openness to strategic learning

2.4.Critical reflection: 'Management stimulates frequent critical reflection meetings that also deal with learning from mistakes'

This is about whether staff talk formally about what is happening in their programmes; and, if so, how regular these meetings are; and whether staff are comfortable raising issues that are problematic.

There has been a slight improvement in this indicator. Regular department-wise staff meetings take place to plan and implement programme objectives and share concerns. Most of these meetings are documented formally and shared with the Director. At the same time there continue to be informal meetings; where and whenever a staff member has a problem he/she can discuss it with the director and other colleagues. The Director is still always accessible to the staff and can be called even in the middle of the night in case of an emergency.

The minutes of such an internal reflection meeting were shared with the evaluation team. A discussion on the outcome study on the quality of education revealed that the reasons for lack of progress, and difference in the performance of the schools in two different locations were analysed.

Score baseline: 2

Score endline: 2.5 (slight improvement)

2.5. Freedom for ideas: 'Staff feel free to come up with ideas for implementation of objectives

This is about whether staff feel that ideas they bring for implementation of the programme are welcomed and used.

The staff is always encouraged to express their ideas and this motivates staff to share their views on implementation of objectives. During both the baseline and the endline workshops, the director encouraged the staff to express their views freely. The top management is open to change and makes all efforts to hear views, ideas, experiences, concerns and grievances of their staff. The staff has access to the management at all times. However, while some ideas and suggested changes are accepted others may not be considered due to others factors.

Score baseline: 4

Score endline: 4 (no change)

Level of context awareness

2.6.System for tracking environment: 'The organisation has a system for being in touch with general trends and developments in its operating environment'

This is about whether the SPO knows what is happening in its environment and whether it will affect the organisation.

There is a slight improvement in terms of having a system to track the environment. The director keeps track of all the issues that may affect the functioning of the organisation. He gets these updates from the board members, field staff and interstate coordinators who reflect views of the beneficiaries and through the organisation's networks. The leader has developed new networks for sharing and learning and keeps regular contact with like- minded organisations. W&D informs COUNT about the changing donor environment and attitude of the international community when it comes to the development sector in India. The organisation itself also ensures keeps abreast of the latest developments in the society and at State level. There is no formal system to track trends and developments in the environment.

Score baseline: 3

Score endline: 3.5 (slight improvement)

2.7.Stakeholder responsiveness: 'The organisation is open and responsive to their stakeholders and the general public'

This is about what mechanisms the SPO has to get input from its stakeholders, and what they do with that input.

Meetings are conducted to remain in touch with stakeholders: partners, poor children (through feedback from teachers and regular visits to children in schools) and local level leaders. COUNT tries to be more open to its stakeholders for example through involving parents and teachers in quality assessment of the education programme. The staff still has a list of persons from different organisations who can be contacted in times of need. However, an evaluation of the health programme of COUNT revealed that community participation and engagement has been found to be low in the planning and monitoring of the programme. The general community's knowledge about the entire programme is also low and it is very important for COUNT to understand their perspective and needs.

Score baseline: 3

Score endline: 3 (no change)

Summary of capability to adapt and self-renew

Though there has been some learning on collecting information on output and outcome level from being involved in outcome studies for the Education and TVET programme, the monitoring and evaluation of COUNT remains to be focussed on the activity level. Intentions to hire a PMEL expert jointly with Word and Deed India did not materialise. COUNT now receives methodological guidance from the regional coordinator, appointed by W&D, and is still willing to collaborate with local consultants. While COUNT has discussions about results of evaluations to inform future phases of the programme and receives support in this from the regional coordinator, lack of proper monitoring mechanisms and community engagement at the field level lead to gaps in understanding of the actual accomplishments of the programme and thus scope for M&E informing future strategies is limited. COUNT tries to be more open to its stakeholders for example through involving parents and teachers in quality assessment of the education programme. However, an evaluation of its health programme found that community participation has been found to be low in the planning and monitoring of the programme.

Though staff has access to management at all time to informally discuss ideas, problems and be heard, there are now also regular department-wise staff meetings which are documented formally to inform the Director. The changing donor environment has triggered a need to keep abreast about the latest developments in the society, at state level and in the international community, which COUNT does through its networks and through its main funder: W&D.

Score baseline: 2.8

Score endline: 3.2 (slight change)

Capability to deliver on development objectives

Extent to which organisation delivers on planned products and services

3.1.Clear operational plans: 'Organisation has clear operational plans for carrying out projects which all staff fully understand'

This is about whether each project has an operational work plan and budget, and whether staff use it in their day-to-day operations.

Since the baseline, there has been a slight deterioration in terms of having clear operational plans which all staff fully understand. On the one hand COUNT still has operational plans per project. All the activity level, plans are worked out with the staff so that they fully know what needs to be done. The Finance manager has the responsibility of making the operational budgets for different programmes. These budgets and plans are considered in day to day work and discussed upon weekly meetings that are held with Administrative Heads and Finance Heads.

But on the other hand, an evaluation of the basic needs programme by an external evaluator, focus-group discussions and interviews with the Change Agents (field level volunteers), revealed that they have no action plan and that this creates confusion about their roles and responsibilities. There is no clear planning of their field visits, awareness activities and knowledge dissemination. In this programme the planning is done through the Annual Plan and internal quarterly meetings amongst the management team of the programme.

Score baseline: 4

Score endline: 3.5 (slight deterioration)

3.2.Cost-effective resource use: 'Operations are based on cost-effective use of its resources'

This is about whether the SPO has the resources to do the work, and whether resources are used cost-effectively.

Sufficient resources are available for the staff to carry out their work in the office in terms of upgraded computer systems, printers, scanning machine, stationery and furniture. COUNT continues to work with the same discernment to remain cost effective and efficient as in the baseline. Resources are used cost effectively. With constant pressure on budgets, the organisation keeps looking at cost saving/ efficiency improving methods. However, this cost efficiency is not at the cost of the results. For example, wherever and whenever possible they try to use technology to cut down travel/postal expenses. They are remodelling old furniture according to the needs of the school. Each Agape home has its own sheets with monthly expenditures like food, salaries and stationary. It was found that each Agape home had a small positive closing balance at the end of September 2013. However due to inflation sometimes there is overspending as happened in the TVET programme. This was due to a price increase in petrol, diesel and food items.

Score baseline: 4

Score endline: 4 (no change)

3.3.Delivering planned outputs: 'Extent to which planned outputs are delivered'

This is about whether the SPO is able to carry out the operational plans.

Generally, the agreed plans are carried out and outputs are delivered. COUNT management ensures that this happens through regular follow up. Next to the project manager there are now coordinators for each of the projects whose responsibility is to manage and monitor the progress, ensure that outputs are delivered and report this to the management. They have regular monthly meetings with the director. The annual activity report tracks progress of the programmes and helps them to take further action.

The activity report for the Basic Needs programme shows that all of the planned targets for the annual indicators were reached for the period 2012 up to September 2013, e.g. number of people reached directly with preventive services. In de education programme, COUNT is on track for most of the planned outcome results and their indicators like reaching the target groups and teacher training. There are however, difficulties in involving parents in the school's activities through Parent Teacher Associations and contributions. Migration of parents to far-away places is one of the challenges that come in the way of better results. In the TVET programme there has been an improvement in the scorecard, most activities were realised. It is however hard to track students after they leave the programme to see where they end up working and set up alumni networks, because student migrate and change their phone numbers. COUNT is working on recommendations given after the score card outcome study was done for both the TVET and Education programme.

Score baseline: 4

Score endline: 4(no change)

Extent to which delivered products and services are relevant for target population in terms of the effect they have

3.4.Mechanisms for beneficiary needs: 'The organisation has mechanisms in place to verify that services meet beneficiary needs'

This is about how the SPO knows that their services are meeting beneficiary needs

There has been no change in terms of having mechanisms for beneficiary needs since the baseline. The link between COUNT and beneficiaries continues to be strong because of the church. The organisation is closely connected with the families and the beneficiaries through the pastor. Parents of the children in Agape homes are invited once every six months and asked for their comments and feedback. They have started an alumni association; students come back once a year and give feedback on how they are doing. The mid-term evaluation by ASK of the basic needs programme also is testimony to this. It revealed that COUNT's HIV / AIDS awareness programme has been able to address the needs of the tribal community in Andhra Pradesh. The need for HIV awareness has also been expressed in the Social Assessment Study commissioned for National Aids Control Programme (NACP) 3, where the tribal communities have been described as vulnerable due to various factors like their sexual networking patterns, migration, and inaccessibility to resources and poor penetration of media. Further, NACP 3 State Fact Sheet has categorized all the districts of AP in 'category A' (districts with high prevalence of HIV / AIDS). During the field visits evaluators of ASK came across incidences of stigma about HIV in the community and also observed poor infrastructure, medical and education facilities, little influence of the outside world in the tribal community. Existence of stigma and weak facilities in the community demands for more awareness on HIV and the COUNT programme thus stands relevant. Satisfaction questionnaires are being developed for students in the TVET programme and parents in the Education programme of COUNT.

Score baseline: 4

Score endline: 4 (no change)

Level of work efficiency

3.5.Monitoring efficiency: 'The organisation monitors its efficiency by linking outputs and related inputs (input-output ratios)'

This is about how the SPO knows they are efficient or not in their work.

There has been no change in terms of monitoring efficiency since the baseline. A Quality Check is carried out in the TVET and education programme, largely through monthly reviews. Progress reports and school records are studied by the programme staff to see if their work is benefitting the students. COUNT also takes into account the teachers' feedback. Quality checks that link input to outputs are not carried out in a structured way.

Score baseline: 3

Score endline: 3 (no change)

3.6.Balancing quality-efficiency: 'The organisation aims at balancing efficiency requirements with the quality of its work'

This is about how the SPO ensures quality work with the resources available

There has been no change in terms of balancing quality with efficiency since the baseline. COUNT aims to provide good quality services, making maximum use of available funds by finding competitive prices to reduce cost. Monthly reviews assist in assuring this. Quality check is carried out in TVET and the education programme. COUNT is a learning organisation and is trying to make improvements by using the outcomes in their strategic annual plans. They have taken several actions to review the bottle necks in their programmes and taken steps to improve further the quality of their implementation. There is no formal system of balancing quality with efficiency and inflation sometimes leads to minor overspending in the programmes.

Score baseline: 3

Score endline: 3 (no change)

Summary of capability to deliver on development objectives

COUNT still has operational plans per project. All the activity level, plans are worked out with the staff so that they fully know what needs to be done. However, in the Basic Needs programme there exists some confusion among volunteer Change Agents about their responsibilities as there is no action plan developed for them. Staff still has access to the technological and material resources they need to carry out their work. Resources are used cost effectively, for example by using technology to cut down on travel and postal expenses. Sometimes inflation leads to minor overspending. All programmes now have a coordinator that is responsible for monitoring and reporting back to the project manager. Generally planned outputs are being delivered and COUNT works on implementing recommendations after the score card outcome studies for the TVET and Education programmes. Programme staff study progress report results to check whether their work benefits the beneficiaries. Quality checks that link input to outputs are not carried out in a structured way nor is there a formal system of balancing quality with efficiency, but COUNT is a learning organisation that uses recommendations from outcome studies in their strategic annual plans.

There continues to be a strong link between COUNT and its beneficiaries because of the Church and programmes seem to be relevant for the community COUNT serves. The organisation is working on formalising feedback from students and parents through satisfaction forms.

Score baseline: 3.7

Score endline: 3.6 (no change)

Capability to relate

Level of involving external parties in internal policy/strategy development

4.1.Stakeholder engagement in policies and strategies: 'The organisation maintains relations/ collaboration/alliances with its stakeholders for the benefit of the organisation'

This is about whether the SPO engages external groups in developing their policies and strategies, and how.

There has been a slight improvement in terms of engaging stakeholders in policies and strategies. While COUNT continues to maintain relations with the community through interaction with the Pastor and parents of children in Agape homes, they are not directly engaged in developing policies and strategies. Nine regional coordinators have been appointed specifically to address the needs of the people in the interior tribal regions, helping them primarily to raise awareness and gain access to government schemes. Also opinions and inputs are taken with the active participation of stakeholders like parents, local leaders and elders for any new project. For the TVET project there is a network with other W&D partners, with meetings twice a year. COUNT is also influenced by other partners with

good policies and practices. There are also informal meetings with local bodies as well with the Integrated Tribal Development Agency (ITDA). Associations and like- faith based organisations are consulted when the need arises. Projects are discussed with the Board and the donors. COUNT is a member of the Health Bridge Alliance and VIVA network. VIVA is an international organisation that works to bring sustainable change in the lives of children by strengthening and building capacities of networks in specific organisational development areas. COUNT received the VIVA quality mark certificate from Viva in April 2013.

Score baseline: 3

Score endline: 3.5 (slight improvement)

Level of engagement of organisation in networks, alliances and collaborative efforts

4.2.Engagement in networks: 'Extent to which the organisation has relationships with existing networks/alliances/partnerships'

This is about what networks/alliances/partnerships the SPO engages with and why; with they are local or international; and what they do together, and how do they do it.

In light of the changing donor environment, COUNT has, over the last two years COUNT focussed on strengthening its networks. COUNT's programmes require it to maintain good relationships with like–minded networks and alliances. COUNT continues to be connected to local bodies like Rural Development Trust (RDT); IKP Knowledge Park; District rural development agency (DRDA) and Integrated Tribal Development Agency (ITDA).

In its Basic Needs programme COUNT works together with its sister organisation Agape Fellowship (AF) and the activities on HIV/Aids awareness and prevention are implemented by AF Church. COUNT also has linkages with other Ministries like the Global Gospel Ministry (GGM) and REACH to be able to reach out to non-Agape Church communities. COUNT has also become a member of the Health Bridge Alliance (HBA). Over the period April 2012-March 2013 they have participated in three meetings of the HBA, discussing with other alliance partners the changing context (in India and internationally), the need for fundraising and coming to an Alliance agreement.

In the TVET programme COUNT is working together with Word and Deed India (W&D India) another partner of Woord en Daad. A good example of this is that W&D India has now taken over the JBS component of the TVET/JBS programme. Within the TVET programme COUNT has regular meetings with SETWIN for getting certifications for their students, with M-tech Garments for arranging exposure visits for students, with the government Industrial Training Institute (ITI) to discuss possibilities for admissions of students for further education.

Furthermore, through Blossoms network COUNT has increased its network with 40 other faith based organisations and is learning about the latest trends concerning NGO rules and sharing views with these organisations. Through its continued membership in the VIVA network COUNT received the international organisation quality in accountability award. COUNT is also working with Adijana National Forum and the Christian Social Forum. New networks are established at the community level by the nine appointed regional coordinators. COUNT has thus become more engaged in national and international networks.

Score baseline: 3

Score endline: 3.5 (slight improvement)

Extent to which organisation is actively engaging with target groups

4.3.Engagement with target groups: 'The organisation performs frequent visits to their target groups/ beneficiaries in their living environment'

This is about how and when the SPO meets with target groups.

In general, staff of COUNT continues to be in constant contact with its target group through the Church. They also visit the households once a month and schools once a week. Sometimes it may not be possible as staff is busy and cannot travel either due to geographic spread or limited budget. With better infrastructure and transport facilities this is improving, and also the appointment of regional coordinators has helped in staying connected to the field level. The staff does still face problems in communicating with the households as they speak different languages.

COUNT's programmes are such that they require regular interaction with the community. This may be either directly through field staff or indirectly through pastors, teachers or Change Agents.

In the HIV/Aids awareness part of the Basic Needs programme the target group of the program of COUNT is the tribal community living in 15 districts of AP, living in geographically inaccessible areas with poor infrastructure, poor health and poor education facilities. Awareness is being spread through seminars, rallies, workshops, posters, pamphlets, movies, door to door visits, church preaching and through folk media. The programme is working together with its sister organisation Agape Fellowship (AF), where the activities of the program are being carried out with the help of the AF church. The strategy in this programme is to work with Change Agents from the community for knowledge dissemination and awareness spreading. These Change Agents are volunteers, usually pastors, bible women or church youth. However, the community participation in the planning and monitoring of this programme is found to be low and the frequency of the Change Agents to the community is undocumented except for the information questionnaires that are sent to COUNT each month. Further, there is poor follow-up of COUNT at the community level with high level of dependence on change agents to identify People Living with HIV (PLHIV) or to undertake awareness sessions.

In the Education programme it is a challenge for COUNT to also involve fathers in the programme as Parent Teacher Association Meetings are primarily attended by the mothers. Involvement of fathers is needed for COUNT to be able to change the mind-set of early marriage and in favour of girl child education.

Score baseline: 4

Score endline: 4 (no change)

Level of effective relationships within the organisation

4.4.Relationships within organisation: 'Organisational structure and culture facilitates open internal contacts, communication, and decision-making'

How do staff at the SPO communicate internally? Are people free to talk to whomever they need to talk to? When and at what forum? What are the internal mechanisms for sharing information and building relationships?

The staff is involved in many meetings for expressing their views, the atmosphere is open and there is a learning culture. The rooms in the office are close by and the physical layout is such that it encourages dialogue and internal contacts. Staff feels free to interact with all department heads. Information is either shared through reports or orally. Weekly meetings are held with the departmental heads, monthly meetings with the managers and once-in-three month field visits & headquarters meetings. While COUNT offers an enabling environment to its staff in practice, there is predominantly a top-down culture. The only change that has occurred since the baseline is that the minutes of the meetings are being documented now and there is a follow up on those meetings.

Score baseline: 3.5

Score endline: 3.5 (no change)

Summary of capability to relate

Since the baseline COUNT has focussed more on strengthening its networks. At the community level COUNT is improving stakeholder engagement through the appointment of nine regional coordinators to address the needs of the people in the interior tribal regions. For any new project inputs are taken

from stakeholders like parents, local leaders and elders. On the local level COUNT engages with the Integrated Tribal Development Agency (ITDA) and looks at partners that adopt good policies and practices. The organisation is engaged in more national and international networks including Blossoms Network and the Health Bridge Alliance. COUNT received a quality award from the VIVA network and is reaching out to a government institute for the benefit of the students in the TVET programme. While in general the organisation continues to stay in close contact with its target group, mainly through the church, sometimes geographic spread and limited budget make regular visits difficult. High level of dependence on Change Agents in the Basic Needs programme lead to poor follow up by COUNT.

While COUNT offers an enabling environment to its staff in practice, there is predominantly a top-down culture. The only change that has occurred since baseline is that the minutes of the regular staff meetings are being documented now and there is a follow up on those meetings.

Score baseline: 3.4

Score endline: 3.6 (very slight improvement)

Capability to achieve coherence

Existence of mechanisms for coherence

5.1.Revisiting vision, mission: 'Vision, mission and strategies regularly discussed in the organisation'

This is about whether there is a vision, mission and strategies; how often staff discuss/revise vision, mission and strategies; and who is involved in this.

COUNT has a documented vision, mission and strategy. In February 2014 COUNT organised a vision casting seminar for staff, pastors and leaders, where they revisited the vision of COUNT. However, whilst the vision and mission have not changed, the strategy has been revisited. This is in response to the phasing out of Woord en Daad funding and the changing donor environment in India. COUNT developed a sustainability plan for 2014-2020.Woord en Daad staff facilitated a strategy development workshop at COUNT (May 2013) as an input for a sustainability policy. In this workshop a cross section of organisation’s staff was present. The donor supported COUNT by providing feedback until the finalisation of the plan.

Score baseline: 3

Score endline: 3.5 (slight improvement)

5.2.Operational guidelines: 'Operational guidelines (technical, admin, HRM) are in place and used and supported by the management'

This is about whether there are operational guidelines, which operational guidelines exist; and how they are used.

There has been a slight improvement in terms of having operational guidelines since the baseline. COUNT has an administration, HR and financial policy. These are used by the organisation. Some (illiterate) field staff indicated they get oral instructions. As COUNT caters to the welfare of the children, all its staff, house parents, children and all others directly or indirectly associated with children must be aware of the children’s rights and because of this COUNT introduced a child protection policy since the baseline. This was shared with the evaluation team.

Score baseline: 3

Score endline: 3.5 (slight improvement)

Level of coherence of various efforts of organisation

5.3.Alignment with vision, mission: 'Projects, strategies and associated operations are in line with the vision and mission of the organisation'

This is about whether the operations and strategies are line with the vision/mission of the SPO.

All operations of COUNT continue to be completely aligned with its vision and mission. In COUNT's Basic Needs programme there is a specific "Theory of Change" that is guiding the programme based on and aligned with the organisational vision, mission and beliefs to bring about change in the lives of the people in the programme.

Score baseline: 5

Score endline: 5 (no change)

5.4.Mutually supportive efforts: 'The portfolio of project (activities) provides opportunities for mutually supportive efforts'

This is about whether the efforts in one project complement/support efforts in other projects.

There is no change in terms of mutually supportive efforts since the baseline. The entire team of COUNT moves as one coherent unit. They have a shared vision in place and the strategies are discussed across the organisation at regular intervals. All the programmes and activities within the organisation are well linked and goal oriented. For example, the HIV Awareness programme has been linked with other existing COUNT programmes like, Vocational Training Centre and the COUNT High school children. In COUNT High School the activities like movies, skits and seminars are conducted to create awareness amongst children about HIV. For Vocational Training Students (VTS) also, there are awareness activities and they were also engaged during rallies, poster and pamphlet distribution. The annual seminar in the COUNT is conducted when the school summer-break starts so that the parents can also attend the seminar. Parents of COUNT Children Home also attend seminars along with the whole staff and team from all the different programme areas.

These inter-linkages help in cost-effectiveness as well as multi-tasking, although more personnel is still needed. More staff could not be recruited due to financial constraints.

Score baseline: 4

Score endline: 4 (no change)

<u>Summary of capability to achieve coherence</u>

COUNT has organised a vision casting seminar for staff, pastors and leaders, where they revisited their vision. While the vision and mission of COUNT continue to be the same, a new strategy for the period 2014-2020 was developed in face of the phase-out plan of W&D NL with the help of a W&D supported strategy development workshop. A cross section of the staff was involved in this process. Since the baseline a child protection policy has been introduced in COUNT which all staff that work directly or indirectly with children is made aware of. All operations of COUNT continue to be completely aligned with its vision and mission. All the programmes and activities within the organisation are well linked and mutually supportive.

Score baseline: 3.75

Score endline: 4 (very slight improvement)

Appendix 4 Results - key changes in organisational capacity - general causal map

As the changes in organisational capacity in the general causal map and the detailed causal maps overlap completely, please refer to Appendix 5 for the detailed narrative and map.

Appendix 5 Results - attribution of changes in organisational capacity - detailed causal maps

The evaluation team carried out an end line assessment at COUNT from 2 to 4 June 2014. During this workshop, the team made a recap of key features of the organisation in the baseline in 2012 (such as vision, mission, strategies, clients, partnerships). This was the basis for discussing changes that had happened to the organisation since the baseline. The three main changes that happened in the organisation since the baseline were:

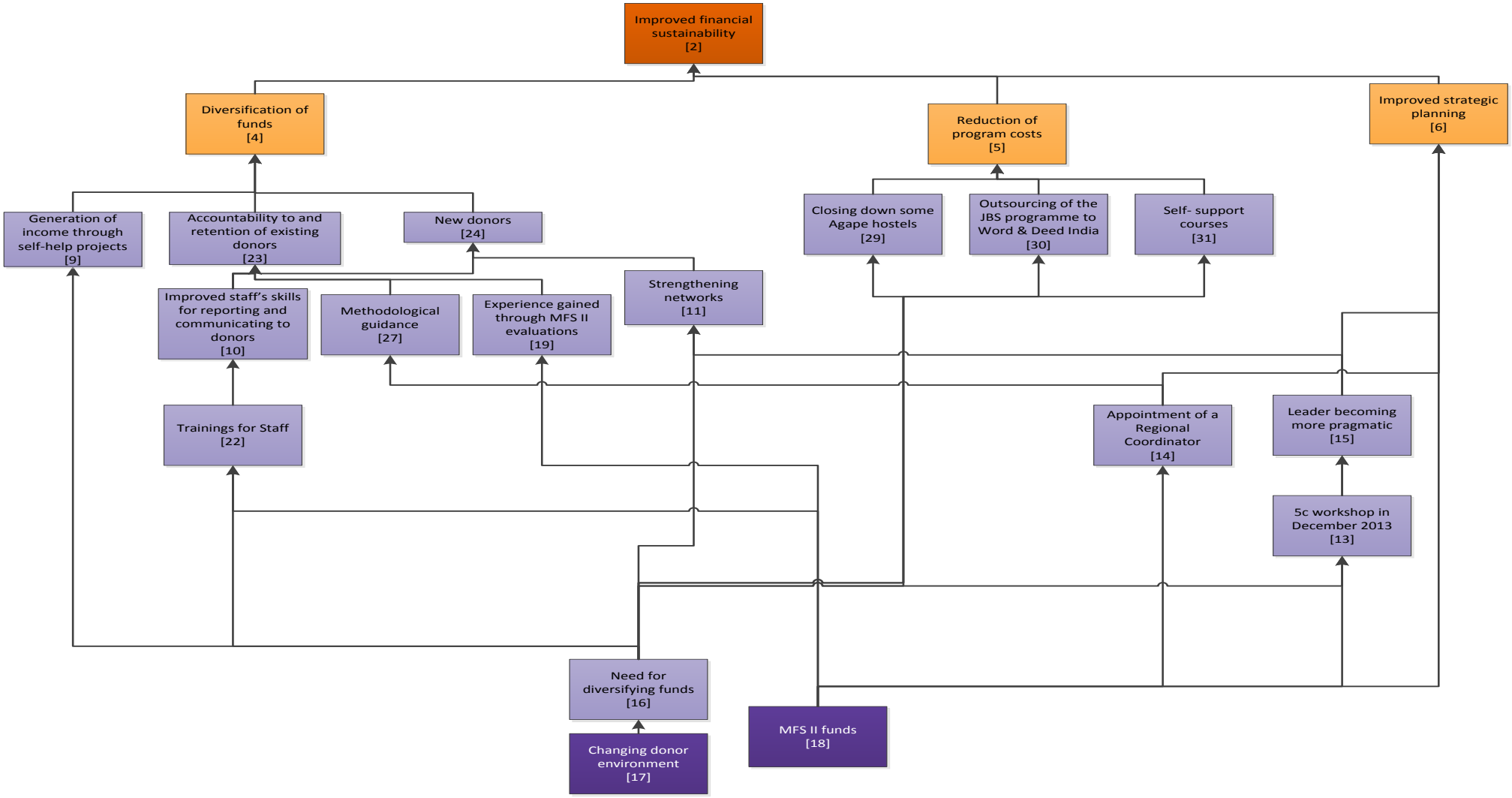
- diversification of funds [4];
- reduction of program costs [5]
- improved strategic planning [6]

These three changes are expected to lead to COUNT being more financially sustainable as an organisation [2]. They happened to coincide with the outcome areas that were chosen for process tracing, so as to get detailed information on how these changes in organisational capacity came about. Therefore the general causal map overlaps strongly with the causal maps developed for each of these outcome areas/organisational capacity changes to be analysed to during the process tracing. All the details about these changes in organisational capacity as well as the underlying factors that influenced these changes are described in the narrative and visual below.

These three key organisational capacity changes will be discussed in more detail in the related detailed causal maps, which were a result of process tracing.

The main factor that influenced these three key changes in organisational capacity is a changing donor environment [17].The ending of MFS II funding and decision of the main funder Woord en Daad to phase out and stop funding COUNT after 2020, is important.

The three main organisational capacity changes are described in the light orange boxes and the key expected consequence (improved financial sustainability of COUNT) is noted above these cards in dark orange. Light purple boxes represent factors and aspects that influence the key organisational capacity changes (in light orange). Key underlying factors that have impacted the organisation are listed at the bottom in dark purple. The narrative below describes per key organisational capacity change, the contributing factors as described from the top down. The numbers in the visual (Figure 1) correspond with the numbers in the narrative.


Improved financial sustainability [2]
Diversification of funds [4]
Reduction of program costs [5]
Improved strategic planning [6]
Generation of income through self-help projects [9]
Accountability to and retention of existing donors [23]
New donors [24]
Closing down some Agape hostels [29]
Outsourcing of the JBS programme to Word & Deed India [30]
Self- support courses [31]
Improved staff's skills for reporting and communicating to donors [10]
Methodological guidance [27]
Experience gained through MFS II evaluations [19]
Strengthening networks [11]
Trainings for Staff [22]
Appointment of a Regional Coordinator [14]
Leader becoming more pragmatic [15]
5c workshop in December 2013 [13]
Need for diversifying funds [16]
Changing donor environment [17]
MFS II funds [18]

Diversification of funding [4]: COUNT has been funded by W&D since 1991 [Source: Historical timeline-Baseline report]. The phase out plan of W&D began in June 2010, and since then COUNT has been trying to develop and implement plans to become more self-sufficient and not be completely dependent on W&D [Source: COUNT Narrative strategic plans & budget for 2013-2020], since W&D will stop funding COUNT after 2020. Over the last two years, COUNT has diversified its funding sources by:

- *Generation of income through self-help projects [9]:* The Founders of COUNT [Source: interview with Founder cum chairman and Co-Founder cum administrator] have focused on being self-reliant ever since its inception and there have been consistent efforts by them towards raising their own income through self-help projects. In the period from 1978 to 1980, the Founder bought agricultural land at Chengicherla, Hyderabad with the financial support from a Dutch Businessman named Jacob van Rijswijk to make COUNT self-supportive [Source: Historical timeline, baseline report-COUNT, 2012]. The following efforts were made by COUNT in the last two years towards increasing income through self-help projects:
  - COUNT has developed an additional 10 acres of land for paddy cultivation in 2013 (initially only 5 acres of land was cultivated);
  - Planting tamarind, drumstick and hybrid coconut saplings in 2013. These are perennial plants and their produce is used by households throughout the year and therefore likely to be a sustainable source of income;
  - Buying 6 new buffaloes in 2013 for the purpose of selling milk;
  - Nurturing existing mango farms (1.5 acres) since 2013;
  - Growing vegetables like spinach, cauliflower etc. since 2013;
  - Buying eighty sheep in 2013 for the purpose of rearing them for meat. The idea is to rear them for 5-6 months and then sell them in the market;
  - [Source: Report Visit India May 2013.lst, Interview with the supervisor responsible for coordination of self-help projects]
  - The (edible) yield from the self–help projects is used for children in the Agape Hostels and the rest is sold either to the staff or to people in COUNT's networks since 2013 [Source: Interview with the supervisor responsible for coordination of self-help projects].
  - Two new colleges were started and will continue to raise income: (a) a teachers' training college in 2007 and, (b) a Master's programme in Business Administration in 2009. Both programmes have been initiated by the church and income raised from these colleges will mostly benefit the church/mission and their related activities mostly in the area of social and developmental issues. The set up was financed with a loan from the bank [Source: Report Visit India May 2013.lst].

  - *Accountability to and retention of existing donors [23]:* This was because staff improved their skills to report and communicate to donors [10] [Source: 5C Endline Assessment Sheet_Dutch co-financing organisations India_COUNT_WoordenDaadCvB SN WB_NB_interview –response,pg 13]. Staff improved their skills in this area because of trainings [22][Source: 5C endline_support to capacity development sheet_CFAperspective_India_COUNT_WoordenDaad] methodological guidance [27] and experience gained through MFS II evaluations [19]. These are further explained below. .
  - Methodological guidance [27] received by COUNT from Woord en Daad and the Regional Coordinator [14]. Both funded by MFS II [18]. Methodological guidance was provided on the data collection process for each outcome indicator. There is an Indicator Reference Sheet for each indicator that describes what each indicator means and how the data should be collected. For most of the indicators Excel sheets are created that the partner uses to collect and report data in a standardized way. This guarantees data quality. Moreover, for most of the outcome indicators a description of the entire data collection process is included. For indicators that need external facilitation or if the capacity of the partner to collect data is limited, an external consultant is hired [Source: 5C Endline Assessment Sheet_Dutch co-financing organisations_India_COUNT_WoordenDaadCvB SN WB_NB_interview –response,pg 13, Endline Evaluation workshop 2014 COUNT].
  - Experience gained through MFS II evaluations [19]:ASK (Association for Stimulating Know How, based in Gurgaon, India) evaluated COUNT HIV / AIDS awareness program that addresses the

needs of the tribal community in Andhra Pradesh. Collected data was shared and findings were discussed with COUNT to identify points for learning, finding solutions, making decisions to strengthen the program. The finance manager's financial skills improved as a result of this evaluation. He was able to plan better and allocate funds more efficiently towards the project [Source: 5c endline_questionnaire_training_participant _perspective_India_COUNT_External evaluation of HIV/AIDS project 2013_Finance Manager]. Help a child of India (funded by Woord en Daad) evaluated COUNT with an aim to measure the progress of the programs for a number of outcome indicators. The study covered two schools of COUNT in Hyderabad and Jala i.e. St. John's high school and St. Zechariah's model school (both supported by Woord en Daad). Staff Members of COUNT present during discussion of the outcome study: The Program Manager, the education coordinator, Principals of both the schools, three teachers from St. Zechariah model school and one teacher from St. John's high school and the school warden) [Source: Outcome study report]. The staff members learnt about teaching methodologies, to monitor the outcomes of student performance, day to day administration of the school, impact of supervision on teachers and students, to improve quality of their work and in turn bring about improvement in quality of education [Source: 5c endline_questionnaire_training_participant _perspective_India_COUNT_Outcome studies with WoordenDaad]. These evaluations were funded by MFS II [18].

The following capacity building activities [22] were conducted in the past two years to strengthen staff's skills for communicating with donors [10], all these trainings were funded by MFS II [18]:

- Basic spoken English training [Source: Capacity Building 1, 2nd March 2013 Basic spoken English training] for the purpose of improving communication skills with the donors as well as for better report writing [Source: 10. India PDP COUNT 20-8-2013 (FINAL COPY)]. Funded by MFS II [18];
- Participation in the Sponsorship programme conference in May 2013 in the Netherlands by Woord en Daad [Source: K Samuel certificate PDP, nl]. The aim of the conference was to strengthen the sponsorship programme by improving communication with the donors using new methods and thereby improving accountability with the donors, to teach how to make personal development plans, to increase awareness of the changing global economic scenario and to train in WD CAP Adoption programme 2.0 version software for better reporting on status of the children [Source: report on NL, trip & PDP meeting with House parents, June 8th-13th, 2013]. This conference was organised by COUNT and funded by Woord en Daad, under MFS II [18];
- Training of the house parents by adoption/sponsorship department to assist the children in writing innovative greeting letters, providing interesting information and taking pictures for a regular update of the children to the donors and for improving accountability [Source: PDP Training to House Parents 2013 Pictures, report on NL, trip & PDP meeting with House parents 8th-13th, 2013]. Funded by MFS II [18];
- Training on WDCAP programme in October, 2013 by Woord en Daad. WDCAP is a software for tracking children's information and enables COUNT to provide regular updates to the donor [Source: REPORT ON WDCAP]. This training was given by Woord en Daad and also funded by MFS II [18].

A third reason for diversification of funds is that new donors were attracted [24]. For decades, COUNT had no need to look beyond its main funding partner Woord en Daad to relate and attract resources – at least for its financial requirements. This in turn, made the organisation an inward looking one and the only other "relationship" being with local government and regulating authorities. The fact that COUNT is now attracting funds from other funders like Free Methodist Churches (FMC) and Word and Deed Canada, is a consequence of COUNT strengthening its networks [11] [Source: Help a child India(HACI), TLMTI (The Leprosy Mission Trust India), Care Network, WDI, EHA; Health Bridge Alliance Meet TLM, Minutes, February 2013- Lobbying and advocacy, planning, strengthening of alliance]. The efforts to strengthen their networks are evident in the following examples:

- COUNT is a member of the Health Bridge Alliance and VIVA network. VIVA is an international organisation that works to bring sustainable change in the lives of children by strengthening and building capacities of networks in specific organisational development areas. COUNT has received the Viva quality mark certificate from Viva in April 2013 [Source: COUNT award certificate, http://www.viva.org/model.aspx]. In April 2014, staff of COUNT was trained in 'Quality

Improvement Systems training' by Blossoms Network together with VIVA for strengthening their networks with other organisations, on quality standards, and implementation of a child protection policy [Source: COUNT response on QIS]. COUNT also networks with other partner organisations of Woord en Daad in an effort to learn and share resources. An example is the effort made by COUNT and Word and Deed India to transfer the responsibility of getting job placements for the trained students under the TVET/JBS program, as they have more staff and hence more expertise in the field;

- In November 2012, there was a Health Bridge Alliance meet to discuss fundraising, on the need to tap both domestic and international donors. There was discussion on the need to use different strategies for approaching both these donors and not hiding their Christian identity as a lot of funding is for religious and/or charity activities in India [Source: Madurai Minutes-HBA Nov 2012].

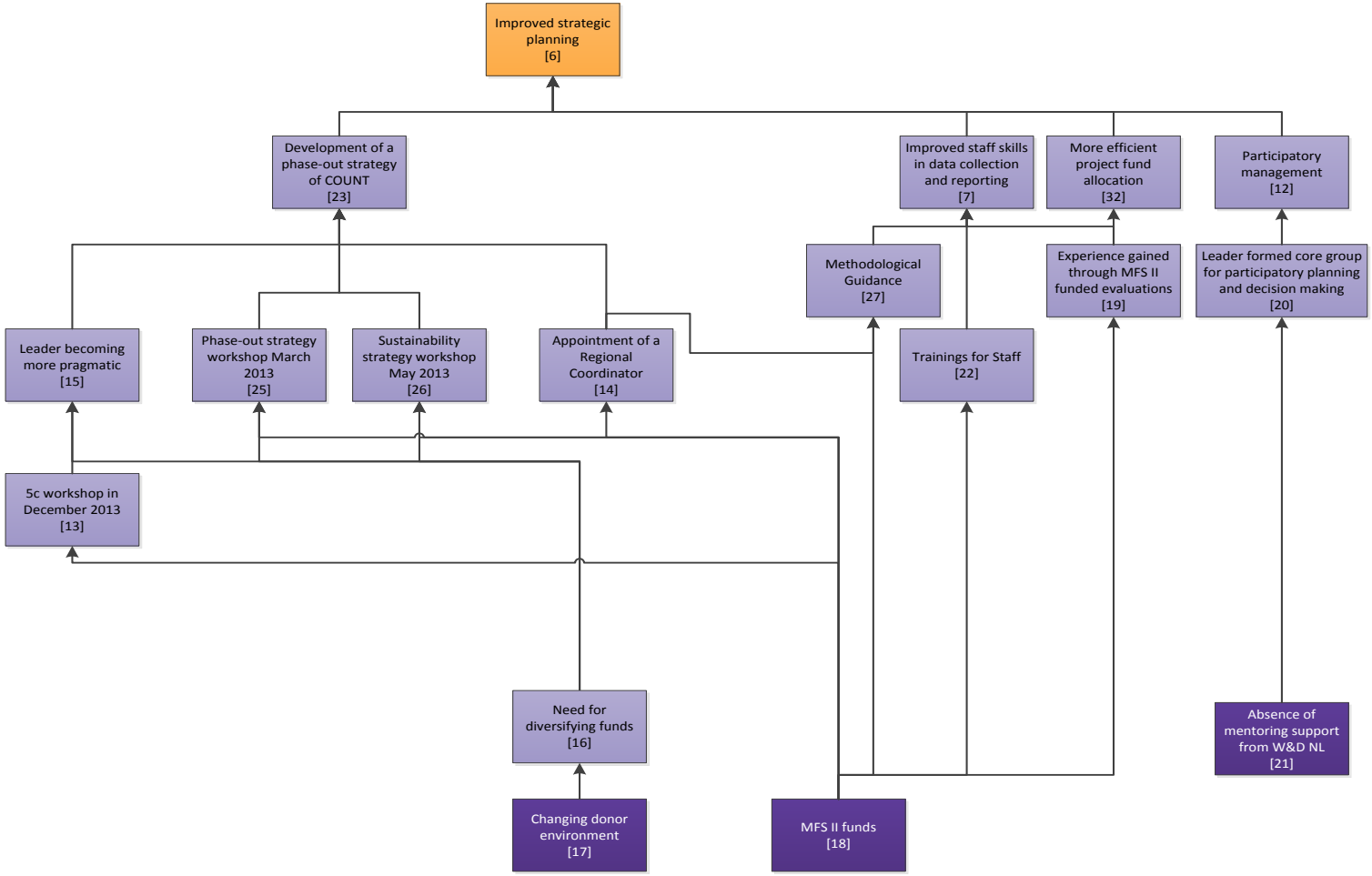
The trainings [22], the income generation self-help projects [9] and the strengthening of networks [11] were undertaken because of an increasing need to diversify funds [16], coming from a changing donor environment [17], where Woord en Daad is phasing out its support.

Reducing costs of programmes [5]: COUNT is furthermore contributing to financial sustainability of the organisation by reducing programme costs, which is done through closing down some of the smaller Agape hostels and focusing only on Agape hostels in their headquarters in Chengicherla [29] [Source: Overview WD-India sustainability strategies-count]. In 2012-2013, COUNT started a new approach called "transferred kids programme" with the aim of transferring of kids to government schools and providing some support to the parents for their children's education. COUNT wanted to ensure that the children who drop out every year, receive a minimum support for one year to meet their basic necessities like note books, stationary and a Christmas gift and the funds for these would be met by the income from the self-help projects. The children in the Agape homes will either be dropped, join government facilities or will be transferred to the Central Agape home in Hyderabad. However, unexpectedly COUNT has had a large number of school dropouts in 2013. This led COUNT to reduce the number of children being phased out of the program. [Source: COUNT Narrative strategic plans & budget for 2013-2020;1073008.2012.donor assessment; Count 2013 Education Donor assessment final].

Another way of reducing programme costs has been the outsourcing of the JBS part of the TVET programme to Word & Deed India in 2013 [30]. This decision was made because of the poor financial sustainability of the TVET Programme of COUNT [Source: Analysis TVET-JBS Quality Score Cards COUNT India; Report Visit India May 2013]. Also, COUNT did not have sufficient trained staff who could help in seeking employment opportunities for the students. [Source: Interview with TVET coordinator]. Word and Deed India is a partner of Woord en Daad NL, just like COUNT. COUNT was able to outsource the JBS part of the TVET programme to Word and Deed India because W&D NL linked them up to them [33] in the TVET programme that is funded under MFS II [18].

Furthermore, in the tribal areas, there is a pilot programme in which self- support courses [31] are run by graduate students and the trainees are required to pay a small fee to sustain this course. The aim is to reduce the expenses of board and lodging which would have been there had the students been trained at the headquarters [Source: Report Visit India May 2013.lst].

Reducing programme costs [5] through closing down some of the Agape hostels [29], outsourcing JBS to Word and Deed India [30] and the self-support courses [31], was triggered by a need to diversify funds [16] because of the changing donor environment [17].


Improved strategic planning [6]
Development of a phase-out strategy of COUNT [23]
Improved staff skills in data collection and reporting [7]
More efficient project fund allocation [32]
Participatory management [12]
Methodological Guidance [27]
Experience gained through MFS II funded evaluations [19]
Leader formed core group for participatory planning and decision making [20]
Leader becoming more pragmatic [15]
Phase-out strategy workshop March 2013 [25]
Sustainability strategy workshop May 2013 [26]
Appointment of a Regional Coordinator [14]
Trainings for Staff [22]
5c workshop in December 2013 [13]
Need for diversifying funds [16]
Absence of mentoring support from W&D NL [21]
Changing donor environment [17]
MFS II funds [18]

Improved strategic planning [6] was the third key change in the organisation, which is expected to contribute to financial sustainability of COUNT. Improved strategic planning is important to contribute to financial sustainability of the organisation because COUNT developed the strategies to reduce costs and generate income.

There are four main reasons why strategic planning has improved [Source: 5C Endline Assessment Sheet_Dutch co-financing organisations_India_COUNT_WoordenDaad]: development of a phase-out strategy of COUNT [23]; improved staff skills in data collection and reporting [7]; more efficient project fund allocation [32]; and participatory management [12]. These changes are further described below.

Development of a phase-out strategy of COUNT [23]: COUNT is aware that W&D will phase out their funding of the TVET and education programme of COUNT in2020, and therefore, since 2010, together they have been working on the development of a phase-out strategy. COUNT has been trying to develop and implement plans to become more self-sufficient and not be completely dependent on W&D. The phase-out strategies were thought out for different programmes which further helped in the strategic planning. According to the exit phase out strategy of W&D, the education program of COUNT will have a gradual decrease at the rate of 10% in the number of children and in the budget every year. As of now in 2013- 2014, W&D, NL is sponsoring 604 children and COUNT envision that even after the gradual phase out in 2020 they will continue supporting 550 children through Churches, self-help projects and other local support. During the phase out of children, who are dropped each school year, COUNT will support them for one year with school books and stationary through our agriculture projects. They will also be assisted, encouraged to join the government school or hostel to continue their education. To focus on developing infrastructure facilities in the Agape centre for accommodating 550 children in the agape homes and school. As of now there is enough room to accommodate 300 children. Funds will be raised to develop facilities through the agriculture self-help projects, collection of fees, contributions from graduates, donations, etc. At the Agape centre, Hyderabad, Andhra Pradesh, by the end of 2020 COUNT will be having 360 sponsorships supported from FMC (60 children each year) and another 190 new children will slowly phase in and will be supported through the self-help projects of COUNT [Source: COUNT Narrative strategic plans & budget for 2013-2020].

In the TVET programme students from surrounding areas will pay and learn in the centre. The students will pay a small fee and enrol into the course for training. Both long term (1 year) and short term (3-6 months) training courses will be introduced. The focus would be more on sustainability of the program through income generation from each department through sales and providing services. E.g.: electrical contract works, take up job orders, servicing bikes, repairing works from auto mobile course, stitching clothes, school uniforms, embroidery works on sarees, dresses, etc. [Source: COUNT Narrative strategic plans & budget for 2013-2020].

Through income generating resources programme COUNT has been able to raise a small income on a regular basis through its self-help agriculture projects. The agriculture, self-help projects is spread out in all the regions where COUNT is having its own land for Agape homes (5 centres) and church ministry. Through the years COUNT has been planting various seasonal crops, fruits and vegetables which are sold and a regular income came in, which was used for children, investments, and church ministry [Source: COUNT Narrative strategic plans & budget for 2013-2020].

This **development** of this phase-out strategy was mainly a result of:

- The **leader becoming more pragmatic** [15]. Another important factor that has led to the development of the phase out plan, in which strategies for diversifying funds are included, is that the leader became more pragmatic in his thinking, he now strategizes more in the long term and thinks about how to obtain alternative funds. It is said that the need to be more outward looking, and regular interaction with staff during meetings, mainly on strategic and operational plans have contributed to this change in the leader [Source: 5C endline_support to capacity development sheet_CFAperspective_India_COUNT_WoordenDaad]. The change in the leader's thinking [15] can be explained by:
  - The overall need to plan strategically and diversify funds [16] that arises from the changing donor environment [17] [Source: 5C EndlineAsessmentSheet_Dutch co-financing organisations_India_COUNT_WoordenDaadCvB SN WBNB_interview]

- The 5c workshop in December 2013 [13][Source: 5C endline_support to capacity development sheet_CFAperpective_India_COUNT_WoordenDaad SN WB_NB_interview]. This workshop was facilitated by the regional coordinator of W&D , India on 2-3 of December 2013. It gave COUNT another opportunity to review its strengths, weaknesses, skill gaps and capacity buildings opportunities. This was then used in drawing up the annual plan and the budgeting activity plan for the next year [Source: 5C Endline Assessment Sheet_Dutch co-financing organisations_India_COUNT_WoordenDaadCvB SN WB_NB_interview]. This workshop was funded by WoordenDaad under MFS II [18].

- **The Phase-out strategy workshop March 2013** [25] This workshop was held in March 2013 for COUNT by Cees van Breugel of Woord en Daad, implemented and funded by MFS II [18]. This workshop was organised in light of the need for diversifying funds [16] because of the changing donor environment [17], which includes the phasing out of the Woord en Daad support by 2020. This workshop influenced both the leader and the functional staff and helped them to understand the importance of making TVET as a sustainable programme of the phase-out plan[Source: 5C endline_support to capacity development sheet_CFAperspective_India_COUNT].
- **Sustainability strategy workshop May 2013** [26] [Source: 5C endline_support to capacity development sheet_CFAperspective_India_COUNT_WoordenDaad SN WB_NB_interview - response WB]. This workshop was held in May 2013 at COUNT, facilitated by Leen Stok (of Woord en Daad) and Samuel Nirmal (Regional Coordinator) and funded by MFS II [18]. The objective of the workshop was to discuss on strategies for education programme and TVET/JBS programme, in light of the need for diversifying funds [16] because of the changing donor environment [17], which includes the phasing out of the Woord en Daad support by 2020. The achievement during 2012-14 was reviewed. Gaps, risk factors and challenges were traced out, follow up action points were set, and capacity building of the staff and income generation activities were discussed to further improve the strategy [Source: COUNT Overview sustainability strategies - COUNT workshop May 29-30 2013].
- **Appointment of a Regional Coordinator** [14]: A Regional Coordinator has been appointed [Source: Narrative strategic plans & budget for 2013-2020] to serve as a link between India partners and W&D, to help with monitoring without the need for frequent visits from Woord en Daad people and to act as an advisor and help whenever required to do so [Source: Core group minutes, July 12]. One of the reasons of his appointment is to help with strategies; he has also been involved in the sustainability strategy workshop and in that way is contributing to the development of the sustainability plan of COUNT [23].

The second reason for improved strategic planning for financial sustainability is based **on improved staff skills in data collection and reporting.** The development of this skill was mainly a result of:

- Methodological guidance received by COUNT [27] from Woord en Daad (funded by MFS II [18]) and the Regional Coordinator [14] through for example a description of the data collection process for each outcome indicator [Source: 5C Endline Assessment Sheet_Dutch co-financing organisations_India_COUNT_WoordenDaadCvB SN WB_NB_interview –response,pg 13].
- Trainings on reporting [22] [Source: 5C endline_support to capacity development sheet_CFAperspective_India_COUNT_WoordenDaad SN WB_NB_interview]:
  - Basic spoken English training [Source: Capacity Building 1, 2nd March 2013 Basic spoken English training] for the purpose of improving communication skills with the donors as well as for better report writing [Source: 10. India PDP COUNT 20-8-2013 (FINAL COPY)]. Funded by MFS II [18].
  - Participation in the Sponsorship programme conference in May 2013 in the Netherlands by Woord en Daad [Source: K Samuel certificate PDP, nl]. The aim of the conference was to strengthen the sponsorship programme by improving communication with the donors using new methods and thereby improving accountability with the donors, to teach how to make personal development plans, to increase awareness of the changing global economic scenario and to train in WD CAP Adoption programme 2.0 version software for better reporting on status of the children [Source: report on NL, trip & PDP meeting with House parents, June 8th-13th, 2013, PDP training at Netherlands]. This conference was organised and funded by Woord en Daad, under MFS II [18].
  - Training on WDCAP programme in October, 2013 by Woord en Daad. WDCAP is a software for tracking children's information and enables COUNT to provide regular updates to the donor

[Source: REPORT ON WDCAP]. This training was given by Woord en Daad and also funded by MFS II [18].

- COUNT staff gained useful PME experiences in collecting data through MFS II funded evaluations [19] [Source: 5C endline_support to capacity development sheet_CFAperspective_India_COUNT_WoordenDaad SN WB_NB_interview]:
  - External Evaluation HIV/AIDS program by ASK (funded by W&D) June-July 2013 [Source: 12.94.004 - WDI and COUNT Midterm Evaluation report Basic Needs programs- final version; 5C endline_support to capacity development sheet_CFAperspective_India_COUNT_WoordenDaad SN WB_NB_interview - response WB].This evaluation took place from the 24th June to 2nd July 2013 and was done by Monica Ramesh (lead evaluator) and ChayanikaKunjwal (Co-evaluator) of ASK (Association for Stimulating Know How, based in Gurgaon, India) and evaluated the COUNT HIV / AIDS awareness programme that addresses the needs of the tribal community in Andhra Pradesh. Collected data was shared and findings were discussed with COUNT to identify points for learning, to find solutions, and to make decisions to strengthen the programme.
  - Outcome study on Quality of Education October 2013 (funded by W&D) [Source: 5C endline_support to capacity development sheet_CFAperspective_India_COUNT_WoordenDaad SN WB_NB_interview - response WB,pg 16-17;COUNT-Outcome Study Report]. These outcome studies were conducted from 26-28 October 2013 by two experts: one external expert and one internal expert from Help a child India (funded by Woord en Daad), and had the aim to measure the progress of the programmes for a number of outcome indicators. The study covered two schools of COUNT in Hyderabad and Jala i.e. St. John's high school and St. Zechariah model school (both supported by Woord en Daad). Staff members of COUNT were present during discussion of outcome study: the project and programme manager, the coordinator for schools, principals of both the schools, three teachers from St. Zechariah model school and one teacher from St. John's high school and the warden [Source: Outcome study report]. The staff members learnt about teaching methodologies, how to monitor the outcomes of student performance, day to day administration of the school, impact of supervision on teachers and students, to improve quality of their work and in turn bring about improvement in quality of education [Source: 5c endline_questionnaire_training_participant _perspective_India_COUNT_Outcome studies with WoordenDaad _G. Shanthi; K.BhavyaBhavani; K.Samuel; Mrs. Susheela; N SudhirSudakar].
  - TVET Score Card Assessment March 2013 (funded by W&D) [Source: 5C Endline Assessment Sheet_Dutch co-financing organisations_India_COUNT_WoordenDaad]. A lot of issues with TVET have improved as a follow up of the score card [Source: Analysis TVET-JBS Quality Score Cards COUNT India]. A positive experience in 2013 had been that there was a considerable difference in improving COUNT's quality score at the program level. Several action plans were implemented through last year and COUNT was able to review our bottlenecks and taken steps to improve further for the coming year [Source: COUNT TVET- JBS 2012-2013 AIR end memo].

The third reason for improved strategic planning is **more efficient project fund allocation [32].** The finance manager's financial skills improved as a result of the external evaluation of the HIV/AIDS program by ASK (funded by W&D) in June-July 2013 [19]. He was able to plan better and allocate funds more efficiently towards the project [Source: 5c endline_questionnaire_training_participant _perspective_India_COUNT_External evaluation of HIV/AIDS project 2013_Babu Rao].

The fourth reason for improved strategic planning is **participatory management [12]** [Source: Core group minutes, workshop with COUNT]. In 2013, the leader of COUNT formed a core group [20] comprising of experienced members of the staff for participatory planning and decision making. The minutes of the core group reveal that core group discussions are held regularly and some of the topics discussed are approaches to reach new funders, and generation of internal funds. This core group was formed because the leader realised that in absence of mentoring support from W&D [21] he would have to look for help and guidance within COUNT.

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Final Report MFS II Joint Evaluations

Country	India
Consortium	ICCO Alliance
Responsible Dutch NGO	ICCO
Project (if applicable)	COFA (Chetna Organic Farmers Association) Institution Building
Southern partner organisation	Forum for Integrated Development (FFID)

The project/partner is part of the sample for the following evaluation component(s):

	X
Achievement of MDGs and themes	X
Capacity development of Southern partner organisations	X
Efforts to strengthen civil society	

1. Introduction

This report presents the findings of the evaluation of a project funded and supported by ICCO and implemented by COFA in rural areas of Andhra Pradesh and Orissa, India. The project was initiated to alleviate the poverty of cotton farmers in rain-fed regions in India. We begin the report by describing the context of the project and provide a description. This is followed by a data description, sampling, and results. The final section contains concluding remarks.

2. Context

The COFA project was initiated to alleviate the poverty of cotton farmers in India and was initiated in the southern state of Andhra Pradesh (AP). For many farmers and their families cotton cultivation has been associated with debt, decreased food security and soil deterioration. While farmer suicide is prevalent in several states, Maharashtra remains the worst single state for farmer suicides for over a decade now[1].

AP, where this project was initiated, is made up of three regions, coastal Andhra, Rayalaseema and Telengana. These regions display vast variations in socio-economic and cultural conditions. AP has the distinction of being the first state to be created in post independent India on the basis of language in 1953. This region has a very distinct historical background. The Telengana region and part of the Rayalaseema region was under the Princely state of Hyderabad ruled by the Nizam. The rest was under the Madras Presidency of British India. Development in terms of education, institutions, tax structure and cultural values differed accordingly. Even in terms of social movements and civil society articulation, these regions continue to display contrasting trajectories. While the 'backward' Telangana region has seen mobilisation of the rural poor and youth by the radical left on the basis of class, the developed coastal region has witnessed an emotional mobilisation on the socio-cultural identity of caste. Broadly, two aspects can be identified in the State's response to these movements: i) public policy initiatives addressing the issues raised by them; and ii) repressive measures on them. During the early 1950s, the Telengana movement by the Communist party of India was strongly suppressed by the state by using armed forces. The State's response to the agrarian movements was predominantly one of addressing the causes of rural discontent.

[1] http://www.thehindu.com/opinion/columns/sainath/article3595351.ece

We therefore see measures such as land ceiling acts and anti-poverty initiatives. This can be called the strategy of co-option. In the post-Emergency period, a clear shift towards a coercive strategy took place.

The Scheduled Castes and Scheduled Tribes account respectively for 16.2% and 6.6% of the total population of AP. About one-tenth of the state population belongs to a religious minority community. Together, the population belonging to disadvantaged castes and minority communities accounts to about one-third of the state population. AP is also the third largest economy in India in terms of Gross State Domestic Product (GSDP). Andhra Pradesh's economic growth path has been commendable especially during the last three decades. Starting from a relatively lower per capita income, Andhra Pradesh has surpassed the national average about a decade ago. Although the state's performance is impressive in terms of economic growth when compared to its past and when compared to rest of the states in India, its overall development is judged as moderate. Its performance in terms of social sector indicators such as literacy and skills has not been impressive enough on a comparative scale.

COFA is now active in three states of India, Andhra Pradesh (2 districts-Adilabad and Karimnagar), Odisha (5 districts-Kalahandi, Bolangir, Rayagada, Nuapada, and Koraput) and Maharashtra (3 districts- Akola, Amravathi, and Yavatmal). The evaluation of this project was done in Odisha (in Kalahandi district) which is the poorest of the three states in which COFA is active.

Of the five districts in which COFA is active, Bolangir has a poverty rate of 55 percent, Rayagada 72 percent, Kalahandi 72 percent, Nuapada 86.55 percent, and Koraput 84 percent[2]. In comparison, AP has a poverty rate of 6.93 percent (rural) and 17.25 percent (urban). In contrast to these sharply different figures, five yearly growth rate of gross domestic product (2007-2011) are not very different across these three states. For instance, AP had a growth rate of 6.6 percent; Odisha had a growth rate of 6.95 percent, while Maharashtra had a growth rate of 8.28 percent.

[2] Small Area Estimation (SAE) results by IDF using NSSO 2004-05 and Census of India 2001 data. For more details refer to the report by IDF on Generating Poverty Estimates using SAE submitted to Planning Commission in July 2011.

Odisha is in the eastern coast of India and comprises 3.47 percent of India's population (11th largest). According to 2011 census, Odisha has 16.5 percent Schedules Caste population and 22 percent Scheduled Tribe population[3]. The southern part of Odisha is one of the poorest regions. The districts of Koraput, Bolangir and Kalahandi (popularly known as KBK districts) in Odisha have been further divided into eight districts since 1992-93. These are Koraput, Malkangiri, Nawrangpur, Rayagada, Bolangir, Sonepur, Kalahandi and Nuapada. The KBK districts account for 19.8 percent of the population of the state. Tribal communities dominate this region.[4] The state also faces left-wing extremism.

In addition to focusing on impoverished regions, COFA has also concentrated on cotton farming in rain-fed regions by small-holder farmers which is beset with its own set of challenges. Cotton cultivation in rain-fed areas is fertilizer-intensive, and farmers have little choice over seed inputs. Farmers are also faced with problems such as soil degeneration, eco-system imbalance, increasing costs and uncertainty over the international price of cotton. Features of rain-fed agriculture include 1) Non-access to Irrigation, 2) dependence on rains 3) uncertain harvest, 4) risks such as floods/drought. Such issues are particularly relevant for small holder farmers who also face issues such as 1) land fragmentation, acute poverty, social exploitation, food vs. cash crop dilemma, increased labor costs, forced migration and the psychological consequences of debt and poverty.

With this as backdrop, the COFA project is aimed at improving livelihood options for smallholding cotton growers in rain-fed regions in India. The capacity of small farmers is strengthened by helping them to make the right investments in agriculture, arrive at the right formula for the costs of organic crops and by making technology extension services available to them. To make organic farming profitable, market facilitation and linkages were also made mainly with the organic and fair trade markets. Chetna Organic Agriculture Producer Company Limited (COAPCL), a farmers owned company was incorporated in 2009 to facilitate all activities pertaining to the supply chain from farming to market and then on to the ultimate consumer.

[3] Calculated using SC/ST proportions to total population of the state in 2001 census
[4] http://www.kbk.nic.in/ataglance.htm

3. Project description

a. Project duration and budget

COFA is an ongoing organic & fair-trade supply chain development project in cotton which was initiated in Solidaridad in 2004 in partnership with various governmental, non-governmental and private agencies. The project was supposed to be completed in 30 September 2011. The initial budget was € 700,000.00. They received a no cost extension until March 2012. After this, they applied for extension of this funding and an additional EUR 134,215 from MFS II funding was granted to them for the period between 1 April 2012 and 30 September 2014. Therefore, for the purpose of this evaluation and the research design, we have treated this as an ongoing project.

b. Project objectives, activities, theory of change

The COFA project aims to improve the livelihood options of Indian small farm holding households involved in cotton cultivation through making their farming systems more sustainable and more profitable.

The inputs for this project are financial resources from ICCO which are used towards institution building. As this is an outgrowth of an on-going project, the rapidly increasing number of participating farmers resulted in the need for building institutional resources within COFA. Actions have been undertaken to build institutions. Examples of such actions are trainings to farmers, organizing farmers into self-help groups (SHGs), support to farmer groups to develop a spirit of entrepreneurship, organizing exposure visits, writing and dissemination of training manuals in vernacular languages, maintaining functional certification (for organic cotton) and full functionality of the COFA website.

Stylized result chain

Input:

Financial resources from ICCO which are used for institution building. As this is an outgrowth of an on-going project, COFA anticipated the need for building institutional resources within COFA to service the rapidly increasing number of participating farmers.

Activities:

Activities are focussed on building institutions. Examples of such actions are trainings to farmers, organizing farmers into self-help groups (SHGs), support to farmer groups to develop a spirit of entrepreneurship, organizing exposure visits, writing and dissemination of training manuals in vernacular languages, maintaining functional certification (for organic cotton) and full functionality of the COFA website.

Output:

There are three main outputs of the COFA project:

1. At the end of the project, 15,000 farmers participate for one year or longer in organic farming and produce cotton and/or other crops for local and/or international markets.

2. Through participating for one year or longer in organic farming, the farmers have increased income with 40% in relation to income from farming in the course of the programme.

3. At least 1/3 of the participating farmers are female.

Impact/outcomes:

Through the above mentioned outputs, the final outcome of poverty alleviation would be achieved by having the farmers participate in organic farming practices which leads to achieving more sustainable and profitable farming practices. Organic farming also leads to reduced input costs for the farmers in terms of fertilisers, pesticides, etc. as compared to conventional non-organic farming. The market linkages facilitated by COFA allow for the organic cotton grown by farmers to be sold profitably through cooperatives.

4. Data Collection

a. Household Survey

Given that one of the aims of COFA that farmers experience an increase in income by 40% in relation to farming, we have tried to identify the effect of COFA's intervention on

socio-economic well-being by measuring changes in socio-economic indicators from a household survey administered at two points in time (in 2012 and 2014). The main focus of the evaluation is on measuring the increase in income as a result of participating in this program. To this end, we compare household-level outcomes in treatment and control villages at two points of time - that is, in 2012 and in 2014 and calculate difference-in-differences estimates. Since measuring income is fraught with measurement issue problems in this setting and there is very little saving, we instead measure monthly household consumption.

With a view to get an idea of the sustainability of the project in terms by examining the views of farmers, we asked questions relating to attitudes towards organic farming among farmers both in control and treatment groups. To this end, we included a short set of questions in both the baseline and end line surveys on organic farming attitudes.

Sampling Design

Two rounds of data have been collected. The first of these was collected in 2012 and the second round of data in 2014 in the month of October (we ensured that we interviewed the households in the same month in the baseline and endline as these were agricultural/rural households and consumption is more likely to be determined by calendar than in the case of suburban/service sector households. We surveyed 1200 households in Kalahandi district of Orissa for the study (600 households in treatment groups and 600 households in control groups).

The sample decided by the project implementation team for this project was a total of 1200 observations. Given this total sample size, we opted for a balanced split between controls and treatment (600 controls and 600 treatment groups). The survey collected a range of information on socio-economic characteristics and demographic structure of households.

We divided our sample into treatment groups and control groups as follows in the baseline:

Treatment groups

We divided the treatment group into three types of small and marginal farmers in Kalahandi district of Odisha.

1. **200** new farmers who had just started in the program in 2012 in Nishanpur GP (**G**ram **P**anchayat) of Narla block (T1)
2. **200** farmers (those were in the first year of conversion to organic status) in Bhawanipatna block (T2) in 2012.
3. **200** fully Organic farmers in Bhawanipatna block (T3) in 2012.

Control groups

1. **300** small and marginal farmers (who were practicing non-organic cotton farming) in a nearby area where COFA is planning to provide an intervention in the future (Ullikuppa GP of Narla block) (C1)
2. **300** small and marginal farmers in the current area of intervention who have opted not to join the COFA intervention in Nishanpur GP of Narla block-**300** (C2)

The table below lists the distribution of the sample into control and treatment groups in the baseline.

Treatment and control groups	**Definition**	**Sample size**
T1	New farmers who have received the COFA intervention this year	200
T2	farmers (those who are in the first year of conversion to organic status)	200
T3a	Fully Organic farmers (3 years of conversion to organic) (Matrubhumi-1)	100
T3b	Fully Organic farmers (3 years of conversion to organic (Matrubhumi-2)	100

C1	Farmers in a nearby area where COFA plans to intervene next year	300
C2	Farmers in the current area of intervention who have not joined the COFA intervention	300
Total		1200

Matrubhumi-1 and Matrubhumi-2 are two groups corresponding to two different cooperatives (an organizational unit at a higher level than an SHG). On the basis of t-tests, we find that mean consumption is not significantly different between these two groups. Similarly, statistical testse show that they do not differ in terms of socio-demographic characteristics. For this reason we pool the groups originating from these two different cooperatives and treat them as one. We were fortunate that there was no attrition in the data. We did not experience any data problems (except due to some delay due to festivals and rain); the local COFA representatives were very cooperative and we were able to re-interview both treatment and control groups in October 2014.

Since we have different control groups and different treatment groups, we are able to make a number of comparisons. We might expect that there are spillover effects on the control group (C2) as these farmers have been exposed to information about COFA and have chosen not to join COFA. C1 is a group that is likely to be less contaminated by spillover effects as they are in another gram panchayat (Ullikuppa) where there is no intervention as yet.

Description of the Data

We now briefly describe some features of the socio-demographic characteristics collected in the household survey. In the regions in which both the control and treatment groups were surveyed, both control and treatment groups were almost 99% Hindu, so it was not meaningful to include religion as a control variable. Almost all households in both treatment and control groups are self-employed in agriculture and own their homes. This is not surprising for the treatment group as COFA targets self-employed farmers who have decision-

making power over agricultural decisions (i.e. in terms of opting for organic vs. non-organic farming). Similarly with the emphasis on social upliftment, COFA focuses on backward classes and tribes. Therefore, 99% of the sampled households belong to scheduled castes/tribes or other backward classes. This percentage is very similar for the control groups, most likely as they are in either the same gram panchayats or nearby ones and there is substantial geographical segregation prevalent among classes in India. The only variation we found was in the source of lighting, some households seem to have access to electricity while others state that the kerosene lamp is their main source of light. For other categories such as 'kucha/pucca' (temporary vs. solid/concrete constructed) homes, the use of woodchips and firewood as cooking fuel and toilet usage (open defecation in almost all cases), we could not reject the null hypothesis that the population means for these categories were equal across treatment and control groups when we conducted t-tests. For this reason we include only household characteristics which varied significantly across treatment and control groups.

b. Field Visits and Documentation

Additional Data was collected through discussions with project staff and field visits. We first visited the local ICCO representative in New Delhi and next visited the COFA head office in Hyderabad where we interacted extensively with project staff and collected documentation.

Two field visits were made to villages in the vicinity of Karimnagar and Adilabad in Andhra Pradesh. These are villages where COFA has been introducing organic farming practices for some years now. During these visits, we visited field sites where organic cotton was being cultivated, grain repositories, vermiculture installation pits and a watershed installation (as these are rain-fed regions). In addition, as some villages had invested the gains to organic farming in village specific assets, we visited a water purification plant, a center for cleaning and repackaging of rice and lentils, and a vocational center for computer training for youth. We interacted with members of two SHGs and spoke with training staff. These field visits gave us insights on the practicalities of how trainings are administered. We were also able to view documentation on trainings, membership registers and schedules of meetings/trainings.

We now present some descriptive statistics on our main outcome variable.

Table 1. **Summary Statistics on Monthly Consumption Across Different Groups measured at the time of the Baseline Survey**

Treatment and control groups	**Definition (Monthly Household Consumption)**	**Sample size**	**Mean (std. dev) in Rs.**
T1	New farmers who have received the COFA intervention this year	200	3100.46 (1564.30)
T2	farmers (those who are in the first year of conversion to organic status)	200	2880.45 (1319.11)
T3a	Fully Organic farmers (3 years of conversion to organic) (Matrubhumi-1)	100	2809.47 (1051.30)
T3b	Fully Organic farmers (3 years of conversion to organic (Matrubhumi-2)	100	3433.69 (1498.66)
C1	Farmers in a nearby area where COFA plans to intervene next year	300	2577.98 (1456.72)
C2	Farmers in the current area of intervention who have not joined the COFA intervention	300	2822.30 (1373.43)
Total	All farmers in Baseline (both Control and Treatment groups)	1200	2867.14 (1424.44)

Table 2. **Summary Statistics on Monthly Consumption Across Different Groups measured at the time of the Endline Survey**

Treatment and control groups	**Definition (Monthly Household Consumption)**	**Sample size**	**Mean (std. dev) in Rs.**
T1	New farmers who have received the COFA intervention this year	200	2988.05 (1873.39)
T2	farmers (those who are in the first year of conversion to organic status)	200	3396.46 (1936.88)
T3a	Fully Organic farmers (3 years of conversion to organic) (Matrubhumi-1)	100	3808.76 (2033.96)
T3b	Fully Organic farmers (3 years of conversion to organic (Matrubhumi-2)	100	3704.403 (1802.063)
C1	Farmers in a nearby area where COFA plans to intervene next year	300	2806.87 (1659.46)
C2	Farmers in the current area of intervention who have not joined the COFA intervention	300	3114.94 (1954.40)
Total	All farmers (both Control and Treatment groups)	1200	3170.57 (1886.73)

From the summary statistics we see that farmers who are in the first year of conversion to organic farming can sometimes even have lower average monthly consumption than new farmers who are just starting the program. We see this in the summary statistics from the baseline. We see that even T3a farmers have a lower monthly consumption than farmers as they start in the program. However, these same group of farmers (T3a) have much higher monthly consumption at the endline reaffirming evidence from earlier research that the gains

to organic farming to farmers are visible in the long-term (Eyhorn, Ramakrishnan and Mäder, 2007).

Regarding the other output of COFA, that 1/3 of the participating farmers should be female, we are not able to determine to what extent this outcome has been reached on the basis of the survey data that has been collected in the two rounds of data collection. Since we interviewed households we found that in almost all cases the reported head of household was male. Among the 600 treatment group households in the baseline, only 18 households reported a female head while among the 600 control group households, 31 reported a female head of household. Given that there was no attrition, this is the same in the endline. We know that almost all the surveyed household heads (predominantly male) were self-employed in agriculture. Among the women in the household, the majority (43%) stated that their primary activity was household duties while 31% reported to be self-employed in agriculture. Another 7% were gave their primary occupation as other labour activities with the remainder spread across other occupations. This distribution is almost the same between control and treatment groups. We have concluded that we cannot address this question within the framework of a household survey over the short time interval of the MFS-II evaluation. Given the status of women in the Indian village setting, this is a difficult question to collect information about. A long-term measurement of the participation of women in the treated areas in agriculture would be more appropriate.

Based on the household surveys conducted as part of the MDG evaluation, it is difficult to judge how an output such as increasing female representation achieves poverty alleviation. Certainly improving the decision-making power of women is a worthy goal in and of itself particularly in the Indian setting. However, if women participate in trainings but revert to their main occupation which is household duties, the trainings given to these women may not be the most efficient use of resources. Of course, some of the women are engaged in agriculture and may be involved in decision making regarding the choice of organic vs. non-organic agriculture. For such women, the trainings would be useful. Perhaps if the well-being of women is to be addressed, an alternative goal that explicitly addresses this issue might be set and evaluated. A numerical goal per se in terms of participating female farmers, unless it translates into the well-being of women and families, is in our view difficult to evaluate.

In order to evaluate the third output which is a 40% increase in income as a result of participating in organic farming, we assess this via difference-in-difference estimations which we discuss next.

Difference in Difference Estimates

We present difference-in-difference estimation results for the treatment group vs. the control group. Our estimations are presented in the tables in the appendix (Tables A1 through A4).

In these estimations, we compare the treatment group to a control group. Note that there are actually two sets of control groups (C1 and C2). C1 is a group of farmers from an area where COFA plans to intervene in the future while C2 comprises farmers in the current area of intervention who have opted *not* to join COFA. We find that the monthly consumption of C2 farmers is significantly higher than those of C1 farmers. That is, farmers who have opted not to join COFA have a higher monthly consumption than the control group of farmers in an area that COFA plans to intervene in the future. The difference amounts to approximately Rs. 245 in the baseline and Rs 300 per month in the endline. This is not surprising, as it is likely that the very reason that C2 farmers have not joined COFA is because they are more well-off, and are less likely to see the benefits of joining an organic farming initiative given the stringent requirements on inputs/land use, multiple year commitment etc. For the diff-in-diff estimations reported here we have chosen to pool these two control groups and treat them as a single control group. We present the results without any covariates included.

In Table A1, we present the results of a diff-in-diff estimation in which we pool all treatment groups into one and compare it to the control group. From this we find that although the treatment effect is approximately Rs. 90, it is statistically insignificant. On this basis alone, we cannot conclude that participating in the COFA program yields any benefits in terms of increased monthly consumption. However, if we disaggregate the treatment groups into T1, T2 and T3 and compare these to the control groups, a different picture emerges.

In Table A2, we present results of a diff-in-diff estimation of the treatment group T1 in comparison to the control group. Note that the treatment group T1 is a group of farmers who have in that period just joined the program. They have yet to engage in organic farming and

begin the whole organic farming trajectory. This implies that T1 in the baseline constitutes a *different* group of farmers than T1 in the endline. Therefore, the last column in Table A2 is not meaningful in this case. Although these are presented in the form of a diff-in-diff estimation, the purpose of comparing these two groups across the two time periods is to measure if indeed the two treatment groups (T1) in the baseline and endline are substantially different from each other. We notice from this table that T1 farmers (those who have opted to join the program) are somewhat better off in the baseline than those in the control group with a monthly consumption that is Rs. 400 greater. In the endline, the difference in monthly consumption between the T1 group and the control group is insignificant.

In Table A3, we present diff-in-diff estimates for the treatment group T2 vs. controls. These farmers were in the first stage of organic farming in the baseline and transited to the second year of organic farming in the endline. These farmers are compared to the control group. We see that that while the diff-in-diff estimate is positive (Rs. 269.26), it is not statistically significant.

In Table A4, we present results for the group of farmers who at the time of the baseline had just become fully organic farmers at the time of the baseline. They had completed the organic farming trajectory at the time of the baseline and are at the time of the endline in their second year as organic farmers. These farmers were in effect, fully organic farmers at the time of the baseline and at the time of the endline have one more year of experience as fully organic farmers. For these farmers we see a positive and significant treatment effect of Rs. 374.24 which is the largest treatment effect compared to the treatment effects in the previous tables.

In results not reported here, we also computed the difference in difference estimator with covariates included in the model. We included socio-demographic characteristics such as household size, number of children in the household, the education level of the head of the household (illiterate or primary education), whether the head of household was female and if the spouse of the head of household was also self-employed in agriculture.

We found that some of these covariates had some explanatory power in explaining the dependent variable (monthly consumption). Not surprisingly, larger households tended to

have higher consumption. The education level of the household head, whether or not the head of the household was a woman and whether the household head had a bank account were insignificant. Somewhat surprisingly, households in which the spouse reported being self-employed in agriculture had lower income than those household in which spouses did not. It is likely that in this setting that women work outside the home only if there is financial need and that this is associated with poorer households (which report lower monthly consumption).

The difference in difference estimates changed somewhat when the covariates were included in the model but these changes were small. On average, the difference in difference estimator was Rs 100 lower implying that socio-demographic characteristics explain some of the variance in monthly income. For example, with the socio-demographic covariates, the monthly gain to the program for fully organic farmers is Rs. 279.63 with the socio-demographic covariates included instead of Rs. 374.24 without covariates.

Efficiency of the Project

To assess the efficiency of the project, we use the benchmarks provided by the Synthesis Team (AIID, 2014) which are based on the studies of Tearfund (2013), Isern (2007) and Harper (2002). The estimated costs of such intervention based on these studies range from USD 105 to USD 1670 (based on studies on lending and empowering communities). We apply the efficiency calculation to one of the outputs of COFA which was to have 15,000 farmers participate for one or more years in organic farming. We feel that applying an efficiency type calculation to the other output, that 1/3 of the farmers should be female is less meaningful and we have no benchmark as to what it 'costs' to have a certain proportion of women participants. We defer the discussion of the attainment of the other output of COFA that the income of farmers should have increased by 40% in relation to income from farming over the course of the program to the Discussion section.

COFA states that 9647 farmers are now organically certified. Given that the entire organic farming trajectory takes three years, this translates into 9647 X 3 farmer years which is 28,941 farmer years spent in the trajectory into fully certified organic farming. The MFS-II funding was an initial EUR 700,000 and an additional EUR 134,215 was granted for the period 1

April 2012 to 30 September 2014. This implies a total budget of EUR 814,215. This budget was used for capacity building as well but as an estimate, if we calculate how much one farmer year costs, this is then EUR 814,215 divided by 28,941. This comes to a cost of EUR 28.23 per farmer year. It is likely of course that the costs per year may differ. The intensity of trainings etc. may be higher in the initial and intermediate year and involve much more handholding. Even if we treat the entire 3 year organic farming trajectory as a one shot process, the cost of the conversion of the 9641 farmers into organic farmers (so EUR 814,215 divided by 9647) is EUR 84.40. Even with the conversion to USD, this is at the lower range of the estimates based on previous studies. Also, besides the conversion into full organic status, COFA is states that it works on community building. The 15,279 farmers in COFA are organized into 978 farmer Self Help Groups (SHGs). Since the estimates from Tearfund (2013), Harper (2002) and Isern (2007) mentioned in the literature review (AIID 2014) are not specific to organic farming interventions, we could also use these estimates to compare the costs of organizing the 15,279 farmers into SHGs. Again treating this organizing into SHGs as single process, this implies that the cost of converting these farmers into SHGs amounts to EUR 53.28 per farmer. One issue to note is that COFA is funded not only by MFS-II but also by a local partner to the amount of EUR 241,545 and by Solidaridad to the amount of EUR 614,346. If we include these amounts as well, we the cost one farmer year in the organic farming trajectory to be EUR 173.12 which is still on the low end of the range of the estimates from past studies. From these calculations, we can infer that the project is efficient.

6. Discussion and Conclusion

In this paper, we have assessed the impact of the capacity building project of COFA funded by MFS II (through ICCO). The project had three outputs. Regarding the output of reaching 15,000 farmers, we infer that although this output has not yet been reached, that COFA appears to be making progress on this as it started with only 234 farmers in 2004. According to the Chetna Organic website, “Among a total number of 15,279 farmers covered as on August 2012, 9647 farmers are administered in organic certification from the group of small and marginalized farmers. The website also states that 15,279 farmers in Chetna are organized into 978 farmer Self Help Groups which are federated into 13 cluster level cooperatives. During the current phase, all cooperatives engaged in aggregation of their members, produce and collect sales through the Chetna Organic Agriculture Producer

Company Limited." From this we infer that the initial steps which is to form SHGs and cooperatives has been achieved for a large enough sample of 15,279, and that there is progress towards meeting the output of 15,000. The second output of COFA is formulated as "farmers should experience increased with 40% from farming in the course of the programme." To assess this output, one would have to compare the income of farmers at the initiation of the program and to the income of the same set of farmers after they have completed the organic farming trajectory. Given the time schedule of the MFS-II evaluation, we could not measure this as this would mean that we measure income for new farmers starting in the program and then again three years later. However, on the basis of the diff-in-diff estimates presented in the Appendix, we can make the following comparisons. We can compare the income (or to be precise, consumption) of a control group of farmers to a group of fully organic farmers. On the basis of the diff-in-diff estimates we see that in the baseline, fully organic farmers earned Rs. 3121.58 vs. a control group farmer who earned Rs. 2700.14 (a difference of approximately 15.61%). Similarly, in the endline, a fully organic farmer earned on average Rs. 3756.58 in contrast to a control group farmer who earned Rs. 2960.91 (a difference of 26.87%). The diff-in-diff estimate of the program effect measured between 2012 and 2014 while statistically significant is Rs. 374.24 (a difference of approximately 13.69%). While these differences are much lower than the output set by COFA of 40%, we we question if an income increase of 40% may not be too ambitious given the fluctuation in cotton prices, weather conditions etc.

In addition to the standard questions included in both the baseline and endline survey, we included a short set of questions on views about organic farming (we drew from the literature on organic farming practices in developing this set of questions). These questions were in the form of a set of statements and the respondents had to agree or disagree along a Likert scale. The questions were a mix of both positive and negatively phrased questions such as "Chemical pesticides are more suitable to control pests (rather than using organic farming techniques)" and "Organic farming decreases production costs by reducing input purchases such as seeds, chemical fertilisers and pesticides." What was interesting from this set of questions on views about organic farming is that there is little difference between the treatment and control groups along certain dimensions. Both treatment and control groups agree that using chemicals does not help very much against pests and both groups are neutral about whether it helps against weeds. Farmers in the treatment group are more likely than the

control group to have the view that farmers and their families are healthier when they engage in organic farming and that the quality of land is better preserved through organic farming. Both treatment and control groups feel that organic farming is more time consuming than conventional farming and that consumers benefit more from organic farming than farmers. However, what is telling is that it is the *treatment* group members that feel more strongly that organic farming is difficult to implement because of the difficulty in obtaining organic inputs. The treatment and control groups differ significantly along this dimension. This could be because it is the treatment group which is currently engaged in organic farming practices and is faced with difficulties in obtaining organic inputs. This is an important issue to note as it implies that this aspect of the supply chain needs to be paid attention to if organic farming is to be sustained. The responses to this question reinforce the findings of an earlier study done by COFA in which farmers with medium holdings of land (rather than small holder farmers) are less likely to remain in organic farming because of the difficulty in obtaining sufficient quantities of organic inputs.

Based on the quantitative analyses of the household level data, and the qualitative evidence based on our fieldwork, it is our conclusion that the project is well-designed and suitable for the environment in which is it being implemented. It is because of the linkages to the producer company and international linkages that organically farmed cotton is viable. On the basis of our experience, we would advise to fund a similar project (or continue funding this one). The changes we would recommend would be in terms of greater support in the intermediate stages of organic farming. When we examine the data on monthly consumption, we notice that farmers in their first year of organic farming experience much lower monthly consumption than at the end of the trajectory and also in comparison to some control group farmers. It is our view that COFA's efforts maybe well used in assisting farmers in obtaining organic inputs. From their own research and published research on this topic, it appears this is a stumbling block in completing the organic farming trajectory.

Regarding improvements to the impact evaluation, one issue we could not address because of the short-time frame is to really follow farmers from different cohorts in their organic farming trajectory. A three year time window at least in the case of this project may have yielded additional insights which we have not been able to obtain in this study.

The project was well-designed 10

The project was implemented as designed 10

The project reached all its objectives 7

The observed results are attributable to the project interventions 7

The observed results are relevant to the project beneficiaries 7

The project was implemented efficiently 10

Note that the score on "The observed results are attributable to the project interventions" reflects how well we could evaluate the program. Therefore, it is not a score of the program. The objectives used to score on this aspect are given in the country summary.

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Table A1. Difference in Difference Estimation Results (without covariates) for Treatment Group vs. Controls.

DIFFERENCE IN DIFFERENCES ESTIMATION

	BASE LINE			FOLLOW UP			
Outcome Variable	Control	Treated	Diff(BL)	Control	Treated	Diff(FU)	DIFF-IN-DIFF
tot_cons	2700.137	3029.360	329.223	2960.907	3380.233	419.326	90.103
Std. Error	67.869	67.869	95.981	67.869	67.869	95.981	135.738
t	39.78	44.64	3.43	43.63	49.81	4.37	0.66
P>|t|	0.000	0.000	0.001***	0.000	0.000	0.000***	0.507

* Means and Standard Errors are estimated by linear regression
**Inference: *** p<0.01; ** p<0.05; * p<0.1

Table A2. Difference in Difference Estimation Results (without covariates) for Treatment Group (T1) vs. Controls.

DIFFERENCE IN DIFFERENCES ESTIMATION

	BASE LINE			FOLLOW UP			
Outcome Variable	Control	Treated	Diff(BL)	Control	Treated	Diff(FU)	DIFF-IN-DIFF
tot_cons	2700.137	3100.461	400.324	2960.907	2988.048	27.142	-373.182
Std. Error	67.573	117.040	135.146	67.573	117.040	135.146	191.126
t	39.96	26.49	2.96	43.82	25.53	0.20	-1.95
P>|t|	0.000	0.000	0.003***	0.000	0.000	0.841	0.051*

* Means and Standard Errors are estimated by linear regression
**Inference: *** p<0.01; ** p<0.05; * p<0.1

Table A3. Difference in Difference Estimation Results (without covariates) for Treatment Group (T2) vs. Controls.

DIFFERENCE IN DIFFERENCES ESTIMATION

	BASE LINE			FOLLOW UP			
Outcome Variable	Control	Treated	Diff(BL)	Control	Treated	Diff(FU)	DIFF-IN-DIFF
tot_cons	2700.137	2866.044	165.906	2960.907	3396.068	435.162	269.255
Std. Error	66.905	115.883	133.810	66.905	115.883	133.810	189.236
t	40.36	24.73	1.24	44.26	29.31	3.25	1.42
P>|t|	0.000	0.000	0.215	0.000	0.000	0.001***	0.155

* Means and Standard Errors are estimated by linear regression
**Inference: *** p<0.01; ** p<0.05; * p<0.1

Table A4. Difference in Difference Estimation Results (without covariates) for Treatment Group (T3) vs. Controls.

DIFFERENCE IN DIFFERENCES ESTIMATION

	BASE LINE			FOLLOW UP			
Outcome Variable	Control	Treated	Diff(BL)	Control	Treated	Diff(FU)	DIFF-IN-DIFF
tot_cons	2700.137	3121.575	421.438	2960.907	3756.582	795.675	374.237
Std. Error	66.776	115.660	133.553	66.776	115.660	133.553	188.872
t	40.44	26.99	3.16	44.34	32.48	5.96	1.98
P>|t|	0.000	0.000	0.002***	0.000	0.000	0.000***	0.048**

* Means and Standard Errors are estimated by linear regression
**Inference: *** p<0.01; ** p<0.05; * p<0.1

Endline report – India, FFID MFS II country evaluations

Capacity of Southern Partner Organisations (5C) component

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This report presents the findings of the endline of the evaluation of the organisational capacity component of the MFS II country evaluations. The focus of this report is India, FFID. The format is based on the requirements by the synthesis team and NWO/WOTRO. The endline was carried out in 2014. The baseline was carried out in 2012.

Key words: 5C (five core capabilities); attribution; baseline; causal map; change; CFA (Co-financing Organisation) endline; organisational capacity development; SPO (Southern Partner Organisation).

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The India 5C evaluation team

List of abbreviations and acronyms

3DP&L	Three Dimensional Profit and Loss
5 C	Capacity development model which focuses on 5 core capabilities
AP	Andhra Pradesh
APMAS	Technical resource organization in Andhra Pradesh
ASHA	Alliance for Holistic Agriculture
BioRe	bioRe India Limited, organic producer company
BRGF	Backward Regions Grant Fund
CAGR	compound annual growth rate
CAIM	Convergence of Agriculture Initiatives in Maharashtra
Causal map	Map with cause-effect relationships. See also 'detailed causal map'.
Causal mechanisms	The combination of parts that ultimately explains an outcome. Each part of the mechanism is an individually insufficient but necessary factor in a whole mechanism, which together produce the outcome
CBO	Community Based Organisation
CDI	Centre for Development Innovation, Wageningen University & Research centre
CFA	Co-Financing Agency
CICR	Central Integrated Cotton Research
COAPCL	Chetna Organic Agriculture Producer Co. Ltd.
COFA	Chetna Organic Farmers Association
CSA	Centre for Sustainable Agriculture
Detailed causal map	Also 'model of change'. The representation of all possible explanations – causal pathways for a change/ outcome. These pathways are that of the intervention, rival pathways and pathways that combine parts of the intervention pathway with that of others. This also depicts the reciprocity of various events influencing each other and impacting the overall change. In the 5C evaluation identified key organisational capacity changes and underlying reasons for change (causal mechanisms) are traced through process tracing (for attribution question).
DFID	Department for International Development
ED	Executive Director
FAO	Food and Agriculture Organisation of the United Nations
FCRA	Foreign Contribution Regulation Act
FFID	Forum for Integrated Development
FiBL	The Research Institute of Organic Agriculture FiBL Switzerland
FTF	Fair Trade Federation
General causal map	Causal map with key organisational capacity changes and underlying reasons for change (causal mechanisms), based on SPO perception.
GS	General Secretary
GSDP	Gross State Domestic Product
ICS	Incident Command System
IDF	India Development Foundation
IFAD	International Fund for Agricultural Development
IGWDP	Indo-German Watershed Development Programmes
IOCL	Indian Oil Corporation Limited
IPM	Integrated Pest Management
IWMP	Integrated Watershed Management Program
KfW	Kreditanstalt für Wiederaufbau (German Development Bank)
M&E	Monitoring and Evaluation
MFS	Dutch co-financing system
MIS	Management Information System

MKSP	Mahila Kisan Sashaktikaran Pariyojana
MoRD	Ministry of Rural Development
NABARD	National Bank for Agriculture and Rural Development
NABFINS	NABARD Financial Services Limited
NGO	Non-Governmental Organisation
NPMI	Non-pesticide Management Initiative
NPMi	National Produce Marketing Inc.
NREGS	National Rural Employment Government Scheme
NRLM	National Rural Livelihood Mission
NTF	Non-Tariff Forest
OD	Organisational Development
OTELP	Orissa Tribal Empowerment and Livelihoods project
PME	Planning, Monitoring and Evaluation
Process tracing	Theory-based approach to trace causal mechanisms
SDTT	Sir Dorabji Tata Trust
SFC	Shop for Change Fair Trade
SHGs	Self Help Groups
SODI	South Odisha Development Initiative
SPO	Southern Partner Organisation
SRI	System of Rice Intensification
RRA	Revitalizing Rainfed Agriculture Network
RCDC	Regional Centre for Development Cooperation
ToC	Theory of Change
UASD	University of Agriculture Sciences, Dharwad
Wageningen UR	Wageningen University & Research centre

1 Introduction & summary

1.1 Purpose and outline of the report

The Netherlands has a long tradition of public support for civil bi-lateral development cooperation, going back to the 1960s. The Co-Financing System (*Medefinancieringsstelsel*, or 'MFS') is its most recent expression. MFS II is the 2011-2015 grant framework for Co-Financing Agencies (CFAs), which is directed at achieving a sustainable reduction in poverty. A total of 20 consortia of Dutch CFAs have been awarded €1.9 billion in MFS II grants by the Dutch Ministry of Foreign Affairs (MoFA).

The overall aim of MFS II is to help strengthen civil society in the South as a building block for structural poverty reduction. CFAs receiving MFS II funding work through strategic partnerships with Southern Partner Organisations.

The MFS II framework stipulates that each consortium is required to carry out independent external evaluations to be able to make valid, evaluative statements about the effective use of the available funding. On behalf of Dutch consortia receiving MFS II funding, NWO-WOTRO has issued three calls for proposals. Call deals with joint MFS II evaluations of development interventions at country level. Evaluations must comprise a baseline assessment in 2012 and a follow-up assessment in 2014 and should be arranged according to three categories of priority result areas as defined by MoFA:

- Achievement of Millennium Development Goals (MDGs) & themes;
- Capacity development of Southern partner organisations (SPO) (5 c study);
- Efforts to strengthen civil society.

This report focuses on the assessment of capacity development of southern partner organisations. This evaluation of the organisational capacity development of the SPOs is organised around **four key evaluation questions**:

1. What are the changes in partner organisations' capacity during the 2012-2014 period?
2. To what degree are the changes identified in partner capacity attributable to development interventions undertaken by the MFS II consortia (i.e. measuring effectiveness)?
3. Were the efforts of the MFS II consortia efficient?
4. What factors explain the findings drawn from the questions above?

The purpose of this report is to provide endline information on one of the SPOs involved in the evaluation: FFID in India. The baseline report is described in a separate document.

Chapter 2 describes general information about the Southern Partner Organisation (SPO). Here you can find general information about the SPO, the context in which the SPO operates, contracting details and background to the SPO. In chapter 3 a brief overview of the methodological approach is described. You can find a more detailed description of the methodological approach in appendix 1.Chapter 4 describes the results of the 5c endline study. It provides an overview of capacity development interventions of the SPO that have been supported by MFS II. It also describes what changes in organisational capacity have taken place since the baseline and why (evaluation question is 1 and 4). This is described as a summary of the indicators per capability as well as a general causal map that provides an overview of the key organisational capacity changes since the baseline, as experienced by the SPO. The complete overview of descriptions per indicator and how these have changed since the baseline is described in appendix 3. The complete visual and narrative for the key organisational capacity changes that have taken place since the baseline according to the SPO staff present at the endline workshop is presented in appendix 4.

For those SPOs involved in process tracing a summary description of the causal maps for the identified organisational capacity changes in the two selected capabilities (capability to act and commit; capability to adapt and self-renew) is provided (evaluation questions 2 and 4). These causal maps describe the identified key organisational capacity changes that are possibly related to MFS II

interventions in these two capabilities, and how these changes have come about. More detailed information can be found in appendix 5.

Chapter 5 presents a discussion on the findings and methodology and a conclusion on the different evaluation questions.

The overall methodology for the endline study of capacity of southern partner organisations is coordinated between the 8 countries: Bangladesh (Centre for Development Studies, University of Bath; INTRAC); DRC (Disaster Studies, Wageningen UR); Ethiopia (CDI, Wageningen UR); India (CDI, Wageningen UR: Indonesia (CDI, Wageningen UR); Liberia (CDI, Wageningen UR); Pakistan (IDS; MetaMeta); (Uganda (ETC). Specific methodological variations to the approach carried out per country where CDI is involved are also described in this document.

This report is sent to the Co-Financing Agency (CFA) and the Southern Partner Organisation (SPO) for correcting factual errors and for final validation of the report.

1.2 Brief summary of analysis and findings

Since the baseline, two years ago, FFID has seen no change in its overall capability to act and commit, though there was deterioration in staff turnover and funding procedures improved. FFID has very slightly improved in its capability to adapt and self-renew, which was mainly due to more focussed data collection and better reports after an effective communications and a financial management workshop by ICCO. The organisation also very slightly improved in terms of the capability to deliver on development objectives, as operational plans are informed by better M&E, feedback mechanisms improved, and balancing quality and efficiency improved. There has been a very slight improvement in FFID's capability to relate because they are working more with the government, are more involved in different networks, interact more with the field and there is more internal sharing of learnings from trainings. There have been no changes in the indicators under the capability to achieve coherence.

The evaluators considered it important to also note down the SPO's story in terms of changes in the organisation since the baseline, and this would also provide more information about reasons for change, which were difficult to get for the individual indicators. Also for some issues there may not have been relevant indicators available in the list of core indicators provide by the evaluation team. During the endline workshop some key organisational capacity changes were brought up by FFID's staff: improved planning, monitoring and evaluation; diversification of funding; and improved compliances with HR and financial norms. These changes happened to overlap with the key organisational capacity changes that were selected for process tracing because they were linked to MFS II funded capacity development interventions. Under improved PME, improved planning can be partly attributed to MFS II funded interventions and partly to internal factors within FFID and their improved M&E system can almost completely be attributed to MFS II funded capacity development interventions. In diversifying FFID's funding base, only one MFS II funded capacity development intervention (an effective communications workshop in 2013) has played a role and this role was minor in terms of FFID's diversification of funding. External factors like the changing climate and demand for organic cotton; internal factors like the strategic change and projects and trainings with other funders have played a more important role in stimulating the organisation to diversify its FFID's funding base. Finally for FFID's improved compliances with HR and financial norms, only the compliance to financial norms can to a large extent be attributed to an MFS II funded capacity development intervention (a financial management workshop). The compliance to HR norms was because of internal developments at FFID.

2 Context and General Information about the SPO – FFID

2.1 General information about the Southern Partner Organisation (SPO)

Country	India
Consortium	ICCO Alliance
Responsible Dutch NGO	ICCO
Project (if applicable)	COFA – Strengthening Institutional Arrangements (1 April 2012 – 30 September 2014)
Southern partner organisation	Forum for Integrated Development (FFID)

The project/partner is part of the sample for the following evaluation component(s):

Achievement of MDGs and themes	X
Capacity development of Southern partner organisations	X
Efforts to strengthen civil society	

2.2 The socio-economic, cultural and political context in which the partner operates

Forum for Integrated Development (FFID) is an organisation that works among the poor rural (disadvantaged) communities of the undivided Andhra Pradesh (comprising Seemandhra[1] and Telangana), Odisha and Maharashtra to empower them, enhance their livelihood and food security. In June 2014, after a protracted struggle, the state of Andhra Pradesh was divided into Seemandhra and Telangana.[2] Telangana region is the part of the erstwhile state which was under the princely rule of Nizam of Hyderabad, while Seemandhra region was part of British India, Madras Province. The Telangana region is mostly forested and rich with cultural, social and geological wealth which leads to a diverse economy. Though undivided Andhra Pradesh was the largest producer of rice in India and called 'The Rice Bowl of India,' it still remains one of the backward regions in the country. According to a study by the Planning Commission nine out of the ten districts in the Telangana state fall under the Backward Regions Grant Fund (BRGF)[3]. Telangana is spread over 114,84 lakh hectares and with a

[1] Formerly known as Coastal Andhra and Rayalaseema.

[2] On 2nd June 2014 Telangana emerged out of the existing state of Andhra Pradesh and became a new state of India. Due to the bifurcation of Andhra Pradesh, most of the areas under FFID's operation now fall under Telangana, though the some do exist in Andhra Pradesh, Odisha and Maharashtra.

[3] The Backward Regions Grant Fund is designed to redress regional imbalances in development. The fund provides financial resources for supplementing and converging existing developmental inflows into 250 identified districts, so as to: bridge critical gaps in local infrastructure and other development requirements that are not being adequately met through existing inflows and empower the local government through capacity building exercises. These districts also have been selected on the basis of a higher concentration of STs and SCc and primitive tribes.

population of 35 million (2011 Census) is the 12th most populous state of India. About 39% (by 2011) of the state population is Urban and rest is Rural. The literacy rate of the State is 66.46 per cent (72.99 per cent in India) and that in the rural and urban areas are 57.25 per cent and 81.08 percent respectively. The Scheduled Castes and Scheduled Tribes account respectively for 15.4% and 9.3% (2011 census) of the total population in the state. There are about 55.7% (2011 census) agricultural workers which are slightly higher than all India at 54.6%.[4] There is around 57.77 lakh hector rain fed area.[5]

Agriculture

Agriculture remains an important part of the economy for Telangana region. The agriculture sector recorded average growth rate of 7.2% (at constant price) compared to national average of 4.0% during 2005-13[6]. However, this sector witnessed major changes in the production of crops; for instance, in 1980s there was a shift from traditional cereal-based system to commercial commodities such as oil seeds, cotton and sugarcane. In 1990s, due to droughts, there was a shift towards high-value commodities: fruits, vegetables, milk, meat, poultry and fish. In the period from 2010 to 2011 the sector gradually improved. In 2012-13 Telangana region contributes for about 19.46% (at current price) from the agriculture to the state GSDP[7]. However, according to the 2012-13 economic survey, the growth in Telangana is mainly driven by the industry and services sectors.[8] There is sharp increase in the cotton production from 53.50 lakh bales in 2011-12 to 77.50 lakh bales in 2012-13.[9] However, in 2011-13 there is more than 35% decline in the organic cotton production in India. Considering the fact that agriculture is an important part of state economy and three fourth of rural populations are predominantly agricultural, improving farm incomes and ensuring sustainable growth in agriculture and allied sectors are of top priority for the state.

Over the years higher cotton yields gradually transformed into a mono-cropping culture. With the fluctuation in the climatic conditions there is a shift toward mixed crop production and non-agricultural production such as livestock. The government of Telangana in vision 2014 has planned for sustainable growth of agriculture and its allied sector. Increased diversification of cropping pattern, community managed sustainable agriculture (cost reducing technologies with collective institutional setting), adaption of SRI (system of rice intensification) technology, interest free credit to farmers, ensuring quality input supplies to the farmers, developing seed banks etc., are some of the aspects of government strategy to sustainable growth in agriculture and its allied sector.[10] The greatest challenge for the government is to make the programmes and schemes accessible to the poor and marginal farmers.

In the last two years considering the decline in the demand and production of organic cotton and frequent fluctuation in the climatic condition compelled FFID/Chetna to shift to diversified cropping and mixed cropping practices along with allied agricultural production and non-agricultural production. Also it is looking forward to make the cooperatives self-sustainable by building institutional and financial linkages between cooperatives and Self Help Groups with Government departments, NABARD Financial Services Limited (NABFINS), and other private players. FFID/Chetna's vision and strategy being well aligned to that of the government creates a better hope for the sustainable livelihood for the poor and marginal farmers of the region.

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[4] Socio-Economic-outlook-2014 [Accessed from: http://www.telangana.gov.in/Other%20Docs/Socio-Economic-outlook-2014.pdf]

[5] Climate Change: Strategies of Adaptation and Mitigation in Rainfed Agriculture in Relation to Water Management in Andhra Pradesh

[6] Directorate of Economics & Statistics [Accessed from: Accessed from: http://www.telangana.gov.in/Other%20Docs/Socio-Economic-outlook-2014.pdf]

[7] Gross State Domestic Product

[8] Directorate of Economics & Statistics [Accessed from: http://www.telangana.gov.in/Other%20Docs/Socio-Economic-outlook-2014.pdf]

[9] http://www.cicr.org.in/Database/dbcapp4.html

[10] Socio-Economic-outlook-2014 [Accessed from: http://www.telangana.gov.in/Other%20Docs/Socio-Economic-outlook-2014.pdf]

2.3 Contracting details

When did cooperation with this partner start: 2007

What is the MFS II contracting period: April 1, 2012 until September 30, 2014.

Did cooperation with this partner end: Yes, but ICCO is planning an evaluation of the project now and they are still awaiting the final reports.

If yes, when did it finish: 30 September 2014.

What is the reason for ending the cooperation with this partner: The partner has scaled up its intervention, their funding has diversified and government has picked up some of their models.

Is there expected collaboration after 30 September 2014: Not in the current context. ICCO might look at a different partnership once they come across any such opportunity.

2.4 Background to the Southern Partner Organisation

History

The Forum for Integrated Development (FFID) was established on 10th march, 1995 as non-profit organization under the Andhra Pradesh Telangana areas/Societies Act 1350 Fasli (Act of 1350F). This was a result of a group of likeminded people from different professional background (including Technology, Agriculture, Social Sciences, Journalists/Writers, etc.) joining hands with an aim to work towards reducing rural distress through empowering and strengthening rural communities (especially small and marginal farmers and disadvantaged communities). FFID's emphasis is to develop, promote and popularize alternative models in agriculture, natural resources management, soil and water conservation, agro-ecology and non-conventional energy sources leading to sustainability in social, economic and ecological development.

In 2004-07 ICCO and Solidaridad jointly initiated the Chetna Organic & Fair Trade Cotton Supply Chain Intervention Program India as a composite pilot on developing an entire supply chain in Organic/NPM[11] & Fair Trade Cotton. This incidentally rolled out as a natural spin off to the then just concluding FAO-EU Cotton Integrated Pest Management (IPM) Project in India and mainly to address the agrarian crisis faced by smallholder cotton farmers in the rain fed regions in India.

In 2008, ICCO & Solidaridad roped in and partnered with the Forum for Integrated Development (FFID), to implement the second phase of the Chetna program (2008 – 2011/12) and to support COFA in the process to deliver efficient services. COAPCL is currently represented on its board by 14[12] cotton farmers' cooperatives which was 9 in 2011-12 as equity shareholders. COAPCL was incorporated with the main objective of developing sustainable market linkages for farmer's produce in the national and the international markets, apart from offering capacity building support to farmers on quality control, certification and value addition.

FFID continues to provide guardianship support to both Chetna Organic Farmers Association (COFA) and Chetna Organic Agriculture Producer Company Ltd (COAPCL) to evolve into professional and well established farmers' support organizations. COFA was registered by representative farmers of Chetna as a multi-state society (under the Andhra Pradesh Societies Registration Act 2001) in June 2007. Owing to lack of a FCRA clearance (regulatory clearance required for receiving foreign funds), project COFA was merged with another NGO FFID, which now acts as the guardian body for COFA. As a result, all funds are routed through FFID to a project account called FFID-COFA and are used for the purpose of COFA, which is indicated as a project of FFID. COFA works towards sustainable & diversified agriculture, water & soil conservation, enhancement of livelihood options and food security, socio-

[11] Non-pesticide Management
[12] Annual Report_ICCO_01 April 2013- 31 March 2014

technical extension, research, policy advocacy & campaigning for the smallholder farmers from rain fed regions. COAPCL a producer company was registered under part IX A of the company's act 1956. It is small farmers owned commodity marketing company promoted by regional cooperatives from the three operational states as mentioned above. It supports these farmers in marketing their cotton, non-cotton agriculture and Non-Tariff Forest (NTF) produce and certification.

Chetna is an organic cotton program that works with 40,197 (till December 2013)[13] farmers and landless labourers in all three States – Telangana (Adilabad & Karimnagar districts), Maharashtra (Amravathi, Akola & Yavatmal districts) and Odisha (Kalahandi, Bolangir, Koraput and Rayagada districts) through organic, in-conversion and Non Pesticide Management programmes. It has been working with the farmers for the past seven years with the aim of promoting the use of organic farming amongst its farmers (particularly in cotton and since last year diversified into multi-cropping system), in addition to putting in efforts towards empowerment of farmers by organizing them into Self Help Groups/FGs & CBOs while promoting cooperatives at cluster level and brings them on its board as member institutions. Further COFA strives to put in place various participatory and decentralized processes to build the capacities of the SHGs, member cooperatives and other forms of producer institutions in all aspects of governance, operational management and business planning.

FFID/COFA during 2012-13 traversed towards evolving into a vibrant farmers' support organization that works towards addressing the multidimensional challenges encountered by the smallholder farmers from rain fed regions. The interventions range from natural resource management, promotion of sustainable agriculture, conservation of germplasm, diversification of livelihood portfolio of farmer households, value chain development beyond cotton, food and nutrition security, gender mainstreaming and child welfare. During this period FFID/COFA entered into new collaboration/partners or renewed with various supporting and promoting agencies while rolling out the large scale expansion of the COFA programme in convergence with mainstream government and bi-lateral projects. Some of the convergence programmes are: Integrated Watershed Management Program (IWMP) in Adilabad district supported by the Ministry of Rural Development (MoRD), Govt. of India, Convergence of Agriculture Initiatives in Maharashtra (CAIM), supported by Govt. of Maharashtra and International Fund for Agricultural Development (IFAD), the Orissa Tribal Empowerment and Livelihoods project (OTELP) supported by Govt. of Odisha and Department for International Development (DFID) and Mahila Kisan Sashaktikaran Pariyojana (MKSP) a women farmers' empowerment project supported by National Rural Livelihood Mission (NRLM) initiated in 2013 in the Rayagada district of Odisha. In this project ICCO is supporting the value chain development of Pigeon Pea and turmeric through SODI cooperative partner.

Over the last two years, a decrease in the demand for organic cotton and fluctuation in the climatic condition forced FFID/Chetna to focus and change its strategy from mono-cropping to diversified cropping and mixed cropping practices where food crops like jowar, paddy, red gram, vegetables, maize, green gram and others could be grown alongside cotton. Legumes, vegetables like tomato, brinjal, chilli, gourds, beans, onion, garlic and leafy vegetables and oil seed crops are also being grown; along with non-agricultural productions such as livestock. This would not only ensure food security for the farmer but also improve soil health. Further change in climatic conditions (heavy rains, Phailin[14] cyclone) also triggered diversified programme implementation and expansion of activities to newer locations. The staff felt that in the changing scenario there was a need for revisiting the organisation's vision and in June 2013 the vision, mission and strategies of the organisation was re-articulated.

Vision

To promote economically and socially viable agrarian based livelihoods in rain-fed and other ecologically depressed regions through sustainable agriculture.

Mission

[13] FFID-Annual_Report_2013

[14] A very severe cyclone that originated in Southern China Sea on October 2013, that affected Andhra Pradesh, Odisha, Jharkhand and other Indian States

Develop and promote alternative models in agriculture, agro-ecology and non-conventional energy sources for sustainability in social, economic and ecological environmental development.

Strategies

- To support, empower and strengthen rural communities (esp. small holder farmers and disadvantaged communities) in coping with adverse situation and attaining self-sufficiency.
- To develop, promote and popularize alternative models in agriculture, agro-ecology, non-conventional energy sources natural resources management, soil and water conservation, agro-ecology and non-conventional energy sources leading to sustainability in social, economic and ecological development.
- To engage in policy, advocacy and campaigns aimed towards re-orientation policies in favour of sustainable agriculture and agro-ecology.
- Encourage all the institutions in generating their own resources and manage affairs with little external support. Towards this, convergence with government and non-government agencies.
- Enhancing productivity and reducing costs of cultivation. A holistic approach with ecologically aligned technical interventions and internalized inputs for production in rain-fed and other ecologically depressed regions.

Unit of analysis

FFID is supporting the Chetna Organic & Fair Trade Cotton Intervention Programme which spawns the twin farmer owned organisations Chetna Organic Farmers Association (COFA) and Chetna Organic Agriculture Producer Company Ltd (COAPCL) to evolve into professional and well established farmers' support organizations. Although ICCO is supporting COFA, FFID has been selected as the unit of analysis as COFA is prohibited by Indian laws to receive foreign funding. FFID is also involved in setting up COFA's organisational structure. COFA staff is on the payroll of FFID.

3 Methodological approach and reflection

3.1 Overall methodological approach and reflection

This chapter describes the methodological design and challenges for the assessment of capacity development of Southern Partner Organisations (SPOs), also called the '5C study'. This 5C study is organised around **four key evaluation questions**:

1. What are the changes in partner organisations' capacity during the 2012-2014 period?
2. To what degree are the changes identified in partner capacity attributable to development interventions undertaken by the MFS II consortia (i.e. measuring effectiveness)?
3. Were the efforts of the MFS II consortia efficient?
4. What factors explain the findings drawn from the questions above?

It has been agreed that the question (3) around efficiency cannot be addressed for this 5C study. The methodological approach for the other three questions is described below. At the end, a methodological reflection is provided.

Note: this methodological approach is applied to 4 countries that the Centre for Development Innovation, Wageningen University and Research centre is involved in in terms of the 5C study (Ethiopia, India, Indonesia, and Liberia). The overall approach has been agreed with all the 8 countries selected for this MFS II evaluation. The 5C country teams have been trained and coached on this methodological approach during the evaluation process. Details specific to the SPO are described in chapter 5.1 of the SPO report a detailed overview of the approach is described in appendix 1.

The first (changes in organisational capacity) and the fourth evaluation question are addressed together through:

- **Changes in the 5C indicators since the baseline:** standard indicators have been agreed upon for each of the five capabilities of the five capabilities framework (see appendix 2) and changes between the baseline and the endline situation have been described. For data collection a mix of data collection methods has been used, including self-assessments by SPO staff; interviews with SPO staff and externals; document review; observation. For data analysis, the Nvivo software program for qualitative data analysis has been used. Final descriptions per indicator and per capability with corresponding scores have been provided.
- **Key organisational capacity changes – 'general causal map':** during the endline workshop a brainstorm has been facilitated to generate the key organisational capacity changes as perceived by the SPO since the baseline, with related underlying causes. For this purpose, a visual as well as a narrative causal map have been described.

In terms of the attribution question (2 and 4), **'process tracing'** is used. This is a theory-based approach that has been applied to a selected number of SPOs since it is a very intensive and costly methodology, although it provides rich information and can generate a lot of learning within the organisations. This approach was presented and agreed-upon during the synthesis workshop on 17-18 June 2013 by the 5C teams for the eight countries of the MFS II evaluation. A more detailed description of the approach was presented during the synthesis workshop in February 2014. The synthesis team, NWO-WOTRO, the country project leaders and the MFS II organisations present at the workshop have accepted this approach. It was agreed that this approach can only be used for a selected number of SPOs since it is a very intensive and costly methodology. Key organisational capacity changes/ outcomes of the SPO were identified, based on their relationship to the two selected capabilities, the capability to act and commit the capability to adapt and self-renew, and an expected relationship with CFA supported capacity development interventions (MFS II funding). It was agreed to

focus on these two capabilities, since these are the most targeted capabilities by the CFAs, as established during the baseline process.

Please find below an explanation of how the above-mentioned evaluation questions have been addressed in the 5C evaluation.

At the end of this appendix a brief methodological reflection is provided.

3.2 Assessing changes in organisational capacity and reasons for change - evaluation question 1 and 4

This section describes the data collection and analysis methodology for answering the first evaluation question: **What are the changes in partner organisations' capacity during the 2012-2014 period?** And the fourth evaluation question: **"What factors explain the findings drawn from the questions above?"**

In order to explain the changes in organisational capacity development between baseline and endline (evaluation question 1) the CDI and in-country evaluation teams needed to review the indicators and how they have changed between baseline and endline and what reasons have been provided for this. This is explained below. It has been difficult to find detailed explanations for changes in each of the separate 5c indicators, but the 'general causal map' has provided some ideas about some of the key underlying factors actors and interventions that influence the key organisational capacity changes, as perceived by the SPO staff.

The evaluators considered it important to also note down a consolidated SPO story and this would also provide more information about what the SPO considered to be important in terms of organisational capacity changes since the baseline and how they perceived these key changes to have come about. Whilst this information has not been validated with sources other than SPO staff, it was considered important to understand how the SPOs has perceived changes in the organisation since the baseline.

For those SPOs that are selected for process tracing (evaluation question 2), more in-depth information is provided for the identified key organisational capacity changes and how MFS II supported capacity development interventions as well as other actors, factors and interventions have influenced these changes. This is integrated in the next session on the evaluation question on attribution, as described below and in the appendix 1.

How information was collected and analysed for addressing evaluation question 1 and 4, in terms of description of changes in indicators per capability as well as in terms of the general causal map, based on key organisational capacity changes as perceived by the SPO staff, is further described below.

During the baseline in 2012 information has been collected on each of the 33 agreed upon indicators for organisational capacity. For each of the five capabilities of the 5C framework indicators have been developed as can be seen in Appendix 2. During this 5C baseline, a summary description has been provided for each of these indicators, based on document review and the information provided by staff, the Co-financing Agency (CFA) and other external stakeholders. Also a summary description has been provided for each capability. The results of these can be read in the baseline reports.

The description of indicators for the baseline in 2012 served as the basis for comparison during the endline in 2014. In practice this meant that largely the same categories of respondents (preferably the same respondents as during the baseline) were requested to review the descriptions per indicator and indicate whether and how the endline situation (2014) is different from the described situation in 2012[15].

[15] The same categories were used as during the baseline (except beneficiaries, other funders): staff categories including management, programme staff, project staff, monitoring and evaluation staff, field staff, administration staff; stakeholder categories including co-financing agency (CFA), consultants, partners.

Per indicator they could indicate whether there was an improvement or deterioration or no change and also describe these changes. Furthermore, per indicator the interviewee could indicate what interventions, actors and other factors explain this change compared to the baseline situation. See below the specific questions that are asked for each of the indicators. Per category of interviewees there is a different list of indicators to be looked at. For example, staff members were presented with a list of all the indicators, whilst external people, for example partners, are presented with a select number of indicators, relevant to the stakeholder.

The information on the indicators was collected in different ways:

1) **Endline workshop at the SPO - self-assessment and 'general causal map'**: similar to data collection during the baseline, different categories of staff (as much as possible the same people as during the baseline) were brought together in a workshop and requested to respond, in their staff category, to the list of questions for each of the indicators (self-assessment sheet). Prior to carrying out the self-assessments, a brainstorming sessions was facilitated to develop a 'general causal map', based on the key organisational capacity changes since the baseline as perceived by SPO staff. Whilst this general causal map is not validated with additional information, it provides a sequential narrative, based on organisational capacity changes as perceived by SPO staff;
2) **Interviews with staff members**: additional to the endline workshop, interviews were held with SPO staff, either to provide more in-depth information on the information provided on the self-assessment formats during the workshop, or as a separate interview for staff members that were not present during the endline workshop;
3) **Interviews with externals**: different formats were developed for different types of external respondents, especially the co-financing agency (CFA), but also partner agencies, and organisational development consultants where possible. These externals were interviewed, either face-to-face or by phone/Skype. The interview sheets were sent to the respondents and if they wanted, these could be filled in digitally and followed up on during the interview;
4) **Document review**: similar to the baseline in 2012, relevant documents were reviewed so as to get information on each indicator. Documents to be reviewed included progress reports, evaluation reports, training reports, etc. (see below) since the baseline in 2012, so as to identify changes in each of the indicators;
5) **Observation**: similar to what was done in 2012, also in 2014 the evaluation team had a list with observable indicators which were to be used for observation during the visit to the SPO.

Below the key steps to assess changes in indicators are described.

Key steps to assess changes in indicators are described

1. Provide the description of indicators in the relevant formats – CDI team
2. Review the descriptions per indicator – in-country team & CDI team
3. Send the formats adapted to the SPO to CFA and SPO – in-country team (formats for SPO) and CDI team (formats for CFA)
4. Collect, upload & code the documents from CFA and SPO in NVivo – CDI team
5. Organise the field visit to the SPO – in-country team
6. Interview the CFA – CDI team
7. Run the endline workshop with the SPO – in-country team
8. Interview SPO staff – in-country team
9. Fill-in observation sheets – in-country team
10. Interview externals – in-country team
11. Upload and auto-code all the formats collected by in-country team and CDI team in NVivo – CDI team
12. Provide to the overview of information per 5c indicator to in-country team – CDI team
13. Analyse data and develop a draft description of the findings per indicator and for the general questions – in-country team
14. Analyse data and develop a final description of the findings per indicator and per capability and for the general questions – CDI team
15. Analyse the information in the general causal map –in-country team and CDI-team

Note: the CDI team include the Dutch 5c country coordinator as well as the overall 5c coordinator for the four countries (Ethiopia, India, Indonesia, Liberia). The 5c country report is based on the separate SPO reports.
Please see appendix 1 for a description of the detailed process and steps.

3.3 Attributing changes in organisational capacity - evaluation question 2 and 4

This section describes the data collection and analysis methodology for answering the second evaluation question*: **To what degree are the changes identified in partner capacity attributable to (capacity) development interventions undertaken by the MFS II consortia*** **(i.e. measuring effectiveness)?** and the fourth evaluation question: **"What factors explain the findings drawn from the questions above?"**

In terms of the attribution question (2), 'process tracing' is used. This is a theory-based approach that has been applied to a selected number of SPOs since it is a very intensive and costly methodology, although it provides rich information and can generate a lot of learning within the organisations. Key organisational capacity changes/ outcomes of the SPO were identified, based on their relationship to the two selected capabilities, the capability to act and commit the capability to adapt and self-renew, and an expected relationship with CFA supported capacity development interventions (MFS II funding). It was agreed to focus on these two capabilities, since these are the most targeted capabilities by the CFAs, as established during the baseline process.

Below, the selection of SPOs for process tracing as well as the different steps involved for process tracing in the selected SPOs, are further explained.

3.3.1 Selection of SPOs for 5C process tracing

Process tracing is a very intensive methodology that is very time and resource consuming (for development and analysis of one final detailed causal map, it takes about 1-2 weeks in total, for different members of the evaluation team). It has been agreed upon during the synthesis workshop on 17-18 June 2013 that only a selected number of SPOs will take part in this process tracing for the purpose of understanding the attribution question. The selection of SPOs is based on the following criteria:

- MFS II support to the SPO has not ended before 2014 (since this would leave us with too small a time difference between intervention and outcome);
- Focus is on the 1-2 capabilities that are targeted most by CFAs in a particular country;
- Both the SPO and the CFA are targeting the same capability, and preferably aim for similar outcomes;
- Maximum one SPO per CFA per country will be included in the process tracing.

The intention was to focus on about 30-50% of the SPOs involved. Please see the tables below for a selection of SPOs per country. Per country, a first table shows the extent to which a CFA targets the five capabilities, which is used to select the capabilities to focus on. A second table presents which SPO is selected, and takes into consideration the selection criteria as mentioned above.

For the detailed results of this selection, in the four countries that CDI is involved in, please see appendix 1. The following SPOs were selected for process tracing:

- Ethiopia: AMREF, ECFA, FSCE, HUNDEE (4/9)
- India: BVHA, COUNT, FFID, SMILE, VTRC (5/10)
- Indonesia: ASB, ECPAT, PtPPMA, YPI, YRBI (5/12)
- Liberia: BSC, RHRAP (2/5).

3.3.2 Key steps in process tracing for the 5C study

In the box below you will find the key steps developed for the 5C process tracing methodology. These steps will be further explained here. Only key staff of the SPO is involved in this process: management; programme/ project staff; and monitoring and evaluation staff, and other staff that could provide information relevant to the identified outcome area/key organisational capacity change. Those SPOs selected for process tracing had a separate endline workshop, in addition to the ' general endline workshop. This workshop was carried out after the initial endline workshop and the interviews during the field visit to the SPO. Where possible, the general and process tracing endline workshop

have been held consecutively, but where possible these workshops were held at different points in time, due to the complex design of the process. Below the detailed steps for the purpose of process tracing are further explained. More information can be found in Appendix 1.

Key steps in process tracing for the 5C study

1. Identify the planned MFS II supported capacity development interventions within the selected capabilities (capability to act and commit and capability to adapt and self-renew) – CDI team
2. Identify the implemented MFS II supported capacity development interventions within the selected capabilities (capability to act and commit and capability to adapt and self-renew) – CDI team
3. Identify initial changes/ outcome areas in these two capabilities – CDI team & in-country team
4. Construct the detailed, initial causal map (theoretical model of change) – CDI team & in-country team
5. Identify types of evidence needed to verify or discard different causal relationships in the model of change – in-country teams, with support from CDI team
6. Collect data to verify or discard causal mechanisms and construct workshop based, detailed causal map (model of change) – in-country team
7. Assess the quality of data and analyse data and develop final detailed causal map (model of change) – in-country team with CDI team
8. Analyse and conclude on findings– CDI team, in collaboration with in-country team

3.3.3 Methodological reflection

Below a few methodological reflections are made by the 5C evaluation team. These can also be found in appendix 1.

Use of the 5 core capabilities framework and qualitative approach: this has proven to a be very useful framework to assess organisational capacity. The five core capabilities provide a comprehensive picture of the capacity of an organisation. The capabilities are interlinked, which was also reflected in the description of standard indicators, that have been developed for the purpose of this 5C evaluation and agreed upon for the eight countries. Using this framework with a mainly qualitative approach has provided rich information for the SPOs and CFAs, and many have indicated this was a useful learning exercise.

Using standard indicators and scores: using standard indicators is useful for comparison purposes. However, the information provided per indicator is very specific to the SPO and therefore makes comparison difficult. Whilst the description of indicators has been useful for the SPO and CFA, it is questionable to what extent indicators can be compared across SPOs since they need to be seen in context, for them to make meaning. In relation to this, one can say that scores that are provided for the indicators, are only relative and cannot show the richness of information as provided in the indicator description. Furthermore, it must be noted that organisations are continuously changing and scores are just a snapshot in time. There cannot be perfect score for this. In hindsight, having rubrics would have been more useful than scores.

General causal map: whilst this general causal map, which is based on key organisational capacity changes and related causes, as perceived by the SPO staff present at the endline workshop, has not been validated with other sources of information except SPO feedback, the 5C evaluation team considers this information important, since it provides the SPO story about how and which changes in the organisation since the baseline, are perceived as being important, and how these changes have come about. This will provide information additional to the information that has been validated when analysing and describing the indicators as well as the information provided through process tracing (selected SPOs). This has proven to be a learning experience for many SPOs.

Using process tracing for dealing with the attribution question: this theory-based and mainly qualitative approach has been chosen to deal with the attribution question, on how the organisational capacity changes in the organisations have come about and what the relationship is with MFS II supported capacity development interventions and other factors. This has proven to be a very useful process, that provided a lot of very rich information. Many SPOs and CFAs have already indicated that they appreciated the richness of information which provided a story about how identified

organisational capacity changes have come about. Whilst this process was intensive for SPOs during the process tracing workshops, many appreciated this to be a learning process that provided useful information on how the organisation can further develop itself. For the evaluation team, this has also been an intensive and time-consuming process, but since it provided rich information in a learning process, the effort was worth it, if SPOs and CFAs find this process and findings useful.

A few remarks need to be made:

- Outcome explaining process tracing is used for this purpose, but has been adapted to the situation since the issues being looked at were very complex in nature.
- Difficulty of verifying each and every single change and causal relationship:
  - Intensity of the process and problems with recall: often the process tracing workshop was done straight after the general endline workshop that has been done for all the SPOs.In some cases, the process tracing endline workshop has been done at a different point in time, which was better for staff involved in this process, since process tracing asks people to think back about changes and how these changes have come about. The word difficulties with recalling some of these changes and how they have come about. See also the next paragraph.
  - Difficulty of assessing changes in knowledge and behaviour: training questionnaire is have been developed, based on Kirkpatrick's model and were specifically tailored to identify not only the interest but also the change in knowledge and skills, behaviour as well as organisational changes as a result of a particular training. The retention ability of individuals, irrespective of their position in the organisation, is often unstable. The 5C evaluation team experienced that it was difficult for people to recall specific trainings, and what they learned from those trainings. Often a change in knowledge, skills and behaviour is a result brought about by a combination of different factors , rather than being traceable to one particular event. The detailed causal maps that have been established, also clearly pointed this. There are many factors at play that make people change their behaviour, and this is not just dependent on training but also internal/personal (motivational) factors as well as factors within the organisation, that stimulate or hinder a person to change behaviour. Understanding how behaviour change works is important when trying to really understand the extent to which behaviour has changed as a result of different factors, actors and interventions. Organisations change because people change and therefore understanding when and how these individuals change behaviour is crucial. Also attrition and change in key organisational positions can contribute considerably to the outcome.

Utilisation of the evaluation

The 5C evaluation team considers it important to also discuss issues around utility of this evaluation. We want to mention just a few.

Design – mainly externally driven and with a focus on accountability and standard indicators and approaches within a limited time frame, and limited budget: this MFS II evaluation is originally based on a design that has been decided by IOB (the independent evaluation office of the Dutch Ministry of Foreign Affairs) and to some extent MFS II organisations. The evaluators have had no influence on the overall design and sampling for the 5C study. In terms of learning, one may question whether the most useful cases have been selected in this sampling process. The focus was very much on a rigorous evaluation carried out by an independent evaluation team. Indicators had to be streamlined across countries. The 5C team was requested to collaborate with the other 5C country teams (Bangladesh, Congo, Pakistan, Uganda) to streamline the methodological approach across the eight sampled countries. Whilst this may have its purpose in terms of synthesising results, the 5C evaluation team has also experienced the difficulty of tailoring the approach to the specific SPOs. The overall evaluation has been mainly accountability driven and was less focused on enhancing learning for improvement. Furthermore, the timeframe has been very small to compare baseline information (2012) with endline information (2014). Changes in organisational capacity may take a long, particularly if they are related to behaviour change. Furthermore, there has been limited budget to carry out the 5C evaluation. For all the four countries (Ethiopia, India, Indonesia, Liberia) that the Centre for Development Innovation, Wageningen University and Research centre has been involved in, the budget has been overspent.

However, the 5C evaluation team has designed an endline process whereby engagement of staff, e.g. in a workshop process was considered important, not only due to the need to collect data, but also to generate learning in the organisation. Furthermore, having general causal maps and detailed causal maps generated by process tracing have provided rich information that many SPOs and CFAs have already appreciated as useful in terms of the findings as well as a learning process.

Another issue that must be mentioned is that additional requests have been added to the country teams during the process of implementation: developing a country based synthesis; questions on design, implementation, and reaching objectives of MFS II funded capacity development interventions, whilst these questions were not in line with the core evaluation questions for the 5C evaluation.

Complexity and inadequate coordination and communication: many actors, both in the Netherlands, as well as in the eight selected countries, have been involved in this evaluation and their roles and responsibilities, were often unclear. For example, 19 MFS II consortia, the internal reference group, the Ministry of Foreign Affairs, Partos, the Joint Evaluation Trust, NWO-Wotro, the evaluators (Netherlands and in-country), 2 external advisory committees, and the steering committee. Not to mention the SPO's and their related partners and consultants. CDI was involved in 4 countries with a total number of 38 SPOs and related CFAs. This complexity influenced communication and coordination, as well as the extent to which learning could take place. Furthermore, there was a distance between the evaluators and the CFAs, since the approach had to be synchronised across countries, and had to adhere to strict guidelines, which were mainly externally formulated and could not be negotiated or discussed for the purpose of tailoring and learning. Feedback on the final results and report had to be provided mainly in written form. In order to enhance utilisation, a final workshop at the SPO to discuss the findings and think through the use with more people than probably the one who reads the report, would have more impact on organisational learning and development. Furthermore, feedback with the CFAs has also not been institutionalised in the evaluation process in the form of learning events. And as mentioned above, the complexity of the evaluation with many actors involved did not enhance learning and thus utilization.

5C Endline process, and in particular thoroughness of process tracing often appreciated as learning process: The SPO perspective has also brought to light a new experience and technique of self-assessment and self-corrective measures for managers. Most SPOs whether part of process tracing or not, deeply appreciated the thoroughness of the methodology and its ability to capture details with robust connectivity. This is a matter of satisfaction and learning for both evaluators and SPOs. Having a process whereby SPO staff were very much engaged in the process of self-assessment and reflection has proven for many to be a learning experience for many, and therefore have enhanced utility of the 5C evaluation.

4 Results

4.1 MFS II supported capacity development interventions

Below an overview of the different MFS II supported capacity development interventions of FFID that have taken place since 2011 are described. The information is based on the information provided by ICCO.

Table 1
Information about MFS II supported capacity development interventions since baseline

Title of the MFS II supported capacity development intervention	Objectives	Activities	Timing and duration	Budget
A workshop on Effective Communication	•Provided to enable partners to understand and practice effective communication components as represented by crisp, complete and consistent project reports, emotive and evidence-based case studies and descriptive photographs. •In order to bring parity in reporting between all SPOs and also to ensure quality in reporting, this workshop was undertaken. It was important because proper communication and reporting is lacking with not only FFID/Chetna, but with many other organizations in MFS-II.	•Alina Sen, the Strategic Communication Lead of Plan B Communication Partners, designed the workshops jointly with the communications team of ICCO Cooperation-SCA. •Improved reporting quality for MFS has been observed by the Regional Manager and other agencies too.	18-19 July 2013	€ 300
A workshop on Financial Management and Compliances	•Ensure a common goal and accountability for all partners working in MFS-II •Common understanding on financial management and the laws •Set minimum standards and good practices •Need to leverage the learnings of both ICCO and its partners' long ground level experience •Need to ensure effective utilization of MFS funds by partners	•Finance Officers from ICCO and other consultants engaged by ICCO gave this workshop •Detailed guidelines from ICCO on programme and finance management were provided •Stringent norms governing the NGO sector in India were discussed	11-12 March 2014	€ 300

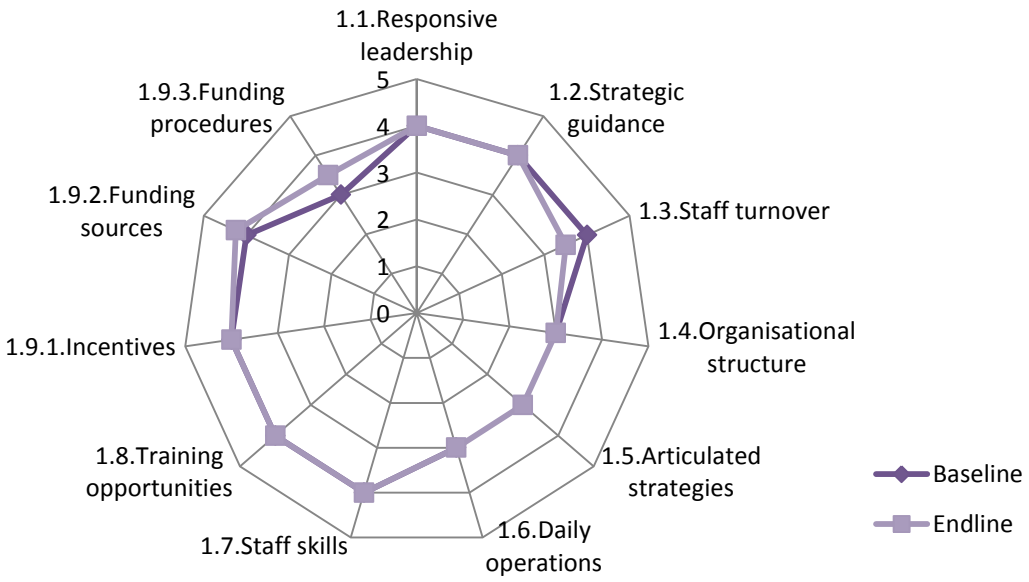
Source: 5C endline_support to capacity development sheet_CFA perspective_India_FFID

4.2 Changes in capacity and reasons for change - evaluation question 1 and 4

Below you can find a description of the changes in each of the five core capabilities. This information is based on the analysis of the information per each of the indicators. This detailed information for each of the indicators describes the current situation, and how and why it has changed since the baseline. See also appendix 3.

4.2.1 Changes in the five core capabilities

Capability to act and commit



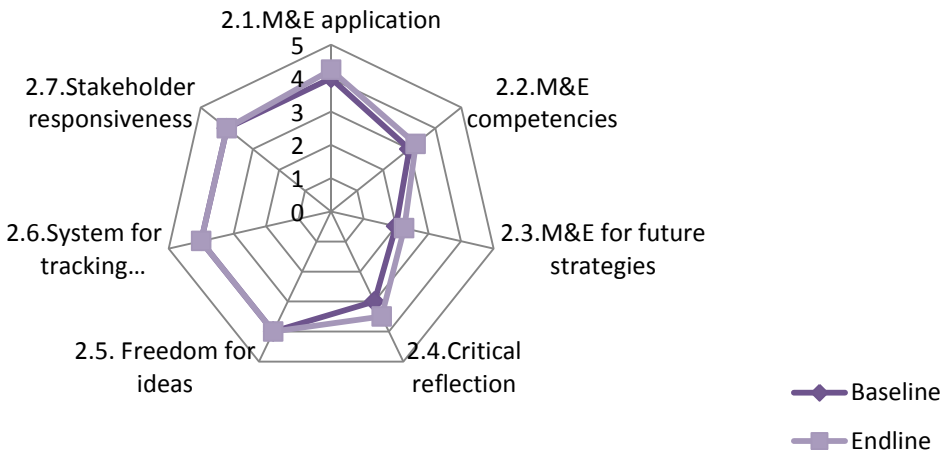
The two organisations promoted under the FFID/Chetna project are Chetna Organic Farmers Association (COFA) and Chetna Organic Agriculture Producer Co. Ltd (COAPCL). FFID continues to provide guardianship support to both COFA and COAPCL for their programmes. There is an increased engagement of the Board Members and Executive Director through meetings and field visits. They are working towards a more sustainable organization by changing their strategy to diversified cropping instead of focusing on cotton. Staff played a significant role in the revision of the vision and strategies of FFID/Chetna during the Annual Strategy Meeting in June 2013. Though there were changes in the top management (new leadership at COAPCL in 2013 and COFA in 2012) the core team at the Head Office pitched in to share the responsibility without affecting the operations at all levels. Over the last two years climatic, market and donor conditions have been changing rapidly. Due to this, leadership decided to change the vision and strategy of the organisation. Before, FFID/Chetna was more cotton-centric. By taking the field level teams suggestions on the farmer's needs into account, leadership decided to broaden the scope of work and give strategic direction to the team towards this. Lack of funding in certain states and better opportunities in the corporate sector have made it hard to retain staff. While staff turnover at the field and programme level remains low, some key senior staff have left the organisation which has led to a backlash in organisational learning and to staff taking up more responsibilities. There have been some changes in the organisational structure of FFID/Chetna. Leadership at COAPCL (2013) and COFA (2012) changed and with senior staff leaving the organisation. Some staff has been promoted while other staff is taking up more responsibilities. Staff are aware of these changes. During the Annual Strategy Meeting in 2013 all staff laid out their expectations and aspirations for their roles and responsibilities, these were taken up to be included in a clarity on roles document. FFID/Chetna articulates its strategies on the basis of good situational analysis. With the drop in demand for organic cotton and climate conditions affecting crops, the strategies were changed to include more diversified cropping: growing food crops alongside cotton and improving water and soil management. With the resource crunch due to the changing donor

environment, more efforts were directed towards making cooperatives generate their own income and linking up to government projects. M&E results are however, not yet used to articulate strategies. FFID's daily operations are still in line with the adjusted strategic plan. Systems in place to ensure this have not changed. Management has become more active in guiding daily operations, but because of staff leaving the organisation for better deals elsewhere, the burden on staff to multi-task has increased. Staff still have necessary skills to do their work. FFID/COFA has professionals with post-graduation in various relevant fields. Senior staff have ample experience and keep up to date through interaction with other practitioners. Skills in financial management and report writing and communication the work have improved, as well as commodity specific skills for community development and organic agriculture of vegetables and pulses. However, some of the experienced senior staff has left and there is still a need for a structured approach to capacity building. Staff is still given considerable opportunities to undergo trainings, workshops and exposure visits at both national and international level which has helped to improve their skills. FFID still has progressive HR policies in place that incentivise staff and include training, freedom at work, performance based incentives and absence of hierarchy. Staff turnover is however high because FFID cannot keep up with the private sector and the salaries do not match increasing responsibilities of staff. Given the changing donor environment in which funds are decreasing, board members have shown their concern for the funding situation. FFID has improved its capacity in writing proposals (at all levels) and in showcasing their work through communication and reports. Also through its network both with government, private sector and in research, FFID is tapping into new funding possibilities. FFID/Chetna has been successful at diversifying its funds since the baseline, as they are now linked to more major government programmes and also started receiving funds from the Indian private sector. This was because of improved capacity in proposal writing, showcasing work and improved networking. It remains however, a challenge to secure core funding, as most funding is for specific projects.

Score baseline: 3.7

Score endline: 3.7 (no change)

Capability to adapt and self-renew



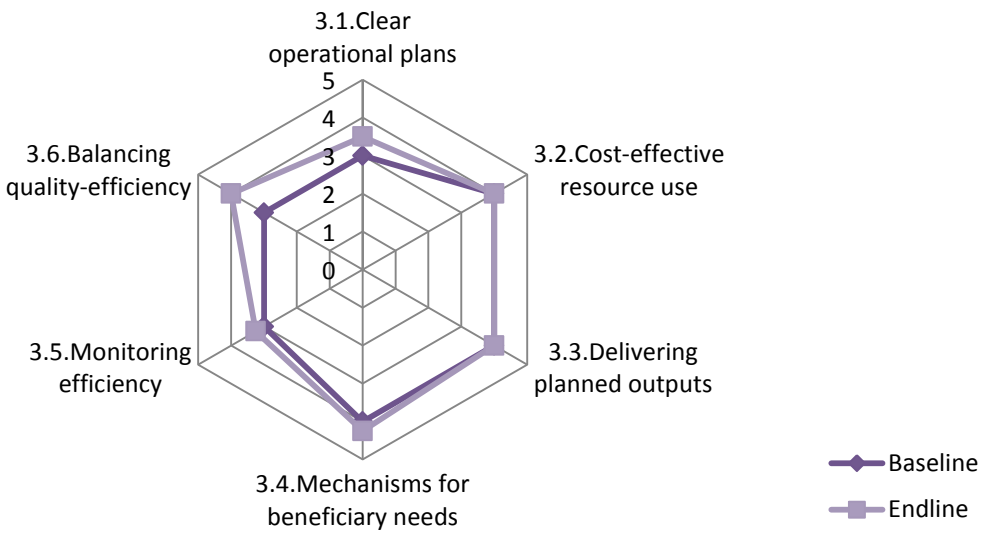
FFID still has an M&E system is still in place. Projects are monitored and evaluated at the outcome level. FFID is now making use of digital technology to collect data. To enhance the application of M&E, communication training has been given to their staff by ICCO which covered a wide range of topics including using the new MIS format, photos as visual evidence, formatting tips and case studies as qualitative evidence. This is now been put to practice by the communication manager and the help of other team members and reports have improved. FFID is collecting data in a more systematic way through improved MIS and more regular meetings, which leads to better operational plans and better reporting to ICCO. There is however still no dedicated person for M&E who can compile the information and do analysis to use M&E for future strategies. However, reporting to ICCO has improved and FFID is getting more systematic in its MIS review. FFID now has more regularly

organised moments for critical reflection and staff is more engaged in discussions because strategic meetings are now held in the field. Staff is encouraged to come up with ideas and these are taken into account, e.g. discussions during the Annual Strategy Retreat staff's opinions informed the new strategic vision of FFID. Staff is also taking initiative to incorporate their ideas in drafting proposals for local projects. FFID still keeps itself up to date on both the ecological as well as the donor environment. It keeps track of relevant government schemes and the market situation through its networks, e.g. the 3DP&L (Three Dimensional Profit and Loss Accounting) network. FFID/Chetna also does case studies and receives information from field staff through emails and social media to keep track of its operating environment. FFID is still open and responsive to its stakeholders. They organise for instance, discussions with member cooperatives on self-sufficiency. They do however still sometimes take up too much responsibilities from their network partners which increases the burden on staff.

Score baseline: 3.4

Score endline: 3.6 (very slight improvement)

Capability to deliver on development objectives

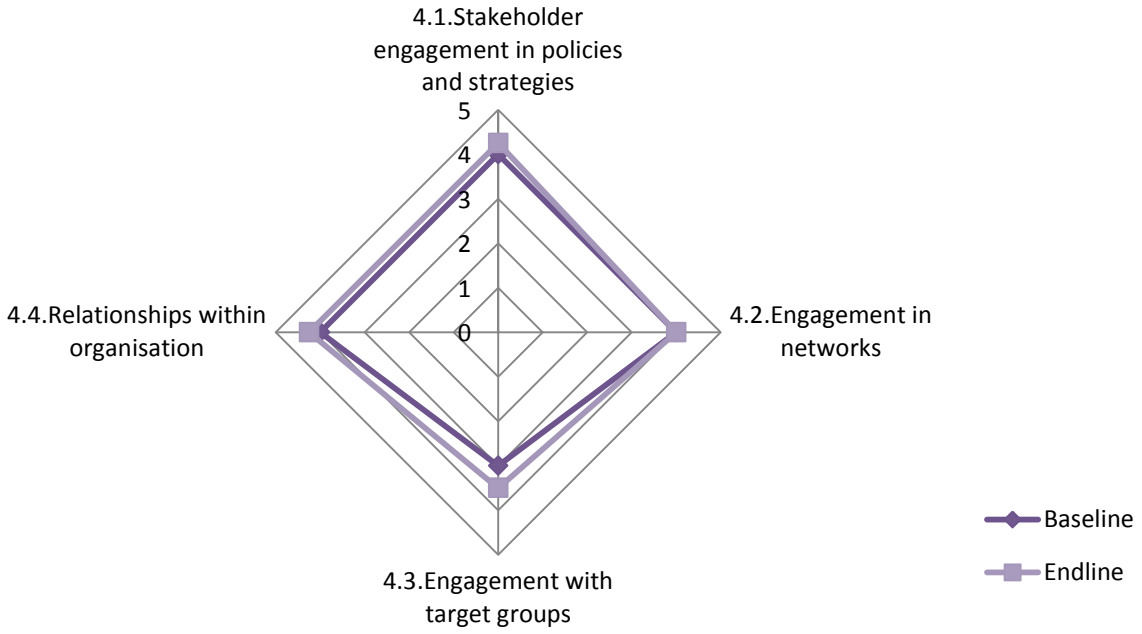


Operational plans have improved because of an improved M&E system and systematic documentation of annual strategic meetings that inform these plans. An operational manual is still pending, but staff have quarterly operational plans to guide them in their work. Now more so than ever FFID uses its resources cost-effectively because of the changes in the donor environment, including ICCO ending its funding in October 2014. The Executive Director has cut back on his travel costs and FFID has diversified funds by accessing local project funds to support the smooth functioning of the project offices. FFID/Chetna continues to deliver well on planned output, even despite the decrease in demand for organic cotton and contradictory finance policies. FFID still uses tools for different stakeholders for quality of certification. There are now also systems in place for balancing efficiency with quality of work, these include: training staff in budget planning and monitoring, designated team leader for each programme to ensure efficiency and not scaling up but focusing on consolidated gains of existing programmes. There are still no formal mechanisms for calculating input/output ratios in place but staff links its efficiency with deliverables. Staff has gotten better at reporting and outputs are still being reached. The farmer representation in the board of COFA and COAPCL still helps assess whether the project meets the beneficiary's needs. Senior management is now engaging directly with beneficiaries and formats to collect data on whether beneficiaries needs were fulfilled are now redrafted and reduced from 30 to 12 pages.

Score baseline: 3.5

Score endline: 3.8 (very slight improvement)

Capability to relate

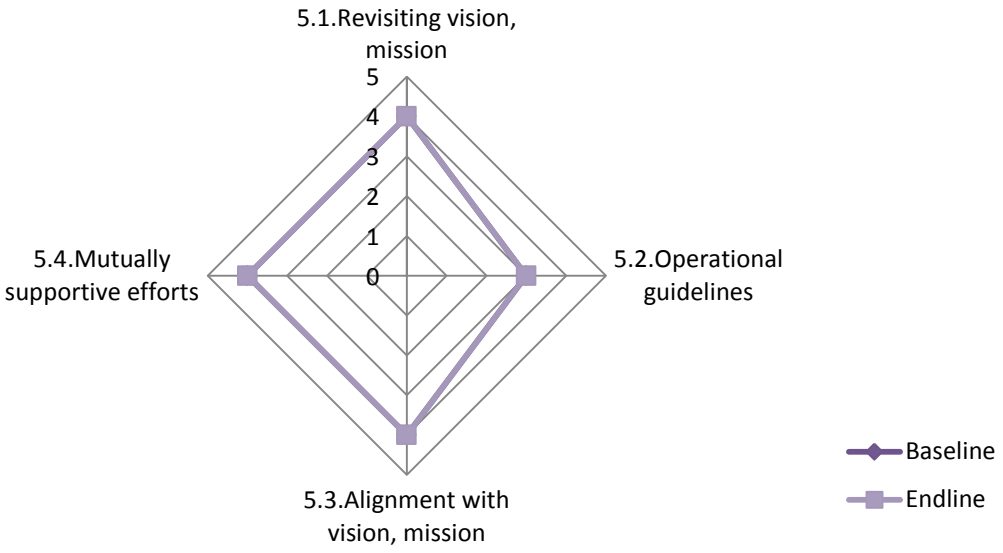


FFID continues to maintain strategic partnerships with various stakeholders (incl. agencies/networks) towards contributing in its strategic planning and development. It developed convergence with agriculture and allied departments, research institutes, various community based organisations and other rural developmental departments for better strategic planning. For example, the joint research programme of FFID, The Research Institute of Organic Agriculture (FiBL), Switzerland and the University of Agriculture Sciences, Dharwad (UASD) on Seed management, Water and soil conservation and management work, meetings with the cooperative members, The 3 Dimension profit and loss network. FFID/Chetna is very well connected and part of various old and new national and international networks. They work with research institutes, like-minded NGOs and Chetna government developmental departments for the benefit of their programmes and to provide access to all relevant schemes existing for the farmers. After the baseline evaluation the frequency of interaction with the target group of FFID/Chetna increased. Field visits increased and strategic state level meetings are now held in the field instead of at the Head Office. FFID has had the chance to look into the relationships within the organisation through the donor-driven evaluations it has been involved with. As a consequence a clarity of role document was circulated and a quality control cell was developed for concerns and complaints. Staff continues to meet on a monthly basis to discuss plans. These meetings have become more focussed because of the donor demand to have better reports and the communication training provided by ICCO. Sharing after trainings is now encouraged and organised and formal and informal dialogue improved among team members.

Score baseline: 3.7

Score endline: 4.0 (very slight improvement)

Capability to achieve coherence



FFID still revisits its vision during annual meetings. In 2013 the decrease in the demand for organic cotton and the change in climatic conditions triggered FFID/Chetna to re-articulate their vision from cotton mono-cropping to diversified cropping practices. The new vision is: to promote economically and socially viable agrarian based livelihoods in rain-fed and other ecologically depressed regions through sustainable agriculture. Consequently FFID/Chetna adjusted its strategies in line with the new vision. FFID works on different projects and thematic activities that are still complimentary and mutually supportive to one another. FFID is looking at a holistic approach with ecologically aligned technical interventions. While working in rain-fed areas, they lay emphasis on soil and water conservation, sufficient manure and compost for maintaining the soil fertility and different seed conservation and multiplication projects – cotton, food and other. FFID still only takes up projects that are aligned with its vision and mission. Since they have rearticulated their vision they have also revised their strategies towards more diversified programme implementation instead of just focusing on cotton farming.

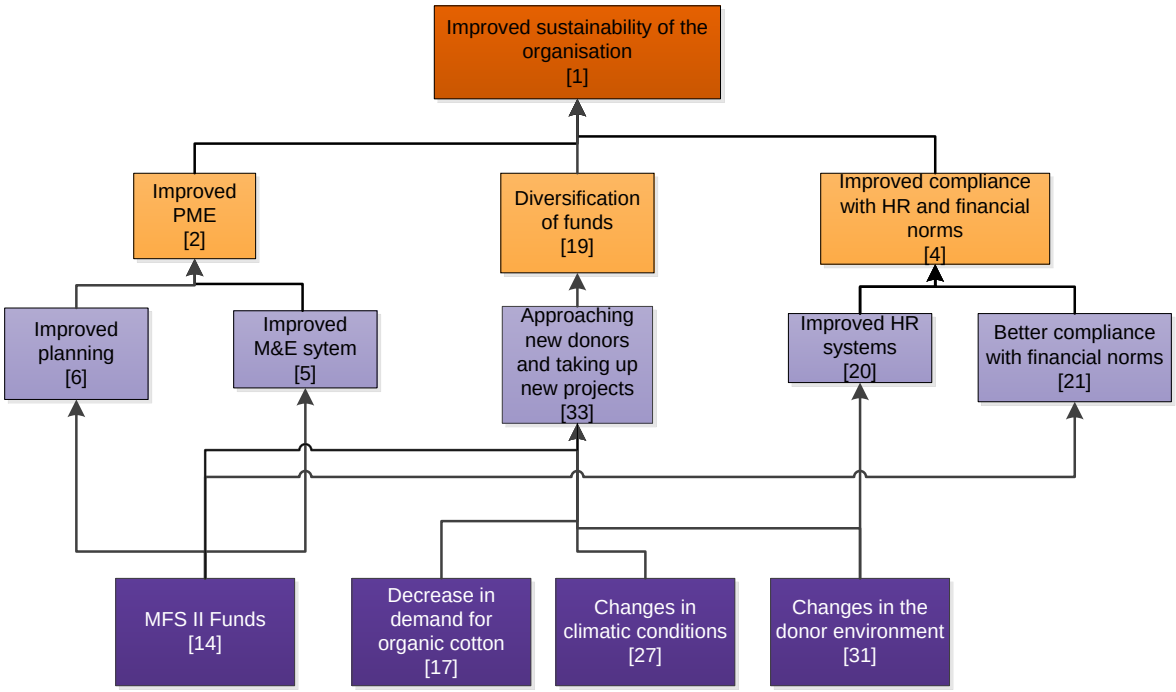
FFID still has an organisational policy in place, whilst HR and accounts policy are not uniform across states. Gender equity has improved by more female representatives in the organisations. Strengthening the understanding of the policies and periodic revision of the administration and HR policies is still required (the documented HR policy was last revised in 2009).

Score baseline: 3.7

Score endline: 3.7 (no change)

4.2.2 General changes in the organisational capacity of the SPO

During the endline workshop at FFID, a discussion was held around what were the main changes in organisational capacity since the baseline and why these changes have taken place. The discussion was visualised in a general causal map as can be seen below. The narrative for the general causal map is also described below. It gives a more general picture of what was seen as important changes in the organisation since the baseline, and how these changes have come about, and that tells the more general story about the organisational changes in FFID since the baseline in 2012. The evaluators considered it important to also note down the SPO's story and this would also provide more information about reasons for change, which were difficult to get for the individual indicators. Also for some issues there may not have been relevant indicators available in the list of core indicators provide by the evaluation team.



The evaluation team carried out the endline assessment at FFID from 15 to 17 July 2014. During this workshop, the team made a recap of key features of the organisation in the baseline in 2012 (such as vision, mission, strategies, clients, partnerships). This was the basis for discussing changes that had happened to the organisation since the baseline. FFID continues to provide guardianship support to the Chetna Organic & Fair Trade Cotton Intervention Programme which spawn the twin farmer owned organisations Chetna Organic Farmers Association (COFA) and Chetna Organic Agriculture Producer Company Ltd (COAPCL) to evolve into professional and well established farmers' support organizations.

Keeping in line with the changed vision over the last two years, FFID/Chetna has been focusing on sustainability for the organisation and for the small and marginal farmers. The key organisational capacity changes made towards sustainability of FFID [1] are:

1. Improved planning, monitoring and evaluation (PME) [2]
2. Diversification of funds [19]
3. Improved compliance with HR and financial norms [4]

These changes happened to coincide partly with the outcome areas that were chosen for process tracing, so as to get detailed information on how these changes in organisational capacity came about. Therefore, the general causal map overlaps strongly with the causal maps developed for each of these outcome areas/organisational capacity changes to be analysed during the process tracing. All the details about these changes in organisational capacity as well as the underlying factors that influenced these changes are described in the narrative and visual in appendix 4. A summary is provided below.

The three main organisational capacity changes are described in the light orange boxes and some of their key consequences are noted above these cards in dark orange. Light purple boxes represent factors and aspects that influence the key organisational capacity changes (in light orange). Key underlying factors that have impacted the organisation are listed at the bottom in dark purple. The narrative describes per organisational capacity change, the contributing factors as described from the top down. The numbers in the visual correspond with the numbers in the narrative.

1. Improved planning, monitoring and evaluation (PME) [2]

According to FFID staff present at the endline workshop, over the last two years FFID has improved its planning, monitoring and evaluation (PME) system [2] , and this is also evident in the endline assessment sheet CFA perspective and management FFID perspective. Improved PME [2] was due to:

- *Improved planning [6]:* According to the CFA it is evident that operational plans and overall planning is becoming better, the management and the endline evaluation team have observed the same.

- *Improved M&E system [5]:* According to ICCO, FFID/Chetna has improved their M&E system in terms of identifying the number of people who are involved and how to involve them .

2. Diversification of funds [19]

Over the last two years the organisation had to explore new funding opportunities as some of the projects have come to an end (for e.g. with the Rabobank Foundation and Hivos) and some funding is about to end (for e.g. with ICCO). Also, in absence of a core grant and delayed transfer of payments from the donors, working capital is always at stake. Therefore, there is a continuous need to approach new donors. In the process FFID/COFA is focussing on networking, forming partnerships, convergence with government programmes and emphasizing on staff capacity development in writing proposals to approach new donors. FFID was able to diversify its funds because:

- *They approached new donors and took up new projects [33].* Some of the new projects funded by new donors were: Seed Guardians project funded by Textile Exchange and Inditex, Government convergence programmes like Convergence of Agriculture Initiatives in Maharashtra (CAIM) in Maharashtra, which is funded by the International Fund for Agricultural Development (IFAD), Sir Ratan Tata Trust (SRTT) and the government of Maharashtra.

3. Improved compliance with HR and financial norms [4]

In the last two years FFID/Chetna improved compliances with the HR and financial norms triggered by the need to retain their staff and the demand by ICCO for better financial reporting. Compliance improved because of:

- *Improved HR systems [20]:* FFID introduced new HR initiatives to improve its HR system: such as a five day working week (trial basis), increase in daily sustenance allowance while travelling, provisions for a family health insurance , an increment of 8-15 per cent in the salaries with effect from April 2014 and staff promotions under the revised HR systems
- *Improved compliance with financial norms [21]:* FFID improved its compliance with financial norms to fulfil the requirement of ICCO as well as the government under the FCRA Act.

The main underlying causes for these three key organisational changes were:

- *MFS II funding [14]:* funds from MFS II were used for trainings and feedback that helped to improve planning [6], the M&E system [5], approaching new donors and taking up new projects [33] and improving the compliance with financial norms [21].
- *Decrease in demand for organic cotton [17]:* Over the last two years, decrease in the demand for organic cotton forced FFID/Chetna to focus and change its strategy from mono-cropping to diversified cropping and mixed cropping practices where food crops could be grown alongside cotton. This would not only ensure food security for the farmer but also improve soil health. This change in strategy has led to FFID approaching new donors and taking up new projects [33].
- *Further change in climatic conditions (heavy rains, Phailin cyclone) [27]* also triggered diversified programme implementation and expansion of activities to newer locations. The staff felt that in the changing scenario there was a need for revisiting the organisation's vision, which also led to FFID approaching new donors and taking up new projects [33].
- *Changes in the donor environment [31]:* these include the fact that some funding is coming to an end (e.g. from ICCO), some funding has already ended (e.g. Hivos) and the government of India is becoming more strict in its regulations, e.g. the FCRA. This triggered the need for FFID to approach new donors and start new projects [33], but also to better comply to the financial norms of the government [21].

4.3 Attributing changes in organisational capacity - evaluation question 2 and 4

Note: for each country about 50% of the SPOs has been chosen to be involved in process tracing, which is the main approach chosen to address evaluation question 2. For more information please also see chapter 3 on methodological approach. For each of these SPOs the focus has been on the

capability to act and commit and the capability to adapt and self-renew, since these were the most commonly addressed capabilities when planning MFS II supported capacity development interventions for the SPO.

For each of the MFS II supported capacity development interventions -under these two capabilities- an outcome area has been identified, describing a particular change in terms of organisational capacity of the SPO. Process tracing has been carried out for each outcome area. The outcome areas that have been identified under the capability to act and commit and the capability to adapt and self-renew and the MFS II capacity development interventions that could possibly be linked to these outcome areas are described in the table below.

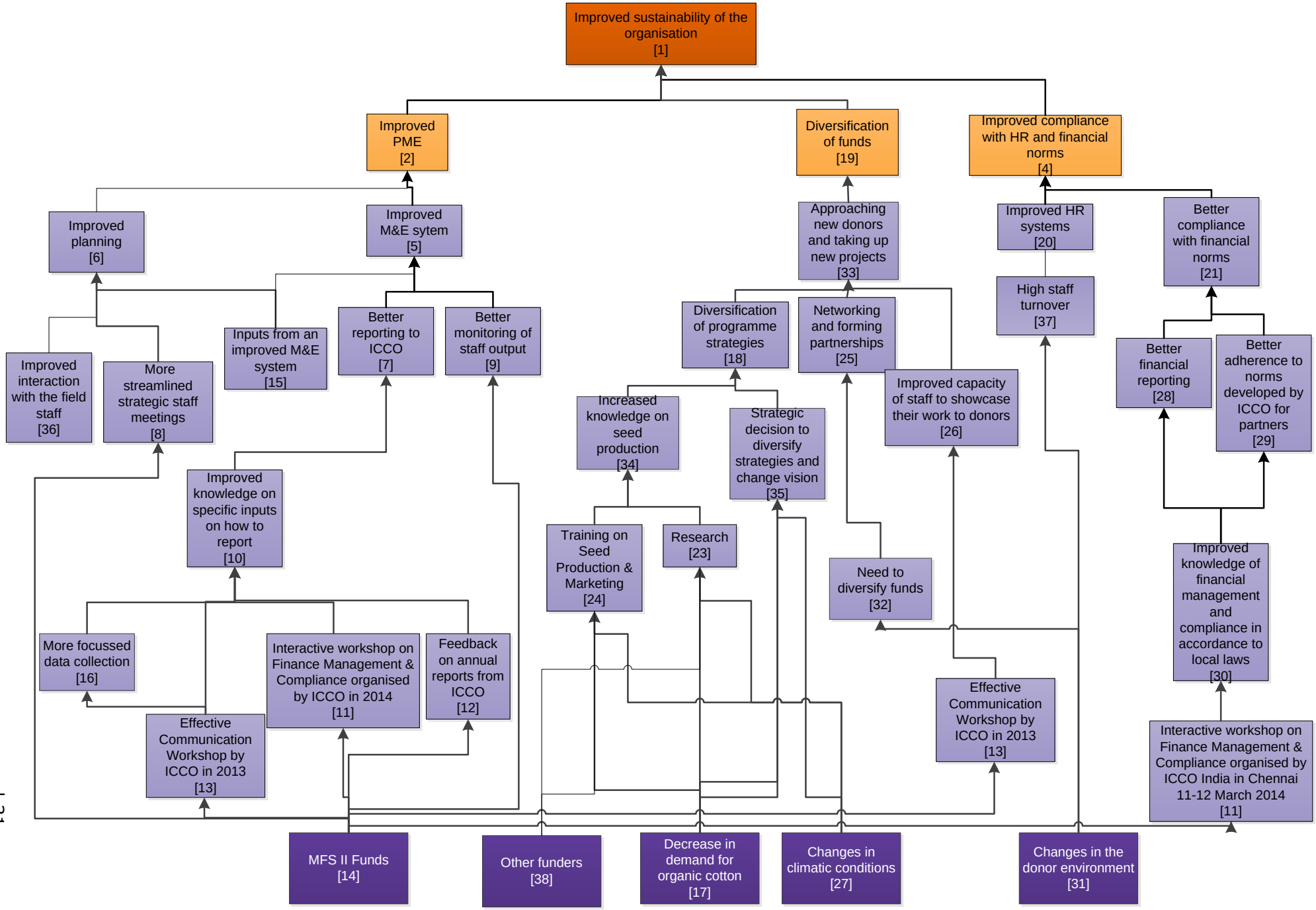
Table 2

Information on selected capabilities, outcome areas and MFS II supported capacity development interventions since the baseline

Capability	Outcome area	MFS II supported capacity development intervention(2)
Capability to act and commit	Diversification of funds	Effective communication workshop by ICCO in 2013
Capability to adapt and self-renew	Improved planning, monitoring and evaluation	Interactive workshop on Finance Management & Compliance organised by ICCO in 2014 and Effective communication workshop by ICCO in 2013.
	Improved compliance with financial and HR norms	Interactive workshop on Finance Management & Compliance organised by ICCO in 2014 and Effective communication workshop by ICCO in 2013.

The next sections will describe the results of process tracing for each of the outcome areas, and will describe to what extent these outcome areas have taken place as a result of MFS II supported capacity development interventions and/or other related factors and actors.

Two of the three key organisational capacity changes that were identified during the general map exercise happen to coincide with the outcome areas selected for process tracing: diversification of funds, and improved PME. Each of these two areas is described more in detail below, and a full description of these changes and how they have come about is provided in Appendix 5. In the descriptions the numbers refer to the visual which includes both organisational capacity changes and can be found below.


Improved sustainability of the organisation [1]
Improved PME [2]
Diversification of funds [19]
Improved compliance with HR and financial norms [4]
Improved planning [6]
Improved M&E sytem [5]
Approaching new donors and taking up new projects [33]
Improved HR systems [20]
Better compliance with financial norms [21]
High staff turnover [37]
Improved interaction with the field staff [36]
More streamlined strategic staff meetings [8]
Inputs from an improved M&E system [15]
Better reporting to ICCO [7]
Better monitoring of staff output [9]
Diversification of programme strategies [18]
Networking and forming partnerships [25]
Improved capacity of staff to showcase their work to donors [26]
Better financial reporting [28]
Better adherence to norms developed by ICCO for partners [29]
Increased knowledge on seed production [34]
Strategic decision to diversify strategies and change vision [35]
Improved knowledge on specific inputs on how to report [10]
Training on Seed Production & Marketing [24]
Research [23]
Need to diversify funds [32]
Improved knowledge of financial management and compliance in accordance to local laws [30]
More focussed data collection [16]
Interactive workshop on Finance Management & Compliance organised by ICCO in 2014 [11]
Feedback on annual reports from ICCO [12]
Effective Communication Workshop by ICCO in 2013 [13]
Effective Communication Workshop by ICCO in 2013 [13]
Interactive workshop on Finance Management & Compliance organised by ICCO India in Chennai 11-12 March 2014 [11]
MFS II Funds [14]
Other funders [38]
Decrease in demand for organic cotton [17]
Changes in climatic conditions [27]
Changes in the donor environment [31]

4.3.1 Improved planning, monitoring and evaluation

For the complete narrative with sources see Appendix 5.

According to FFID staff present at the endline workshop, over the last two years FFID has improved its planning, monitoring and evaluation (PME) system [2], and this is also evident in the endline assessment sheet CFA perspective and management FFID perspective. This was keeping in line with its rearticulated vision which required a revision in strategic plans Improved PME [2] was due to improved planning [6] and an improved M&E system [5]. These issues are further discussed below.

Improved planning [6]
According to the CFA it is evident that operational plans and overall planning is becoming better [6]. It is also evident from the self-assessment sheet of management and the observation of endline evaluation team that the strategic and operational planning has improved. Improved planning was due to:

- *Improved interaction with the field staff [36]*
  As was indicated in the baseline report, earlier the interaction of the senior management with the field staff was not frequent. As a result of this the practical problems and ground realities contributed little to the planning process. In the past two years, the senior management has increased their field visits and have also formed a project intervention committee looking at operationalization of projects and therefore working closely with the field staff. Their inputs have improved planning at FFID/Chetna.

- *More streamlined strategic staff meetings [8]*
  Staff meetings are now more regular and there are cohesive discussions not only around operational issues but also around strategic issues. Their operational plans are becoming better, partly because of meeting more regularly. Senior management has become more involved in ensuring programme and organizational sustainability because of changes in the donor environment and climatic conditions. Thus meetings are more streamlined, their minutes are documented and decisions taken during meetings are reflected upon and later finalised by the senior management. The annual strategic meetings are funded by MFS II [14].

- *Inputs from an improved M&E system [15]*
  The FFID's plans are now better informed by the inputs of an improved M&E system, which is further discussed below. For example an organic farm MIS has a detailed data base on farmers, type of farms, and production on seasonal basis. This is reviewed regularly to revise or fine tune plans and thus improves the performance of the programme.

Improved M&E System [5]
PME also improved due to a strengthened M&E system. According to ICCO, FFID/Chetna has improved their M&E system in terms of identifying the number of people who are involved and how to involve them. The M&E system of FFID improved [5] because of:

- *Better reporting to ICCO [7]: Reports are more timely and crisp.* "The reporting to ICCO has been streamlined and this has helped the organization be more systematic in their analysis and MIS review". Better Reporting to ICCO [7] was mainly due to:
  - Improved knowledge on specific inputs on how to report [10]. The staff improved knowledge on how to write better reports by incorporating feedback, specific data and statistics as evidence, image description and also linking narrative and financial reporting. Knowledge on specific inputs on how to report [10] improved because of:
    - More focussed data collection [16]: There are set formats to collect focused data from the field. For better data collection from the field FFID has redrafted the formats and templates and reduced the formats from 30 pages to 12 pages Data collection became more focussed because of staff participating in the Effective Communication Workshop [13]. The learning of this workshop was shared with the field staff, the format for data collection was redrafted leading to focused data collection from the field.

- Interactive workshop on Finance Management & Compliance [11]: A two-day interactive workshop was organised by ICCO India in Chennai on 11-12 March 2014. The objective was to help ICCO India and its partners to mutually share the good practices and experiential learning and also have a common understanding on the financial management and the law, and ensure effective utilization of the funds. This workshop was funded by MFS II [14].
- Feedback on annual reports from ICCO [12]: The OD consultant of ICCO provides feedback on the annual report including the financial part. He asks FFID/Chetna to incorporate feedback and they do that. He sees that reports are getting better. The support from the consultant was funded by MFS II [14].
- Effective Communication Workshop [13]: a two day workshop on effective communication was organised by ICCO Cooperation-SCA with Plan B Communication Partners in Bangalore on 18-19 July 2013. It was aimed at streamlining the reports submitted by the partners to ICCO. Components of the annual report were set out and explained. It helped the Manager (Communications and PR) to improve his skill in structured and focused report writing and case study writing.

- *Better monitoring of staff output [9] also supported the improve M&E system*. Staff output is monitored through specific operational mechanisms that are now in place. Quarterly Review meetings of all staff where they will be monitored on alignment to the agreed objectives planned for the year is funded by MFS II [14].

4.3.2 Diversification of funds

For the complete narrative with sources see Appendix 5.

Over last two years the organisation had to explore new funding opportunities as some of the projects have come to an end (for e.g. with the Rabobank Foundation and Hivos) and some funding is about to end (for e.g. with ICCO). Therefore, there is a continuous need to approach new donors. In the process FFID/COFA is focussing on networking, forming partnerships, convergence with government programmes and emphasizing on staff capacity development in writing proposals to approach new donors. In the last two years it has mobilised funding mostly for specific projects. Though serious efforts have been put in raising core funding, securing it still remains a challenge.

FFID was able to diversify its funds because they approached new donors and took up new projects [33]. Some of the new projects funded by new donors were:
- Seed Guardians Project: an initiative supported by Textile Exchange (USA) & Inditex (Spain) from January 2013 to December 2015.
- Green Cotton Project: The project runs from 2013 till 2016, it is a joint research project of bio-Re Association India, Kasarwad, Madhya Pradesh, Chetna organic, Hyderabad, University of agricultural sciences, Dharwad and Research institute of organic agriculture FiBL, Switzerland
- Eco-farmers Market Portal (Web-based) in collaboration with PRAVAH & ASHA General, running from January 2014 till June 2014.
- Promoting house hold level food & nutritional security: funded by ICCO & Kerk in Actie Netherland from 1st Nov, 2013 to 31st Oct, 2015
- Government convergence programmes: such as, Convergence of Agriculture Initiatives in Maharashtra (CAIM) in Maharashtra. The project receives financial assistance from the International Fund for Agricultural Development (IFAD), Sir Ratan Tata Trust (SRTT) and government of Maharashtra from June 2013 to June 2016

FFID was able to approach and get new donors for new projects [33] because of diversification of programme strategies [18], networking and forming partnerships [25] and improved staff capacity to showcase their work to donors [26]:
- *Diversification of programme strategies [18]*
  FFID/Chetna is no longer only working on cotton, but is now including mixed cropping strategies that include food crops. In this way they were able to link up to new government funded programmes outside the cotton sector and they were also able to attract other funders to work e.g. on nutrition security and seed production. FFID was able to diversify its programme strategies [18] because of

increased knowledge on seed production [34] and the strategic decision to diversify strategies and change the vision [35]:

- Increased knowledge on seed production and conservation [34] was due to:
  - *Training on Seed Production & Marketing 2013, CSA, Wardha [24]* for FFID staff. In order to be able to conserve and share traditional seed varieties in food crops, staff of FFID received training on Seed Production & Marketing in December 2013, organized and funded by the Centre for Sustainable Agriculture (CSA), Wardha [38].
  - *Research [23].* With regard to the cotton seed research initiative in collaboration with and funded by the Research Institute of Organic Agriculture (FiBL), Switzerland and the University of Agriculture Sciences, Dharwad (UASD) [38], research continued for the third continuous year.
- The strategic decision to diversify strategies and change the vision [35]. The staff felt that in the changing scenario there was a need for revisiting the organization's vision. Consequently, a vision building workshop was organized in June 2013 with senior staff. The re-articulated vision is as follows: *To promote economically and socially viable agrarian based livelihoods in rain-fed and other ecologically depressed regions through sustainable agriculture.* Aligned to this vision the six main objectives of FFID/Chetna now are: enhancing productivity and reducing cost of cultivation, promoting Viable institutions, Creating market through value addition, natural resource management, food and nutrition security and women and child development.

The training in seed production [24], research [23] and the strategic decision [35] were triggered by changing climatic conditions [27] and due a decrease in demand for organic cotton [17].

- *Networking and forming partnerships [25]:*
  FFID started focusing more on networking because of the need to diversify funds [32], which came from changes in the donor environment [31]. There is a continuous need to approach new donors. FFID/Chetna for this reason is focusing on networking, forming partnerships, emphasizing on staff capacity development in writing proposals. The improved interaction allows them to bid for projects together as well as improve their visibility which is important from the donor perspective. FFID has been associating itself with different international and national level organizations, networks and government agencies to undertake and implement various projects.

- *Improved capacity of staff to showcase their work to donors [26].*
  This is the third reason for being able to approach new donors and take up new projects. Staff capacity was improved because the Communications and PR Manager of FFID attended the *Effective Communication Workshop [13].*

4.3.3 Improved compliance with HR and financial norms

For the complete narrative with sources see Appendix 5.

In the last two years FFID/Chetna improved compliances with the HR and financial norms triggered by the need to retain their staff and the demand by ICCO for better financial reporting. Compliance improved because of:

- Improved HR systems [20];
- Improved compliance with financial norms [21].

Improved HR Systems [20]
FFID introduced new HR initiatives to improve its HR system: such as a five day working week (trial basis), increase in daily sustenance allowance while travelling, provisions for a family health insurance, an increment of 8-15 per cent in the salaries with effect from April 2014 and staff promotions under the revised HR systems. These changes were triggered by *a high staff turnover in the last two years [37]* as staff in key senior positions left the organisation for better opportunities (while staff turnover at the field and programme level remained relatively low).

Improved compliance with financial norms [21]
FFID improved its compliance with financial norms to fulfil the requirement of ICCO as well as the government under the FCRA Act. This compliance improved due to:

- *Better financial reporting [28] and better adherence to norms developed by ICCO for partners [29].*
  Both these developments were because of improved knowledge of financial management and

compliance in accordance to local laws [30]. This knowledge improved because of the *interactive workshop on Finance Management & Compliance organised by ICCO India in Chennai 11-12 March 2014 [11],* which was funded by MFS II [14]. This was a two days interactive workshop. The objective was to help ICCO India and its partners to mutually share the good practices and experiential learning and also have a common understanding on the financial management and the law, and to ensure effective utilization of the funds. It resulted in improved knowledge of the staff on linking narrative and financial reporting, develop budget plans, to make reports more communicative and innovative, and to integrate finance and program.

5 Discussion and conclusion

5.1 Methodological issues

FFID is supporting the Chetna Organic & Fair Trade Cotton Intervention Programme which spawns the twin farmer owned organisations Chetna Organic Farmers Association (COFA) and Chetna Organic Agriculture Producer Company Ltd (COAPCL). Although ICCO is supporting COFA, FFID has been selected as the unit of analysis as COFA is prohibited by Indian laws to receive foreign funding. COFA is the operational wing through which FFID works. Hence, even though ICCO supports COFA and mandates its organisational activities, FFID is the body which is responsible for strategic guidance and steering COFA's activities. Though COFA has COAPCL as a section 25 company, it is still FFID which is answerable for the performance of the organisation. COFA staff is on FFID payroll.

FFID was well versed with the 5C model, with the endline workshop being attended by the management (Sr. Manager – Programs), programme staff (Technical Head cum Team leader, Communication Manager, Certification Manager), HR/Admin (Finance Manager, Sr. Accountant, Admin Officer), field staff (Program Officer cum State Coordination–Odisha, Junior Program Officer cum Marketing & Certification-Odisha, Program Officer cum State Coordination–Maharashtra, Program Officer cum State Coordination–Telangana) who were part of the baseline evaluation, except for Program Officer cum State Coordination–Odisha.

There was a difference between the initial causal map (based on initial document review) and the causal map developed during the workshop. In the end, the causal map developed at the workshop was complemented by information from document review. Though there was very little communication barrier, it was noticed that one of the newly appointed Directors, the previous CEO, was answering most of the questions, which made most of the others look as if they were less informed about the process.

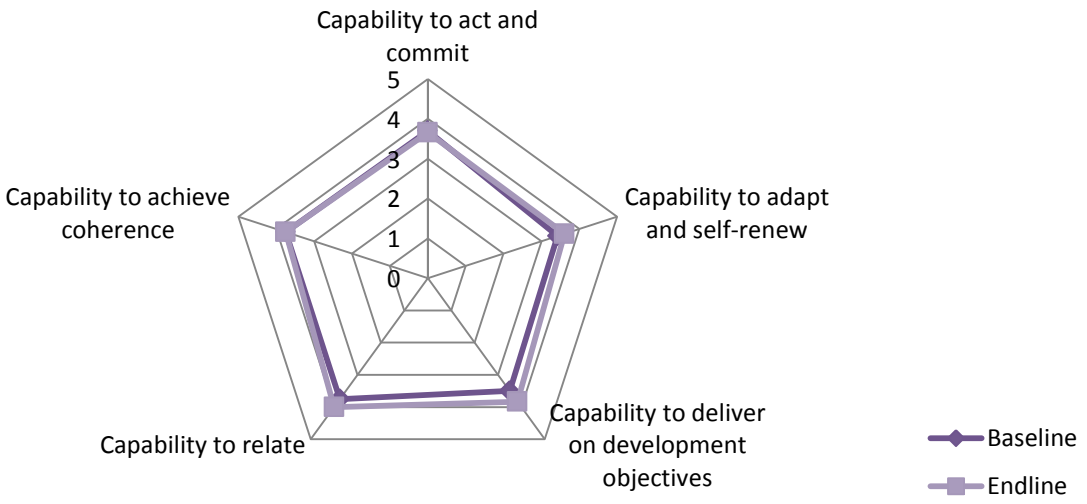
Two Board members were interviewed together; they gave an in-depth view of the organisational sustainability plan of the organisation and the strategic change from organic cotton to multi-cropping. FFID does not have an Organisational Development (OD) consultant. The CEO cum Director is extremely capable and takes care of that side of the organisational necessities. FFID does not work with partners. The farmers organisations that they work with are lose groups who agree to work on organic farming. FFID is part of networks where it does marketing and branding lobbying. This activity is carried out by the CEO. Hence the question of interviewing partners did not arise.

In relation to process tracing, training questionnaires were filled in for all the trainings and events under MFS II supported funding. However, for the staff it was sometimes difficult to recall what they learnt during a specific training as the staff was exposed to various training programmes and exposure visits (both under MFSII programme and others). Therefore, often the observed changes can be attributed to various factors beyond a specific training programme. However, the training questionnaires formed the basis of distinguishing the changes which resulted from a particular training over others. It provided details such as who participated in the training and the consequent changes, ability of the participant to influence other staff, application of training.

5.2 Changes in organisational capacity

This section aims to provide an answer to the first and fourth evaluation questions:

1. *What are the changes in partner organisations' capacity during the 2012-2014 period?*
4. *What factors explain the findings drawn from the questions above?*



Whilst changes took place within four of the five core capabilities, in some indicators the improvements or deterioration were more pronounced than in others. Below the changes in each of the capabilities are further explained, by referring to the specific indicators that changed.

Over the last two years some improvements took place in the indicators under the capability to act and commit. Over the last two years climatic, market and donor conditions have been changing rapidly. Due to this, leadership decided to change the vision and strategy of the organisation. Before the baseline in 2012, FFID/Chetna was more cotton-centric, now they also work on food crops. Changes in the donor environment have led to FFID not being able to offer salaries that are up to par with the market. While FFID is able to secure some funding for specific projects, it is really hard to secure core funding. Due to this senior key staff members have left the organisation for better opportunities and this meant a slight deterioration in the indicator on staff turnover. Board members are now more constructively engaged in the efforts to look for new funding. The last two years, financial compliance, showcasing and reporting to donors, and working with the government have improved. While during the baseline there were no data available on how FFID articulated its strategies, now during the annual strategy meetings a situational analysis is done and strategies are based on developments in the donor, cotton market and climatic environment.

In the capability to adapt and self-renew FFID has improved slightly in various indicators. As FFID modified its M&E formats, data collection from the field became more focussed and training on effective communication and financial compliances also led to better reports. It is hard for FFID to find and hire the right person with M&E skills because of the low salaries they can offer. Staff have basic M&E skills and evaluations are done by donors or fair trade organisations. The improved reports that are now more punctual have helped in improving the performance in the programmes, but M&E findings are not yet used strategically. Critical reflection improved as a strategic annual retreat now involves field staff more as they are held in the field offices. Reflection meetings are held more regularly, because ICCO and other donors insisted on this.

In terms of the capability to deliver on development objectives , there have been some improvements. Operational plans have improved as they are informed by better M&E, research and minutes from annual strategic meetings. Data collection to trace whether FFID's services meet their beneficiaries needs is now more focussed and board members also visit the field to verify this. There is more interaction with the target groups through visits and their input in reports. In terms of balancing quality and efficiency, FFID slightly improved because they focussed on better financial compliance through trainings on budget planning and the FCRA. There are now team leaders for all programmes who are responsible for and skilled in budget planning. Also the decision has been made to not scale up programmes but to focus on consolidating the existing ones.

In the capability to relate FFID has somewhat improved. They have worked more on organisational visibility, for example through working on convergence programmes with the government. Market information to inform their policies is obtained through e.g. their involvement in the network: three dimension profit & loss. As mentioned earlier, interaction with the field level increased and many meetings and in-house trainings are now held in the field instead of at the head office. In terms of

internal relations within FFID, there is more sharing after trainings and because a middle level manager became team leader informal communication improved.

There have been no changes in the indicators under the capability to achieve coherence.

During the endline workshop some key organisational capacity changes were brought up by FFID's staff: improved planning, monitoring and evaluation; diversification of funding and improved compliances with HR and financial norms. The evaluators considered it important to also note down the SPO's story and this would also provide more information about reasons for change, which were difficult to get for the individual indicators. Also for some issues there may not have been relevant indicators available in the list of core indicators provide by the evaluation team. These changes happened to overlap with the key changes that were selected for process tracing. The underlying causes of the drop in demand for organic cotton, worsening climatic conditions and changing donor environment led to many of the above mentioned changes in FFID's organisational capacity as it led them to make a strategic decision to no longer only focus on cotton and work more diligently on financial compliances and attractive reports for donors. MFS II played a role in funding trainings that led to improved PME, but also the ending of MFS II funding in 2014 triggered the need to diversify funding. This will further be discussed below in 5.3.

5.3 Attributing changes in organisational capacity to MFS II

This section aims to provide an answer to the second and fourth evaluation questions:

2. *To what degree are the changes identified in partner capacity attributable to development interventions undertaken by the MFS II consortia (i.e. measuring effectiveness)?*

4. *What factors explain the findings drawn from the questions above?*

To address the question of attribution it was agreed that for all the countries in the 5C study, the focus would be on the capability to act and commit and the capability to adapt and self-renew, with a focus on MFS II supported organisational capacity development interventions that were possibly related to these capabilities. 'Process tracing' was used to get more detailed information about the changes in these capabilities that were possibly related to the specific MFS II capacity development interventions. The organisational capacity changes that were focused on were:

- Improved planning, monitoring and evaluation (PME); and
- Diversification of funds.
- Improved compliance with HR and financial norms

The first organisational capacity change falls under the fall under the capability to adapt and self-renew. The last two organisational capacity changes fall under the capability to act and commit. The organisational capacity change areas that were chosen are based on document review as well as discussions with the SPO and CFA. Each of these organisational capacity changes is further discussed below.

The following issues are discussed for the MFS II funded activities that are related to the above mentioned organisational capacity changes:

a. Design: the extent to which the MFS II supported capacity development intervention was well-designed. (Key criteria: relevance to the SPO; SMART objectives)
b. Implementation: the extent to which the MFS II supported capacity development was implemented as designed (key criteria: design, according to plans during the baseline);
c. Reaching objectives: the extent to which the MFS II capacity development intervention reached all its objectives (key criteria: immediate and long-term objectives, as formulated during the baseline);
d. the extent to which the observed results are attributable to the identified MFS II supported capacity development intervention (reference made to detailed causal map, based on 'process tracing').

Please note that whilst (d) addresses the evaluation question related to attribution (evaluation question 2), the other three issues (a, b and c) have been added by the synthesis team as additional reporting requirements, and therefor there is inadequate information is available on this. Then again, this wasn't the purpose of this 5c evaluation.

Improved planning, monitoring and evaluation (PME)
The following MFS II funded capacity development interventions were linked to the key organisational capacity change "Improved planning, monitoring and evaluation (PME);"

1. Workshop on Effective communication, 18-19 July 2013 (not planned during the baseline, but details provided during the endline)
2. Workshop on Financial Management and Compliances, 11-12 March 2014 (not planned during the baseline; but details provided during the endline)
3. More streamlined strategic staff meetings during annual retreats (planned during the baseline; no details provided during the endline)
4. Feedback on annual reports from ICCO (not planned during the baseline and no details provided during the endline)
5. Quarterly Review meetings with all staff to better monitor staff output (planned during the baseline, but no details provided during the endline)

The above-mentioned MFS II funded capacity development interventions will be discussed below. These interventions were either planned during the baseline and on which details were provided during the baseline and endline or were not planned during the baseline, but details on the intervention were provided during the endline. The capacity development interventions for which no objectives have been provided during baseline or endline will only be discussed when addressing the attribution question (in this case strategic annual retreats, the feedback on annual reports from ICCO and the quarterly review meetings).

Workshop on Effective communication, 18-19 July 2013
Design
This intervention was not planned during the baseline. The immediate objectives of this workshop, which were formulated during the endline by the CFA was "to enable partners to understand and practice effective communication components as represented by crisp, complete and consistent project reports, emotive and evidence-based case studies and descriptive photographs" and "to bring parity in reporting between all SPOs and also to ensure quality in reporting." The long term expected objective was that FFID would have the capacity to report better to other donor agencies and to develop crisp reports in line with the requirements of the private sector.

During the baseline workshop FFID formulated a number of conditions that needed to be in place in order for them to emerge as "a resource to enhance sustainable agriculture based livelihood options in rain feds" (their goal). The conditions that they set are all interrelated and linked to the objective of the effective communications workshop: having a robust MIS (to provide inputs for reports) and increased visibility of the organisation. The objectives, both immediate and long term, were therefore very relevant for FFID.

These objectives were not formulated in a very SMART way (specific, measurable, achievable, relevant and time-bound). Then again, the evaluation team did not ask the CFA for SMART objectives specifically, but rather asked about the expected or observed immediate and long term effects of the interventions.

Implementation
This intervention was not planned for during the baseline and details about the specific design cannot be provided, since this wasn't the focus of the evaluation. Therefore, no judgement can be made on whether this intervention was implemented as designed. However the workshop did take place on 18-19 July 2013 in Bangalore. The communications and PR manager of FFID attended this workshop.

Reaching objectives
The focus of this evaluation has been the role of the MFS II funded capacity development interventions in the key organisational capacity changes that were identified, as explained in the detailed causal map. The effective communications workshop came up in the map and narrative on the organisational capacity change 'improved PME'. In this regard we can conclude that this workshop led to more

focussed data collection and improved knowledge on specific inputs on how to report. These two changes together led to better reporting to ICCO, which contributed to an improved M&E system and finally to improved PME.

Though not the focus of this evaluation, we can provide an indication of the extent to which the objectives as formulated during the baseline and endline, have been achieved,. The short term objective of having more crisp, complete and consistent reports with case-studies and photographs, has been achieved. ICCO observed that FFID's reports got more timely and crisp after this workshop. Also the communications and PR manager of FFID improved his skill in structured and focused report and case study writing. FFID now has a database of 10.000 photographs, 100 hours of video footage and 100 case studies. The short term objective of bringing more parity between all SPOs also has been achieved as ICCO mentioned that it was easier for them to consolidate the reports from various SPOs because of the standardised reports that they all used. The long term objective of having better reports for other funders and reports in line with the requirements of the private sector has been achieved to some extent. From the causal map and narrative we concluded that improved staff capacity to showcase their work (because of this effective communications workshop) contributed to FFID approaching and getting new donors for new projects.

Workshop on Financial Management and Compliances, 11-12 March 2014

Design

This intervention was not planned during the baseline. The immediate objectives of this workshop were, as described by the CFA during the endline: "to ensure a common goal and accountability for all partners working in MFS-II; common understanding on financial management and the laws; to set minimum standards and good practices; to leverage the learnings of both ICCO and its partners' long ground level experience; and to ensure effective utilization of MFS funds by partners. The long term objective was: "improved financial performance and better finance management systems."

During the baseline workshop FFID formulated a number of conditions that needed to be in place in order for them to emerge as "a resource to enhance sustainable agriculture based livelihood options in rain feds" (their goal). The condition that is most linked to the objectives of this interventions in relation to improved PM&E (and in particular financial reporting requirements by funders) is a focus on, among other things, training staff in how to meet donor compliances through improved financial reporting. These areas in which FFID wanted to develop during the baseline are very much linked to the immediate and long term objective of this intervention. The objectives of the interventions are therefore very relevant for FFID.

These expected effects were not formulated in a SMART way (specific, measurable, achievable, relevant and time-bound). Then again, the evaluation team did not ask the CFA for SMART objectives specifically, but rather asked about the expected or observed immediate and long term effects of the interventions.

Implementation

This intervention was not planned for during the baseline and details about the specific design cannot be provided, since this wasn't the focus of the evaluation. Therefore, no judgement can be made on whether this intervention was implemented as designed. However the workshop did take place on 11-12 March 2014 in Chennai. The Manager Finance and Admin of FFID, who is in charge of accounts and financial management in Chetna, attended this workshop.

Reaching objectives

The focus of this evaluation has been the role of the MFS II funded capacity development interventions in the key organisational capacity changes that were identified, as explained in the detailed causal map. The financial management workshop came up in the map and narrative on the organisational capacity change 'improved PME'. In this regard we can conclude that this workshop contributed to better (financial) reporting to ICCO, which contributed to an improved M&E system and finally to improved PME.

Though not the focus of this evaluation, we can provide an indication of the extent to which the objectives as formulated during the baseline and endline, have been achieved. The short term objectives of this intervention to ensure accountability for all partners, common understanding of financial management and laws, to set minimum standards and to ensure effective utilisation of MFS funds, were reached. The CFA observed that FFID had better financial reporting, was not in risk levels (with regards to their financial management), was evaluated better financially (i.e. not in a fraudulent category), better adhered to the Annex 4A and B norms developed by ICCO for partners and had

better knowledge of and compliance with local laws. FFID agrees with this. The long term objective "improved financial performance and better finance management systems" has not yet been achieved, but it is in process.

Attribution of observed results to MFS II capacity development interventions
Improved planning, monitoring and evaluation was due to improved planning and an improved M&E system (also see 4.3.1). Improved planning can be attributed to improved interaction with field staff, more streamlined strategic staff meetings and inputs from an improved M&E system. The field staff interaction developed over the last two years as the senior management increased their field visits and formed a project intervention committee that looked at the operationalization of projects, working closely with field staff. This can thus be attributed to internal factors within FFID and not to MFS II funding. The strategic staff meetings take place once a year and are funded by MFS II. The inputs from an improved M&E system can also be attributed to MFS II funded capacity development interventions as will be described in the next paragraph. All in all, improved planning can be partly attributed to MFS II funded interventions and partly to internal factors within FFID.

The improved M&E system can be attributed to better reporting to ICCO and better monitoring of staff outputs. Better reporting to ICCO can be completely attributed to MFS II funded capacity development interventions. Reporting to ICCO became better because FFID staff had better knowledge on specific inputs on how to report. This knowledge had been acquired during the MFS II funded interactive workshop on finance management and compliance on 11-12 March 2014 and the effective communications workshop on 18-19 July 2013 (both described above). FFID's knowledge on which inputs were needed for the reports can also be attributed to more focused data collection, which was the result of the effective communications workshop. Finally the improved knowledge on inputs on how to report can be attributed to feedback that ICCO provided on annual reports. The M&E system improve not only in relation to improved reporting, but also better monitoring of staff outputs. Staff monitoring mainly took place during quarterly review meetings of all staff. These meetings are funded by MFS II. All in all, the improved M&E system of FFID can almost completely be attributed to MFS II funded capacity development interventions.

Diversification of funds
The following MFS II capacity development intervention supported by ICCO are linked to the key organisational capacity change "diversification of funds" (please also see section 4.3):

1. Workshop on Effective communication, 18-19 July 2013 (not planned during the baseline, but details provided during the endline; already described above).

The MFS II capacity development intervention that was mentioned by ICCO and is linked to the key organisational capacity change "diversification of funds" has been described under the previous key change (improved PME), and will be described here shortly for how it relates to diversification of funding.

Workshop on Effective communication, 18-19 July 2013
Design
This intervention was not planned during the baseline. The immediate objectives of this workshop, which were formulated during the endline by the CFA was "to enable partners to understand and practice effective communication components as represented by crisp, complete and consistent project reports, emotive and evidence-based case studies and descriptive photographs" and "to bring parity in reporting between all SPOs and also to ensure quality in reporting." The long term expected objective was that FFID would have the capacity to report better to other donor agencies and to develop crisp reports in line with the requirements of the private sector.

During the baseline workshop FFID formulated a number of conditions that needed to be in place in order for them to emerge as "a resource to enhance sustainable agriculture based livelihood options in rain feds" (their goal). The conditions that they set are all interrelated and linked to the objective of the effective communications workshop and are linked to diversification of funds: increased visibility of the organisation and a strong financial resource base (because of better internal and external communication to existing and potential donors). The objectives, both immediate and long term, were therefore very relevant for FFID.

These objectives were not formulated in a SMART way (specific, measurable, achievable, relevant and time-bound). Then again, the evaluation team did not ask the CFA for SMART objectives specifically,

but rather asked about the expected or observed immediate and long term effects of the interventions.

Implementation
This intervention was not planned for during the baseline and details about the specific design cannot be provided, since this wasn't the focus of the evaluation. Therefore, no judgement can be made on whether this intervention was implemented as designed. However the workshop did take place on 18-19 July 2013 in Bangalore. The communications and PR manager of FFID attended this workshop.

Reaching objectives
The focus of this evaluation has been the role of the MFS II funded capacity development interventions in the key organisational capacity changes that were identified, as explained in the detailed causal map. The effective communications workshop came up in the map and narrative on the organisational capacity change 'diversification of funding'. In this regard we can conclude that this workshop contributed to improved staff capacity to showcase work to donors which led to approaching new donors and taking up new projects which finally led to diversification of funding.

Though not the focus of this evaluation, under the organisational capacity change "improved PME" it has already been discussed to what extent the objectives that were formulated during the endline have been achieved.

Attribution of observed results to MFS II capacity development interventions
FFID was able to diversify its funds because they were approaching new donors and taking up new projects. Taking up new projects and be able to approach new donors can be attributed to diversification of programme strategies, networking and forming partnerships and improved capacity of staff to showcase their work to donors.

Diversification of programme strategies can be attributed to increased knowledge on seed production and the strategic decision to diversify strategies and change the vision. The increased knowledge on seed production can be attributed to a training on seed production and marketing in December 2013 that was funded by the Centre for Sustainable Agriculture; and a research initiative that FFID has been involved in with a research institute in Switzerland and a University in Dharwad, India (both non-MFS II). Going to this training and starting this research were triggered by the external factors of changing climatic conditions (including Phailin cyclone) and a decrease in the demand for organic cotton. The diversification of programme strategies can furthermore be attributed to the strategic decision to diversify strategies and change the vision. was an internal development within FFID which was triggered by again the external factors: changing climatic conditions and a drop in the demand for organic cotton. All in all, the diversification of programme strategies cannot be attributed to MFS II funded capacity development interventions.

FFID worked on networking and forming partnerships because of a need to diversify funds. The need to diversify funds can be attributed to changes in the donor environment. Changes in the donor environment include the more strict regulations of the Indian Government on foreign funding and the ending of MFS II funding by September 2014. The improved networking and formations of new partnerships cannot be attributed to MFS II funded interventions. The partnerships are furthermore with government programmes and e.g. partners through a project called 3DPNL (three dimensional profit and loss), which are not related to MFS II. There is no link to MFS II funded capacity development interventions.

Finally, FFID's improved capacity to showcase their work to donors can be attributed to the effective communications workshop on 18-19 July 2013, which was funded by MFS II and is described above. As far as the evaluation team knows there have not been any other trainings by other funders on the same topic. FFID's improved staff capacity to showcase their work can therefore be completely attributed to this MFS II funded capacity development intervention.

All in all, only one MFS II funded capacity development intervention (and effective publications workshop in 2013) has played a role and his role was minor in terms of FFID's diversification of funding. External factors like the changing climate and demand for organic cotton; internal factors like the strategic change and projects and trainings with other funders have played a more important role in stimulating the organisation to diversify its FFID's funding base.

Improved compliance with HR and financial norms
The following MFS II capacity development interventions were linked to the key organisational capacity change "Improved compliance with HR and financial norms"

1. Workshop on Financial Management and Compliances, 11-12 March 2014 (not planned during the baseline; but details provided during the endline)

Workshop on Financial Management and Compliances, 11-12 March 2014
Design
This intervention was not planned during the baseline. The immediate objectives of this workshop were, as described by the CFA during the endline: "to ensure a common goal and accountability for all partners working in MFS-II; common understanding on financial management and the laws; to set minimum standards and good practices; to leverage the learnings of both ICCO and its partners' long ground level experience; and to ensure effective utilization of MFS funds by partners". The long term objective was: "improved financial performance and better finance management systems."

During the baseline workshop FFID formulated a number of conditions that needed to be in place in order for them to emerge as "a resource to enhance sustainable agriculture based livelihood options in rain feds" (their goal). The condition that is most linked to the objectives of this interventions in relation to improved compliance with financial norms is training staff in how to comply with donor requirements and to define a model for reinvesting the cooperatives' profit. These areas in which FFID wanted to develop during the baseline are very much linked to the immediate and long term objective of this intervention. The objectives of the interventions are therefore very relevant for FFID.

These expected effects were not formulated in a SMART way (specific, measurable, achievable, relevant and time-bound). Then again, the evaluation team did not ask the CFA for SMART objectives specifically, but rather asked about the expected or observed immediate and long term effects of the interventions.

Implementation
As described above under improved PME, this workshop took place on 11-12 March 2014 in Chennai. The Manager Finance and Admin of FFID, who is in charge of accounts and financial management in Chetna, attended this workshop.

Reaching objectives
The focus of this evaluation has been the role of the MFS II funded capacity development interventions in the key organisational capacity changes that were identified, and as described in the detailed causal map. The financial management workshop came up in the map and narrative on the organisational capacity change: improved compliance with HR and financial norms. In this regard we can conclude that this workshop contributed to improved knowledge of financial management and compliance according to local laws, which contributed to better financial reporting and better adherence to norms developed by ICCO for partners, which together led to better compliance to financial norms.

Though not the focus of this evaluation, under the organisational capacity change "improved PME" it has already been discussed to what extent the objectives that were formulated during the endline have been achieved.

Attribution of observed results to MFS II capacity development interventions
FFID improved its compliance with HR and financial norms because of improved HR systems and improved compliance with financial norms.

The improved HR systems were triggered by a high staff turnover in the last two years. FFID introduced some new HR initiatives like provisions for family health insurance and higher salaries in order to retain staff. This was an organisational capacity change that happened due to internal factors (high staff turnover) and this cannot be attributed to MFS II funded capacity development interventions.

The compliance with financial norms to fulfil the requirement of ICCO as well as the government under the FCRA Act improved because of better financial reporting and better adherence to norms developed by ICCO for partners. Both these developments were because of improved knowledge of financial management and compliance in accordance to local laws. This knowledge can be attributed to the MFS

II funded interactive workshop on Finance Management & Compliance organised by ICCO India in Chennai 11-12 March 2014. The improved compliance with financial norms can therefore to a large extent be attributed to MFS II funded capacity development interventions.

All in all, FFID's improved compliance with HR and financial norms can partly be attributed to MFS II supported capacity development interventions.

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Communication Workshop_Report_India (2).pdf
An Interactive Workshop on Finance Management Chennai- final -1.docx
Communications workshop annexures
Training workshop Reports
Financial management workshop attendees.doc
Chennai attaendee list.doc
ICCO Cooperation Logo in JPG.jpg
Style Sheet_ICCO Cooperation Logo.pdf
01 Annexure A1_ Learnings from the New Delhi Workshop.pdf
Annexure 1_Welcome.pdf
Annexure 2 Quiz.pdf
Annexure 3_Strategic Direction.pdf
Annexure 4_Group Assignment Exercise_Reports Evaluated by Partners.pdf
Annexure 5_Group Assignment Case Studies evaluated by Partners.pdf
Annexure 6.pdf
GroupPicture_Bangalore.jpg
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Training details for 2012-13 & 2013-14 Asifabad mandal.xlsx
Training details of 2012-13 & 2013-14 Kerameri mandal.xlsx
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Trainigs-for 2012-2013 & 2013-2014 Sirpur-U.xlsx
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Fieldwork data:
Annex C_5C endline_support to capacity development sheet_SPO perspective_India_FFID.docx
Interview with Kailash.docx
5c endline_assessment sheet_Dutch co-financing organisations_India_FFID_ICCO (2).docx
Communication Workshop_Report_India (2).pdf
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5C endline_support to capacity development sheet_CFA perspective_India_FFID_ICCO %282%29.docx
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5c endline self-assessment sheet_management_India_FFID (Autosaved).docx
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5c endline self-assessment sheet_admin HRM staff_India_FFID.docx
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Annex K_5c endline workshop_key changes and factors_SPO perspective_country_name SPO.docx
ATTENDANCE SHEET for FFID 15-17 July Workshop.docx
5c endline observation sheet - observations by in-country evaluators during the endline capacity assessment at the SPO_FFID.docx

List of Respondents

FFID staff:

NAME	DESIGNATION	15th July	16th July	17th July
Arun Chandra Abatipudi	Executive Director	Did not attend	Present	Present
Samatha Valluri	Sr. Manager - Programs	Present	Present	Present
Ram Prasad	Sr. Program Officer - Technical Extension & Research; Team Leader - Odisha	Present	Present	Present
Mrunal Lahankar	Sr Program Officer – Organic & Fair trade Certification	Present	Present	Present
Vipul Kulkarni	Communications Manager	Present	Present	Present
Srinivas Anandala	Manager Finance & Accounts	Present	Present	Present
Ravi Kiran R	Senior Accountant	Present	Present	Present
Sudha Rani	Admin. Associate	Present	Present	Present
GS Rao	Program Officer – State Coordination - Odisha	Present	Present	Not selected for PT
K. Shivaram	Program Officer – State Coordination - Telangana	Present	Present	Not selected for PT
Rahul Bole	Program Officer – State Coordination - Maharashtra	Present	Present	Not selected for PT
Arun Biswal	Junior Program Officer – Marketing & Certification - Odisha	Present	Present	Not selected for PT

CFA

Kailash Iyer, Program Officer at ICCO. Interviewed on 30 June 2014.

Others

Mr. Subba Rao & Mr. Vasudeva Rao, Board members. Interviewed on 15 July 2014.

Appendix 1 Methodological approach & reflection

Introduction

This appendix describes the methodological design and challenges for the assessment of capacity development of Southern Partner Organisations (SPOs), also called the '5C study'. This 5C study is organised around four key evaluation questions:

1. What are the changes in partner organisations' capacity during the 2012-2014 period?
2. To what degree are the changes identified in partner capacity attributable to development interventions undertaken by the MFS II consortia (i.e. measuring effectiveness)?
3. Were the efforts of the MFS II consortia efficient?
4. What factors explain the findings drawn from the questions above?

It has been agreed that the question (3) around efficiency cannot be addressed for this 5C study. The methodological approach for the other three questions is described below. At the end, a methodological reflection is provided.

In terms of the attribution question (2), 'process tracing' is used. This is a theory-based approach that has been applied to a selected number of SPOs since it is a very intensive and costly methodology, although it provides rich information and can generate a lot of learning within the organisations. This approach was presented and agreed-upon during the synthesis workshop on 17-18 June 2013 by the 5C teams for the eight countries of the MFS II evaluation. A more detailed description of the approach was presented during the synthesis workshop in February 2014. The synthesis team, NWO-WOTRO, the country project leaders and the MFS II organisations present at the workshop have accepted this approach. It was agreed that this approach can only be used for a selected number of SPOs since it is a very intensive and costly methodology. Key organisational capacity changes/ outcomes of the SPO were identified, based on their relationship to the two selected capabilities, the capability to act and commit the capability to adapt and self-renew, and an expected relationship with CFA supported capacity development interventions (MFS II funding). It was agreed to focus on these two capabilities, since these are the most targeted capabilities by the CFAs, as established during the baseline process.

Please find below an explanation of how the above-mentioned evaluation questions have been addressed in the 5C evaluation.

Note: the methodological approach is applied to 4 countries that the Centre for Development Innovation, Wageningen University and Research centre is involved in in terms of the 5C study (Ethiopia, India, Indonesia, Liberia). The overall approach has been agreed with all the 8 countries selected for this MFS II evaluation. The 5C country teams have been trained and coached on this methodological approach during the evaluation process. Details specific to the SPO are described in chapter 5.1 of the SPO report. At the end of this appendix a brief methodological reflection is provided.

Changes in partner organisation's capacity – evaluation question 1

This section describes the data collection and analysis methodology for answering the first evaluation question: **What are the changes in partner organisations' capacity during the 2012-2014 period?**

This question was mainly addressed by reviewing changes in 5c indicators, but additionally a 'general causal map' based on the SPO perspective on key organisational capacity changes since the baseline has been developed. Each of these is further explained below. The development of the general causal map is integrated in the steps for the endline workshop, as mentioned below.

During the baseline in 2012 information has been collected on each of the 33 agreed upon indicators for organisational capacity. For each of the five capabilities of the 5C framework indicators have been developed as can be seen in Appendix 2. During this 5C baseline, a summary description has been provided for each of these indicators, based on document review and the information provided by staff, the Co-financing Agency (CFA) and other external stakeholders. Also a summary description has been provided for each capability. The results of these can be read in the baseline reports.

The description of indicators for the baseline in 2012 served as the basis for comparison during the endline in 2014. In practice this meant that largely the same categories of respondents (preferably the same respondents as during the baseline) were requested to review the descriptions per indicator and indicate whether and how the endline situation (2014) is different from the described situation in 2012.[16] Per indicator they could indicate whether there was an improvement or deterioration or no change and also describe these changes. Furthermore, per indicator the interviewee could indicate what interventions, actors and other factors explain this change compared to the baseline situation. See below the specific questions that are asked for each of the indicators. Per category of interviewees there is a different list of indicators to be looked at. For example, staff members were presented with a list of all the indicators, whilst external people, for example partners, are presented with a select number of indicators, relevant to the stakeholder.

The information on the indicators was collected in different ways:

1. **Endline workshop at the SPO - self-assessment and 'general causal map'**: similar to data collection during the baseline, different categories of staff (as much as possible the same people as during the baseline) were brought together in a workshop and requested to respond, in their staff category, to the list of questions for each of the indicators (self-assessment sheet). Prior to carrying out the self-assessments, a brainstorming sessions was facilitated to develop a 'general causal map', based on the key organisational capacity changes since the baseline as perceived by SPO staff. Whilst this general causal map is not validated with additional information, it provides a sequential narrative, based on organisational capacity changes as perceived by SPO staff;
2. **Interviews with staff members**: additional to the endline workshop, interviews were held with SPO staff, either to provide more in-depth information on the information provided on the self-assessment formats during the workshop, or as a separate interview for staff members that were not present during the endline workshop;
3. **Interviews with externals**: different formats were developed for different types of external respondents, especially the co-financing agency (CFA), but also partner agencies, and organisational development consultants where possible. These externals were interviewed, either face-to-face or by phone/Skype. The interview sheets were sent to the respondents and if they wanted, these could be filled in digitally and followed up on during the interview;
4. **Document review**: similar to the baseline in 2012, relevant documents were reviewed so as to get information on each indicator. Documents to be reviewed included progress reports, evaluation reports, training reports, etc. (see below) since the baseline in 2012, so as to identify changes in each of the indicators;
5. **Observation**: similar to what was done in 2012, also in 2014 the evaluation team had a list with observable indicators which were to be used for observation during the visit to the SPO.

[16] The same categories were used as during the baseline (except beneficiaries, other funders): staff categories including management, programme staff, project staff, monitoring and evaluation staff, field staff, administration staff; stakeholder categories including co-financing agency (CFA), consultants, partners.

Below the key steps to assess changes in indicators are described.

Key steps to assess changes in indicators are described

1. Provide the description of indicators in the relevant formats – CDI team
2. Review the descriptions per indicator – in-country team & CDI team
3. Send the formats adapted to the SPO to CFA and SPO – in-country team (formats for SPO) and CDI team (formats for CFA)
4. Collect, upload & code the documents from CFA and SPO in NVivo – CDI team
5. Organise the field visit to the SPO – in-country team
6. Interview the CFA – CDI team
7. Run the endline workshop with the SPO – in-country team
8. Interview SPO staff – in-country team
9. Fill-in observation sheets – in-country team
10. Interview externals – in-country team
11. Upload and auto-code all the formats collected by in-country team and CDI team in NVivo – CDI team
12. Provide to the overview of information per 5c indicator to in-country team – CDI team
13. Analyse data and develop a draft description of the findings per indicator and for the general questions – in-country team
14. Analyse data and develop a final description of the findings per indicator and per capability and for the general questions – CDI team
15. Analyse the information in the general causal map –in-country team and CDI-team

Note: the CDI team include the Dutch 5c country coordinator as well as the overall 5c coordinator for the four countries (Ethiopia, India, Indonesia, Liberia). The 5c country report is based on the separate SPO reports.

Below each of these steps is further explained.

*Step 1. Provide the **description of indicators** in the relevant formats – CDI team*

- These formats were to be used when collecting data from SPO staff, CFA, partners, and consultants. For each of these respondents different formats have been developed, based on the list of 5C indicators, similar to the procedure that was used during the baseline assessment. The CDI team needed to add the 2012 baseline description of each indicator. The idea was that each respondent would be requested to review each description per indicator, and indicate whether the current situation is different from the baseline situation, how this situation has changed, and what the reasons for the changes in indicators are. At the end of each format, a more general question is added that addresses how the organisation has changed its capacity since the baseline, and what possible reasons for change exist. Please see below the questions asked for each indicator as well as the more general questions at the end of the list of indicators.

General questions about key changes in the capacity of the SPO

What do you consider to be the key changes in terms of how the organisation/ SPO has developed its capacity since the baseline (2012)?

What do you consider to be the main explanatory reasons (interventions, actors or factors) for these changes?

List of questions to be asked for each of the 5C indicators (The entry point is the the description of each indicator as in the 2012 baseline report):

1. *How has the situation of this indicator changed compared to the situation during the baseline in 2012? Please tick one of the following scores:*
   - -2 = Considerable deterioration
   - -1 = A slight deterioration
   - 0 = No change occurred, the situation is the same as in 2012
   - +1 = Slight improvement
   - +2 = Considerable improvement
2. *Please describe what exactly has changed since the baseline in 2012*

3. *What interventions, actors and other factors explain this change compared to the baseline situation in 2012? Please tick and describe what interventions, actors or factors influenced this indicator, and how. You can tick and describe more than one choice.*
   - Intervention, actor or factor at the level of or by **SPO**: ..... .
   - Intervention, actor or factor at the level of or by the **Dutch CFA (MFS II funding)**: .... .
   - Intervention, actor or factor at the level of or by the **other funders**: ..... .
   - **Other** interventions, actors or factors: ..... .
   - Don't know.

Step 2. ***Review*** *the descriptions per indicator – in-country team & CDI team*

Before the in-country team and the CDI team started collecting data in the field, it was important that they reviewed the description for each indicator as described in the baseline reports, and also added to the endline formats for review by respondents. These descriptions are based on document review, observation, interviews with SPO staff, CFA staff and external respondents during the baseline. It was important to explain this to respondents before they filled in the formats.

Step 3. ***Send the formats*** *adapted to the SPO to CFA and SPO – in-country team (formats for SPO) and CDI team (formats for CFA)*

The CDI team was responsible for collecting data from the CFA:

- 5C Endline assessment Dutch co-financing organisation;
- 5C Endline support to capacity sheet – CFA perspective.

The in-country team was responsible for collecting data from the SPO and from external respondents (except CFA). The following formats were sent before the fieldwork started:

- 5C Endline support to capacity sheet – SPO perspective.
- 5C Endline interview guides for externals: partners; OD consultants.

Step 4. ***Collect, upload & code the documents*** *from CFA and SPO in NVivo – CDI team*

The CDI team, in collaboration with the in-country team, collected the following documents from SPOs and CFAs:

- Project documents: project proposal, budget, contract (Note that for some SPOs there is a contract for the full MFS II period 2011-2015; for others there is a yearly or 2-yearly contract. All new contracts since the baseline in 2012 will need to be collected);
- Technical and financial progress reports since the baseline in 2012;.
- Mid-term evaluation reports;
- End of project-evaluation reports (by the SPO itself or by external evaluators);
- Contract intake forms (assessments of the SPO by the CFA) or organisational assessment scans made by the CFA that cover the 2011-2014 period;
- Consultant reports on specific inputs provided to the SPO in terms of organisational capacity development;
- Training reports (for the SPO; for alliance partners, including the SPO);
- Organisational scans/ assessments, carried out by the CFA or by the Alliance Assessments;
- Monitoring protocol reports, especially for the 5C study carried out by the MFS II Alliances;
- Annual progress reports of the CFA and of the Alliance in relation to capacity development of the SPOs in the particular country;
- Specific reports that are related to capacity development of SPOs in a particular country.

The following documents (since the baseline in 2012) were requested from SPO:

- Annual progress reports;
- Annual financial reports and audit reports;
- Organisational structure vision and mission since the baseline in 2012;
- Strategic plans;

- Business plans;
- Project/ programme planning documents;
- Annual work plan and budgets;
- Operational manuals;
- Organisational and policy documents: finance, human resource development, etc.;
- Monitoring and evaluation strategy and implementation plans;
- Evaluation reports;
- Staff training reports;
- Organisational capacity reports from development consultants.

The CDI team will coded these documents in NVivo (qualitative data analysis software program) against the 5C indicators.

Step 5. ***Prepare and organise the field visit*** *to the SPO – in-country team*

Meanwhile the in-country team prepared and organised the logistics for the field visit to the SPO:

- **General endline workshop** consisted about one day for the self-assessments (about ½ to ¾ of the day) and brainstorm (about 1 to 2 hours) on key organisational capacity changes since the baseline and underlying interventions, factors and actors ('general causal map'), see also explanation below. This was done with the five categories of key staff: managers; project/ programme staff; monitoring and evaluation staff; admin & HRM staff; field staff. Note: for SPOs involved in process tracing an additional 1 to 1½ day workshop (managers; program/project staff; monitoring and evaluation staff) was necessary. See also step 7;
- **Interviews with SPO staff** (roughly one day);
- **Interviews with external respondents** such as partners and organisational development consultants depending on their proximity to the SPO. These interviews coulc be scheduled after the endline workshop and interviews with SPO staff.

General causal map

During the 5C endline process, a 'general causal map' has been developed, based on key organisational capacity changes and underlying causes for these changes, as perceived by the SPO. The general causal map describes cause-effect relationships, and is described both as a visual as well as a narrative.

As much as possible the same people that were involved in the baseline were also involved in the endline workshop and interviews.

Step 6. ***Interview the CFA*** *– CDI team*

The CDI team was responsible for sending the sheets/ formats to the CFA and for doing a follow-up interview on the basis of the information provided so as to clarify or deepen the information provided. This relates to:

- 5C Endline assessment Dutch co-financing organisation;
- 5C Endline support to capacity sheet - CFA perspective.

Step 7. ***Run the endline workshop*** *with the SPO – in-country team*

This included running the endline workshop, including facilitation of the development of the general causal map, self-assessments, interviews and observations. Particularly for those SPOs that were selected for process tracing all the relevant information needed to be analysed prior to the field visit, so as to develop an initial causal map. Please see Step 6 and also the next section on process tracing (evaluation question two).

An endline workshop with the SPO was intended to:

- Explain the purpose of the fieldwork;
- Carry out in the self-assessments by SPO staff subgroups (unless these have already been filled prior to the field visits) - this may take some 3 hours.
- Facilitate a brainstorm on key organisational capacity changes since the baseline in 2012 and underlying interventions, factors and actors.

***Purpose of the fieldwork*:** to collect data that help to provide information on what changes took place in terms of organisational capacity development of the SPO as well as reasons for these changes. The baseline that was carried out in 2012 was to be used as a point of reference.

Brainstorm on key organisational capacity changes and influencing factors: a brainstorm was facilitated on key organisational capacity changes since the baseline in 2012. In order to kick start the discussion, staff were reminded of the key findings related to the historical time line carried out in the baseline (vision, mission, strategies, funding, staff). This was then used to generate a discussion on key changes that happened in the organisation since the baseline (on cards). Then cards were selected that were related to organisational capacity changes, and organised. Then a 'general causal map' was developed, based on these key organisational capacity changes and underlying reasons for change as experienced by the SPO staff. This was documented as a visual and narrative.This general causal map was to get the story of the SPO on what they perceived as key organisational capacity changes in the organisation since the baseline, in addition to the specific details provided per indicator.

***Self-assessments*:** respondents worked in the respective staff function groups: management; programme/ project staff; monitoring and evaluation staff; admin and HRM staff; field staff. Staff were assisted where necessary so that they could really understand what it was they were being asked to do as well as what the descriptions under each indicator meant.

Note: for those SPOs selected for process tracing an additional endline workshop was held to facilitate the development of detailed causal maps for each of the identified organisational change/ outcome areas that fall under the capability to act and commit, and under the capability to adapt and self-renew, and that are likely related to capacity development interventions by the CFA. See also the next section on process tracing (evaluation question two). It was up to the in-country team whether this workshop was held straight after the initial endline workshop or after the workshop and the follow-up interviews. It could also be held as a separate workshop at another time.

Step 8. ***Interview SPO staff*** *– in-country team*

After the endline workshop (developing the general causal map and carrying out self-assessments in subgroups), interviews were held with SPO staff (subgroups) to follow up on the information that was provided in the self-assessment sheets, and to interview staff that had not yet provided any information.

Step 9. ***Fill-in observation sheets*** *– in-country team*

During the visit at the SPO, the in-country team had to fill in two sheets based on their observation:

- 5C Endline observation sheet;
- 5C Endline observable indicators.

Step 10. ***Interview externals*** *– in-country team & CDI team*

The in-country team also needed to interview the partners of the SPO as well as organisational capacity development consultants that have provided support to the SPO. The CDI team interviewed the CFA.

Step 11. ***Upload and auto-code all the formats*** *collected by in-country team and CDI team – CDI team*

The CDI team was responsible for uploading and auto-coding (in Nvivo) of the documents that were collected by the in-country team and by the CDI team.

*Step 12. Provide the **overview of information** per 5C indicator to in-country team – CDI team*

After the analysis in NVivo, the CDI team provided a copy of all the information generated per indicator to the in-country team for initial analysis.

*Step 13. **Analyse the data and develop a draft description** of the findings per indicator and for the general questions – in-country team*

The in-country team provided a draft description of the findings per indicator, based on the information generated per indicator. The information generated under the general questions were linked to the general causal map or detailed process tracing related causal map.

*Step 14. **Analyse the data and finalize the description** of the findings per indicator, per capability and general – CDI team*

The CDI team was responsible for checking the analysis by the in-country team with the Nvivo generated data and to make suggestions for improvement and ask questions for clarification to which the in-country team responded. The CDI team then finalised the analysis and provided final descriptions and scores per indicator and also summarize these per capability and calculated the summary capability scores based on the average of all indicators by capability.

*Step 15. **Analyse the information** in the general causal map –in-country team & CDI team*

The general causal map based on key organisational capacity changes as perceived by the SPO staff present at the workshop, was further detailed by in-country team and CDI team, and based on the notes made during the workshop and where necessary additional follow up with the SPO. The visual and narrative was finalized after feedback by the SPO. During analysis of the general causal map relationships with MFS II support for capacity development and other factors and actors were identified. All the information has been reviewed by the SPO and CFA.

Attributing changes in partner organisation's capacity – evaluation question 2

This section describes the data collection and analysis methodology for answering the second evaluation question: ***To what degree are the changes identified in partner capacity attributable to (capacity) development interventions undertaken by the MFS II consortia (i.e. measuring effectiveness)?***

In terms of the attribution question (2), 'process tracing' is used. This is a theory-based approach that has been applied to a selected number of SPOs since it is a very intensive and costly methodology, although it provides rich information and can generate a lot of learning within the organisations. Key organisational capacity changes/ outcomes of the SPO were identified, based on their relationship to the two selected capabilities, the capability to act and commit the capability to adapt and self-renew, and an expected relationship with CFA supported capacity development interventions (MFS II funding). It was agreed to focus on these two capabilities, since these are the most targeted capabilities by the CFAs, as established during the baseline process. The box below provides some background information on process tracing.

Background information on process tracing

The essence of process tracing research is that scholars want to go beyond merely identifying correlations between independent variables (Xs) and outcomes (Ys). Process tracing in social science is commonly defined by its addition to trace causal mechanisms (Bennett, 2008a, 2008b; Checkle, 2008; George & Bennett, 2005). A causal mechanism can be defined as "a complex system which produces an outcome by the interaction of a number of parts" (Glennan, 1996, p. 52). Process tracing involves "attempts to identify the intervening causal process – the causal chain and causal mechanism – between an independent variable (or variables) and the outcome of the dependent variable" (George & Bennett, 2005, pp. 206-207).

Process tracing can be differentiated into three variants within social science: theory testing, theory building, and explaining outcome process tracing (Beach & Pedersen, 2013).

Theory testing process tracing uses a theory from the existing literature and then tests whether evidence shows that each part of hypothesised causal mechanism is present in a given case, enabling within case inferences about whether the mechanism functioned as expected in the case and whether the mechanism as a whole was present. No claims can be made however, about whether the mechanism was the only cause of the outcome.

Theory building process tracing seeks to build generalizable theoretical explanations from empirical evidence, inferring that a more general causal mechanism exists from the fact of a particular case.

Finally, explaining outcome process tracing attempts to craft a minimally sufficient explanation of a puzzling outcome in a specific historical case. Here the aim is not to build or test more general theories but to craft a (minimally) sufficient explanation of the outcome of the case where the ambitions are more case centric than theory oriented.

Explaining outcome process tracing is the most suitable type of process tracing for analysing the causal mechanisms for selected key organisational capacity changes of the SPOs. This type of process tracing can be thought of as a single outcome study defined as seeking the causes of the specific outcome in a single case (Gerring, 2006; in: Beach & Pedersen, 2013). Here the ambition is to craft a minimally sufficient explanation of a particular outcome, with sufficiency defined as an explanation that accounts for all of the important aspects of an outcome with no redundant parts being present (Mackie, 1965).

Explaining outcome process tracing is an iterative research strategy that aims to trace the complex conglomerate of systematic and case specific causal mechanisms that produced the outcome in question. The explanation cannot be detached from the particular case. Explaining outcome process tracing refers to case studies whose primary ambition is to explain particular historical outcomes, although the findings of the case can also speak to other potential cases of the phenomenon. Explaining outcome process tracing is an iterative research process in which 'theories' are tested to see whether they can provide a minimally sufficient explanation of the outcome. Minimal sufficiency is defined as an explanation that accounts for an outcome, with no redundant parts. In most explaining outcome studies, existing theorisation cannot provide a sufficient explanation, resulting in a second stage in which existing theories are re-conceptualised in light of the evidence gathered in the preceding empirical analysis. The conceptualisation phase in explaining outcome process tracing is therefore an iterative research process, with initial mechanisms re-conceptualised and tested until the result is a theorised mechanism that provides a minimally sufficient explanation of the particular outcome.

Below a description is provided of how SPOs are selected for process tracing, and a description is provided on how this process tracing is to be carried out. Note that this description of process tracing provides not only information on the extent to which the changes in organisational development can be attributed to MFS II (evaluation question 2), but also provides information on other contributing factors and actors (evaluation question 4). Furthermore, it must be noted that the evaluation team has developed an adapted form of 'explaining outcome process tracing', since the data collection and analysis was an iterative process of research so as to establish the most realistic explanation for a particular outcome/ organisational capacity change. Below selection of SPOs for process tracing as well as the different steps involved for process tracing in the selected SPOs, are further explained.

Selection of SPOs for 5C process tracing

Process tracing is a very intensive methodology that is very time and resource consuming (for development and analysis of one final detailed causal map, it takes about 1-2 weeks in total, for different members of the evaluation team). It has been agreed upon during the synthesis workshop on 17-18 June 2013 that only a selected number of SPOs will take part in this process tracing for the purpose of understanding the attribution question. The selection of SPOs is based on the following criteria:

- MFS II support to the SPO has not ended before 2014 (since this would leave us with too small a time difference between intervention and outcome);
- Focus is on the 1-2 capabilities that are targeted most by CFAs in a particular country;
- Both the SPO and the CFA are targeting the same capability, and preferably aim for similar outcomes;
- Maximum one SPO per CFA per country will be included in the process tracing.

The intention was to focus on about 30-50% of the SPOs involved. Please see the tables below for a selection of SPOs per country. Per country, a first table shows the extent to which a CFA targets the five capabilities, which is used to select the capabilities to focus on. A second table presents which SPO is selected, and takes into consideration the selection criteria as mentioned above.

ETHIOPIA

For Ethiopia the capabilities that are mostly targeted by CFAs are the capability to act and commit and the capability to adapt and self-renew. See also the table below.

Table 1

The extent to which the Dutch NGO explicitly targets the following capabilities – Ethiopia

Capability to:	AMREF	CARE	ECFA	FSCE	HOA-REC	HUNDEE	NVEA	OSRA	TTCA
Act and commit	5	4	5	5	5	3	4	4	3
Deliver on development objectives	2	1	1	1	2	1	1	2	1
Adapt and self-renew	4	2	3	4	2	5	3	3	3
Relate	3	1	2	2	3	2	1	3	1
Achieve coherence	2	2	1	1	1	1	1	1	1

Note: Number 1 stands for not targeted, 5 for intensively targeted. These scores are relative scores for the interventions by the CFA to strengthen the capacity of the SPO. The scores are relative to each other, a higher score means that this capability gets more attention by the CFA compared to other capabilities.

Source: country baseline report, Ethiopia.

Below you can see the table describing when the contract with the SPO is to be ended, and whether both SPO and the CFA expect to focus on these two selected capabilities (with MFS II funding). Based on the above-mentioned selection criteria the following SPOs are selected for process tracing: AMREF, ECFA, FSCE, HUNDEE. In fact, six SPOs would be suitable for process tracing. We just selected the first one per CFA following the criteria of not including more than one SPO per CFA for process tracing

Table 2

SPOs selected for process tracing – Ethiopia

Ethiopia – SPOs	End of contract	Focus on capability to act and commit– by SPO	Focus on capability to act and commit – by CFA	Focus on capability to adapt and self-renew – by SPO	Focus on capability to adapt and self-renew – by CFA	CFA	Selected for process tracing
AMREF	Dec 2015	Yes	Yes	Yes	Yes	AMREF NL	Yes
CARE	Dec 31, 2015	Partly	Yes	Yes	Yes – slightly	CARE Netherlands	No - not fully matching
ECFA	Jan 2015	Yes	Yes	Yes	Yes	Child Helpline International	Yes
FSCE	Dec 2015	Yes	Yes	Yes	Yes	Stichting Kinderpostzegels Netherlands (SKN); Note: no info from Defence for Children – ECPAT Netherlands	Yes
HOA-REC	Sustainable Energy project (ICCO Alliance): 2014 Innovative WASH (WASH Alliance): Dec 2015	Yes	Yes	Yes	Yes - slightly	ICCO	No - not fully matching
HUNDEE	Dec 2014	Yes	Yes	Yes	Yes	ICCO & IICD	Yes
NVEA	Dec 2015 (both)	Yes	Yes	Yes	Yes	Edukans Foundation (under two consortia); Stichting Kinderpostzegels Netherlands (SKN)	Suitable but SKN already involved for process tracing FSCE
OSRA	C4C Alliance project (farmers marketing): December 2014 ICCO Alliance project (zero grazing: 2014 (2nd phase)	Yes	Yes	Yes	Yes	ICCO & IICD	Suitable but ICCO & IICD already involved for process tracing - HUNDEE
TTCA	June 2015	Partly	Yes	No	Yes	Edukans Foundation	No - not fully matching

INDIA

For India the capability that is mostly targeted by CFAs is the capability to act and commit. The next one in line is the capability to adapt and self-renew. See also the table below in which a higher score means that the specific capability is more intensively targeted.

Table 3

The extent to which the Dutch NGO explicitly targets the following capabilities – India[17]

Capability to:	BVHA	COUNT	DRISTI	FFID	Jana Vikas	Samarthak Samiti	SMILE	SDS	VTRC
Act and commit	5	3	4	4	4	4	4	3	5
Deliver on development objectives	1	5	1	1	1	1	1	2	1
Adapt and self-renew	2	2	1	3	1	1	4	1	4
Relate	3	1	1	1	1	1	2	1	2
Achieve coherence	1	1	1	4	1	1	1	1	2

Note: Number 1 stands for not targeted, 5 for intensively targeted. These scores are relative scores for the interventions by the CFA to strengthen the capacity of the SPO. The scores are relative to each other, a higher score means that this capability gets more attention by the CFA compared to other capabilities.

Source: country baseline report, India.

Below you can see a table describing when the contract with the SPO is to be ended and whether SPO and the CFA both expect to focus on these two selected capabilities (with MFS II funding). Based on the above-mentioned selection criteria the following SPOs are selected for process tracing: BVHA, COUNT, FFID, SMILE and VTRC. Except for SMILE (capability to act and commit only), for the other SPOs the focus for process tracing can be on the capability to act and commit and on the capability to adapt and self-renew.

Table 4

SPOs selected for process tracing – India

India – SPOs	End of contract	Focus on capability to act and commit– by SPO	Focus on capability to act and commit – by CFA	Focus on capability to adapt and self-renew –by SPO	Focus on capability to adapt and self-renew – by CFA	CFA	Selected for process tracing
BVHA	2014	Yes	Yes	Yes	Yes	Simavi	Yes; both capabilities
COUNT	2015	Yes	Yes	Yes	Yes	Woord en Daad	Yes; both capabilities
DRISTI	31-03-2012	Yes	Yes	No	no	Hivos	No - closed in 2012
FFID	30-09-2014	Yes	Yes	Yes	Yes	ICCO	Yes

[17] RGVN, NEDSF and Women's Rights Forum (WRF) could not be reached timely during the baseline due to security reasons. WRF could not be reached at all. Therefore these SPOs are not included in Table 1.

India – SPOs	End of contract	Focus on capability to act and commit– by SPO	Focus on capability to act and commit – by CFA	Focus on capability to adapt and self-renew –by SPO	Focus on capability to adapt and self-renew – by CFA	CFA	Selected for process tracing
Jana Vikas	2013	Yes	Yes	Yes	No	Cordaid	No - contract is and the by now; not fully matching focus
NEDSF							No – delayed baseline
RGVN							No - delayed baseline
Samarthak Samiti (SDS)	2013 possibly longer	Yes	Yes	Yes	No	Hivos	No - not certain of end date and not fully matching focus
Shivi Development Society (SDS)	Dec 2013 intention 2014	Yes	Yes	Yes	No	Cordaid	No - not fully matching focus
Smile	2015	Yes	Yes	Yes	Yes	Wilde Ganzen	Yes; first capability only
VTRC	2015	Yes	Yes	Yes	Yes	Stichting Red een Kind	Yes; both capabilities

INDONESIA

For Indonesia the capabilities that are most frequently targeted by CFAs are the capability to act and commit and the capability to adapt and self-renew. See also the table below.

Table 5

The extent to which the Dutch NGO explicitly targets the following capabilities – Indonesia

Capability to:	ASB	Daya kologi	ECPAT	GSS	Lem baga Kita	Pt. PPMA	Rifka Annisa	WIIP	Yad upa	Yayasan Kelola	YPI	YRBI
Act and commit	4	4	4	5	4	4	5	3	3	2	5	4
Deliver on development objectives	1	1	1	2	2	1	2	1	1	1	1	1
Adapt and self-renew	3	1	2	4	2	3	4	4	1	1	4	3
Relate	1	1	2	3	3	2	1	2	2	2	3	2
Achieve coherence	1	1	1	2	1	1	2	2	1	1	2	1

Note: Number 1 stands for not targeted, 5 for intensively targeted. These scores are relative scores for the interventions by the CFA to strengthen the capacity of the SPO. The scores are relative to each other, a higher score means that this capability gets more attention by the CFA compared to other capabilities.

Source: country baseline report, Indonesia.

The table below describes when the contract with the SPO is to be ended and whether both SPO and the CFA expect to focus on these two selected capabilities (MFS II funding). Based on the above-mentioned selection criteria the following SPOs are selected for process tracing: ASB, ECPAT, Pt.PPMA, YPI, YRBI.

Table 6

SPOs selected for process tracing – Indonesia

Indonesia – SPOs	End of contract	Focus on capability to act and commit– by SPO	Focus on capability to act and commit – by CFA	Focus on capability to adapt and self-renew – by SPO	Focus on capability to adapt and self-renew – by CFA	CFA	Selected for process tracing
ASB	February 2012; extension Feb,1, 2013 – June,30, 2016	Yes	Yes	Yes	Yes	Hivos	Yes
Dayakologi	2013; no extension	Yes	Yes	Yes	No	Cordaid	No: contract ended early and not matching enough
ECPAT	August 2013; Extension Dec 2014	Yes	Yes	Yes, a bit	Yes	Free Press Unlimited - Mensen met een Missie	Yes
GSS	31 December 2012; no extension	Yes	Yes	Yes, a bit	Yes	Free Press Unlimited - Mensen met een Missie	No: contract ended early
Lembaga Kita	31 December 2012; no extension	Yes	Yes	No	Yes	Free Press Unlimited - Mensen met een Missie	No - contract ended early
Pt.PPMA	May 2015	Yes	Yes	No	Yes	IUCN	Yes, capability to act and commit only
Rifka Annisa	Dec, 31 2015	No	Yes	No	Yes	Rutgers WPF	No - no match between expectations CFA and SPO
WIIP	Dec 2015	Yes	Not MFS II	Yes	Not MFS II	Red Cross	No - Capacity development interventions are not MFS II financed. Only some overhead is MFS II

Indonesia – SPOs	End of contract	Focus on capability to act and commit– by SPO	Focus on capability to act and commit – by CFA	Focus on capability to adapt and self-renew – by SPO	Focus on capability to adapt and self-renew – by CFA	CFA	Selected for process tracing
Yayasan Kelola	Dec 30, 2013; extension of contract being processed for two years (2014-2015)	Yes	Not really	Yes	Not really	Hivos	No - no specific capacity development interventions planned by Hivos
YPI	Dec 31, 2015	Yes	Yes	Yes	Yes	Rutgers WPF	Yes
YRBI	Oct, 30, 2013; YRBI end of contract from 31st Oct 2013 to 31st Dec 2013. Contract extension proposal is being proposed to MFS II, no decision yet.	Yes	Yes	Yes	Yes	ICCO	Yes
Yadupa	Under negotiation during baseline; new contract 2013 until now	Yes	Nothing committed	Yes	Nothing committed	IUCN	No, since nothing was committed by CFA

LIBERIA

For Liberia the situation is arbitrary which capabilities are targeted most CFA's. Whilst the capability to act and commit is targeted more often than the other capabilities, this is only so for two of the SPOs. The capability to adapt and self-renew and the capability to relate are almost equally targeted for the five SPOs, be it not intensively. Since the capability to act and commit and the capability to adapt and self-renew are the most targeted capabilities in Ethiopia, India and Indonesia, we choose to focus on these two capabilities for Liberia as well. This would help the synthesis team in the further analysis of these capabilities related to process tracing. See also the table below.

Table 7

The extent to which the Dutch NGO explicitly targets the following capabilities – Liberia

Capability to:	BSC	DEN-L	NAWOCOL	REFOUND	RHRAP
Act and commit	5	1	1	1	3
Deliver on development objectives	3	1	1	1	1
Adapt and self-renew	2	2	2	2	2
Relate	1	2	2	2	2
Achieve coherence	1	1	1	1	1

Note: Number 1 stands for not targeted, 5 for intensively targeted. These scores are relative scores for the interventions by the CFA to strengthen the capacity of the SPO. The scores are relative to each other, a higher score means that this capability gets more attention by the CFA compared to other capabilities.

Source: country baseline report, Liberia.

Below you can see the table describing when the contract with the SPO is to be ended, and whether both SPO and the CFA expect to focus on these two selected capabilities (with MFS II funding). Also, for two of the five SPOs capability to act and commit is targeted more intensively compared to the other capabilities. Based on the above-mentioned selection criteria the following SPOs are selected for process tracing: BSC and RHRAP.

Table 8

SPOs selected for process tracing – Liberia

Liberia – SPOs	End of contract	Focus on capability to act and commit– by SPO	Focus on capability to act and commit – by CFA	Focus on capability to adapt and self-renew –by SPO	Focus on capability to adapt and self-renew – by CFA	CFA	Selected for process tracing
BSC	Dec 31, 2015	Yes	Yes	Yes	Yes	SPARK	Yes
DEN-L	2014	No	No	Unknown	A little	ICCO	No – not matching enough
NAWOCOL	2014	Yes	No	No	A little	ICCO	No – not matching enough
REFOUND	At least until 2013 (2015?)	Yes	No	Yes	A little	ICCO	No – not matching enough
RHRAP	At least until 2013 (2014?)	Yes	Yes	Yes	Yes	ICCO	Yes

Key steps in process tracing for the 5C study

In the box below you will find the key steps developed for the 5C process tracing methodology. These steps will be further explained here. Only key staff of the SPO is involved in this process: management; programme/ project staff; and monitoring and evaluation staff, and other staff that could provide information relevant to the identified outcome area/key organisational capacity change. Those SPOs selected for process tracing had a separate endline workshop, in addition to the ' general endline workshop. This workshop was carried out after the initial endline workshop and the interviews during the field visit to the SPO. Where possible, the general and process tracing endline workshop have been held consecutively, but where possible these workshops were held at different points in time, due to the complex design of the process. Below the detailed steps for the purpose of process tracing are further explained.

Key steps in process tracing for the 5C study

1. Identify the planned MFS II supported capacity development interventions within the selected capabilities (capability to act and commit and capability to adapt and self-renew) – CDI team
2. Identify the implemented MFS II supported capacity development interventions within the selected capabilities (capability to act and commit and capability to adapt and self-renew) – CDI team
3. Identify initial changes/ outcome areas in these two capabilities – CDI team & in-country team
4. Construct the detailed, initial causal map (theoretical model of change) – CDI team & in-country team
5. Identify types of evidence needed to verify or discard different causal relationships in the model of change – in-country teams, with support from CDI team
6. Collect data to verify or discard causal mechanisms and construct workshop based, detailed causal map (model of change) – in-country team
7. Assess the quality of data and analyse data and develop final detailed causal map (model of change) – in-country team with CDI team
8. Analyse and conclude on findings– CDI team, in collaboration with in-country team

Some definitions of the terminology used for this MFS II 5c evaluation

Based upon the different interpretations and connotations the use of the term causal mechanism we use the following terminology for the remainder of this paper:

A **detailed causal map** (or **model of change)** = the representation of all possible explanations – causal pathways for a change/ outcome. These pathways are that of the intervention, rival pathways and pathways that combine parts of the intervention pathway with that of others. This also depicts the reciprocity of various events influencing each other and impacting the overall change.

A **causal mechanism** = is the combination of parts that ultimately explains an outcome. Each part of the mechanism is an individually insufficient but necessary factor in a whole mechanism, which together produce the outcome (Beach and Pedersen, 2013, p. 176).

Part or **cause** = one actor with its attributes carrying out activities/ producing outputs that lead to change in other parts. The final part or cause is the change/ outcome.

Attributes of the actor = specificities of the actor that increase his chance to introduce change or not such as its position in its institutional environment.

*Step 1. Identify the **planned MFS II supported capacity development interventions** within the selected capabilities (capability to act and commit and capability to adapt and self-renew) – CDI team*

Chapter 4.1 and 4.2 in the baseline report were reviewed. Capacity development interventions as planned by the CFA for the capability to act and commit and for the capability to adapt and self-renew were described and details inserted in the summary format. This provided an overview of the capacity development activities that were originally planned by the CFA for these two capabilities and assisted in focusing on relevant outcomes that are possibly related to the planned interventions.

*Step 2. Identify the **implemented capacity development interventions** within the selected capabilities (capability to act and commit and capability to adapt and self-renew) – CDI team*

The input from the CFA was reviewed in terms of what capacity development interventions have taken place in the MFS II period. This information was be found in the 'Support to capacity development sheet - endline - CFA perspective' for the SPO, based on details provided by the CFA and further discussed during an interview by the CDI team.

The CFA was asked to describe all the MFS II supported capacity development interventions of the SPO that took place during the period 2011 up to now. The CDI team reviewed this information, not only the interventions but also the observed changes as well as the expected long-term changes, and

then linked these interventions to relevant outcomes in one of the capabilities (capability to act and commit; and capability to adapt and self-renew).

*Step 3. Identify **initial changes/ outcome areas** in these two capabilities – by CDI team & in-country team*

The CDI team was responsible for coding documents received from SPO and CFA in NVivo on the following:

- 5C Indicators: this was to identify the changes that took place between baseline and endline. This information was coded in Nvivo.
- Information related to the capacity development interventions implemented by the CFA (with MFS II funding) (see also Step 2) to strengthen the capacity of the SPO. For example, the training on financial management of the SPO staff could be related to any information on financial management of the SPO. This information was coded in Nvivo.

In addition, the response by the CFA to the changes in 5C indicators format, was auto-coded.

The in-country team was responsible for timely collection of information from the SPO (before the fieldwork starts). This set of information dealt with:

- MFS II supported capacity development interventions during the MFS II period (2011 until now).
- Overview of all trainings provided in relation to a particular outcome areas/organisational capacity change since the baseline.
- For each of the identified MFS II supported trainings, training questionnaires have been developed to assess these trainings in terms of the participants, interests, knowledge and skills gained, behaviour change and changes in the organisation (based on Kirkpatrick's model), one format for training participants and one for their managers. These training questionnaires were sent prior to the field visit.
- Changes expected by SPO on a long-term basis ('Support to capacity development sheet - endline - SPO perspective').

For the selection of change/ outcome areas the following criteria were important:

- The change/ outcome area is in one of the two capabilities selected for process tracing: capability to act and commit or the capability to adapt and self-renew. This was the first criteria to select upon.
- There was a likely link between the key organisational capacity change/ outcome area and the MFS II supported capacity development interventions. This also was an important criteria. This would need to be demonstrated through one or more of the following situations:
  - In the 2012 theory of change on organisational capacity development of the SPO a link was indicated between the outcome area and MFS II support;
  - During the baseline the CFA indicated a link between the planned MFS II support to organisational development and the expected short-term or long-term results in one of the selected capabilities;
  - During the endline the CFA indicated a link between the implemented MFS II capacity development interventions and observed short-term changes and expected long-term changes in the organisational capacity of the SPO in one of the selected capabilities;
  - During the endline the SPO indicated a link between the implemented MFS II capacity development interventions and observed short-term changes and expected long-term changes in the organisational capacity of the SPO in one of the selected capabilities.

Reviewing the information obtained as described in Step 1, 2, and 3 provided the basis for selecting key organisational capacity change/ outcome areas to focus on for process tracing. These areas were to be formulated as broader outcome areas, such as 'improved financial management', 'improved monitoring and evaluation' or 'improved staff competencies'.

Note: the outcome areas were to be formulated as intermediates changes. For example: an improved monitoring and evaluation system, or enhanced knowledge and skills to educate the target group on

climate change. Key outcome areas were also verified - based on document review as well as discussions with the SPO during the endline.

*Step 4. Construct the **detailed, initial causal map** (theoretical model of change) – CDI & in-country team*

A detailed initial causal map was developed by the CDI team, in collaboration with the in-country team. This was based on document review, including information provided by the CFA and SPO on MFS II supported capacity development interventions and their immediate and long-term objectives as well as observed changes. Also, the training questionnaires were reviewed before developing the initial causal map. This detailed initial causal map was to be provided by the CDI team with a visual and related narrative with related references. This initial causal map served as a reference point for further reflection with the SPO during the process tracing endline workshop, where relationships needed to be verified or new relationships established so that the second (workshop-based), detailed causal map could be developed, after which further verification was needed to come up with the final, concluding detailed causal map.

It's important to note that organisational change area/ outcome areas could be both positive and negative.

For each of the selected outcomes the team needed to make explicit the theoretical model of change. This meant finding out about the range of different actors, factors, actions, and events etc. that have contributed to a particular outcome in terms of organisational capacity of the SPO.

A model of change of good quality includes:

- The causal pathways that relate the intervention to the realised change/ outcome;
- Rival explanations for the same change/ outcome;
- Assumptions that clarify relations between different components or parts;
- Case specific and/or context specific factors or risks that might influence the causal pathway, such as for instance the socio-cultural-economic context, or a natural disaster;
- Specific attributes of the actors e.g. CFA and other funders.

A model of change (within the 5C study called a 'detailed causal map') is a complex system which produces intermediate and long-term outcomes by the interaction of other parts. It consists of parts or causes that often consist of one actor with its attributes that is implementing activities leading to change in other parts (Beach & Pedersen, 2013). A helpful way of constructing the model of change is to think in terms of actors carrying out activities that lead to other actors changing their behaviour. The model of change can be explained as a range of activities carried out by different *actors* (including the CFA and SPO under evaluation) that will ultimately lead to an outcome. Besides this, there are also '*structural*' elements, which are to be interpreted as external factors (such as economic conjuncture); and *attributes* of the actor (does the actor have the legitimacy to ask for change or not, what is its position in the sector) that should be looked at (Beach & Pedersen, 2013). In fact Beach and Pedersen, make a fine point about the subjectivity of the actor in a dynamic context. This means, in qualitative methodologies, capturing the changes in the actor, acted upon area or person/organisation, in a non sequential and non temporal format. Things which were done recently could have corrected behavioural outcomes of an organisation and at the same ime there could be processes which incrementally pushed for the same change over a period of time. Beach and Pedersen espouse this methodology because it captures change in a dynamic fashion as against the methodology of logical framework. For the MFS II evaluation it was important to make a distinction between those paths in the model of change that are the result of MFS II and rival pathways.
The construction of the model of change started with the identified key organisational capacity change/ outcome, followed by an inventory of all possible subcomponents that possibly have caused the change/ outcome in the MFS II period (2011-up to now, or since the baseline). The figure below presents an imaginary example of a model of change. The different colours indicate the different types of support to capacity development of the SPO by different actors, thereby indicating different pathways of change, leading to the key changes/ outcomes in terms of capacity development (which in this case indicates the ability to adapt and self-renew).

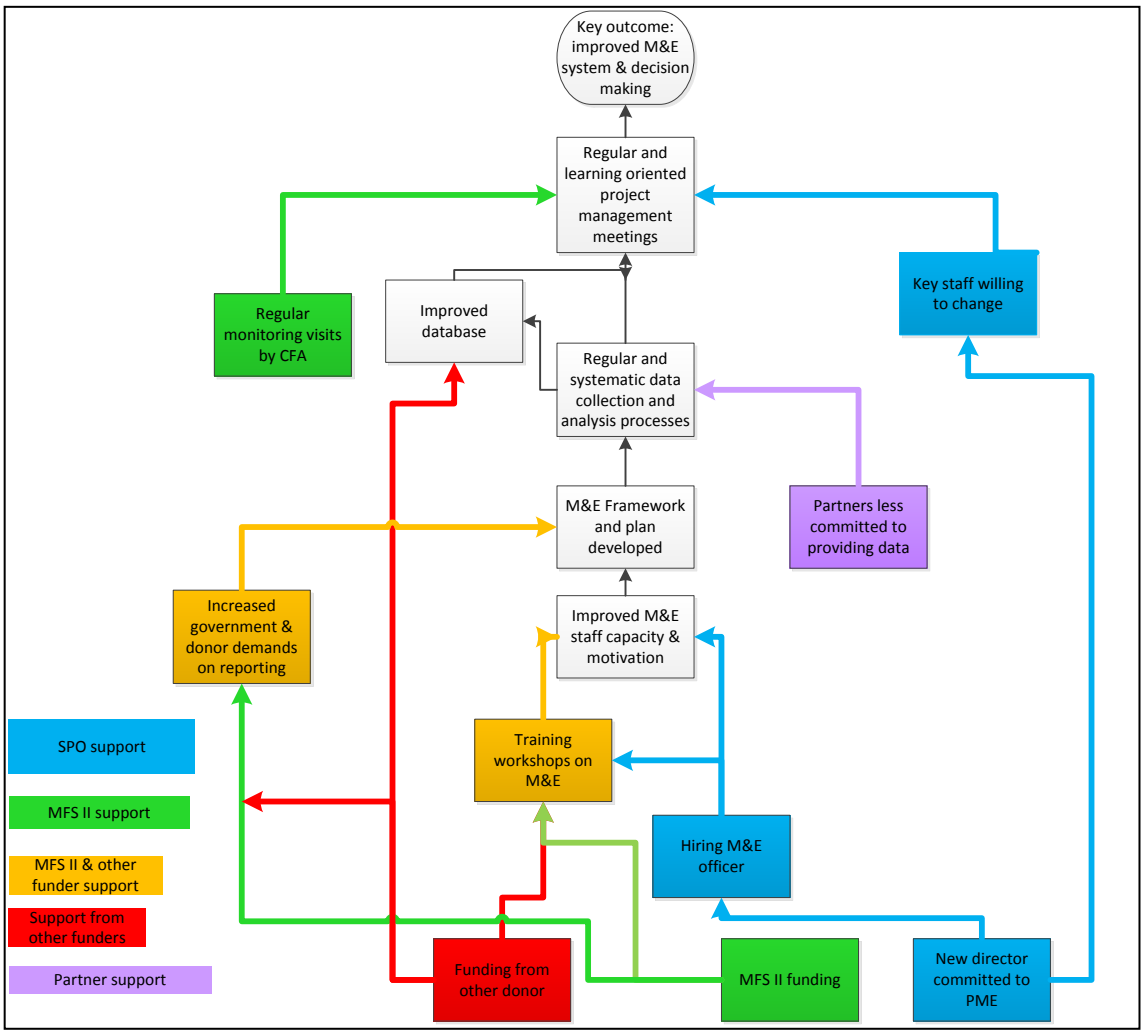


Figure 1 *An imaginary example of a model of change*

Step 5. Identify ***types of evidence*** *needed to verify or discard different causal relationships in the model of change – in-country teams with support from CDI team*

Once the causal mechanism at theoretical level were defined, empirical evidence was collected so as to verify or discard the different parts of this theoretical model of change, confirm or reject whether subcomponents have taken place, and to find evidence that confirm or reject the causal relations between the subcomponents.

A key question that we needed to ask ourselves was, *"What information do we need in order to confirm or reject that one subcomponent leads to another, that X causes Y?"*. The evaluation team needed to agree on what information was needed that provides empirical manifestations for each part of the model of change.

There are four distinguishable types of evidence that are relevant in process tracing analysis: *pattern, sequence, trace, and account*. Please see the box below for descriptions of these types of evidence.

The evaluation team needed to agree on the types of evidence that was needed to verify or discard the manifestation of a particular part of the causal mechanism. Each one or a combination of these different types of evidence could be used to confirm or reject the different parts of the model of change. This is what is meant by robustness of evidence gathering. Since causality as a concept can bend in many ways, our methodology, provides a near scientific model for accepting and rejecting a particular type of evidence, ignoring its face value.

Types of evidence to be used in process tracing

Pattern evidence relates to predictions of statistical patterns in the evidence. For example, in testing a mechanism of racial discrimination in a case dealing with employment, statistical patterns of employment would be relevant for testing this part of the mechanism.

Sequence evidence deals with the temporal and spatial chronology of events predicted by a hypothesised causal mechanism. For example, a test of the hypothesis could involve expectations of the timing of events where we might predict that if the hypothesis is valid, we should see that the event B took place after event A took place. However, if we found that event B took place before event A took place, the test would suggest that our confidence in the validity of this part of the mechanism should be reduced (disconfirmation/ falsification).

Trace evidence is evidence whose mere existence provides proof that a part of a hypothesised mechanism exists. For example, the existence of the minutes of a meeting, if authentic ones, provide strong proof that the meeting took place.

Account evidence deals with the content of empirical material, such as meeting minutes that detail what was discussed or an oral account of what took place in the meeting.

Source: Beach and Pedersen, 2013

Below you can find a table that provides guidelines on what to look for when identifying types of evidence that can confirm or reject causal relationships between different parts/ subcomponents of the model of change. It also provides one example of a part of a causal pathway and what type of information to look for.

Table 9

Format for identifying types of evidence for different causal relationships in the model of change (example included)

Part of the model of change	Key questions	Type of evidence needed	Source of information
Describe relationship between the subcomponents of the model of change	Describe questions you would like to answer a so as to find out whether the components in the relationship took place, when they took place, who was involved, and whether they are related	Describe the information that we need in order to answer these questions. Which type of evidence can we use in order to reject or confirm that subcomponent X causes subcomponent Y? Can we find this information by means of : Pattern evidence; Sequence evidence; Trace evidence; Account evidence?	Describe where you can find this information
Example: Training workshops on M&E provided by MFS II funding and other sources of funding	Example: What type of training workshops on M&E took place? Who was trained? When did the training take place? Who funded the training? Was the funding of training provided before the training took place? How much money was available for the training?	Example: Trace evidence: on types of training delivered, who was trained, when the training took place, budget for the training Sequence evidence on timing of funding and timing of training Content evidence: what the training was about	Example: Training report SPO Progress reports interviews with the CFA and SPO staff Financial reports SPO and CFA

Please note that for practical reasons, the 5C evaluation team decided that it was easier to integrate the specific questions in the narrative of the initial causal map. These questions would need to be addressed by the in country team during the process tracing workshop so as to discover, verify or discard particular causal mechanisms in the detailed, initial causal map. Different types of evidence was asked for in these questions.

Step 6. ***Collect data*** *to verify or discard causal mechanisms and develop workshop-based, detailed causal map – in-country team*

Once it was decided by the in-country and CDI evaluation teams what information was to be collected during the interaction with the SPO, data collection took place. The initial causal maps served as a basis for discussions during the endline workshop with a particular focus on process tracing for the identified organisational capacity changes. But it was considered to be very important to understand from the perspective of the SPO how they understood the identified key organisational capacity change/outcome area has come about. A new detailed, workshop-based causal map was developed that included the information provided by SPO staff as well as based on initial document review as described in the initial detailed causal map. This information was further analysed and verified with other relevant information so as to develop a final causal map, which is described in the next step.

Step 7. ***Assess the quality*** *of data and* ***analyse data****, and develop the* ***final detailed causal map*** *(model of change) – in-country team and CDI team*

Quality assurance of the data collected and the evidence it provides for rejecting or confirming parts of causal explanations are a major concern for many authors specialised in contribution analysis and process-tracing. Stern et al. (2012), Beach and Pedersen (2013), Lemire, Nielsen and Dybdal (2012), Mayne (2012) and Delahais and Toulemonde (2012) all emphasise the need to make attribution/ contribution claims that are based on pieces of evidence that are rigorous, traceable, and credible. These pieces of evidence should be as explicit as possible in proving that *subcomponent X causes subcomponent Y* and ruling out other explanations. Several tools are proposed to check the nature and the quality of data needed. One option is, Delahais and Toulemonde's Evidence Analysis Database, which we have adapted for our purpose.

Delahais and Toulemonde (2012) propose an Evidence Analysis Database that takes into consideration three criteria:

Confirming/ rejecting a causal relation (yes/no);
Type of causal mechanism: intended contribution/ other contribution/ condition leading to intended contribution/ intended condition to other contribution/ feedback loop;
Strength of evidence: strong/ rather strong/ rather weak/ weak.

We have adapted their criteria to our purpose. The in-country team, in collaboration with the CDI team, used the criteria in assessing whether causal relationships in the causal map, were strong enough. This has been more of an iterative process trying to find additional evidence for the established relationships through additional document review or contacting the CFA and SPO as well as getting their feedback on the final detailed causal map that was established. Whilst the form below has not been used exactly in the manner depicted, it has been used indirectly when trying to validate the information in the detailed causal map. After that, the final detailed causal map is established both as a visual as well as a narrative, with related references for the established causal relations.

Example format for the adapted evidence analysis database (example included) **Description of causal relation**	**Confirming/ rejecting a causal relation (yes/no)**	**Type of information providing the background to the confirmation or rejection of the causal relation**	**Strength of evidence: strong/ rather strong/ rather weak/ weak**	**Explanation for why the evidence is (rather) strong or (rather) weak, and therefore the causal relation is confirmed/ rejected**
e.g. Training staff in M&E leads to enhanced M&E knowledge, skills and practice	e.g. Confirmed	e.g. Training reports confirmed that staff are trained in M&E and that knowledge and skills increased as a result of the training		

Step 8. ***Analyse and conclude*** *on findings– in-country team and CDI team*

The final detailed causal map was described as a visual and narrative and this was then analysed in terms of the evaluation question two and evaluation question four: *"To what degree are the changes identified in partner capacity attributable to development interventions undertaken by the MFS II consortia (i.e. measuring effectiveness)?"* and *"What factors explain the findings drawn from the questions above?"* It was analysed to what extent the identified key organisational capacity change can be attributed to MFS II supported capacity development interventions as well as to other related factors, interventions and actors.

Explaining factors – evaluation question 4

This paragraph describes the data collection and analysis methodology for answering the fourth evaluation question: **"What factors explain the findings drawn from the questions above?"**

In order to explain the changes in organisational capacity development between baseline and endline (evaluation question 1) the CDI and in-country evaluation teams needed to review the indicators and how they have changed between baseline and endline and what reasons have been provided for this. This has been explained in the first section of this appendix. It has been difficult to find detailed explanations for changes in each of the separate 5c indicators, but the 'general causal map' has provided some ideas about some of the key underlying factors actors and interventions that influence the key organisational capacity changes, as perceived by the SPO staff.

For those SPOs that are selected for process tracing (evaluation question 2), more in-depth information was procured for the identified key organisational capacity changes and how MFS II supported capacity development interventions as well as other actors, factors and interventions have influenced these changes. This is integrated in the process of process tracing as described in the section above.

Methodological reflection

Below a few methodological reflections are made by the 5C evaluation team.

Use of the 5 core capabilities framework and qualitative approach: this has proven to a be very useful framework to assess organisational capacity. The five core capabilities provide a comprehensive picture of the capacity of an organisation. The capabilities are interlinked, which was also reflected in the description of standard indicators, that have been developed for the purpose of this 5C evaluation

and agreed upon for the eight countries. Using this framework with a mainly qualitative approach has provided rich information for the SPOs and CFAs, and many have indicated this was a useful learning exercise.

Using standard indicators and scores: using standard indicators is useful for comparison purposes. However, the information provided per indicator is very specific to the SPO and therefore makes comparison difficult. Whilst the description of indicators has been useful for the SPO and CFA, it is questionable to what extent indicators can be compared across SPOs since they need to be seen in context, for them to make meaning. In relation to this, one can say that scores that are provided for the indicators, are only relative and cannot show the richness of information as provided in the indicator description. Furthermore, it must be noted that organisations are continuously changing and scores are just a snapshot in time. There cannot be perfect score for this. In hindsight, having rubrics would have been more useful than scores.

General causal map: whilst this general causal map, which is based on key organisational capacity changes and related causes, as perceived by the SPO staff present at the endline workshop, has not been validated with other sources of information except SPO feedback, the 5C evaluation team considers this information important, since it provides the SPO story about how and which changes in the organisation since the baseline, are perceived as being important, and how these changes have come about. This will provide information additional to the information that has been validated when analysing and describing the indicators as well as the information provided through process tracing (selected SPOs). This has proven to be a learning experience for many SPOs.

Using process tracing for dealing with the attribution question: this theory-based and mainly qualitative approach has been chosen to deal with the attribution question, on how the organisational capacity changes in the organisations have come about and what the relationship is with MFS II supported capacity development interventions and other factors. This has proven to be a very useful process, that provided a lot of very rich information. Many SPOs and CFAs have already indicated that they appreciated the richness of information which provided a story about how identified organisational capacity changes have come about. Whilst this process was intensive for SPOs during the process tracing workshops, many appreciated this to be a learning process that provided useful information on how the organisation can further develop itself. For the evaluation team, this has also been an intensive and time-consuming process, but since it provided rich information in a learning process, the effort was worth it, if SPOs and CFAs find this process and findings useful.

A few remarks need to be made:

- Outcome explaining process tracing is used for this purpose, but has been adapted to the situation since the issues being looked at were very complex in nature.
- Difficulty of verifying each and every single change and causal relationship:
- Intensity of the process and problems with recall: often the process tracing workshop was done straight after the general endline workshop that has been done for all the SPOs.In some cases, the process tracing endline workshop has been done at a different point in time, which was better for staff involved in this process, since process tracing asks people to think back about changes and how these changes have come about. The word difficulties with recalling some of these changes and how they have come about. See also the next paragraph.
- Difficulty of assessing changes in knowledge and behaviour: training questionnaire is have been developed, based on Kirkpatrick's model and were specifically tailored to identify not only the interest but also the change in knowledge and skills, behaviour as well as organisational changes as a result of a particular training. The retention ability of individuals, irrespective of their position in the organisation, is often unstable. The 5C evaluation team experienced that it was difficult for people to recall specific trainings, and what they learned from those trainings. Often a change in knowledge, skills and behaviour is a result brought about by a combination of different factors , rather than being traceable to one particular event. The detailed causal maps that have been established, also clearly pointed this. There are many factors at play that make people change their behaviour, and this is not just dependent on training but also internal/personal (motivational) factors as well as factors within the organisation, that stimulate or hinder a person to change behaviour. Understanding how behaviour change works is important when trying to really understand the extent to which behaviour has changed as a result of different factors, actors and interventions. Organisations change because people

change and therefore understanding when and how these individuals change behaviour is crucial. Also attrition and change in key organisational positions can contribute considerably to the outcome.

Utilisation of the evaluation

The 5C evaluation team considers it important to also discuss issues around utility of this evaluation. We want to mention just a few.

Design – mainly externally driven and with a focus on accountability and standard indicators and approaches within a limited time frame, and limited budget: this MFS II evaluation is originally based on a design that has been decided by IOB (the independent evaluation office of the Dutch Ministry of Foreign Affairs) and to some extent MFS II organisations. The evaluators have had no influence on the overall design and sampling for the 5C study. In terms of learning, one may question whether the most useful cases have been selected in this sampling process. The focus was very much on a rigorous evaluation carried out by an independent evaluation team. Indicators had to be streamlined across countries. The 5C team was requested to collaborate with the other 5C country teams (Bangladesh, Congo, Pakistan, Uganda) to streamline the methodological approach across the eight sampled countries. Whilst this may have its purpose in terms of synthesising results, the 5C evaluation team has also experienced the difficulty of tailoring the approach to the specific SPOs. The overall evaluation has been mainly accountability driven and was less focused on enhancing learning for improvement. Furthermore, the timeframe has been very small to compare baseline information (2012) with endline information (2014). Changes in organisational capacity may take a long, particularly if they are related to behaviour change. Furthermore, there has been limited budget to carry out the 5C evaluation. For all the four countries (Ethiopia, India, Indonesia, Liberia) that the Centre for Development Innovation, Wageningen University and Research centre has been involved in, the budget has been overspent.

However, the 5C evaluation team has designed an endline process whereby engagement of staff, e.g. in a workshop process was considered important, not only due to the need to collect data, but also to generate learning in the organisation. Furthermore, having general causal maps and detailed causal maps generated by process tracing have provided rich information that many SPOs and CFAs have already appreciated as useful in terms of the findings as well as a learning process.

Another issue that must be mentioned is that additional requests have been added to the country teams during the process of implementation: developing a country based synthesis; questions on design, implementation, and reaching objectives of MFS II funded capacity development interventions, whilst these questions were not in line with the core evaluation questions for the 5C evaluation.

Complexity and inadequate coordination and communication: many actors, both in the Netherlands, as well as in the eight selected countries, have been involved in this evaluation and their roles and responsibilities, were often unclear. For example, 19 MFS II consortia, the internal reference group, the Ministry of Foreign Affairs, Partos, the Joint Evaluation Trust, NWO-Wotro, the evaluators (Netherlands and in-country), 2 external advisory committees, and the steering committee. Not to mention the SPO's and their related partners and consultants. CDI was involved in 4 countries with a total number of 38 SPOs and related CFAs. This complexity influenced communication and coordination, as well as the extent to which learning could take place. Furthermore, there was a distance between the evaluators and the CFAs, since the approach had to be synchronised across countries, and had to adhere to strict guidelines, which were mainly externally formulated and could not be negotiated or discussed for the purpose of tailoring and learning. Feedback on the final results and report had to be provided mainly in written form. In order to enhance utilisation, a final workshop at the SPO to discuss the findings and think through the use with more people than probably the one who reads the report, would have more impact on organisational learning and development. Furthermore, feedback with the CFAs has also not been institutionalised in the evaluation process in the form of learning events. And as mentioned above, the complexity of the evaluation with many actors involved did not enhance learning and thus utilization.

5C Endline process, and in particular thoroughness of process tracing often appreciated as learning process: The SPO perspective has also brought to light a new experience and technique of self-assessment and self-corrective measures for managers. Most SPOs whether part of process tracing or not, deeply appreciated the thoroughness of the methodology and its ability to capture details with robust connectivity. This is a matter of satisfaction and learning for both evaluators and SPOs. Having a process whereby SPO staff were very much engaged in the process of self-assessment and reflection has proven for many to be a learning experience for many, and therefore have enhanced utility of the 5C evaluation.

Appendix 2 Background information on the five core capabilities framework

The 5 capabilities (5C) framework was to be used as a framework for the evaluation of capacity development of Southern Partner Organisations (SPOs) of the MFS II consortia. The 5C framework is based on a five-year research program on 'Capacity, change and performance' that was carried out by the European Centre for Development Policy Management (ECDPM). The research included an extensive review of the literature and sixteen case studies. The 5C framework has also been applied in an IOB evaluation using 26 case studies in 14 countries, and in the baseline carried out per organisation by the MFS II organisations for the purpose of the monitoring protocol.

The 5C framework is structured to understand and analyse (changes in) the capacity of an organization to deliver (social) value to its constituents. This introduction briefly describes the 5C framework, mainly based on the most recent document on the 5C framework (Keijzer et al., 2011).

The 5C framework sees capacity as an **outcome** of an **open system**. An organisation or collaborative association (for instance a network) is seen as a system interacting with wider society. The most critical practical issue is to ensure that relevant stakeholders share a common way of thinking about capacity and its core constituents or capabilities. Decisive for an organisation's capacity is the context in which the organisation operates. This means that **understanding context issues** is crucial. The use of the 5C framework requires a multi-stakeholder approach because shared values and results orientation are important to facilitate the capacity development process. The 5C framework therefore needs to **accommodate the different visions** of stakeholders and conceive different strategies for raising capacity and improving performance in a given situation.

The 5C framework defines capacity as '**producing social value'** and identifies five core capabilities that together result in that overall capacity. Capacity, capabilities and competences are seen as follows:

Capacity is referred to as the overall ability of an organisation or system to create value for others;

Capabilities are the collective ability of a group or a system to do something either inside or outside the system. The collective ability involved may be technical, logistical, managerial or generative (i.e. the ability to earn legitimacy, to adapt, to create meaning, etc.);

Competencies are the energies, skills and abilities of individuals.

Fundamental to developing capacity are inputs such as human, material and financial resources, technology, and information. To the degree that they are developed and successfully integrated, capabilities contribute to the overall capacity or ability of an organisation or system to create value for others. A single capability is not sufficient to create capacity. All are needed and are strongly interrelated and overlapping. Thus, to achieve its development goals, the 5C framework says that every organisation or system must have **five basic capabilities:**

- The capability to act and commit;
- The capability to deliver on development objectives;
- The capability to adapt and self-renew;
- The capability to relate (to external stakeholders);
- The capability to achieve coherence.

In order to have a common framework for evaluation, the five capabilities have been reformulated in outcome domains and for each outcome domain performance indicators have been developed.

There is some overlap between the five core capabilities but together the five capabilities result in a certain level of capacity. Influencing one capability may have an effect on one or more of the other

capabilities. In each situation, the level of any of the five capabilities will vary. Each capability can become stronger or weaker over time.

Appendix 3 Changes in organisational capacity of the SPO - 5C indicators

Below you will find a description for each of the indicators under each of the capabilities, what the situation is as assessed during the endline, how this has changed since the baseline and what are the reasons for change.

Capability to act and commit

Level of Effective Leadership

1.1.Responsive leadership: 'Leadership is responsive, inspiring, and sensitive'

This is about leadership within the organisation (operational, strategic). If there is a larger body then you may also want to refer to leadership at a higher level but not located at the local organisation.

The two organisations promoted under the FFID/Chetna project are Chetna Organic Farmers Association (COFA) and Chetna Organic Agriculture Producer Co.Ltd (COAPCL). FFID continues to provide guardianship support to both COFA and COAPCL for their programmes. In 2013 the chief of COAPCL quit and in 2012 the leader of COFA left the organisation. As the grant environment is decreasing, motivation is going down and it is hard to hold on to senior staff. New members in the COFA and COAPCL boards were recruited. The leaders plan to decentralise operational and functional decision-making and distribute workload both at head office and field office. The Executive Director of FFID continues to be articulate, effective and task oriented with good experience and knowledge. There is an increased engagement of the Board Members and Executive Director through meetings and field visits. They are working towards a more sustainable organization by changing their strategy to diversified cropping instead of focusing on cotton only and have also rearticulated their vision keeping in tandem with the changing climate and changing donor environment. Leadership is very responsive as staff played a significant role in the revision of the vision and strategies of FFID/Chetna during the Annual Strategy Meeting in June 2013. Field staff are now more involved in the planning process as most strategic planning meetings are held in the states themselves instead of the head office. Second line leadership was also strengthened as the new Programme Manager of Chetna streamlined monitoring and mentoring processes to achieve project activities.

Score baseline: 4.0

Score endline: 4.0 (no change)

1.2.Strategic guidance: 'Leaders provide appropriate strategic guidance (strategic leader and operational leader)'

This is about the extent to which the leader(s) provide strategic directions

Though there were changes in the top management (new leadership at COAPCL in 2013 and COFA in 2012) the core team at the Head Office pitched in to share the responsibility without affecting the operations at all levels.

The General Secretary (GS) and the Executive Director (ED) of FFID, who have considerable experience in the development sector, continue to work together closely on strategy development and operationalization. Over the last two years climatic, market and donor conditions have been changing rapidly. Due to this, leadership decided to change the vision and strategy of the organisation. Before, FFID/Chetna was more cotton-centric. By taking the field level teams suggestions on the farmer’s needs into account, leadership decided to broaden the scope of work and provided strategic direction

to the team towards it. During the Annual Strategy Meeting in June 2013 there was a discussion on the suggestions received from staff about on the vision for FFID/Chetna. Based on this, the Executive director drafted a vision statement which was later fine-tuned and together with the coordinators the ED arrived at six main objectives to guide the work of FFID/Chetna in the coming years. During the same meeting the ED discussed various future strategies and important issues for the organisation: diversified cropping /sustainable agriculture vs. cotton based work; seed to market issues; technical standards in organic farming; and how to tap into corporate social responsibility activities. Over the last two years project designs have become more integrated and board members visit the field more often in order to inform, update and take stock of challenges in the field.

Score baseline: 4.0

Score endline: 4.0 (no change)

1.3.Staff turnover: 'Staff turnover is relatively low'

This is about staff turnover.

FFID continues to provide a good working environment to its employees and staff turnover among field and programme staff is relatively low. The salary structure, however, remains a cause of concern, and has led to staff members getting attracted to corporate jobs. In the last two years since the baseline there has been a slight deterioration as senior staff in key positions left the organisation for better opportunities. This has slowed the organisation down for some time, as insights from organisational learning left with the leaving staff. Internal vacancies are filled through internal adjustments: promoting staff or giving existing staff more responsibilities. The major challenges came from Maharashtra and Telangana where retaining field staff became a challenge, because of lack of funding in these states that are considered to be better off.

Score baseline: 4.0

Score endline: 3.5 (slight deterioration)

Level of realistic strategic planning

1.4.Organisational structure: 'Existence of clear organisational structure reflecting the objectives of the organisation'

Observable indicator: Staff have copy of org structure and understand this

There has been a change in the organizational structure with a focus on strengthening second line leadership: the leadership at COAPCL (2013) and at COFA (2012) changed. Consequent to key staff leaving the organization both at the field level and head office staff have been promoted and been given additional responsibilities. There is a new state coordinator for Maharastra and a new national level coordinator for Chetna Organic in the watershed related programmes. The staff is aware of the revised changes. During the Annual Strategy meeting in 2013 a discussion was organised around roles and responsibilities of various individuals and teams in the organisation. The staff was divided into six groups Maharashtra; Andhra Pradesh; Odisha; Technical team; Marketing and Certification; and Finance, Administration and Communication. Each group discussed their roles and responsibilities together with their aspirations and expectations. As a consequence roles and responsibilities were redesigned and a Clarity on role was circulated by the end of June.

Score baseline: 3.0

Score endline: 3.0 (no change)

1.5.Articulated strategies: 'Strategies are articulated and based on good situation analysis and adequate M&E'

Observable indicator: strategies are well articulated. Situation analysis and monitoring and evaluation are used to inform strategies.

In 2013, the head office and field office staff of Chetna Organic congregated in Hyderabad to participate in the Annual Strategy Review meeting. The purpose of the meeting was to review block level, state level and national level status of all programmes, discuss the adopted plan and strategy, identify gaps in planning and execution, suggest alternatives, and to chalk out the plan and strategy for 2014. Taking into account climate change adaptation, strategies were articulated that included adopting changes in crops (to more resilient ones) and promotion of traditional and hybrid seeds.

Over the last decades higher cotton yields gradually transformed into a mono-cropping culture. With the decreasing demand for organic cotton and crop failures due to climate conditions, FFID/Chetna changed its strategy to include diversified cropping and mixed cropping practices where food crops like jowar, paddy, red gram, vegetables, maize, green gram and others could be grown alongside cotton, while encouraging farmers to take soil and water measures.

Considering the changing donor environment and resulting resource crunch, FFID has articulated strategies to support the cooperatives in generating their own resources and managing their affairs independently with little support from FFID/Chetna. Towards this, FFID/Chetna Organic explored the ways to build institutional and financial linkages to cooperatives and SHGs with Government departments, NABARD Financial Services Limited (NABFINS), and other private players. For example, the red gram activity will be converged with Mahila Kisan Sashaktikaran Pariyojana (MKSP) under NRLM of the Government of India. In Andhra Pradesh and Odisha the programme will be continued with the existing farmers. However, in Maharashtra FFID/Chetna Organic program will be scaled down and the cooperatives will be supported to converge with CAIM and other programs to continue the work independently.

While FFID/Chetna is using good situational analysis to formulate its strategies, it is not at the point yet to make use of its M&E strategically.

Score baseline: no information available

Score endline: 3.0

1.6.Daily operations: 'Day-to-day operations are in line with strategic plans'

This is about the extent to which day-to-day operations are aligned with strategic plans.

FFID's daily operations are still in line with the core areas identified by the organisation. Annual planning exercises have been carried out in the baseline and long term (4-5 years) strategic thrust areas were identified involving cooperatives, field staff and the core team. In their Annual Strategy review meeting on 5-6 March, 2013, programmes at the block-level, state-level and national-level were reviewed, gaps in the planning and execution were identified, alternatives were suggested and the plan for the coming year was chalked out. Monthly review meetings are conducted at all levels—cluster, state and programme levels. In order to achieve its target, daily operations have to be in line with the strategic plan. As FFID/Chetna's vision and strategies changed from focusing on mono-cropping in cotton to diverse crops, the new projects and daily operations are in line with this. New projects include the Seed Guardian Project, the Green Cotton Project, a proposal for a seed festival and the Peace by Peace project on soil improvement. The systems in place to ensure that daily operations are in line with strategic plans are unchanged. FFID still conducts quarterly board meetings. Monthly reports are generated by the staff and reviewed by their respective line managers and field outcomes are assessed against plans. Management has been more active in guiding daily operations since the change in leadership at COAPCL (2013) and at COFA (2012). However, due to some staff leaving the organisation for better opportunities and salary packages elsewhere, the burden of multi-tasking for staff has increased.

Score baseline: 3.0

Score endline: 3.0 (no change)

Level of Staff Capacity and Motivation

1.7.Staff skills: 'Staff have necessary skills to do their work'

This is about whether staff have the skills necessary to do their work and what skills they might they need.

Staff still have necessary skills to do their work. FFID/COFA has professionals with post-graduation in agriculture (soil sciences, entomology, agronomy and seed breeding), social work, development studies, business and financial management. Staff have longstanding experience of dealing with issues such as institutional development, mobilisation, audit and accounting, documentation, promoting cooperatives and other producer organizations, certification processes, marketing, communications and monitoring and evaluation. The majority of the senior professionals have diverse experiences of working with organisations such as the Food and Agriculture Organisation of the United Nations (FAO), APMAS (technical resource organization in Andhra Pradesh), Centre for Sustainable Agriculture (CSA), Regional Centre for Development Cooperation (RCDC) and Save the Children. Senior staff has undergone professional training at various national and international institutions. They also interact with practitioners of other organisations to update their information. Some of the skills that were lacking during the baseline have been strengthened in the last two years especially related to financial management and report writing. Staff capacity to showcase their work has improved, especially through the Effective Communication workshop organised by ICCO. With the change in vision and strategies from cotton to mixed crops staff has changed their skill set on community development and organic agriculture to include specific commodity skills, i.e. vegetables and pulses. Improved staff skills have led them to engage in different projects: CAIM, NABARD, SODI, Government of Andhra Pradesh, as well as, write proposals for state level projects. Some of the senior staff with good experience and expertise have left the organisation and there is still a need for a structured approach and plan to assess individual staff needs for capacity building.

Score baseline: 4.0

Score endline: 4.0 (no change)

1.8.Training opportunities: 'Appropriate training opportunities are offered to staff'

This is about whether staff at the SPO are offered appropriate training opportunities

Staff is still given considerable opportunities to undergo trainings, workshops and exposure visits at both national and international level which has helped to improve their skills. During the last two years the trainings that were given, included:

- Seed Production & Marketing, December 2013, organised by Centre for Sustainable Agriculture (CSA), Wardha. Training was given on: importance of seed in sustainable agriculture; community seed banks and producer company; planning for seed production; hybrid seed production in cotton and maize; participatory approaches of seed management; documentation on value for cultivation and use etc.;
- Effective Communication Workshop: A two-day workshop on effective communication was organised by ICCO Cooperation-SCA with Plan B Communication Partners in Bangalore on 18-19 July 2013. It was aimed at streamlining the reports submitted by the partners to ICCO. It taught them how to make the report reader-friendly using thought provoking images, improving visual appeal of reports as well as use of data and statistics as evidence. The learnings from the workshop were shared with the staff and especially the field staff were trained in writing reports and taking photographs;
- Interactive workshop on Finance Management & Compliance: Two days interactive workshop was organised by ICCO India in Chennai on 11-12 March 2014. The objective was to help ICCO India and its partners to mutually share the good practices and experiential learning and also have a common understanding on the financial management and the law, and ensure effective utilization of the funds. It resulted in improved knowledge of the staff on linking narrative and financial reporting, develop budget plan, to make the reports more communicative and innovative, and to integrate finance and program issues.

In general, more field level staff have participated in trainings and exposure visits to key places and forums. For example the staff member that looks after one of the regions visited the Fair Trade Forum

in London, UK. Field staff is sent regularly to represent COFA and COAPCL in forums. Most of the time FFID/Chetna staff are sponsored to participate in these events by the forums that invite them. Since the baseline, the organisation has gained more visibility and prominence in the organic farming sector and is therefore invited more to these forums.

As part of the Convergence of Agricultural Interventions in Maharashtra's (CAIM) capacity building programme, a trainers' training was conducted to all the field staff in August 2013. Being the first year of implementation, the training programme was very important for the field staff who would further train the farmers in the field. In addition to these the staff got an opportunity to participate in international education programmes at Wageningen University, the Netherlands (sponsored by Nuffic) and the Coady International Institute from Canada. Staff also participated in a Textile Sustainable training in Istanbul, the Farmers' Mela (Festival) in Hyderabad, a workshop on Fair trade Standards Orientation, July 2014. FFID/Chetna recommends appropriate courses to the staff and leaves for attending the courses are paid. Field staff were given scholarships to improve their skills and enroll themselves in long distance education.

Score baseline: 4.0

Score endline: 4.0 (no change)

1.9.1.Incentives: 'Appropriate incentives are in place to sustain staff motivation'

This is about what makes people want to work here. Incentives could be financial, freedom at work, training opportunities, etc.

The organization has progressive HR policies such as fairly good emoluments, performance based incentives, space for dissent, freedom at work, opportunities to take up assignments out of the scope of the organization, opportunities to enhance learning through (international and national) training and absence of hierarchy. All this motivates the staff to work in FFID. New initiatives were discussed and introduced during the Annual Strategic Retreat and included: a five day working week (trial basis), increase in daily sustenance allowance while travelling, provisions for a family health insurance, an increment of 8-15 per cent in the salaries with effect from April 2014 and staff promotions. This is however not sufficient to meet the expectations of the staff especially in the new and emerging markets scenario and increased job responsibilities. The private sector has entered the development space in a large way and the general salary scales have suddenly shot up. The funding constraints have led to higher staff turnover in the organisation.

Score baseline: 4.0

Score endline: 4.0 (no change)

1.9.2.Funding sources: 'Funding from multiple sources covering different time periods'

This is about how diversified the SPOs funding sources are over time, and how the level of funding is changing over time.

The organisation had to explore new funding opportunities as some of the projects have come to an end (for e.g. with the Rabobank Foundation and Hivos) and some funding is about to end (for e.g. with ICCO). Also, in absence of a core grant and delayed transfer of payments from the donors working capital is always at stake. As a consequence taking new and experienced staff on for certain positions becomes a challenge for the organisation. Therefore, there is a continuous need to approach new donors. FFID/Chetna for this reason is focusing on networking, forming partnerships, and emphasizing on staff capacity development in writing proposals. About 8 smaller ethical brands came together recently to put some investment in Chetna operational areas by adopting some villages and attempting to build a strong supply chain for Chetna cotton farmers through a project called 3DP&L (Three Dimensional Profit and Loss). FFID/Chetna continues to receive funding from: Solidaridad; ICCO; G-Star Foundation; Ford Foundation; Jackpot Foundation; Government of India's flagship programme MKSP; Government of Maharashtra: Convergence of Agriculture Initiatives (CAIM); Felissimo Corporation, Japan; NABARD. FFID/Chetna is now also receiving funding from: Textile Exchange (USA); Inditex (Spain); FiBL Switzerland; University of Agriculture Sciences, Dharwad

(UASD); Central Integrated Cotton Research (CICR), Nagpur; BioRe, India; Government of Andhra Pradesh: IWMP and IGWDP programme; Government of Odisha, DFID; SDTT; and IFAD. Some of these funds come from major government programmes including NABARD-IGWDP and Integrated Watershed Management Programme (IWMP) projects in Andhra Pradesh, Convergence of Agriculture Initiatives in Maharashtra (CAIM) in Maharashtra, Mahila Kisan Sasaktikaran Pariyojna (MKSP) and OTELP+ in Odisha. All these programmes are directed towards empowerment of the poor, specifically women, small farmers, labour and the tribal poor. The overall emphasis is on sustainable & diversified agriculture, water & soil conservation, enhancement of livelihood options and food security. While OTELP+ project facilitates for basic entitlements of tribal households as well, CAIM took one step ahead towards market development. While government funding for state level projects increased, FFID/Chetna has also started tapping into the Indian private sector (NABARD and SDTT). Most of the funding received is for specific projects. Though serious efforts have been put in raising core funding, securing it still remains a challenge.

Score baseline: 4.0

Score endline: 4.25 (very slight improvement)

1.9.3.Funding procedures: 'Clear procedures for exploring new funding opportunities'

This is about whether there are clear procedures for getting new funding and staff are aware of these procedures.

With an external environment of shrinking sources of funding, depending on a single funding agency could impede the possibility of scaling up its programmes. During the last two years, there have been more constructive engagements by the board members. The board members have shown their concerns for the funding situation. Board members have also given inputs on changing trends in the external environment that have a bearing on the funding procedures of FFID. Thus, FFID had to look into new channels for funding opportunities, and attracting new funders required them to put their (financial and legal) systems in place and have proper documentation of the work done by them. One of the procedures for reaching out to the funders remains communication, which is the ability to showcase the organisation's capabilities and abilities. Staff capacity to showcase their work has improved, especially through the Effective Communication workshop organised by ICCO. FFID/Chetna is now developing case studies with photographs, videos, stories and farmer profiles across states. These farmer stories and initiatives have been feature in local, national and international media. Regular updates are also posted on the website and in social media. Improved certification and marketing have also contributed to increased visibility of FFID/Chetna for future donors. Capacity to write proposals (especially of the field staff) has improved because of the communication workshop and continuous feedback. Senior team and state level teams are attempting to develop proposals for small projects with companies like ITC for organic soya and wheat and Field Fresh Foods Private Limited for baby corn. The network with the government has been strengthened and FFID has been linking up with government projects at state level. FFID has been associating itself with different international and national level organizations, networks and government agencies to undertake and implement various projects. During 2013-14, FFID's main emphasis was on building convergence with different government programmes through COFA and the cooperatives. Raising funds for the projects in Maharashtra and Telangana has become a challenge as these states are considered better off. Being part of the Three Dimension Profit and Loss accounting network has also helped in acquiring a supply value chain project. FFID/Chetna will continue to explore the opportunities for new sources of funding. Discussions are going on with Traidcraft Exchange, Unilever, IOCL and the RRA network towards this.

Score baseline: 3.0

Score endline: 3.5 (slight improvement)

Summary of capability to act and commit

The two organisations promoted under the FFID/Chetna project are Chetna Organic Farmers Association (COFA) and Chetna Organic Agriculture Producer Co.Ltd (COAPCL). FFID continues to provide guardianship support to both COFA and COAPCL for their programmes. There is an increased

engagement of the Board Members and Executive Director through meetings and field visits. They are working towards a more sustainable organization by changing their strategy to diversified cropping instead of focusing on cotton. Staff played a significant role in the revision of the vision and strategies of FFID/Chetna during the Annual Strategy Meeting in June 2013. Though there were changes in the top management (new leadership at COAPCL in 2013 and COFA in 2012) the core team at the Head Office pitched in to share the responsibility without affecting the operations at all levels. Over the last two years climatic, market and donor conditions have been changing rapidly. Due to this, leadership decided to change the vision and strategy of the organisation. Before, FFID/Chetna was more cotton-centric. By taking the field level teams suggestions on the farmer's needs into account, leadership decided to broaden the scope of work and give strategic direction to the team towards this. Lack of funding in certain states and better opportunities in the corporate sector have made it hard to retain staff. While staff turnover at the field and programme level remains low, some key senior staff have left the organisation which has led to a backlash in organisational learning and to staff taking up more responsibilities. There have been some changes in the organisational structure of FFID/Chetna. Leadership at COAPCL (2013) and COFA (2012) changed and with senior staff leaving the organisation. Some staff has been promoted while other staff is taking up more responsibilities. Staff are aware of these changes. During the Annual Strategy Meeting in 2013 all staff laid out their expectations and aspirations for their roles and responsibilities, these were taken up to be included in a clarity on roles document. FFID/Chetna articulates its strategies on the basis of good situational analysis. With the drop in demand for organic cotton and climate conditions affecting crops, the strategies were changed to include more diversified cropping: growing food crops alongside cotton and improving water and soil management. With the resource crunch due to the changing donor environment, more efforts were directed towards making cooperatives generate their own income and linking up to government projects. M&E results are however, not yet used to articulate strategies. FFID's daily operations are still in line with the adjusted strategic plan. Systems in place to ensure this have not changed. Management has become more active in guiding daily operations, but because of staff leaving the organisation for better deals elsewhere, the burden on staff to multi-task has increased. Staff still have necessary skills to do their work. FFID/COFA has professionals with post-graduation in various relevant fields. Senior staff have ample experience and keep up to date through interaction with other practitioners. Skills in financial management and report writing and communication the work have improved, as well as commodity specific skills for community development and organic agriculture of vegetables and pulses. However, some of the experienced senior staff has left and there is still a need for a structured approach to capacity building. Staff is still given considerable opportunities to undergo trainings, workshops and exposure visits at both national and international level which has helped to improve their skills. FFID still has progressive HR policies in place that incentivise staff and include training, freedom at work, performance based incentives and absence of hierarchy. Staff turnover is however high because FFID cannot keep up with the private sector and the salaries do not match increasing responsibilities of staff. Given the changing donor environment in which funds are decreasing, board members have shown their concern for the funding situation. FFID has improved its capacity in writing proposals (at all levels) and in showcasing their work through communication and reports. Also through its network both with government, private sector and in research, FFID is tapping into new funding possibilities. FFID/Chetna has been successful at diversifying its funds since the baseline, as they are now linked to more major government programmes and also started receiving funds from the Indian private sector. This was because of improved capacity in proposal writing, showcasing work and improved networking. It remains however, a challenge to secure core funding, as most funding is for specific projects.

Score baseline: 3.7

Score endline: 3.7 (no change)

Capability to adapt and self-renew

Level of effective application of M&E

2.1.M&E application: 'M&E is effectively applied to assess activities, outputs and outcomes'

This is about what the monitoring and evaluation of the SPO looks at, what type of information they get at and at what level (individual, project, organisational).

An M&E system is still in place. Projects are monitored and evaluated at the outcome level. FFID is now making use of digital technology to collect data from the field for example through email or phone but also through use of social networking sites like Facebook. Project specific formats for data collection were modified, redrafted and reduced from 30 to 12 pages to allow for better data collection at the field level. Review meetings are also used for collecting the data. To enhance the application of M&E, communication training has been given to their staff by ICCO which covered a wide range of topics including using the new MIS format, photos as visual evidence, formatting tips and case studies as qualitative evidence. The Communication Manager of FFID with the help of other team members, developed case studies and video stories as per the programme requirements. In 2014, a template has been designed for future monitoring of programmes to take all information; however, it is still in the process of finalisation. Furthermore, after a training on report writing, staff, particularly the field staff, is being encouraged by the senior management to write proposals based on their experience in the field. These proposals are then finalised by the senior management. Improved MIS and better operational plans, more regular staff meetings and better monitoring of staff output are in place in FFID. This ensures better reporting to ICCO and the quality of reports to ICCO has improved over the last two years. Reports are now more timely and crisp. Quarterly Review meetings of all staff where they will be monitored on alignment to the agreed objectives planned for the year is funded by MFS II. FFID is working towards putting in place an effective monitoring system. However, appointing the right person with the required skill sets has become a challenge because of financial constraints.

Score baseline: 4.0

Score endline: 4.25 (very slight improvement)

2.2.M&E competencies: 'Individual competencies for performing M&E functions are in place'

This is about whether the SPO has a trained M&E person; whether other staff have basic understanding of M&E; and whether they know what information to collect, how to process the information, how to make use of the information so as to improve activities etc.

Improved MIS and better operational plans, more regular staff meetings and better monitoring of staff output are in place in FFID. This ensures better reporting to ICCO. These were made possible due to the effective communication workshop and the interactive workshop on finance management and compliance organised by ICCO. While FFID/Chetna is collecting data to organic farmers on a regular basis this data is not analysed properly. This is because FFID has still not employed any person trained in MIS, instead their certification manager and field ICS persons are partially looking after the M&E activities. The senior management and board members have increased their monitoring visits. One of the reasons for not being able to employ a person trained in M&E is because of the salary offered by FFID. Different donors, Fairtrade organisations and research scholars have been conducting evaluations.

Score baseline: 3.0

Score endline: 3.25 (very slight improvement)

Level of strategic use of M&E

2.3.M&E for future strategies: 'M&E is effectively applied to assess the effects of delivered products and services (outcomes) for future strategies'

This is about what type of information is used by the SPO to make decisions; whether the information comes from the monitoring and evaluation; and whether M&E info influences strategic planning.

There is still no dedicated team for M&E who can compile the information, do analysis to use M&E for future strategies. The organisation is trying to hire a qualified M&E person, but nobody is willing to join for the remuneration they are offering. The reporting to ICCO has been streamlined and this has helped the organization to be more systematic in their analysis and MIS review. Trainings received from ICCO have led to punctuality in report submission. The field staff understands the formats well and submits their reports regularly. Senior management and at times board members are also making monitoring visits. As an example, an organic farm monitoring MIS has a detailed data base on

farmers, type of farms, and production on seasonal basis. This is reviewed regularly to improve performance of the programme, but is not being used strategically yet.

Score baseline: 2.0

Score endline: 2.25 (very slight improvement)

Level of openness to strategic learning

2.4.Critical reflection: 'Management stimulates frequent critical reflection meetings that also deal with learning from mistakes'

This is about whether staff talk formally about what is happening in their programs; and, if so, how regular these meetings are; and whether staff are comfortable raising issues that are problematic.

FFID through its annual staff retreats reflect on the working of the organisation. In these retreats sessions are organised by FFID to engage key staff in reflecting on the strategy and programme approaches. These sessions have also been used to discuss challenges in the field, working with network partners and creating points for policy advocacy. As these strategic meetings are now held in the field, staff as more involved in the discussions. In addition, the leadership interacts with the core team to reflect and learn. Inputs from the field staff are now being taken more frequently. The Board members also visit the field staff regularly to understand their problems and find solutions. Seasonal conditions, market conditions, cooperative status etc., are discussed frequently in monthly team meetings, half-yearly state level meetings and annual strategy meetings. Reflection moments are now more regular than during the baseline. ICCO and other funders insisted on FFID staff gathering more regularly.

Score baseline: 3.0

Score endline: 3.5 (slight improvement)

2.5. Freedom for ideas: 'Staff feel free to come up with ideas for implementation of objectives

This is about whether staff feel that ideas they bring for implementation of the program are welcomed and used.

As stated in the baseline, FFID is still open to ideas shared by their staff. Staff are encouraged to come up with ideas. During the Annual Strategy Retreat staff members are asked to share their opinions about the strategic vision. It was only after discussions with the staff and mutual agreement that the vision of the organization was rearticulated. Staff is feeling more responsible and is taking initiative to write proposals for some local projects. Staff share draft proposals with the team leaders and team leaders take decision on it.

Score baseline: 4.0

Score endline: 4.0 (no change)

Level of context awareness

2.6.System for tracking environment: 'The organisation has a system for being in touch with general trends and developments in its operating environment'

This is about whether the SPO knows what is happening in its environment and whether it will affect the organization.

FFID keeps itself updated on the ecological as well as the donor environment. It keeps track of new government and NABARD schemes that are being rolled out in the agriculture sector. FFID/Chetna is a member of several networks and alliances. It is a member of the 3DP&L (Three Dimensional Profit and Loss Accounting) network. Through this network it gets inputs related to environmental and social indicators in business and about the changes in the market situation. FFID/Chetna does case studies to understand the changes in its operational environment. It is through these case studies it was able

to demonstrate the risks of climate change and the need to promote a more diversified range of products rather than focussing on a single crop. This actually led to rearticulating the vision of FFID/Chetna. Further the organisation tracks the development in its operational environment by getting information from the field staff through emails and social media.

Score baseline: 4.0

Score endline: 4.0 (no change)

2.7.Stakeholder responsiveness: 'The organisation is open and responsive to their stakeholders and the general public'

This is about what mechanisms the SPO has to get input from its stakeholders, and what they do with that input.

FFID is still open and responsive to views from stakeholders. It is involved in various alliances and networks. An example of this is when FFID/Chetna organized a series of discussions with its member cooperatives on attainment of institutional and financial self-sufficiency. The outcome of this process was, a 'way forward' with the five cooperatives taking up responsibilities for the operations of their office with limited financial assistance and support from FFID/Chetna. Sometimes FFID still tends to get over influenced by its network partners and takes up responsibilities that increase the pressure on staff.

Score baseline: 4.0

Score endline: 4.0 (no change)

Summary of capability to adapt and self-renew

FFID still has an M&E system is still in place. Projects are monitored and evaluated at the outcome level. FFID is now making use of digital technology to collect data. To enhance the application of M&E, communication training has been given to their staff by ICCO which covered a wide range of topics including using the new MIS format, photos as visual evidence, formatting tips and case studies as qualitative evidence. This is now been put to practice by the communication manager and the help of other team members and reports have improved. FFID is collecting data in a more systematic way through improved MIS and more regular meetings, which leads to better operational plans and better reporting to ICCO. There is however still no dedicated person for M&E who can compile the information and do analysis to use M&E for future strategies. However, reporting to ICCO has improved and FFID is getting more systematic in its MIS review. FFID now has more regularly organised moments for critical reflection and staff is more engaged in discussions because strategic meetings are now held in the field. Staff is encouraged to come up with ideas and these are taken into account, e.g. discussions during the Annual Strategy Retreat staff's opinions informed the new strategic vision of FFID. Staff is also taking initiative to incorporate their ideas in drafting proposals for local projects. FFID still keeps itself up to date on both the ecological as well as the donor environment. It keeps track of relevant government schemes and the market situation through its networks, e.g. the 3DP&L (Three Dimensional Profit and Loss Accounting) network. FFID/Chetna also does case studies and receives information from field staff through emails and social media to keep track of its operating environment. FFID is still open and responsive to its stakeholders. They organise for instance, discussions with member cooperatives on self-sufficiency. They do however still sometimes take up too much responsibilities from their network partners which increases the burden on staff.

Score baseline: 3.4

Score endline: 3.6 (very slight improvement)

Capability to deliver on development objectives

Extent to which organisation delivers on planned products and services

3.1.Clear operational plans: 'Organisation has clear operational plans for carrying out projects which all staff fully understand'

This is about whether each project has an operational work plan and budget, and whether staff use it in their day-to-day operations.

The operational plans have improved since the baseline evaluation. This is due to the fact that the plans are informed by inputs from an improved monitoring and evaluation system and research activities related to soil and seed on the ground. There is now systematic documentation of minutes of annual strategic review meetings which provide a platform for identifying gaps in planning and execution, looking for alternatives and, in light of these, making plans and strategies for the next year. They have quarterly operational plans available for the staff, developed jointly by the staff with senior management. The idea to develop an operational manual is kept pending as the Chetna programme itself is in transition phase.

Score baseline: 3.0

Score endline: 3.5 (slight improvement)

3.2.Cost-effective resource use: 'Operations are based on cost-effective use of its resources'

This is about whether the SPO has the resources to do the work, and whether resources are used cost-effectively.

Changes in the donor environment had a direct impact on the cost-effective resource use. In order to secure funding, FFID has diversified its funding base to include multiple funding agencies. Funding from ICCO is now a minority, most funding comes from local and government funds. Funds are being reserved for the rainy days especially for after October 2014, when ICCO funding will end. Travel costs of the organisation have been minimised. The Executive Director makes use of local transport to travel instead of a plane or a car. New projects in newer areas brought needs for office space and computers. The project offices are equipped with laptops and cameras for smooth functioning. Local project funds are used for this. However, very few branch offices are fully furnished. Old furniture, computers and vehicles could not be replaced due to the resource crunch.

Score baseline: 4.0

Score endline: 4.0 (no change)

3.3.Delivering planned outputs: 'Extent to which planned outputs are delivered'

This is about whether the SPO is able to carry out the operational plans.

The Chetna Organic programme of FFID is clearly progressing towards achieving the articulated outcomes and indicators in the approved proposal despite the slump in the cotton markets and contradictory policies to access trade finance for the COAPCL. Chetna was always good at delivering planned outputs. For example, Chetna Organic planned to impact 30.000 farming households by the end of the project period (March 2013), by then Chetna had a direct coverage of 40.197 farming households. Monthly reports are still generated by the staff and reviewed by the respective line managers. These are compiled and discussed in staff meetings involving staff from head office and then reported back to the senior management. A monthly review is conducted at organization level involving the senior management to assess the field outcomes against plans and as well as self-review. These regular meetings and reporting assist staff in keeping on track.

Score baseline: 4.0

Score endline: 4.0 (no change)

Extent to which delivered products and services are relevant for target population in terms of the effect they have

3.4.Mechanisms for beneficiary needs: 'The organisation has mechanisms in place to verify that services meet beneficiary needs'

This is about how the SPO knows that their services are meeting beneficiary needs

Farmer representation on the board of COFA and COAPCL and institutional relationship between FFID and COFA/COAPCL still helps assess the effectiveness and efficiency of the programs from time to time and to ensure the project meets the beneficiary needs. In comparison to the baseline, senior management has been engaging directly with beneficiaries providing inputs to team members to engage with the beneficiaries and consult them with their needs. Data collection to trace whether beneficiaries needs are fulfilled, has become more focused at the field and is done in a set format that was redrafted and reduced from 30 to 12 pages.

Score baseline: 4.0

Score endline: 4.25 (very slight improvement)

Level of work efficiency

3.5.Monitoring efficiency: 'The organisation monitors its efficiency by linking outputs and related inputs (input-output ratio's)'

This is about how the SPO knows they are efficient or not in their work.

There are still no formal mechanisms for calculating input/output ratios but the staff links its efficiency with deliverables. The staff is being strictly monitored and specific operational mechanisms are in place now for monitoring the staff output. Donor deadlines are still made but FFID's reports are now better as staff has been trained on how to collect data and report. Regular field visits by the senior management and interaction with the field staff have slightly improved the outputs.

Score baseline: 3.0

Score endline: 3.25 (very slight improvement)

3.6.Balancing quality-efficiency: 'The organisation aims at balancing efficiency requirements with the quality of its work'

This is about how the SPO ensures quality work with the resources available

The organisation has systems in place for balancing efficiency with quality of work. The mechanisms are present for staff within the organisation and for its stakeholders (most cooperatives and producer company) outside the organisation. The staff was given training in budget planning, budget implementation, budget monitoring budgetary control, report writing, information related to FCRA and reporting as per its requirements. The organisation has designated a team leader for each programme to ensure better functioning and increased efficiency. The organisation is now trying to consolidate the gains achieved in the previous years and not focussing on scaling up programmes at present.

FFID still has tools in place for different stakeholders for quality of certification, processes related to institution building, technical protocols and communication tools. By using these tools it tries to ensure quality.

Score baseline: 3.0

Score endline: 4.0 (improvement)

Summary of capability to deliver on development objectives

Operational plans have improved because of an improved M&E system and systematic documentation of annual strategic meetings that inform these plans. An operational manual is still pending, but staff have quarterly operational plans to guide them in their work. Now more so than ever FFID uses its resources cost-effectively because of the changes in the donor environment, including ICCO ending its funding in October 2014. The Executive Director has cut back on his travel costs and FFID has diversified funds by accessing local project funds to support the smooth functioning of the project offices. FFID/Chetna continues to deliver well on planned output, even despite the decrease in demand for organic cotton and contradictory finance policies. FFID still uses tools for different stakeholders for quality of certification. There are now also systems in place for balancing efficiency with quality of work, these include: training staff in budget planning and monitoring, designated team leader for each programme to ensure efficiency and not scaling up but focusing on consolidated gains of existing programmes. There are still no formal mechanisms for calculating input/output ratios in place but staff links its efficiency with deliverables. Staff has gotten better at reporting and outputs are still being reached. The farmer representation in the board of COFA and COAPCL still helps assess whether the project meets the beneficiary's needs. Senior management is now engaging directly with beneficiaries and formats to collect data on whether beneficiaries needs were fulfilled are now redrafted and reduced from 30 to 12 pages.

Score baseline: 3.5

Score endline: 3.75 (very slight improvement)

Capability to relate

Level of involving external parties in internal policy/strategy development

4.1.Stakeholder engagement in policies and strategies: 'The organisation maintains relations/ collaboration/alliances with its stakeholders for the benefit of the organisation'

This is about whether the SPO engages external groups in developing their policies and strategies, and how.

Over the period FFID continues to maintain strategic partnerships with various stakeholders (incl. agencies/networks) that contribute in its strategic planning and development. It developed convergence with agriculture and allied departments, research institutes, various community based organisations and other rural developmental departments for better strategic planning. For example, the joint research programme of FFID, the Research Institute of Organic Agriculture (FiBL) in Switzerland, and the University of Agriculture Sciences, Dharwad (UASD) on seed management, water and soil conservation and management work facilitated in giving technical and research inputs from for better strategic planning. FFID/Chetna organized a number of meetings with the cooperative members in all the three states (Telangana, Maharashtra and Odisha) on the role of transformation in order to attain institutional and financial self-sufficiency. The members were involved in the process to work out a 'way forward' for better cooperative management, business development and self-sufficiency by establishing convergence with Government and other projects. The 3 Dimension profit and loss network also provides market related information for better planning of the organisation. The relationship with the stakeholders range from simple coalition alliance to collaboration to networking to direct cooperation. In the last two years promoting organisational visibility has increased. Some examples include:

- COFA conducted a convergence meeting with Government officials in Integrated Watershed Management Programme (IWMP) Dandepally in the month of April 2013 for their collaboration and support to improvement of livelihoods of communities within the Watershed Programme;
- Chetna team participated in a workshop related to organic farming policy at Xavier's Institute of Management, Bhuvaneswar organised by ASHA along with the Organic Farming Association of India where Chetna presented the challenges in organic cotton production, marketing, certification and how a good policy can help the cause of Organic Farming in Odisha. The workshop was attended by policy makers, academics, activists, officers from state and national institutes connected to organic farming. The workshop resulted in evolving a draft policy framework for Organic Farming in Odisha.

Score baseline: 4.0

Score endline: 4.25 (very slight improvement)

Level of engagement of organisation in networks, alliances and collaborative efforts

4.2.Engagement in networks: 'Extent to which the organization has relationships with existing networks/alliances/partnerships'

This is about what networks/alliances/partnerships the SPO engages with and why; with they are local or international; and what they do together, and how do they do it.

During baseline FFID already had a strong network. It has worked with both national and international organisations to take forward their aim of empowering the farmers. FFID's Chetna programme has partnered with Government of Odisha, towards initiating watershed activities covering 3562 hectares in Boipariguda block of Koraput district. FFID is still part of the networks: Revitalizing Rainfed Agriculture Network (RRA), supported by HIVOS & FORD Foundation; Non-Pesticide Management Initiative (NPMI) (supported by FORD Foundation), founding member of South Odisha Development Initiative (SODI); ASHA (Alliance for Holistic Agriculture) and most other partnerships continued.

Now FFID/Chetna also partners with The Research Institute of Organic Agriculture of Switzerland and Central Institute for Cotton Research, Nagput on different seed conservation/multiplication projects.

During 2013-2014, FFID's main emphasis was on building convergence with different Government programmes through COFA and the cooperatives. Engagements with the following networks were initiated by FFID/COFA programme since the baseline in 2012: National Bank for Agriculture and Rural Development (NABARD)- Indo-German Watershed Development Programmes (IGWDP) & Integrated Watershed Management Program (IWMP) projects in Andhra Pradesh; Convergence of Agriculture Initiatives in Maharashtra (CAIM) in Maharashtra; Mahila Kisan Sasaktikaran Pariyojna (MKSP) and OTELP+ (Odisha Tribal Empowerment & Livelihood Programme) in Odisha; Traidcraft Exchange and new project partners were found with the establishment of 3DP&L (Three Dimensional Profit and Loss). FFID/COFA realises that it is important for Chetna to work in coordination with all government developmental departments and research institutes as all relevant schemes existing in the departments can be directly accessed by the farmers.

Chetna Organic continues to play a major role in supporting reforms and changes in the fair-trade systems by taking up positions as Board of Trustees on different institutions such as Network of Asian Producers and Fair-trade Foundation, UK. Apart from this, Chetna is involved in different domestic networks and forums as well to influence the national and state policies. COFA together with other well-known NGOs and established cooperatives in Andhra Pradesh (AP) have filed a Public Interest Litigations in the AP High Court to ensure autonomy of the cooperatives. FFID/COFA's engagement with its network has been rewarded. Some examples of such rewards are: COFA was rated and awarded as the Best Project Facilitating agency among the partner NGOs of Indo-German Watershed Development Program (IGWDP) supported by NABARD and KfW, Germany; Chetna received the Global Pro-Climate Adaptation Award for its work on Cotton Farming Systems; Chetna & its partnership Program (Peace BY Peace Cotton Project) received the Good Design Award in Japan.

The networks of which FFID/Chetna is a part, especially SODI network and RRA have responded positively to Chetna's new plan and vision. Both have adopted the type of agriculture practices which Chetna professes. Chetna forays into advocacy and campaigning on the issues around rain-fed agriculture in general and on integration of the National Rural Employment Generation Scheme (NREGS) into agriculture, seed issues, and anti-GM in specific apart from the fair trade and supply chain issues. It has expanded its sphere of influence through representation on the Boards of Fair Trade Federation (FTF), UK, and Shop for Change Fair Trade (SFC), National Produce Marketing Inc. NPMi, Fairtrade Label Organisations, Made-By (NL & UK), Steering Committee of MKSP (MoRD, GoI).

Score baseline: 4.0

Score endline: 4.0 (no change)

Extent to which organisation is actively engaging with target groups

4.3.Engagement with target groups: 'The organisation performs frequent visits to their target groups/ beneficiaries in their living environment'

This is about how and when the SPO meets with target groups.

During the baseline evaluation field staff raised the issue that interaction with the field was reducing. After the baseline FFID/Chetna restrategised and the frequency of interactions with the community and their organisations has increased. There are field offices in place and management also regularly visits the field. The number of state level meetings to prepare strategic plans has increased. These strategic plan meetings, as well as in-house trainings have moved from the Head Office to the field. As a result the interaction with the target groups has improved. Two senior technical staff from the Head Office were designated as team leaders for Odisha and Telangana. Field staff reports to them on the progress and they work in coordination. FFID/Chetna's unique engagement with the wider market and direct links with customers provides its members with better understanding of the requirements of the market and how to participate in it.

Score baseline: 3.0

Score endline: 3.5 (slight improvement)

Level of effective relationships within the organisation

4.4.Relationships within organisation: 'Organisational structure and culture facilitates open internal contacts, communication, and decision-making'

How do staff at the SPO communicate internally? Are people free to talk to whomever they need to talk to? When and at what forum? What are the internal mechanisms for sharing information and building relationships?

FFID by following their donor-driven mandate of implementing M&E has been able to look into the relationships within the organisation. By following the changes articulated in the past evaluations of the organisation, a clarity on role document was circulated and a quality control cell was developed for concerns and complaints. Regular monthly meetings and sharing of monthly plans are continued. Monthly and annual meetings became more focused because of the donor demand to have better reports and the communication training provided by ICCO. Sharing after trainings is now encouraged and organised. In this way innovative ideas are discussed to create more opportunities in existing projects and build on earlier positive results in project implementation. A middle level manager was promoted to the position of team leader. Formal and informal dialogue improved among team members as there is less hesitation to talk with the team leader as they feel more comfortable. The team frequently has discussions not only related to the work, but also related to environment, politics, culture, gender equity issues, etc. Such discussions mainly happen during the lunch time.

Score baseline: 4.0

Score endline: 4.25 (very slight improvement).

Summary of capability to relate

FFID continues to maintain strategic partnerships with various stakeholders (incl. agencies/networks) towards contributing in its strategic planning and development. It developed convergence with agriculture and allied departments, research institutes, various community based organisations and other rural developmental departments for better strategic planning. For example, the joint research programme of FFID, The Research Institute of Organic Agriculture (FiBL), Switzerland and the University of Agriculture Sciences, Dharwad (UASD) on Seed management, Water and soil conservation and management work, meetings with the cooperative members, The 3 Dimension profit and loss network. FFID/Chetna is very well connected and part of various old and new national and international networks. They work with research institutes, like-minded NGOs and Chetna government developmental departments for the benefit of their programmes and to provide access to all relevant

schemes existing for the farmers. After the baseline evaluation the frequency of interaction with the target group of FFID/Chetna increased. Field visits increased and strategic state level meetings are now held in the field instead of at the Head Office. FFID has had the chance to look into the relationships within the organisation through the donor-driven evaluations it has been involved with. As a consequence a clarity of role document was circulated and a quality control cell was developed for concerns and complaints. Staff continues to meet on a monthly basis to discuss plans. These meetings have become more focussed because of the donor demand to have better reports and the communication training provided by ICCO. Sharing after trainings is now encouraged and organised and formal and informal dialogue improved among team members.

Score baseline: 3.7

Score endline: 4 (very slight improvement)

Capability to achieve coherence

Existence of mechanisms for coherence

5.1.Revisiting vision, mission: 'Vision, mission and strategies regularly discussed in the organisation'

This is about whether there is a vision, mission and strategies; how often staff discuss/revise vision, mission and strategies; and who is involved in this.

Over the last two years, decrease in the demand for organic cotton forced FFID/Chetna to focus and change its vision and strategy from mono-cropping to diversified and mixed cropping practices where food crops like jowar, paddy, red gram, vegetables, maize, green gram and others could be grown alongside cotton. This would not only ensure food security for the farmer but also improve soil health. Further changes in climatic conditions (heavy rains, Phailin cyclone) also triggered diversified programme implementation and expansion of activities to newer locations. The staff felt that in the changing scenario there was a need for revisiting the organisation’s vision. Consequently, a vision building workshop was organized in June 2013 with senior staff. The re-articulated vision is to promote economically and socially viable agrarian based livelihoods in rain-fed and other ecologically depressed regions through sustainable agriculture.

Based on this new vision FFID/Chetna revisited its strategy to give a broader scope for holistic development of agriculture dependent families in rain-fed and other ecologically depressed regions while continuing its core work with small and marginal cotton farmers. In-situ soil and water conservation, gender equity, food security and value chain development of other products were also made integral part of the programme.

Score baseline: 4.0

Score endline: 4.0 (no change)

5.2.Operational guidelines: 'Operational guidelines (technical, admin, HRM) are in place and used and supported by the management'

This is about whether there are operational guidelines, which operational guidelines exist; and how they are used.

FFID still has an organisational policy in place, however HR and accounts policy are not uniform at all state levels. The organisation has incorporated the change of bringing gender equity in the organisation by improving the representation of female staff. Staff understanding of the policy still has to be strengthened and periodic revision of the administration and HR policies is still required (the documented HR policy was last revised in 2009).

Score baseline: 3.0

Score endline: 3.0 (no change)

Level of coherence of various efforts of organisation

5.3.Alignment with vision, mission: 'Projects, strategies and associated operations are in line with the vision and mission of the organisation'

This is about whether the operations and strategies are line with the vision/mission of the SPO.

FFID still only takes up projects that are aligned with its vision and mission. Since they have rearticulated their vision they have also revised their strategies towards more diversified programme implementation instead of just focusing on cotton farming. Involvement with the Integrated Watershed Management Programme (IWMP) and OTELP+ has helped FFID/Chetna expand its activities to newer areas. All these projects have the potential to implement an integrated approach in agriculture and livelihood activities and have the ability to build value chains.

Score baseline: 4.0

Score endline: 4.0 (no change)

5.4.Mutually supportive efforts: 'The portfolio of project (activities) provides opportunities for mutually supportive efforts'

This is about whether the efforts in one project complement/support efforts in other projects.

In general, the different projects (incl. sub-projects) and thematic activities are still complimentary to one another. FFID is looking at a holistic approach with ecologically aligned technical interventions and internalized inputs for production. Since FFID is working in rain-fed areas, it lays emphasis on soil and water conservation. It therefore focusses on generation of sufficient manure and compost for maintaining the soil fertility. It is also working on different seed conservation and multiplication projects – cotton, food and other - and field level demonstrations in partnership with the Research Institute of Organic Agriculture, Switzerland; University of Agriculture Sciences, Dharwad and other stakeholders like the Central Institute for Cotton Research, Nagpur. As part of this initiative, participatory seed evaluations are carried out in 40 locations.

FFID has been working on developing sustainable market linkages for farmer's produce, predominantly organic and fair-trade in national and international markets through COAPCL and member cooperatives. During 2013, capacity building activities were carried out for farmer communities on issues such as quality management, local level market development, maintenance of organic standards and certification and developing local markets.

Further FFID/Chetna strengthened the activities around production of diverse and chemical free food, aiming to make farmers self-sufficient with safe and healthy food. Towards this, it is working with farmers/groups to conserve traditional seed varieties in food crops like rice, millets and pulses. Also, to empower women/farmer groups as nodal points for seed sharing, about 90 women and men from Andhra Pradesh and Odisha were identified as seed guardians and trained on seed conservation and the management of seed banks.

FFID has also made efforts to expand livelihood options for the poor such as nursery raising, horticulture, vegetable cultivation, seed banks, micro-irrigation, machinery, fodder development, and agri-based enterprises such as dairy, poultry, goatry, fishery, seed production and other non-farm activities and skill development trainings like motor-repairs, diesel engine repairs, driving, electrician training etc. in all the three regions. It has also focused on promoting education among the children of smallholder cotton farming and farm labor households by involving the village elders, teachers, children and local media and reenrolling out-of-school children into mainstream education.

Thus FFID/COFA brought in much more than just sustainable agriculture. While mixed cropping, integrated approach, crop rotation, sustainable and biological practices and self-consumption-first were the focus, they also brought in very valuable principles like natural resources management, food and nutrition security, seed sovereignty, child welfare and education. Thus the whole idea of improving livelihoods with sustainable agriculture was approached in a holistic fashion.

Score baseline: 4.0

Score endline: 4.0 (no change)

Summary of capability to achieve coherence

FFID still revisits its vision during annual meetings. In 2013 the decrease in the demand for organic cotton and the change in climatic conditions triggered FFID/Chetna to re-articulate their vision from cotton mono-cropping to diversified cropping practices. The new vision is: to promote economically and socially viable agrarian based livelihoods in rain-fed and other ecologically depressed regions through sustainable agriculture. Consequently FFID/Chetna adjusted its strategies in line with the new vision. FFID works on different projects and thematic activities that are still complimentary and mutually supportive to one another. FFID is looking at a holistic approach with ecologically aligned technical interventions. While working in rain-fed areas, they lay emphasis on soil and water conservation, sufficient manure and compost for maintaining the soil fertility and different seed conservation and multiplication projects – cotton, food and other. FFID still only takes up projects that are aligned with its vision and mission. Since they have rearticulated their vision they have also revised their strategies towards more diversified programme implementation instead of just focussing on cotton farming.

FFID still has an organisational policy in place, whilst HR and accounts policy are not uniform across states. Gender equity has improved by more female representatives in the organisations. Strengthening the understanding of the policies and periodic revision of the administration and HR policies is still required (the documented HR policy was last revised in 2009).

Score baseline: 3.7

Score endline: 3.7 (no change)

Appendix 4 Results - key changes in organisational capacity - general causal map

As the changes in organisational capacity in the general causal map and the detailed causal maps overlap completely, please refer to Appendix 5 for the detailed narrative and map.

Appendix 5 Results - attribution of changes in organisational capacity - detailed causal maps

During the endline process, key organisational capacity changes have been identified in the following capabilities: capability to act and commit; capability to adapt and self-renew. These two capabilities have been chosen for the purpose of process tracing since these are the two capabilities that have most frequently been targeted by the CFAs. The organisational capacity changes that have been identified are based on a potential link with MFS II supported capacity development activities in these two capabilities, and on a variety of sources (secondary data as well as endline workshop data). The process tracing methodology has been adapted to the purpose of this evaluation and to investigate closely the underlying causes for these identified organisational capacity changes, and the extent to which these changes can be attributed to MFS II supported organisational capacity strengthening activities .

The key organisational capacity changes made towards sustainability of FFID are:

1. Improved planning, monitoring and evaluation
2. Diversification of funds
3. Improved compliances

These changes happened to coincide partly with the outcome areas that were chosen for process tracing, so as to get detailed information on how these changes in organisational capacity came about. Therefore, the general causal map overlaps strongly with the causal maps developed for each of these outcome areas/organisational capacity changes to be analysed during the process tracing. All the details about these changes in organisational capacity as well as the underlying factors that influenced these changes are described in the narrative and visual below.

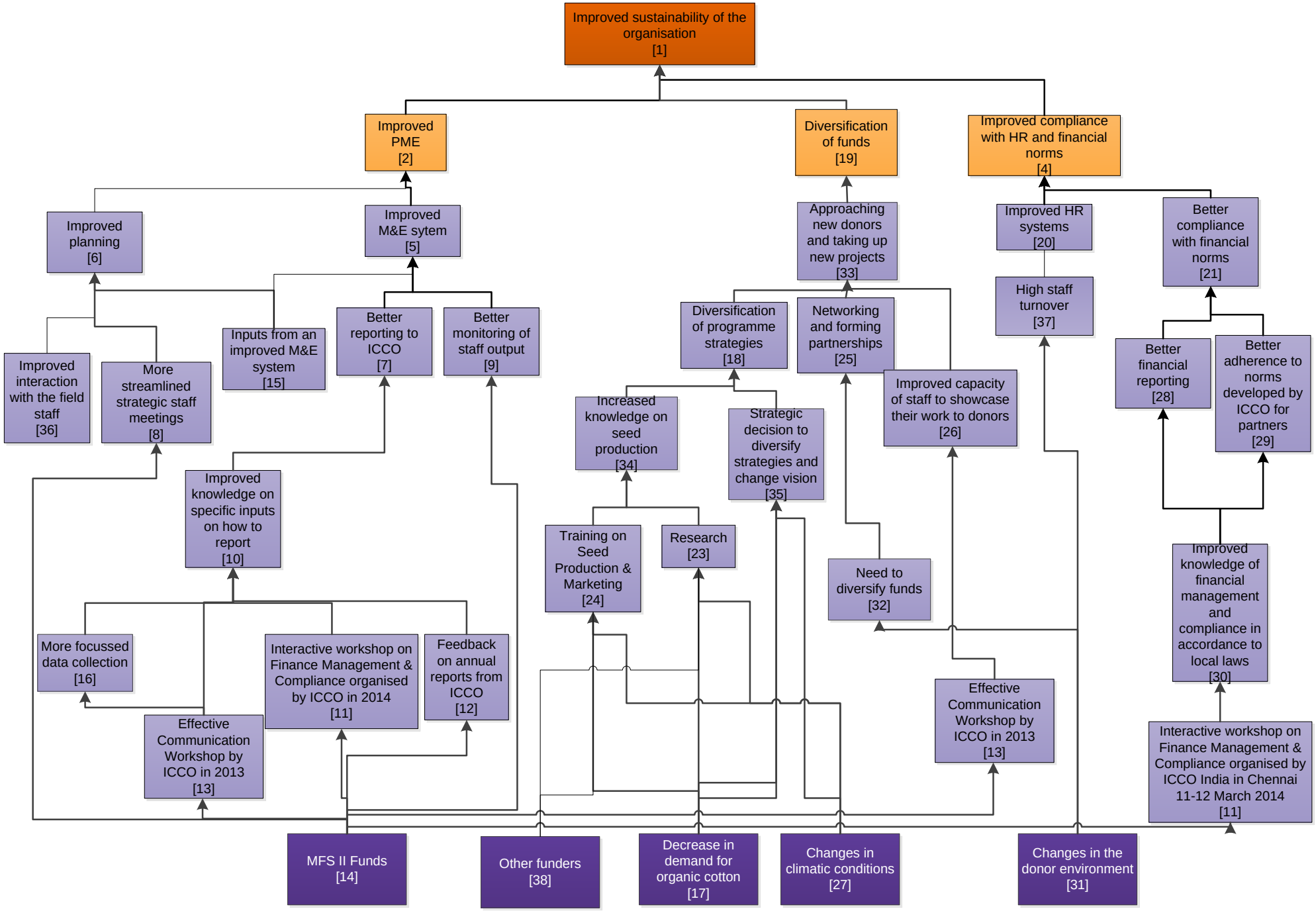
The evaluation team carried out the endline assessment at FFID from 15 to 17 July 2014. During this workshop, the team made a recap of key features of the organisation in the baseline in 2012 (such as vision, mission, strategies, clients, partnerships). This was the basis for discussing changes that had happened to the organisation since the baseline. FFID continues to provide guardianship support to the Chetna Organic & Fair Trade Cotton Intervention Programme which spawn the twin farmer orwned organisations Chetna Organic Farmers Association (COFA) and Chetna Organic Agriculture Producer Company Ltd (COAPCL) to evolve into professional and well established farmers' support organizations.

Over the last two years, decrease in the demand for organic cotton forced FFID/Chetna to focus and change its strategy from mono-cropping to diversified cropping and mixed cropping practices where food crops like jowar, paddy, red gram, vegetables, maize, green gram and others could be grown alongside cotton. Legumes, vegetables like tomato, brinjal, chilli, gourds, beans, onion, garlic and leafy vegetables and oil seed crops are also being grown. This would not only ensure food security for the farmer but also improve soil health [Source: A sustainable model for small and marginal ryots - The Hindu; interaction with the ED]. Further change in climatic conditions (heavy rains, Phailin cyclone) also triggered diversified programme implementation and expansion of activities to newer locations. The staff felt that in the changing scenario there was a need for revisiting the organisation's vision. Consequently, a vision building workshop was organized in June 2013 with senior staff [Source: FFID-Annual_Report_2013; 5c endline self-assessment sheet_management_India_FFID]. The re-articulated vision is as follows: To promote economically and socially viable agrarian based livelihoods in rain-fed and other ecologically depressed regions through sustainable agriculture. Thus FFID/Chetna

revisited its strategy to give a broader scope for holistic development of agriculture dependent families in rain-fed and other ecologically depressed regions while continuing its core work with small and marginal cotton farmers. In-situ soil and water conservation, gender equity, food security and value chain development of other products were also made integral part of the program [Source: FFID-Annual_Report_2013; 5c endline self-assessment sheet_management_India_FFID].

Keeping in line with the changed vision over the last two years, FFID/Chetna has been focusing on sustainability for the organisation and for the small and marginal farmers.

The three main organisational capacity changes are described in the light orange boxes and some of their key consequences are noted above these cards in dark orange. Light purple boxes represent factors and aspects that influence the key organisational capacity changes (in light orange). Key underlying factors that have impacted the organisation are listed at the bottom in dark purple. The narrative describes per organisational capacity change, the contributing factors as described from the top down. The numbers in the visual correspond with the numbers in the narrative.


Improved sustainability of the organisation [1]
Improved PME [2]
Diversification of funds [19]
Improved compliance with HR and financial norms [4]
Improved planning [6]
Improved M&E sytem [5]
Approaching new donors and taking up new projects [33]
Improved HR systems [20]
Better compliance with financial norms [21]
High staff turnover [37]
Improved interaction with the field staff [36]
More streamlined strategic staff meetings [8]
Inputs from an improved M&E system [15]
Better reporting to ICCO [7]
Better monitoring of staff output [9]
Diversification of programme strategies [18]
Networking and forming partnerships [25]
Improved capacity of staff to showcase their work to donors [26]
Better financial reporting [28]
Better adherence to norms developed by ICCO for partners [29]
Increased knowledge on seed production [34]
Strategic decision to diversify strategies and change vision [35]
Improved knowledge on specific inputs on how to report [10]
Training on Seed Production & Marketing [24]
Research [23]
Need to diversify funds [32]
Improved knowledge of financial management and compliance in accordance to local laws [30]
More focussed data collection [16]
Interactive workshop on Finance Management & Compliance organised by ICCO in 2014 [11]
Feedback on annual reports from ICCO [12]
Effective Communication Workshop by ICCO in 2013 [13]
Effective Communication Workshop by ICCO in 2013 [13]
Interactive workshop on Finance Management & Compliance organised by ICCO India in Chennai 11-12 March 2014 [11]
MFS II Funds [14]
Other funders [38]
Decrease in demand for organic cotton [17]
Changes in climatic conditions [27]
Changes in the donor environment [31]

Key organisational change 1: Improved planning, monitoring and evaluation (PME)

According to FFID staff present at the endline workshop, over the last two years FFID has improved its planning, monitoring and evaluation (PME) system [2] , and this is also evident in the endline assessment sheet CFA perspective and management FFID perspective. This was keeping in line with its rearticulated vision which required a revision in strategic plans [Source: 5c endline_assessment sheet_Dutch co-financing organisations_India_FFID_ICCO, 5c endline self-assessment sheet_management_India_FFID].
Improved PME [2] was due to improved planning [6] and an improved Management Information System (MIS) [5]. These issues are further discussed below.

Improved planning [6]
According to the CFA it is evident that operational plans and overall planning is becoming better [6] [Source: 5c endline_assessment sheet_Dutch co-financing organisations_India_FFID_ICCO]. It is also evident from the self-assessment sheet of management and the observation of endline evaluation team that the strategic and operational planning has improved Source: 5c endline self-assessment sheet_management_India_FFID, Discussion during the endline workshop].
Improved planning was due to: improved interaction with the field staff [36]; more streamlined strategic staff meetings [8] and inputs from an improved M&E system [15]. Each of these issues are further discussed below.

Improved interaction with the field staff [36]
Two years ago, the organisation was more cotton-centric. By taking inputs from the field staff, the leadership decided to broaden the scope of work and to give strategic direction to the team towards it. As was indicated in the baseline report, earlier the interaction of the senior management with the field staff was not frequent. As a result of this the practical problems and ground realities contributed little to the planning process. In the past two years, the senior management has increased their field visits and have also formed a project intervention committee looking at operationalization of projects and therefore working closely with the field staff [Source: 5c endline self-assessment sheet_management_India_FFID]. Their inputs have improved planning at FFID/Chetna.

More streamlined strategic staff meetings [8]
Staff meetings are now more regular and there are cohesive discussions not only around operational issues but also around strategic issues. Their operational plans are becoming better, partly because of meeting more regularly [Source: 5c endline_assessment sheet_Dutch co-financing organisations_India_FFID_ICCO]. The staff meetings provide a platform for internal reflection. In these meetings there is review of status of all programmes at the block level, state level and national level, discussion on the adopted plan and strategy, through SWOT analysis gaps are identified in planning and execution, alternatives are suggested, future plans and strategies are chalked out for the coming year. The information thus obtained is used to fine tune the MIS formats. There is now a systematic documentation of minutes of annual strategic review meetings [Source: Strategy meeting report Mar 5-6, Hyd 2013 with pix compressed-1, Annual Strategy Meeting Odisha March 2014 with pix compressed-additions, Annual Strategy Meet-Araku June1-2 2013 with pix compressed; Discussion during the workshop]. Senior management has become more involved in ensuring programme and organizational sustainability because of changes in the donor environment and climatic conditions. Thus meetings are more streamlined, their minutes are documented and decisions taken during meetings are reflected upon and later finalised by the senior management [Source: Interview with OD consultant, Annual Strategy Meet-Araku June1-2 2013 with pix compressed]. The annual strategic meetings are funded by MFS II [14] [Source: Interview with OD consultant].

Inputs from an improved M&E system [15]
The FFID's plans are now better informed by the inputs of an improved M&E system, which is further discussed below. For example an organic farm MIS has a detailed data base on farmers, type of farms, and production on seasonal basis. This is reviewed regularly to revise or fine tune plans and thus improve performance of the programme [Source: 5c endline_assessment sheet_Dutch co-financing organisations_India_FFID_ICCO, 5c endline self-assessment sheet_management_India_FFID]. This also includes research activities related to soil and seed on the ground. FFID is involved in a joint

research project of bioRe Association India, Kasarwad, MP, Chetna organic, Hyderabad, University of agricultural sciences, Dharwad and Research institute of organic agriculture FiBL, Switzerland with an aim of developing low input high quality seeds to organic cotton farmers [Source: http://www.chetnaorganic.org.in/programs/green-cotton].

Improved M&E System [5]

PME also improved due to a strengthened M&E system. According to ICCO, FFID/Chetna has improved their M&E system in terms of identifying the number of people who are involved and how to involve them [Source: 5c endline_assessment sheet_Dutch co-financing organisations_India_FFID_ICCO, 5c endline self-assessment sheet_management_India_FFID]. The M&E system of FFID improved [5] because of better reporting to ICCO [7] and better monitoring of staff outputs [9].

- *Better reporting to ICCO [7]:* Reports are more timely and crisp. "The reporting to ICCO has been streamlined and this has helped the organization be more systematic in their analysis and MIS review" [Source: 5c endline_assessment sheet_Dutch co-financing organisations_India_FFID_ICCO]. Better Reporting to ICCO [7] was mainly due to:
  - *Improved knowledge on specific inputs on how to report [10].* The staff improved knowledge on how to write better reports by incorporating feedback, specific data and statistics as evidence, image description and also linking narrative and financial reporting [Source: 5C endline_support to capacity development sheet_CFA perspective_India_FFID_ICCO, Communication Workshop_Report_India]. Knowledge on specific inputs on how to report [10] improved because of:
    - More focussed data collection [16]: There are set formats to collect focused data from the field. For better data collection from the field FFID has redrafted the formats and templates and reduced the formats from 30 pages to 12 pages [Source: 5c endline self-assessment sheet_management_India _FFID]. Data collection became more focussed because of staff participating in the Effective Communication Workshop [13]. The learning of this workshop was shared with the field staff, the format for data collection was redrafted leading to focused data collection from the field [Source: 5c endline_questionnaire_training_participant_perspective_India_FFID_EffectiveCommunicationsworkshop2013, 5c endline self-assessment sheet_management_India _FFID].
    - Interactive workshop on Finance Management & Compliance [11]: A two-day interactive workshop was organised by ICCO India in Chennai on 11-12 March 2014. The objective was to help ICCO India and its partners to mutually share the good practices and experiential learning and also have a common understanding on the financial management and the law, and ensure effective utilization of the funds. It resulted in improved knowledge of the staff on linking narrative and financial reporting, develop budget plans, make reports more communicative and innovative, and integrate finance and program [Source: An Interactive Workshop on Finance Management Chennai- final -1]. This workshop was funded by MFS II [14].
    - Feedback on annual reports from ICCO [12]: The OD consultant of ICCO provides feedback on the annual report including the financial part. He asks FFID/Chetna to incorporate feedback and they do that. He sees that reports are getting better. The support from the consultant was funded by MFS II [14] [Source: 5c endline_assessment sheet_Dutch co-financing organisations_India_FFID_ICCO]
    - Effective Communication Workshop [13]: a two day workshop on effective communication was organised by ICCO Cooperation-SCA with Plan B Communication Partners in Bangalore on 18-19 July 2013. It was aimed at streamlining the reports submitted by the partners to ICCO. Components of the annual report were set out and explained. It helped the Manager (Communications and PR) to improve his skill in structured and focused report writing and case study writing. After coming back from the workshop, he shared the learnings with the staff which resulted the staff improve in data capturing, writing structured and focused case studies and reports. They also could prepare uniform template/formats to capture information systematically and introduced new initiatives to collect data over phone and through Facebook [Source: 5c endline_questionnaire_training_Manager perspective_India_FFID_EffectiveCommunicationsworkshop2013]. This workshop was funded by MFS II [14]. A consequence of this was that by the end of the March 2014, Chetna Organic's archives number more than 10,000 photographs, about 100 hours of video footage, about 100

case studies, stories and farmer profiles from across the states. Chetna's farmer stories and initiatives have been featured in local (Eenadu, Saakshi, ETV, OTV, IBN7 etc.), national (The Hindu, Down to Earth, Apparel India, etc.) and international media (Austria, Germany, UK, and Japan) (both electronic and print). Regular updates are also posted on the website www.chetnaorganic.org.in and the social media – Facebook and twitter. In terms of print communications material, posters on Seed Guardians, Green Cotton, and Chetna's Fair-trade initiatives have already been printed. A newsletter encapsulating the activities was developed in end 2013 [Source: Annual Report_ICCO_01 April 2013- 31 March 2014].

Better monitoring of staff output [9] also supported the improve M&E system.

Staff output is monitored through specific operational mechanisms that are now in place. E.g. the organisation is now making use of digital technology to collect data from the field through email or phone and also through use of social networking sites like Facebook which gives better picture of the outcome of the project. Project specific formats for data collection were modified, redrafted and reduced from 30 to 12 pages to allow for better data collection at the field level. Review meetings are also used for collecting the data. The Communication Manager with the help of other team members developed case studies and video stories as per the programme requirements. All these mechanism facilitate better monitoring of the staff output [Source: 5c endline_assessment sheet_Dutch co-financing organisations_India_FFID_ICCO, 5c endline self-assessment sheet_management_India _FFID]. Quarterly Review meetings of all staff where they will be monitored on alignment to the agreed objectives planned for the year is funded by MFS II [14] [Source: Interview with OD consultant].

Key organisational change 2: Diversification of funds [19]

Over last two years the organisation had to explore new funding opportunities as some of the projects have come to an end (for e.g. with the Rabobank Foundation and Hivos) and some funding is about to end (for e.g. with ICCO). Also, in absence of a core grant and delayed transfer of payments from the donors, working capital is always at stake. As a consequence taking on new staff and retaining experienced staff for certain positions becomes a challenge for the organisation [Source: 5c endline self-assessment sheet_management_India_FFID]. Therefore, there is a continuous need to approach new donors [Source: Chetna Status Evolution & Future_MFS]. In the process FFID/COFA is focussing on networking, forming partnerships, convergence with government programmes and emphasizing on staff capacity development in writing proposals to approach new donors. In the last two years it has mobilised funding mostly for specific projects. Though serious efforts have been put in raising core funding, securing it still remains a challenge. About 8 smaller ethical brands came together in 2014 [Source: http://chetnaorganic.org.in/News#282] to invest in Chetna operational areas by adopting some villages and attempting to build a strong supply chain for Chetna cotton farmers through a project called 3DP&L (Three Dimensional Profit and Loss).

FFID was able to diversify its funds because they approached new donors and took up new projects [33]. Some of the new projects funded by new donors were:

- Seed Guardians Project: The Seed Guardians project adopted in India by Chetna Organic is primarily an initiative supported by Textile Exchange (USA) & Inditex (Spain) from December 2012 to December 2015. The project is being implemented in 5 clusters spread over three districts of Kalahandi, Bolangir and Rayagada in Odisha. The aim is to reduce farmers' dependence and exploitation by market forces for seeds, Chetna is working with farmers/women groups to promote conservation and sharing of traditional seed varieties in food crops like rice, millets and pulses. Seed production of food crops is being carried out in about 500 hectares across clusters. Seed programmes have been mainly taken up in convergence with local Governments and are partly supported through Chetna [Source: Annual Report_ICCO_01 April 2013- 31 March 2014, http://www.chetnaorganic.org.in/programs/seed-guardians].
- Green Cotton Project: The project is a joint research project of bio-Re Association India, Kasarwad, Madhya Pradesh, Chetna organic, Hyderabad, University of agricultural sciences, Dharwad and Research institute of organic agriculture FiBL, Switzerland on farm cultivar testing and participatory breeding for organic and low input cropping systems in central India. The project runs from 2013 till 2016 [Source: Annual Report_ICCO_01 April 2013- 31 March 2014, http://www.chetnaorganic.org.in/programs/seed-guardians].

- Eco-farmers Market Portal (Web-based) in collaboration with PRAVAH & ASHA General, running from January 2014 till June 2014 [Source: Annual Report_ICCO_01 April 2013- 31 March 2014].
- Engendering seed and food security/sovereignty project: This project focuses on improving seed, food, nutritional and income security among small and marginal farmers of South Odisha through SODI Network anchored by Madhyam Foundation. Also aimed at equipping women's organic cotton cooperatives to become seed guardian. This is funded by Textile Exchange (TE) USA and Inditex, Spain from October 2012 to June 2015 [Source: Annual Report_ICCO_01 April 2013- 31 March 2014, FFID Chetna VISION]
- Promoting house hold level food & nutritional security: funded by ICCO & Kerk in Actie Netherland from 1st Nov, 2013 to 31st Oct, 2015 [Source: Annual Report_ICCO_01 April 2013- 31 March 2014].
- Government convergence programmes: COFA established convergence with various government programs for better sustainable livelihood for the poor and marginal farmers, such as, Convergence of Agriculture Initiatives in Maharashtra (CAIM) in Maharashtra. The project receives financial assistance from the International Fund for Agricultural Development (IFAD), Sir Ratan Tata Trust (SRTT) and government of Maharashtra from June 2013 to June 2016 [Source: Annual Report_ICCO_01 April 2013- 31 March 2014, FFID-Annual_Report_2013, http://www.chetnaorganic.org.in/programs/seed-guardians]. Mahila Kisan Sasaktikaran Pariyojna (MKSP) in Odisha. This programme aims at empowerment of women farmer in collaboration with National Rural Livelihood Mission (NRLM) project. It is implemented in Rayagada of Southern Odisha. The main objective the programme is food and nutrition security and sustainable agriculture [Source: Annual Report_ICCO_01 April 2013- 31 March 2014, FFID Chetna VISION]. Odisha Tribal Empowerment and Livelihood Programme plus (OTELP+) is supported by government of Odisha and Department for International Development (DFID) from 2012-2018. The objective of the program is to provide food security, secure income and quality livelihood. ICCO is supporting in this project through SODI network to organize sustainable cultivation of pigeon pea and turmeric cultivation by smallholder farming households since 2012 [Source: Annual Report_ICCO_01 April 2013- 31 March 2014, FFID Chetna VISION, FFID_Annual Report_2012].

FFID was able to approach and get new donors for new projects [33] because of diversification of programme strategies [18], networking and forming partnerships [25] and improved staff capacity to showcase their work to donors [26].

Diversification of programme strategies [18]

FFID/Chetna is no longer only working on cotton, but is now including mixed cropping strategies that include food crops. In this way they were able to link up to new government funded programmes outside the cotton sector and they were also able to attract other funders to work e.g. on nutrition security and seed production. For example, to reduce farmers' dependence and exploitation by market forces for seeds, Chetna is working with farmers/women groups to promote conservation and sharing of traditional seed varieties in food crops like rice, millets and pulses. Seed production of food crops is being carried out in about 500 hectares across clusters. Seed programmes have been mainly taken up in convergence with local governments and are partly supported by GSRD Foundation, Jackpot, Textile Exchange and Felissimo. As a result of this seed bank during 2013, Chetna Organic has conserved about 163 traditional varieties that include cereals (63), vegetables (38), pulses (25), spices (7), fruit crops, medicinal and others (30) in Odisha itself, ready to be exchanged with farmers in the coming season. It is assumed that these seeds conserved in seed banks will be sufficient for 300 acres for the coming season [Source: Annual Report_ICCO_01 April 2013- 31 March 2014]. FFID was able to diversify its programme strategies [18] because of increased knowledge on seed production [34] [Source: 5c endline self-assessment sheet_management_India_FFID, FFID-Annual_Report_2013] and the strategic decision to diversify strategies and change the vision [35]:

- Increased knowledge on seed production and conservation [34] was due to:
  - Training on Seed Production & Marketing 2013, CSA, Wardha_[24] for FFID staff. In order to be able to conserve and share traditional seed varieties in food crops, staff of FFID received training on Seed Production & Marketing in December 2013, organised and funded by the Centre for Sustainable Agriculture (CSA), Wardha [38]. Training was given on: importance of seed in sustainable agriculture; community seed banks and producer company; planning for seed production, assessing demand, procurement, selection of seed farmers; seed production practices

in self-pollinated crops, cross often pollinated crops and cross pollinated crops; hybrid seed production in cotton and maize; participatory approaches of seed management; documentation on value for cultivation and use etc. [Source: 5c endline self-assessment sheet_field staff_India_FFID]

- Research [23]. With regard to the cotton seed research initiative in collaboration with and funding of the Research Institute of Organic Agriculture (FiBL), Switzerland and the University of Agriculture Sciences, Dharwad (UASD) [38], research continued for the third continuous year. As a part of the research, suitability of different Indian, American and Egyptian varieties in the local conditions and quality parameters were tested. After a third year of controlled research and participatory evaluations, the team found that Barbadense and Herbaceum are not very suitable to local soils and climatic conditions. Of the total, 33 cotton varieties, 18 hybrids American /Hirsutum varieties and 9 hybrids and 6 Indian /Arboreum varieties have been shortlisted for further evaluation on field trial basis at farmer level [Source: Annual Report_ICCO_01 April 2013- 31 March 2014].

- The strategic decision to diversify strategies and change the vision [35]. The staff felt that in the changing scenario there was a need for revisiting the organization's vision. Consequently, a vision building workshop was organized in June 2013 with senior staff [Source: FFID-Annual_Report_2013; 5c endline self-assessment sheet_management_India_FFID]. The re-articulated vision is as follows: *To promote economically and socially viable agrarian based livelihoods in rain-fed and other ecologically depressed regions through sustainable agriculture.* Aligned to this vision the six main objectives of FFID/Chetna now are: enhancing productivity and reducing cost of cultivation, promoting Viable institutions, Creating market through value addition, natural resource management, food and nutrition security and women and child development. During the baseline the vision was: *To improve the livelihood options of small farm holding households involved in cotton cultivation through making their farming systems more profitable and more sustainable.* Thus FFID/Chetna revisited its strategy to give a broader scope for holistic development of agriculture dependent families in rain-fed and other ecologically depressed regions while continuing its core work with small and marginal cotton farmers. In-situ soil and water conservation, gender equity, food security and value chain development of other products were also made an integral part of the programme [Source: FFID-Annual_Report_2013; 5c endline self-assessment sheet_management_India_FFID]. Keeping in line with the changed vision since June 2013 FFID/Chetna has been focusing on sustainability be it for the organisation or for the small and marginal farmers.

The training in seed production [24], research [23] and the strategic decision [35] were triggered by changing climatic conditions [27] [Source: : U.S. Organic Cotton Production & Marketing Trends January 2014 , Accessed from: https://ota.com/sites/default/files/indexed_files/2012%20and%202013%20Organic%20Cotton%20Report.pdf] and due a decrease in demand for organic cotton [17] which was due to increased production of non-organic cotton because of multi-fold adoption of Bt[18] seeds in India and a fall in the production of non-genetically modified cotton seed over the past three years [Source: Ministry of Textile India, Accessed from: www.organiccotton.org/oc/]. Thus FFID/Chetna was forced to focus and change its strategy from mono-cropping to diversified cropping and mixed cropping practices [35] where food crops like jowar, paddy, red gram, vegetables, maize, green gram and others could be grown alongside cotton. This would not only ensure food security for the farmer but also improve soil health [Source : A sustainable model for small and marginal ryots - The Hindu; interaction with the Arun]. Further change in climatic conditions [27] (heavy rains, Phailin[19] cyclone) also triggered diversification of strategies and expansion to newer locations [Source: Annual Report_ICCO_01 April 2013- 31 March 2014, discussion during endline workshop].

[18] Bt cotton is a genetically modified variety of cotton producing an insecticide.

[19] A very severe cyclone that originated in Southern China Sea on October 2013, that affected Andhra Pradesh, Odisha, Jharkhand and other Indian States

Networking and forming partnerships [25]:
FFID started focusing more on networking because of the need to diversify funds [32], which came from changes in the donor environment [31]. There is a continuous need to approach new donors. FFID/Chetna for this reason is focusing on networking, forming partnerships, emphasizing on staff capacity development in writing proposals [Source: Chetna Status Evolution & Future_MFS].The improved interaction allows them to bid for projects together as well as improve their visibility which is important from the donor perspective.

FFID has been associating itself with different international and national level organizations, networks and government agencies to undertake and implement various projects. During 2013-14, FFID's main emphasis was on building convergence with different government programmes through COFA and the cooperatives. Some of the major government programmes that COFA associated with include NABARD-IGWDP and Integrated Watershed Management Programme (IWMP) projects in Andhra Pradesh; Convergence of Agriculture Initiatives in Maharashtra (CAIM) in Maharashtra; Mahila Kisan Sasaktikaran Pariyojna (MKSP) and OTELP+ in Odisha. All these programs are directed towards empowerment of the poor, specifically women, small farmers, labour and the tribal poor. The overall emphasis is on sustainable and diversified agriculture, water and soil conservation, enhancement of livelihood options and food security. While the OTELP+ project facilitates for basic entitlements of tribal households as well, CAIM took one step ahead towards market development [Source: FFID-Annual_Report_2013]. International Organizations like Solidaridad, Textile Exchange and Traidcraft Exchange have been funding for Chetna. Brands like Felissimo, Jackpot, etc. have also been funding Chetna and providing support. About 8 smaller ethical brands came together in 2014 invest in Chetna's operational areas by adopting some villages and attempting to build a strong supply chain for Chetna cotton farmers through a project called 3DPNL (Three Dimensional Profit and Loss) [Source: 5c endline self-assessment sheet_management_India_FFID, http://chetnaorganic.org.in/News#282]. FFID/COFA 's involvement in advocacy has improved its visibility both internationally and with the government. Thus when a donor is looking for funding projects it recognises FFID/COFA [Source: Discussion during the workshop]. Chetna forays into advocacy and campaigning on the issues around rain fed agriculture in general and integration of NREGS into agriculture, revitalization of rain fed agriculture, seed issues, and anti-GM in specific apart from the fair trade and supply chain issues. Chetna efforts so far brought in favourable policy changes related to marketing rights of smallholder farmers, integration of agriculture in National Rural Employment Generation Scheme (NREGS), GMO seeds, SPOs role and involvement in Fair Trade. Chetna expanded its sphere of influence through representation on the Boards of Fair Trade Federation UK, Shop for Change Fair Trade, National Produce Marketing Inc., Fairtrade Labelling Organizations International, Made-By (NL & UK) and in the Steering Committee of Mahila Kisan Sashaktikaran Pariyojana (MKSP), a subcomponent of the National Livelihood Rural Mission (NRLM) of the Indian Ministry of Rural Development.

Improved capacity of staff to showcase their work to donors [26].
This is the third reason for being able to approach new donors and take up new projects. Staff capacity was improved because the Communications and PR Manager of FFID attended the *Effective Communication Workshop [13].* This was a two day workshop on effective communication, organised by ICCO Cooperation-SCA with Plan B Communication Partners in Bangalore on 18-19 July 2013. It was aimed at streamlining the reports submitted by the partners to ICCO (funded by MFS II [14]) and train the staff on new MIS format, photos as visual evidence, formatting tips and case studies as qualitative evidence. It helped the Communications and PR Manager to improve his skill in structured and focused report writing and case study writing. Further to improve the M&E capacity of the field staff he shared the learning in the in-house training. This resulted in improved staff capacity in data capturing, photographs and video capturing, writing structured and focused case studies and reports. They also redrafted template/formats to capture information systematically. Due to improved skills in the ICCO Communication workshop and systematic data from the field capacitated the communication manager with the help of other staff members of FFID to develop case studies with photographs, videos, stories and farmer profiles across states to showcase the work/activities to donors [Source: 5c endline_questionnaire_training_participant_perspective_India_FFID _Effective Communicationsworkshop2013.docx, Communication Workshop_Report_India, Annex C_5C endline_support to capacity development sheet_SPO perspective_India_FFID, Annual Report_ICCO_01 April 2013- 31 March 2014].

Improved compliance with HR and financial norms [4]
In the last two years FFID/Chetna improved compliances with the HR and financial norms triggered by the need to retain their staff and the demand by ICCO for better financial reporting [Source: Annual Strategy Meeting Odisha March 2014 with pix compressed-additions]. Compliance improved because of:

- Improved HR systems [20];
- Improved compliance with financial norms [21].

Improved HR Systems [20]
FFID introduced new HR initiatives to improve its HR system: such as a five day working week (trial basis), increase in daily sustenance allowance while travelling, provisions for a family health insurance, an increment of 8-15 per cent in the salaries with effect from April 2014 and staff promotions under the revised HR systems [Source: Self-Assessments]. These changes were triggered by *a high staff turnover in the last two years [37]* as staff in key senior positions left the organisation for better opportunities (while staff turnover at the field and programme level remained relatively low).

Improved compliance with financial norms [21]
FFID improved its compliance with financial norms to fulfil the requirement of ICCO as well as the government under the FCRA Act. This compliance improved due to:

- *Better financial reporting [28] and better adherence to norms developed by ICCO for partners [29].* Both these developments were because of improved knowledge of financial management and compliance in accordance to local laws [30]. This knowledge improved because of the *interactive workshop on Finance Management & Compliance organised by ICCO India in Chennai 11-12 March 2014 [11],* which was funded by MFS II [14]. This was a two days interactive workshop. The objective was to help ICCO India and its partners to mutually share the good practices and experiential learning and also have a common understanding on the financial management and the law, and to ensure effective utilization of the funds. It resulted in improved knowledge of the staff on linking narrative and financial reporting, develop budget plans, to make reports more communicative and innovative, and to integrate finance and program [Source: An Interactive Workshop on Finance Management Chennai- final -1].

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Final Report MFS II Joint Evaluations

Country	India
Consortium	Communities of Change
Responsible Dutch NGO	CORDAID
Project (if applicable)	India People's Participation in Development
Southern partner organisation	Jana Vikas

The project/partner is part of the sample for the following evaluation component(s):

	X
Achievement of MDGs and themes	X
Capacity development of Southern partner organisations	X
Efforts to strengthen civil society	

1. Introduction

This report presents the findings of the evaluation of a project funded and supported by CORDAID and implemented by Jana Vikas, an NGO which has been operating for more than two decades in the rural areas of Kandhamal district in Odisha, a state in Eastern India. The project was conceived with the aim of revitalizing a women's co-operative organization (Mahila Vikas multi-purpose co-operative) and its affiliated self-help groups (SHGs). In broad terms the aim of the project is to help generate sustainable income/livelihoods through effective management of the SHGs affiliated to the cooperative. The project focuses on women from scheduled tribes, schedule caste and other backward caste in 5 gram panchayats located in Phiringia block (Kandhamal district).The report begins by setting out the context and providing a description of the project. This is followed by a discussion of the evaluation—its methods, sampling strategy and the data. Estimates are presented in Section 6 and the final section contains concluding remarks.

2. Context

Odisha is one of India's poorest states and Kandhamal is one of the state's poorest districts. Kandhamal district is ranked 29th out of the state's 30 districts in terms of Human Development and 88 percent of the population is estimated to be below the poverty line. The district has a population of about 6.5 million of which 18 percent are Scheduled Castes, 52 percent are Scheduled Tribes and the rest belong to Other Backward Castes/General Castes. The district has a low population density (88 persons per square kilometre) and is primarily rural (more than 90 percent of the population lives in villages). The district is located in the mountain ranges of the Eastern Ghats and is characterized by hilly, forested areas which make it relatively inaccessible. About 12 percent of the district's land area is cultivable, 71 percent consists of forests and the

rest is barren land. The district is organized into 20 Blocks and the project is located in Phiringia block.

According to the 2011 census, tribals are the predominant group (58 percent) in the block followed by scheduled castes (17 percent). Phiringia is listed amongst the most backward blocks of the state based on 14 socio-economic and health indicators. About a fifth of the total geographical area of the block is under cultivation while about three-quarters of the land is either uncultivable or forested. Agriculture is the primary occupation of the inhabitants (44 percent of the working population) followed by wage labour (29 percent), cottage industry (21 percent) and petty business (3 percent).

An important element in terms of appreciating the context is that the block where the project is located was affected by communal violence (Christian versus Hindu) in August 2008. These riots sparked by the killing of Swami Lakshmanananda Saraswati, a Hindu religious leader, along with four of his disciples, led to communal riots as a Hindu right-wing organization blamed the murder on “extremist Christian groups”. According to Government figures, during the violence from August to December 2008, in Kandhamal district alone, more than 600 villages were ransacked, 5,600 houses were looted and burnt, 54,000 people were left homeless and 38 people were murdered. Human right groups estimate that over 100 people were killed, including disabled and elderly persons, children and women. A un-estimated number suffered severe physical injuries and mental trauma. While there are reports of a few women being sexually assaulted, many more such victims are believed to have been intimidated into silence. 295 churches and other places of worship, big and small, were destroyed. 13 schools, colleges, and offices of several non-profit organizations were damaged. About 30,000 people were uprooted and lived in relief camps and continue to be displaced. During this period about 2000

people were forced to renounce their Christian faith. More than 10,000 children had their education severely disrupted due to displacement and fear

During these riots the offices of the Mahila Vikas Multi-Puropose Co-operative (MVMPC) Limited, an organization set up with the help of Jana Vikas, the main project intermediary in the current project, were destroyed. In addition, small businesses, livestock and other activities supported by NGOs and government Self Help Groups (SHGs) were negatively affected. Inter-caste and especially inter-religious trust was damaged.[1]The riots also led to loss of valuable records including baptism certificates, ration cards, voter ID, educational/job certificates, marriage certificates, church property records and land titles. The current project was conceived with the aim of revitalizing MVMPC and its affiliated SHGs.

3. Project description

a. Project duration and budget

While CORDAID and Jana Vikas have worked together for a number of years (the first contract was signed on January 1, 1998), the project under review started on May 1, 2010 and was expected to end on April 30, 2013. The project is new in the sense that it focuses on new locations. The three year project budget is Euro 164,065 of which 20 percent or Euro 32,462 is funded through MFS II.

b. Project objectives, activities, theory of change

As mentioned in the introduction, the project was conceived with the aim of revitalizing a woman's co-operative organization (Mahila Vikas multi-purpose co-operative) and its affiliated self-help groups (SHGs). The project has three objectives in addition to strengthening the management capacity of the co-operative. These are:

[1]Socio-psycho spiritual damage included loss of confidence, lack of trust, insecurity, reduced tolerance and increased suspicion.

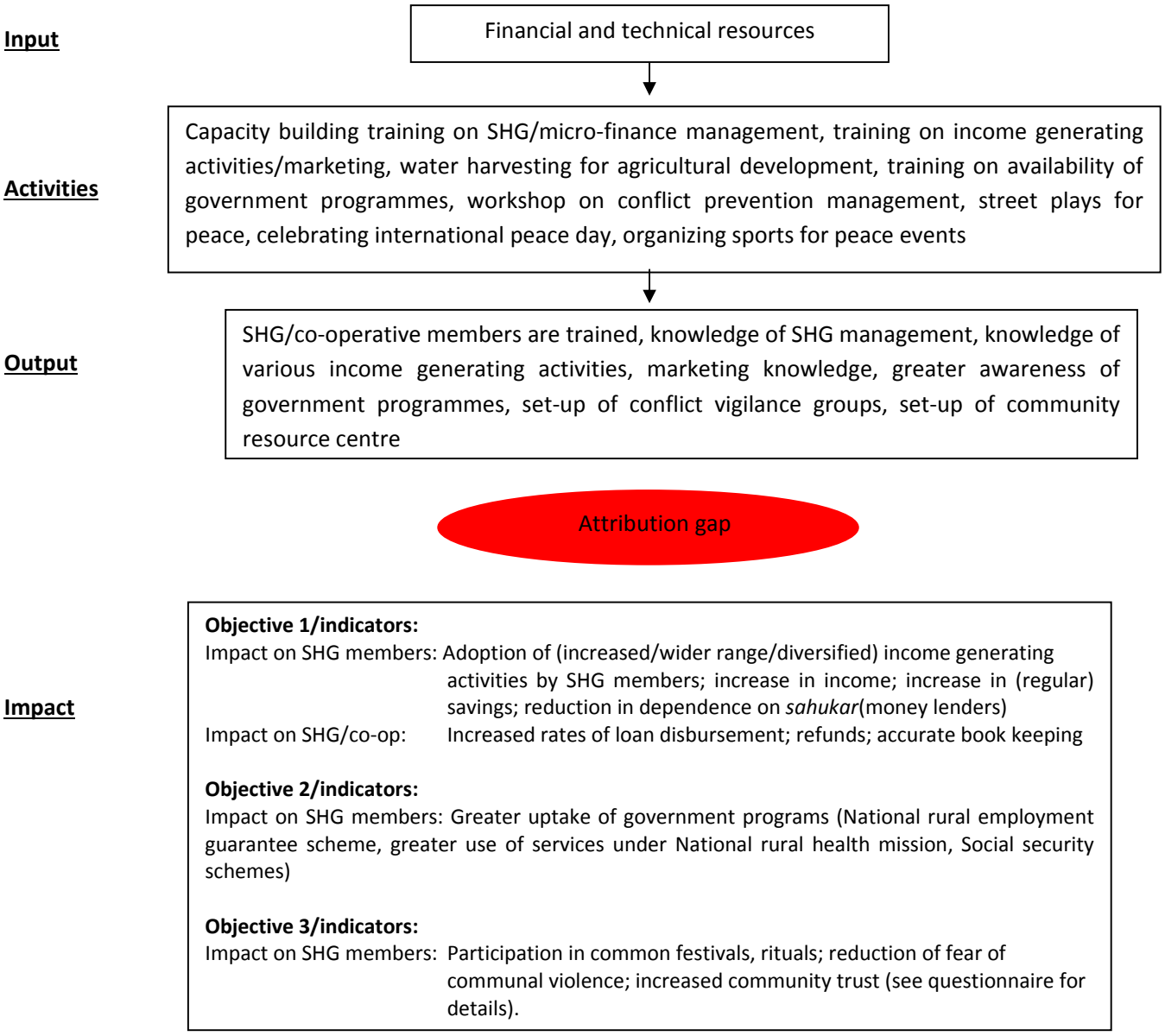
(i) Strengthening of the SHGs affiliated to the co-operative

(ii) Increasing awareness of and access to government programs

(iii) Promoting peace and harmony amongst different castes, religious and cultural groups.

A stylized result chain linking the inputs and activities to output and outcome indicators is provided below.

Stylized result chain:



4. Analytical approach and methods

The main aim of the evaluation is to identify the effect of the intervention on the three sets of indicators listed above. Specifically, to identify the impact of the programme on the economic outcomes of SHG members affiliated to MVMPC, their access to and knowledge of government programs, and their attitudes towards inter-caste/inter-religious interactions.

The key target group for the intervention is the set of women's self-help groups (SHG) affiliated to the women's co-operative in five gram panchayats (GP) located in one block of the district. The block has a total of 20 GP. The treatment group for the intervention is SHG members as individuals and also the SHG as a unit. At project inception there were 373 SHG affiliated to the co-operative spread over 13 GP while the intervention focuses on five of these GP with 93 self-help groups and 648 members. Thus, we have in the same block five"treated GP", eight GP where the co-operative operates but which are not part of the intervention, and seven GP where the co-operative does not operate.

The first point to be noted is that the project is being evaluated after it has already commenced and hence it is not possible to conduct a before-after analysis or a difference-in-difference analysis. Essentially, the analysis focuses on comparing outcomes between SHG households affiliated to MVMPC and SHG households which are not affiliated to MVMPC, after using statistical techniques (ordinary least squares) to control for differences in observed attributes. The evaluation draws on two rounds of data gathered in 2012 and in 2014. The evaluation based on the 2014 data may be thought of as an assessment of the sustainability of the intervention.

Second, according to the project documentation the five treated GPs were selected as they experienced the worst effects of the communal riots implying that the evaluation design and the sampling strategy need to be sensitive to the possibility of purposive program placement. Third, the nature of the intervention (training and knowledge dissemination) is likely to lead to spillovers and contaminate estimates of programme impact. While the intervention focuses on five GPs it is quite likely that information and knowledge spills over to SHG located in other areas and to SHG unaffiliated with MVMPC.

To mitigate some of the effects of these challenges we constructed two different control groups (C1 and C2).The control group C1 consists of SHG households living in a block where the project is not active but where MVMPC does operate. It is likely that such groups are similar in terms of the treated

group (affected by violence) but are more likely to be susceptible to spill over effects. The control group C2 consists of households living in a block where the project is not active and MVMPC does not operate. This control group is less likely to have experienced violence and less likely to be susceptible to spill overs.

Treatment and control groups

Treated Gram Panchayats (5)	SHG members/SHG affiliated to MVMPC (Treatment group – population consists of 648 members, 93 groups)
C1: Control Gram Panchayats (8) MVMPC operates in these GP but does not use the CORDAID approach/funds	SHG members/SHG not affiliated to MVMPC (Population consists of 1,842 members, 163 groups)
C2: Control Gram Panchayats (7) MVMPC ***does not*** operate here	SHG members/SHG not affiliated to MVMPC (Population consists of 1,278 members, 114 groups)

5. Data

a. Household Survey Data

Two rounds of data were collected. The first round was gathered in 2012 and the second in 2014.[2] Keeping financial and statistical considerations in mind the surveys covered 375 treated households (T) and 200 for each of the two sets of control households (C1 and C2).The 375 treated

[2] The sample sizes were determined on the basis of a minimum expected effect size of 10 percent. This figure in turn is based on a study which claims that the increase in income due to SHGs is 23 percent (Rath, B. (2007),*Post Evaluation Study of the Scheme of Micro-Credit Help to Women Self Help Groups (WSHGs) in KBK Districts of Orissa*, Mimeo. Indian Institute of Technology, Kanpur. Report submitted to the Government of Orissa. With an effect size of 10 percent, an alpha of 0.05 and a power of 80 percent we arrived at a sample size of about 775.

households were randomly chosen from a list of all beneficiaries provided by Jana Vikas while the control samples were chosen from a list of all members of self-help groups that are not supported by Jana Vikas/MVMPC but operate in the same area where MVMPC operates or from areas where MVMPC does not operate. These lists were procured with the help of Jana Vikas.

The surveys collected a range of information designed to control for differences in socio-economic characteristics and demographic structure across households. In addition, information was also gathered on awareness of and participation in government programmes, participation in peace building activities and attitudes towards inter-religious interactions.[3] There were no attrition problems and we were able to interview all 775 households in the follow-up survey in 2014.

Descriptive statistics, based on the first round survey, for the entire sample as well as for the treatment and control groups are provided in Table 1 and Table 2. Table 1 compares the treated group with control group C1 and Table 2 compares the treated group with control group C2. The statistics presented in Table 1show that the two groups are different in terms of three characteristics. Heads of households in the treated groups tend to be less educated with illiteracy rates of 46 versus 36 percent; they tend to be older (48 versus 44 years of age) and are more likely to be Christian (19 versus 4 percent). Along other dimensions such as demographic composition of the households, housing infrastructure, and access to public infrastructure, except for access to electricity, the two groups have characteristics that are statistically the same.As compared to households belonging to control group 2 (see Table 2), treated households are headed by older individuals (48 versus 45 years of age), and are more likely to be Christian. There are no educational differences across the two groups but it does seem that the treated households have access to better quality housing. The overall impression emerging

[3] We drew upon a document put together by Care International to help design the module on promoting peace and harmony: Care International UK (2012) *Guidance for designing, monitoring and evaluating peace building projects: Using theories of change*.

from the comparisons is that differences between the treated and control households are pronounced along three dimensions – age of household head, religious composition of the groups and in the case of one of the control groups, the treated households are less likely to be educated. While control group C1 maybe expected to display greater similarity as compared to group C2 this does not seem to be case.

b. Other sources of data/information

Prior to visiting the project site information was gathered from CORDAID. This information included:

- Contract document between Jana Vikas and CORDAID
- Annual reports from Jana Vikas for the years 2008-09, 2009-10, 2010-11.
- Excel sheets with budget data for the project
- Project profile document from CORDAID
- Financial statements/reports
- Half-yearly activity progress reports

A field visit was undertaken between June 9 and June 11, 2012 to understand the intervention and to gather required documents/information. During the visit the evaluation team met with several staff members of the SPO/Jana Vikas. These included meetings with all the staff members involved in the project and especially with Father Manoj Nayak (the project responsible), Mr. Jugal Kishore (overall project manager) and Ms. Tapaswini (local project manager). In addition, discussions were held with the members of the MVMPC co-operative board and with the Block level peace building committee.

These meetings were followed by field visits to:

- Village Rugudisahi, located 1 km from the co-operative in Pabingia Gram Panachayat, (Phiringia block, district Kandhamal). In the village, discussions took place with 11 members of a self-help group called Maa Mary.

- Village Saitingia, located 4 km from the co-operative in the Pabingia Gram Panachayat, (Phringia block, district Kandhamal). In the village discussions took place with 8 members of a self-help group called Maa Pitabali.
- Village Padarsahi, located 40 km from the co-operative in Jajespanga Gram Panchayat, (Phiringia block, district Kandhmal). In the village discussions took place with 10 members of the Matta Mary self-help group.
- Village Sata Kusu, located 30 km from the co-operative in Jajespanga Gram Panchayat, (Phiringia block, district Kandhmal). In the village discussions took place with 17 members of the Maa Narayani self-help group.
- Visit to the information centre set up by the SPO in Village Saitingia/Malla.

6. Estimates and Discussion

We estimated a number of linear probability/regression models to identify the effect of the intervention on the outcomes of interest. These were estimated over different samples (T and C1, T and C2) of treated and control households. These models were first estimated using data collected in 2012 and subsequently using data collected in 2014. We also pooled the data and estimated models which allowed us to explicitly test whether there were differences in outcomes between 2012 and 2014. An assessment of the estimates based on different cuts of the data and different years revealed that the results were for the most part robust to the use of different control groups.Detailed estimates for both samples and for both years have been provided.The discussion below focuses on the estimates for the year 2012 and the comparisons between treated and C2 households as these estimates are less likely to be contaminated by spill over effects. The discussion begins by examining differences in the functioning of SHGs affiliated to MVMPC and SHGs that are not affiliated to MVMPC. This is followed by an

examination of the effect of belonging to an MVMPC affiliated SHG on economic outcomes and outcomes related to inter-community attitudes and trust.

a. Functioning of the Self-Help Groups

Tables 3 and 4 provide a comparative assessment of the functioning of the SHGs affiliated to MVMPC and SHGs which are affiliated to the government run ICDS (Integrated Child Development Services). In 2012, across all parameters the two groups are different. While the MVMPC-SHGs have been operating for a longer time period as compared to ICDS-SHGs they are considerably smaller as measured by number of members per group (11 Versus 12), group savings (Rupees. 6400 Versus Rupees.17,000), outstanding loans (Rupees. 8000 VersusRupees. 32,000) and the proportion of members who have availed of a loan (45 Versus 66 percent). Problems regarding repayments are less prevalent (21 Versus 29 percent of the SHGs report a problem) in MVMPC-SHGs as compared to the ICDS-SHGs. In 2014, the differences between the two groups persist with regard to savings, outstanding loans and proportion of borrowers. The key differencesover time are that the number of members per group in the MVMPC-SHGs and ICDS-SHGs are now the same (12) and the proportion of SHGs facing repayment problems is now the same across the two groups.

Based on individual response both SHGs groups appear to be quite active with regular meetings attended by almost all members. However, there are statistically significant differences across the two groups which show that in 2012, members of ICDS-SHGs were more likely to have monthly meeting (88 Versus 93 percent) compared to MVMPC-SHGs. In the case of both groups almost all members attend meeting – 10 out of 11 in the case of the MVMPC-SHGs and 11 out of 12 in the case of the ICDS-SHGs. These patterns persist in 2014. Overall, a year after the commencement of the intervention and a year after the intervention there are limited changes in the functioning of the MVMPC-SHGs as compared to the ICDS-SHGs. The main difference is that the MVMPC-SHGs appear to have added an additional member.

b. Economic effects of belonging to an MVMPC-SHG

Tables 5 and 6 contain estimates of belonging to different SHGs on expenditure and savings in 2012 and 2014, respectively. In 2012, both, monthly expenditure and savings are higher for households belonging to MVMPC-SHGs as compared to other SHGs, although the differences are not statistically significant. The same patterns tend to prevail in 2014. Households belonging to the treatment group recorded higher monthly savings as compared to control groups but the differences are once again not statistically significant. We also considered the effect of belonging to MVMPC-SHGs on the amount of loans and source of loans – there were no statistically significant differences. Furthermore, although not reported here, we examined the effect of belonging to treatment and control households on access to a range of government programs including the incidence of and the number of days of work obtained through the Mahatma Gandhi National Rural Employment Guarantee Scheme (MGNREGS). Across all these outcomes we found no statistically significant differences between treatment and control households. The lack of any impact is perhaps not surprising as, on average, households have belonged to MVMPC affiliated SHGs for about six to seven years prior to the current intervention and it is possible that pre-existing differences between households have already been bridged and hence there are no discernible effects. In any case, the prima facie interpretation is that there are no additional economic benefits associated with belonging to a MVMPC-SHG as compared to other SHGs which are supported by government agencies.

c. Participation and trust

Tables 7 and 8 provide an assessment of being affiliated to MVMPC-SHGs on participation in peace-building activities and on inter-religious interactions and trust in 2012 and 2014, respectively. With regard to participation, the estimates show that in both years, participation in inter-caste/inter-religious activities is quite low with only 4 to 5 percent of households in the treated areas participating in such activities. In 2012, there are no differences in participation across treated and control areas. However, in

2014 households in areas where MVMPC operates are 3 percentage points more likely to participate in such activities as compared to households where MVMPC does not operate (comparing treated and C2 households). Similar patterns prevail with regard to participation in international peace day celebrations and Ambedkar Jayanti—in 2012, there are no statistically significant differences in participation rates between treatment and C2 households. However, in 2014, as compared to C2 households, SHG households affiliated to MVMPC are 4 to 5 percentage points more likely to participate in peace day celebrations and about 3 percentage points more likely to participate in Ambedkar Jayanti activities. These patterns are consistent with the notion of spill over effects between treated and C1 households as MVMPC operates in both sets of blocks but does not operate in blocks where C2 households are located.

The remainder of the outcomes in the two tables examine whether participation in such activities translated into greater inter-caste/religious trust by examining willingness to eat with members of other castes/religions, willingness to attend inter-caste/religious marriages, inter-caste/religious fear, attitudes towards conversion and willingness to live next to families of other castes/religions.

Prima facie, the estimates for 2012, column 4 and 6, suggest that treated households are far more tolerant and are 8-9 percentage points more likely to be willing to eat meals with members of other social groups, are 9-10 percentage points more likely to attend inter-caste/religious marriages and are also more willing to live in mixed neighbourhoods (only treated versus C2). However, estimates which control for the caste and religious composition of the treated and control households reveal a different picture. The estimates, except for willingness to live next to other castes, are no longer statistically different. This change indicates that greater tolerance exhibited by the treated group is not because of the treatment but maybe attributed to the differences in religious composition between the two groups. The detailed estimates (not reported) show that the differences emanate from the higher

percentage of Christians in the treated group who tend to be more willing to eat meals, attend marriages and live next to other social groups. This is despite the fact that the treated households tend to be more nervous as compared to C2 households when approached by members of other castes/religions.

In 2014, perhaps due to lack of inter-community violence in the years preceding the survey, across the board, there is a greater willingness to attend inter-caste/religious marriages and to live next to other social groups. For instance, in 2012, 36 percent of treated household were willing to attend inter-caste/religious marriages while in 2014 the figure had jumped to 43 percent. Similarly, in the case of willingness to live next to each other, for treated households, the figure jumped from 19 to 39 percent. Similar increases are recorded by control households with the result that in 2014 there are no statistically significant differences in these outcomes between treated and control households. Since the change in attitudes is similar across groups it cannot be attributed to the intervention but due to other factors that have universally affected attitudes across social groups.

d. Efficiency of the project

The three year project budget is Euro 164,065 or an annual budget of Euro 54,688 to support the MVMPC and the self-help groups associated with it. Based on data collected in 2014, there were 150 groups affiliated to MVMPC in the project area with about 1,490 members. Keeping in mind the expansion of membership between 2012 and 2014, on average, the total number of women affiliated to MVMPC-SHG groups in the project area is likely to have been close to a 1,000 per year. This translates into an annual project expenditure of Euro 54 per person or Rupees 4,212.[4] While we do not have a benchmark against which to judge whether this is efficient or not, the per capita expenditure may be contextualized by considering the size of the SHG groups supported by the project. As shown in Table 4,

[4]In mid-2013, the exchange rate was Rupees 78 to a Euro.

total group savings of MVMPC-SHGs in the project area in 2014 was around Rupees7,600 or Rupees 633 per member while the annual support provided by the project amounts to about Rupees4,212 per member.

With regard to effectiveness, the analysis presented above shows that in terms of the three project objectives, that is, strengthening of the SHG affiliated to MVMPC, greater access to government programs and building peace and trust we found limited differences between treatment and control groups. While MVMPC affiliated SHGs did record a 10 percent increase in members between 2012 and 2014, on all other outcomes that were evaluated there were no notable changes over time. Nor were there any statistically significant differences in terms of knowledge of and access to government programs. With regard to participation in and trust of other social groups, it did seem that treated households were more tolerant, however, this is not due to the project but due to differences in the religious composition of the treated and control households. The limited project effects combined with the annual project expenditure per SHG member (Rupees 4,212) and the size of the SHGs are measure by the average savings of a member in 2014 (Rupees 633), suggests that the allocation of project resources and the project approach needs to be reconsidered.

7. Concluding remarks

The paper assessed the impact of a project implemented by Jana Vikas and funded by Cordaid. The aim of the project was to strengthen a women's co-operative and the functioning of SHGs affiliated to it, to increase their access to government programs and to promote inter-caste/religious peace and harmony. The analysis relied on two rounds of data collected in 2012 and 2014 and a comparison between the functioning of SHGs affiliated to the co-operative and SHGs affiliated to a government program.

The estimates are robust to variations in control group and the year of evaluation. The main findings are that over time there has been a ten percent increase in the membership of SHGs affiliated to the co-operative and that there are no statistically discernible differences in economic or social

outcomes across treated and control households which may be attributed to the intervention. In short, the affiliation of a self-help group to a non-governmental organization supported by the project or to a government program has no bearing on economic outcomes or social attitudes.

The project was set up in the aftermath of inter-community riots which disproportionately affected MVMPC and SHGs affiliated to it and the evaluation took place about 4 to 6 years after the violence, hence, it is possible that the zero project effect may be due to the timing of the evaluation which took place after gaps had already been bridged. It may well have been that there were differences between the economic circumstances of MVMPC-SHG households and households belonging to other SHGs in the initial years but this is no longer the case.

Overall, the project had a focused approach (limited to 5 blocks/Panchayats) and given the difficult circumstances preceding the project the focus on peace building and harmony and strengthening of the MVMPC was clearly justified. However, based on the results presented above it seems that at the moment there is no difference in the effectiveness of SHGs affiliated with MVMPC or whether affiliated with government programs, at least in terms of the outcomes considered above. This suggests that future editions of the project should reconsider whether resources need to be spent on peace building activities or whether greater attention should be paid to the traditional activities expected to be carried out by self-help groups.

Table 1
Descriptive Statistics – Means and testing for differences in means (2012)

Variable	Total	Treatment	Control 1	$\overline{X_t} = \overline{X_c}$ p-values
Socio-economic characteristics				
Illiterate, household head (%)	42.6	45.8	36.5	0.030
Primary education, completed, household head (%)	24.2	22.7	27.0	0.246
Upper primary education, completed, household head (%)	11.3	12.0	10.0	0.472
Secondary education, completed, household head (%)	7.6	5.9	11.0	0.027
Senior secondary, completed, household head (%)	1.7	1.9	1.5	0.749
House type, flooris *katcha* (%)	65.5	66.5	65.1	0.730
House type, roof is *katcha* (%)	53.7	52.0	57.0	0.253
House type, wall is *katcha* (%)	61.9	61.3	63.0	0.695
Self-employed in non-agriculture	13.7	11.4	18	0.03
Non-agriculture labour	54.6	55.4	53	0.57
Self-employed in agriculture	19.6	20.5	18	0.47
Demographic characteristics				
Gender of household head	.866	0.858	0.88	0.475
Age of household head	46.2	47.6	43.6	0.000
Number of males in household	2.30	2.36	2.20	0.080
Number of females in household	2.35	2.35	2.34	0.947
Household size	4.65	4.71	4.53	0.242
Infrastructure				
Primary source of energy for cooking – firewood	98.2	97.6	99.5	0.097
Primary source of lighting – electricity (grid)	64.2	69.6	54.0	0.002
Primary source of water – open well	72.7	72.8	72.5	0.938
Type of toilet – open defecation	96.7	97.8	94.5	0.031
Religion (%)				
Hindu	85.9	81.1	95.1	0.000
Christian	18.9	18.9	4.0	0.000
Caste (%)				
Scheduled tribe	52.5	51.7	54.0	0.610
Scheduled caste	18.4	16.0	23.0	0.039
Other backward classes	19.3	18.6	20.5	0.596
N	575	375	200	

Table 2
Descriptive Statistics – Means and testing for differences in means (2012)

Variable	Total	Treatment	Control 2	$\overline{X_t} = \overline{X_c}$ p-values
Socio-economic characteristics				
Illiterate, household head (%)	42.6	45.8	45.5	0.933
Primary education, completed, household head (%)	24.2	22.7	26.5	0.306
Upper primary education, completed, household head (%)	11.3	12.0	10.5	0.592
Secondary education, completed, household head (%)	7.6	5.9	5.0	0.666
Senior secondary, completed, household head (%)	1.7	1.9	1.5	0.749
House type, floor is *katcha* (%)	65.5	66.5	79.0	0.001
House type, roof is *katcha* (%)	53.7	52.0	66.0	0.043
House type, wall is *katcha* (%)	61.9	61.3	76.5	0.001
Self-employed in non-agriculture	13.7	11.4	13.0	0.590
Non-agriculture labour	54.6	55.4	47.5	0.068
Self-employed in agriculture	19.6	20.5	30.0	0.011
Demographic characteristics				
Gender of household head	.866	0.858	0.88	0.475
Age of household head	46.2	47.6	45.2	0.020
Number of males in household	2.30	2.36	2.22	0.160
Number of females in household	2.35	2.35	2.45	0.382
Household size	4.65	4.71	4.66	0.733
Infrastructure				
Primary source of energy for cooking – firewood	98.2	97.6	100	0.027
Primary source of lighting – electricity (grid)	64.2	69.6	72.5	0.468
Primary source of water – open well	72.7	72.8	66.0	0.089
Type of toilet – open defecation	96.7	97.8	98.5	0.598
Religion (%)				
Hindu	85.9	81.1	97.0	0.000
Christian	18.9	18.9	0.04	0.000
Caste (%)				
Scheduled tribe	52.5	51.7	55.0	0.456
Scheduled caste	18.4	16.0	22.5	0.055
Other backward classes	19.3	18.6	20.0	0.699
N	575	375	200	

Table 3
Characterization and functioning of the Self-Help Groups (2012)

Variable	Total	Affiliated to Jana Vikas/MVMPC	Affiliated to Government (ICDS)	$\overline{X_t} = \overline{X_c}$ p-values
Group level – information gathered from office				
Number of members of SHG group	11.5	11.1	12.0	0.000
Duration of existence of SHG group	6.86	7.77	5.71	0.000
Group savings (Rupees)	11,132	6,396	17,203	0.000
Total outstanding loans (Rupees)	19,054	8,352	32,520	0.000
Numbers of members in each group who have taken a loan	6	5	8	0.000
Experienced delays in servicing/repaying loans (%)	25	21	29	0.000
Individual level – information gathered from individual				
Number of years as member of a SHG	6.29	6.89	5.49	0.000
SHG group meets once per month	90.5	88.2	93.5	0.000
Usually how many members attend	10.5	10	11	0.000
Proportion of members with outstanding loans	29.7	19.7	39.5	0.000
Amount of loan conditional on borrowing - Rupees (N=202)	4,435	3,216	5,234	0.000
	484-716	268-407	216-309	

Table 4
Characterization and functioning of the Self-Help Groups (2014)

Variable	Total	Affiliated to Jana Vikas/MVMPC	Affiliated to Government (ICDS)	$\overline{X_t} = \overline{X_c}$ p-values
Group level – information gathered from office				
Number of members of SHG group	12.1	12.1	12.1	0.949
Group savings (Rupees)	14,393	6,943	22,348	0.000
Total outstanding loans (Rupees)	19,019	7,616	31,197	0.000
Numbers of members in each group who have taken a loan	3	2	4	0.000
Experienced delays in servicing/repaying loans (%)	19	18	20	0.419
Individual level – information gathered from individual				
SHG group meets once per month	86	84	88	0.094
Usually how many members attend	10.9	10.6	11.3	0.003
Proportion of members with outstanding loans	23.4	13.3	33.1	0.000
Amount of loan conditional on borrowing - Rupees (N=173)	6,721	3,848	7,955	0.000
	728-730	377	351-353	

Table 5
Means and effect of treatment on economic outcomes using first round survey (2012)

Variable	Treatment	Control 1	Control 2	Treatment effect vs Control 1[a] (p-value)	Treatment effect vs Control 1[b] (p-value)	Treatment effect vs. Control 2[a] (p-value)	Treatment effects vs. Control 2[b] (p-value)
Economic Outcomes							
Average monthly expenditure in past one year (Rupees)	2452	2325	2320	126.8 (0.275)	77.4 (0.473)	131.4 (0.219)	48.82 (0.520)
Average monthly savings in past one year (Rupees)	145	122	92	22.7 (0.510)	-0.147 (0.997)	53.2 (0.114)	32.7 (0.34)
N	375	200	200	575	575	575	575

Notes: [a] No control variables; [b] Control variables include a range of variables to control for socio-economic differences across households, (see Table 1), demographic characteristics, religion and caste.

Table 6
Means and effect of treatment on economic outcomes using second round survey (2014)

Variable	Treatment	Control 1	Control 2	Treatment effect vs Control 1[a] (p-value)	Treatment effect vs Control 1[b] (p-value)	Treatment effect vs. Control 2[a] (p-value)	Treatment effects vs. Control 2[b] (p-value)
Economic Outcomes							
Average monthly expenditure in past one year (Rupees)	3047	3117	2792	-70.0 (0.716)	255.1 (0.133)	-217 (0.253)	215.1 (0.192)
Average monthly savings in past one year (Rupees)	252	230	212	22.1 (0.616)	39.5 (0.376)	16.2 (0.725)	41.7 (0.371)
N	375	200	200	575	575	575	575

Table 7
Means and effect of treatment on participation and social attitudes using first round survey (2012)

Variable	Treatment (1)	Control 1 (2)	Control 2 (3)	Treatment effect vs. Control 1[a] (p-value) (4)	Treatment effect vs Control 1[b] (p-value) (5)	Treatment effect vs Control 2[a] (p-value) (6)	Treatment effects vs Control 2[b] (p-value) (7)
Participation in inter-religious/caste activities (last one year)							
Participation in inter-religious/inter-caste sporting activities (%)	5.06	9	4.5	-0.0393	-0.050	0.005	-0.003
				(0.0673)	(0.025)	(0.764)	(0.857)
Participation in international peace day celebrations (%)	8.5	6	7	0.025	0.019	0.015	0.005
				(0.277)	(0.433)	(0.519)	(0.819)
Participated in Ambedkar Jayanti celebrations (%)	8	7	6.5	0.01	-0.005	0.015	-0.005
				(0.668)	(0.828)	(0.515)	(0.833)
Social attitudes							
Willing to eat meals with members of other castes/religions (%)	23	14	13.5	0.089	0.018	0.094	0.035
				(0.010)	(0.576)	(0.006)	(0.268)
Willing to attend marriage ceremonies of other castes/religions (%)	36	26	25.5	0.097	0.058	0.102	0.051
				(0.017)	(0.144)	(0.012)	(0.195)
If alone, I am scared if approached by members of others castes/religions during the day (%)	38	31	20.5	0.074	0.063	17.9	0.143
				(0.078)	(0.150)	(0.000)	(0.001)
Oppose conversion (%)	90	90	92.5	0.000	-0.011	0.024	0.000
				(0.959)	(0.667)	(0.348)	(0.988)
I am willing to live next to families from other castes/religions (%)	19	16	5.5	0.026	0.001	0.132	0.078
				(0.426)	(0.974)	(0.000)	(0.007)
N	375	200	200	575	575	575	575

Notes: [a] No control variables; [b] Control variables include a range of variables to control for socio-economic differences across households, (see Table 1), demographic characteristics, religion and caste.

Table 8
Means and effect of treatment on participation and social attitudes outcomes using second round survey (2014)

Variable	Treatment (1)	Control 1 (2)	Control 2 (3)	Treatment effect vs. Control 1[a] (p-value) (4)	Treatment effect vs Control 1[b] (p-value) (5)	Treatment effect vs. Control 2[a] (p-value) (6)	Treatment effects vs. Control 2[b] (p-value) (7)
Participation in inter-religious/caste activities (last one year)							
Participation in inter-religious/inter-caste sporting activities (%)	3.7	3	0.5	0.007 (0.648)	0.010 (0.540)	0.032 (0.021)	0.031 (0.031)
Participation in international peace day celebrations (%)	7.4	5	2	0.024 (0.257)	0.014 (0.532)	0.054 (0.006)	0.043 (0.037)
Participated in Ambedkar Jayanti celebrations (%)	4	3.5	1.5	0.005 (0.767)	0.006 (0.704)	0.025 (0.101)	0.027 (0.089)
Social attitudes							
Willing to eat meals with members of other castes/religions (%)	13.6	17	13	-0.034 (0.275)	-0.052 (0.094)	0.006 (0.841)	-0.028 (0.397)
Willing to attend marriage ceremonies of other castes/religions (%)	42.9	41.5	38	0.014 (0.740)	-0.043 (0.316)	0.049 (0.127)	-0.024 (0.563)
If alone, I am scared if approached by members of others castes/religions during the day (%)	24.8	31	43.5	-0.062 (0.111)	-0.070 (0.084)	-0.187 (0.000)	-0.203 (0.000)
Oppose conversion (%)	89	90	90	0.007 (0.798)	0.001 (0.959)	0.007 (0.798)	-0.009 (0.743)
I am willing to live next to families from other castes/religions (%)	38.9	35.5	37.5	3.4 (0.209)	0.018 (0.671)	0.014 (0.737)	-0.023 (0.591)
N	375	200	200	575	575	575	575

Notes: [a] No control variables; [b] Control variables include a range of variables to control for socio-economic differences across households, (see Table 1), demographic characteristics, religion and caste.

Table 9

Statement (How much do you agree with the following statements?)	Score 1 = not at all 10 = completely
The project was well designed	8
The project was implemented as designed	6
The project reached all its objectives	6
The observed results are attributable to the project interventions	6
The observed results are relevant to the project beneficiaries	8
The project was implemented efficiently	6

Endline report – India, Jana Vikas MFS II country evaluations

Capacity of Southern Partner Organisations (5C) component

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This report presents the findings of the endline of the evaluation of the organisational capacity component of the MFS II country evaluations. The focus of this report is India, Jana Vikas. The format is based on the requirements by the synthesis team and NWO/WOTRO. The endline was carried out in 2014. The baseline was carried out in 2012.

Key words: 5C (five core capabilities); attribution; baseline; causal map; change; CFA (Co-financing Organisation) endline; organisational capacity development; SPO (Southern Partner Organisation).

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The India 5C evaluation team

List of abbreviations and acronyms

5 C	Capacity development model which focuses on 5 core capabilities
ASHA	Accredited Social Health Activist
AWW	Aganwadi workers
BDO	Block Development Officer
Causal map	Map with cause-effect relationships. See also 'detailed causal map'.
Causal mechanisms	The combination of parts that ultimately explains an outcome. Each part of the mechanism is an individually insufficient but necessary factor in a whole mechanism, which together produce the outcome
CDI	Centre for Development Innovation, Wageningen UR
CFA	Co-Financing Agency
CRS	Catholic Relief Services
Detailed causal map	Also 'model of change'. the representation of all possible explanations – causal pathways for a change/ outcome. These pathways are that of the intervention, rival pathways and pathways that combine parts of the intervention pathway with that of others. This also depicts the reciprocity of various events influencing each other and impacting the overall change. In the 5C evaluation identified key organisational capacity changes and underlying reasons for change (causal mechanisms) are traced through process tracing (for attribution question).
DWO	District Welfare Officer
EPF	Employee Provident Fund
General causal map	Causal map with key organisational capacity changes and underlying reasons for change (causal mechanisms), based on SPO perception.
GRS	Gram Rozgar Sevak Sanghas
ICDS	Integrated Child Development Services
IDEAL	Institute for Development Education and Learning
IDEI	International Development Enterprise India
IDF	India Development Foundation
IGSSS	Indo-Global Social Service Society
ITDA	Indian Tribal Development Association
JV	Jana Vikas
LIC	Life Insurance Corporation
MCDs	Minority Concentrated Districts
M&E	Monitoring and Evaluation
MFS	Dutch co-financing system
MIS	Management Information System
MNREGA	Mahatma Gandhi National Rural Employment Gurantee Act
MoMa	Ministry of Minority Affairs
NAWO	National Alliance of Women
NFI	National Foundation for India
NGO	Non-Governmental Organisation
OD	Organisational Development
PAG	Phulbani Action Group
PME	Planning, Monitoring and Evaluation
Process tracing	Theory-based approach to trace causal mechanisms
SGSY	Swarnjayanti Gram Swarozgar Yajona
SPO	Southern Partner Organisation
SSI	Semi-structured Interview
ToC	Theory of Change
VLW	Village Level Workers
Wageningen UR	Wageningen University & Research centre

1 Introduction & summary

1.1 Purpose and outline of the report

The Netherlands has a long tradition of public support for civil bi-lateral development cooperation, going back to the 1960s. The Co-Financing System (*Medefinancieringsstelsel*, or 'MFS') is its most recent expression. MFS II is the 2011-2015 grant framework for Co-Financing Agencies (CFAs), which is directed at achieving a sustainable reduction in poverty. A total of 20 consortia of Dutch CFAs have been awarded €1.9 billion in MFS II grants by the Dutch Ministry of Foreign Affairs (MoFA).

The overall aim of MFS II is to help strengthen civil society in the South as a building block for structural poverty reduction. CFAs receiving MFS II funding work through strategic partnerships with Southern Partner Organisations.

The MFS II framework stipulates that each consortium is required to carry out independent external evaluations to be able to make valid, evaluative statements about the effective use of the available funding. On behalf of Dutch consortia receiving MFS II funding, NWO-WOTRO has issued three calls for proposals. Call deals with joint MFS II evaluations of development interventions at country level. Evaluations must comprise a baseline assessment in 2012 and a follow-up assessment in 2014 and should be arranged according to three categories of priority result areas as defined by MoFA:

Achievement of Millennium Development Goals (MDGs) & themes;

Capacity development of Southern partner organisations (SPO) (5 c study);

Efforts to strengthen civil society.

This report focuses on the assessment of capacity development of southern partner organisations. This evaluation of the organisational capacity development of the SPOs is organised around **four key evaluation questions**:

1. What are the changes in partner organisations' capacity during the 2012-2014 period?
2. To what degree are the changes identified in partner capacity attributable to development interventions undertaken by the MFS II consortia (i.e. measuring effectiveness)?
3. Were the efforts of the MFS II consortia efficient?
4. What factors explain the findings drawn from the questions above?

The purpose of this report is to provide endline information on one of the SPOs involved in the evaluation: Samarthak Samiti in India. The baseline report is described in a separate document.

Chapter 2 describes general information about the Southern Partner Organisation (SPO). Here you can find general information about the SPO, the context in which the SPO operates, contracting details and background to the SPO. In chapter 3 a brief overview of the methodological approach is described. You can find a more detailed description of the methodological approach in appendix 1.Chapter 4 describes the results of the 5c endline study. It provides an overview of capacity development interventions of the SPO that have been supported by MFS II. It also describes what changes in organisational capacity have taken place since the baseline and why (evaluation question is 1 and 4). This is described as a summary of the indicators per capability as well as a general causal map that provides an overview of the key organisational capacity changes since the baseline, as experienced by the SPO. The complete overview of descriptions per indicator, and how these have changed since the baseline is described in appendix 3. The complete visual and narrative for the key organisational capacity changes that have taken place since the baseline according to the SPO staff present at the endline workshop is presented in appendix 4.

Chapter 5 presents a discussion on the findings and methodology and a conclusion on the different evaluation questions.

The overall methodology for the endline study of capacity of southern partner organisations is coordinated between the 8 countries: Bangladesh (Centre for Development Studies, University of

Bath; INTRAC); DRC (Disaster Studies, Wageningen UR); Ethiopia (CDI, Wageningen UR); India (CDI, Wageningen UR: Indonesia (CDI, Wageningen UR); Liberia (CDI, Wageningen UR); Pakistan (IDS; MetaMeta); Uganda (ETC). Specific methodological variations to the approach carried out per country where CDI is involved are also described in this document.

This report is sent to the Co-Financing Agency (CFA) and the Southern Partner Organisation (SPO) for correcting factual errors and for final validation of the report.

1.2 Brief summary of analysis and findings

Over the last two years JV has slightly improved in its capability to act and commit. The main improvements were that the director is more responsive to field staff, to target groups and involves staff more in strategic planning. Clarity on roles and responsibility, financial incentives and funding procedures also improved. In the capability to adapt and self-renew JV improved slightly as they now have an operational PME unit (funded by Cordaid), the PME policy has been revised, staff increase PME skills, M&E findings are used for operations, there is more critical reflection and JV is more responsive to stakeholders. In terms of the capability to deliver on development objectives, there has been a very slight improvement because JV works more cost-effectively and has a better feedback mechanism for meeting beneficiaries needs. In the capability to relate, JV showed improvement: they are more open for input from stakeholders for developing their strategies, networks for resource mobilisation improved, relationship with target groups improved and internally they are organised in a more clear and less hierarchical way. Finally, JV slightly improved in its capability to achieve coherence because they revised their strategic plan and HR, Finance and Gender policies were approved by the board.

The evaluators considered it important to also note down the SPO's perspectives on the most important organisational capacity changes since the baseline. During the endline workshop the key organisational capacity changes that were brought up by JV's staff were: improved networking with government, NGOs and CBOs; and improved systems of programme monitoring in place. It is expected that both these areas will contribute to improve its capacity for resource mobilisation. Improved networking with government, NGOs and CBOs was because of building of a trust relationship with the government after the cyclone in October 2013, and because of JV's involvement in the REHNUMA alliance with other NGO and CBO partners. Both of these developments can be attributed to JV's improved capacity to lobby and advocate on government entitlements which was a result of trainings and exposure visits funded by MFS II and MISEREOR. The systems of programme monitoring in place improved because of an accountability mechanism that is now in place, improved PME and better compliance. According to JV staff, improved PME is due to MFS II funded trainings on RBM, PME, strategic planning and SHG management. JV improved its compliance to its operational guidelines because of the revision of operational policies and the formation of thematic committees to see to the implementation of policies. The policies were revised during a Policy development workshop that was funded by MFS II. All in all, MFS II funded capacity development interventions, according to JV, had an effect on the organisation's capacity to lobby and advocate on government entitlements, knowledge on RBM and PME; and revision of policies. Other underlying factors relate to restructuring of the organisation, and stricter government policies on foreign funding, changing donor priorities and natural calamities.

2 General Information about the SPO – Jana Vikas

2.1 General information about the Southern Partner Organisation (SPO)

Country	
Consortium	Communities of Change
Responsible Dutch NGO	Cordaid
Project (if applicable)	India People's Participation in Development through coop management CMDRR Pilot Study Kandhamal (Orissa) People's Participation in Community Development
Southern partner organisation	Jana Vikas

The project/partner is part of the sample for the following evaluation component(s):

Achievement of MDGs and themes	
Capacity development of Southern partner organisations	X
Efforts to strengthen civil society	

2.2 The socio-economic, cultural and political context in which the partner operates

Jana Vikas works in Kandhamal district one of the most backward and tribal dominated districts of Odisha inhabited by dalits, tribals, and other backward communities. It is committed to inform, empower, and uplift these communities through sustainable livelihood programmes, social values, peace, social justice and harmony. It receives MFS II funding for the project 'Sustainable Livelihood enhancement of SHGs through people's participation in community development' to create sustainable livelihood for the poor and marginalised by capacitating SHGs and strengthening the communities.

Kandhamal[1] was governed by various royal dynasties since 10th century till the advent of British East India Company in 1830 to this region. With the formation of the new province of Odisha in 1936 Kandhamal (then called Boudh and Kandhamal) was merged with Odisha from the erstwhile Madras Presidency of British India.

In the present context, Kandhamal is among the most backward districts of the 69 identified most backward districts of India having a population of 7.33 lakhs (2011 census). Almost 66% of the land area of the district is covered with dense forest and towering mountains. As per the 2011 census report Scheduled Tribe population of Kandhamal consists of 53.6% and rest belongs to Scheduled caste, other backward castes and general category. Average literacy rate as per 2011 census is 64.13% out of which male and female literacy were 78.41 and 52.46 respectively.

Socio-economic condition: Kandhamal is a tribal majority district inhabited by the Kandha tribe. The inhabitants have rich cultural values and practices since centuries, maintaining their identity over ways of resolving village disputes over marriage and divorce, land ownership and distribution of resources. The tribal groups suffer due to various common causes such as poverty, exploitation,

[1] Hills of the Konds (a predominant tribal community)

health hazards, diseases etc., therefore they help each other to resolve the problems. However, addiction to illicit liquor, HIV/AIDS, human trafficking, migration, political parties who have often see the tribal problem from the point of view of their religious practices over addressing their developmental needs, are major threat to the cultural norms of the people.

With the advance of Christian mission in Kandhamal, part of its population converted into Christianity. This led to a rise in Hindu fundamentalism as a counter to the Christian movement. Unfortunately, the communal flares during and aftermath of the riots of 2008 gripped the entire district which disturbed the socio-economic condition of the people at large. However, over the years the situation has slightly improved and peace gradually restored in the region.

Agriculture is the Primary occupation of the people and backbone of their economy. In the tribal dominated areas before the implementation of the British land laws community owned all the land. But these laws recognised only individual land ownership and turned all community owned land into state property. With that, the tribals became encroachers on the land that was their habitat for centuries.

The rich and varied forests of the district have a considerable NTFP (Non-Timber Forest Products) potential. Although Kandhamal is enriched with forest based products but NTFP are still not optimally used for livelihood. Even there is no data or plan available at panchayat level to use NTFP. Further data shows that out of 100 workers, 69 of them are agricultural workers. Kandhamal has good production of turmeric but the major portion of profit has been taken by middlemen as there are not much facilities for marketing the final product. Due to lack of information and knowledge of different programmes, farmers are not able to tap various govt. schemes and benefits from different institutions like NABARD, Horticulture dept. etc.

The source of economy in Kandhamal is mainly agricultural or forest based. It has been declared as an industry-free district and the state has not acquired much land for development projects. Therefore, the majority of youth migrate for employment towards other states. When they migrate, youth earn more than they would at home, but at the same time they are often exploited by employers or contractors. Furthermore, their aspirations are largely for government jobs but due to lack of skills, higher education forces them to work as casual or unskilled or daily wage labour.

The scope of the public sector is very limited to provide employment opportunities to a large section of unemployed persons in the district. However, over the years various employment-generating programmes such as the Prime Minister Rozgar Yozona scheme, the Swarnjayanti Gram Swarozgar Yajona (SGSY) scheme, MNREGA etc., are implemented in the district to generate self/wage/salary employment for the unemployed youths. The benefits of the employment generating programmes are often not delivered to the people due to manipulations, delays and corrupt practices, etc.

Health Status: The infant mortality rate is (88 per 1000 live births). Female child mortality rate (106 per 1000 live births) is higher than male child (76 per 1000 live birth). The neo-natal death is 41 per 1000 live births.[2] Kandhamal has a high incidence of IMR, CMR, malaria, diarrhoea, measles, skin diseases, sickle cell disease and thalassemia. In terms of the Reproductive Health Index (RHI), it is among the bottom five districts (at 0.462).[3] The district has been categorized under high focus districts of Odisha, having the privilege of getting priority in almost all health care planning, resource allocation and service delivery mechanism undertaken by the State. However, accessing health is still an issue due to remoteness and inaccessibility of the region and also lack of awareness among people.

Education: Though educational status has improved compared to previous years, but most of the children dropped out either after finishing 10th standard or 12 standards due to poor affordability on of higher education, non-availability of educational institutions, and poor economic conditions forcing them to go for work. Girl child education is a concern as they largely get dropped out at secondary and higher secondary level.

[2] http://www.censusindia.gov.in/vital_statistics/AHSBulletins/files2012/Odisha_Bulletin%202011-12.pdf
[3] District Human Development Report 2011-12.

Women in governance: Lack of participation of women in governance from this region has remained an issue. Increase in attendance of women in meetings of Gram Sabha and Palli Sabha could not ensure their active participation in governance.

Jana Vikas' operational area is the Phiringia Block in Kandhamal district, which is further backward in every aspect in comparison to the other Blocks in the district.

Considering the above mentioned situation, Jana Vikas is committed to uplift the poor and marginalized communities by informing, organizing, developing and empowering through strengthening the cooperatives to take up micro enterprises management, generating awareness among women, and capacity building of progressive groups and providing Handholding support-aiming at attainment of self-reliance of the progressive members.

2.3 Contracting details

When did cooperation with this partner start: 1998

What is the MFS II contracting period: the following contracts fall under MFSII:

- India People's Participation in Development through coop management: 1 May 2010-30 April 2013 (funded under MFS II from 1 January 2011-30 April 2013)
- CMDRR Pilot Study Kandhamal (Orissa): 1 August 2012 to 31 January 2013
- People's Participation in Community Development 01-05-2013 to 30-04-2015

Did cooperation with this partner end? No

If yes, when did it finish? NA

What is the reason for ending the cooperation with this partner: NA

If not, is there an expected end date for the collaboration? 30 April 2015, there is no expected collaboration after this date.

2.4 Background to the Southern Partner Organisation

Jana Vikas has been committed for self-sustainable development of the poor and marginalized social ethnic groups such as Dalit, Advasi and Other Backward Communities of Kandhamal district in Odisha. Father Augustine founded Jana Vikas in 1988 and became its Director. It was a project of Catholic Charities focusing on basic amenities for all communities. Efforts were also made to identify the needs of local communities in relation to livelihoods and health. The focus was on creating access to government schemes for the tribals.

Under Catholic Charities, the organization started its community based activities with Community Health programme in the year 1988, in 30 villages of Sonepur and Tajungi Gram Panchayat of Daringabadi Block. This project was funded by MISEREOR (Germany). The programme focused on health education, creating awareness, environmental management and sanitation. Jana Vikas targeted the schools for its messages, along with a strategic cluster level approach to build awareness amongst the communities.

In 1992, the organisation got registered as Jana Vikas under the Societies Registration Act. Its strategy changed to Education and Health. In Education the focus was on non-formal teachers. Under health, induction of health workers and medicine kits for common diseases were introduced. There was also the initiative to promote and make available generic drugs which were much cheaper than the ones available in bigger towns. The target continued to be the schools. The program was expanded to Daringbadi, Nuagam & Baliguda.

In 1995, Jana Vikas started its work with Panchayati Raj Institutions. Leadership trainings were carried out at village level. Some of these leaders were successful in Panchayat elections. It was also seen as a failure because women complained that the new Panchayat leaders were demanding money.

1996 marked the beginning of the cooperative movement in Kandhamal district. A poverty analysis carried out in the area which prompted the initiative of forming cooperatives. The SHGs began trading in consumer goods. Cooperatives were mainly concentrated in Daringbadi. In 1997 Jana Vikas support to SHGs hit a major milestone. The cooperatives made profits worth 18%. A central godown (warehouse) was also established. Cooperatives were formed in new areas. Cooperatives bought at wholesale rates and sold consumer goods to local communities. At the same time, stealing from the godown started. This brought crisis in the Coopeartive management.

In 1998, a major strategic shift took place. The cooperatives were closed after evaluation and the conclusion that it was too risky for the godown to be managed by cooperatives.

In 1999, SHGs started getting women together. Mahila Vikas cooperative started during this year. In this, the women were involved in sales of products. Seeds worth of INR 3000 for cultivating turmeric were given to the SHGs. Sales were managed through wholesalers; there was no investment made by Jana Vikas on this. These SHGs played a vital role in protecting people from the exploitation of the local business traders and dominant section of the society. It created jobs and contributed in economic growth of the society. Over the years two more cooperatives were registered such as, Vikas Jyoti Multi-purpose Cooperative Ltd, Jeeban Vikas Multi-purpose Cooperative Ltd. Jana Vikas facilitates these cooperatives for regular meetings, business planning, getting loan for investment in various Income Generation Activities (IGA).

In 1999 Odisha faced the wrath of Super Cyclone and large scale devastation on life and property. Catholic Charities and Jana Vikas' focus became relief and rehabilitation. The strategy was to cover health, education and livelihoods through SHGs. An evaluation was conducted by CENDERET. CORDAID consortium (MEMISA as founding member of the consortium) wanted to fund projects. The key influencing factors were the CENDERET evaluation and Paul Shiromani's analysis which brought about a strategic shift on the part of donors. He recommended shifting base from Nuagam to Phulbani.

In 2000, Jana Vikas initiated an issue based movement and began creating awareness starting with bidis (hand rolled smoking tobacco), roads etc. ICDS (Integrated Child Development Service) Centre, evening schools and low cost housing for tribal children were initiated. These were joint programs by Government and Jana Vikas. Social analysis approach started which enabled communities to identify their own issues and problems.

Fr. Ajay joined Jana Vikas as Assistant Director in year 2001 and took over as Director of Catholic Charities in 2005. He started with an analysis of poverty indicators of Kandhamal. He found the health indicators to be very low. Phiringia (where 90% were non-Christians) had an inclusive approach. Phulbani Action Group (PAG) was created. The strategy focused on Management of SHGs/Cooperatives. Jana Vikas at that time had a team of 4 people.

In 2004 the Orissa Human Development report showed Kandhmal had lowest indicators. Its population below the poverty line had increased from 71 per cent in 1975 to 75 per cent in 1993. There was an increasing trend of deterioration. Jana Vikas developed strategies to focus on building self-reliant cooperatives to strengthen the livelihood of the people. Staff strength was increased to 19.

In 2005, the first strategic planning process for Jana Vikas was carried out. In this strategy programmes included were Livelihoods, governance & strengthening people's movements, promoting SHGs, awareness of rights and responsibilities, Human Rights, implementation of government programs, Watershed project with people's participation, creating micro enterprise models, market linkages with IDE support (CORDAID) with focus on turmeric. There was also a move to explore export of turmeric. Staff strength was increased to 36.

2007-2010 - Father Ajay's vision was to make Jana Vikas a professionally run organization. He initiated an analysis of organisation processes and organizational development process. An HR (Human Resources) manual was drafted along with a gender policy. New staff was recruited with new skills. The staff strength grew between 70-80. While Jana Vikas had embarked on strengthening the organization, tough challenges emerged in the field - governance had failed, Cooperatives were attacked, even by traders including non-Christian cooperatives as SHGs became a threat to local traders.

In 2008, there was an outbreak of communal violence between Hindu rights groups and Christians. Jana Vikas' documentation process got affected. The office was burnt. Normal development process

took a back seat. Most activities were stopped. Response with relief measures with NGOs was undertaken. Local government did not want dalit/tribal NGOs in relief operations. Committees were formed to carry out relief operations and others to look at human rights violations. Fr. Divya Parichha handled legal issues (from within the church). In 2009, there was resumption of activities. Interventions were designed through proper risk analysis.

In 2010, Fr Ajay and his successor Fr. Manoj took up confidence building measures by sleeping in the Phiringia office which had only two people. Then slowly other staff came back. Jana Vikas' intervened through relief/rehabilitation programmes. The cooperatives' activities remained suspended for almost a year. The members did not come forward for work. Exposure/trainings were carried out on Coop Management in Andhra Pradesh. Training on trauma counselling (NIMHANS) was also organized for staff and for their work. In this period Jana Vikas had gradually taken up various programmes included coordination between different needs of the community like health, livelihoods and legal aspects. During the year Jana Vikas made effort to re-settlement and rehabilitation of the displaced and riot affected people by providing emergency relief, trauma counselling and legal aid. In this year MFS II support came through the peace building project. This included peace in action activities like cultural programs, sports activities, street plays, as well as working with the government. It realised that understanding human and social capital is essential for development. Under this project Jana Vikas established Peace Committees to disseminate peace messages among the communities, promoted village task force to identify and resolve various issues in the villages, organized trainings on advocacy and lobbying for staff etc., to create harmony and bring development in the region.

Community Managed Disaster Risk Reduction (CMDRR) process was initiated. Disasters included human made disasters like conflicts and communal violence. Jana Vikas initiated study to understand conflict from a DRR perspective by talking to all stakeholders including district administration. NGOs have now applied for government funding for some projects. It is a conscious way to involve the government. Staff strength in 2012 stands at 82.

Jana Vikas in 2013 developed a specific strategy to engage with the government departments, participate in the government funded projects and programmes. This was linked to its strategy to niche out Jana Vikas's work beyond any religious affiliations. As a result Jana Vikas severed its ties with the Catholic charity and became an independent unit. Father Manoj took over as the new director of the Jana Vikas. Under his leadership Jana Vikas looks forward to bring overall development of the marginalised communities in the region through peace building, sustainable livelihood, empowerment of women, etc.

Since 2014 the National Foundation of India is funding Jana Vikas to implement the pilot project called REHNUMA. The objective of this project is to create entitlement centres to provide the minority communities with information and guidance on government entitlements and schemes of the government and give them handholding support to access these benefits. In 2014 the staff grew to 92.

In the changing local context and donor environment and surveillance over funding from foreign donors Jana Vikas made strategic change to continue to work for the development of the region.

In 2013 it drafted a new strategic plan for 2014-2018 focusing more towards sustainable livelihood, Educational development, governance women empowerment and peace building to empower the unreached people into the mainstreaming development process. Along with sustainable livelihood it initiate people centred advocacy for changing into humanitarian standard of policies, programs and provisions in favour of poor, indigenous and marginalized sections of the society. Also promotes human values, culture, peace, social justice and harmonization.

Vision

Jana Vikas visualises a holistic and sustainable society where people live in unity amidst diversity based on social and human values of justice and equity. (Source: Strategic plan 2014-2018)

Mission

Our mission is to sensitise, organise, enable, empower and develop the poor and the marginalized, especially the Adivasi, Dalit and OBCs, to respond to their issues, needs, problems, vulnerabilities and bring forth changes for common goal and interest by using their existing potential, strength and resources, through collective reflection, decision and action. (Source: Strategic plan 2014-2018)

Strategies (Source: Strategic plan 2014-2018)

Jana Vikas in its strategic plan for 2014-18 has emphasised to focus on 5 key programmes such as Livelihood Development, Education, Governance and rights, Women empowerment and violence against women, Peace building. It has developed specific strategies for each programme as follows:

Livelihood Development:

- Strengthening of optimal utilization of natural resources/forest product for sustainable livelihood.
- Enhancing productivity of agriculture and other allied component for sustainable livelihood.
- Enhancing the access & utilization of government schemes & resources for income enhancement.
- Employment generation for Youth & Women through Enterprise Development.
- Strengthening the youth for gainful & safe employment out of district.

Education:

- Facilitating CBOs and community to participate, monitor and demand for quality education
- Strengthening the School Management Committee and Janch (investigation) Committees of both residential and non-residential schools
- Prevention of dropout, education for Adivasi and Dalit and Girl child
- Facilitate to avail stipend (minority)
- Lobby with Church leadership for making availability of hostels for Adivasi and Dalit students for higher and professional studies
- Facilitate girls from minority communities to get the quota of 30% at KGVV
- Facilitating the students from SC, ST and minority to avail the benefit of free coaching scheme from Central Govt.

Governance and rights:

- Awareness building of community on different schemes, programmes and their rights and entitlements
- Capacity building of staff on good governance and entitlements of different target communities,
- Facilitate communities and CBOs to participate in Palli Sabha and Gram Sabha, improve capacities of community on conducting social audit
- Become active members of different committees at different levels and bring forth issues of governance and rights to the notice of officials and influence them to act upon the issues
- Facilitate the barefoot communicators to identify and document issues of miss-governance and non-fulfillment of rights and entitlement
- Link up the barefoot communicators with media to take up issues and highlight them

Women empowerment and violence against women:

- Awareness building of women and men on the issues affecting women
- Sensitization of youth on sexual harassment/abuse
- Link the victim with available legal and justice delivery bodies/systems
- Building networking and alliances with organizations working on women issues to influence policies and its implementation.
- Capacity building of Women PRI members on their roles and responsibilties, rights, powers & duties as a PRI.
- Strengthening women capacities for active participation in Palli Sabha, Gram Sabha, and in decision making bodies at gram panchayat, panchayat samiti and zila parishad (district council).

Peace building:

- Peace education in the schools, colleges, and villagers
- Celebration and observation of different important days, occasions, festivals to enhance harmony and brotherhood
- Organizing inter religious dialogue with intellectuals, religious leaders, influential persons

- Developing CBOs as peace messengers
- Building peace cadre involving youth from GP and block
- Activation of peace committee in village, panchayat, block and district level
- Engaging administration, politicians, PRI representatives, media and other influential people from different levels in the peace building process

3 Methodological approach and reflection

3.1 Overall methodological approach and reflection

This chapter describes the methodological design and challenges for the assessment of capacity development of Southern Partner Organisations (SPOs), also called the '5C study'. This 5C study is organised around **four key evaluation questions**:

1. What are the changes in partner organisations' capacity during the 2012-2014 period?
2. To what degree are the changes identified in partner capacity attributable to development interventions undertaken by the MFS II consortia (i.e. measuring effectiveness)?
3. Were the efforts of the MFS II consortia efficient?
4. What factors explain the findings drawn from the questions above?

It has been agreed that the question (3) around efficiency cannot be addressed for this 5C study. The methodological approach for the other three questions is described below. At the end, a methodological reflection is provided.

Note: this methodological approach is applied to 4 countries that the Centre for Development Innovation, Wageningen University and Research centre is involved in in terms of the 5C study (Ethiopia, India, Indonesia, Liberia). The overall approach has been agreed with all the 8 countries selected for this MFS II evaluation. The 5C country teams have been trained and coached on this methodological approach during the evaluation process. Details specific to the SPO are described in chapter 5.1 of the SPO report A detailed overview of the approach is described in appendix 1.

The first (changes in organisational capacity) and the fourth evaluation question are addressed together through:

- **Changes in the 5C indicators since the baseline:** standard indicators have been agreed upon for each of the five capabilities of the five capabilities framework (see appendix 2) and changes between the baseline, and the endline situation have been described. For data collection a mix of data collection methods has been used, including self-assessments by SPO staff; interviews with SPO staff and externals; document review; observation. For data analysis, the Nvivo software program for qualitative data analysis has been used. Final descriptions per indicator and per capability with corresponding scores have been provided.
- **Key organisational capacity changes – 'general causal map':** during the endline workshop a brainstorm has been facilitated to generate the key organisational capacity changes as perceived by the SPO since the baseline, with related underlying causes. For this purpose, a visual as well as a narrative causal map have been described.

In terms of the attribution question (2 and 4), **'process tracing'** is used. This is a theory-based approach that has been applied to a selected number of SPOs since it is a very intensive and costly methodology, although it provides rich information and can generate a lot of learning within the organisations. This approach was presented and agreed-upon during the synthesis workshop on 17-18 June 2013 by the 5C teams for the eight countries of the MFS II evaluation. A more detailed description of the approach was presented during the synthesis workshop in February 2014. The synthesis team, NWO-WOTRO, the country project leaders and the MFS II organisations present at the workshop have accepted this approach. It was agreed that this approach can only be used for a selected number of SPOs since it is a very intensive and costly methodology. Key organisational capacity changes/ outcomes of the SPO were identified, based on their relationship to the two selected capabilities, the capability to act and commit the capability to adapt and self-renew, and an expected relationship with CFA supported capacity development interventions (MFS II funding). It was agreed to

focus on these two capabilities, since these are the most targeted capabilities by the CFAs, as established during the baseline process.

Please find below an explanation of how the above-mentioned evaluation questions have been addressed in the 5C evaluation.

At the end of this appendix a brief methodological reflection is provided.

3.2 Assessing changes in organisational capacity and reasons for change - evaluation question 1 and 4

This section describes the data collection and analysis methodology for answering the first evaluation question: **What are the changes in partner organisations' capacity during the 2012-2014 period?** And the fourth evaluation question: **"What factors explain the findings drawn from the questions above?"**

In order to explain the changes in organisational capacity development between baseline and endline (evaluation question 1) the CDI and in-country evaluation teams needed to review the indicators and how they have changed between baseline and endline and what reasons have been provided for this. This is explained below. It has been difficult to find detailed explanations for changes in each of the separate 5c indicators, but the 'general causal map' has provided some ideas about some of the key underlying factors actors and interventions that influence the key organisational capacity changes, as perceived by the SPO staff.

The evaluators considered it important to also note down a consolidated SPO story and this would also provide more information about what the SPO considered to be important in terms of organisational capacity changes since the baseline and how they perceived these key changes to have come about. Whilst this information has not been validated with sources other than SPO staff, it was considered important to understand how the SPOs has perceived changes in the organisation since the baseline.

For those SPOs that are selected for process tracing (evaluation question 2), more in-depth information is provided for the identified key organisational capacity changes and how MFS II supported capacity development interventions as well as other actors, factors and interventions have influenced these changes. This is integrated in the next session on the evaluation question on attribution, as described below and in the appendix 1.

How information was collected and analysed for addressing evaluation question 1 and 4, in terms of description of changes in indicators per capability as well as in terms of the general causal map, based on key organisational capacity changes as perceived by the SPO staff, is further described below.

During the baseline in 2012 information has been collected on each of the 33 agreed upon indicators for organisational capacity. For each of the five capabilities of the 5C framework indicators have been developed as can be seen in Appendix 2. During this 5C baseline, a summary description has been provided for each of these indicators, based on document review and the information provided by staff, the Co-financing Agency (CFA) and other external stakeholders. Also a summary description has been provided for each capability. The results of these can be read in the baseline reports.

The description of indicators for the baseline in 2012 served as the basis for comparison during the endline in 2014. In practice this meant that largely the same categories of respondents (preferably the same respondents as during the baseline) were requested to review the descriptions per indicator and indicate whether and how the endline situation (2014) is different from the described situation in 2012[4].

[4] The same categories were used as during the baseline (except beneficiaries, other funders): staff categories including management, programme staff, project staff, monitoring and evaluation staff, field staff, administration staff; stakeholder categories including co-financing agency (CFA), consultants, partners.

Per indicator they could indicate whether there was an improvement or deterioration or no change and also describe these changes. Furthermore, per indicator the interviewee could indicate what interventions, actors and other factors explain this change compared to the baseline situation. See below the specific questions that are asked for each of the indicators. Per category of interviewees there is a different list of indicators to be looked at. For example, staff members were presented with a list of all the indicators, whilst external people, for example partners, are presented with a select number of indicators, relevant to the stakeholder.

The information on the indicators was collected in different ways:

1. **Endline workshop at the SPO - self-assessment and 'general causal map'**: similar to data collection during the baseline, different categories of staff (as much as possible the same people as during the baseline) were brought together in a workshop and requested to respond, in their staff category, to the list of questions for each of the indicators (self-assessment sheet). Prior to carrying out the self-assessments, a brainstorming sessions was facilitated to develop a 'general causal map', based on the key organisational capacity changes since the baseline as perceived by SPO staff. Whilst this general causal map is not validated with additional information, it provides a sequential narrative, based on organisational capacity changes as perceived by SPO staff;
2. **Interviews with staff members**: additional to the endline workshop, interviews were held with SPO staff, either to provide more in-depth information on the information provided on the self-assessment formats during the workshop, or as a separate interview for staff members that were not present during the endline workshop;
3. **Interviews with externals**: different formats were developed for different types of external respondents, especially the co-financing agency (CFA), but also partner agencies, and organisational development consultants where possible. These externals were interviewed, either face-to-face or by phone/Skype. The interview sheets were sent to the respondents and if they wanted, these could be filled in digitally and followed up on during the interview;
4. **Document review**: similar to the baseline in 2012, relevant documents were reviewed so as to get information on each indicator. Documents to be reviewed included progress reports, evaluation reports, training reports, etc. (see below) since the baseline in 2012, so as to identify changes in each of the indicators;
5. **Observation**: similar to what was done in 2012, also in 2014 the evaluation team had a list with observable indicators which were to be used for observation during the visit to the SPO.

Below the key steps to assess changes in indicators are described.

Key steps to assess changes in indicators are described

1. Provide the description of indicators in the relevant formats – CDI team
2. Review the descriptions per indicator – in-country team & CDI team
3. Send the formats adapted to the SPO to CFA and SPO – in-country team (formats for SPO) and CDI team (formats for CFA)
4. Collect, upload & code the documents from CFA and SPO in NVivo – CDI team
5. Organise the field visit to the SPO – in-country team
6. Interview the CFA – CDI team
7. Run the endline workshop with the SPO – in-country team
8. Interview SPO staff – in-country team
9. Fill-in observation sheets – in-country team
10. Interview externals – in-country team
11. Upload and auto-code all the formats collected by in-country team and CDI team in NVivo – CDI team
12. Provide to the overview of information per 5c indicator to in-country team – CDI team
13. Analyse data and develop a draft description of the findings per indicator and for the general questions – in-country team
14. Analyse data and develop a final description of the findings per indicator and per capability and for the general questions – CDI team
15. Analyse the information in the general causal map –in-country team and CDI-team

Note: the CDI team include the Dutch 5c country coordinator as well as the overall 5c coordinator for the four countries (Ethiopia, India, Indonesia, Liberia). The 5c country report is based on the separate SPO reports.

Please see appendix 1 for a description of the detailed process and steps.

3.3 Attributing changes in organisational capacity - evaluation question 2 and 4

This section describes the data collection and analysis methodology for answering the second evaluation question*: **To what degree are the changes identified in partner capacity attributable to (capacity) development interventions undertaken by the MFS II consortia*** **(i.e. measuring effectiveness)?** and the fourth evaluation question: **"What factors explain the findings drawn from the questions above?"**

In terms of the attribution question (2), 'process tracing' is used. This is a theory-based approach that has been applied to a selected number of SPOs since it is a very intensive and costly methodology, although it provides rich information and can generate a lot of learning within the organisations. Key organisational capacity changes/ outcomes of the SPO were identified, based on their relationship to the two selected capabilities, the capability to act and commit the capability to adapt and self-renew, and an expected relationship with CFA supported capacity development interventions (MFS II funding). It was agreed to focus on these two capabilities, since these are the most targeted capabilities by the CFAs, as established during the baseline process.

Below, the selection of SPOs for process tracing as well as the different steps involved for process tracing in the selected SPOs, are further explained.

3.3.1 Selection of SPOs for 5C process tracing

Process tracing is a very intensive methodology that is very time and resource consuming (for development and analysis of one final detailed causal map, it takes about 1-2 weeks in total, for different members of the evaluation team). It has been agreed upon during the synthesis workshop on 17-18 June 2013 that only a selected number of SPOs will take part in this process tracing for the purpose of understanding the attribution question. The selection of SPOs is based on the following criteria:

- MFS II support to the SPO has not ended before 2014 (since this would leave us with too small a time difference between intervention and outcome);
- Focus is on the 1-2 capabilities that are targeted most by CFAs in a particular country;
- Both the SPO and the CFA are targeting the same capability, and preferably aim for similar outcomes;
- Maximum one SPO per CFA per country will be included in the process tracing.

The intention was to focus on about 30-50% of the SPOs involved. Please see the tables below for a selection of SPOs per country. Per country, a first table shows the extent to which a CFA targets the five capabilities, which is used to select the capabilities to focus on. A second table presents which SPO is selected, and takes into consideration the selection criteria as mentioned above.

For the detailed results of this selection, in the four countries that CDI is involved in, please see appendix 1. The following SPOs were selected for process tracing:

- Ethiopia: AMREF, ECFA, FSCE, HUNDEE (4/9)
- India: BVHA, COUNT, FFID, SMILE, VTRC (5/10)
- Indonesia: ASB, ECPAT, PtPPMA, YPI, YRBI (5/12)
- Liberia: BSC, RHRAP (2/5).

3.3.2 Key steps in process tracing for the 5C study

In the box below you will find the key steps developed for the 5C process tracing methodology. These steps will be further explained here. Only key staff of the SPO is involved in this process: management; programme/ project staff; and monitoring and evaluation staff, and other staff that could provide information relevant to the identified outcome area/key organisational capacity change.

Those SPOs selected for process tracing had a separate endline workshop, in addition to the ' general endline workshop. This workshop was carried out after the initial endline workshop and the interviews during the field visit to the SPO. Where possible, the general and process tracing endline workshop have been held consecutively, but where possible these workshops were held at different points in time, due to the complex design of the process. Below the detailed steps for the purpose of process tracing are further explained. More information can be found in Appendix 1.

Key steps in process tracing for the 5C study

1. Identify the planned MFS II supported capacity development interventions within the selected capabilities (capability to act and commit and capability to adapt and self-renew) – CDI team
2. Identify the implemented MFS II supported capacity development interventions within the selected capabilities (capability to act and commit and capability to adapt and self-renew) – CDI team
3. Identify initial changes/ outcome areas in these two capabilities – CDI team & in-country team
4. Construct the detailed, initial causal map (theoretical model of change) – CDI team & in-country team
5. Identify types of evidence needed to verify or discard different causal relationships in the model of change – in-country teams, with support from CDI team
6. Collect data to verify or discard causal mechanisms and construct workshop based, detailed causal map (model of change) – in-country team
7. Assess the quality of data and analyse data and develop final detailed causal map (model of change) – in-country team with CDI team
8. Analyse and conclude on findings– CDI team, in collaboration with in-country team

3.3.3 Methodological reflection

Below a few methodological reflections are made by the 5C evaluation team. These can also be found in appendix 1.

Use of the 5 core capabilities framework and qualitative approach: this has proven to a be very useful framework to assess organisational capacity. The five core capabilities provide a comprehensive picture of the capacity of an organisation. The capabilities are interlinked, which was also reflected in the description of standard indicators, that have been developed for the purpose of this 5C evaluation and agreed upon for the eight countries. Using this framework with a mainly qualitative approach has provided rich information for the SPOs and CFAs, and many have indicated this was a useful learning exercise.

Using standard indicators and scores: using standard indicators is useful for comparison purposes. However, the information provided per indicator is very specific to the SPO and therefore makes comparison difficult. Whilst the description of indicators has been useful for the SPO and CFA, it is questionable to what extent indicators can be compared across SPOs since they need to be seen in context, for them to make meaning. In relation to this, one can say that scores that are provided for the indicators, are only relative and cannot show the richness of information as provided in the indicator description. Furthermore, it must be noted that organisations are continuously changing and scores are just a snapshot in time. There cannot be perfect score for this. In hindsight, having rubrics would have been more useful than scores.

General causal map: whilst this general causal map, which is based on key organisational capacity changes and related causes, as perceived by the SPO staff present at the endline workshop, has not been validated with other sources of information except SPO feedback, the 5C evaluation team considers this information important, since it provides the SPO story about how and which changes in the organisation since the baseline, are perceived as being important, and how these changes have come about. This will provide information additional to the information that has been validated when analysing and describing the indicators as well as the information provided through process tracing (selected SPOs). This has proven to be a learning experience for many SPOs.

Using process tracing for dealing with the attribution question: this theory-based and mainly qualitative approach has been chosen to deal with the attribution question, on how the organisational capacity changes in the organisations have come about and what the relationship is with MFS II

supported capacity development interventions and other factors. This has proven to be a very useful process, that provided a lot of very rich information. Many SPOs and CFAs have already indicated that they appreciated the richness of information which provided a story about how identified organisational capacity changes have come about. Whilst this process was intensive for SPOs during the process tracing workshops, many appreciated this to be a learning process that provided useful information on how the organisation can further develop itself. For the evaluation team, this has also been an intensive and time-consuming process, but since it provided rich information in a learning process, the effort was worth it, if SPOs and CFAs find this process and findings useful.

A few remarks need to be made:

- Outcome explaining process tracing is used for this purpose, but has been adapted to the situation since the issues being looked at were very complex in nature.
- Difficulty of verifying each and every single change and causal relationship:
  - Intensity of the process and problems with recall: often the process tracing workshop was done straight after the general endline workshop that has been done for all the SPOs.In some cases, the process tracing endline workshop has been done at a different point in time, which was better for staff involved in this process, since process tracing asks people to think back about changes and how these changes have come about. The word difficulties with recalling some of these changes and how they have come about. See also the next paragraph.
  - Difficulty of assessing changes in knowledge and behaviour: training questionnaire is have been developed, based on Kirkpatrick's model and were specifically tailored to identify not only the interest but also the change in knowledge and skills, behaviour as well as organisational changes as a result of a particular training. The retention ability of individuals, irrespective of their position in the organisation, is often unstable. The 5C evaluation team experienced that it was difficult for people to recall specific trainings, and what they learned from those trainings. Often a change in knowledge, skills and behaviour is a result brought about by a combination of different factors , rather than being traceable to one particular event. The detailed causal maps that have been established, also clearly pointed this. There are many factors at play that make people change their behaviour, and this is not just dependent on training but also internal/personal (motivational) factors as well as factors within the organisation, that stimulate or hinder a person to change behaviour. Understanding how behaviour change works is important when trying to really understand the extent to which behaviour has changed as a result of different factors, actors and interventions. Organisations change because people change and therefore understanding when and how these individuals change behaviour is crucial. Also attrition and change in key organisational positions can contribute considerably to the outcome.

Utilisation of the evaluation

The 5C evaluation team considers it important to also discuss issues around utility of this evaluation. We want to mention just a few.

Design – mainly externally driven and with a focus on accountability and standard indicators and approaches within a limited time frame, and limited budget: this MFS II evaluation is originally based on a design that has been decided by IOB (the independent evaluation office of the Dutch Ministry of Foreign Affairs) and to some extent MFS II organisations. The evaluators have had no influence on the overall design and sampling for the 5C study. In terms of learning, one may question whether the most useful cases have been selected in this sampling process. The focus was very much on a rigorous evaluation carried out by an independent evaluation team. Indicators had to be streamlined across countries. The 5C team was requested to collaborate with the other 5C country teams (Bangladesh, Congo, Pakistan, Uganda) to streamline the methodological approach across the eight sampled countries. Whilst this may have its purpose in terms of synthesising results, the 5C evaluation team has also experienced the difficulty of tailoring the approach to the specific SPOs. The overall evaluation has been mainly accountability driven and was less focused on enhancing learning for improvement. Furthermore, the timeframe has been very small to compare baseline information (2012) with endline information (2014). Changes in organisational capacity may take a long, particularly if they are related to behaviour change. Furthermore, there has been limited budget to carry out the 5C evaluation. For all the four countries (Ethiopia, India, Indonesia, Liberia) that the

Centre for Development Innovation, Wageningen University and Research centre has been involved in, the budget has been overspent.

However, the 5C evaluation team has designed an endline process whereby engagement of staff, e.g. in a workshop process was considered important, not only due to the need to collect data, but also to generate learning in the organisation. Furthermore, having general causal maps and detailed causal maps generated by process tracing have provided rich information that many SPOs and CFAs have already appreciated as useful in terms of the findings as well as a learning process.

Another issue that must be mentioned is that additional requests have been added to the country teams during the process of implementation: developing a country based synthesis; questions on design, implementation, and reaching objectives of MFS II funded capacity development interventions, whilst these questions were not in line with the core evaluation questions for the 5C evaluation.

Complexity and inadequate coordination and communication: many actors, both in the Netherlands, as well as in the eight selected countries, have been involved in this evaluation and their roles and responsibilities, were often unclear. For example, 19 MFS II consortia, the internal reference group, the Ministry of Foreign Affairs, Partos, the Joint Evaluation Trust, NWO-Wotro, the evaluators (Netherlands and in-country), 2 external advisory committees, and the steering committee. Not to mention the SPO's and their related partners and consultants. CDI was involved in 4 countries with a total number of 38 SPOs and related CFAs. This complexity influenced communication and coordination, as well as the extent to which learning could take place. Furthermore, there was a distance between the evaluators and the CFAs, since the approach had to be synchronised across countries, and had to adhere to strict guidelines, which were mainly externally formulated and could not be negotiated or discussed for the purpose of tailoring and learning. Feedback on the final results and report had to be provided mainly in written form. In order to enhance utilisation, a final workshop at the SPO to discuss the findings and think through the use with more people than probably the one who reads the report, would have more impact on organisational learning and development. Furthermore, feedback with the CFAs has also not been institutionalised in the evaluation process in the form of learning events. And as mentioned above, the complexity of the evaluation with many actors involved did not enhance learning and thus utilization.

5C Endline process, and in particular thoroughness of process tracing often appreciated as learning process: The SPO perspective has also brought to light a new experience and technique of self-assessment and self-corrective measures for managers. Most SPOs whether part of process tracing or not, deeply appreciated the thoroughness of the methodology and its ability to capture details with robust connectivity. This is a matter of satisfaction and learning for both evaluators and SPOs. Having a process whereby SPO staff were very much engaged in the process of self-assessment and reflection has proven for many to be a learning experience for many, and therefore have enhanced utility of the 5C evaluation.

4 Results

4.1 MFS II supported capacity development interventions

Below an overview of the different MFS II supported capacity development interventions of Jana Vikas that have taken place since 2011 are described. The information is based on the information provided by Cordaid.

Table 1
Information about MFS II supported capacity development interventions since baseline

Title of the MFS II supported capacity development intervention	Objectives	Activities	Timing and duration	Budget	
Assessment of organisational HR manual and capacity building of the staff (Food and logistic expenses)	The objective of this intervention was to improve on the HR manual and improve staffs knowledge and training in relation to food and logistic expenses.	Assessment and training	1 May – 31 October 2013	30.000 Rs	People's Participation in Community Development Project (#109568), total budget for organisational development: +/- € 2.209
Capacity building of key staffs holding responsibilities of respective departments (Human Resource, PME, Finance)	The objective of this intervention was to further train staff on project formulation and management, strategic planning, peacebuilding & preservation of the indigenous tribal culture	Training, workshops & assessments	From 1st May 2013-31st October 2013	90.000 Rs	
Organisational strategic planning (food and logistic expenses)	The objective of this intervention was to further train staff on collective marketing, better understanding towards development of the district Kandhamal, organizational development processes & strategic planning.	Training, workshops & assessment	From 1st May 2013-31st October 2013	60.000 Rs	
Midterm Review by ASK of the project: Community Managed Disaster Risk Reduction	This intervention was undertaken as a means of support and training for Jana Vikas for their operation and management processes. Via ASK Jana Vikas are shown where improvements can be made within their organization.	Assessments, reports, feedback	17-21 September 2013	€ 4839	
Support & visits by ASK	This intervention was undertaken so ASK can see first-hand how Jana Vikas is operating, and look at their administration in order to make reports and highlight areas that can be improved.	Assessments, feedback , meetings	17-21 September 2013	€ 3678	
From baseline report:	This intervention was	Facilitating	April 2013 – June	€ 6666	

IDE, one of Cordaid's partner supports Jana Vikas with the development of the turmeric value chain	undertaken as IDE is an expert in value chain and Jana Vikas project - turmeric value chain - was thought to greatly benefit from their expertise. Objective was to improve farming of turmeric	market linkages between farmers and traders/markets. Facilitate farmer meetings. Document learnings & other relevant processes for future reflection, replication and scalability.	2013	
From baseline report: Training of staff 1. peace building and conflict resolution 2. mainstreaming HIV/Aids 3. Gender and Social Advocacy 4. Psycho-social trauma counselling 5. Public Interest Litigation 6. Human Rights 7. Rural Employment Guarantee Act 8. Lobby and Advocacy 9. Micro finance management.	These interventions were undertaken due to the situation in the area at the time. There were dangerous ethnic conflicts which caused many disruptions. Trainings, especially in peace building and conflict resolution were the only real possibilities at the time, which were very relevant and needed given the situation.	Trainings	From 1st May 2013- 31st October 2013	Unknown

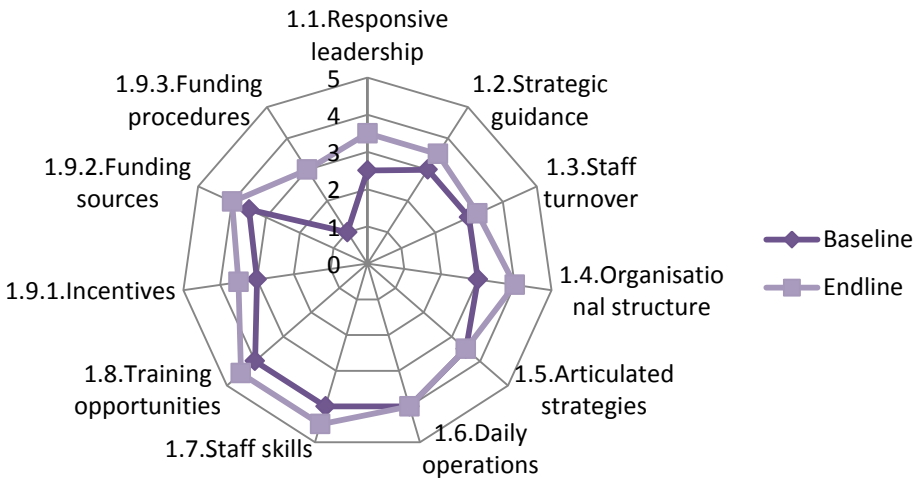
Source: 5C endline_support to capacity development sheet_CFA perspective_India_ and Budget 2013-2014 of the 109568 project in: Cordaid 3.jpg, cordaid-4.jpg and the baseline report

4.2 Changes in capacity and reasons for change - evaluation question 1 and 4

Below you can find a description of the changes in each of the five core capabilities. This information is based on the analysis of the information per each of the indicators. This detailed information for each of the indicators describes the current situation, and how and why it has changed since the baseline. See also annex 3.

4.2.1 Changes in the five core capabilities

Capability to act and commit

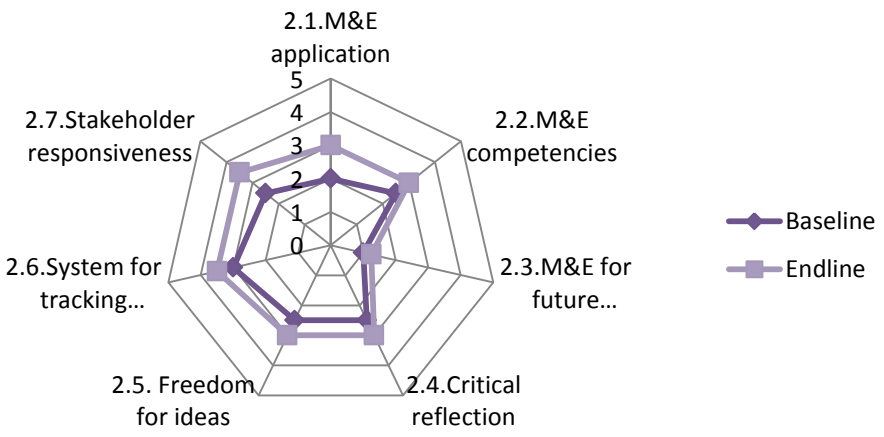


Since the baseline, the two-way communication between the director and the (field) staff and target groups has improved. The leader has become very innovative in strengthening his relationship with the staff and the target groups. The communication gap between the leadership and the staff members was closed as now there is increased collective involvement of staff in decision making and discussion. Since an external evaluation in 2013, the relationship between the board members and the leader has strengthened and in the strategic plan for 2014-2018 the responsibilities of the governing board and the director were clarified. Since the baseline there has been an organisational restructuring, to ensure the clarity for all staff members in terms of their roles and responsibilities that was lacking during the baseline. The hierarchical structure, while this was strong two years ago, now the level of hierarchy in the organization has blurred. There are now seven thematic committees in place that ensure that the policies of Jana Vikas are followed and implemented. The organisation now has a new strategic plan in place for 2014-2018, which was based on the situational and context analysis done by ASK to adapt it to the changing environment. There is still no systematic use of M&E findings in the strategic plan and also an explicit financing strategy linked to the strategic plan is lacking. Jana Vikas' daily operations are still in line with this new strategic plan. There are clear monthly plans for each staff member to implement their project activities, but they need to improve their planning capacities in terms of timely submission of monitoring reports to Cordaid. Jana Vikas has been able to keep staff turnover low over the last two years. Of the 92 staff members, 6 have left due to better opportunities and family matters. It has become easier to recruit new staff as the project area (Kandhamal) is now better connected and concerns about Naxalites are less. This together with a better recruitment process has led to the recruitment of two new skilled staff who joined the new resource mobilisation unit and the PME unit. Also while during the baseline there was no social security, this is now in place. This was made possible by MFS II funding from Cordaid. Over the last two years Jana Vikas has worked on several gaps in staff skills that were mentioned during the baseline. They have improved their skills in business process, communication on government schemes, results based managed and SHG management to name a few. There is, however, still a need for handholding support for a longer period on improving documentation. Over the last two years JV has implemented more trainings for its staff and most of the trainings are facilitated by ASK India, Hennery Martin Institute Hyderabad, SFDC, Trocaire, CSFHR. Trainings are felt to be held at more regular intervals, but training on the emerging issue of the Forest Rights Act is still required. These trainings are one of the motivational factors of JV's staff. Since the baseline the salaries have increased with 10 percent per year for Cordaid funded project staff and with 5 percent for other staff. Provisions have been made to continue paying staff when on health leave and for Employment Provident Fund and Life Insurance Policy. New committees were formed to deal with staff issues in a timely manner, such as the grievance shell, staff council and the sexual harassment committee. Regarding JV's funding situation, they have expanded their donor base, which existed of 6 donors during the baseline with new funders such as the National Foundation of India, New Delhi for the REHNUMA project, the Young Women Christian Association and the Indo-Global Social Service Society (IGSSS). Proposals to funders such as NABARD, KNH Germany, Restless Development International, Ministry of Minority affairs, are in the pipeline. While during the baseline there were no funding procedures and there was no discussions on exploring new funding, now in the new strategic plan funding procedures are included and staff discuss more openly about this topic. The establishment of a resource mobilisation department, improved capacity of staff to write proposals, improved networking and training on the FCRA have further helped Jana Vikas in streamlining its activities to explore new funding opportunities.

Score baseline: 3.1

Score endline: 3.8 (slight improvement)

Capability to adapt and self-renew

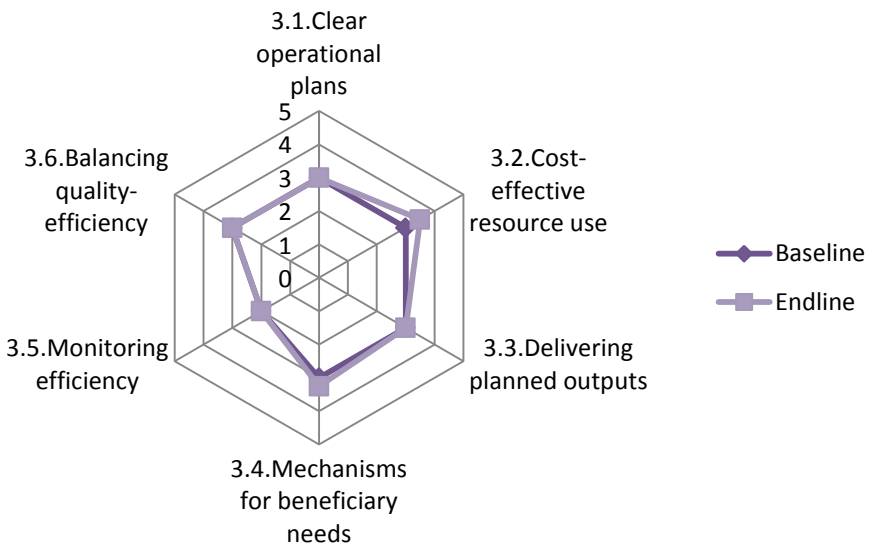


Jana Vikas has improved its M&E application. Their PME unit is now functional and meets quarterly to review the progress and discuss on strategic planning. Some efforts have been made to modify the MIS tool to link it to results based management (RBM) and to collect focused data from stakeholders. Jana Vikas still needs to improve its reports planning capacities in terms of timely submission of monitoring reports to Cordaid. Staff has received training in results based monitoring and skilled M&E staff has been hired. Field staff is trained in developing monitoring tools and documenting case studies. During the organisational assessment in July 2013, ASK noted that Jana Vikas needs a PME policy to help maintain the quality of the M&E process and involvement of community members which was negligible then. A start has been made during a workshop in February 2014, but this PME policy is still in the pipeline. Staff still needs to undergo training on M&E for better exercise in the field for data collection and analysis. Since the baseline, a separate PME unit has become operational to streamline the monitoring of the projects. In this way monitoring information is used operationally by the core team to guide suitable actions, but ASK found that the recommendations from the last two evaluations were not implemented and that staff members shared that they did not know about the findings. This implies that monitoring and evaluation is mainly focused on activities and outputs and not about outcomes and impact and used for strategic decision-making. While during the baseline there was a communication gap between the field staff and (middle) management, now by shifting its office from Bhubaneshwar to the project area, the relationship with the field staff has strengthened. In 2013 the organisation critically reflected on its strategic plan and did a SWOT analysis before formulating its new strategic plan for 2014-2018. With the restructuring of the organisation seven thematic committees were formed who discuss problematic issues, grievances and needs address them within 21 days. While there continues to be some hierarchy in the organisation as per the organogram, there is continuous sharing and feedback giving among staff. In comparison with the baseline situation Jana Vikas now has more sources of information to track its operating environment. They no longer only get this information through local organisations, but also use their networks and government institutions. Jana Vikas is responsive to the opinions of their stakeholders. This manifests itself in different ways. During the baseline it was mentioned that Jana Vikas had to be very cautious as some groups may not respond very well to the organisation. Now they have become a separate entity and are no longer tied to the Catholic Church, which has made it easier to involve stakeholders from different religious and caste groups.

Score baseline: 2.3

Score endline: 2.9 (slight improvement)

Capability to deliver on development objectives

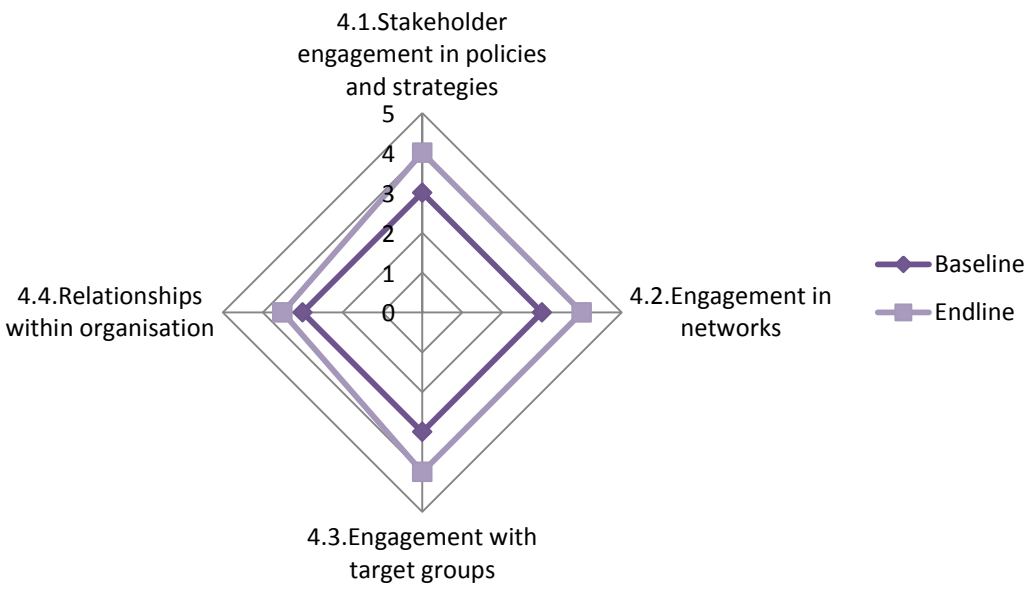


In Jana Vikas, all the programmes continue to have a detailed implementation plan that is made by the staff at the start of the project. Attempts are now made to monitoring the operations not only based on activities but based on results. The CFA finds that planning at Jana Vikas is still weak and the time plans are not always realistic. Jana Vikas has become more cost-effective in its resource use over the last two years because of reduction in travelling costs by moving the office to the project area, combining monitoring visits, giving joint trainings, making conscious use of water and electricity and recycling. Jana Vikas delivers most of its outputs because of its motivated staff, which was facilitated by active monitoring when they moved their office to the project area. Working in a volatile environment, their activities are often interrupted to carry out relief measures as was the case in 2013 with the Phailin cyclone. Jana Vikas continues to rely to a great extent on its field staff to provide the organisation with information related to beneficiary needs. A new initiative to find out whether services meet beneficiary needs is the complaint box in the pilot project on Safeguarding programme participant policy. Participants are asked to put forward their suggestions, appreciation or grievances application or letter in this box, everything is registered and the response is given to each person. There is still no system in place that links outputs to related inputs to monitor the organisation's efficiency. Jana Vikas continues to seek to balance quality with efficiency through collaboration between its motivated and the community, PRI members, government official and community block officers, even in adverse situations.

Score baseline: 2.8

Score endline: 3.0 (very slight improvement)

Capability to relate

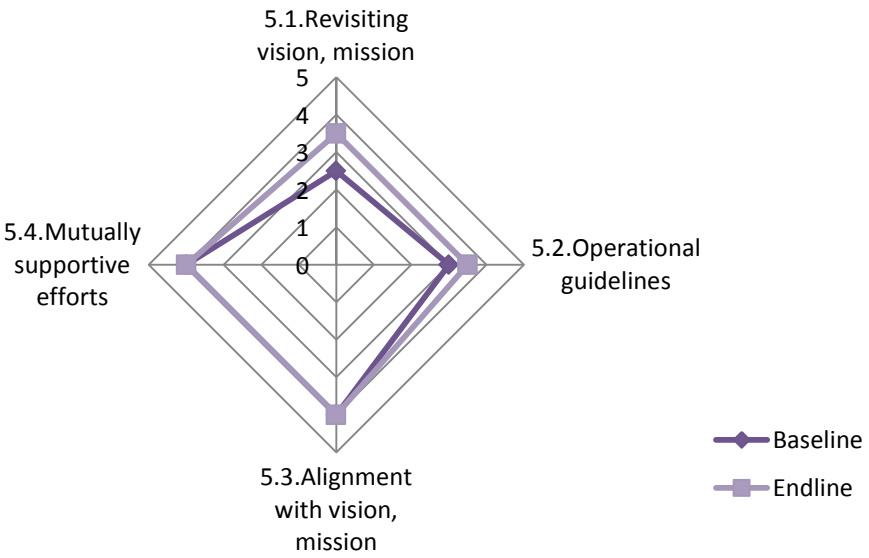


Jana Vikas now takes inputs from its partners, target groups, government organisations at local, district and state level, before preparing their new strategic plan (2014-2018) and has improved its collaboration with the government. They improved their proactive collaboration with the government through asking the input of local government officers for the strategic plan and by becoming involved in the REHNUMA project of Ministry of Minorities Affairs (MoMA). Jana Vikas has strengthened and expanded its network with many local level organisations but has also to partner up with national level organisation for advocacy initiatives. In the last two years, Jana Vikas has also strengthened its relationship with media by inviting them for various events, allowing them to cover all major activities undertaken by them. It is easier for JV to visit their target groups as there are no more religious threats due to involvement of community stakeholders of different religious groups in different platforms working for peace building and a mini vehicles were inaugurated by the state government in 2014 to connect the inaccessible areas to town. The interaction with the target group also improved because JV's office moved to the project area and Jana Vikas worked together with their target group to provide humanitarian emergency assistance after the cyclone Phailin. Over the last two years there has been an organisational restructuring and Jana Vikas' management has consciously formed different committees to oversee the administrative processes and implementation of policies of the organisation. While during the baseline there was a definite hierarchy amongst the staff, now JV has created space and scope for all levels of staff to interact without experiencing hierarchy, except for the hierarchy laid down in the organogram. With the better available facilities of internet and mobile communication the interaction between the staff became more frequent and this built their relationships.

Score baseline: 3.0

Score endline: 3.9 (improvement)

Capability to achieve coherence



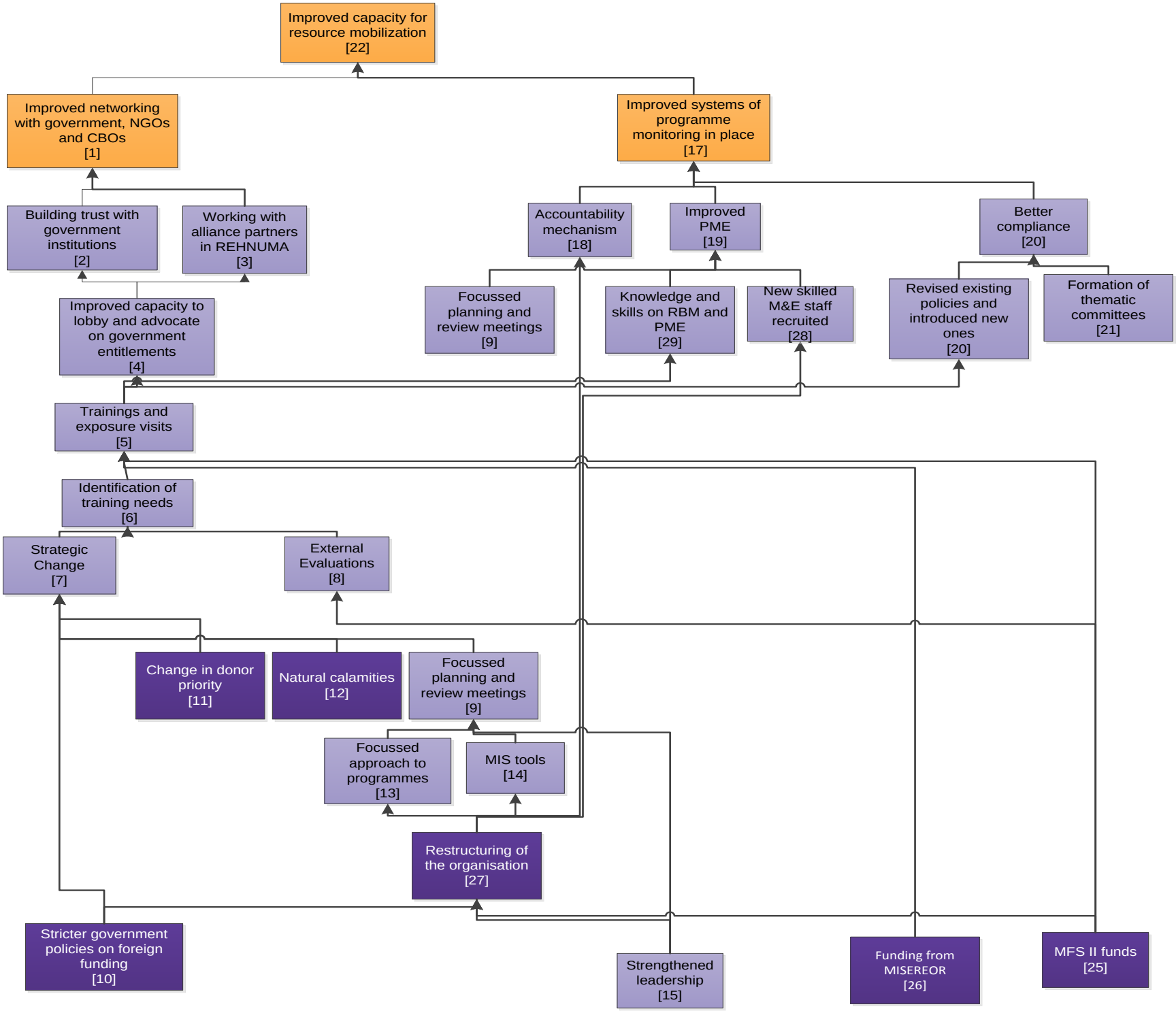
Jana Vikas now gives new staff orientation on the organisational vision, mission and strategy through an induction process using the local language. Revisiting the organizational vision and mission is done annually and its strategy is revisited half yearly. A new strategic plan has been development for 2014-18 in alignment with its vision and mission. In the strategic planning process which was carried out in August 2013, all staff was involved. Jana Vikas has had a workshop on policy development. In this process they revisited the HR, gender, finance and HIV/AIDS policy and created new policies on child protection, disability, environment and PME. All these policies are approved informally but the formal approval is still in process. Jana Vikas has improved upon the social security of its staff. Jana Vikas' strategies and project activities are still in line with the organisation's vision and mission. Jana Vikas' projects continue to be complementary: efforts in one project support those in another project. Jana Vikas' main approach is empowerment work but during emergencies (natural or manmade calamities) immediate support is required. Only in such cases, Jana Vikas will get involved in welfare or relief activities.

Score baseline: 3.4

Score endline: 3.8 (slight improvement)

4.2.2 General changes in the organisational capacity of the SPO

During the endline workshop at the SPO, a discussion was held around what were the main changes in organisational capacity since the baseline and why these changes have taken place. The discussion was visualised in a general causal map as can be seen below. The narrative for the general causal map is also described below. It gives a more general picture of what was seen as important changes in the organisation since the baseline, and how these changes have come about , and that tells the more general story about the organisational changes in the SPO. The evaluators considered it important to also note down the SPO's story and this would also provide more information about reasons for change, which were difficult to get for the individual indicators. Also for some issues there may not have been relevant indicators available in the list of core indicators provide by the evaluation team. The detailed narrative can be found in Annex 4.


Improved capacity for resource mobilization [22]
Improved networking with government, NGOs and CBOs [1]
Improved systems of programme monitoring in place [17]
Building trust with government institutions [2]
Working with alliance partners in REHNUMA [3]
Accountability mechanism [18]
Improved PME [19]
Better compliance [20]
Improved capacity to lobby and advocate on government entitlements [4]
Focussed planning and review meetings [9]
Knowledge and skills on RBM and PME [29]
New skilled M&E staff recruited [28]
Revised existing policies and introduced new ones [20]
Formation of thematic committees [21]
Trainings and exposure visits [5]
Identification of training needs [6]
Strategic Change [7]
External Evaluations [8]
Change in donor priority [11]
Natural calamities [12]
Focussed planning and review meetings [9]
Focussed approach to programmes [13]
MIS tools [14]
Restructuring of the organisation [27]
Stricter government policies on foreign funding [10]
Strengthened leadership [15]
Funding from MISEREOR [26]
MFS II funds [25]

The evaluation team carried out an endline assessment at Jana Vikas (JV) from 21 to 22 August 2014. During this workshop, the team made a recap of key features of the organisation in the baseline in 2012 (such as vision, mission, strategies, clients, partnerships). This was the basis for discussing changes that had happened to the organisation since the baseline. According to staff present at the endline workshop Jana Vikas has improved its capacity to mobilize resources [22] in the last two years since the baseline. This was primarily due to the following key changes:

1. Improved networking with government, NGOs and CBOs [1]
2. Improved systems of programme monitoring in place [17].

During the endline workshop it was discussed what the reasons were for each of these organisational capacity changes. The two main organisational capacity changes are described in the light orange boxes. Light purple boxes represent factors and aspects that influence the key organisational capacity changes (in light orange). Key underlying factors that have impacted the organisation are listed at the bottom in dark purple. The narrative describes per organisational capacity change, the contributing factors as described from the top down. The numbers in the visual correspond with the numbers in the narrative.

Improved its capacity to mobilize resources [22]

Over the last two years Jana Vikas has been actively working on different aspects to bridge the trust gap through peace building activities, livelihood promotion and improved capacity to mobilize resources [22]. They managed to get new funders such as the National Foundation of India, Young Women Christian Association, and Indo-Global Social Service Society (IGSSS). There are some more funders that have been approached and for which proposals are in the pipe line: NABARD, KNH Germany, Restless International and the Ministry of Minority affairs on Projects on minorities. The following projects of Jana Vikas are funded by the following new funders:

1. Improved networking with government, NGOs and CBOs [1]

It is evident from the mid-term review report of the Community Managed Disaster Risk Reduction project, that Jana Vikas has strengthened its network/linkages with government institutions at local, state and national level and also with other likeminded NGOs like PAG (Phulbani Action Group), DAVI (Dalit, Adivasi Vikas Initiative) and the alliance partner of REHNUMA[5]. Networking with government, NGOs and CBOs [1] improved because of:

- **Building trust with government institutions [2]**: In the post-riot period the trust relationship between Jana Vikas and the government institutions had been greatly affected in an adverse way. Over the period JV continuously made efforts to restore trust relationship with government institutions at local, state and national level. Jana Vikas actively worked for the victims irrespective of caste and religion through relief and rehabilitation activities in collaboration with government line departments and other civil society organisations. It caused harmony and integration among different ethnic groups in Kandhamal. This not only enhanced the visibility of the organisation but it helped to improve the relationship with government line departments. Most important in this was the existing perception that JV worked for one particular community alone. Sometimes relief works done by Jana Vikas in post natural disaster periods improve the popular perception and the government's perception of Jana Vikas.
- **Working together with alliance partners of REHNUMA [3]**: The Ministry of Minorities Affairs (MoMA) started a multi-sectorial development programme (MSDP) in 2014 called REHNUMA, a Minority Concentrated Districts (MCDs) project. This is a consortium of four NGOs: Jana Vikas, SFDC, NAWO and theCentre for the Sustainable Use of Natural and Social Resources - Civil Society Forum on Human Rights (CSNR-CSFHR). The National Foundation for India (NFI) in collaboration with the Institute for Development Education and Learning (IDEAL) as technical partners envisaged to pilot this project across MCDs and blocks in 10 states of India where Entitlement Centres are being set up. There are 13 partners across the country, who have come together to create awareness among the minorities and provide information about government schemes and entitlements for minorities. Under this umbrella the objective is to do research, map and list minorities, litigation and grievance redressal

[5] The Ministry of Minorities Affairs (MoMA) started a multi-sectorial development programme (MSDP) in 2014 called REHNUMA (a Minority Concentrated Districts (MCDs) project).

services, capacity building of minorities, monitoring, documentation and recommendations, so that social justice is delivered to the minorities.

•

Improved systems of programme monitoring in place [17]

Over the last two years, Jana Vikas improved its systems of programme monitoring [17] due to an accountability mechanism that is now in place [18], improved PME [19] and better compliance [20].

• **Accountability mechanism [18]**: the restructuring of the organogram resulted in clarity of roles and responsibility of the staff which further streamlined the accountability mechanism. Since last year quarterly meetings are organised where all the program managers, coordinators, assistant director and director participate. The program managers of each project present the progress report of the project.

• **Improved PME [19]**: MIS formats and indicators are fine-tuned to have better data from the field. The data are then analysed by the PME team to further use it for program development, report and proposal writing. Each project monitors and evaluates its program independently and submits the report to the coordinators. Then the report is reviewed in the monthly meetings by program managers and coordinators and finally it is reviewed and discussed by the core team in every quarterly meeting. When gaps are identified the core team further develops plans to address it. Jana Vikas also improved from activity based monitoring to results based management (RBM) and proper documentation of the data. The organisation also is looking forward to develop software to maintain MIS to generate information. The organisational assessment by ASK India in July 2013 helped Jana Vikas to identify the gaps in the PME system. Based on this finding a strategic plan for 2014-18 was formulated which further strengthened the PME system. In the light of this strategic plan a full time personnel is appointed to work for a separate PME unit being established with the support from Cordaid. Jana Vikas also shifted its monitoring process from activity based monitoring to results based management (RBM).

• **Better compliance [20]**: Jana Vikas improved its compliance to its operational guidelines because of the revision of its operational policies and the formation of thematic committees.

Underlying factors:

• Stricter government policies on foreign funding [10]: the government of India perceives that some NGOs are engaged in stalling development activities in the country which negatively affects the GDP growth of the country. Therefore, stricter policies have been brought by successive governments to restrict foreign funding to the NGOs in India. This led Jana Vikas to make strategic changes so that it could profile itself as a secular organisation and to leverage more funds to be self-sustained. This has had an effect, through JV's strategic change and the identification of training needs on all the changes discussed above.

• Change in donor priority [11]: Internationally donors are revising their funding policies and shifting their priorities. Most of the donors have changed their priority and are now funding agriculture based programs. In the light of the changing donor priority and other contextual issues Jana Vikas has changed its strategic plan. In the strategic plan for 2014-2018 it has emphasised the livelihood programme which includes agriculture and other. This has had an effect, through JV's strategic change and the identification of training needs on all the changes discussed above.

• Natural calamities [12]: Since 2011 Orissa was shattered down twice with severe floods and once with the cyclone Phailin. This caused massive loss of property and human lives. The Kandhamal district is situated 3000 feet above the sea level, however due to heavy rain and wind (at a speed of around 200 kmph) caused huge destruction in this district both in terms of property and human lives. In the post Phailin period Jana Vikas actively participated in the relief and rehabilitation works. This resulted in improved trust relationships with government and also helped Jana Vikas to profile itself as a secular organisation. This also caused Jana Vikas to make a strategic change to focus on the livelihoods of the affected people. New funders could be approached for the relief and rehabilitation work. This has had an effect, through JV's strategic change and the identification of training needs on all the changes discussed above.

• Strengthened leadership [15]: In 2013 Jana Vikas got separated from the Catholic charity and became a separate entity. This was primarily done to profile Jana Vikas as a secular organisation in relation to the riot prone area and following the government's stricter policies towards NGOs [10] which affected restructuring of the organisation [27]. There has been a reshuffle in the board

members and the organisation got restructured. The director took initiative [15] in decentralizing the organisational structure by establishing separate departments and putting each department under a program manager. This has had an effect, through more focussed planning and review meetings and identification of training needs on all the changes discussed above.

- MFS II funds [25] and MISEREOR funds [26]: were used for the trainings that led to Improved capacity to lobby and advocate on government entitlements (underlying the improved networking), knowledge on how to improve policies for better compliance and knowledge on RBM for improved PME and accountability.
-

5 Discussion and conclusion

5.1 Methodological issues

In order to get detailed information on the capacity development of the staff, self-assessment forms were filled in by the management (Secretary), Programme staff (Programme manager, programme cum M&E officer, program officer, programme coordinator, senior facilitator, gender coordinator, assistant coordinator, marketing officer), HR/Admin staff (Assistant Director cum HR, Accountant) and field staff (four community organisers).

Jana Vikas depends mainly on key staff which performs multiple tasks. Their financial condition is also not so that it would allow them to have a separate team for M&E and programme coordination. Due to this multifaceted roles played by the same category of staff, the evaluators had to put Programme cum M&E officer under programme staff; and assistant director cum HR under HR/Administration. The agreed questionnaire was aimed at teasing out information from various levels of staff without putting them in any awkward situation. The modified and nuanced repetition of questions when translated to an audience not properly exposed to the English language, created a sense of repetitiveness. Evaluators tried to resolve this, by clarifying the responses by follow-up interviews after studying the responses.

In order to ensure a deeper insight, the programme staff was divided into two groups. Small groups ensured effective participation. At the same time it helped the evaluation team to assess any discrepancies in the reporting of the same level of staff.

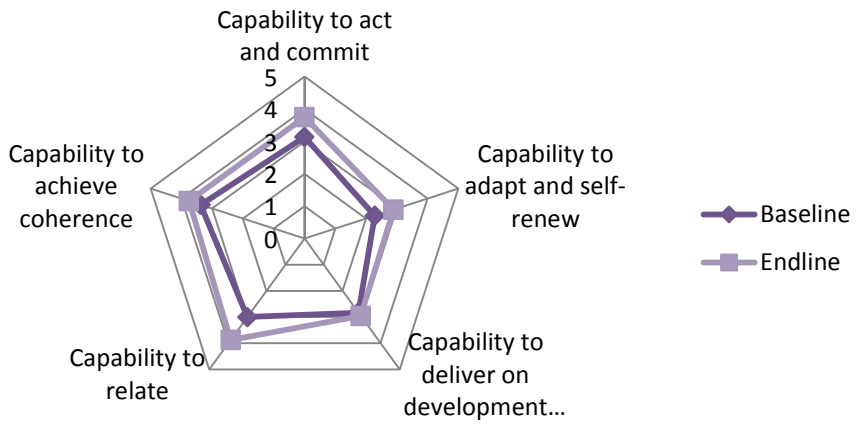
Jana Vikas was well versed with the 5C model, with the endline workshop being attended by the same staff as during the baseline except for the Programme manager, programme cum M&E officer, marketing officer, Assistant director cum HR and one community organiser. The management had discussed the baseline report and had sincerely tried to address those points to the best of their abilities. Therefore, staff faced no difficulty in identifying the key organisational capacity changes since the baseline and developing the general causal map. Jana Vikas filled in the capacity development sheet for the interventions under MFS II supported funding.

Jana Vikas does not have an Organisation Development Consultant. In their baseline assessment, it was pointed out that Jana Vikas should reduce its overdependence on an external Organisation Development Consultant. Since the baseline Jana Vikas has hired trained M&E and strategic organisational development personnel. They formed the middle management and core advisory team to the Director in the arena of documentation, M&E, reporting formats and programme coordination. This is a positive response from the SPO regarding its organisational strengthening.

5.2 Changes in organisational capacity development

This section aims to provide an answer to the first and fourth evaluation questions:

1. *What are the changes in partner organisations' capacity during the 2012-2014 period?*
4. *What factors explain the findings drawn from the questions above?*



Improvements took place in all of the five core capabilities. Below the changes in each of the capabilities are further explained, by referring to the specific indicators that changed.

Over the last two years many improvements took place in the indicators under the capability to act and commit. There is now more two way communication between the director and the field staff. The director also improved his relationships with the board and the target groups. There is less hierarchy in the organisation and the leader has created a sharing platform. In terms of strategic guidance, the director improved as he involved all staff in the drafting of a new strategic plan and is looking into resource mobilisation. The staff turnover remained low and staff were more eager to stay because the office was moved to the project area (less traveling) and accommodation improved. The organisational restructuring led to more clarity for staff on their roles and responsibility. Two new skilled staff were hired and some gaps in skills that were mentioned during the baseline are now addressed, e.g. in value chains and business plans. There now is an operational HR policy that ensures that trainings for staff are more regular. The salaries are increased by 10 percent every year in the Cordaid funded project and by 5 percent for the staff involved in other projects. Also provisions have been made for an Employment Provident Fund and Life Insurance policy for staff. New funders have been attracted, including the National Foundation of India, Young Women Christian Association and IGSSS. JV moved from having no funding procedures whatsoever to having a resource mobilisation department and PME unit that together track funding opportunities. Proposals are now written and there are open discussions about funding opportunities.

In the capability to adapt and self-renew JV improved in all indicators. They now have an operational PME unit and a core committee that reviews progress. This unit is funded by Cordaid under MFS II. The PME policy has been developed (but has to be approved by the board). Staff skills increased as they had training in M&E and has started working with results based monitoring instead of activity based monitoring. There was a very slight improvement in using M&E strategically as monitoring findings are now used for operations. Collected data is used for report and proposal writing. In 2013 there was an important moment for critical reflection when staff did a SWOT analysis for their organisation and drafted the strategic plan. The change in the organogram allows for more democratic decision making and more freedom for ideas of staff. The gap between the management and field staff has been closed, because the director decided to spend every other week in the field. On top of that the office was moved to the field which allowed JV to track their operating environment more directly. They also now have more sources of information about their operating environment, not just local sources but also from networks and the government on higher levels. The responsiveness to different stakeholders improved because the image of JV improved when they separated from the Catholic Charities.

In terms of the capability to deliver on development objectives, there has been a slight improvement in the cost-effectiveness of JV. They have reduced travel costs by moving the office to the field and are cutting costs by letting staff multi-task. There has been a very slight improvement in having mechanisms to ensure that beneficiary needs are being met. They now have a pilot programme with placing a complaint box in the project areas where stakeholders can enter their feedback and grievances. This is then taken up by project staff.

In the capability to relate, JV improved in all the indicators. They are now more open to inputs from partners, target groups and government organisations as they invited them to share their views on the new strategic plan (2014-2018). Networks and linkages for resource mobilisation improved. They have new partners and are working more with government institutions and the media. Relations with the target group have also improved because there are no longer religious threats in the area and a bus line was opened. This makes it easier to visit the target groups. Moving the office to the field has also helped in this. JV work in rehabilitation after the cyclone in October 2013 has also made their trust relationship with the target group better. Finally, the relations within JV increased slightly because of organisational restructuring. There is now less hierarchy and the working environment is more friendly.

Finally, JV slightly improved in its capability to achieve coherence. JV improved in terms of revisiting mission, vision and strategies because in 2013 they revised their strategic plan. New staff are now made familiar with the vision and mission of the organisations and there are regular discussions on vision and mission (annually) and strategies (biannually). The HR, Finance and Gender policies now are approved by the board. After a policy development workshop by ASK, new policies on PME, Child Protection, environment, Disability and Sexual Harassment are in the making.

During the endline workshop some key organisational capacity changes were brought up by JV's staff, these have been captured in the general causal map in 4.2.2: improved networking with government, NGOs and CBOs; and improved systems of programme monitoring in place. It is expected that both these areas will contribute to improve its capacity for resource mobilisation. The evaluators considered it important to also note down the SPO's story and this would also provide more information about reasons for change, which were difficult to get for the individual indicators. Also for some issues there may not have been relevant indicators available in the list of core indicators provide by the evaluation team.

Improved networking with government, NGOs and CBOs was because of building of a trust relationship with the government after the cyclone in October 2013, and because of JV's involvement in the REHNUMA alliance with other NGO and CBO partners. Both of these developments can be attributed to JV's improved capacity to lobby and advocate on government entitlements which was a result of trainings and exposure visits. These include: training on Lobby Right to Information Act (funded by MFS II), training in Government Entitlements (funded by MFS II), Internal exposure on People Led Development (PLD) (funded by MISEREOR). Staff attended these trainings after an identification of gaps and training needs which was done after JV's strategic change and the input from external evaluations on this issue. The strategic change was a move from being an implementing organisation to becoming a resource centre. This change was mostly due to natural calamities (focus on livelihood affected people) and focussed planning and review meetings. Planning and review meetings became more focussed because of a focussed approach towards programmes, strengthened MIS (because of organisational restructuring) and strengthened leadership. The systems of programme monitoring in place improved because of an accountability mechanism that is now in place, improved PME and better compliance. The accountability mechanism was a result of the restructuring of the organisation: it is now much more clear who reports to who. PME improved because of focussed review and planning meetings, knowledge on RBM and PME because of trainings and recruitment of new skilled M&E staff. Trainings were all funded by MFS II: training on RBM, training on PME, training on strategic planning and on SHG management. JV improved its compliance to its operational guidelines because of the revision of operational policies and the formation of thematic committees to see to the implementation of policies. The policies were revised during a Policy development workshop that was funded by MFS II. All in all, MFS II funded capacity development interventions, according to JV, had an effect on the organisation's capacity to lobby and advocate on government entitlements, knowledge on RBM and PME; and revision of policies.

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EDITED CORDAID REPORT to be sent.docx
Financial_Manual.pdf

Govt.Entitlements.docx
gv - 5C_baseline_report_India_JanaVikas_17122013_AW_CK.pdf
Jana Vikas Budget 2013 - 2016.xls
JANA VIKAS PROJECT_PROPOSAL-2013-2016 (1).doc
JV-ORGANOGRAM-FINAL.jpg
Land Productivity and Mixed Cropping.docx
Micro Finance Management.docx
Micro Planning.docx
NEW DIP CORDIAD 2013-2014.docx
People'PP 1.jpg
People's PP 1-2 Budget spent on project 109568.docx
People's PP 2.jpg
People's pp.jpg
Planning Meeting for women.docx
policy development.docx
Report on Organizatinal Assessment and Context Analysis Jan Vikas.doc
Six Month Reports - 2014.doc
Soral Training.docx
SRI.docx
strategic plan_Edited Version.doc
Training on Business Plan.docx
Training on Collective Marketing at Nuapadar.docx
Training on Collective Marketing at Sadingia.docx
Training on Collective Marketing.docx
Training on MGNREGA.docx
Training on Micro Finance Management.docx
Training on Micro Plan.docx
Training on NREGS.docx
Workshop on Conflict Resolution.docx
BUSINESS PLAN TEMPLATE.docx
Business Plan.docx
Collective Marketing.docx
Cord Aid 1.jpg
Cord Aid 2.jpg
Cord Aid 3.jpg
Cordaid 1-6 Grant agreement and budget for 2013-2014 project 109568.docx
CORDAID COMPLETION REPORT-2010-2013.docx
Cordaid-1.jpg

Fieldwork data:
Annex C_5C Endline_Capacity Development Sheet SPO Perspective_Jana Vikas.docx
5c endline self-assessment of the SPO on organisational capacity - field staff_India_JanaVikas.docx
5c endline self-assessment of the SPO on organisational capacity - management_India_JanaVikas.docx
5c endline self-assessment of the SPO on organisational capacity - Program staff 2 _India_JanaVikas.docx
5c endline self-assessment of the SPO on organisational capacity - programme staff_India_JanaVikas.docx
5c endline self-assessment of the SPO on organisational capacity – admin HRM staff_India_JanaVikas.doc
ATTENDANCE SHEET for JAN VIKAS 21 & 22 AUG Workshop.docx
2014-03-26 5c endline_assessment sheet_Dutch co-financing organisations_India_JanaVikas_Cordaid_NB.docx
5C endline_support to capacity development sheet_CFA perspective_India_JanaVikas_Cordaid_NB.docx

List of Respondents

Jana Vikas Staff:

NAME	DESIGNATION	21st Aug	22nd Aug
Father Manoj kumar Nayak	Secretary	Present	Present
Tapaswpini Panda	Program Coordinator	Present	Present
Swarna Lata Sanseth	Community Organiser	Present	Present
Banchhanidhi Nayak	Community Organiser	Present	Present
Lalit Kumar Digal	Community Organiser	Present	Present
Utkal Majhi	Community Organiser	Present	Present
Fr. Madan Sual Singh	Project Director	Present	Present
Arun kumar nayak	Programme manager	Present	Present
Simanchala parichha	Lobby & advocacy officer	Present	Present
Manoj kumar digal	Cooperative cum gender coordinator	Present	Present
Rasanta palta singh	Senior facilitator	Present	Present
Vijaya behera	Programme manager	Present	Present
Akshaya singh	Programme officer	Present	Present
Chhotray digal	Assistant coordinator	Present	Present
Pradeep pradhan	Accountant	Present	Present
Sujit Kumar Digal	Marketing Officer	Present	Present
Ramakanta Kanhar	Coordinator	Present	Present

CFA

Gerdien Seegers, Programme Manager at Cordaid. Interviewed on 26 March 2014.

Appendix 1 Methodological approach & reflection

Introduction

This appendix describes the methodological design and challenges for the assessment of capacity development of Southern Partner Organisations (SPOs), also called the '5C study'. This 5C study is organised around four key evaluation questions:

1. What are the changes in partner organisations' capacity during the 2012-2014 period?
2. To what degree are the changes identified in partner capacity attributable to development interventions undertaken by the MFS II consortia (i.e. measuring effectiveness)?
3. Were the efforts of the MFS II consortia efficient?
4. What factors explain the findings drawn from the questions above?

It has been agreed that the question (3) around efficiency cannot be addressed for this 5C study. The methodological approach for the other three questions is described below. At the end, a methodological reflection is provided.

In terms of the attribution question (2), 'process tracing' is used. This is a theory-based approach that has been applied to a selected number of SPOs since it is a very intensive and costly methodology, although it provides rich information and can generate a lot of learning within the organisations. This approach was presented and agreed-upon during the synthesis workshop on 17-18 June 2013 by the 5C teams for the eight countries of the MFS II evaluation. A more detailed description of the approach was presented during the synthesis workshop in February 2014. The synthesis team, NWO-WOTRO, the country project leaders and the MFS II organisations present at the workshop have accepted this approach. It was agreed that this approach can only be used for a selected number of SPOs since it is a very intensive and costly methodology. Key organisational capacity changes/ outcomes of the SPO were identified, based on their relationship to the two selected capabilities, the capability to act and commit the capability to adapt and self-renew, and an expected relationship with CFA supported capacity development interventions (MFS II funding). It was agreed to focus on these two capabilities, since these are the most targeted capabilities by the CFAs, as established during the baseline process.

Please find below an explanation of how the above-mentioned evaluation questions have been addressed in the 5C evaluation.

Note: the methodological approach is applied to 4 countries that the Centre for Development Innovation, Wageningen University and Research centre is involved in in terms of the 5C study (Ethiopia, India, Indonesia, Liberia). The overall approach has been agreed with all the 8 countries selected for this MFS II evaluation. The 5C country teams have been trained and coached on this methodological approach during the evaluation process. Details specific to the SPO are described in chapter 5.1 of the SPO report. At the end of this appendix a brief methodological reflection is provided.

Changes in partner organisation's capacity – evaluation question 1

This section describes the data collection and analysis methodology for answering the first evaluation question: **What are the changes in partner organisations' capacity during the 2012-2014 period?**

This question was mainly addressed by reviewing changes in 5c indicators, but additionally a 'general causal map' based on the SPO perspective on key organisational capacity changes since the baseline has been developed. Each of these is further explained below. The development of the general causal map is integrated in the steps for the endline workshop, as mentioned below.

During the baseline in 2012 information has been collected on each of the 33 agreed upon indicators for organisational capacity. For each of the five capabilities of the 5C framework indicators have been developed as can be seen in Appendix 2. During this 5C baseline, a summary description has been provided for each of these indicators, based on document review and the information provided by staff, the Co-financing Agency (CFA) and other external stakeholders. Also a summary description has been provided for each capability. The results of these can be read in the baseline reports.

The description of indicators for the baseline in 2012 served as the basis for comparison during the endline in 2014. In practice this meant that largely the same categories of respondents (preferably the same respondents as during the baseline) were requested to review the descriptions per indicator and indicate whether and how the endline situation (2014) is different from the described situation in 2012.[6] Per indicator they could indicate whether there was an improvement or deterioration or no change and also describe these changes. Furthermore, per indicator the interviewee could indicate what interventions, actors and other factors explain this change compared to the baseline situation. See below the specific questions that are asked for each of the indicators. Per category of interviewees there is a different list of indicators to be looked at. For example, staff members were presented with a list of all the indicators, whilst external people, for example partners, are presented with a select number of indicators, relevant to the stakeholder.

The information on the indicators was collected in different ways:

1. **Endline workshop at the SPO - self-assessment and 'general causal map'**: similar to data collection during the baseline, different categories of staff (as much as possible the same people as during the baseline) were brought together in a workshop and requested to respond, in their staff category, to the list of questions for each of the indicators (self-assessment sheet). Prior to carrying out the self-assessments, a brainstorming sessions was facilitated to develop a 'general causal map', based on the key organisational capacity changes since the baseline as perceived by SPO staff. Whilst this general causal map is not validated with additional information, it provides a sequential narrative, based on organisational capacity changes as perceived by SPO staff;
2. **Interviews with staff members**: additional to the endline workshop, interviews were held with SPO staff, either to provide more in-depth information on the information provided on the self-assessment formats during the workshop, or as a separate interview for staff members that were not present during the endline workshop;
3. **Interviews with externals**: different formats were developed for different types of external respondents, especially the co-financing agency (CFA), but also partner agencies, and organisational development consultants where possible. These externals were interviewed, either face-to-face or by phone/Skype. The interview sheets were sent to the respondents and if they wanted, these could be filled in digitally and followed up on during the interview;
4. **Document review**: similar to the baseline in 2012, relevant documents were reviewed so as to get information on each indicator. Documents to be reviewed included progress reports, evaluation reports, training reports, etc. (see below) since the baseline in 2012, so as to identify changes in each of the indicators;
5. **Observation**: similar to what was done in 2012, also in 2014 the evaluation team had a list with observable indicators which were to be used for observation during the visit to the SPO.

[6] The same categories were used as during the baseline (except beneficiaries, other funders): staff categories including management, programme staff, project staff, monitoring and evaluation staff, field staff, administration staff; stakeholder categories including co-financing agency (CFA), consultants, partners.

Below the key steps to assess changes in indicators are described.

Key steps to assess changes in indicators are described

1. Provide the description of indicators in the relevant formats – CDI team
2. Review the descriptions per indicator – in-country team & CDI team
3. Send the formats adapted to the SPO to CFA and SPO – in-country team (formats for SPO) and CDI team (formats for CFA)
4. Collect, upload & code the documents from CFA and SPO in NVivo – CDI team
5. Organise the field visit to the SPO – in-country team
6. Interview the CFA – CDI team
7. Run the endline workshop with the SPO – in-country team
8. Interview SPO staff – in-country team
9. Fill-in observation sheets – in-country team
10. Interview externals – in-country team
11. Upload and auto-code all the formats collected by in-country team and CDI team in NVivo – CDI team
12. Provide to the overview of information per 5c indicator to in-country team – CDI team
13. Analyse data and develop a draft description of the findings per indicator and for the general questions – in-country team
14. Analyse data and develop a final description of the findings per indicator and per capability and for the general questions – CDI team
15. Analyse the information in the general causal map –in-country team and CDI-team

Note: the CDI team include the Dutch 5c country coordinator as well as the overall 5c coordinator for the four countries (Ethiopia, India, Indonesia, Liberia). The 5c country report is based on the separate SPO reports.

Below each of these steps is further explained.

*Step 1. Provide the **description of indicators** in the relevant formats – CDI team*

- These formats were to be used when collecting data from SPO staff, CFA, partners, and consultants. For each of these respondents different formats have been developed, based on the list of 5C indicators, similar to the procedure that was used during the baseline assessment. The CDI team needed to add the 2012 baseline description of each indicator. The idea was that each respondent would be requested to review each description per indicator, and indicate whether the current situation is different from the baseline situation, how this situation has changed, and what the reasons for the changes in indicators are. At the end of each format, a more general question is added that addresses how the organisation has changed its capacity since the baseline, and what possible reasons for change exist. Please see below the questions asked for each indicator as well as the more general questions at the end of the list of indicators.

General questions about key changes in the capacity of the SPO

What do you consider to be the key changes in terms of how the organisation/ SPO has developed its capacity since the baseline (2012)?

What do you consider to be the main explanatory reasons (interventions, actors or factors) for these changes?

List of questions to be asked for each of the 5C indicators (The entry point is the the description of each indicator as in the 2012 baseline report):

1. *How has the situation of this indicator changed compared to the situation during the baseline in 2012? Please tick one of the following scores:*
   - -2 = Considerable deterioration
   - -1 = A slight deterioration
   - 0 = No change occurred, the situation is the same as in 2012
   - +1 = Slight improvement
   - +2 = Considerable improvement

2. *Please describe what exactly has changed since the baseline in 2012*
3. *What interventions, actors and other factors explain this change compared to the baseline situation in 2012? Please tick and describe what interventions, actors or factors influenced this indicator, and how. You can tick and describe more than one choice.*
   - Intervention, actor or factor at the level of or by **SPO**: ..... .
   - Intervention, actor or factor at the level of or by the **Dutch CFA (MFS II funding)**: .... .
   - Intervention, actor or factor at the level of or by the **other funders**: ..... .
   - **Other** interventions, actors or factors: ..... .
   - Don't know.

*Step 2. **Review** the descriptions per indicator – in-country team & CDI team*

Before the in-country team and the CDI team started collecting data in the field, it was important that they reviewed the description for each indicator as described in the baseline reports, and also added to the endline formats for review by respondents. These descriptions are based on document review, observation, interviews with SPO staff, CFA staff and external respondents during the baseline. It was important to explain this to respondents before they filled in the formats.

*Step 3. **Send the formats** adapted to the SPO to CFA and SPO – in-country team (formats for SPO) and CDI team (formats for CFA)*

The CDI team was responsible for collecting data from the CFA:

- 5C Endline assessment Dutch co-financing organisation;
- 5C Endline support to capacity sheet – CFA perspective.

The in-country team was responsible for collecting data from the SPO and from external respondents (except CFA). The following formats were sent before the fieldwork started:

- 5C Endline support to capacity sheet – SPO perspective.
- 5C Endline interview guides for externals: partners; OD consultants.

*Step 4. **Collect, upload & code the documents** from CFA and SPO in NVivo – CDI team*

The CDI team, in collaboration with the in-country team, collected the following documents from SPOs and CFAs:

- Project documents: project proposal, budget, contract (Note that for some SPOs there is a contract for the full MFS II period 2011-2015; for others there is a yearly or 2-yearly contract. All new contracts since the baseline in 2012 will need to be collected);
- Technical and financial progress reports since the baseline in 2012;.
- Mid-term evaluation reports;
- End of project-evaluation reports (by the SPO itself or by external evaluators);
- Contract intake forms (assessments of the SPO by the CFA) or organisational assessment scans made by the CFA that cover the 2011-2014 period;
- Consultant reports on specific inputs provided to the SPO in terms of organisational capacity development;
- Training reports (for the SPO; for alliance partners, including the SPO);
- Organisational scans/ assessments, carried out by the CFA or by the Alliance Assessments;
- Monitoring protocol reports, especially for the 5C study carried out by the MFS II Alliances;
- Annual progress reports of the CFA and of the Alliance in relation to capacity development of the SPOs in the particular country;
- Specific reports that are related to capacity development of SPOs in a particular country.

The following documents (since the baseline in 2012) were requested from SPO:

- Annual progress reports;
- Annual financial reports and audit reports;
- Organisational structure vision and mission since the baseline in 2012;

- Strategic plans;
- Business plans;
- Project/ programme planning documents;
- Annual work plan and budgets;
- Operational manuals;
- Organisational and policy documents: finance, human resource development, etc.;
- Monitoring and evaluation strategy and implementation plans;
- Evaluation reports;
- Staff training reports;
- Organisational capacity reports from development consultants.

The CDI team will coded these documents in NVivo (qualitative data analysis software program) against the 5C indicators.

Step 5. ***Prepare and organise the field visit*** *to the SPO – in-country team*

Meanwhile the in-country team prepared and organised the logistics for the field visit to the SPO:

- **General endline workshop** consisted about one day for the self-assessments (about ½ to ¾ of the day) and brainstorm (about 1 to 2 hours) on key organisational capacity changes since the baseline and underlying interventions, factors and actors ('general causal map'), see also explanation below. This was done with the five categories of key staff: managers; project/ programme staff; monitoring and evaluation staff; admin & HRM staff; field staff. Note: for SPOs involved in process tracing an additional 1 to 1½ day workshop (managers; program/project staff; monitoring and evaluation staff) was necessary. See also step 7;
- **Interviews with SPO staff** (roughly one day);
- **Interviews with external respondents** such as partners and organisational development consultants depending on their proximity to the SPO. These interviews coulc be scheduled after the endline workshop and interviews with SPO staff.

General causal map

During the 5C endline process, a 'general causal map' has been developed, based on key organisational capacity changes and underlying causes for these changes, as perceived by the SPO. The general causal map describes cause-effect relationships, and is described both as a visual as well as a narrative.

As much as possible the same people that were involved in the baseline were also involved in the endline workshop and interviews.

Step 6. ***Interview the CFA*** *– CDI team*

The CDI team was responsible for sending the sheets/ formats to the CFA and for doing a follow-up interview on the basis of the information provided so as to clarify or deepen the information provided. This relates to:

- 5C Endline assessment Dutch co-financing organisation;
- 5C Endline support to capacity sheet - CFA perspective.

Step 7. ***Run the endline workshop*** *with the SPO – in-country team*

This included running the endline workshop, including facilitation of the development of the general causal map, self-assessments, interviews and observations. Particularly for those SPOs that were selected for process tracing all the relevant information needed to be analysed prior to the field visit, so as to develop an initial causal map. Please see Step 6 and also the next section on process tracing (evaluation question two).

An endline workshop with the SPO was intended to:

- Explain the purpose of the fieldwork;
- Carry out in the self-assessments by SPO staff subgroups (unless these have already been filled prior to the field visits) - this may take some 3 hours.
- Facilitate a brainstorm on key organisational capacity changes since the baseline in 2012 and underlying interventions, factors and actors.

***Purpose of the fieldwork*:** to collect data that help to provide information on what changes took place in terms of organisational capacity development of the SPO as well as reasons for these changes. The baseline that was carried out in 2012 was to be used as a point of reference.

Brainstorm on key organisational capacity changes and influencing factors: a brainstorm was facilitated on key organisational capacity changes since the baseline in 2012. In order to kick start the discussion, staff were reminded of the key findings related to the historical time line carried out in the baseline (vision, mission, strategies, funding, staff). This was then used to generate a discussion on key changes that happened in the organisation since the baseline (on cards). Then cards were selected that were related to organisational capacity changes, and organised. Then a 'general causal map' was developed, based on these key organisational capacity changes and underlying reasons for change as experienced by the SPO staff. This was documented as a visual and narrative.This general causal map was to get the story of the SPO on what they perceived as key organisational capacity changes in the organisation since the baseline, in addition to the specific details provided per indicator.

***Self-assessments*:** respondents worked in the respective staff function groups: management; programme/ project staff; monitoring and evaluation staff; admin and HRM staff; field staff. Staff were assisted where necessary so that they could really understand what it was they were being asked to do as well as what the descriptions under each indicator meant.

Note: for those SPOs selected for process tracing an additional endline workshop was held to facilitate the development of detailed causal maps for each of the identified organisational change/ outcome areas that fall under the capability to act and commit, and under the capability to adapt and self-renew, and that are likely related to capacity development interventions by the CFA. See also the next section on process tracing (evaluation question two). It was up to the in-country team whether this workshop was held straight after the initial endline workshop or after the workshop and the follow-up interviews. It could also be held as a separate workshop at another time.

Step 8. ***Interview SPO staff*** *– in-country team*

After the endline workshop (developing the general causal map and carrying out self-assessments in subgroups), interviews were held with SPO staff (subgroups) to follow up on the information that was provided in the self-assessment sheets, and to interview staff that had not yet provided any information.

Step 9. ***Fill-in observation sheets*** *– in-country team*

During the visit at the SPO, the in-country team had to fill in two sheets based on their observation:

- 5C Endline observation sheet;
- 5C Endline observable indicators.

Step 10. ***Interview externals*** *– in-country team & CDI team*

The in-country team also needed to interview the partners of the SPO as well as organisational capacity development consultants that have provided support to the SPO. The CDI team interviewed the CFA.

Step 11. ***Upload and auto-code all the formats*** *collected by in-country team and CDI team – CDI team*

The CDI team was responsible for uploading and auto-coding (in Nvivo) of the documents that were collected by the in-country team and by the CDI team.

*Step 12. Provide the **overview of information** per 5C indicator to in-country team – CDI team*

After the analysis in NVivo, the CDI team provided a copy of all the information generated per indicator to the in-country team for initial analysis.

*Step 13. **Analyse the data and develop a draft description** of the findings per indicator and for the general questions – in-country team*

The in-country team provided a draft description of the findings per indicator, based on the information generated per indicator. The information generated under the general questions were linked to the general causal map or detailed process tracing related causal map.

*Step 14. **Analyse the data and finalize the description** of the findings per indicator, per capability and general – CDI team*

The CDI team was responsible for checking the analysis by the in-country team with the Nvivo generated data and to make suggestions for improvement and ask questions for clarification to which the in-country team responded. The CDI team then finalised the analysis and provided final descriptions and scores per indicator and also summarize these per capability and calculated the summary capability scores based on the average of all indicators by capability.

*Step 15. **Analyse the information** in the general causal map –in-country team & CDI team*

The general causal map based on key organisational capacity changes as perceived by the SPO staff present at the workshop, was further detailed by in-country team and CDI team, and based on the notes made during the workshop and where necessary additional follow up with the SPO. The visual and narrative was finalized after feedback by the SPO. During analysis of the general causal map relationships with MFS II support for capacity development and other factors and actors were identified. All the information has been reviewed by the SPO and CFA.

Attributing changes in partner organisation's capacity – evaluation question 2

This section describes the data collection and analysis methodology for answering the second evaluation question: ***To what degree are the changes identified in partner capacity attributable to (capacity) development interventions undertaken by the MFS II consortia (i.e. measuring effectiveness)?***

In terms of the attribution question (2), 'process tracing' is used. This is a theory-based approach that has been applied to a selected number of SPOs since it is a very intensive and costly methodology, although it provides rich information and can generate a lot of learning within the organisations. Key organisational capacity changes/ outcomes of the SPO were identified, based on their relationship to the two selected capabilities, the capability to act and commit the capability to adapt and self-renew, and an expected relationship with CFA supported capacity development interventions (MFS II funding). It was agreed to focus on these two capabilities, since these are the most targeted capabilities by the CFAs, as established during the baseline process. The box below provides some background information on process tracing.

Background information on process tracing

The essence of process tracing research is that scholars want to go beyond merely identifying correlations between independent variables (Xs) and outcomes (Ys). Process tracing in social science is commonly defined by its addition to trace causal mechanisms (Bennett, 2008a, 2008b; Checkle, 2008; George & Bennett, 2005). A causal mechanism can be defined as "a complex system which produces an outcome by the interaction of a number of parts" (Glennan, 1996, p. 52). Process tracing involves "attempts to identify the intervening causal process – the causal chain and causal mechanism – between an independent variable (or variables) and the outcome of the dependent variable" (George & Bennett, 2005, pp. 206-207).

Process tracing can be differentiated into three variants within social science: theory testing, theory building, and explaining outcome process tracing (Beach & Pedersen, 2013).

Theory testing process tracing uses a theory from the existing literature and then tests whether evidence shows that each part of hypothesised causal mechanism is present in a given case, enabling within case inferences about whether the mechanism functioned as expected in the case and whether the mechanism as a whole was present. No claims can be made however, about whether the mechanism was the only cause of the outcome.

Theory building process tracing seeks to build generalizable theoretical explanations from empirical evidence, inferring that a more general causal mechanism exists from the fact of a particular case.

Finally, explaining outcome process tracing attempts to craft a minimally sufficient explanation of a puzzling outcome in a specific historical case. Here the aim is not to build or test more general theories but to craft a (minimally) sufficient explanation of the outcome of the case where the ambitions are more case centric than theory oriented.

Explaining outcome process tracing is the most suitable type of process tracing for analysing the causal mechanisms for selected key organisational capacity changes of the SPOs. This type of process tracing can be thought of as a single outcome study defined as seeking the causes of the specific outcome in a single case (Gerring, 2006; in: Beach & Pedersen, 2013). Here the ambition is to craft a minimally sufficient explanation of a particular outcome, with sufficiency defined as an explanation that accounts for all of the important aspects of an outcome with no redundant parts being present (Mackie, 1965).

Explaining outcome process tracing is an iterative research strategy that aims to trace the complex conglomerate of systematic and case specific causal mechanisms that produced the outcome in question. The explanation cannot be detached from the particular case. Explaining outcome process tracing refers to case studies whose primary ambition is to explain particular historical outcomes, although the findings of the case can also speak to other potential cases of the phenomenon. Explaining outcome process tracing is an iterative research process in which 'theories' are tested to see whether they can provide a minimally sufficient explanation of the outcome. Minimal sufficiency is defined as an explanation that accounts for an outcome, with no redundant parts. In most explaining outcome studies, existing theorisation cannot provide a sufficient explanation, resulting in a second stage in which existing theories are re-conceptualised in light of the evidence gathered in the preceding empirical analysis. The conceptualisation phase in explaining outcome process tracing is therefore an iterative research process, with initial mechanisms re-conceptualised and tested until the result is a theorised mechanism that provides a minimally sufficient explanation of the particular outcome.

Below a description is provided of how SPOs are selected for process tracing, and a description is provided on how this process tracing is to be carried out. Note that this description of process tracing provides not only information on the extent to which the changes in organisational development can be attributed to MFS II (evaluation question 2), but also provides information on other contributing factors and actors (evaluation question 4). Furthermore, it must be noted that the evaluation team has developed an adapted form of 'explaining outcome process tracing', since the data collection and analysis was an iterative process of research so as to establish the most realistic explanation for a particular outcome/ organisational capacity change. Below selection of SPOs for process tracing as well as the different steps involved for process tracing in the selected SPOs, are further explained.

Selection of SPOs for 5C process tracing

Process tracing is a very intensive methodology that is very time and resource consuming (for development and analysis of one final detailed causal map, it takes about 1-2 weeks in total, for different members of the evaluation team). It has been agreed upon during the synthesis workshop on 17-18 June 2013 that only a selected number of SPOs will take part in this process tracing for the purpose of understanding the attribution question. The selection of SPOs is based on the following criteria:

- MFS II support to the SPO has not ended before 2014 (since this would leave us with too small a time difference between intervention and outcome);
- Focus is on the 1-2 capabilities that are targeted most by CFAs in a particular country;
- Both the SPO and the CFA are targeting the same capability, and preferably aim for similar outcomes;
- Maximum one SPO per CFA per country will be included in the process tracing.

The intention was to focus on about 30-50% of the SPOs involved. Please see the tables below for a selection of SPOs per country. Per country, a first table shows the extent to which a CFA targets the five capabilities, which is used to select the capabilities to focus on. A second table presents which SPO is selected, and takes into consideration the selection criteria as mentioned above.

ETHIOPIA

For Ethiopia the capabilities that are mostly targeted by CFAs are the capability to act and commit and the capability to adapt and self-renew. See also the table below.

Table 1

The extent to which the Dutch NGO explicitly targets the following capabilities – Ethiopia

Capability to:	AMREF	CARE	ECFA	FSCE	HOA-REC	HUNDEE	NVEA	OSRA	TTCA
Act and commit	5	4	5	5	5	3	4	4	3
Deliver on development objectives	2	1	1	1	2	1	1	2	1
Adapt and self-renew	4	2	3	4	2	5	3	3	3
Relate	3	1	2	2	3	2	1	3	1
Achieve coherence	2	2	1	1	1	1	1	1	1

Note: Number 1 stands for not targeted, 5 for intensively targeted. These scores are relative scores for the interventions by the CFA to strengthen the capacity of the SPO. The scores are relative to each other, a higher score means that this capability gets more attention by the CFA compared to other capabilities.

Source: country baseline report, Ethiopia.

Below you can see the table describing when the contract with the SPO is to be ended, and whether both SPO and the CFA expect to focus on these two selected capabilities (with MFS II funding). Based on the above-mentioned selection criteria the following SPOs are selected for process tracing: AMREF, ECFA, FSCE, HUNDEE. In fact, six SPOs would be suitable for process tracing. We just selected the first one per CFA following the criteria of not including more than one SPO per CFA for process tracing

Table 2

SPOs selected for process tracing – Ethiopia

Ethiopia – SPOs	End of contract	Focus on capability to act and commit– by SPO	Focus on capability to act and commit – by CFA	Focus on capability to adapt and self-renew – by SPO	Focus on capability to adapt and self-renew – by CFA	CFA	Selected for process tracing
AMREF	Dec 2015	Yes	Yes	Yes	Yes	AMREF NL	Yes
CARE	Dec 31, 2015	Partly	Yes	Yes	Yes – slightly	CARE Netherlands	No - not fully matching
ECFA	Jan 2015	Yes	Yes	Yes	Yes	Child Helpline International	Yes
FSCE	Dec 2015	Yes	Yes	Yes	Yes	Stichting Kinderpostzegels Netherlands (SKN); Note: no info from Defence for Children – ECPAT Netherlands	Yes
HOA-REC	Sustainable Energy project (ICCO Alliance): 2014 Innovative WASH (WASH Alliance): Dec 2015	Yes	Yes	Yes	Yes - slightly	ICCO	No - not fully matching
HUNDEE	Dec 2014	Yes	Yes	Yes	Yes	ICCO & IICD	Yes
NVEA	Dec 2015 (both)	Yes	Yes	Yes	Yes	Edukans Foundation (under two consortia); Stichting Kinderpostzegels Netherlands (SKN)	Suitable but SKN already involved for process tracing FSCE
OSRA	C4C Alliance project (farmers marketing): December 2014 ICCO Alliance project (zero grazing: 2014 (2nd phase)	Yes	Yes	Yes	Yes	ICCO & IICD	Suitable but ICCO & IICD already involved for process tracing - HUNDEE
TTCA	June 2015	Partly	Yes	No	Yes	Edukans Foundation	No - not fully matching

INDIA

For India the capability that is mostly targeted by CFAs is the capability to act and commit. The next one in line is the capability to adapt and self-renew. See also the table below in which a higher score means that the specific capability is more intensively targeted.

Table 3

The extent to which the Dutch NGO explicitly targets the following capabilities – India[7]

Capability to:	BVHA	COUNT	DRISTI	FFID	Jana Vikas	Samarthak Samiti	SMILE	SDS	VTRC
Act and commit	5	3	4	4	4	4	4	3	5
Deliver on development objectives	1	5	1	1	1	1	1	2	1
Adapt and self-renew	2	2	1	3	1	1	4	1	4
Relate	3	1	1	1	1	1	2	1	2
Achieve coherence	1	1	1	4	1	1	1	1	2

Note: Number 1 stands for not targeted, 5 for intensively targeted. These scores are relative scores for the interventions by the CFA to strengthen the capacity of the SPO. The scores are relative to each other, a higher score means that this capability gets more attention by the CFA compared to other capabilities.

Source: country baseline report, India.

Below you can see a table describing when the contract with the SPO is to be ended and whether SPO and the CFA both expect to focus on these two selected capabilities (with MFS II funding). Based on the above-mentioned selection criteria the following SPOs are selected for process tracing: BVHA, COUNT, FFID, SMILE and VTRC. Except for SMILE (capability to act and commit only), for the other SPOs the focus for process tracing can be on the capability to act and commit and on the capability to adapt and self-renew.

Table 4

SPOs selected for process tracing – India

India – SPOs	End of contract	Focus on capability to act and commit– by SPO	Focus on capability to act and commit – by CFA	Focus on capability to adapt and self-renew –by SPO	Focus on capability to adapt and self-renew – by CFA	CFA	Selected for process tracing
BVHA	2014	Yes	Yes	Yes	Yes	Simavi	Yes; both capabilities
COUNT	2015	Yes	Yes	Yes	Yes	Woord en Daad	Yes; both capabilities
DRISTI	31-03-2012	Yes	Yes	No	no	Hivos	No - closed in 2012
FFID	30-09-2014	Yes	Yes	Yes	Yes	ICCO	Yes

[7] RGVN, NEDSF and Women's Rights Forum (WRF) could not be reached timely during the baseline due to security reasons. WRF could not be reached at all. Therefore these SPOs are not included in Table 1.

India – SPOs	End of contract	Focus on capability to act and commit– by SPO	Focus on capability to act and commit – by CFA	Focus on capability to adapt and self-renew –by SPO	Focus on capability to adapt and self-renew – by CFA	CFA	Selected for process tracing
Jana Vikas	2013	Yes	Yes	Yes	No	Cordaid	No - contract is and the by now; not fully matching focus
NEDSF							No – delayed baseline
RGVN							No - delayed baseline
Samarthak Samiti (SDS)	2013 possibly longer	Yes	Yes	Yes	No	Hivos	No - not certain of end date and not fully matching focus
Shivi Development Society (SDS)	Dec 2013 intention 2014	Yes	Yes	Yes	No	Cordaid	No - not fully matching focus
Smile	2015	Yes	Yes	Yes	Yes	Wilde Ganzen	Yes; first capability only
VTRC	2015	Yes	Yes	Yes	Yes	Stichting Red een Kind	Yes; both capabilities

INDONESIA

For Indonesia the capabilities that are most frequently targeted by CFAs are the capability to act and commit and the capability to adapt and self-renew. See also the table below.

Table 5

The extent to which the Dutch NGO explicitly targets the following capabilities – Indonesia

Capability to:	ASB	Daya kologi	ECPAT	GSS	Lem baga Kita	Pt. PPMA	Rifka Annisa	WIIP	Yad upa	Yayasan Kelola	YPI	YRBI
Act and commit	4	4	4	5	4	4	5	3	3	2	5	4
Deliver on development objectives	1	1	1	2	2	1	2	1	1	1	1	1
Adapt and self-renew	3	1	2	4	2	3	4	4	1	1	4	3
Relate	1	1	2	3	3	2	1	2	2	2	3	2
Achieve coherence	1	1	1	2	1	1	2	2	1	1	2	1

Note: Number 1 stands for not targeted, 5 for intensively targeted. These scores are relative scores for the interventions by the CFA to strengthen the capacity of the SPO. The scores are relative to each other, a higher score means that this capability gets more attention by the CFA compared to other capabilities.

Source: country baseline report, Indonesia.

The table below describes when the contract with the SPO is to be ended and whether both SPO and the CFA expect to focus on these two selected capabilities (MFS II funding). Based on the above-mentioned selection criteria the following SPOs are selected for process tracing: ASB, ECPAT, Pt.PPMA, YPI, YRBI.

Table 6

SPOs selected for process tracing – Indonesia

Indonesia – SPOs	End of contract	Focus on capability to act and commit– by SPO	Focus on capability to act and commit – by CFA	Focus on capability to adapt and self-renew – by SPO	Focus on capability to adapt and self-renew – by CFA	CFA	Selected for process tracing
ASB	February 2012; extension Feb,1, 2013 – June,30, 2016	Yes	Yes	Yes	Yes	Hivos	Yes
Dayakologi	2013; no extension	Yes	Yes	Yes	No	Cordaid	No: contract ended early and not matching enough
ECPAT	August 2013; Extension Dec 2014	Yes	Yes	Yes, a bit	Yes	Free Press Unlimited - Mensen met een Missie	Yes
GSS	31 December 2012; no extension	Yes	Yes	Yes, a bit	Yes	Free Press Unlimited - Mensen met een Missie	No: contract ended early
Lembaga Kita	31 December 2012; no extension	Yes	Yes	No	Yes	Free Press Unlimited - Mensen met een Missie	No - contract ended early
Pt.PPMA	May 2015	Yes	Yes	No	Yes	IUCN	Yes, capability to act and commit only
Rifka Annisa	Dec, 31 2015	No	Yes	No	Yes	Rutgers WPF	No - no match between expectations CFA and SPO
WIIP	Dec 2015	Yes	Not MFS II	Yes	Not MFS II	Red Cross	No - Capacity development interventions are not MFS II financed. Only some overhead is MFS II

Indonesia – SPOs	End of contract	Focus on capability to act and commit– by SPO	Focus on capability to act and commit – by CFA	Focus on capability to adapt and self-renew – by SPO	Focus on capability to adapt and self-renew – by CFA	CFA	Selected for process tracing
Yayasan Kelola	Dec 30, 2013; extension of contract being processed for two years (2014-2015)	Yes	Not really	Yes	Not really	Hivos	No - no specific capacity development interventions planned by Hivos
YPI	Dec 31, 2015	Yes	Yes	Yes	Yes	Rutgers WPF	Yes
YRBI	Oct, 30, 2013; YRBI end of contract from 31st Oct 2013 to 31st Dec 2013. Contract extension proposal is being proposed to MFS II, no decision yet.	Yes	Yes	Yes	Yes	ICCO	Yes
Yadupa	Under negotiation during baseline; new contract 2013 until now	Yes	Nothing committed	Yes	Nothing committed	IUCN	No, since nothing was committed by CFA

LIBERIA

For Liberia the situation is arbitrary which capabilities are targeted most CFA's. Whilst the capability to act and commit is targeted more often than the other capabilities, this is only so for two of the SPOs. The capability to adapt and self-renew and the capability to relate are almost equally targeted for the five SPOs, be it not intensively. Since the capability to act and commit and the capability to adapt and self-renew are the most targeted capabilities in Ethiopia, India and Indonesia, we choose to focus on these two capabilities for Liberia as well. This would help the synthesis team in the further analysis of these capabilities related to process tracing. See also the table below.

Table 7

The extent to which the Dutch NGO explicitly targets the following capabilities – Liberia

Capability to:	BSC	DEN-L	NAWOCOL	REFOUND	RHRAP
Act and commit	5	1	1	1	3
Deliver on development objectives	3	1	1	1	1
Adapt and self-renew	2	2	2	2	2
Relate	1	2	2	2	2
Achieve coherence	1	1	1	1	1

Note: Number 1 stands for not targeted, 5 for intensively targeted. These scores are relative scores for the interventions by the CFA to strengthen the capacity of the SPO. The scores are relative to each other, a higher score means that this capability gets more attention by the CFA compared to other capabilities.

Source: country baseline report, Liberia.

Below you can see the table describing when the contract with the SPO is to be ended, and whether both SPO and the CFA expect to focus on these two selected capabilities (with MFS II funding). Also, for two of the five SPOs capability to act and commit is targeted more intensively compared to the other capabilities. Based on the above-mentioned selection criteria the following SPOs are selected for process tracing: BSC and RHRAP.

Table 8

SPOs selected for process tracing – Liberia

Liberia – SPOs	End of contract	Focus on capability to act and commit– by SPO	Focus on capability to act and commit – by CFA	Focus on capability to adapt and self-renew –by SPO	Focus on capability to adapt and self-renew – by CFA	CFA	Selected for process tracing
BSC	Dec 31, 2015	Yes	Yes	Yes	Yes	SPARK	Yes
DEN-L	2014	No	No	Unknown	A little	ICCO	No – not matching enough
NAWOCOL	2014	Yes	No	No	A little	ICCO	No – not matching enough
REFOUND	At least until 2013 (2015?)	Yes	No	Yes	A little	ICCO	No – not matching enough
RHRAP	At least until 2013 (2014?)	Yes	Yes	Yes	Yes	ICCO	Yes

Key steps in process tracing for the 5C study

In the box below you will find the key steps developed for the 5C process tracing methodology. These steps will be further explained here. Only key staff of the SPO is involved in this process: management; programme/ project staff; and monitoring and evaluation staff, and other staff that could provide information relevant to the identified outcome area/key organisational capacity change. Those SPOs selected for process tracing had a separate endline workshop, in addition to the ' general endline workshop. This workshop was carried out after the initial endline workshop and the interviews during the field visit to the SPO. Where possible, the general and process tracing endline workshop have been held consecutively, but where possible these workshops were held at different points in time, due to the complex design of the process. Below the detailed steps for the purpose of process tracing are further explained.

Key steps in process tracing for the 5C study

1. Identify the planned MFS II supported capacity development interventions within the selected capabilities (capability to act and commit and capability to adapt and self-renew) – CDI team
2. Identify the implemented MFS II supported capacity development interventions within the selected capabilities (capability to act and commit and capability to adapt and self-renew) – CDI team
3. Identify initial changes/ outcome areas in these two capabilities – CDI team & in-country team
4. Construct the detailed, initial causal map (theoretical model of change) – CDI team & in-country team
5. Identify types of evidence needed to verify or discard different causal relationships in the model of change – in-country teams, with support from CDI team
6. Collect data to verify or discard causal mechanisms and construct workshop based, detailed causal map (model of change) – in-country team
7. Assess the quality of data and analyse data and develop final detailed causal map (model of change) – in-country team with CDI team
8. Analyse and conclude on findings– CDI team, in collaboration with in-country team

Some definitions of the terminology used for this MFS II 5c evaluation

Based upon the different interpretations and connotations the use of the term causal mechanism we use the following terminology for the remainder of this paper:

A **detailed causal map** (or **model of change)** = the representation of all possible explanations – causal pathways for a change/ outcome. These pathways are that of the intervention, rival pathways and pathways that combine parts of the intervention pathway with that of others. This also depicts the reciprocity of various events influencing each other and impacting the overall change.

A **causal mechanism** = is the combination of parts that ultimately explains an outcome. Each part of the mechanism is an individually insufficient but necessary factor in a whole mechanism, which together produce the outcome (Beach and Pedersen, 2013, p. 176).

Part or **cause** = one actor with its attributes carrying out activities/ producing outputs that lead to change in other parts. The final part or cause is the change/ outcome.

Attributes of the actor = specificities of the actor that increase his chance to introduce change or not such as its position in its institutional environment.

*Step 1. Identify the **planned MFS II supported capacity development interventions** within the selected capabilities (capability to act and commit and capability to adapt and self-renew) – CDI team*

Chapter 4.1 and 4.2 in the baseline report were reviewed. Capacity development interventions as planned by the CFA for the capability to act and commit and for the capability to adapt and self-renew were described and details inserted in the summary format. This provided an overview of the capacity development activities that were originally planned by the CFA for these two capabilities and assisted in focusing on relevant outcomes that are possibly related to the planned interventions.

*Step 2. Identify the **implemented capacity development interventions** within the selected capabilities (capability to act and commit and capability to adapt and self-renew) – CDI team*

The input from the CFA was reviewed in terms of what capacity development interventions have taken place in the MFS II period. This information was be found in the 'Support to capacity development sheet - endline - CFA perspective' for the SPO, based on details provided by the CFA and further discussed during an interview by the CDI team.

The CFA was asked to describe all the MFS II supported capacity development interventions of the SPO that took place during the period 2011 up to now. The CDI team reviewed this information, not only the interventions but also the observed changes as well as the expected long-term changes, and

then linked these interventions to relevant outcomes in one of the capabilities (capability to act and commit; and capability to adapt and self-renew).

*Step 3. Identify **initial changes/ outcome areas** in these two capabilities – by CDI team & in-country team*

The CDI team was responsible for coding documents received from SPO and CFA in NVivo on the following:

- 5C Indicators: this was to identify the changes that took place between baseline and endline. This information was coded in Nvivo.
- Information related to the capacity development interventions implemented by the CFA (with MFS II funding) (see also Step 2) to strengthen the capacity of the SPO. For example, the training on financial management of the SPO staff could be related to any information on financial management of the SPO. This information was coded in Nvivo.

In addition, the response by the CFA to the changes in 5C indicators format, was auto-coded.

The in-country team was responsible for timely collection of information from the SPO (before the fieldwork starts). This set of information dealt with:

- MFS II supported capacity development interventions during the MFS II period (2011 until now).
- Overview of all trainings provided in relation to a particular outcome areas/organisational capacity change since the baseline.
- For each of the identified MFS II supported trainings, training questionnaires have been developed to assess these trainings in terms of the participants, interests, knowledge and skills gained, behaviour change and changes in the organisation (based on Kirkpatrick's model), one format for training participants and one for their managers. These training questionnaires were sent prior to the field visit.
- Changes expected by SPO on a long-term basis ('Support to capacity development sheet - endline - SPO perspective').

For the selection of change/ outcome areas the following criteria were important:

- The change/ outcome area is in one of the two capabilities selected for process tracing: capability to act and commit or the capability to adapt and self-renew. This was the first criteria to select upon.
- There was a likely link between the key organisational capacity change/ outcome area and the MFS II supported capacity development interventions. This also was an important criteria. This would need to be demonstrated through one or more of the following situations:
  - In the 2012 theory of change on organisational capacity development of the SPO a link was indicated between the outcome area and MFS II support;
  - During the baseline the CFA indicated a link between the planned MFS II support to organisational development and the expected short-term or long-term results in one of the selected capabilities;
  - During the endline the CFA indicated a link between the implemented MFS II capacity development interventions and observed short-term changes and expected long-term changes in the organisational capacity of the SPO in one of the selected capabilities;
  - During the endline the SPO indicated a link between the implemented MFS II capacity development interventions and observed short-term changes and expected long-term changes in the organisational capacity of the SPO in one of the selected capabilities.

Reviewing the information obtained as described in Step 1, 2, and 3 provided the basis for selecting key organisational capacity change/ outcome areas to focus on for process tracing. These areas were to be formulated as broader outcome areas, such as 'improved financial management', 'improved monitoring and evaluation' or 'improved staff competencies'.

Note: the outcome areas were to be formulated as intermediates changes. For example: an improved monitoring and evaluation system, or enhanced knowledge and skills to educate the target group on

climate change. Key outcome areas were also verified - based on document review as well as discussions with the SPO during the endline.

*Step 4. Construct the **detailed, initial causal map** (theoretical model of change) – CDI & in-country team*

A detailed initial causal map was developed by the CDI team, in collaboration with the in-country team. This was based on document review, including information provided by the CFA and SPO on MFS II supported capacity development interventions and their immediate and long-term objectives as well as observed changes. Also, the training questionnaires were reviewed before developing the initial causal map. This detailed initial causal map was to be provided by the CDI team with a visual and related narrative with related references. This initial causal map served as a reference point for further reflection with the SPO during the process tracing endline workshop, where relationships needed to be verified or new relationships established so that the second (workshop-based), detailed causal map could be developed, after which further verification was needed to come up with the final, concluding detailed causal map.

It's important to note that organisational change area/ outcome areas could be both positive and negative.

For each of the selected outcomes the team needed to make explicit the theoretical model of change. This meant finding out about the range of different actors, factors, actions, and events etc. that have contributed to a particular outcome in terms of organisational capacity of the SPO.

A model of change of good quality includes:

- The causal pathways that relate the intervention to the realised change/ outcome;
- Rival explanations for the same change/ outcome;
- Assumptions that clarify relations between different components or parts;
- Case specific and/or context specific factors or risks that might influence the causal pathway, such as for instance the socio-cultural-economic context, or a natural disaster;
- Specific attributes of the actors e.g. CFA and other funders.

A model of change (within the 5C study called a 'detailed causal map') is a complex system which produces intermediate and long-term outcomes by the interaction of other parts. It consists of parts or causes that often consist of one actor with its attributes that is implementing activities leading to change in other parts (Beach & Pedersen, 2013). A helpful way of constructing the model of change is to think in terms of actors carrying out activities that lead to other actors changing their behaviour. The model of change can be explained as a range of activities carried out by different *actors* (including the CFA and SPO under evaluation) that will ultimately lead to an outcome. Besides this, there are also '*structural*' elements, which are to be interpreted as external factors (such as economic conjuncture); and *attributes* of the actor (does the actor have the legitimacy to ask for change or not, what is its position in the sector) that should be looked at (Beach & Pedersen, 2013). In fact Beach and Pedersen, make a fine point about the subjectivity of the actor in a dynamic context. This means, in qualitative methodologies, capturing the changes in the actor, acted upon area or person/organisation, in a non sequential and non temporal format. Things which were done recently could have corrected behavioural outcomes of an organisation and at the same ime there could be processes which incrementally pushed for the same change over a period of time. Beach and Pedersen espouse this methodology because it captures change in a dynamic fashion as against the methodology of logical framework. For the MFS II evaluation it was important to make a distinction between those paths in the model of change that are the result of MFS II and rival pathways.
The construction of the model of change started with the identified key organisational capacity change/ outcome, followed by an inventory of all possible subcomponents that possibly have caused the change/ outcome in the MFS II period (2011-up to now, or since the baseline). The figure below presents an imaginary example of a model of change. The different colours indicate the different types of support to capacity development of the SPO by different actors, thereby indicating different pathways of change, leading to the key changes/ outcomes in terms of capacity development (which in this case indicates the ability to adapt and self-renew).

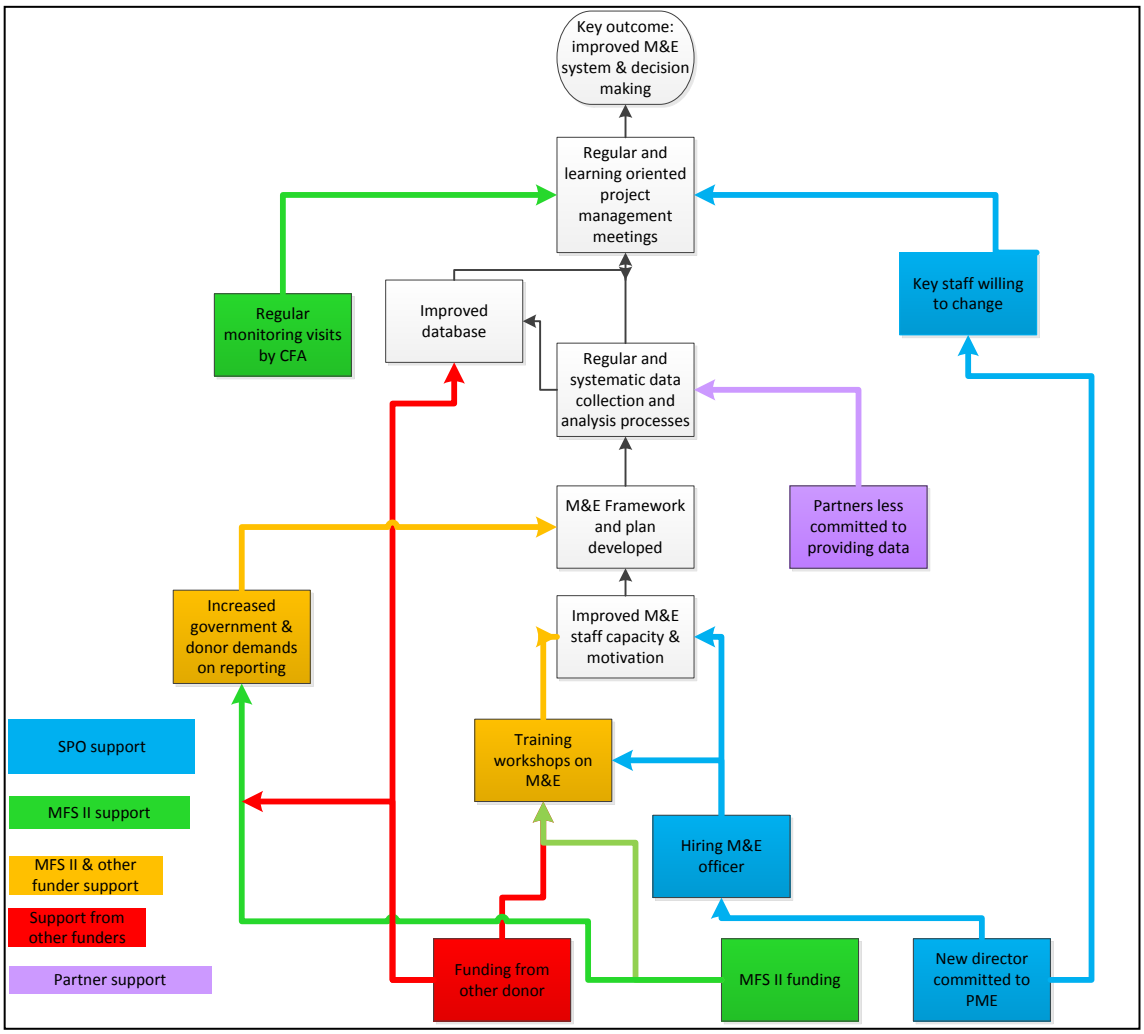


Figure 1 *An imaginary example of a model of change*

Step 5. Identify ***types of evidence*** *needed to verify or discard different causal relationships in the model of change – in-country teams with support from CDI team*

Once the causal mechanism at theoretical level were defined, empirical evidence was collected so as to verify or discard the different parts of this theoretical model of change, confirm or reject whether subcomponents have taken place, and to find evidence that confirm or reject the causal relations between the subcomponents.

A key question that we needed to ask ourselves was, *"What information do we need in order to confirm or reject that one subcomponent leads to another, that X causes Y?"*. The evaluation team needed to agree on what information was needed that provides empirical manifestations for each part of the model of change.

There are four distinguishable types of evidence that are relevant in process tracing analysis: *pattern, sequence, trace, and account*. Please see the box below for descriptions of these types of evidence.

The evaluation team needed to agree on the types of evidence that was needed to verify or discard the manifestation of a particular part of the causal mechanism. Each one or a combination of these different types of evidence could be used to confirm or reject the different parts of the model of change. This is what is meant by robustness of evidence gathering. Since causality as a concept can bend in many ways, our methodology, provides a near scientific model for accepting and rejecting a particular type of evidence, ignoring its face value.

Types of evidence to be used in process tracing

Pattern evidence relates to predictions of statistical patterns in the evidence. For example, in testing a mechanism of racial discrimination in a case dealing with employment, statistical patterns of employment would be relevant for testing this part of the mechanism.

Sequence evidence deals with the temporal and spatial chronology of events predicted by a hypothesised causal mechanism. For example, a test of the hypothesis could involve expectations of the timing of events where we might predict that if the hypothesis is valid, we should see that the event B took place after event A took place. However, if we found that event B took place before event A took place, the test would suggest that our confidence in the validity of this part of the mechanism should be reduced (disconfirmation/ falsification).

Trace evidence is evidence whose mere existence provides proof that a part of a hypothesised mechanism exists. For example, the existence of the minutes of a meeting, if authentic ones, provide strong proof that the meeting took place.

Account evidence deals with the content of empirical material, such as meeting minutes that detail what was discussed or an oral account of what took place in the meeting.

Source: Beach and Pedersen, 2013

Below you can find a table that provides guidelines on what to look for when identifying types of evidence that can confirm or reject causal relationships between different parts/ subcomponents of the model of change. It also provides one example of a part of a causal pathway and what type of information to look for.

Table 9

Format for identifying types of evidence for different causal relationships in the model of change (example included)

Part of the model of change	Key questions	Type of evidence needed	Source of information
Describe relationship between the subcomponents of the model of change	Describe questions you would like to answer a so as to find out whether the components in the relationship took place, when they took place, who was involved, and whether they are related	Describe the information that we need in order to answer these questions. Which type of evidence can we use in order to reject or confirm that subcomponent X causes subcomponent Y? Can we find this information by means of : Pattern evidence; Sequence evidence; Trace evidence; Account evidence?	Describe where you can find this information
Example: Training workshops on M&E provided by MFS II funding and other sources of funding	Example: What type of training workshops on M&E took place? Who was trained? When did the training take place? Who funded the training? Was the funding of training provided before the training took place? How much money was available for the training?	Example: Trace evidence: on types of training delivered, who was trained, when the training took place, budget for the training Sequence evidence on timing of funding and timing of training Content evidence: what the training was about	Example: Training report SPO Progress reports interviews with the CFA and SPO staff Financial reports SPO and CFA

Please note that for practical reasons, the 5C evaluation team decided that it was easier to integrate the specific questions in the narrative of the initial causal map. These questions would need to be addressed by the in country team during the process tracing workshop so as to discover, verify or discard particular causal mechanisms in the detailed, initial causal map. Different types of evidence was asked for in these questions.

Step 6. ***Collect data*** *to verify or discard causal mechanisms and develop workshop-based, detailed causal map – in-country team*

Once it was decided by the in-country and CDI evaluation teams what information was to be collected during the interaction with the SPO, data collection took place. The initial causal maps served as a basis for discussions during the endline workshop with a particular focus on process tracing for the identified organisational capacity changes. But it was considered to be very important to understand from the perspective of the SPO how they understood the identified key organisational capacity change/outcome area has come about. A new detailed, workshop-based causal map was developed that included the information provided by SPO staff as well as based on initial document review as described in the initial detailed causal map. This information was further analysed and verified with other relevant information so as to develop a final causal map, which is described in the next step.

Step 7. ***Assess the quality*** *of data and* ***analyse data****, and develop the* ***final detailed causal map*** *(model of change) – in-country team and CDI team*

Quality assurance of the data collected and the evidence it provides for rejecting or confirming parts of causal explanations are a major concern for many authors specialised in contribution analysis and process-tracing. Stern et al. (2012), Beach and Pedersen (2013), Lemire, Nielsen and Dybdal (2012), Mayne (2012) and Delahais and Toulemonde (2012) all emphasise the need to make attribution/ contribution claims that are based on pieces of evidence that are rigorous, traceable, and credible. These pieces of evidence should be as explicit as possible in proving that *subcomponent X causes subcomponent Y* and ruling out other explanations. Several tools are proposed to check the nature and the quality of data needed. One option is, Delahais and Toulemonde's Evidence Analysis Database, which we have adapted for our purpose.

Delahais and Toulemonde (2012) propose an Evidence Analysis Database that takes into consideration three criteria:

Confirming/ rejecting a causal relation (yes/no);
Type of causal mechanism: intended contribution/ other contribution/ condition leading to intended contribution/ intended condition to other contribution/ feedback loop;
Strength of evidence: strong/ rather strong/ rather weak/ weak.

We have adapted their criteria to our purpose. The in-country team, in collaboration with the CDI team, used the criteria in assessing whether causal relationships in the causal map, were strong enough. This has been more of an iterative process trying to find additional evidence for the established relationships through additional document review or contacting the CFA and SPO as well as getting their feedback on the final detailed causal map that was established. Whilst the form below has not been used exactly in the manner depicted, it has been used indirectly when trying to validate the information in the detailed causal map. After that, the final detailed causal map is established both as a visual as well as a narrative, with related references for the established causal relations.

Example format for the adapted evidence analysis database (example included) **Description of causal relation**	**Confirming/ rejecting a causal relation (yes/no)**	**Type of information providing the background to the confirmation or rejection of the causal relation**	**Strength of evidence: strong/ rather strong/ rather weak/ weak**	**Explanation for why the evidence is (rather) strong or (rather) weak, and therefore the causal relation is confirmed/ rejected**
e.g. Training staff in M&E leads to enhanced M&E knowledge, skills and practice	e.g. Confirmed	e.g. Training reports confirmed that staff are trained in M&E and that knowledge and skills increased as a result of the training		

Step 8. ***Analyse and conclude*** *on findings– in-country team and CDI team*

The final detailed causal map was described as a visual and narrative and this was then analysed in terms of the evaluation question two and evaluation question four: *"To what degree are the changes identified in partner capacity attributable to development interventions undertaken by the MFS II consortia (i.e. measuring effectiveness)?"* and *"What factors explain the findings drawn from the questions above?"* It was analysed to what extent the identified key organisational capacity change can be attributed to MFS II supported capacity development interventions as well as to other related factors, interventions and actors.

Explaining factors – evaluation question 4

This paragraph describes the data collection and analysis methodology for answering the fourth evaluation question: **"What factors explain the findings drawn from the questions above?"**

In order to explain the changes in organisational capacity development between baseline and endline (evaluation question 1) the CDI and in-country evaluation teams needed to review the indicators and how they have changed between baseline and endline and what reasons have been provided for this. This has been explained in the first section of this appendix. It has been difficult to find detailed explanations for changes in each of the separate 5c indicators, but the 'general causal map' has provided some ideas about some of the key underlying factors actors and interventions that influence the key organisational capacity changes, as perceived by the SPO staff.

For those SPOs that are selected for process tracing (evaluation question 2), more in-depth information was procured for the identified key organisational capacity changes and how MFS II supported capacity development interventions as well as other actors, factors and interventions have influenced these changes. This is integrated in the process of process tracing as described in the section above.

Methodological reflection

Below a few methodological reflections are made by the 5C evaluation team.

Use of the 5 core capabilities framework and qualitative approach: this has proven to a be very useful framework to assess organisational capacity. The five core capabilities provide a comprehensive picture of the capacity of an organisation. The capabilities are interlinked, which was also reflected in the description of standard indicators, that have been developed for the purpose of this 5C evaluation

and agreed upon for the eight countries. Using this framework with a mainly qualitative approach has provided rich information for the SPOs and CFAs, and many have indicated this was a useful learning exercise.

Using standard indicators and scores: using standard indicators is useful for comparison purposes. However, the information provided per indicator is very specific to the SPO and therefore makes comparison difficult. Whilst the description of indicators has been useful for the SPO and CFA, it is questionable to what extent indicators can be compared across SPOs since they need to be seen in context, for them to make meaning. In relation to this, one can say that scores that are provided for the indicators, are only relative and cannot show the richness of information as provided in the indicator description. Furthermore, it must be noted that organisations are continuously changing and scores are just a snapshot in time. There cannot be perfect score for this. In hindsight, having rubrics would have been more useful than scores.

General causal map: whilst this general causal map, which is based on key organisational capacity changes and related causes, as perceived by the SPO staff present at the endline workshop, has not been validated with other sources of information except SPO feedback, the 5C evaluation team considers this information important, since it provides the SPO story about how and which changes in the organisation since the baseline, are perceived as being important, and how these changes have come about. This will provide information additional to the information that has been validated when analysing and describing the indicators as well as the information provided through process tracing (selected SPOs). This has proven to be a learning experience for many SPOs.

Using process tracing for dealing with the attribution question: this theory-based and mainly qualitative approach has been chosen to deal with the attribution question, on how the organisational capacity changes in the organisations have come about and what the relationship is with MFS II supported capacity development interventions and other factors. This has proven to be a very useful process, that provided a lot of very rich information. Many SPOs and CFAs have already indicated that they appreciated the richness of information which provided a story about how identified organisational capacity changes have come about. Whilst this process was intensive for SPOs during the process tracing workshops, many appreciated this to be a learning process that provided useful information on how the organisation can further develop itself. For the evaluation team, this has also been an intensive and time-consuming process, but since it provided rich information in a learning process, the effort was worth it, if SPOs and CFAs find this process and findings useful.

A few remarks need to be made:

- Outcome explaining process tracing is used for this purpose, but has been adapted to the situation since the issues being looked at were very complex in nature.
- Difficulty of verifying each and every single change and causal relationship:
- Intensity of the process and problems with recall: often the process tracing workshop was done straight after the general endline workshop that has been done for all the SPOs.In some cases, the process tracing endline workshop has been done at a different point in time, which was better for staff involved in this process, since process tracing asks people to think back about changes and how these changes have come about. The word difficulties with recalling some of these changes and how they have come about. See also the next paragraph.
- Difficulty of assessing changes in knowledge and behaviour: training questionnaire is have been developed, based on Kirkpatrick's model and were specifically tailored to identify not only the interest but also the change in knowledge and skills, behaviour as well as organisational changes as a result of a particular training. The retention ability of individuals, irrespective of their position in the organisation, is often unstable. The 5C evaluation team experienced that it was difficult for people to recall specific trainings, and what they learned from those trainings. Often a change in knowledge, skills and behaviour is a result brought about by a combination of different factors , rather than being traceable to one particular event. The detailed causal maps that have been established, also clearly pointed this. There are many factors at play that make people change their behaviour, and this is not just dependent on training but also internal/personal (motivational) factors as well as factors within the organisation, that stimulate or hinder a person to change behaviour. Understanding how behaviour change works is important when trying to really understand the extent to which behaviour has changed as a result of different factors, actors and interventions. Organisations change because people change and therefore understanding when and

how these individuals change behaviour is crucial. Also attrition and change in key organisational positions can contribute considerably to the outcome.

Utilisation of the evaluation

The 5C evaluation team considers it important to also discuss issues around utility of this evaluation. We want to mention just a few.

Design – mainly externally driven and with a focus on accountability and standard indicators and approaches within a limited time frame, and limited budget: this MFS II evaluation is originally based on a design that has been decided by IOB (the independent evaluation office of the Dutch Ministry of Foreign Affairs) and to some extent MFS II organisations. The evaluators have had no influence on the overall design and sampling for the 5C study. In terms of learning, one may question whether the most useful cases have been selected in this sampling process. The focus was very much on a rigorous evaluation carried out by an independent evaluation team. Indicators had to be streamlined across countries. The 5C team was requested to collaborate with the other 5C country teams (Bangladesh, Congo, Pakistan, Uganda) to streamline the methodological approach across the eight sampled countries. Whilst this may have its purpose in terms of synthesising results, the 5C evaluation team has also experienced the difficulty of tailoring the approach to the specific SPOs. The overall evaluation has been mainly accountability driven and was less focused on enhancing learning for improvement. Furthermore, the timeframe has been very small to compare baseline information (2012) with endline information (2014). Changes in organisational capacity may take a long, particularly if they are related to behaviour change. Furthermore, there has been limited budget to carry out the 5C evaluation. For all the four countries (Ethiopia, India, Indonesia, Liberia) that the Centre for Development Innovation, Wageningen University and Research centre has been involved in, the budget has been overspent.

However, the 5C evaluation team has designed an endline process whereby engagement of staff, e.g. in a workshop process was considered important, not only due to the need to collect data, but also to generate learning in the organisation. Furthermore, having general causal maps and detailed causal maps generated by process tracing have provided rich information that many SPOs and CFAs have already appreciated as useful in terms of the findings as well as a learning process.

Another issue that must be mentioned is that additional requests have been added to the country teams during the process of implementation: developing a country based synthesis; questions on design, implementation, and reaching objectives of MFS II funded capacity development interventions, whilst these questions were not in line with the core evaluation questions for the 5C evaluation.

Complexity and inadequate coordination and communication: many actors, both in the Netherlands, as well as in the eight selected countries, have been involved in this evaluation and their roles and responsibilities, were often unclear. For example, 19 MFS II consortia, the internal reference group, the Ministry of Foreign Affairs, Partos, the Joint Evaluation Trust, NWO-Wotro, the evaluators (Netherlands and in-country), 2 external advisory committees, and the steering committee. Not to mention the SPO's and their related partners and consultants. CDI was involved in 4 countries with a total number of 38 SPOs and related CFAs. This complexity influenced communication and coordination, as well as the extent to which learning could take place. Furthermore, there was a distance between the evaluators and the CFAs, since the approach had to be synchronised across countries, and had to adhere to strict guidelines, which were mainly externally formulated and could not be negotiated or discussed for the purpose of tailoring and learning. Feedback on the final results and report had to be provided mainly in written form. In order to enhance utilisation, a final workshop at the SPO to discuss the findings and think through the use with more people than probably the one who reads the report, would have more impact on organisational learning and development. Furthermore, feedback with the CFAs has also not been institutionalised in the evaluation process in the form of learning events. And as mentioned above, the complexity of the evaluation with many actors involved did not enhance learning and thus utilization.

5C Endline process, and in particular thoroughness of process tracing often appreciated as learning process: The SPO perspective has also brought to light a new experience and technique of self-

assessment and self-corrective measures for managers. Most SPOs whether part of process tracing or not, deeply appreciated the thoroughness of the methodology and its ability to capture details with robust connectivity. This is a matter of satisfaction and learning for both evaluators and SPOs. Having a process whereby SPO staff were very much engaged in the process of self-assessment and reflection has proven for many to be a learning experience for many, and therefore have enhanced utility of the 5C evaluation.

Appendix 2 Background information on the five core capabilities framework

The 5 capabilities (5C) framework was to be used as a framework for the evaluation of capacity development of Southern Partner Organisations (SPOs) of the MFS II consortia. The 5C framework is based on a five-year research program on 'Capacity, change and performance' that was carried out by the European Centre for Development Policy Management (ECDPM). The research included an extensive review of the literature and sixteen case studies. The 5C framework has also been applied in an IOB evaluation using 26 case studies in 14 countries, and in the baseline carried out per organisation by the MFS II organisations for the purpose of the monitoring protocol.
The 5C framework is structured to understand and analyse (changes in) the capacity of an organization to deliver (social) value to its constituents. This introduction briefly describes the 5C framework, mainly based on the most recent document on the 5C framework (Keijzer et al., 2011).

The 5C framework sees capacity as an **outcome** of an **open system**. An organisation or collaborative association (for instance a network) is seen as a system interacting with wider society. The most critical practical issue is to ensure that relevant stakeholders share a common way of thinking about capacity and its core constituents or capabilities. Decisive for an organisation's capacity is the context in which the organisation operates. This means that **understanding context issues** is crucial. The use of the 5C framework requires a multi-stakeholder approach because shared values and results orientation are important to facilitate the capacity development process. The 5C framework therefore needs to **accommodate the different visions** of stakeholders and conceive different strategies for raising capacity and improving performance in a given situation.
The 5C framework defines capacity as '**producing social value'** and identifies five core capabilities that together result in that overall capacity. Capacity, capabilities and competences are seen as follows:

Capacity is referred to as the overall ability of an organisation or system to create value for others;

Capabilities are the collective ability of a group or a system to do something either inside or outside the system. The collective ability involved may be technical, logistical, managerial or generative (i.e. the ability to earn legitimacy, to adapt, to create meaning, etc.);

Competencies are the energies, skills and abilities of individuals.

Fundamental to developing capacity are inputs such as human, material and financial resources, technology, and information. To the degree that they are developed and successfully integrated, capabilities contribute to the overall capacity or ability of an organisation or system to create value for others. A single capability is not sufficient to create capacity. All are needed and are strongly interrelated and overlapping. Thus, to achieve its development goals, the 5C framework says that every organisation or system must have **five basic capabilities:**
- The capability to act and commit;
- The capability to deliver on development objectives;
- The capability to adapt and self-renew;
- The capability to relate (to external stakeholders);
- The capability to achieve coherence.

In order to have a common framework for evaluation, the five capabilities have been reformulated in outcome domains and for each outcome domain performance indicators have been developed.

There is some overlap between the five core capabilities but together the five capabilities result in a certain level of capacity. Influencing one capability may have an effect on one or more of the other capabilities. In each situation, the level of any of the five capabilities will vary. Each capability can become stronger or weaker over time.

Appendix 3 Changes in organisational capacity of the SPO - 5C indicators

Below you will find a description for each of the indicators under each of the capabilities, what the situation is as assessed during the endline, how this has changed since the baseline and what are the reasons for change.

Capability to act and commit

Level of Effective Leadership

1.1.Responsive leadership: 'Leadership is responsive, inspiring, and sensitive'

This is about leadership within the organisation (operational, strategic). If there is a larger body then you may also want to refer to leadership at a higher level but not located at the local organisation.

Jana Vikas leadership is approachable and responsive. The director is an MBA graduate in rural management and has served in Jana Vikas as assistant director before becoming the director in 2013. During the baseline there was a lack of two-way communication between the director and the (field) staff. Since the baseline he has improved his relationship and communication with the board members, staff and members of the target groups. The leader has become very innovative in strengthening his relationship with the staff and the target groups. For e.g. after becoming the director he decided to spend one week in the field and one week in the office, throughout the year, to get better interaction with the staff and target groups. The leadership of the organization has established open sharing platforms during meetings. Staff can approach and share their concern with the director at any point of time. Staff indicate that the level of hierarchy in the organization has blurred. Field staff can directly communicate with the director. This has led to increased transparency and mutual trust between the director and other staff.

The leadership takes initiative in planning strategies and policies for resource mobilisation and for implementing their programme. The leadership responded to the feedback given by external evaluators appointed by Cordaid, regarding the need to overhaul the organisational structure which resulted in a change in the organogram. This external evaluation in 2013 flagged that there was space for improvement for JV's leader to engage with board members through presenting project updates and propose new ideas for the development of Jana Vikas, as most staff don't even know who the board members are and what their role is in the organisation. The external evaluator also observed that the board approves policies but that there is no follow up whether the policies are being implemented or not. To address this, in the strategic plan for 2014-18 the responsibilities of the governing board and the director were outlined. Since this evaluation in 2013, the leader's relationship with the board members has strengthened, so that the leadership faced no hurdle in making Jana Vikas an independent organisation, separate from the Catholic Charity.

Score baseline: 2.5

Score endline: 3.5 (improvement)

1.2.Strategic guidance: 'Leaders provide appropriate strategic guidance (strategic leader and operational leader)'

This is about the extent to which the leader(s) provide strategic directions

Jana Vikas has a competent and active board comprising nine members from the field of administration, social sector, academics and priests. The Board meets at least once in the year and if needed twice a year. Leadership is in charge of the overall monitoring of the organisation. However,

approval for new projects is dependent on the board, that also looks into policy formulation/amendments required for bidding for new projects. The leader takes initiative in developing strategic planning and policies, for example: he took appropriate steps when there was a change in the national and local context and government policies. With this change a new strategic plan has been drafted in alignment with the mission and vision for the 2014-18 period. He also initiated a change in the organogram to have a more focused approach toward the programs and has been involved in developing new policies in alignment with mission and vision such as the child protection policy and disability policy. The leader took initiative in developing strategic planning for resource mobilization and led from the front in delivering services. For example, in the post Phailin relief work the director led from the front in distributing relief aids, mobilising resources for relief, lobbying government to declare some blocks of Kandhamal as Phailin affected area etc. While during the baseline there was a communication gap between the leadership and the staff members, now there is increased collective involvement of staff in decision making and discussion. Role clarity and milestone setting in which guidance is provided by the leadership have helped with this.

Score baseline: 3.0

Score endline: 3.5 (slight improvement)

1.3.Staff turnover: 'Staff turnover is relatively low'

This is about staff turnover.

Jana Vikas has been able to keep the staff turnover low, which is attributed to shifting of their office to the project area. During the baseline it was mentioned that it was difficult to recruit new staff in Kandhamal because of its remoteness and presence of Naxalites (militant groups). Now, communication in Kandhamal has increased and the connectivity with the state capital has improved. There has been a slight decrease in the concerns related to the Naxalites within the district. More people with professional degree are available within the job market. During the baseline accommodation for the staff was a problem in after the riots in 2008, but this has improved now. Better internet access also makes working easier. Independence to work and take decisions has increased and there has been a more positive image of Jana Vikas both within community and with the government. This has helped the staffs at different levels. Over the last two years of the 92 staff, six have left due to getting a government job, a job closer to home and to care for their new born babies. There has been recruitment of two skilled professional staff to the organisation. This has been due to a better recruitment process through a recruitment committee, better HR policy, staff social security as motivating factor (MFS II funded the social security of staff) and staff are allowed to take leave for examination preparation if pursuing higher education.

Score baseline: 3.0

Score endline: 3.25 (very slight improvement)

Level of realistic strategic planning

1.4.Organisational structure: 'Existence of clear organisational structure reflecting the objectives of the organisation'

Observable indicator: Staff have copy of org structure and understand this

Jana Vikas has a well-defined and documented organogram. The organisational structure provides for proper devolution of work and accountability at all levels. Since the baseline there has been an organisational restructuring, to ensure the clarity for all staff members in terms of their roles and responsibilities that was lacking during the baseline. For instance, the Executive Director has to report to the Governing Body and is in turn supported by the Assistant Director. The Assistant Director is further in charge of the programme unit, HRD (Human Resource Development) unit, Resource unit, Administration Unit and Finance unit. He is further helped by the programme staff, coordinator and accountants. Jana Vikas' management has consciously formed different committees (the Core committee, Grievance committee, Gender and sexual harassment committee, Staff council and Resource mobilization committee, Procurement committee) to oversee the administrative processes

and implementation of policies of the organisation. These committees take decisions on important issues. Grievances of the staffs can be easily brought to the notice and addressed within 21 days. Another issue that has improved since the baseline is the hierarchical structure. While this was strong two years ago now he level of hierarchy in the organization has blurred and field staff can directly communicate with the director.

There are now seven thematic committees in place that consist of staff of different departments. These committees ensure that the policies of Jana Vikas are followed and implemented.

Score baseline: 3.0

Score endline: 4.0 (improvement)

1.5.Articulated strategies: 'Strategies are articulated and based on good situation analysis and adequate M&E'

Observable indicator: strategies are well articulated. Situation analysis and monitoring and evaluation are used to inform strategies.

After Jana Vikas' strategic plan for 2007-2012, the organisation decided to develop a new strategic plan that would be relevant and effective in the changing scenario. To assist in this, the Association for Stimulating Know How (ASK) was given the responsibility to conduct a situational and context analysis to understand the progress and change in the environment in July 2013. There is now a strategic plan for 2014-2018 in place which is based on the situational analysis done by ASK. Several strategies were developed to strengthen Jana Vikas' position as a direct implementer, capacity building and resource organisation. In Jana Vikas there is an Annual Quarterly Review meeting to analyse the progress of the organisation and for preparing strategic planning. There are monthly-review meetings as well as, mid-term reviews. The overall approach of Jana Vikas has changed from activity based monitoring to results based monitoring, but systematic analysis from the data collected is still lacking. This new strategic plan seems to still lack an explicit financing strategy, as was the case in the baseline. Therefore there has been no change in this indicator.

Score baseline: 3.5

Score endline: 3.5 (no change)

Level of translation of strategy into operations

1.6.Daily operations: 'Day-to-day operations are in line with strategic plans'

This is about the extent to which day-to-day operations are aligned with strategic plans.

Daily operations of Jana Vikas are in line with its strategic plan. There is a clear monthly plan for each staff member to implement their project activities. Staff is given regular orientation in monthly and annual review and planning meetings. There is increase in the frequency of the meetings and feedback with the shift of the office to the project area. Also the Director's presence in the field for one week also helps in operationalizing the strategic plan. The activities have become more result oriented. Field level staff is able to take more ownership and is able to deal with problems independently at their level as their confidence has increased. There is a clear monitoring and evaluation system by program managers and coordinators and give hand-holding support to field level staffs for result based work. The new PME unit monitor, evaluate and analyse the data and this gives clear direction for the implementation of the plan. The changes in the daily operations are aligned to the feedback from the donor and its external evaluator. Though there is a clear monthly implementation plan for each staff and regular orientation of the staff in programme implementation, Jana Vikas still needs to improve its planning capacities in term of timely submission of monitoring reports to Cordaid.

Score baseline: 4.0

Score endline: 4.0 (no change)

Level of staff capacity and motivation

1.7.*Staff skills: 'Staff have necessary skills to do their work'*

This is about whether staff have the skills necessary to do their work and what skills they might they need.

There has been a very slight improvement in the indicator. Jana Vikas continues to have well-qualified and professionally competent staff and has hired two new skilled staff over the last two years. During the baseline the staff could further enhance their skills in business planning, addressing social issues, communication on government schemes, strategic planning, results based management, reporting and business processes. Some of these gaps have been worked on. Senior staff now give trainings to communities and NGO staff on different government schemes and provisions as they have become better in communicating about this. From Cordaid they have received input on value chains, marketing and business plans in the value chain project, and this has improved their skills in business processes. There have been various trainings through which staff have improved their skills on micro-entrepreneurship, communication, networking, advocacy, writing proposal, results based monitoring, training of trainers, data collection, report writing, SHG management. These skills are then used in training the SHGs, cooperative members and CBOs on these topics. There is, however, still a need for handholding support for a longer period on improving documentation.

Score baseline: 4.0

Score endline: 4.5 (slight improvement)

1.8.Training opportunities: 'Appropriate training opportunities are offered to staff'

This is about whether staff at the SPO are offered appropriate training opportunities

Staff of Jana Vikas is continued to be offered a range of training opportunities both internally as well as internally. Cordaid has continued to fund services and trainings provided by ASK for improving Jana Vikas' capacity. Trainings continue to be needs based. Over the last two years JV has implemented more trainings for its staff. Most of the trainings are facilitated by ASK India, Hennery Martin Institute Hyderabad, SFDC, Trocaire, CSFHR and have been on topics such as government schemes, FRA, Minority provision, Sexual Assault for women, Micro-Plan, Land productivity, Effect Base Monitoring, RTI, Child Protection Act, RBM, PME, business planning, report writing, policy development, etc.

Some of the specific trainings that were given to Jana Vikas staff over the last two years:

- Training on Lobby Right to Information (RTI) Act: In 2012 training on Lobby Right to Information Act was organised by Jana Vikas with the help of an external resource person from ASK India and was funded by MFS II, Cordaid. As a result of this training staff emerged as RTI activists. The training imparted knowledge to staff and improved confidence in lobby and advocacy activities. Five Information centres at five Gram Panchayats have been set up to facilitate the communities to access different news, forms, current affairs and information on schemes.
- Training on PME: Four days training program was organised from 13-16 April 2013 at N. Nuagaon by Jana Vikas which was facilitated by ASK India and supported by Cordaid ((MFS II funding). The objective of the training was to capacitate the staff on situational analysis, project formation, M&E, reporting and documentation. The facilitator practically helped them to prepare result based project proposals development, problem tree analysis, impact analysis, results based monitoring etc. As a result the capacity of the staff improved to fine-tune MIS formats and indicators to collect focused data from the field and analyse it to find gaps. The findings of the data are further used to develop proposals.
- Training on SHG Management: On 30th April 2013 capacity building training was organised on SHG management facilitated by ASK India, New Delhi. The objective of the training was to train the staff on gradation of the SHGs, record keeping, format development for MIS etc. This training was funded by Cordaid.
- Training on Strategic planning: was conducted from 15th to 21th August 2013 on strategic planning was organised in two phases at K. Nuagaon which was facilitated by ASK India, New Delhi. The objective of the training was to discuss different contextual issues and train the staff to find the gaps and make strategic planning to address the issues. This training was funded by Cordaid.

- Training on Government Entitlements: On 22nd November 2013 training on Government Entitlement was organised by Jana Vikas at K. Nuagaon, facilitated by external resource person. The objective of the workshop was to train the staff on how to make people aware of government schemes, benefits of the schemes, how to apply the schemes etc. This training was funded by Cordaid.
- Workshop on Policy Development: The workshop on Policy Development was organised at K. Nuagaon, facilitated by ASK India, New Delhi in 21-26 February, 2014. The external resource person trained the staff to review and revise the policies on Human Resource, Gender, Finance and HIV/AIDS. The staffs were capacitated to develop new policies such as, Child Protection Policy, Disability Policy and Environment Policy. New Committees were also setup for better and faster implementation of the projects. This training was funded by Cordaid.
- FCRA Outreach Seminar: One day outreach seminar was organised and funded by the Ministry of Home Affairs (Foreign Division) on 8th May 2014 at Bhubaneswar. The object of the training was to train the participants on various provisions of Foreign Contribution Regulation Act, 2010 and FCRA Rules 2011. This resulted in exchanging ideas and views on FCRA related issues.
- 'Women atrocity" in BBSR conducted by NAWO on July, 2014. This training was funded by the government of Odisha and Trocaire, India.

During the baseline there was a felt need for a HR department to deal with HR related issues and plan training initiatives on regular intervals. After the baseline a HR policy has been put in place and the staff felt that the trainings have helped a lot in putting better systems in place. Also staff feel that trainings are held at more regular intervals. As the Forest Rights Act is an emerging issue in context to Kandhamal, intensive trainings on this topic are still required for staff.

Score baseline: 4.0

Score endline: 4.5 (slight improvement)

1.9.1.Incentives: 'Appropriate incentives are in place to sustain staff motivation'

This is about what makes people want to work here. Incentives could be financial, freedom at work, training opportunities, etc.

While during the baseline staff enjoyed freedom at work and got satisfaction from doing good, their salaries were low and they had no social security. Over the last two years, Jana Vikas has worked towards implementing an organisational policy of increasing the salary of its employees by ten percent every year for those working in the Cordaid funded projects; and for the rest the increase is five percent. Salaries are inflation adjusted. Salaries are given to staff during leave on health grounds. Furthermore, staff have been provided with motorcycles and bicycles to visit the fields, whilst the government has put a lot of emphasis in constructing roads to improve the connectivity between interior villages and the state highways. This not only motivated the staff but helped them to visit fields with ease and frequently. Mobile and internet facilities are also provided during field visits. Another motivational factor are the skill building for staff through providing them trainings and exposure visits.

The organisational assessment by ASK in July 2013 found that although JV is registered under the Employment Provident Fund (EPF) Act, the organisation is not providing provident fund to their staff. As discussed with the Director and Assistant Director, the organisation is working under project mode and are therefore unable to provide EPF. Under government norms, every institution that employs 20 or more employees should provide this provident fund. The HR and administrative staff of JV indicated that provisions have been made for the Employment Provident Fund and Life Insurance Policy. New committees were formed to deal with staff issues in a timely manner, such as the grievance shell, staff council and the sexual harassment committee.

Score baseline: 3.0

Score endline: 3.5 (slight improvement)

Level of Financial Resource Security

1.9.2.Funding sources: 'Funding from multiple sources covering different time periods'

This is about how diversified the SPOs funding sources are over time, and how the level of funding is changing over time.

Jana Vikas continues to receive funding from the funders that were there during the baseline: MISEREOR, ENTRIDE, Trocaire, Manos Unidas, Diocese Mangalore and Cordaid. Cordaid funding runs until May 2015. In addition to the existing donors, JV has mobilised funds from new donors such as the National Foundation of India, New Delhi for the REHNUMA project, the Young Women Christian Association and the Indo-Global Social Service Society (IGSSS). Proposals to funders such as NABARD, KNH Germany, Restless Development International, Ministry of Minority affairs for a Projects on minorities, are in the pipeline. Jana Vikas has been able to approach these new donors because of various reasons including, better proposal writing and better networking with the government and NGOs also because of their involvement in the relief and humanitarian assistance following the floods and the cyclone Phailin.

Score baseline: 3.5

Score endline: 4.0 (slight improvement)

1.9.3.Funding procedures: 'Clear procedures for exploring new funding opportunities'

This is about whether there are clear procedures for getting new funding and staff are aware of these procedures.

During the baseline there were no procedures for exploring new funding and there were no discussions within the organisation on this topic. Now there is a resource mobilisation department and a PME unit that together track contextual issues and funding opportunities. The resource mobilization department has been restructured to nurture and leverage new funding sources both at national and international level. Cordaid provided funding to establish these different departments. New skilled and professional staff was hired for these departments. Existing staff improved their capacity in reporting, proposal development and case study writing to increase visibility of the organisation. Jana Vikas' website development is in progress to increase visibility of the organisation and mobilise funds.

The new strategic plan 2014-2018 keeps in mind the contextual issues to better mobilize funds from different sources, keeping in mind donor priorities. Within this strategic plan strategies and procedures to leverage funds from state, national and international donors are included. There is now also more open discussion among staff about exploring funding opportunities. The governing board has approved the organisation to explore new funding opportunities. Jana Vikas has been exposed to and updated about funding opportunities through their alliance partners in the REHNUMA project funded, being a member of the Civil Society Forum for Human Rights, and through the FCRA seminar organized by the Ministry of home affairs, and now they are better aware of the government regulations for receiving foreign contributions.

Score baseline: 1.0

Score endline: 3.0 (considerable improvement)

Summary of capability to act and commit

Since the baseline, the two-way communication between the director and the (field) staff and target groups has improved. The leader has become very innovative in strengthening his relationship with the staff and the target groups. The communication gap between the leadership and the staff members was closed as now there is increased collective involvement of staff in decision making and discussion. Since an external evaluation in 2013, the relationship between the board members and the leader has strengthened and in the strategic plan for 2014-2018 the responsibilities of the governing board and the director were clarified. Since the baseline there has been an organisational restructuring, to ensure the clarity for all staff members in terms of their roles and responsibilities that was lacking during the baseline. The hierarchical structure, while this was strong two years ago, now

the level of hierarchy in the organization has blurred. There are now seven thematic committees in place that ensure that the policies of Jana Vikas are followed and implemented. The organisation now has a new strategic plan in place for 2014-2018, which was based on the situational and context analysis done by ASK to adapt it to the changing environment. There is still no systematic use of M&E findings in the strategic plan and also an explicit financing strategy linked to the strategic plan is lacking. Jana Vikas' daily operations are still in line with this new strategic plan. There are clear monthly plans for each staff member to implement their project activities, but they need to improve their planning capacities in terms of timely submission of monitoring reports to Cordaid. Jana Vikas has been able to keep staff turnover low over the last two years. Of the 92 staff members, 6 have left due to better opportunities and family matters. It has become easier to recruit new staff as the project area (Kandhamal) is now better connected and concerns about Naxalites are less. This together with a better recruitment process has led to the recruitment of two new skilled staff who joined the new resource mobilisation unit and the PME unit. Also while during the baseline there was no social security, this is now in place. This was made possible by MFS II funding from Cordaid. Over the last two years Jana Vikas has worked on several gaps in staff skills that were mentioned during the baseline. They have improved their skills in business process, communication on government schemes, results based managed and SHG management to name a few. There is, however, still a need for handholding support for a longer period on improving documentation. Over the last two years JV has implemented more trainings for its staff and most of the trainings are facilitated by ASK India, Hennery Martin Institute Hyderabad, SFDC, Trocaire, CSFHR. Trainings are felt to be held at more regular intervals, but training on the emerging issue of the Forest Rights Act is still required. These trainings are one of the motivational factors of JV's staff. Since the baseline the salaries have increased with 10 percent per year for Cordaid funded project staff and with 5 percent for other staff. Provisions have been made to continue paying staff when on health leave and for Employment Provident Fund and Life Insurance Policy. New committees were formed to deal with staff issues in a timely manner, such as the grievance shell, staff council and the sexual harassment committee. Regarding JV's funding situation, they have expanded their donor base, which existed of 6 donors during the baseline with new funders such as the National Foundation of India, New Delhi for the REHNUMA project, the Young Women Christian Association and the Indo-Global Social Service Society (IGSSS). Proposals to funders such as NABARD, KNH Germany, Restless Development International, Ministry of Minority affairs, are in the pipeline. While during the baseline there were no funding procedures and there was no discussions on exploring new funding, now in the new strategic plan funding procedures are included and staff discuss more openly about this topic. The establishment of a resource mobilisation department, improved capacity of staff to write proposals, improved networking and training on the FCRA have further helped Jana Vikas in streamlining its activities to explore new funding opportunities.

Score baseline: 3.1

Score endline: 3.8 (slight improvement)

Capability to adapt and self-renew

Level of effective application of M&E

2.1.M&E application: 'M&E is effectively applied to assess activities, outputs and outcomes'

This is about what the monitoring and evaluation of the SPO looks at, what type of information they get at and at what level (individual, project, organisational).

In the last two years, the PME (Planning Monitoring and Evaluation) unit has become operational and has developed a checklist for each project activity to enable better monitoring. This helps to collect data for review and analysis of a programme which is then used for preparing reports and for proposal writing for upcoming projects. The PME team meets quarterly to review the progress and discuss on strategic planning. Along with this, a core committee has been formed to review and monitor the progress of the projects. Some efforts have been made to modify the MIS tool to link it to result based management (RBM) and to collect focused data from the community members, project coordinators, Panchayati Raj Institution (PRI) members, and other government institutions. The PME policy has been revised and is awaiting governing board's approval.

The organisational assessment by ASK India in July 2013 helped Jana Vikas to identify the gaps in the PME system. Based on this finding a strategic plan for 2014-18 was formulated which further strengthened the PME system. In the light of this strategic plan a full time personnel is appointed to work for a separate PME unit is established with the support from Cordaid. Jana Vikas also shifted its monitoring process from activity based monitoring to results based management (RBM). It is also looking forward to develop software to maintain MIS to generate information.

Score baseline: 2.0

Score endline: 3.0 (improvement)

2.2.M&E competencies: 'Individual competencies for performing M&E functions are in place'

This is about whether the SPO has a trained M&E person; whether other staff have basic understanding of M&E; and whether they know what information to collect, how to process the information, how to make use of the information so as to improve activities etc.

During the baseline the Program and Monitoring Unit was formally in place, but not operational. This unit is now called the PME unit and has skilled staff that works on streamlining the M&E system. Cordaid funding has made this possible. It was also noted during the baseline that staff needed training in results based monitoring. Staff have received training in this (funded by Cordaid) and new skilled M&E staff has been hired. The programme managers now have checklists and formats to guide them in the M&E process.

They now use excel sheets to collect and analyse the data and in future they look forward to implement software to maintain MIS to generate information. PME staff are better skilled to monitor, collect and analyse the data. After analysing the data they use it for program development, proposal and report writing, but it is still not used strategically for future plans. Field staff is trained in developing monitoring tools and documenting case studies, which are facilitated by PME staff. For effective functioning of PME, some of the experienced and senior professionals are involved in planning, monitoring and evaluation process.

In JV's strategic plan for 2014-2018 it is noted that the organisational assessment from 2013 found that result oriented PME systems are not developed, reporting from the field is not in line with the indicators, systematic documentation for field interventions need to be strengthened and that follow up on findings and recommendations from evaluations is needed. Now a structural arrangement has been made and a full time personnel is dedicated for the strengthening of PME system. There is, thus, still a need for other staff to undergo training on it for better exercise in the field for data collection and analysis which is in the process.

Score baseline: 2.5

Score endline: 3.0 (slight improvement)

Level of strategic use of M&E

2.3.M&E for future strategies: 'M&E is effectively applied to assess the effects of delivered products and services (outcomes) for future strategies'

This is about what type of information is used by the SPO to make decisions; whether the information comes from the monitoring and evaluation; and whether M&E info influences strategic planning.

There has been a very slight improvement in this indicator. Since the baseline, a separate PME unit has become operational to streamline the monitoring of the projects. Data collection is said to have improved and the PME unit uses the data for report and proposal writing. They have improved somewhat in their MIS as they now make use of excel to enter collected data and analyse it. An improved MIS system still needs to be established. Lessons from the present M&E results can help in problem analysis and better data collection from the field level. The core team of Jana Vikas continues to meet frequently to review and analyse the data once every two months to take suitable action. In this way monitoring information is used operationally.

However in the strategic plan for 2014 – 2018 among the issues that are highlighted that came out of the organization assessment done by ASK, "to improve the concrete level of planning and follow up on findings and recommendations of evaluations" is mentioned. This is an issue that Jana Vikas is working on and is trying to implement. For example, Jana Vikas indicates that findings and recommendations from Cordaid are shared among the staffs of the concerned project and that they have taken actions based on evaluations.

Score baseline: 1.0

Score endline: 1.25 (very slight improvement)

Level of openness to strategic learning

2.4.Critical reflection: 'Management stimulates frequent critical reflection meetings that also deal with learning from mistakes'

This is about whether staff talk formally about what is happening in their programs; and, if so, how regular these meetings are; and whether staff are comfortable raising issues that are problematic.

Jana Vikas continues to have monthly meetings with the programme managers to get an update of the progress of the programmes. While during the baseline there was a communication gap between the field staff and (middle) management, now by shifting its office from Bhubaneshwar to the project area, the relationship with the field staff has strengthened and this is important for having critical reflection meetings.

In 2013 the organisation critically reflected on its strategic plan and did a SWOT analysis before formulating its new strategic plan for 2014-2018. In general, in the annual general meetings all staff gather to discuss their programme and review its progress. In the meetings the senior level management is approachable, responsive and supportive which motivated the staff to openly and freely discuss their problems and resolve those issues. Critical questioning across programmes activities is now encouraged and team members can openly discuss their problems and resolve those issues.

With the restructuring of the organisation seven thematic committees were formed. In the committee meetings problematic issues, grievances and needs are discussed and within 21 days efforts are made to address these issues. One of these committees is the staff council. Any staff issues are brought to the knowledge of the staff council. The committees meet at least once in a month but basically as per the need the team sits to handle the issues. These developments were the effect of the baseline evaluation report, feedback from Cordaid and the development and revision of JV's policies. The setting up Jana Vikas as an independent organisation, separate from Catholic Charity has been an outcome of these critical reflections.

Score baseline: 2.5

Score endline: 3.0 (slight improvement)

2.5. Freedom for ideas: 'Staff feel free to come up with ideas for implementation of objectives

This is about whether staff feel that ideas they bring for implementation of the program are welcomed and used.

Jana Vikas' organogram has undergone a change. This has impacted the interaction among staff within the organisation. The staff of Jana Vikas expresses their views in their meetings and there is a participatory way of decision making. Staffs are part of issue identification, proposal development, planning, implementation and evaluation. There is a democratic way of expressing one's own idea in the planning and general meetings by staffs. Staff are not only asked to give opinions but are also involved in a participatory way of decision making.

There is no longer a communication gap between management and the field as the interaction between the field staff and the management has improved because the director spends time in the field. This further motivated the field staff to come with ideas in the meetings; their views are incorporated in the strategic planning. While drafting the strategic planning for 2014-18 field staff

shared their ideas on the local context and the views were incorporated. Leadership of organization has established open sharing platforms during meetings. Staff can approach and share their concern with Director at any point of time. While there continues to be some hierarchy in the organisation as per the organogram, there is continuous sharing and feedback giving among staff.

Score baseline: 2.5

Score endline: 3.0 (slight improvement)

Level of context awareness

2.6.System for tracking environment: 'The organisation has a system for being in touch with general trends and developments in its operating environment'

This is about whether the SPO knows what is happening in its environment and whether it will affect the organization.

Jana Vikas shifted its office to the project area and as a result the staff is better informed about the local context. This led to better communication with the beneficiaries and government line department in the area. Jana Vikas staff regularly visits the concerned government departments at local, district and state level, builds network with the officials and invites them for various activities taken up by the organisation. The organisation also participates in government programmes and in this way gets better informed about the local context and government policies. Jana Vikas became a member of Civil Society Forum on Human Rights which also attributed to their increased knowledge of the issues taken up by them.

Jana Vikas gets information about is operating environment from its partners in the alliance REHNUMA and has started to network with the private sector, which also helps in this. Jana Vikas piloted a program 'Safeguarding program participant policy' where they set up complaint boxes in the villages. This facilitated in getting information on the local context. Through the People Led Development workshop and the Civil Society Empowerment project, Jana Vikas also tracked its environment. All in all, in comparison with the baseline Jana Vikas now has more sources of information, no longer only local organisations, but they also use their networks and government institutions.

Score baseline: 3.0

Score endline: 3.5 (slight improvement)

2.7.Stakeholder responsiveness: 'The organisation is open and responsive to their stakeholders and the general public'

This is about what mechanisms the SPO has to get input from its stakeholders, and what they do with that input.

Jana Vikas is responsive to the opinions of their stakeholders. This manifests itself in different ways:

- The staff of Jana Vikas participated in the Ambedkar samata mancha at block level to get inputs and share their views.
- The project coordinators and the management meet every 1st week of the month and the core team meets once in two months to discuss and make a plan to address the inputs provided by the stakeholders and partners.
- With the support of Trocaire, Jana Vikas has undertaken a pilot study on "safeguarding Programme Participants Policy"(SPPP) to ensure the feedbacks, inputs, and opinions of the stakeholders. Complaint boxes in its operational area to get responses and feedback from the stakeholders are now also used. The information that is collected from the stakeholders, is incorporated in proposal development, planning and other strategic decision making processes.
- REHNUMA project alliance partners meet to share and discuss issues related to peace and justice.

During the baseline it was mentioned that Jana Vikas had to be very cautious as some groups may not respond very well to the organisation. This had much to do with the image of Jana Vikas being a catholic organisation that only represented and defended a particular group in the volatile

environment of Khamandhal. Now they have become a separate entity and are no longer tied to the Catholic Church. This has helped Jana Vikas to increase its involvement with the local community and stakeholders from different religious and caste groups.

Score baseline: 2.5

Score endline: 3.5 (improvement)

Summary of capability to adapt and self-renew

Jana Vikas has improved its M&E application. Their PME unit is now functional and meets quarterly to review the progress and discuss on strategic planning. Some efforts have been made to modify the MIS tool to link it to results based management (RBM) and to collect focused data from stakeholders. Jana Vikas still needs to improve its reports planning capacities in terms of timely submission of monitoring reports to Cordaid. Staff has received training in results based monitoring and skilled M&E staff has been hired. Field staff is trained in developing monitoring tools and documenting case studies. During the organisational assessment in July 2013, ASK noted that Jana Vikas needs a PME policy to help maintain the quality of the M&E process and involvement of community members which was negligible then. A start has been made during a workshop in February 2014, but this PME policy is still in the pipeline. Staff still needs to undergo training on M&E for better exercise in the field for data collection and analysis. Since the baseline, a separate PME unit has become operational to streamline the monitoring of the projects. In this way monitoring information is used operationally by the core team to guide suitable actions. However in the strategic plan for 2014 – 2018 among the issues that are highlighted that came out of the organization assessment done by ASK, "to improve the concrete level of planning and follow up on findings and recommendations of evaluations" is mentioned. This is an issue that Jana Vikas is working on and is trying to implement. While during the baseline there was a communication gap between the field staff and (middle) management, now by shifting its office from Bhubaneshwar to the project area, the relationship with the field staff has strengthened. In 2013 the organisation critically reflected on its strategic plan and did a SWOT analysis before formulating its new strategic plan for 2014-2018. With the restructuring of the organisation seven thematic committees were formed who discuss problematic issues, grievances and needs address them within 21 days. While there continues to be some hierarchy in the organisation as per the organogram, there is continuous sharing and feedback giving among staff. In comparison with the baseline situation Jana Vikas now has more sources of information to track its operating environment. They no longer only get this information through local organisations, but also use their networks and government institutions. Jana Vikas is responsive to the opinions of their stakeholders. This manifests itself in different ways. During the baseline it was mentioned that Jana Vikas had to be very cautious as some groups may not respond very well to the organisation. Now they have become a separate entity and are no longer tied to the Catholic Church, which has made it easier to involve stakeholders from different religious and caste groups.

Score baseline: 2.3

Score endline: 2.9 (slight improvement)

Capability to deliver on development objectives

Extent to which organisation delivers on planned products and services

3.1.Clear operational plans: 'Organisation has clear operational plans for carrying out projects which all staff fully understand'

This is about whether each project has an operational work plan and budget, and whether staff use it in their day-to-day operations.

In Jana Vikas, all the programmes continue to have a detailed implementation plan that is made by the staff at the start of the project. The progress of the project is monitored and reviewed in monthly meetings and core committee meetings. In each review meeting the targets are reviewed and new targets are given in accordance with the annual strategic plan. During the baseline the monitoring of operations was merely based on activities, attempts have now been made to implement results based

monitoring. Each project has its operational plan and budget. Jana Vikas practices total transparency and the approved proposal and budget are given to the staff to make operational plans fully understandable for staff. The CFA, however, finds that planning at Jana Vikas is still weak and the time plans are not always realistic.

Score baseline: 3.0

Score endline: 3.0 (no change)

3.2.Cost-effective resource use: 'Operations are based on cost-effective use of its resources'

This is about whether the SPO has the resources to do the work, and whether resources are used cost-effectively.

While Jana Vikas was already using its resources quite cost-effectively during the baseline, now Jana Vikas has shifted its office to the project area thereby reducing the travel cost from Bhubaneswar to the project area. To save costs staff also multi-task. When there are trainings on similar themes, these are conducted for all the staff together. When going on monitoring visits, staff visit multiple projects in the same area. The organisation also makes conscious use of water and electricity and has recycling processes in practice for certain items.

Score baseline: 3.0

Score endline: 3.5 (slight improvement)

3.3.Delivering planned outputs: 'Extent to which planned outputs are delivered'

This is about whether the SPO is able to carry out the operational plans.

At Jana Vikas, the programme staff and the field staff are still motivated to work for the local people of their community in a spirited and a coordinated manner and therefore try to complete the assigned tasks as much as possible. Moving the office to the project area further motivated staff and allowed for more active monitoring of the programme. Given the volatility of the external environment of Jana Vikas many a times, the organisation had to modify its plans in order to carry out relief measures, as a result of which planned outputs had to be surrendered. This also happened in the 2012-2014 period. Apart from its ongoing programme activities, Jana Vikas worked on emergency response issues, relief and rehabilitation as the people in its operational areas faced the Phailin cyclone. Its work during this period has helped JV build good rapport and trust within the operational areas and it allows them to carry forward their initiatives for successful implementation of their ongoing programmes.

Score baseline: 3.0

Score endline: 3.0 (no change)

Extent to which delivered products and services are relevant for target population in terms of the effect they have

3.4.Mechanisms for beneficiary needs: 'The organisation has mechanisms in place to verify that services meet beneficiary needs'

This is about how the SPO knows that their services are meeting beneficiary needs

Jana Vikas continues to rely to a great extent on its field staff to provide the organisation with information related to beneficiary needs. Formats and indicators of the MIS has been modified to have better and focused data from the field and to identify whether the services meet beneficiary needs. Also the community leaders began to maintain records of the services they receive and do not receive. The organization still conducts SHG meetings, midterm evaluations and focussed group discussions that are used by field staff to get better feedback.

In the pilot project of “Safeguarding programme participant policy,” there is a complaint box set up by the organization in the project areas to receive feedback and grievances from the field and to respond quickly through local staff and management. Participants are asked to put forward their suggestion,

appreciation or grievances application or letter in this box, for people who are illiterate, they can file their complaint over the phone. All the complaints are registered and written in a register and the response is given to each person.

Score baseline: 3.0

Score endline: 3.25 (very slight improvement)

Level of work efficiency

3.5.Monitoring efficiency: 'The organisation monitors its efficiency by linking outputs and related inputs (input-output ratio's)'

This is about how the SPO knows they are efficient or not in their work.

During the baseline there was no dedicated M&E department, now the PME unit is operational. Staff has been trained in results based monitoring and has started with the performance matrix framework. There is however still no mechanism that links outputs to related inputs to monitor the organisation's efficiency.

Score baseline: 2.0

Score endline: 2.0 (no change)

3.6.Balancing quality-efficiency: 'The organisation aims at balancing efficiency requirements with the quality of its work'

This is about how the SPO ensures quality work with the resources available

During the baseline it was noted that Jana Vikas needed to expand its set of professional staff. Since then, the organisation has recruited two new skilled professional staff to ensure quality results. Furthermore with the support of Cordaid and through the handholding support by ASK, Jana Vikas tried to strengthen the capacity of the staff and management. Jana Vikas continues to have very motivated staff, so that even when working in an adverse situations like when the cyclone Phailin hit, they are committed to the marginalised and vulnerable population in the area and their work is being appreciated and the team is very well known in the community. The implementation of need based programmes has been influencing and motivating stakeholders at all levels. In this way Jana Vikas continues to seek to balance quality with efficiency through collaborating with the community, PRI members, government official and community block officers.

Score baseline: 3.0

Score endline: 3.0 (no change)

Summary of capability to deliver on development objectives

In Jana Vikas, all the programmes continue to have a detailed implementation plan that is made by the staff at the start of the project. Attempts are now made to monitoring the operations not only based on activities but based on results. The CFA finds that planning at Jana Vikas is still weak and the time plans are not always realistic. Jana Vikas has become more cost-effective in its resource use over the last two years because of reduction in travelling costs by moving the office to the project area, combining monitoring visits, giving joint trainings, making conscious use of water and electricity and recycling. Jana Vikas delivers most of its outputs because of its motivated staff, which was facilitated by active monitoring when they moved their office to the project area. Working in a volatile environment, their activities are often interrupted to carry out relief measures as was the case in 2013 with the Phailin cyclone. Jana Vikas continues to rely to a great extent on its field staff to provide the organisation with information related to beneficiary needs. A new initiative to find out whether services meet beneficiary needs is the complaint box in the pilot project on Safeguarding programme participant policy. Participants are asked to put forward their suggestions, appreciation or grievances application or letter in this box, everything is registered and the response is given to each person. There is still no system in place that links outputs to related inputs to monitor the organisation's

efficiency. Jana Vikas continues to seek to balance quality with efficiency through collaboration between its motivated and the community, PRI members, government official and community block officers, even in adverse situations.

Score baseline: 2.8

Score endline: 3.0 (very slight improvement)

Capability to relate

Level of involving external parties in internal policy/strategy development

4.1.Stakeholder engagement in policies and strategies: 'The organisation maintains relations/ collaboration/alliances with its stakeholders for the benefit of the organisation'

This is about whether the SPO engages external groups in developing their policies and strategies, and how.

During the baseline Jana Vikas consulted with its partner organisations like AFFRO, IDE, BASIX Indian-German Service and CRS and was involved in the Civil Society Network. These partnerships still continue. During the baseline it was also noted that JV needed to motivate its stakeholders to become involved in the planning and implementation process and to collaborate more with the government.

Now Jana Vikas takes inputs from its partners, target groups, government organisations at local, district and state level, and its REHNUMA alliance partners, before preparing their new strategic plan (2014-2018). Jana Vikas has improved its collaboration with the government as in the context analysis meeting of 2013 various stakeholders, partner NGOs, government line department, beneficiaries were asked to give their input on the activities of Jana Vikas and analyse the context. Due importance has been given to opinions and feedback of various stakeholders like the Forest department, the Health department, the Agriculture Department, PRI members, CBOs, SHG and Cooperative. Jana Vikas increases its interaction by sharing information through exchange of newsletter, IEC (Information Education and Communication) materials, diaries and annual planners.

Jana Vikas has improved their collaboration with the government over the last two years as during developing strategic plan of JV of 2014 – 2018, the local government officers from different departments: Block Development Officer, Project Administrator, Information Tribal Development Agency, Community Development Project Officer, Integrated Child Development Scheme, Medical Officer, Revenue Administrative Officer, Block Education Officer, District Welfare Officer, district collector, sub-collector, police authorities were asked to share their views, suggestions, statements and inspiring plans and ideas for better implementation of JV's programmes in order to achieve goal, objective, vision and mission of the organisation.

Score baseline: 3.0

Score endline: 4.0 (improvement)

Level of engagement of organisation in networks, alliances and collaborative efforts

4.2.Engagement in networks: 'Extent to which the organization has relationships with existing networks/alliances/partnerships'

This is about what networks/alliances/partnerships the SPO engages with and why; with they are local or international; and what they do together, and how do they do it.

Jana Vikas is still a member of the district level Phulbani Action Group (PAG) and the director became the treasurer of PAG. They also continue to collaborate with AFFRO, IDE, BASIX Indian-German Service, CRS, IDEI (International Development Enterprise India), Cordaid and ASK. They also continue to work with the human rights network called Civil Society Network. Its local partners still include as Pollishree, Pahara, Love India and Garden. New networks with NGOs that Jana Vikas has established over the last two years include Gramya Pragati, AJKA and MOOTH, NAWO, IWD, Sakal, Ajka, SFDC and so on. There are frequent meetings with these NGOs on local context and government entitlements. They became a member of a consortium known as DAVI (Dalit, Adivasi Vikas Initiative).

During the baseline the need to more proactively strengthen linkages with the government and work on (advocacy) interventions at the macro-level was flagged. Over the last two years Jana Vikas has worked on improving its network and linkages especially to mobilise resources and for advocacy initiatives. Some of the new partners are – Indo-Global Social Service Society (IGSSS) New Delhi, National Foundation of India New Delhi, YWCA Berhampur, Orissa, and the Civil Society Forum for Human Rights (CSFHR). They have formed linkages for their programmes with all 12 panchayats and 32 village ward members, Sarpanch, block chairman, local leaders, activists, civil society organisations, village level government officials like VLW (Village Level Workers), ASHA, Aganwadi workers (AWW), GRS (Gram Rozgar Sevak Sanghas), Gram Sabha, block level government officials like BDO (Block Development Officer), Tahsildar and other organisations like Antaranga Youth Clubs and with local schools. Along with this Jana Vikas has formed associations with national and state level organisations like the Henry Martyn Institute, Hyderabad, Free Press Media, AKS Vision, Chindu Group, Grassroots Comics, World Comic Arts, and Center for Social Justice, Loyola College Chennai, etc.

Jana Vikas has improved their collaboration with the government over the last two years as during developing strategic plan of JV of 2014 – 2018, the local government officers from different departments of BDO, ITDA, ICDS, Tahasil, Education, Primary Health Centre, DWO, district collector, sub-collector, local police station were asked to share their views, suggestions, statements and inspiring plans and ideas for better implementation of JV's programmes in order to achieve goal, objective, vision and mission of the organisation. In 2014 it became the alliance partner of REHNUMA in a project of the Ministry of Minorities Affairs (MoMA). There are altogether 11 partners in this project, who discuss, share and make strategic plans for capacity building of minorities and peace initiatives. It is supported by National Foundation for India (NFI) in collaboration with the Institute for Development Education and Learning (IDEAL) to pilot this project across MCDs (Minority Concentrated Districts) and blocks in 10 states of India where Entitlement Centres are already set up.

In the last two years, Jana Vikas has also strengthened its relationship with media by inviting them for various celebrations, programmes and events, allowing them to cover all major activities undertaken by them. They provide the media with various issues prevalent in the area, shared a documentary known as 'Barefoot'.

Score baseline: 3.0

Score endline: 4.0 (improvement)

Extent to which organisation is actively engaging with target groups

4.3.Engagement with target groups: 'The organisation performs frequent visits to their target groups/ beneficiaries in their living environment'

This is about how and when the SPO meets with target groups.

During the baseline threats by religious extremists, inaccessibility and lack of proper transports hindered the frequent visiting of JV's target groups. Now there are no more religious threats due to involvement of community stakeholders of different religious groups in different platforms working for peace building and the Biju gaon gadi (bus line) was inaugurated by the state government in 2014 to connect inaccessible areas to towns.

The interaction with the target groups has improved as office and management staff moved to the project area. Through the SPPP program (Safeguarding program participant policy) the organization could place complaint boxes in different field areas to get feedback, suggestions, grievances etc. This process also improved the communication with the target group. Other opportunities for staff and the target group to meet were during the Ambedkadkar samata mancha at block level which provided a platform to discuss several issues, during the cultural meet in district level organised to revive traditional culture and peace, a seed mela (festival) where different target groups participated and interacted, peace day celebration and women's day celebration where 200 women participated

In October 2013 Orissa was severely hit by the cyclone Phailin. During the recent humanitarian emergency assistance that Jana Vikas provided after the cyclone their target group was the direct participant in the beneficiary selection and distribution process so that right beneficiaries were

selected and benefitted. Jana Vikas actively worked for the victims irrespective of caste and religion through relief and rehabilitation activities in collaboration with government line departments and other civil society organisations. It caused harmony and integration among different ethnic groups in Kandhamal. This not only enhanced the visibility of the organisation but it helped improve relationship with government line departments. Besides this convergence with the government programme helped the community to access their entitlements. This has created confidence among the existing leaders (traditional leaders) to once again exercise their leadership and regain their self-esteem which they had lost. They have once again taken control over forest and forest products. Still communities' needs to go long way to go to market their produce in remunerative market and earn deserved amount.

Jana Vikas is working towards ensuring handholding support to communities working towards accessing these facilities by creating awareness among them. It was their work of efforts to re-establish and revive the SHGs that led to increasing confidence among the staff members. Women have actively participated for the first time in pollisabha and Gram sabha the lowest decision making body of the government for village development.

Score baseline: 3.0

Score endline: 4.0 (improvement)

Level of effective relationships within the organisation

4.4.Relationships within organisation: 'Organisational structure and culture facilitates open internal contacts, communication, and decision-making'

How do staff at the SPO communicate internally? Are people free to talk to whomever they need to talk to? When and at what forum? What are the internal mechanisms for sharing information and building relationships?

Over the last two years there has been an organisational restructuring. Jana Vikas' management has consciously formed different committees (the Core committee, Grievance committee, Gender and sexual harassment committee, Staff council and Resource mobilization committee, Procurement committee) to oversee the administrative processes and implementation of policies of the organisation. These committees take decisions on important issues. Grievances of the staffs can be easily brought to the notice and addressed within 21 days. Monthly review and planning meetings, quarterly meetings, core committee meetings and once in every two months facilitated the staff and the leader to interact frequently and freely. Shifting of the staff and the office to the project area enhanced the interaction among the field staff and management. As the director spends time in the field and in the office the interaction between the staff and the director has also improved.

While during the baseline there was a definite hierarchy amongst the staff which had the result that some staff did not feel free to speak out in front of higher level staff, now JV has created space and scope for all level of staff to interact without experiencing hierarchy, except for the hierarchy laid down in the organogram. A friendly working culture has been developed in the organisation as well as in at the community level working fields where all staff are equally respected. With the better available facilities of internet and mobile communication the interaction between the staff became more frequent and this built their relationships.

Score baseline: 3.0

Score endline: 3.5 (slight improvement)

Summary of capability to relate

Jana Vikas now takes inputs from its partners, target groups, government organisations at local, district and state level, before preparing their new strategic plan (2014-2018) and has improved its collaboration with the government. They improved their proactive collaboration with the government through asking the input of local government officers for the strategic plan and by becoming involved in the REHNUMA project of Ministry of Minorities Affairs (MoMA). Jana Vikas has strengthened and expanded its network with many local level organisations but has also to partner up with national level organisation for advocacy initiatives. In the last two years, Jana Vikas has also strengthened its

relationship with media by inviting them for various events, allowing them to cover all major activities undertaken by them. It is easier for JV to visit their target groups as there are no more religious threats due to involvement of community stakeholders of different religious groups in different platforms working for peace building and a bus line was inaugurated by the state government in 2014 to connect the inaccessible areas to town. The interaction with the target group also improved because JV's office moved to the project area and Jana Vikas worked together with their target group to provide humanitarian emergency assistance after the cyclone Phailin. Over the last two years there has been an organisational restructuring and Jana Vikas' management has consciously formed different committees to oversee the administrative processes and implementation of policies of the organisation. While during the baseline there was a definite hierarchy amongst the staff, now JV has created space and scope for all levels of staff to interact without experiencing hierarchy, except for the hierarchy laid down in the organogram. With the better available facilities of internet and mobile communication the interaction between the staff became more frequent and this built their relationships.

Score baseline: 3.0

Score endline: 3.9 (improvement)

Capability to achieve coherence

Existence of mechanisms for coherence

5.1.Revisiting vision, mission: 'Vision, mission and strategies regularly discussed in the organisation'

This is about whether there is a vision, mission and strategies; how often staff discuss/revise vision, mission and strategies; and who is involved in this.

Jana Vikas visualises a holistic, sustainable and developed society where people live united in diversity based on social and human values of justice and equity. The mission of Jana Vikas is to sensitize, organize, enable, empower and develop the poor and the marginalized. This has not changed since the baseline. During the baseline future plans were not discussed with (field) staff and discussions on vision, mission and strategies were not conducted on a regular basis. Now new staff are given orientation on the organisational vision, mission and strategy through an induction process using the local language and revisiting the organizational vision, mission is done annually and its strategy is revisited half yearly. A new strategic plan has been development for 2014-2018 in alignment with its vision and mission. For this Jana Vikas asked the Association for Stimulating Know How (ASK) to conduct a situational analysis and context analysis to understand the progress and change in the environment in 2013. All in all, Jana Vikas has always tried to be relevant and effective in its work and working style. As a result Jana Vikas continuously reflects, analyses, decides and acts upon its decisions to become a strong organisation. In line with this, a Strategic Planning process was carried out in August 2013 in which all staff was involved. In this strategic plan it is laid out that Jana Vikas will continue with its role in direct implementation of projects and programmes, but also work towards strengthening its role as a capacity building organisation and becoming a resource organisation. The focus of Resource organisation would be to enhance NGO partnership implementation, cultural emancipation and preservation of indigenous practices.

Score baseline: 2.5

Score endline: 3.5 (improvement)

5.2.Operational guidelines: 'Operational guidelines (technical, admin, HRM) are in place and used and supported by the management'

This is about whether there are operational guidelines, which operational guidelines exist; and how they are used.

During the baseline policies on HR, gender, admin, technical and finance these policies were not approved by the Governing Board and were not implemented. Now JV has a revisited policy on HR, Finance, Gender and has made new policies like Sexual harassment policy at workplace, Child protection policy, PME policy, Disability safeguarding policy, Environment protection policy. There has

been a workshop on Policy Development which was organised at K. Nuagaon, facilitated by ASK India, New Delhi in 21-26 February, 2014. The external resource person trained the staff to review and revise the policies on Human Resource, Gender, Finance and HIV/AIDS. The staff was capacitated to develop new policies such as, Child Protection Policy, Disability Policy and Environment Policy. New Committees were also setup for better and faster implementation of the projects. The PME policy has been developed but it needs to be further refined as per the current contextual needs and emerging issues. Informally the approvals for these new and revisited policies have been obtained but the formal approval is still in process. The HR, grievance and finance policies have been in track of effective implementation. Some of the senior staff and experienced professionals have managed to exercise the policies along with their individual project programs. All policies will be published in Oriya and English and it is mandatory for all the staff to go through these policies and to exercise them where needed. Jana Vikas has also looked into the social security of the staffs by implementing Employment Provident Fund and Life Insurance.

Score baseline: 3.0

Score endline: 3.5 (slight improvement)

Level of coherence of various efforts of organisation

5.3.Alignment with vision, mission: 'Projects, strategies and associated operations are in line with the vision and mission of the organisation'

This is about whether the operations and strategies are line with the vision/mission of the SPO.

Jana Vikas' strategies and project activities are still in line with the organisation's vision and mission. The locally recruited staff at the field level are very experienced, focussed and motivated in their work to improve the lives of the people in their communities.

Score baseline: 4.0

Score endline: 4.0 (no change)

5.4.Mutually supportive efforts: 'The portfolio of project (activities) provides opportunities for mutually supportive efforts'

This is about whether the efforts in one project complement/support efforts in other projects.

Jana Vikas' projects continue to be complementary: efforts in one project support those in another project. For example the project "Socio-economic development through civil society empowerment" has helped the organization to understand the in-depth function of the governance systems at the grassroots and the reasons for lack of access to government provisions and programs for the communities. This has helped the staff to understand the contextual issues better and incorporate it in the new strategic planning for 2014-18. Good practices in one programme are replicated in other programmes. The staff learns about the best practices and the failures of the programs during the general body meetings and carries forward the good ones. Establishment of SPPP (Safeguarding program participant policy) project helped learn the method of setting up complaint boxes among the target population so to collect proper feedback and report from the beneficiaries. This can be used in the strategic planning for other programmes. Jana Vikas' main approach is empowerment work but during emergencies (natural or manmade calamities) immediate support is required. Only in such cases, Jana Vikas will get involved in welfare or relief activities.

Score baseline: 4.0

Score endline: 4.0 (no change)

Summary of capability to achieve coherence

Jana Vikas now gives new staff orientation on the organisational vision, mission and strategy through an induction process using the local language. Revisiting the organizational vision and mission is done annually and its strategy is revisited half yearly. A new strategic plan has been development for 2014-

18 in alignment with its vision and mission. In the strategic planning process which was carried out in August 2013, all staff was involved. Jana Vikas has had a workshop on policy development. In this process they revisited the HR, gender, finance and HIV/AIDS policy and created new policies on child protection, disability, environment and PME. All these policies are approved informally but the formal approval is still in process. Jana Vikas has improved upon the social security of its staff. Jana Vikas' strategies and project activities are still in line with the organisation's vision and mission. Jana Vikas' projects continue to be complementary: efforts in one project support those in another project. Jana Vikas' main approach is empowerment work but during emergencies (natural or manmade calamities) immediate support is required. Only in such cases, Jana Vikas will get involved in welfare or relief activities.

Score baseline: 3.4

Score endline: 3.8 (slight improvement)

Appendix 4 Results - key changes in organisational capacity - general causal map

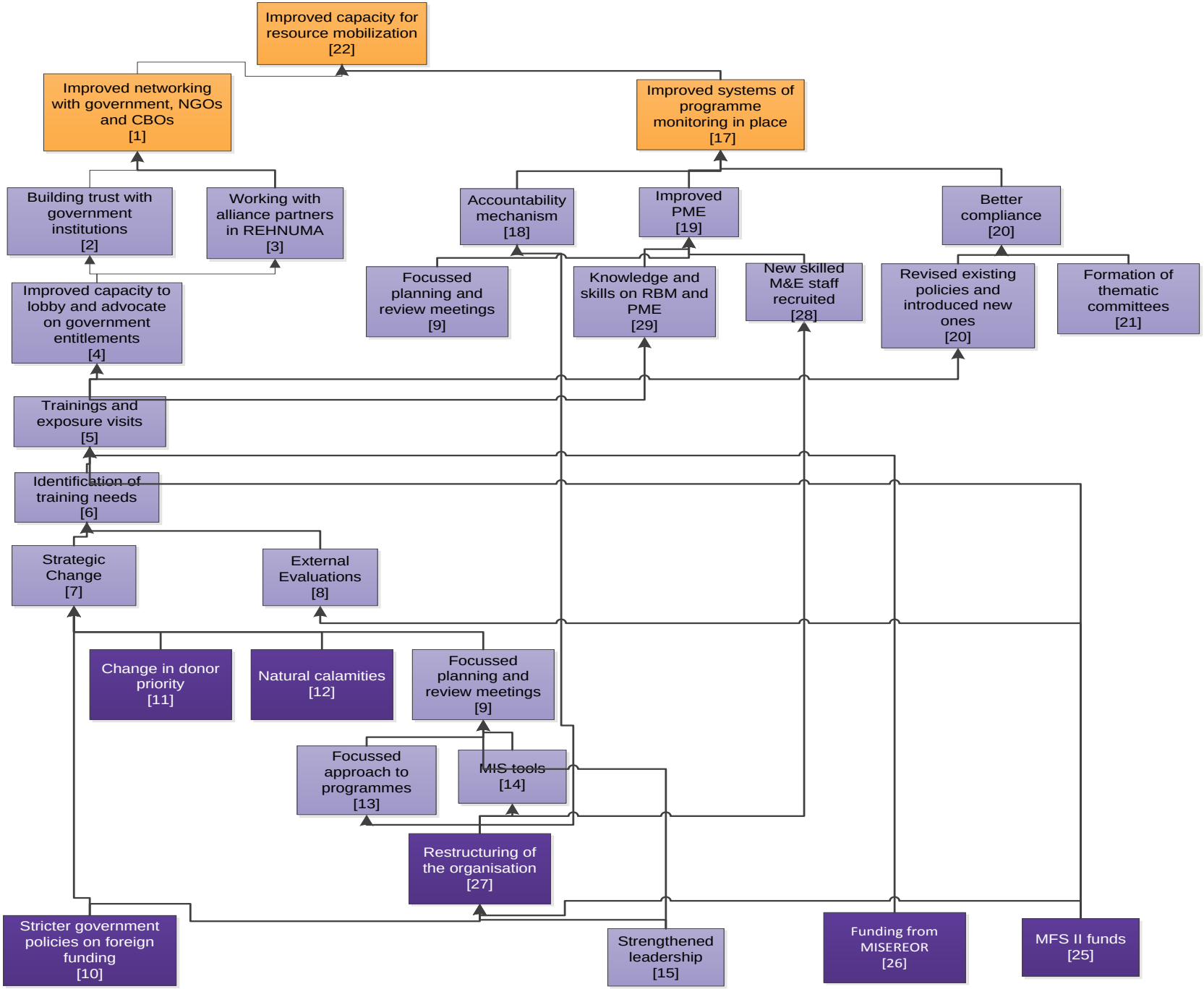
Below you will find a description of the general causal map that has been developed for the SPO during the endline workshop. Key changes in organisational capacity since the baseline as identified by the SPO during this endline workshop are described as well as the expected effects and underlying causal factors, actors and events. This is described in both a visual as well as a narrative.

The evaluation team carried out an endline assessment at Jana Vikas (JV) from 21 to 22 August 2014. During this workshop, the team made a recap of key features of the organisation in the baseline in 2012 (such as vision, mission, strategies, clients, partnerships). This was the basis for discussing changes that had happened to the organisation since the baseline. According to staff present at the endline workshop Jana Vikas has improved its capacity to mobilize resources [22] in the last two years since the baseline. This was primarily due to the following key changes:

1. Improved networking with government, NGOs and CBOs [1]
2. Improved systems of programme monitoring in place [17].

During the endline workshop it was discussed what the reasons were for each of these organisational capacity changes. The two main organisational capacity changes are described in the light orange boxes. Light purple boxes represent factors and aspects that influence the key organisational capacity changes (in light orange). Key underlying factors that have impacted the organisation are listed at the bottom in dark purple. The narrative describes per organisational capacity change, the contributing factors as described from the top down. The numbers in the visual correspond with the numbers in the narrative.

Since its inception, Jana Vikas has been committed to its mission to inform, organise, enable, empower and develop the poor and the marginalized, especially the Adivasi, Dalit and OBCs, to strengthen their livelihood. During the 2008 Kandhamal communal riot and post-riot period Jana Vikas has undergone severe challenges. The crucial aspect of this communal riot was that Jana Vikas was perceived as a religious organisation, working for the benefit of a particular community. It took several years after the riots to regain the trust of the community and embark on strengthening the organisation. Over the last two years it has been actively working on different aspects to bridge the trust gap through peace building activities, livelihood promotion and improved capacity to mobilize resources [22]. This is substantiated by the project completion report 2010-2013 submitted to Cordaid and its strategic plan for 2014-18 [Source: CORDAID COMPLETION REPORT-2010-2013, strategic plan_Edited Version].


Improved capacity for resource mobilization [22]
Improved networking with government, NGOs and CBOs [1]
Improved systems of programme monitoring in place [17]
Building trust with government institutions [2]
Working with alliance partners in REHNUMA [3]
Accountability mechanism [18]
Improved PME [19]
Better compliance [20]
Improved capacity to lobby and advocate on government entitlements [4]
Focussed planning and review meetings [9]
Knowledge and skills on RBM and PME [29]
New skilled M&E staff recruited [28]
Revised existing policies and introduced new ones [20]
Formation of thematic committees [21]
Trainings and exposure visits [5]
Identification of training needs [6]
Strategic Change [7]
External Evaluations [8]
Change in donor priority [11]
Natural calamities [12]
Focussed planning and review meetings [9]
Focussed approach to programmes [13]
MIS tools [14]
Restructuring of the organisation [27]
Stricter government policies on foreign funding [10]
Strengthened leadership [15]
Funding from MISEREOR [26]
MFS II funds [25]

Jana Vikas' improved capacity for resource mobilisation [22] is evident from the fact that within last two years they managed to get new funders such as the National Foundation of India, Young Women Christian Association, and Indo-Global Social Service Society (IGSSS). There are some more funders that have been approached and for which proposals are in the pipe line: NABARD, KNH Germany, Restless International and the Ministry of Minority affairs on Projects on minorities. The following projects of Jana Vikas are funded by the following new funders:

- National Foundation of India (NFI): Since 2014 the National Foundation of India is funding Jana Vikas to implement the pilot project called REHNUMA. The objective of this project is to create entitlement centres to provide the minority communities with information and guidance on government entitlements and schemes of the government and give them handholding support to access these benefits [Source: 5c endline self-assessment of the SPO on organisational capacity - management_India_JanaVikas, REHNUMA CENTRE]. This project was acquired through Jana Vikas' networking with the Ministry of Minority Affairs [2].
- Indo-Global Social Service Society (IGSSS): Jana Vikas undertook successful relief measures in the Phailin cyclone affected areas. It provided a clear picture of the contextual issues and enabled the staff to develop proposals for funds for the rehabilitation of the victims and their sustainable livelihood aspects. IGSSS was one of the few funders who responded to the proposal. Its vision is to build resilient and empowered communities in the most vulnerable regions, accessing services and entitlements, ensuring dignity and protecting lives, livelihoods and assets in assets in natural disaster and conflict situations. Since 2014 Jana Vikas is funded by IGSSS for the Disaster management and risk reduction project [Source: Annual-Report- 2013-14 IGSSS].
- Young Women Christian Association: YWCA of Berhampur is working on Sexual and Reproductive Health Rights (SRHR) at Kandhamal in collaboration with Jana Vikas since January 2014. The vision and objective are to establish peace and communal harmony amidst the varied communities. The project addresses the issues of Reproductive Health Care and Rights, Adolescent Health, dealing with cross cutting issues, especially on women trafficking, programmes on self-determination, economic and socio-cultural empowerment [Source: YWCA PROJECTS].

Jana Vikas' improved capacity for resource mobilisation is primarily because of its improved networking with government, NGOs and CBOs [1] and improved systems of programme monitoring in place [17] [Source: Endline Evaluation Workshop 2014, Six Month Reports – 2014, 5c endline self-assessment of the SPO on organisational capacity - management_India_JanaVikas, 5c endline self-assessment of the SPO on organisational capacity – admin HRM staff_India_JanaVikas]. Jana Vikas was able to get these projects funded by new donors because on the one hand their improved networking [1] which brought them in contact with different government institutions, NGOs and CBOs to work with, and on the other hand by improved programme monitoring systems in place [17]. The training on PME [5] specifically addressed this issue specifically as it helped staff to develop results based and systematic project proposals to approach new donors. These changes are further explained below.

1. Improved networking with government, NGOs and CBOs [1]

It is evident from the mid-term review report of the Community Managed Disaster Risk Reduction project, that Jana Vikas has strengthened its network/linkages with government institutions at local, state and national level and also with other likeminded NGOs like PAG (Phulbani Action Group), DAVI (Dalit, Adivasi Vikas Initiative) and the alliance partner of REHNUMA[8] [Source: Cordaid completion report 2010-2013 and self-assessment sheet programme staff perspective, CORDAID COMPLETION REPORT-2010-2013, REHNUMA CENTRE, 5c endline self-assessment of the SPO on organisational capacity -programme staff_India_JanaVikas]. Networking with government, NGOs and CBOs [1] improved because of building trust with government institutions [2] and working together with alliance partners of REHNUMA [3]. These are further described below.

- **Building trust with** government **institutions [2]:** In the post-riot period the trust relationship between Jana Vikas and the government institutions had been greatly affected in an adverse way

[8] The Ministry of Minorities Affairs (MoMA) started a multi-sectorial development programme (MSDP) in 2014 called REHNUMA (a Minority Concentrated Districts (MCDs) project).

[Source: 5C_baseline_report_India _JanaVikas_12122012]. Over the period JV continuously made efforts to restore trust relationship with government institutions at local, state and national level. In 2013 it developed a specific strategy based on the results of the context analysis done by ASK in July 2013 and NWO/Wotro MFS II 5C baseline report comments to strengthen relationship with government institutions. The strategies are to pay regular visits to the concerned government departments and build relationships with the officials, invite them for various activities taken up by the organisation, to be part of different government department committees, take up small or big government projects, participate in government programmes, etc. [Source: Report on Organizational Assessment and Context Analysis Jan Vikas 08.07.2013]. In October 2013 Orissa was severely hit by the Phailin cyclone and this disrupted both human life and property. Jana Vikas actively worked for the victims irrespective of caste and religion through relief and rehabilitation activities in collaboration with government line departments and other civil society organisations. It caused harmony and integration among different ethnic groups in Kandhamal. This not only enhanced the visibility of the organisation but it helped to improve the relationship with government line departments. Most important in this was the existing perception that JV worked for one particular community alone. Sometimes relief works done by Jana Vikas in post natural disaster periods improve the popular perception and the government's perception of Jana Vikas. Along with civil society organisations Jana Vikas initiated in forming Ambedkar Samata Mancho at block levels to address the issues and needs of various communities for peace building. This further enhanced the trust of the government at local, district and state levels. The improved relationship is evident from the fact that Jana Vikas sought inputs from the local government line departments and incorporated their views while preparing the strategic plan for 2014-18 [Source: 5c endline self-assessment of the SPO on organisational capacity - programme staff 2_India_JanaVikas, 5c endline self-assessment of the SPO on organisational capacity - programme staff_India_JanaVikas, Jana Vikas Project_Proposal-2013-2016 (1)]. In June, 2013, the state government had promulgated the Odisha Self-Help Co-operatives Ordinance 2013 by repealing Odisha Self-Help Cooperatives Act, 2001, and bringing all cooperative societies under Orissa Co-operative Act, 1962. This was done in order to regulate all non-banking financial companies, including the co-operative credit societies operating under the Orissa Self-Help Co-operative Act, 2001. Several non-banking financial companies, including co-operative credit societies operating under the 2001 Act had been found to be misappropriating/cheating depositors' money. There was public outcry due to these fraud. Therefore government decided to repeal the act. With the repeal of the 2001 Act, the government was trying to increase its control over these co-operative credit societies and curb their independent functioning. With the repeal of the 2001 Act, the government increased its control over these co-operative credit societies and curbed their independent functioning. For example, the business transactions of these societies would be regularly audited either by a panel of independent auditors or by government auditors on a regular basis, amend their laws and report to the Registrar of Co-operative Society within three months, election of its board members in every five years failing which the Board of Directors of such Co- operatives shall stand dissolved and the management of the Co- operatives shall vest in the Registrar of Co-operative Societies to amend such changes in the organisations as per the provisions of the Odisha Cooperative Societies Act, 1962. This Act was challenged in the high court of Odisha and the court put a stay on it. However, on 12th September 2013 it vacated the stay making the Act functional. Following this Act Jana Vikas re-registered its cooperatives, conducted regular audit of business transactions of the cooperatives by government authorities or by a panel of independent auditors and submitted the progress reports to the government on a regular basis which facilitated the organisation to have transparent management systems in place, regular financial auditing and monitoring and participation of members in decision making process. Such steps increased Jana Vikas' visibility as a transparent and efficient organization and interaction with local and state level government officials increased manifolds [Source: EDITED CORDAID REPORT to be sent].

- **Working together with** alliance **partners of REHNUMA [3]:** The Ministry of Minorities Affairs (MoMA) started a multi-sectorial development programme (MSDP) in 2014 called REHNUMA, a Minority Concentrated Districts (MCDs) project. The National Foundation for India (NFI) in collaboration with the Institute for Development Education and Learning (IDEAL) as technical partners envisaged to pilot this project across MCDs and blocks in 10 states of India where Entitlement Centres are being set up. There are 13 partners across the country, who have come together to create awareness among the minorities and provide information about government

schemes and entitlements for minorities. Under this umbrella the objective is to do research, map and list minorities, litigation and grievance redressal services, capacity building of minorities, monitoring, documentation and recommendations, so that social justice is delivered to the minorities. [Source: REHNUMA CENTRE, 5c endline self-assessment of the SPO on organisational capacity - programme staff_India_JanaVikas, 5c endline self-assessment of the SPO on organisational capacity - management_India_JanaVikas].
Building trust with government institutions [2] and working together with alliance partners of REHNUMA [3] were both due to Jana Vikas' improved capacity to lobby and advocate on government entitlements [4].

- **Improved capacity for** lobby **and advocate on government entitlements [4**]. Jana Vikas has worked and strengthened its advocacy and lobby capacity from micro to macro level in the last two years. While implementing the Civil Society Empowerment project, the staff could get better knowledge and understanding on government policies and programs. This also informed them about the bottlenecks of the system. As a result it encouraged them to make strategic plans to create awareness among the communities and facilitate them to avail the provisions. There is frequent interaction among the staff of Jana Vikas, government line departments and other civil society organisations [Source: 5c endline self-assessment of the SPO on organisational capacity - programme staff_India_JanaVikas, CORDAID COMPLETION REPORT-2010-2013].Following are some of the lobby and advocacy activities carried out by Jana Vikas:
  - The Government of India enacted the Mahatma Gandhi National Rural Employment Guarantee Act (MGNREGA) and Forest Rights Act (FRA) for the poor, which guaranteed 100 days of wage labour and rights and entitlement of livelihood to people residing in or dependent upon forests, respectively. People from the community are unable to access the schemes under these Acts either due to ignorance or gaps in the governance process. These gaps include an inappropriate system to monitor whether the schemes are reaching the target groups. Moreover, mismanagement in the government institutions at the grassroots level due to corruption affects the delivery of the schemes. Finally there is a lack of initiative by the government institutions at the grassroots level to create awareness among the people regarding various government schemes. Jana Vikas staff has created awareness through workshops and provided handholding support to the communities in accessing facilities under these Acts. Also with the active involvement of Jana Vikas staff government officials ensured their duty and responsibility in providing justice to the people. For instance, people could access jobs for 100 days under this program [Source: CORDAID COMPLETION REPORT-2010-2013, Six Month Reports – 2014, MGNREGA-COMPENSATION, MGNREGA-DUE PAYMENT, People work under MGNREGA Scheme, Case study].
  - Under the Forest Rights Act (FRA) the tribal people can get patta (legal land title) to cultivate and construct houses in the forest land. The government also assists financially to construct houses. Jana Vikas staff with the help of village development committees (VDC) has created awareness and provided handholding in filing application, filing Right to Information (RTI), that is submitting an application in the government institutions to access information, and getting the money sanctioned.9 RTI is an act of the parliament of India under which the citizens of the country can have access to information from the institutions under the control of public authorities. This is in order to provide transparency and accountability in the working of the government institutions [Source: CORDAID COMPLETION REPORT-2010-2013, Six Month Reports – 2014, RTI- Response, RTI-1.a, RTI-1.c].

Improved capacity for lobby and advocacy on government entitlements [4] are due to training and exposure visits [5] [Source: 5c endline self-assessment of the SPO on organisational capacity - programme staff_India_JanaVikas].

In the last two years the staff has undertaken different capacity building trainings [5] supported by Cordaid under MFS II [25] and by MISEREOR [26]. The following are some of the trainings that led to JV's improved capacity for lobby and advocacy on government entitlements [4]:

[9] This is evident from the RTI filled, and Baleswar Kanhar from village Ladumaska, Nuapadar got benefit under this act.

- **Training on Lobby Right to Information Act:** In 2012 a training on Lobby Right to Information (RTI) Act was organised by Jana Vikas with the help of an external resource person from ASK India and funded by MFS II, Cordaid [25]. As a result of this training staff emerged as RTI activists who regularly apply for information at government offices for making the services transparent and accountable to the people. The village development committee could ask the copies of Gram Sabha and Polli Sabha (local government administrative bodies). In this way these local government administrative bodies reach out to the grassroots level for decisions on village development with consensus from their communities. The training imparted knowledge to staff and improved their confidence to lobby and advocate. Five information centres at 5 Gram Panchayats have been setup to facilitate the communities to access different news, forms, current affairs and information on schemes [Source: CORDAID COMPLETION REPORT-2010-2013].

- **Training in** Government **Entitlements:** On 22nd November 2013 Jana Vikas organised one day training programme in Government Entitlements for the staff which was facilitated by an external resource person. This training was funded by MFS II, Cordaid [25]. The objective of the workshop was to train the staff on how to make people aware of government schemes, benefits of the schemes, how to apply the schemes etc. This resulted in the staff having an improved understanding of various government entitlements and their benefits for the people. This further aided JV's staff to develop a clear strategy for lobby and advocacy on government entitlements [Source: 5c endline self-assessment of the SPO on organisational capacity - field staff_India_JanaVikas, 5c endline self-assessment of the SPO on organisational capacity – admin HRM staff_India_JanaVikas, discussed during endline evaluation 2014].

- **Internal exposure on People** Led **Development (PLD):** PLD is a process where the marginalized communities are strengthened to be the stewards of their own developments. In this process Jana Vikas is working to stimulate the communities, motivate, mobilize, organize, and capacitate to empower them. Theatre promotion is one of the medium through which they mobilize, motivate and create awareness among people on PLD. The success of this program brought other dioceses of India to learn from Jana Vikas. It has developed a module to help others learn the model. In one of the meeting of the dioceses the director of Jana Vikas facilitated all the participants on PLD. This resulted in the visibility and internal exposure of Jana Vikas and contributed to JV's improved capacity for lobby and advocacy on government entitlements. This exposure was funded by MISEREOR [Source: strategic plan_Edited Version, Progress report may - oct 2013, 5c endline self-assessment of the SPO on organisational capacity - management_India_JanaVikas].

Jana Vikas' staff attended these trainings after the identification of training needs [6]. Jana Vikas undertook a need assessment of the staff on the basis of the context analysis that ASK did for JV on July 2013. During the organizational assessment and context analysis prior to the drafting of the new strategic plan for 2014-18 the organisation identified gaps and the need of training for its staff [Source: strategic plan_Edited Version, 5c endline self-assessment of the SPO on organisational capacity - program staff_India_JanaVikas].

These trainings needs assessment [6] was done in light of the strategic changes [7] the organisation made in 2013 and the feedback they received from donors and external evaluators [8]. These are further discussed below.

- **Strategic change [7]:** Jana Vikas in its strategic plan for 2007-2012 had planned to be an implementing organization (which refers to implementation of various projects and programs for the development of Kandhamal people) and as a resource centre to provide capacity building support to other grassroots organizations such as CBOs and NGOs. Due to the 2008 Kandhamal riot the organisation could not achieve its strategic plan. Since the baseline on August 2012, Jana Vikas has been working to revive and reorganize its work to implement its programs successfully. During the last two years Jana Vikas successfully implemented its programmes which rejuvenated the staff. After its success as an implementing organisation it made a strategic change in 2014 to focus in strengthening the organisation to be a resource centre. By being a resource centre it wants to provide capacity building support to partner organisations such as CBOs and NGOs in the grassroots level, doing research on various issues to better identify and address the problems, creating funding

opportunities or channelling funds for CBOs and NGOs through networks, etc. While assessing the context and drafting the strategic plan it identified the requirements of the staff in terms of capacity to achieve these objectives. Therefore, on August 2013 Jana Vikas started the process of drafting a new strategic plan for 2014-2018. In this strategic plan they clearly planned the capacity building of the staff to strengthen the organisation as a better implementing organisation along with a resource centre [Source: strategic plan_Edited Version, 5c endline self-assessment of the SPO on organisational capacity - program staff_India_JanaVikas, 5c endline self-assessment of the SPO on organisational capacity - management_India_JanaVikas, 2014-03-26 5c endline_assessment sheet_Dutch co-financing organisations_India_JanaVikas_Cordaid_NB]. The strategic change [7] for Jana Vikas was due to stricter government policy on foreign funding [10], a change in donor priority [11], natural calamities [12] and focussed planning and review meetings [9]:

- *Stricter government policy on foreign funding [10]:* the government of India in general admits that NGOs are essential for the extended work of the government to provide feedback and to serve as harbingers of change which are vital for economy. However, the government perceives that some NGOs are engaged in stalling development activities in the country which negatively affects the GDP growth of the country. Therefore, stricter policies have been brought by successive governments to restrict foreign funding to the NGOs in India. This led Jana Vikas to make strategic changes [7] so that it could profile itself as a secular organisation and to leverage more funds to be self-sustained.
- *Change in donor priority [11]:* Internationally donors are revising their funding policies and shifting their priorities. Most of the donors have changed their priority and are now funding agriculture based programs. In the light of the changing donor priority and other contextual issues Jana Vikas has changed its strategic plan. In the strategic plan for 2014-2018 it has emphasised the livelihood programme which includes agriculture and other. It has planned to strengthen optimal utilisation of the natural resources/forest products for sustainable livelihood, enhance productivity of agriculture and other allied agriculture such as guttery, fishery, poultry, piggery; revival of traditional agricultural system, sustainable use of organic farming practices, marketing linkages of organic product, promotion of grain bank, seed bank, encourage the farmers for herbal garden and linkage in the market and other business groups etc.
- *Natural calamities [12]:* Since 2011 Orissa was shattered down twice with severe floods and once with the cyclone Phailin. This caused massive loss of property and human lives. The Kandhamal district is situated 3000 feet above the sea level, however due to heavy rain and wind (at a speed of around 200 kmph) caused huge destruction in this district both in terms of property and human lives. In the post Phailin period Jana Vikas actively participated in the relief and rehabilitation works. This resulted in improved trust relationships with government and also helped Jana Vikas to profile itself as a secular organisation. This also caused Jana Vikas to make a strategic change to focus on the livelihoods of the affected people. New funders could be approached for the relief and rehabilitation work [Source: Progress report may - oct 2013, 5c endline self-assessment of the SPO on organisational capacity - programme staff_India_JanaVikas, Phailin Achievement Meet Report].
- *Focused planning and review meetings [9]:* In the Annual General meetings all the staff of Jana Vikas gather to share their achievements, review the progress and discuss the strategic plan in alignment with the mission and vision. This focused planning, review and monitoring of the programs strengthened organisational capacity and presented a better picture of the local contextual issues which further helped in strategic planning for better deliver the objectives. It was during these meetings that Jana Vikas was able to work on its new strategic plan for 2014-2018 [Source: 5c endline self-assessment of the SPO on organisational capacity - management_India_JanaVikas, 5c endline self-assessment of the SPO on organisational capacity – Program staff_India_JanaVikas, Endline evaluation Workshop 2014]. Planning and review meetings became more focussed [9] due to a focussed approach towards programmes [13], MIS tools [14] and strengthened leadership [15].

- **Focused approach toward programs [13]:** Since the baseline the approach towards implementing the programmes became more focussed. This was because of the restructuring of the organisation [27]. The decision of the leader to shift the office and the core staff to the project area not only motivated the field staff but also strengthened the implementation process. With the restructuring of the organogram and setting up of new departments there is clarity of roles and

responsibilities of the staff to carry out the program. The monitoring and reporting structure has been streamlined which further improved the accountability. Though hierarchy still continues, the approachability of the staff with the senior management has increased. With the establishment of a core team of staff from different departments, sharing and learning from each other and also decision making processes became easier and faster. This is evident from the fact that the staff has better relationships with the government line departments. Earlier communities couldn't access government schemes either due to ignorance and corruption but now they could access it and women have actively participated for the first time in pollisabha and Gram sabha because of Jana Vikas' intervention. Also in another instance it was difficult to stage any public program at phiringia head quarter as there were challenges in holding any program but with the intervention of Ambedkar samata Mancha it has come down to the level of understanding. This resulted in free mobility of the staffs to carry out the programs [Source: CORDAID COMPLETION REPORT-2010-2013, Progress report may - oct 2013, Endline Evaluation Workshop 2014, 5c endline self-assessment of the SPO on organisational capacity - programme staff_India_JanaVikas, 5c endline self-assessment of the SPO on organisational capacity - management_India_JanaVikas].

- **MIS tools [14**]: The MIS has been strengthened by the restructuring of the organisation [27]. In the restructuring process a separate PME unit, HR unit, Finance unit and Service unit were created which were all under one PME unit during the baseline (August 2012). Also new skilled staff were hired for the PME unit [Source: 5c endline self-assessment of the SPO on organisational capacity - management_India_JanaVikas, JV-ORGANOGRAM-FINAL, discussion during endline evaluation workshop 2014]. Cordaid provided funding to establish separate units under MFS II [25]. Through capacity building training on PME, the staff were further capacitated to fine-tune the MIS formats and indicators to collect focused data from the field. Due to better data collection and analysis of the data the monthly, quarterly and annual review and planning meetings improved [9] [Source: 5c endline self-assessment of the SPO on organisational capacity - programme staff_India_JanaVikas, 5c endline self-assessment of the SPO on organisational capacity - management_India_JanaVikas, Report on PME].

- **Strengthened leadership [15]:** In 2013 Jana Vikas got separated from the Catholic charity and became a separate entity. This was primarily done to profile Jana Vikas as a secular organisation in relation to the riot prone area and following the government's stricter policies towards NGOs [10] which affected restructuring of the organisation [27]. There has been a reshuffle in the board members and the organisation got restructured [27]. The director took initiative [15] in decentralizing the organisational structure by establishing separate departments and putting each department under a program manager [27]. The finance and HR departments are under the assistant director who reports directly to the director. This resulted in a clear division of responsibility and accountability. The core team was established with six members including the director. This showed the strengthened leadership which resulted in faster decision making and more focussed planning and review meetings [Source: compare between present and previous organogram, JANA VIKAS PROJECT_PROPOSAL-2013-2016 (1), 5c endline self-assessment of the SPO on organisational capacity - programme staff_India_JanaVikas, 5c endline self-assessment of the SPO on organisational capacity - management_India_JanaVikas].

- **External evaluations [8]:** an external evaluation was conducted at mid-term to evaluate the progress of Jana Vikas in the Cordaid funded project in agreement with Cordaid. In its review report both strengths and areas of concern for the organisation which still needed to be improved are reported. Also the NWO/Wotro MFS II baseline report has helped the organisation in identifying training needs for its staff. Both these evaluations were funded by MFS II [25]. All this feedback helped the organisation to identify the gaps and train the staff for further improvement of their competences [Source: 5c endline self-assessment of the SPO on organisational capacity - management_India_JanaVikas, 2014-03-26].

2. Improved systems of programme monitoring in place [17]

Over the last two years, Jana Vikas improved its systems of programme monitoring [17] due to an accountability mechanism that is now in place [18], improved PME [19] and better compliance [20].

- **Accountability mechanism [18**]: the restructuring of the organogram [27] resulted in clarity of roles and responsibility of the staff which further streamlined the accountability mechanism. Since last year quarterly meetings are organised where all the program managers, coordinators, assistant director and director participate. The program managers of each project present the progress report of the project. After each presentation the staff engages in a debate on successes, failures, challenges and different issues of the project. In this process they cross examine each other in regard to project implementation and achievement. As a result it created a mechanism to cross check responsibility and accountability [Source: 5c endline self-assessment of the SPO on organisational capacity - programme staff_India_JanaVikas, Endline Evaluation Workshop 2014].

- **Improved PME [19]:** MIS formats and indicators are fine-tuned to have better data from the field. The data are then analysed by the PME team to further use it for program development, report and proposal writing. Each project monitors and evaluates its program independently and submits the report to the coordinators. Then the report is reviewed in the monthly meetings by program managers and coordinators and finally it is reviewed and discussed by the core team in every quarterly meeting. When gaps are identified the core team further develops plans to address it. Jana Vikas also improved from activity based monitoring to results based management (RBM) and proper documentation of the data. The organisation also is looking forward to develop software to maintain MIS to generate information. The organisational assessment by ASK India in July 2013 helped Jana Vikas to identify the gaps in the PME system. Based on this finding a strategic plan for 2014-18 was formulated which further strengthened the PME system. In the light of this strategic plan a full time personnel is appointed to work for a separate PME unit being established with the support from Cordaid. Jana Vikas also shifted its monitoring process from activity based monitoring to results based management (RBM). It is also looking forward to develop software to maintain MIS to generate information. The PME policy has been revised and is awaiting governing board's approval [Source: CORDAID COMPLETION REPORT-2010-2013, 5c endline self-assessment of the SPO on organisational capacity - programme staff_India_JanaVikas, 5c endline self-assessment of the SPO on organisational capacity - Program staff 2 _India_JanaVikas, PME Indicator, Report on PME]. Jana Vikas improved in its planning monitoring and evaluation because of:
  - *Focussed planning and review meetings [9]:* Annual, quarterly, monthly meetings are further strengthened due to better monitoring and data analysis. In the Annual General meeting projects are reviewed and strategic plans are developed. Every first week of the month program managers and coordinators meet to review the plans and progress. The core committees meeting is held once in three months. The core committee members along with director and assistant director participate and discuss on the progress of the programs, address the grievances, make strategic plan on the progress report of the monthly meetings in alignment with the annual strategic plan. Also with the formation of a separate PME unit this further strengthened the planning and review meetings. It plays an active role in analysing the data and documentation to facilitate it for better strategic planning and proposal writing [Source: Endline Evaluation Workshop 2014, Six Month Reports – 2014, 5c endline self-assessment of the SPO on organisational capacity - programme staff_India_JanaVikas, 5c endline self-assessment of the SPO on organisational capacity - *management_India_JanaVikas].*
  - *Knowledge and skills on RBM and PME [29]* because of*:*
    - **Trainings [5]:**
    - Training on RBM: Training on RBM (Result Based Management) was organized at Baleshwar in 2013 by Odisha Regional Organisation for Social Action (OROSA). The documentation officer from the Cordaid project attended the training. This strengthened the staff to carry out the operational plan on results based monitoring system. This training was funded by MFS II [25][Source: Six Month Reports – 2014, Endline Evaluation Workshop 2014, 5c endline self-assessment of the SPO on organisational capacity - programme staff_India_JanaVikas, 5c endline self-assessment of the SPO on organisational capacity - Program staff 2 _India_JanaVikas].
    - Training on PME: Four days training program was organised at N. Nuagoan from 13 to 16 April 2013 facilitated by ASK India, New Delhi. The objective was to train the staff on context analysis, problem tree analysis, monitoring and evaluation, project proposal development, report writing and documentation. The training also helped staff to develop results based project proposals. This resulted in the staff strengthening the PME unit in designing a better results

based program, developing systematic project proposals, fine-tuning of the MIS formats, developing proper PME guidelines and policy. This training was funded by MFS II [25][Source: Report on PME, Six Month Reports – 2014, Endline Evaluation Workshop 2014, 5c endline self-assessment of the SPO on organisational capacity - programme staff_India_JanaVikas].

  - Training on Strategic planning: on 15-21 August 2013 a training on strategic planning was organised in two phases at K. Nuagaon which was facilitated by Mr. Saiju Chako of ASK India, New Delhi. The objective of the training was to discuss on different contextual issues and train the staff to find the gaps and make strategic planning to address the issues. This training was funded by MFS II, Cordaid [Source: Progress report may - oct 2013, Six Month Reports – 2014].
  - Training on SHG Management: on 30th April 2013 capacity building training was organised on SHG management facilitated by ASK India, New Delhi. The objective the training was to train the staff on gradation of the SHGs, record keeping, format development for MIS etc. This training was funded by MFS II, Cordaid [Source: Progress report may - oct 2013, Six Month Reports – 2014].
- Recruitment of new skilled M&E staff [28]: Jana Vikas established a separate PME department when restructuring the organisation [27] to have a comprehensive PME system in place. As a need for skilled M&E staff was identified new M&E staff was recruited [28] from within the community in Kandhamal where Jana Viaks works. With the appointment of skilled staff and capacity building training [5] provided by Cordaid, the PME unit was further strengthened.

- **Better compliance [20]:** Jana Vikas improved its compliance to its operational guidelines because of the revision of its operational policies [30] and the formation of thematic committees [21].
  - To further strengthen and profile the organisation it revised the existing policies [30] and introduced certain new policies. This was due to a training [5] from 21 to 26 February 2014 was conducted on Policy Development at K. Nuagoan. Sixteen senior staff and four Board members of the organization participated in the workshop. Mr. Manos Bhattacharya from ASK, New Delhi facilitated the workshop. It resulted in revising existing policies like the Human Resource policy, Finance Management policy, PME policy, Gender policy and the HIV/AIDS work place policy. Also new organizational policies were introduced like the Child Protection policy, Disability policy and Environment policy. ASK India provided a frame and staff of Jana Vikas worked on it to revise old policies and develop new policies. This training was funded by MFS II, Cordaid [Source: CORDAID COMPLETION REPORT-2010-2013, EDITED CORDAID REPORT to be sent, policy development, Endline Evaluation Workshop 2014, Staff_development_policy, Work_Place_Policy_JV_CC, 5c endline self-assessment of the SPO on organisational capacity - programme staff_India_JanaVikas].
  - Seven thematic committees [21] have been formed involving staff of the organisation to look into the various issues. These committees were present during the baseline but after the baseline, these committees were merged into seven committees: the core committee, grievances, gender and sexual harassment, staff counsel and resource mobilization and procurement, cooperative management. Next to the core committee, some of the themes on which committees have been formed include: grievances, gender and sexual harassment, staff counsel and resource mobilization, procurement, cooperative management, human rights, lobby and advocacy etc. These committees were consciously formed to oversee the administrative processes of the organization. These committees take decisions on important issues which makes the decision making process faster and the compliance of the organisation to its operational guidelines better. The grievances of the staff are reported to the committees and when issues are identified, within 21 days steps are initiated to address the issues. The organization has agreed to comply with Humanitarian Accountability Practices (HAP). Acquiring the required documents is under process.

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Evaluation of RGVN

Country	India
Consortium	Hivos Alliantie (People Unlimited 4.1)
Responsible Dutch NGO	Hivos
Project (if applicable)	Graduating NGOs into Micro finance Institution in Orissa-Phase 2
Southern partner organisation	RGVN

The project/partner is part of the sample for the following evaluation component(s):

	X
Achievement of MDGs and themes	X
Capacity development of Southern partner organisations	X
Efforts to strengthen civil society	

Abstract

This report contains the evaluation of RGVN's project "Graduating NGOs into Micro finance Institution in Orissa-Phase 2". It provides information on the measured impact of the project as well as details on its "efficiency". The findings are based on data collected in 2012 and in 2014 together with accounting data. The general findings are that the project may have an impact on the individual outcome (i.e. increasing the socio-economic status of a treated family), yet, the project fails to deliver some of its outputs. Especially the increase in the number of extra clients is not met. Therefore the general outcome of improving the socio-economic conditions of disadvantaged families is not as high as expected. Measuring the efficiency of the program is challenging, but the analysis indicates that the program is cost effective.

1. Introduction

This report evaluates a program that enhances the institutional capacities of micro finance institutions (MFIs) in Orissa, India, in order to improve socio-economic conditions of the disadvantaged families. The project is conducted by RGVN, a southern-partner organization (SPO) of HIVOS. RGVN is a national level multi-state development and support organization operating in India. For this program, RGVN has selected four non-governmental organizations (NGOs) to be graduated to the next level of micro finance institutions under the project title of "Graduating NGOs into micro finance institutions" with the support of HIVOS over a period of five years. This would mean that the NGOs would be registered as Section 25 companies by the end of the funding period. These institutions would become sustainable MFIs to serve a large number of clients with appropriate & reasonable financial products / services.

The evaluation considers whether the aimed goals are achieved in terms of outputs and outcomes. The evaluation also conducts an efficiency analysis. The impact evaluation focuses on the impact on livelihoods and female empowerment. There is some indication that the project has a positive effect on the livelihood of the families, measured by their expenditures. However, we don't find any evidence that the project improved the position of women. A basic financial analysis suggests that the progarmme is cost effective.

The remainder of this report is as follows: the next section will give some background about RGVN and the local context. Section 3 gives details about the project, its budget, duration, objectives, outcomes, as well as the theory of change. Section 4 describes the sampling process, and provides some descriptive statistics. Section 5 explains the methodology, and presents the main results of the impact and cost-effectiveness evaluation. A e discussion of the results is provided in section six. Section seven concludes.

2. Context

The project we consider is located in Orissa. Orissa is one of India's poorest states. About 85 percent of Orissa's 37 million population is rural, and a vast majority of the state's poor live in rural areas (World Bank). This group of poor people has in general no access to regular financial services nor do they have any financial training. In order to provide access to financial services for these people, microfinance institutions (MFIs) became active in this region.

RGVN India was established in 1990 as a not-for-profit organization. RGVN is a partner of HIVOS since 2000. RGVN has been supporting livelihood generation of rural poor (focus on women) through soft loan assistance and strengthening local community groups. They selected four NGOs to be graduated to the next level of micro finance institutions under the project title of "Graduating NGOs into micro finance institutions" with the support of HIVOS over a period of five years. This implies that the NGOs will be registered as Section 25 companies by the end of the funding period. These institutions would become sustainable MFIs to serve a large number of clients with appropriate & reasonable financial products / services.

The NGOs selected already dealt with livelihood creating activities (agriculture based livelihood sources, promotion of forest based livelihood, skill development etc.). They also provided microfinance services to the poor. The NGO-MFIs help to form self-help groups (SHGs) and joint

liability groups (JLGs) of the poor in the villages where they operate. The NGO-MFIs also provide loans to these SHGs/JLGs as and when required. Some MFIs also form cooperatives of the members. JLGs are dissolved once the loan is repaid while the SHGs continue for a longer time. The NGO-MFIs provide training to SHG members on basic record keeping and accounting, hold workshops on identification of alternative livelihood opportunities, interface with bankers, and provide exposure of SH0G members to bank officials, other SHGs, etc.

Current situation: Because of the 2005-2006 MFI crisis, which led to over lending, the funding to MFIs reduced drastically. The NGO-MFIs have already formed SHG/JLG groups. However, because of a lack of funding, they are not able to provide loans to everybody. There are active clients who are currently receiving loans from the NGO-MFI. They are given priority on the basis of their credit history, duration of being members, etc. The inactive members are those who are formed into SHG groups by the NGO-MFIs but are not given loans by the MFI. Some of the SHG groups have been dissolved, while some of the other existing ones are either being promoted by some other organization such as ICDS or are availing loans from some other MFIs.

In Orrisa several MFIs and SHGs are promoted by other organizations as well. To evaluate the impact of being a member of an MFI, we need to take the non-members of any MFI/SHG/JLG as a comparison group. However, it is very difficult to find non-members of any SHG/JLG or MFI in these villages. According to the NGO-MFI project coordinators, most of the non-members would be from villages that are remote and where it is difficult for the MFIs to reach because of low accessibility.

Microfinance is an actively researched theme in the field of development economics (see e.g. Hermes and Lensink; 2007) and while some papers do find evidence (e.g. Khandker; 2005) the first randomized evaluation on the impact of microfinance, by Banerjee et al. (2013), did not find an impact on consumption. There are theories that microfinance may harm society by crowding out the formal sector (see e.g. Bateman. 2010)

3. Project Description

The project was focusing on enhancing institutional capacities of four Micro Finance Institutions (NGO MFIs) located in Orissa, to improve socio-economic conditions of the disadvantaged families (giving priority to women). The current project has started on July 1, 2009 and ran to June 2012. The project is a sequel to the earlier project that ran from April 2006 – March 2009. The total budget of the project is 117,848 Euro. This budget is for 100% funded by HIVOS with MFS funds.[1] In order to achieve the objective of improving socio-economic conditions of disadvantaged families several activities were planned at three levels. The first level concerns the agency level. Activities at this level are: 1) Providing 80% financial support to cover costs of 27 key staff from 4 organizations (20% to be met by the concerned organizations). 2) Organizing 40 training programs on basic accounting and record keeping for group members of the 4 NGO MFIs to develop skills of 800 group leaders and 4 NGOs in a period 3 years. 3) 24 workshops on alternative livelihood opportunities for a period of 2 years for groups to initiate viable IGPs. 4) Provide interface with banks by organizing 12 programs to bridge gaps between NGOs and Financial Institutions.

[1] 80,742 Euros are MFS I funds (i.e. disbursed in 2009 and 2010) and 37,106 Euros are MFS II funds (disbursed in 2011 and 2012) .

The second level contains activities at the central level. These include: 1) Workshops on result orientation and finalization of monitoring indicators for 4 NGO staff. 2) Orientation programs on macro level changes in the MF sector and the recent IT legislation. 3) Legal transformation and road map preparation for the 4 NGOs. 4) Process mapping of MF operations, basic accounting and ratio analysis. 5) Interface with banks and financial institutions. 6) Training programs on delinquency management, monitoring of MF programs and monitoring tools.

Finally, activities directly dealing with RGVN level were planned, these are: 1) Training to RGVN staff on process mapping, portfolio audit, value chain analysis etc. with a view to develop skills for efficient. 2) Facilitation of micro finance programs, and also organizing exposure visits to facilitate learning from best practices.

These activities should lead to four outputs: 1) an increase in the scale of outreach of the 4 NGO partners. 2) The internal capacities of all 4 MFIs in computerized MIS operational systems, product design, business plan development, social security measures will increase substantially thereby helping them to leverage support from mainstream financial institutions. 3) Sustainability of programs (OSS and FSS). And 4) Additional credit made available to members for consumption and health.

The increase in outreach of four MFIs is supposed to lead to more funds available for disadvantaged women. The aim is to improve the position of the disadvantaged women by using the funds to start new businesses, conduct investments, etcetera. An important part of the activities of RGVN focus on developing skills on basic accounting and record keeping for group members of the 4 NGO MFIs. RGVN organizes 40 training programs to develop skills of 800 group leaders of the 4 NGOs. An increase in the basic accounting and record keeping skills will help to improve business skills of the members (the disadvantaged women), and help to raise profits of their businesses, and hence ultimately improve the position of disadvantaged women. If there are trainings conducted on basic accounting and record keeping, this will help ensure smooth functioning and sustainability of the SHGs that are formed by the MFIs, as well as the businesses of the members. Also, the trainings on alternative livelihood opportunities would help provide livelihood to the members as well as enable them to repay loans on time. For example the NGO-MFIs provide training of sustainable agriculture and forest based livelihood sources. Once an alternative livelihood is identified, the member is able to increase her income and thereby repay loans on time.

The computerization of records and MIS are supposed to enable loan portfolio tracking and delinquency management. Interface with banks and financial institutions is expected to provide the NGO-MFIs with better funding opportunities. Registration of NGOs as Section 25 companies is again expected to enable them to access larger amounts of funds.

In general, the interventions aim to improve the socio economic condition of disadvantaged families (with a priority on women), through four local NGO-MFIs.

More precisely, the project aims to achieve the following, in terms of outcomes: :
- 85,000 clients will have access to credit at their door step.
- At least 85% of the clients will stop borrowings from money lenders.
- Increase in household income by 25%.
- Household assets will increase with at least 10% being in the name of women.
- Four MFIs are formally recognized by various financial institutions.

4. Data and Sampling

The data for the analysis of RGVN is obtained in two rounds of questionnaires. The first round of questionnaires took place in November 2012 and the second round in December and January 2013/2014. Note that the project started in July 2009, and is a continuation of a project that started in 2006, so that we lack a pre-intervention baseline.

We focus our evaluation on two of the four MFIs that the project focuses on: SARC located in Sambalpur and SCRS located in Nayagarh. In these regions we have collected data based on questionnaires in two rounds. The data from the first round (the "baseline") were sampled from three groups: a treatment group (600 families), a control group (C1) with families that are not a member of any SHG/MFI (500 families) and a control group (C2) that contains families that are member of a different MFI and/or SHG (350 families). During the "endline" we were able to again survey the 600 families of the treatment group, and the 350 families of control group C2. However, concerning our group C1, some families became a member of a SHG/MFI, and/or received a loan from another organization. Since our C1 group thus turned out to be very similar to C2, we decided to merge C1 and C2. It should be noticed therefore that our control group is to some extent contaminated with loans from other organizations, which may lead to an underestimate of the impact of micro finance as such. Yet, the analysis enables to see to what extent RGVN does better or worse than other MFIs in the neighborhood.

During the evaluation period, we were faced with a typhoon in the Nayagarh region. The typhoon obviously affected clients of the MFIs that are operating in this region. However, we can compare the results of the Nayagarh region with the Sambalpur region, which is not affected by the typhoon) and see if there are differences between the two regions. These differences may be contributed to the effect of the program given being stricken by a typhoon.

Table 1 gives an overview of the descriptive statistics for the outcome variables taken from the baseline questionnaires. Table A1 in the appendix shows descriptive statistics about the control variables.

Other sources of information are narrative annual reports, financial statements, and action plans.

Table 1: Outcome variables

Control Group	Total Consumption	Female Empowerment	Savings
Mean	2585.877	2.456471	401.3059
SD	1391.912	2.629203	897.7966
min	570.5	0	0
max	12217.67	6	12000
N	850	850	814
Treatment Group	**Total Consumption**	**Female Empowerment**	**Savings**
Mean	2869.65	2.58	363.2513
SD	1404.802	2.550381	541.032
min	358	0	0
max	12338	6	5308
N	600	600	589
Total	**Total Consumption**	**Female Empowerment**	**Savings**
Mean	2703.3	2.507586	385.33
SD	1403.756	2.596703	768.4586
min	358	0	0
max	12338	6	12000
N	1450	1450	1403

5. Analysis and Results

This section analyzes the impact of the program of RGVN. Firstly the actual outputs and some outcomes that can be observed directly are compared with the planned outputs and outcomes. Secondly, the methodology that is applied in order to evaluate the impact is discussed, together with the tradeoffs and reasons why this particular setup has been chosen. Subsequently the results of this examination are analyzed. Finally this section discusses the "efficiency" of the project.

Outputs

Table 2 gives an overview of the outputs and some of the outcomes of the program. The table clearly shows that not all output goals are met. Yet for the outputs that are under direct control of the program, the goals are achieved. For all MFIs the management information system is into place and all MFIs also have a policy paper. The ambitious goal of having a portfolio at risk (PAR) of zero is achieved for one MFI, while the other three MFIs have a PAR just above zero. The number of branches is however much lower than the set goal. Also the operating costs are not as low as the set goal, although all operational costs have decreased. The goal with respect to financial literacy is not met. So, it is not likely that an eventual increase in livelihood is generated by financial literacy.

The project document specified several aims with respect to outcomes. The first aim is that members of the MFIs should avoid lending money from money lenders. The usage of money lenders in our sample is below the set goal. Yet, this also holds for the control group, although spillovers may be the cause of this effect. The project clearly fails with respect to the number of clients. The cause of this failure is that the funding for microfinance dried up in India. This risk has not been addressed by the

program. The registration of the MFIs has met the goal if we assume that the submission of the last 2 MFIs will pass the evaluation. The other outcomes will be discussed below after the methodology.

Table 2: Outputs and Outcome indicators

Output/Outcome	Indicator	Goal	Achieved
Increase Capacity	MIS	Yes	Yes (4/4)
Increase Capacity	Policy papers	Yes	Yes (4/4)
Sustainability	PAR	0	0 (1/4) and 1 (3/4)[1)]
Outreach	No. of branches	21-31[2)]	7
Sustainability	Operating costs	10 %	> 15% [3)]
Extra credit	For consumption	Up to 7.5 %	[4)]
Literacy	Literacy	75%	24%-28%[5)]
Outcome	Increase in assets	10 %	[4)]
Outcome	Usage of money lender	< 15 %	< 5 % (> 6%)[6)]
Outcome	Number of Clients	85,000 by 2012.	18,922 (31-03-2012)
Outcome	MFIs registered	4	2 (2 submitted)
Outcome	Increase in Income	25 %	[7)]

Sources: Narative_Report_2011-2012__MFIB_.doc; Country specific information – India; Narrative Action Plan April01 – June 30, 2012; Own calculations.

Notes:

1) Only one MFI achieved the goal of a PAR of 0 the other 3 MFIs had a PAR just above 0. Since the PAR can easily change over time this is only a snap shot indicator.
2) The goal of number of branches differs between the documents. The Country specific information – India document lists 31 just like our baseline reports. The Narative Report 2011-2012 lists 21.
3) The operational cost where taken in the last year of the project (book year 2011). They range from 15 to 20 percent, which implies that for most MFIs there was a reduction but the goal of 10 percent was not met.
4) The rise in credit for extra consumption and the increase in assets is not tested since there is no proper baseline and thus we do not have information how much credit was used for consumption before the project has started.
5) Results are based on two simple financial questions two times on 600 members. If the threshold is 2 question the percentage increased from 24% to 28% over the estimation period. If answering one question correctly is seen as financial literate the percentage dropped form 78% to 64 %.
6) Results are based on 600 members. The number between parentheses is the number based on the control group.
7) The size of the increase income has not been detected since there is no proper baseline. There are indications that there is an increase in income

Methodology

The main challenge of every impact evaluation is to determine to what extent certain changes can be attributed to the intervention. An impact evaluation tries to disentangle impacts of the project from impacts due to other causes, which is not an easy task. Impact evaluations also suffer from self-selection and program placement biases. The preferred approach to measure impact is to conduct a randomized controlled trial as this automatically generates comparable control and treatment groups. However, RCTs are often not possible in practice, as is the case for this project.

In this project we will sue two alternative approaches to measure impact. First, we will conduct a so-called double difference (DD) methodology. The main advantage of this approach is that it enables to

control for selection biases due to unobserved heterogeneity that does not change over time, the so-called fixed effects. A disadvantage of the DD approach in our setting is that the DD analysis basically measures whether changes in outcomes over the evaluation period of the treatment group are bigger or smaller than those of the control group. The DD approach does not measure the average impact of the project as such for a pre-intervention baseline is lacking. Second, in order to be able to also measure average impacts of the interventions that took place before the abelian survey, we also use a propensity score method (PSM). The advantage of a PSM methodology is that it helps to ensure that treatment and control groups are comparable in terms of observed characteristics. The main disadvantage of PSM is that it cannot control for unobserved heterogeneity, one of the main features of a DD approach. For our analysis, DD and PSM complement each other.

Our DD approach works as follows. We estimate the following equation with fixed effects.

$$Y_{ijt} = \alpha_i + \beta_1 Post_t + \beta_2 Post_t D_j^T + \beta_3 D_j^T + \gamma X_{ijt} + \varepsilon_{ijt} \qquad (1)$$

where Y_{ijt} denotes an outcome variable for respondent *i* in group *j* at time t, α_i is the fixed effect, $Post_t$ is a binary variable that takes the value one if the observation corresponds to the second time period, D_j^T is a binary variable equal to one if the respondent belonged to the treatment group. X is a vector of controls. ε_{ijt} denotes the error term. β_2 in (1) is the estimate of the impact of one extra time period in the intervention on outcome Y.[2] β_3 measures the impact of the program.

In order to improve matching between controls and treatments, before applying DD, we use PSM to match treatments and controls during the baseline. More specifically, we run a logit regression using baseline data, and determine probabilities of "being in the treatment or the control group". Based on this analysis we are able to determine a so-called common space, which defines an area within which controls and treatments do not differ too much. We subsequently deleted all observations outside the common space, and applied the DD analysis only on observations within the common space.

Impact

The main objective of the project is to improve the socio economic condition of disadvantaged families (giving priority on women), through four local NGO-MFIs. Therefore the first focus is on total monthly consumption. Total monthly consumption proxies the income as the respondents do not save much, as revealed below.

As shown in Table 3, panel A, we do find some evidence that the project improves consumption during the project period. Moreover, the size of this effect is about twenty percent of the general time effect, which is highly significant. This implies that although all respondents have improved over time, the respondents who are in the program have improved twenty percent extra. This result is robust for all the specifications, like the fixed effects (FE) difference-in-difference (DD) estimation (column 1), the FE DD estimation with controls (column 2), the FE DD estimation with common support restriction (column 3), and the FE DD estimation with controls and common support restriction (column 4).

[2] This time period is measured by the time between the baseline and follow-up survey.

Table 3: Total Expenditures Fixed Effects Estimation

Panel A: Entire Sample

	(1)	(2)	(3)	(4)
Time Effect	985.4***	886.6***	986.3***	895.2***
	(65.67)	(70.27)	(65.71)	(70.29)
Treated * Time	192.0*	190.1*	182.4*	190.1*
	(102.1)	(100.4)	(102.8)	(100.5)
Control variables	No	Yes	No	Yes
Control for common support	No	No	Yes	Yes
Constant	2699***	1292	2699***	3978***
	(36.46)	(1736)	(35.73)	(1189)
Observations	3150	3143	2848	2845
R-squared	0.238	0.306	0.238	0.304
Number of hhcode	1700	1700	1424	1424

Panel B: Nayargarh

	(1)	(2)	(3)	(4)
Time Effect	807.7***	781.2***	814.9***	793.7***
	(86.50)	(92.01)	(86.92)	(92.44)
Treated * Time	354.4**	379.1***	354.3**	379.9***
	(145.6)	(144.1)	(146.5)	(144.6)
Control variables	No	Yes	No	Yes
Control for common support	No	No	Yes	Yes
Constant	2718***	3768***	2730***	-2002
	(50.90)	(1361)	(49.48)	(1847)
Observations	1900	1898	1688	1687
R-squared	0.180	0.275	0.181	0.277
Number of hhcode	1050	1050	844	844

Panel C: Sambalpur

	(1)	(2)	(3)	(4)
Time Effect	1311***	1113***	1304***	1110***
	(99.28)	(108.8)	(98.22)	(107.0)
Treated * Time	-118.7	-107.3	-136.0	-122.7
	(140.4)	(140.4)	(140.1)	(138.7)
Control variables	No	Yes	No	Yes
Control for common support	No	No	Yes	Yes
Constant	2686***	-50.21	2653***	1198
	(50.23)	(2100)	(49.53)	(1294)
Observations	1250	1245	1160	1158
R-squared	0.348	0.411	0.351	0.414
Number of hhcode	650	650	580	580

Standard errors in

*** p<0.01, ** p<0.05, *p<0.1

We also consider the analysis per MFI; see Panel B and C in Table 3. This analysis suggests that the MFI located Nayargarh is accountable for the positive effect of the intervention. The effect for this MFI is significant at the five and one percent level dependent on the specification. The size of the effect is about fifty percent of the general time effect. This implies that the consumption of the treatment group has increased fifty percent more than the consumption of the control group for the members located in Nayargarh. However, we don't find any evidence for a positive effect during the project period for the MFI located in Sambalpur. It should be noticed once again, that due to the absence of pre-intervention data, our analyses only indicates whether the treatment group "grows" faster during the evaluation period than the control group. A non-significant effect does not necessarily imply that the program has no impact for most interventions may be done before we started out evaluation. In other words, our evaluation considers the "sustainability" of the impacts.

One reason for this finding may lie in the fact that the Nayargarh region was hit by a typhoon between the two survey rounds. If the typhoon indeed causes this result, it reveals that being a member of a MFI is especially beneficial during times of misfortune. E.g. households who are a member of an MFI may have access to sources, monetary, knowledge, and/or a social network which help them to alleviate the setbacks that a natural disaster may cause. Yet, this reasoning can explain the difference in the effect between the two subsamples; it cannot explain the outcome in the overall sample.

To examine the average impacts of the entire program the average treatment effect (ATE) and the average treatment effect of the treated (ATET) have been estimated using PSM. The results are given in Table 4. The results of ATE and ATET of the total sample are both highly significant. This differs from the DD estimates, which measure the impact of being one extra year a member of the treatment group.

Table 4: PSM estimates on total consumption

Total Consumption	Total Sample	Nayagarh	Sambalpur
Panel A: First Round			
ATET	237.60472	80.21721	477.16619
	(83.15)***	(130.87)	(119.74)***
ATE	280.74628	-32.018	354.80451
	(75.29)***	(93.23)	(106.09)***
Panel B: Second Round			
ATET	181.16228	184.3895	184.88794
	(163.33)	(182.49)	(230.82)
ATE	248.62193	381.1453	248.44374
	(117.95)**	(156.77)**	(188.16)

Abadie and Imbens (2012) std errors between parentheses
*** p<0.01, ** p<0.05, * p<0.1 (two sided)

We also use PSM to measure the impact of the program in the different regions. Again the PSM results differ from the DD results. PSM suggests that the program in Sambalpur has a positive impact, while the program in Nayargarh does not seem to have a positive impact. The DD estimates suggested the opposite.

The results of the PSM method applied on the data of the second survey round show a slightly different picture. In this case only the ATE is significant for the entire sample and for the Nayargarh sample (at the five percent level). All these results, the DD as well as the PSM, reveal that it is quite likely that the program has an impact on the total consumption of the members, yet, as the results differ from the DD estimations, it also shows the possible influence of non-observed heterogeneity. Therefore, the size of the effects should be taken with care.

Since the MFIs especially focus on women the influence of intervention on female empowerment is examined. The indicator for female empowerment is based upon the number of decisions that females are making about savings, purchases of land/property, investments in jewelry, regular household expenditure on food, household expenditure on children's education, and borrowing. The indicator runs from 0 to 6. An increase indicates an improvement in female empowerment. Although being a crude proxy, it may reveal the impact of the intervention on female decision making. The results of the DD analyses are given in Table 5.

The most striking result in Table 5 is that the number of decisions that females are involved in has decreased by more than on decision in the period of our analysis for the entire sample. This result holds for all specifications and is highly significant (much smaller than one percent). This decreasing effect seems to be even larger in the Sambalpur region where the number of decisions has decreased with about two. The intervention does not overcome this time effect, in fact the opposite is true as the members in the treatment group have an extra decrease of about 0.3 and 0.4 decisions over the time period (significant at the five and ten percent level). Splitting the sample per region reveals that this effect is mainly driven by the Sambalpur region. Although the results on female empowerment are negative in the DD model, this does not imply that the treatment may not have an overall positive effect. It only shows that there is a decrease in the period between the first and second round of surveying.

In order to examine the overall effect of the program on female empowerment a PSM has been applied on the first and second round of the surveys. The results are given in Table 6. From Table 6 it is clear that in the first round of surveying no effect of the program on female empowerment can be found. This relaxes a bit the findings of the DD model that clearly showed that there is negative effect. If the PSM is applied to the end line data, the effect is even significantly positive in the Nayagarh region at the five percent level, whereas it still is insignificant for the total sample and the Sambalpur region. Although the results of the PSM analysis are a bit more positive with respect to the influence of the program on female empowerment, they still do not offset the deterioration of female empowerment over time as shown in the DD method.

Table 5: Female Empowerment Fixed Effects Estimation

Panel A: Entire Sample

	(1)	(2)	(3)	(4)
Time Effect	-1.464***	-1.258***	-1.470***	-1.265***
	(0.104)	(0.113)	(0.105)	(0.114)
Treated * Time	-0.321**	-0.413**	-0.320*	-0.411**
	(0.162)	(0.162)	(0.164)	(0.163)
Control variables	No	Yes	No	Yes
Control for common support	No	No	Yes	Yes
Constant	2.298***	2.218	2.517***	5.240***
	(0.0616)	(2.800)	(0.0570)	(1.932)
Observations	3700	3143	2848	2845
R-squared	0.219	0.261	0.219	0.260
Number of hhcode	2250	1700	1424	1424

Panel B: Nayargarh

	(1)	(2)	(3)	(4)
Time Effect	-1.124***	-0.791***	-1.128***	-0.795***
	(0.140)	(0.152)	(0.140)	(0.153)
Treated * Time	0.114	-0.0516	0.131	-0.0518
	(0.235)	(0.238)	(0.236)	(0.240)
Control variables	No	Yes	No	Yes
Control for common support	No	No	Yes	Yes
Constant	2.178***	6.248***	2.611***	7.586**
	(0.0906)	(2.252)	(0.0798)	(3.059)
Observations	2450	1898	1688	1687
R-squared	0.099	0.162	0.099	0.162
Number of hhcode	1600	1050	844	844

Panel C: Sambalpur

	(1)	(2)	(3)	(4)
Time Effect	-2.087***	-2.116***	-2.105***	-2.134***
	(0.143)	(0.160)	(0.144)	(0.161)
Treated * Time	-0.473**	-0.524**	-0.512**	-0.542***
	(0.202)	(0.207)	(0.205)	(0.209)
Control variables	No	Yes	No	Yes
Control for common support	No	No	Yes	Yes
Constant	2.352***	6.444**	2.379***	4.806**
	(0.0723)	(3.089)	(0.0726)	(2.102)
Observations	1250	1245	1160	1158
R-squared	0.472	0.504	0.480	0.505
Number of hhcode	650	650	580	580

Standard errors in parentheses

*** p<0.01, ** p<0.05, * p<0.1

Table 6: PSM Estimates on Female Empowerment

Female empowerment	Total Sample	Nayagarh	Sambalpur
Panel A: First Round			
ATET	0.136	0.031	0.243
	(0.18)	(0.25)	(0.29)
ATE	0.171	-0.085	0.277
	(0.16)	(0.22)	(0.24)
Panel B: Second Round			
ATET	0.002	0.496	0.044
	(0.11)	(0.18)***	(0.02)*
ATE	-0.018	0.490	0.000
	(0.1)	(0.18)***	(0.02)

Abadie and Imbens (2012) std errors between parentheses
*** p<0.01, ** p<0.05, * p<0.1 (two sided)

Since the program provides loans to members and also train the member with financial knowledge, it may be informative to see if the program has an influence on the saving behavior. Therefore the impact of the program on savings is estimated. The results are given in Table 7.

Table 7 clearly shows that the general time effect is positive on savings and is highly significant, this implies that all respondents in our sample have increased their savings over time. Moreover, Table 7 shows that the program does not have a significant impact on the saving behavior. These results do not only hold for the entire sample but also for each region individually.

Table 7: Savings Fixed Effects Estimation

Panel A: Entire Sample

	(1)	(2)	(3)	(4)
Time Effect	418.6***	389.9***	416.8***	391.5***
	(41.09)	(45.05)	(41.51)	(45.46)
Treated * Time	-11.33	9.138	-1.349	12.03
	(63.42)	(64.08)	(64.47)	(64.72)
Control variables	No	Yes	No	Yes
Control for common support	No	No	Yes	Yes
Constant	374.2***	-805.4	378.0***	-1315
	(22.82)	(1516)	(22.55)	(1005)
Observations	3103	3096	2801	2798
R-squared	0.111	0.148	0.111	0.147
Number of hhcode	1700	1700	1424	1424

Panel B: Nayargarh

	(1)	(2)	(3)	(4)
Time Effect	497.0***	482.6***	500.3***	488.9***
	(54.99)	(60.49)	(55.32)	(60.86)
Treated * Time	-44.37	-41.32	-43.28	-42.98
	(91.67)	(94.22)	(92.34)	(94.67)
Control variables	No	Yes	No	Yes
Control for common support	No	No	Yes	Yes
Constant	353.3***	-2181*	364.5***	1415
	(32.49)	(1132)	(31.55)	(954.3)
Observations	1853	1851	1641	1640
R-squared	0.130	0.177	0.131	0.179
Number of hhcode	1050	1050	844	844

Panel C: Sambalpur

	(1)	(2)	(3)	(4)
Time Effect	284.3***	230.8***	272.2***	222.1***
	(61.14)	(68.56)	(62.03)	(68.76)
Treated * Time	79.29	104.7	101.6	107.1
	(86.46)	(88.47)	(88.48)	(89.18)
Control variables	No	Yes	No	Yes
Control for common support	No	No	Yes	Yes
Constant	395.3***	50.41	394.0***	1334
	(30.93)	(1323)	(31.28)	(831.9)
Observations	1250	1245	1160	1158
R-squared	0.087	0.139	0.086	0.144
Number of hhcode	650	650	580	580

Standard errors in parentheses

*** p<0.01, ** p<0.05, * p<0.1

Efficiency/Cost Effectiveness

In order to determine the efficiency of a project one needs a benchmark project that is fully efficient and uses about the same inputs as the project under evaluation. One can compare the outputs of both projects in order to determine how efficient the assessed project is. Since such a benchmark is lacking, the determination of efficiency is problematic. Therefore the focus will be on the price per output calculated from the amount of outputs delivered for the given budget of the project and these are compared with prices per output of similar projects found in the literature on MFIs. Yet, before focusing on the cost effectiveness, a crude measure for the beneficiaries' gain of the project will be calculated and be compared with the budget of the project. Since we only find a significant effect in the fixed effects DD model for the Nayagargh region, we will focus on this region only. The number of members of the program in this region is about 2350. The average amount of extra monthly expenditures for being one extra time period (in this case about 16 months) in the treated group is about € 4.67 (350 IRP / 75 INR/EUR). If we assume that these expenditures are accumulated equally over the last 16 months the amount of extra expenditures for this group is just below € 87,750.[3] Given the budget of € 117,848 this is quite a large return. Of course not all of the extra expenditure can directly be attributed to the project as the MFI also needs to have funds for the loans to provide. Yet, one should keep in mind that this return is generated after the project already has been ended, while still generating returns.

Table 8: Outputs and costs

Training	No. of Trainings	Total Trainees	Total Costs	Cost per Training	Cost per Trainee
Book keeping	40	1366	240,000 INR 4,304.72 Int$	6,000 INR 107.62 Int$	175.70 INR 3.15 Int$
Livelihood	24	873	144,000 INR 2,593.43 Int$	6,000 INR 108.06 Int$	164.95 INR 2.97 Int$

Sources: Training workshop details.xls, Budget data (RGVN & ADARSA.jpg, RGVN & CARR.jpg, RGVN & SCRS (4 staff).jpg, and RGVN &SARC.jpg)
Note: Int$ Are 2011 international dollars calculated using the methodology in AIID (2014)

The initial plan of RGVN was to provide 40 trainings on book keeping, training 800 members, and to organize 24 workshops on alternative livelihood. Table 8 shows information about these trainings. From this table it is clear that the number of trainees has increased by almost 75% without an increase of the budget. Since an extensive literature review resulted in information about the average cost of a self-help group (SHG) only, the figures from Table 8 have to be translated to the SHG level. The initial plan was to train only group leaders. Since the number of trainees has been increased, it may be that some non-leaders also received training, yet, the cost per trainee should give a reasonable estimate of the cost per SHG. The average cost of an SHG (including the cost of launching, training and monitoring), is estimated around Int$ 976.00 (Isern, 2007 via AIID, 2014). This implies that the training on book keeping and livelihood together are less than 1 percent of the

[3] (350/75)*2350*16*0.5=87,733.33

average total cost of a SHG. This looks cost effective, especially since the unit cost of SHGs that also aim to empower are more costly (AIID, 2014).

Discussion

Given the findings of the analysis the program of RGVN was reasonably well designed. The biggest shortcoming in the design of the program is in the theory of change. The risk of non-available funding for the loans was ignored. During the evaluation period the funding indeed dried up which resulted in the program not reaching the goal with respect to the on number of clients reached. This is in line with the finding of capacity development analysis of RGVN (See 5C evaluation of RGVN), which states "In the overall capability to adapt and self-renew RGVN […] showed no change". Another aspect of the program that stayed behind is the financial literacy of the members. Although the members did receive some training on this aspect, the goal of 75 percent financial literate members was not met. Sayinzoga et al. (2014) show that financial training can lead to financial literacy. Yet, the training they considered lasted for one entire week. It may well be the case that the training organized by RGVN was not intensive enough. A longer training period may be beneficial, especially since the training of RGVN appears to be relatively inexpensive. This finding is backed up by the 5C evaluation of RGVN as well as it also finds that RGVN has only improved very slightly in balancing quality and efficiency.

We report some evidence that the project has led to an increase in livelihood of its members. Therefore, we value the project as successful. However, it should be noticed that the evidence is somewhat mixed.

An interesting outcome on which the evaluation points is that members of RGVN seem to be less hit by the typhoon, than non-members. This suggests that MFIs play an important role in terms of reducing the vulnerability to disasters. It may well be so, that MFIs have a more important role to play in terms of reducing the vulnerability to shocks, than to increase welfare in normal circumstances.

We have to recall that the evaluation was faced with some severe shortcomings. Most importantly, we lack pre-intervention data, the interventions ended almost immediately after the baseline data collection, and it turned out to be very difficult to select a proper control group for most households in the concerned regions have access to credit in one or another way. These problems imply that our evaluation is not as rigorous as we had hoped this evaluation to be.

Since the project mainly focused on women, the impact on female empowerment has been examined as well. A significant decrease of female empowerment over time is observed. This does not directly imply that the project failed on this aspect, especially since there is some indication that the overall effect of the program on female empowerment may be positive. Yet, it seems clear that the project did not achieve the intended female empowerment goals. One may argue, though, that it is not one of the main goals of the program since it is not explicitly mentioned. Yet, since the program states as it main objective that it focuses on women, we think it should be included.

Conclusion

Given the above findings of the impact evaluation the following scores are given to the program:

Table 7: Scoring the program

Statement:	Score:
On a scale of 1 to 10, with 1 being “not at all” and 10 being “completely”	
The project was well designed	8
The project was implemented as designed	10
The project reached all its objectives	7
The observed results are attributable to the project interventions	7
The observed results are relevant to the project beneficiaries	8
The project was implemented efficiently	9

Scores are on a scale of 1 to 10, with 1 being “not at all” and 10 being “completely”

Note that the score on “The observed results are attributable to the project interventions” reflects how well we could evaluate the program. Therefore, it is not a score of the program. The objectives used to score on this aspect are given in the country summary.

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Appendix

Table A1A: Controls on Caste and Religion

Control Group	Scheduled	Scheduled	Other	Other	Hinduism	Islam	Christianity	Buddhism	Jainism
Mean	0.242353	0.218824	0.455294	0.083529	0.976471	0.014118	0.008235	0.001177	0
SD	0.428759	0.413692	0.498291	0.276844	0.151667	0.118046	0.090427	0.0343	0
min	0	0	0	0	0	0	0	0	0
max	1	1	1	1	1	1	1	1	0
N	850	850	850	850	850	850	850	850	850
Treatment Group	Scheduled	Scheduled	Other	Other	Hinduism	Islam	Christianity	Buddhism	Jainism
Mean	0.176667	0.246667	0.451667	0.125	0.98	0.013333	0.003333	0.001667	0.001667
SD	0.381705	0.431431	0.498074	0.330995	0.140117	0.114793	0.057687	0.040825	0.040825
min	0	0	0	0	0	0	0	0	0
max	1	1	1	1	1	1	1	1	1
N	600	600	600	600	600	600	600	600	600
Total	Scheduled	Scheduled	Other	Other	Hinduism	Islam	Christianity	Buddhism	Jainism
Mean	0.215172	0.230345	0.453793	0.10069	0.977931	0.013793	0.006207	0.001379	0.00069
SD	0.411084	0.421199	0.498032	0.301021	0.146959	0.116672	0.078566	0.037126	0.026261
min	0	0	0	0	0	0	0	0	0
max	1	1	1	1	1	1	1	1	1
N	1450	1450	1450	1450	1450	1450	1450	1450	1450

Table A1B: Controls on household head education

Control Group	Illiterate	Literate,	Pre-primary	Primary	Middle	Secondary	Senior	Diploma	Graduate	Post
Mean	0.244104	0.033019	0.106132	0.226415	0.189859	0.110849	0.050708	0.001179	0.034198	0.003538
SD	0.429808	0.178791	0.308188	0.418758	0.392421	0.31413	0.219529	0.03434	0.181845	0.059409
min	0	0	0	0	0	0	0	0	0	0
max	1	1	1	1	1	1	1	1	1	1
N	848	848	848	848	848	848	848	848	848	848
Treatment Group	**Illiterate**	**Literate,**	**Pre-primary**	**Primary**	**Middle**	**Secondary**	**Senior**	**Diploma**	**Graduate**	**Post**
Mean	0.197324	0.048495	0.09699	0.272575	0.188963	0.120401	0.041806	0.003345	0.0301	0
SD	0.398312	0.21499	0.296192	0.445657	0.391807	0.325703	0.200313	0.057783	0.171007	0
min	0	0	0	0	0	0	0	0	0	0
max	1	1	1	1	1	1	1	1	1	0
N	598	598	598	598	598	598	598	598	598	598
Total	**Illiterate**	**Literate,**	**Pre-primary**	**Primary**	**Middle**	**Secondary**	**Senior**	**Diploma**	**Graduate**	**Post**
Mean	0.224758	0.039419	0.102351	0.245505	0.189488	0.114799	0.047026	0.002075	0.032504	0.002075
SD	0.417567	0.194657	0.303215	0.430535	0.392032	0.31889	0.211768	0.045517	0.177394	0.045517
min	0	0	0	0	0	0	0	0	0	0
max	1	1	1	1	1	1	1	1	1	1
N	1446	1446	1446	1446	1446	1446	1446	1446	1446	1446

Table A1C: Controls on household head marital status

Control Group	Never	Currently	Widow/Widower	Divorced/separated
Mean	0.001179	0.89033	0.102594	0.005896
SD	0.03434	0.312662	0.303607	0.076605
min	0	0	0	0
max	1	1	1	1
N	848	848	848	848
Treatment Group	Never	Currently	Widow/Widower	Divorced/separated
Mean	0.025084	0.879599	0.088629	0.006689
SD	0.15651	0.325703	0.284445	0.08158
min	0	0	0	0
max	1	1	1	1
N	598	598	598	598
Total	Never	Currently	Widow/Widower	Divorced/separated
Mean	0.011065	0.885892	0.096819	0.006224
SD	0.104643	0.318052	0.295813	0.078674
min	0	0	0	0
max	1	1	1	1
N	1446	1446	1446	1446

Table A1D: Other household characteristics

Control Group	Household Size	Age of Household Head	Nr of adults	Nr of adults	Gender of head
Mean	4.092941	45.33962	1.432941	2.869412	1.165094
SD	1.496623	11.6121	0.803905	1.192094	0.371485
min	1	20	0	1	1
max	10	80	5	8	2
N	850	848	850	850	848
Treatment Group	**Household Size**	**Age of Household Head**	**Nr of adults**	**Nr of adults**	**Gender of head**
Mean	4.273333	46.41639	1.508333	3.011667	1.187291
SD	1.430162	11.48266	0.83532	1.187665	0.390472
min	1	22	0	1	1
max	10	90	7	9	2
N	600	598	600	600	598
Total	**Household Size**	**Age of Household Head**	**Nr of adults**	**Nr of adults**	**Gender of head**
Mean	4.167586	45.78492	1.464138	2.928276	1.174274
SD	1.471673	11.56693	0.81761	1.191916	0.379476
min	1	20	0	1	1
max	10	90	7	9	2
N	1450	1446	1450	1450	1446

Endline report – India, RGVN MFS II country evaluations

Capacity of Southern Partner Organisations (5C) component

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Wageningen, January 2015

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This report presents the findings of the endline of the evaluation of the organisational capacity component of the MFS II country evaluations. The focus of this report is India, RGVN. The format is based on the requirements by the synthesis team and NWO/WOTRO. The endline was carried out in 2014. The baseline workshop was carried out in 2012 (interview with director in 2013).

Key words: 5C (five core capabilities); attribution; baseline; causal map; change; CFA (Co-financing Organisation) endline; organisational capacity development; SPO (Southern Partner Organisation).

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The India 5C evaluation team

List of abbreviations and acronyms

5 C	Capacity development model which focuses on 5 core capabilities
BRLF	Bharat Rural Livelihoods Foundation
Causal map	Map with cause-effect relationships. See also 'detailed causal map'.
Causal mechanisms	The combination of parts that ultimately explains an outcome. Each part of the mechanism is an individually insufficient but necessary factor in a whole mechanism, which together produce the outcome
CDI	Centre for Development Innovation, Wageningen UR
CFA	Co-Financing Agency
CPSE	Central Public Sector Enterprise
CSR	Corporate Social Responsibility
CU	Concern Universal
Detailed causal map	Also 'model of change'. the representation of all possible explanations – causal pathways for a change/ outcome. These pathways are that of the intervention, rival pathways and pathways that combine parts of the intervention pathway with that of others. This also depicts the reciprocity of various events influencing each other and impacting the overall change. In the 5C evaluation identified key organisational capacity changes and underlying reasons for change (causal mechanisms) are traced through process tracing (for attribution question).
EU	European Union
General causal map	Causal map with key organisational capacity changes and underlying reasons for change (causal mechanisms), based on SPO perception.
HR	Human Resources
IDF	India Development Foundation
IFHD	India Foundation for Humanistic Development
IIMP	Invest India Micro Pension
JTT	Jamsedji Tata Trust, Mumbai
L&T	Larsen & Toubro
M&E	Monitoring and Evaluation
MF	Microfinance
MFS	Dutch co-financing system
MGNREGA	Mahatma Gandhi National Rural Employment Guarantee Act
MIS	Management Information System
NCSRHET	National Corporate Social Responsibility Hub Empanelment team
NGO	Non-Governmental Organisation.
NTFP	Non-Timber Forest Produce
OD	Organisational Development
PME	Planning, Monitoring and Evaluation
ProCIF	Producer Entrepreneurship Catalyst and Incubation Facility
Process tracing	Theory-based approach to trace causal mechanisms
PSU	Public Sector Unit
RGVN	Rashtriya Gramin Vikas Nidhi
RTE	Right to Education
RTI	Right to Information
SDTT	Sir Dorabji Tata Trust
SHG	Self Help Group
SIDBI	Small Industrial Development Bank of India
SLEEP	Sustainable Livelihood Enhancement and Enterprise Promotion
SPO	Southern Partner Organisation
SRI	System of Rice Intensification
ToC	Theory of Change
Wageningen UR	Wageningen University & Research centre

1 Introduction & summary

1.1 Purpose and outline of the report

The Netherlands has a long tradition of public support for civil bi-lateral development cooperation, going back to the 1960s. The Co-Financing System (*Medefinancieringsstelsel*, or 'MFS') is its most recent expression. MFS II is the 2011-2015 grant framework for Co-Financing Agencies (CFAs), which is directed at achieving a sustainable reduction in poverty. A total of 20 consortia of Dutch CFAs have been awarded €1.9 billion in MFS II grants by the Dutch Ministry of Foreign Affairs (MoFA).

The overall aim of MFS II is to help strengthen civil society in the South as a building block for structural poverty reduction. CFAs receiving MFS II funding work through strategic partnerships with Southern Partner Organisations.

The MFS II framework stipulates that each consortium is required to carry out independent external evaluations to be able to make valid, evaluative statements about the effective use of the available funding. On behalf of Dutch consortia receiving MFS II funding, NWO-WOTRO has issued three calls for proposals. Call deals with joint MFS II evaluations of development interventions at country level. Evaluations must comprise a baseline assessment in 2012 and a follow-up assessment in 2014 and should be arranged according to three categories of priority result areas as defined by MoFA:

Achievement of Millennium Development Goals (MDGs) & themes;

Capacity development of Southern partner organisations (SPO) (5 c study);

Efforts to strengthen civil society.

This report focuses on the assessment of capacity development of southern partner organisations. This evaluation of the organisational capacity development of the SPOs is organised around **four key evaluation questions**:

1. *What are the changes in partner organisations' capacity during the 2012-2014 period?*
2. *To what degree are the changes identified in partner capacity attributable to development interventions undertaken by the MFS II consortia (i.e. measuring effectiveness)?*
3. *Were the efforts of the MFS II consortia efficient?*
4. *What factors explain the findings drawn from the questions above?*

The purpose of this report is to provide endline information on one of the SPOs involved in the evaluation: RGVN in India. The baseline report is described in a separate document.

Chapter 2 describes general information about the Southern Partner Organisation (SPO). Here you can find general information about the SPO, the context in which the SPO operates, contracting details and background to the SPO. In chapter 3 a brief overview of the methodological approach is described. You can find a more detailed description of the methodological approach in appendix 1.Chapter 4 describes the results of the 5c endline study. It provides an overview of capacity development interventions of the SPO that have been supported by MFS II. It also describes what changes in organisational capacity have taken place since the baseline and why (evaluation question is 1 and 4). This is described as a summary of the indicators per capability as well as a general causal map that provides an overview of the key organisational capacity changes since the baseline, as experienced by the SPO. The complete overview of descriptions per indicator, and how these have changed since the baseline is described in appendix 3. The complete visual and narrative for the key organisational capacity changes that have taken place since the baseline according to the SPO staff present at the endline workshop is presented in appendix 4.

Chapter 5 presents a discussion on the findings and methodology and a conclusion on the different evaluation questions.

The overall methodology for the endline study of capacity of southern partner organisations is coordinated between the 8 countries: Bangladesh (Centre for Development Studies, University of Bath; INTRAC); DRC (Disaster Studies, Wageningen UR); Ethiopia (CDI, Wageningen UR); India (CDI, Wageningen UR: Indonesia (CDI, Wageningen UR); Liberia (CDI, Wageningen UR); Pakistan (IDS; MetaMeta); Uganda (ETC). Specific methodological variations to the approach carried out per country where CDI is involved are also described in this document.

This report is sent to the Co-Financing Agency (CFA) and the Southern Partner Organisation (SPO) for correcting factual errors and for final validation of the report.

1.2 Brief summary of analysis and findings

Over the last two years, RGVN has seen no change in its overall capability to act and commit. The main improvements were the daily operations, staff skills, trainings and RGVN's proposal writing capacity. There was however a slight deterioration in staff incentives and RGVN's funding situation. In the overall capability to adapt and self-renew RGVN also showed no change, though management became more responsive to critical reflection and there was a very slight improvement in M&E application. In terms of the overall capability to deliver on development objectives, there has been no change. RGVN has only improved very slightly in balancing quality and efficiency. In the overall capability to relate there was again no change. RGVN very slightly improved its relations with government departments and the private sector. Finally, RGVN showed no change in the overall capability to achieve coherence but has revisited their strategies which are still in line with their vision and mission.

The evaluators considered it important to also note down the SPO's perspectives on the most important changes in in the organisation since the baseline. During the endline workshop the key organisational capacity changes that were brought up by RGVN's staff were: improved staff capacity to train partners on technology and other issues; and improved relationships with networks. According to RGVN their capacity in training their partners improved partly because of the field experience that they gained and trainings and exposure visits they went on that were funded by Hivos (MFS II), SIDBI and SDTT. RGVN staff got more access to trainings and visits because of gap identification and a change in the strategic plan which required staff to develop new skills. The gaps were identified as a result of fortnightly meetings and strengthened M&E because of donor (Hivos) requirements. RGVN improved its relationships with the government, market, PSUs and private sector. The relations with the government improved because of the new programmes RGVN is involved in and because of some trainings of government department that they attended. The linkages with the market improved because of new programmes and trainings by Hivos, SDTT and SIDBI. The relations with PSUs and the private sector improved because of new programmes and RGVN obtaining a CSR eligibility certificate. RGVN improved its network with government, market, PSUs and the private sector also because of working on new programmes that fitted their new sustainable livelihood strategic focus of RGVN, which was triggered by floods, the Phailin cyclone, the microfinance crisis and the changes in donor's priorities (from microfinance to agriculture/livelihoods). According to RGVN, MFS II funded capacity development interventions have played a role in the key organisational capacity changes, particularly in terms of improving their staff capacity to train partners on technology and other issues and improved linkages with the market.

2 General Information about the SPO – RGVN

2.1 General information about the Southern Partner Organisation (SPO)

Country	India
Consortium	People Unlimited
Responsible Dutch NGO	Hivos
Project (if applicable)	• Graduating NGOs in Micro Finance Institutions (MFIs) in the state of Odisha • Sustainable livelihood enhancement and enterprise promotion (SLEEP)
Southern partner organisation	Rashtriya Gramin Vikas Nidhi (RGVN)

The project/partner is part of the sample for the following evaluation component(s):

Achievement of MDGs and themes	X
Capacity development of Southern partner organisations	X
Efforts to strengthen civil society	

2.2 The socio-economic, cultural and political context in which the partner operates

Rastriya Gramya Vikas Nidhi (RGVN) was established and registered in 1990 with its headquarters at Guwahati (North-East India). In 1992 the operational area was extended and RGVN regional unit Bhubaneswar was established with the aim to create sustainable livelihoods for rural poor where women are given priority. At the first hand, RGVN had tried to address the credit (in the form of soft loans) and basic capacity building (in the form of grants) needs of the rural family to ensure sustainable livelihood for them. On the other hand to make this process more effective and sustainable, RGVN had tried to deliver its support (both loan and grant) through local grassroots level civil societies (CBOs/ NGOs). This process of support not only addresses the livelihood issues of poor people but also provides adequate scope for local fledging initiatives/NGOs to be nurtured and strengthened under the ambit of RGVN'S support. RGVN Bhubaneswar operates in the tribal dominated regions of western Odisha, southern Odisha, northern Odisha and selective coastal plain areas of Odisha and six coastal districts of Andhra Pradesh. RGVN received MFS II funding for graduating NGOs in Microfinance institutions programme which was stopped in mid-2012 due to the microfinance crisis. Then the focus was shifted to Sustainable Livelihood Enhancement and Enterprise Promotion programme funded by MFS II.

The tribal population in the state of Odisha is 22.1 percent of the total population as per the Ministry of Tribal Affairs Annual Report 2013-2013. As per the report of 2013-2014[1] of the Directorate of Economics and Statistics Odisha, the percentage share of agriculture in total Gross Domestic Product at current prices is 19.61 percent and its annual growth for that year is 12.35 percent. Agriculture along with animal husbandry contributes 12.74 percent in total GSDP during the year 2013-2014. Livelihood of the tribal regions is dependent on Non-Timber Forest Produce (NTFP) also known as minor forest produce. The Tribal economy is mainly dependent on subsistence agriculture with forest

[1] http://www.odisha.gov.in/pc/Download/Economic_Survey_2013-14.pdf

forming an essential part of their livelihood.[2] As per the Government Estimates, a total of 100 million forest dwellers are dependent on Minor Forest Produce (MFP) for food, shelter, medicines, cash income etc. Despite being rich in NTFP products there has been gross underutilization of NTFP products which has adversely affected livelihood of the region for the poor forest dwellers. Lack of information, skill and opportunity for the tribals also makes underutilisation of NTFP products for livelihood. Poverty is further increased due to low social status of women, who comprise a substantial section working in collection of NTFP products. Forest and forest products contribute significantly to the state's economy. As part of Odisha government's Forestry Vision,2020, The State Forest and Environment Department finalized its strategies to focus on: increased flow of Non-Timber Forest Produce NTFPs and wood, biodiversity conversations and strategies and higher allocations, investment, insurance and incentives for better forest management.

The main source of income of the people is agriculture and allied activities. Low production is further influenced by increasing cost of cultivation due to use of fertilizers, pesticides provided by private suppliers. As most of the farmers are poor and in order to sustain their livelihoods there is dependence on informal lending leading to moneylenders demanding exorbitant interest rates from the farmers. Cultivation is also affected by the natural calamities in the region especially cyclones (e.g. Phailin 2013) and flood (e.g. 2011 & 2014).

Microfinance institutions were a help for the small/poor farmers to receive loans/credits to sustain and promote their livelihood. In this regard the formal financial institutions / banks have had a remarkable contribution to bring the rural poor under the benefit of small financial services (only small credit) through SHG bank linkage program. However, SHGs/Cooperatives faced the MFI (Micro-Finance Institution) crisis due to over lending, irregularities in the operation of the cooperatives etc. Due to a sharp fall in the repayment and the MFI crisis formal financial institutions/banks stopped lending/funding SHGs/Cooperatives.

In 2013, the state government of Odisha addressed the MFI crisis by promulgating the Odisha Self-Help Co-operatives Ordinance 2013 by repealing the Odisha Self-Help Cooperatives Act 2001, and by bringing all the cooperatives under the original 1962 Act. This was done in order to regulate all non-banking financial companies, including the co-operative credit societies operating under the Orissa Self-Help Co-operative Act, 2001. It was identified that there had been irregularities in the operation of the cooperatives and misappropriation of depositors' money. With the repeal of the 2001 Act, the government increased its control over these co-operative credit societies and curbed their independent functioning. For example, the business transactions of these societies would be regularly audited either by a panel of independent auditors or by government auditors. After such an audit these societies would amend their laws and report to the Registrar of Cooperative Societies within three months. When such a society failed to elect its board members every five years, the Board of Directors of such a cooperative credit society is dissolved. In this case the management of the cooperative society is vested in the Registrar of Cooperative Societies, who can then make changes in the organisation as per the provisions of the Odisha Cooperative Societies Act, 1962.

In this situation RGVN plays a vital role in creating livelihood opportunities, particularly for women and their skill development, formation of producer groups, strengthening market linkages and supporting the marginalized access to government schemes. Government's new regulation to bring all the cooperatives and SHGs management under its control will further strengthen RGVN's effort to help poor and marginalized people to be uplift socially and economically.

[2] http://tribal.nic.in/WriteReadData/CMS/Documents/201410170519295222004StatisticalProfileofSTs2013.pdf

2.3 Contracting details

When did cooperation with this partner start: 2000

What is the MFS II contracting period: 2011-2015

- *Graduating NGOs into Micro Finance Institutions in the state of Odisha – Phase II*: 1 July 2009 till 30 June 2012 (under MFS II from 1 January 2011 – 30 June 2012).
- *Sustainable livelihood enhancement and enterprise promotion (SLEEP) in Odisha*: 1 July 2012 till 30 June 2015.

Did cooperation with this partner end? No
If yes, when did it finish? NA

What is the reason for ending the cooperation with this partner: NA

Is there any expected collaboration after 30 June 2015? Further collaboration is not foreseen after the end date of the current contract that runs until 30 June 2015. This in relation to the changes in the nature of Hivos' work due to the reduced funding from the Dutch Ministry of Foreign Affairs. It could be that Hivos will work with RGVN in the future if the work of this partner fits well within a new programme or project of Hivos.

2.4 Background to the Southern Partner Organisation

History

Rashtriya Gramin Vikas Nidhi (RGVN) Bhubaneswar works in Odisha and two districts of Andhra Pradesh (Srikakulam and Vizianagaram) to improve the economic and social status of the poor and underprivileged rural and urban people through sustainable livelihood, skill development and graduating individual groups into entrepreneurship.

In 1988, Mr. S.N. Paliya, the executive director of IDBI bank, got together with like-minded people like Laxmi Chand Jain (Indian Ambassador to South Africa, respected Gandhian thinker and later member of the Planning Commission of India), Deep Joshi (credited for bringing professionalism to the NGO sector in India, winner of Magsaysay award for Community Leadership 2009, and co-Founder of Pradan, a network of MFI organisations),and Brij Mohan (Head of SIDBI).They wanted to establish an organisation that would strengthen grass roots level organisations and help them grow and focus on the poor to provide them with a regular source of income. They decided to choose those organisations that had the intention of helping the poor irrespective of their legal registration status. Trust was the only collateral they were looking for. They wanted to prove that the poor were credit worthy. Their priority was north- eastern states and tribal areas of India.

In 1990, RGVN was established and registered under the Society's Registration Act of 1860 with its headquarters in Guwahati. In 1992 operations were extended by establishing regional branches in Bihar, Odisha and Andhra Pradesh. The objective was to support emergent organisations and encourage income generation activities of the poor. Loans were given at 6% rate of interest with reducing balance.[3] The idea of providing loans on a returnable basis was to ensure and enable ownership. RGVN pioneered this concept at a time when people were accustomed to a culture of subsidies and grants. RGVN wanted to prove that the poor were credit worthy. They offered both returnable and non-returnable grants depending upon the need of the organisation.

In 1992 there was a debate in the development sector regarding the grant based and credit based development process in India. RGVN decided to experiment with community based organisations which were not officially registered and yet were trusted by the community, in Sambalpur, Odisha, and Kanker in Chhattisgarh (5 unregistered groups).

[3] Method of calculating the interest amount on the principal balance (and not on the original loan amount) that reduces with repayment of each loan instalment.

Between 1992 and 1997, the strategy of RGVN was not so much to recover the money given, but to reach the unreached people who had no alternative source of livelihood. Many times money was lost and not spent on what it was intended for as NGOs and the borrowers did not understand properly the dynamics of subsidy and credit.

In 1997-98 RGVN experimented with a model which would develop collaboration rather than competition among NGOs and for two consecutive years the network of 5 NGOs worked and it failed in the third year. The other experiment was creating a network with joint responsibilities in Baleshwar district of Odisha with a mandate for joint management of credit and recovery. Selected NGOs within a minimum distance of 30 km and maximum of 60 km were chosen for this experiment and similar types of organisations were brought together under one network. One NGO appraised the other, setting up a system of mutual accountability. Such groups have been operating since the past 15 years. They apply for funds together from the government and international donors. In one such joint management program out of 5 NGOs one defaulted but the other 4 NGOs took on the responsibility of recovering loans that the defaulting organisation had disbursed.

Between 1997 and 2003, RGVN tried to find people with traditional sources of income which can be enhanced, and identify people with no access to bank loans. The strategy was to channel money in such a way that changes were visible in the lives of the clients in a short period of time. It becomes evident that RGVN wanted to expand during this period, as RGVN was convinced of the fact that the poor are not necessarily unworthy of credit. This phase of RGVN also saw major setbacks in terms of accountability within the organisation and transparency within the networks established till then. In 2003-2004 RGVN had created an inventory of dedicated NGOs and now the focus was to mobilise more funds to move from a loan range of 30,000-60,000 to 4-5 lakhs INR. In 1999, RGVN rehabilitated 500 victim families who lost their houses & livelihoods during the super cyclone which struck Odisha.

In 2005-2006, RGVN adopted the strategy of mentoring NGOs. Organisations with specific capabilities were hired and RGVN partners were systematically trained in delinquency management, risk mitigation and program strategies. In 2005, RGVN turned its Credit and Savings Programme in Odisha into a cooperative, named Utkal Mahila Swayam Sahayak Sammabaya Ltd. (UMaSS), and located in Ganjam district, Odisha. UMaSS was established and registered as a state level cooperative under the Odisha Self Help Cooperative Act. 2001. In 2006 the concept of microfinance and microcredit came to be accepted as a mode of cushioning poverty in India. Microfinance organisations like SKSS, Society for Action in Disability and Health (SADHAN) and BASIX came up, and poached employees of established organisations of the grass roots by paying higher salaries. Also they encroached upon the customer base by providing them higher loans and insurance packages.

Currently, RGVN gives loan at 15% to its partners, which in turn gives a loan at 24% interest to the SHGs. Over a period of time, partners have become long standing partners of RGVN, which has resulted in quicker and smoother disbursements. Earlier partners took 15 days to disburse 4-5 lakhs but now 40 lakhs are distributed within two days. This means that RGVN has been able to withstand the blow and its partners have survived by diversifying their activities.

In 2009 RGVN received MFS I fund from Hivos for the project "Graduating NGOs in to MF Institutions". Under this project it had outlined and piloted an action plan of institution building where four grassroots level NGOs in Odisha were selected to be graduated in to micro Finance institutions.

In 2009, MICROSAVE conducted a training program on "Strategic Business Planning for Market led Financial Institutions" for RGVN executives. In 2010 RGVN Credit and Savings programme got the legal status of Non-banking Financial Company (NBFC) named RGVN (NE) Micro Finance Ltd.

During 2009 - 2010 while MFI was slowly gaining ground, the sudden crisis in the microfinance sector such as non-availability of funds for disbursement and sharp fall of repayment affected its operation. Due to this crisis the organisation went through a rough patch and flood in 2011 in the organisation's partner areas further worsened the situation. The partners' ability to recover loans meted out and pay back to RGVN was questionable in the face of such large scale disaster. The organization was not able to recuperate fully from the Microfinance crisis in 2009 and the floods in 2011.

In the 2011 board meeting there was a lot of debate on whether RGVN should give money that makes more money or if they should stick to their original goal of income cushioning for the poor. The MFS II

funding for graduating NGOs in MFIs stopped in mid-2012. During this time RGVN Bhubaneswar shifted its focus from microfinance to sustainable livelihood enhancement of the target group. However, at this time this strategy was in a nascent stage. It received funds from Jamsedji Tata Trust to promote sustainable rural livelihoods in sub sectors like- Goatery, Bamboo work, vermicomposting, organic farming (vegetable & paddy farming through System of Rice Intensification (SRI) technology) and cycle rickshaw/trolley at the house hold level.

After the MFS II 5c baseline in August 2012 the executive board of RGVN decided to restrict external borrowings from banks and other financial institutions anticipating the inability of the partner organisations to repay RGVN. This compelled the organisation to think of converging and linking their projects and programmes with government programmes, the market, Public Sector Units (PSUs) and the private sector to enhance the livelihood security of the target groups.

During this period (after baseline in August 2012) RGVN initiated and funded "Bazaar on Wheels", a new project to strengthen producer organizations and their access to market. The project focuses especially on access to market for the women producer groups. In the post Phailin (October 2013) period RGVN in association with ACC Limited (formerly The Associated Cement Companies Limited) supports and rehabilitates the Phailin and flood affected people of Odisha. Also in collaboration with Larsen & Toubro (L&T), RGVN has taken up the project in the post Phailin period to provide placement to the semi-skilled Phailin and Flood effected people.

Vision [Source: Startegy_Minutes]

Creating an enabling environment where the poor and underprivileged can ensure sustainable livelihood with dignity.

Mission [Source: Startegy_Minutes]

To improve the economic and social status of the poor and underprivileged rural and urban people through combining Economic and Social intervention.

Objectives and strategies [Source: Startegy_Minutes, Proposal-_HIVOS_by__RGVN-revised.doc]

In order to achieve its mission RGVN's objectives are to:

- To create enabling environment for food security of rural and urban poor, physically and socio-economically handicapped people;
- To focus on the core livelihood sub sectors mainly NTFP, Agriculture and Allied agriculture, Dairy, Handicraft etc.
- Focus attention on people which are disadvantageously placed in society, but have the potential for pursuing socially and economically productive activities;
- Assist the rural and urban poor especially tribal, scheduled caste, women, physically handicap for economic improvement
- To build the internal capacity of the NGOs/COOPs/Federations/SHGs through capacity building and skill development trainings
- To build measures for gradually moving towards social and financial sustainability in a predefined period

RGVN in its endeavour towards achieving its goals works with NGOs/CBOs by providing them with financial, technical and management support.

To achieve the objectives RGVN has the following **strategies**:

Livelihood:

Create food security through various livelihood sub sector intervention focusing on NTFP, Agriculture and Allied, Dairy, Handicraft etc. Inculcating community mobilization skills among women in agriculture, NTFP and Bell Metal thereby demonstrating and articulating the benefits of the sustainable livelihood methods to them. Facilitate access to fair and remunerative markets including linking producer groups to marketing opportunities.

Micro Enterprise Promotion:

Promotion of various livelihood development clusters and graduating those clusters in to Micro Enterprise. The model is graduating individuals (women) to SHGs to Producer federation to Producer Company/Cooperative through entrepreneurship development.

Capacity building and Skill Development:

Capacity building of SHGs and skill up-gradation through handholding, formal and vocational courses will be emphasized.

3 Methodological approach and reflection

3.1 Overall methodological approach and reflection

This chapter describes the methodological design and challenges for the assessment of capacity development of Southern Partner Organisations (SPOs), also called the '5C study'. This 5C study is organised around **four key evaluation questions**:

1. What are the changes in partner organisations' capacity during the 2012-2014 period?
2. To what degree are the changes identified in partner capacity attributable to development interventions undertaken by the MFS II consortia (i.e. measuring effectiveness)?
3. Were the efforts of the MFS II consortia efficient?
4. What factors explain the findings drawn from the questions above?

It has been agreed that the question (3) around efficiency cannot be addressed for this 5C study. The methodological approach for the other three questions is described below. At the end, a methodological reflection is provided.

Note: this methodological approach is applied to 4 countries that the Centre for Development Innovation, Wageningen University and Research centre is involved in in terms of the 5C study (Ethiopia, India, Indonesia, Liberia). The overall approach has been agreed with all the 8 countries selected for this MFS II evaluation. The 5C country teams have been trained and coached on this methodological approach during the evaluation process. Details specific to the SPO are described in chapter 5.1 of the SPO report A detailed overview of the approach is described in appendix 1.

The first (changes in organisational capacity) and the fourth evaluation question are addressed together through:

- **Changes in the 5C indicators since the baseline:** standard indicators have been agreed upon for each of the five capabilities of the five capabilities framework (see appendix 2) and changes between the baseline, and the endline situation have been described. For data collection a mix of data collection methods has been used, including self-assessments by SPO staff; interviews with SPO staff and externals; document review; observation. For data analysis, the Nvivo software program for qualitative data analysis has been used. Final descriptions per indicator and per capability with corresponding scores have been provided.
- **Key organisational capacity changes – 'general causal map':** during the endline workshop a brainstorm has been facilitated to generate the key organisational capacity changes as perceived by the SPO since the baseline, with related underlying causes. For this purpose, a visual as well as a narrative causal map have been described.

In terms of the attribution question (2 and 4), **'process tracing'** is used. This is a theory-based approach that has been applied to a selected number of SPOs since it is a very intensive and costly methodology, although it provides rich information and can generate a lot of learning within the organisations. This approach was presented and agreed-upon during the synthesis workshop on 17-18 June 2013 by the 5C teams for the eight countries of the MFS II evaluation. A more detailed description of the approach was presented during the synthesis workshop in February 2014. The synthesis team, NWO-WOTRO, the country project leaders and the MFS II organisations present at the workshop have accepted this approach. It was agreed that this approach can only be used for a selected number of SPOs since it is a very intensive and costly methodology. Key organisational capacity changes/ outcomes of the SPO were identified, based on their relationship to the two selected capabilities, the capability to act and commit the capability to adapt and self-renew, and an expected relationship with CFA supported capacity development interventions (MFS II funding). It was agreed to

focus on these two capabilities, since these are the most targeted capabilities by the CFAs, as established during the baseline process.

Please find below an explanation of how the above-mentioned evaluation questions have been addressed in the 5C evaluation.

At the end of this appendix a brief methodological reflection is provided.

3.2 Assessing changes in organisational capacity and reasons for change - evaluation question 1 and 4

This section describes the data collection and analysis methodology for answering the first evaluation question: **What are the changes in partner organisations' capacity during the 2012-2014 period?** And the fourth evaluation question: **"What factors explain the findings drawn from the questions above?"**

In order to explain the changes in organisational capacity development between baseline and endline (evaluation question 1) the CDI and in-country evaluation teams needed to review the indicators and how they have changed between baseline and endline and what reasons have been provided for this. This is explained below. It has been difficult to find detailed explanations for changes in each of the separate 5c indicators, but the 'general causal map' has provided some ideas about some of the key underlying factors actors and interventions that influence the key organisational capacity changes, as perceived by the SPO staff.

The evaluators considered it important to also note down a consolidated SPO story and this would also provide more information about what the SPO considered to be important in terms of organisational capacity changes since the baseline and how they perceived these key changes to have come about. Whilst this information has not been validated with sources other than SPO staff, it was considered important to understand how the SPOs has perceived changes in the organisation since the baseline.

For those SPOs that are selected for process tracing (evaluation question 2), more in-depth information is provided for the identified key organisational capacity changes and how MFS II supported capacity development interventions as well as other actors, factors and interventions have influenced these changes. This is integrated in the next session on the evaluation question on attribution, as described below and in the appendix 1.

How information was collected and analysed for addressing evaluation question 1 and 4, in terms of description of changes in indicators per capability as well as in terms of the general causal map, based on key organisational capacity changes as perceived by the SPO staff, is further described below.

During the baseline in 2012 information has been collected on each of the 33 agreed upon indicators for organisational capacity. For each of the five capabilities of the 5C framework indicators have been developed as can be seen in Appendix 2. During this 5C baseline, a summary description has been provided for each of these indicators, based on document review and the information provided by staff, the Co-financing Agency (CFA) and other external stakeholders. Also a summary description has been provided for each capability. The results of these can be read in the baseline reports.

The description of indicators for the baseline in 2012 served as the basis for comparison during the endline in 2014. In practice this meant that largely the same categories of respondents (preferably the same respondents as during the baseline) were requested to review the descriptions per indicator and indicate whether and how the endline situation (2014) is different from the described situation in 2012[4].

[4] The same categories were used as during the baseline (except beneficiaries, other funders): staff categories including management, programme staff, project staff, monitoring and evaluation staff, field staff, administration staff; stakeholder categories including co-financing agency (CFA), consultants, partners.

Per indicator they could indicate whether there was an improvement or deterioration or no change and also describe these changes. Furthermore, per indicator the interviewee could indicate what interventions, actors and other factors explain this change compared to the baseline situation. See below the specific questions that are asked for each of the indicators. Per category of interviewees there is a different list of indicators to be looked at. For example, staff members were presented with a list of all the indicators, whilst external people, for example partners, are presented with a select number of indicators, relevant to the stakeholder.

The information on the indicators was collected in different ways:

1) **Endline workshop at the SPO - self-assessment and 'general causal map'**: similar to data collection during the baseline, different categories of staff (as much as possible the same people as during the baseline) were brought together in a workshop and requested to respond, in their staff category, to the list of questions for each of the indicators (self-assessment sheet). Prior to carrying out the self-assessments, a brainstorming sessions was facilitated to develop a 'general causal map', based on the key organisational capacity changes since the baseline as perceived by SPO staff. Whilst this general causal map is not validated with additional information, it provides a sequential narrative, based on organisational capacity changes as perceived by SPO staff;
2) **Interviews with staff members**: additional to the endline workshop, interviews were held with SPO staff, either to provide more in-depth information on the information provided on the self-assessment formats during the workshop, or as a separate interview for staff members that were not present during the endline workshop;
3) **Interviews with externals**: different formats were developed for different types of external respondents, especially the co-financing agency (CFA), but also partner agencies, and organisational development consultants where possible. These externals were interviewed, either face-to-face or by phone/Skype. The interview sheets were sent to the respondents and if they wanted, these could be filled in digitally and followed up on during the interview;
4) **Document review**: similar to the baseline in 2012, relevant documents were reviewed so as to get information on each indicator. Documents to be reviewed included progress reports, evaluation reports, training reports, etc. (see below) since the baseline in 2012, so as to identify changes in each of the indicators;
5) **Observation**: similar to what was done in 2012, also in 2014 the evaluation team had a list with observable indicators which were to be used for observation during the visit to the SPO.

Below the key steps to assess changes in indicators are described.

Key steps to assess changes in indicators are described

1. Provide the description of indicators in the relevant formats – CDI team
2. Review the descriptions per indicator – in-country team & CDI team
3. Send the formats adapted to the SPO to CFA and SPO – in-country team (formats for SPO) and CDI team (formats for CFA)
4. Collect, upload & code the documents from CFA and SPO in NVivo – CDI team
5. Organise the field visit to the SPO – in-country team
6. Interview the CFA – CDI team
7. Run the endline workshop with the SPO – in-country team
8. Interview SPO staff – in-country team
9. Fill-in observation sheets – in-country team
10. Interview externals – in-country team
11. Upload and auto-code all the formats collected by in-country team and CDI team in NVivo – CDI team
12. Provide to the overview of information per 5c indicator to in-country team – CDI team
13. Analyse data and develop a draft description of the findings per indicator and for the general questions – in-country team
14. Analyse data and develop a final description of the findings per indicator and per capability and for the general questions – CDI team
15. Analyse the information in the general causal map –in-country team and CDI-team

Note: the CDI team include the Dutch 5c country coordinator as well as the overall 5c coordinator for the four countries (Ethiopia, India, Indonesia, Liberia). The 5c country report is based on the separate SPO reports.

Please see appendix 1 for a description of the detailed process and steps.

3.3 Attributing changes in organisational capacity - evaluation question 2 and 4

This section describes the data collection and analysis methodology for answering the second evaluation question*: **To what degree are the changes identified in partner capacity attributable to (capacity) development interventions undertaken by the MFS II consortia*** **(i.e. measuring effectiveness)?** and the fourth evaluation question: **"What factors explain the findings drawn from the questions above?"**

In terms of the attribution question (2), 'process tracing' is used. This is a theory-based approach that has been applied to a selected number of SPOs since it is a very intensive and costly methodology, although it provides rich information and can generate a lot of learning within the organisations. Key organisational capacity changes/ outcomes of the SPO were identified, based on their relationship to the two selected capabilities, the capability to act and commit the capability to adapt and self-renew, and an expected relationship with CFA supported capacity development interventions (MFS II funding). It was agreed to focus on these two capabilities, since these are the most targeted capabilities by the CFAs, as established during the baseline process.

Below, the selection of SPOs for process tracing as well as the different steps involved for process tracing in the selected SPOs, are further explained.

3.3.1 Selection of SPOs for 5C process tracing

Process tracing is a very intensive methodology that is very time and resource consuming (for development and analysis of one final detailed causal map, it takes about 1-2 weeks in total, for different members of the evaluation team). It has been agreed upon during the synthesis workshop on 17-18 June 2013 that only a selected number of SPOs will take part in this process tracing for the purpose of understanding the attribution question. The selection of SPOs is based on the following criteria:

- MFS II support to the SPO has not ended before 2014 (since this would leave us with too small a time difference between intervention and outcome);
- Focus is on the 1-2 capabilities that are targeted most by CFAs in a particular country;
- Both the SPO and the CFA are targeting the same capability, and preferably aim for similar outcomes;
- Maximum one SPO per CFA per country will be included in the process tracing.

The intention was to focus on about 30-50% of the SPOs involved. Please see the tables below for a selection of SPOs per country. Per country, a first table shows the extent to which a CFA targets the five capabilities, which is used to select the capabilities to focus on. A second table presents which SPO is selected, and takes into consideration the selection criteria as mentioned above.

For the detailed results of this selection, in the four countries that CDI is involved in, please see appendix 1. The following SPOs were selected for process tracing:

Ethiopia: AMREF, ECFA, FSCE, HUNDEE (4/9)

India: BVHA, COUNT, FFID, SMILE, VTRC (5/10)

Indonesia: ASB, ECPAT, PtPPMA, YPI, YRBI (5/12)

Liberia: BSC, RHRAP (2/5).

3.3.2 Key steps in process tracing for the 5C study

In the box below you will find the key steps developed for the 5C process tracing methodology. These steps will be further explained here. Only key staff of the SPO is involved in this process: management; programme/ project staff; and monitoring and evaluation staff, and other staff that could provide information relevant to the identified outcome area/key organisational capacity change. Those SPOs selected for process tracing had a separate endline workshop, in addition to the ' general endline workshop. This workshop was carried out after the initial endline workshop and the interviews

during the field visit to the SPO. Where possible, the general and process tracing endline workshop have been held consecutively, but where possible these workshops were held at different points in time, due to the complex design of the process. Below the detailed steps for the purpose of process tracing are further explained. More information can be found in Appendix 1.

Key steps in process tracing for the 5C study

1. Identify the planned MFS II supported capacity development interventions within the selected capabilities (capability to act and commit and capability to adapt and self-renew) – CDI team

2. Identify the implemented MFS II supported capacity development interventions within the selected capabilities (capability to act and commit and capability to adapt and self-renew) – CDI team

3. Identify initial changes/ outcome areas in these two capabilities – CDI team & in-country team

4. Construct the detailed, initial causal map (theoretical model of change) – CDI team & in-country team

5. Identify types of evidence needed to verify or discard different causal relationships in the model of change – in-country teams, with support from CDI team

6. Collect data to verify or discard causal mechanisms and construct workshop based, detailed causal map (model of change) – in-country team

7. Assess the quality of data and analyse data and develop final detailed causal map (model of change) – in-country team with CDI team

8. Analyse and conclude on findings– CDI team, in collaboration with in-country team

3.3.3 Methodological reflection

Below a few methodological reflections are made by the 5C evaluation team. These can also be found in appendix 1.

Use of the 5 core capabilities framework and qualitative approach: this has proven to a be very useful framework to assess organisational capacity. The five core capabilities provide a comprehensive picture of the capacity of an organisation. The capabilities are interlinked, which was also reflected in the description of standard indicators, that have been developed for the purpose of this 5C evaluation and agreed upon for the eight countries. Using this framework with a mainly qualitative approach has provided rich information for the SPOs and CFAs, and many have indicated this was a useful learning exercise.

Using standard indicators and scores: using standard indicators is useful for comparison purposes. However, the information provided per indicator is very specific to the SPO and therefore makes comparison difficult. Whilst the description of indicators has been useful for the SPO and CFA, it is questionable to what extent indicators can be compared across SPOs since they need to be seen in context, for them to make meaning. In relation to this, one can say that scores that are provided for the indicators, are only relative and cannot show the richness of information as provided in the indicator description. Furthermore, it must be noted that organisations are continuously changing and scores are just a snapshot in time. There cannot be perfect score for this. In hindsight, having rubrics would have been more useful than scores.

General causal map: whilst this general causal map, which is based on key organisational capacity changes and related causes, as perceived by the SPO staff present at the endline workshop, has not been validated with other sources of information except SPO feedback, the 5C evaluation team considers this information important, since it provides the SPO story about how and which changes in

the organisation since the baseline, are perceived as being important, and how these changes have come about. This will provide information additional to the information that has been validated when analysing and describing the indicators as well as the information provided through process tracing (selected SPOs). This has proven to be a learning experience for many SPOs.

Using process tracing for dealing with the attribution question: this theory-based and mainly qualitative approach has been chosen to deal with the attribution question, on how the organisational capacity changes in the organisations have come about and what the relationship is with MFS II supported capacity development interventions and other factors. This has proven to be a very useful process, that provided a lot of very rich information. Many SPOs and CFAs have already indicated that they appreciated the richness of information which provided a story about how identified organisational capacity changes have come about. Whilst this process was intensive for SPOs during the process tracing workshops, many appreciated this to be a learning process that provided useful information on how the organisation can further develop itself. For the evaluation team, this has also been an intensive and time-consuming process, but since it provided rich information in a learning process, the effort was worth it, if SPOs and CFAs find this process and findings useful.

A few remarks need to be made:

- Outcome explaining process tracing is used for this purpose, but has been adapted to the situation since the issues being looked at were very complex in nature.
- Difficulty of verifying each and every single change and causal relationship:
  - Intensity of the process and problems with recall: often the process tracing workshop was done straight after the general endline workshop that has been done for all the SPOs.In some cases, the process tracing endline workshop has been done at a different point in time, which was better for staff involved in this process, since process tracing asks people to think back about changes and how these changes have come about. The word difficulties with recalling some of these changes and how they have come about. See also the next paragraph.
  - Difficulty of assessing changes in knowledge and behaviour: training questionnaire is have been developed, based on Kirkpatrick's model and were specifically tailored to identify not only the interest but also the change in knowledge and skills, behaviour as well as organisational changes as a result of a particular training. The retention ability of individuals, irrespective of their position in the organisation, is often unstable. The 5C evaluation team experienced that it was difficult for people to recall specific trainings, and what they learned from those trainings. Often a change in knowledge, skills and behaviour is a result brought about by a combination of different factors , rather than being traceable to one particular event. The detailed causal maps that have been established, also clearly pointed this. There are many factors at play that make people change their behaviour, and this is not just dependent on training but also internal/personal (motivational) factors as well as factors within the organisation, that stimulate or hinder a person to change behaviour. Understanding how behaviour change works is important when trying to really understand the extent to which behaviour has changed as a result of different factors, actors and interventions. Organisations change because people change and therefore understanding when and how these individuals change behaviour is crucial. Also attrition and change in key organisational positions can contribute considerably to the outcome.

Utilisation of the evaluation

The 5C evaluation team considers it important to also discuss issues around utility of this evaluation. We want to mention just a few.

Design – mainly externally driven and with a focus on accountability and standard indicators and approaches within a limited time frame, and limited budget: this MFS II evaluation is originally based on a design that has been decided by IOB (the independent evaluation office of the Dutch Ministry of Foreign Affairs) and to some extent MFS II organisations. The evaluators have had no influence on the overall design and sampling for the 5C study. In terms of learning, one may question whether the most useful cases have been selected in this sampling process. The focus was very much on a rigorous evaluation carried out by an independent evaluation team. Indicators had to be streamlined across countries. The 5C team was requested to collaborate with the other 5C country teams (Bangladesh,

Congo, Pakistan, Uganda) to streamline the methodological approach across the eight sampled countries. Whilst this may have its purpose in terms of synthesising results, the 5C evaluation team has also experienced the difficulty of tailoring the approach to the specific SPOs. The overall evaluation has been mainly accountability driven and was less focused on enhancing learning for improvement. Furthermore, the timeframe has been very small to compare baseline information (2012) with endline information (2014). Changes in organisational capacity may take a long, particularly if they are related to behaviour change. Furthermore, there has been limited budget to carry out the 5C evaluation. For all the four countries (Ethiopia, India, Indonesia, Liberia) that the Centre for Development Innovation, Wageningen University and Research centre has been involved in, the budget has been overspent.

However, the 5C evaluation team has designed an endline process whereby engagement of staff, e.g. in a workshop process was considered important, not only due to the need to collect data, but also to generate learning in the organisation. Furthermore, having general causal maps and detailed causal maps generated by process tracing have provided rich information that many SPOs and CFAs have already appreciated as useful in terms of the findings as well as a learning process.

Another issue that must be mentioned is that additional requests have been added to the country teams during the process of implementation: developing a country based synthesis; questions on design, implementation, and reaching objectives of MFS II funded capacity development interventions, whilst these questions were not in line with the core evaluation questions for the 5C evaluation.

Complexity and inadequate coordination and communication: many actors, both in the Netherlands, as well as in the eight selected countries, have been involved in this evaluation and their roles and responsibilities, were often unclear. For example, 19 MFS II consortia, the internal reference group, the Ministry of Foreign Affairs, Partos, the Joint Evaluation Trust, NWO-Wotro, the evaluators (Netherlands and in-country), 2 external advisory committees, and the steering committee. Not to mention the SPO's and their related partners and consultants. CDI was involved in 4 countries with a total number of 38 SPOs and related CFAs. This complexity influenced communication and coordination, as well as the extent to which learning could take place. Furthermore, there was a distance between the evaluators and the CFAs, since the approach had to be synchronised across countries, and had to adhere to strict guidelines, which were mainly externally formulated and could not be negotiated or discussed for the purpose of tailoring and learning. Feedback on the final results and report had to be provided mainly in written form. In order to enhance utilisation, a final workshop at the SPO to discuss the findings and think through the use with more people than probably the one who reads the report, would have more impact on organisational learning and development. Furthermore, feedback with the CFAs has also not been institutionalised in the evaluation process in the form of learning events. And as mentioned above, the complexity of the evaluation with many actors involved did not enhance learning and thus utilization.

5C Endline process, and in particular thoroughness of process tracing often appreciated as learning process: The SPO perspective has also brought to light a new experience and technique of self-assessment and self-corrective measures for managers. Most SPOs whether part of process tracing or not, deeply appreciated the thoroughness of the methodology and its ability to capture details with robust connectivity. This is a matter of satisfaction and learning for both evaluators and SPOs. Having a process whereby SPO staff were very much engaged in the process of self-assessment and reflection has proven for many to be a learning experience for many, and therefore have enhanced utility of the 5C evaluation.

4 Results

4.1 MFS II supported capacity development interventions

The information available about the MFS II supported capacity development interventions comes partly from the support to capacity development sheet filled in by Hivos in September 2012 and other progress reports received. Unfortunately the person within Hivos who was well familiar with RGVN no longer works for Hivos India and therefore could not provide additional inside information on the capacity development of RGVN. Tasks and responsibilities were transferred to the Hivos head office in the Netherlands upon closure of the Bangalore office in December 2013 and in anticipation of the establishment of a new office in Mumbai in August 2014.

Under the project "Graduating NGOs in MF Institutions in the state of Odisha", that was supported by Hivos until 2012, several capacity development interventions took place in which also RGVN executives participated. These are: training of trainers (TOT) on strategic business plans; workshop on development of result oriented framework and monitoring indicators; follow-up workshop on result orientation and monitoring indicators and a loan portfolio audit. However, these interventions are not mentioned by Hivos as capacity strengthening interventions for RGVN and no budget is known.

During the endline evaluation HRM/Admin staff, programme staff and management of RGVN indicated in their self-assessment sheets that the following trainings were supported by Hivos:

- Training on Leadership, financial management and group dynamics in Jamunali supported by Hivos in July 2013
- Exposure visit to Badamba, Raipur, Parbatipuram and Agriculture university firm, Hyderabad
- Training on Organic farming process at Rambhadhrapuram in October 2013
- Training on enterprise promotion and business development in 2013 and August 2014 in Bhubaneswar
- Workshop on Producer Entrepreneurship Catalyst and Incubation Facility (ProCIF) organised by Vrutti Livelihoods sponsored by Hivos 22-23 May 2014 at Bangalore to help the staff graduate poor producer organisations into self-reliant enterprises. This resulted in the staff to improve capacity in training the partners on enterprise management skill and techniques of enterprise promotion activity to supplement the objective of scale up, profitability and market linkages. They could better plan for community level enterprise promotion and prepared a road map for the registration of the cluster with suitable legal identity

The Financial Audited Statement for the financial year April 2013 to March 2014 shows that the following expenditures were made under the category Capacity Building.

By Capacity Building

a) Training. on Vegetable Farming	INR 670.000,-
b) Training. on NTFP	INR 140.000,-
c) Training. on Bell Metal	INR 102.500,-
d) Training & Workshop (Central)	INR 106.100,-
e) Exposure Visit Expenses	INR 60.000,-

These interventions were carried out to strengthen the internal capacity of the community based organizations like Self Help Groups, partners NGOs as well as RGVN itself.

In addition, the 2014 Annual Review Report indicates that the following capacity building activities have been planned for RGVN staff between April 2014 and March 2015.

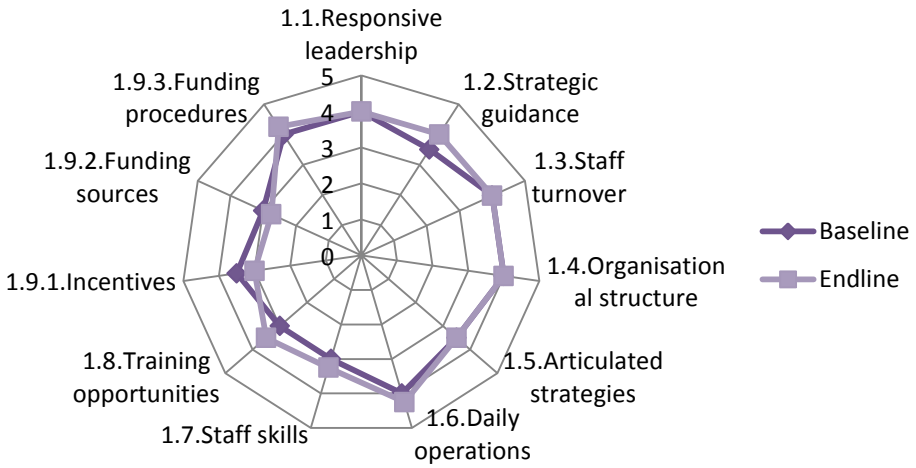
(D) Central Budget			
(1) Capacity Building	Nos	April'14-March'15	Total
TOT on Value chain Analysis	1	40,000.00	40,000.00
Training on Enterprise Promotion	1	20,000.00	20,000.00
Development of Posters, Banners and Booklets on the and study materials on Products		30,000.00	30,000.00
Training on Business Development	3	75,000.00	75,000.00
Training on Governance	2	40,000.00	40,000.00
Training On Financial Management	2	40,000.00	40,000.00
Training on Branding and marketing	2	60,000.00	60,000.00
Bye Law Preparation (Activity Specific)	8	80,000.00	80,000.00

4.2 Changes in capacity and reasons for change - evaluation question 1 and 4

Below you can find a description of the changes in each of the five core capabilities. This information is based on the analysis of the information per each of the indicators. This detailed information for each of the indicators describes the current situation, and how and why it has changed since the baseline workshop in August 2012 and the interview with the Director at the head office in Guwahati in June 2013 and what are the reasons for change. Unless explicitly stated that a change happened since the interview with the director in June 2013, the changes took place since the baseline workshop in August 2012. See also annex 3.

4.2.1 Changes in the five core capabilities

Capability to act and commit



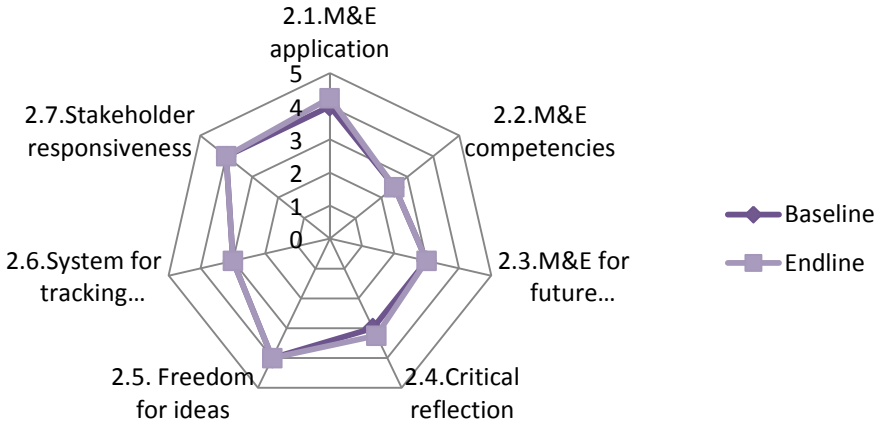
The leadership at the head office continues to be open to ideas and suggestions and has a decentralised approach with each implementing regional unit. The Regional unit in Bhubaneswar is

autonomous and responsible for its fundraising, but contracts have to be approved and signed by the RGVN executive director. The executive director feels that despite repeated suggestions the leader at the Bhubaneswar office has not submitted any funding proposals to the head office. The leadership at RGVN Bhubaneswar is however, very committed, competent, experienced, responsive and proactive in taking decisions. The leadership in Bhubaneswar continues to give strategic guidance. While the 2011-2012 strategic plans could not be implemented mainly due to the micro-finance crisis, and a flood and cyclone followed, the management made the strategic decision to shift from micro-finance to sustainable livelihood enhancement. Also external resource mobilisation began to play an important role as the head office decided to no longer allow external borrowings from banks. RGVN's new Project Finance Committee plays an important role in monitoring progress and responding to proposals for funding. Leadership is now staying more abreast with the latest developments and encourages innovative ideas in strategy making. Staff turnover continues to be low at the regional unit Bhubaneswar and staff has become experienced in their work. There has been no new recruitment at the Bhubaneswar office during the last two years, as the organisation has not been able to procure any new projects. The Sustainable Livelihood Enhancement and Enterprise Promotion (SLEEP) project till 2015, funded by Hivos does not have enough funds to attract extra manpower. The organisational structure at the headquarters in Guwahati and the regional office in Bhubaneswar continued to be the same, but new board members have replaced the earlier ones. RGVN continues to work in 14 states of India. The executive director heads the organisation and is based in Guwahati while the four regional offices at Guwahati, Patna, Bhubaneshwar and Raipur are headed by Regional Coordinators. Hivos continues to supports RGVN for its work in Odisha, for which the team works from Bhubaneswar. RGVN's strategies continue to be well defined and based on good situation analysis and its experience in working in its operational areas. The overall strategy from RGVN has moved from microfinance to sustainable livelihood enhancement. In the related project SLEEP, RGVN articulates its strategies based on their longstanding experience of mobilising and strengthening women produces, artisans, and forest dwellers. With the change in the strategic plan and changing environment the day-to-day operational plans have been revised. Fortnightly review meetings are now conducted to monitor day-to-day operation; this has streamlined the operationalization of the strategic plan of the organization. Over the period RGVN staff has gained skills and knowledge on certain areas that were recommended during the baseline and more due to trainings supported by Hivos and other donors like the Small Industrial Development Bank of India and through staff's considerable field experience. However, due to limited staff strength in the regional office of Bhubaneswar the staff has to multi-task and takes up additional responsibilities. Over the MFS II period the staff participated in ample training programmes and exposure visits supported both by Hivos (MFS II) and others. Staff now seems to have more access to trainings on new trends and strategies as the above trainings fit well with RGVN's new strategy to focus on sustainable livelihood enhancement. Freedom at work, freedom of experimentation with ideas and skill building through various trainings and exposure visits continue to motivate staff at work. However, performance linked incentives have stopped after the baseline in August 2012 because of the executive board's decision to no longer borrow commercial funds and the end of MFS II funding. During the baseline, RGVN had 11 different funders and was receiving funding in the form of grants and loans, while RGVN is approaching new donors related to livelihoods and with its CSR eligibility certificate, currently they are receiving funding from a smaller set of funders than during the baseline. RGVN continues to have clear cut funding procedures RGVN has a national level copy of procedures for exploring new funding opportunities which includes a separate section applicable to RGVN Bhubaneswar. RGVN head office Guwahati has given autonomy to the regional branches to mobilise funds at its own and to choose the projects they work on.

Score baseline: 3.6

Score endline: 3.7 (no change)

Capability to adapt and self-renew

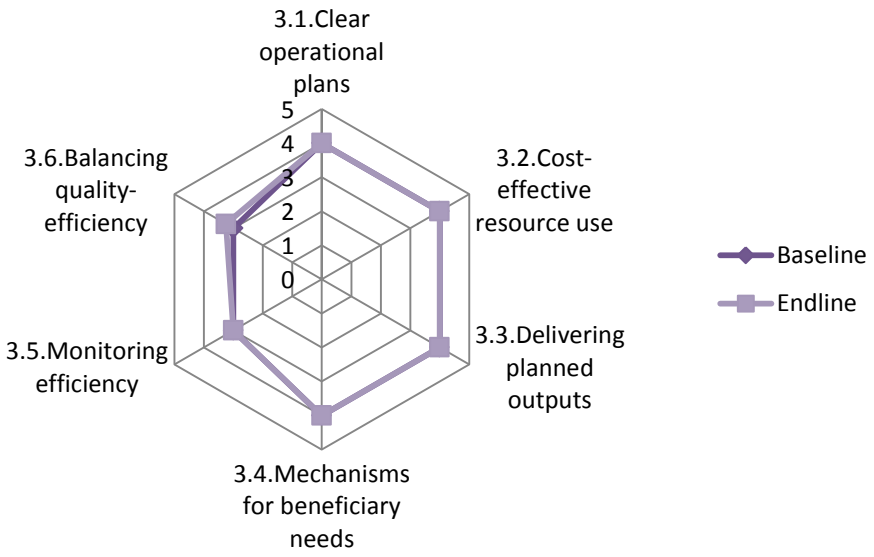


The shift in the focus from microfinance to sustainable livelihood and demand from the donor for focused and structured reporting led the organisation to fine-tune and modify monitoring formats and indicators to collect focussed data from the field. Computerized accounting by using the latest technology was initiated, which further strengthened the M&E system. However, there continues to be a need for RGVN to link outputs to higher level outcomes. RGVN still does not have a dedicated person that works on M&E. At the Bhubaneswar office, most staff has worked there for a long time and has over the years been trained in using log frames and results based analysis. RGVN has indicated that they will hire an M&E expert as soon as they have the funds available for this. RGVN continues to get both qualitative and quantitative information from its M&E system; staff still shares their field visit experience in monthly and half yearly meetings and now also during fortnightly meetings. It is evident from the annual plan 2014-15 that after proper monitoring and review the organisation has proposed some changes in strategy for programme management, financial management and decision making process. Management has also become more responsive and the fortnightly review meetings have streamlined the critical reflection process and resulted in better identification of gaps and appropriate actions taken to address it. The assistant director gives considerable autonomy to the staff to come up with ideas. Though there is hierarchy in the organisation the staff is allowed to take their own decisions and contribute in the strategy in coherence with the overall mandate of the organisation. RGVN continues to work with its implementing NGO partners which helps to have a better understanding of the contextual issues at the field level. RGVN is still part of a large network. As RGVN has shifted its focus from microfinance to sustainable livelihoods, they now also track developments in agriculture. While, staff RGVN stays informed about their operating environment, there still seems to be no formal mechanism to track the environment. The organisation continues to be open to take inputs from different stakeholders, especially their partner organisations, and uses their inputs in developing its M&E indicators and formats in the SLEEP project. Periodic review of financial and operational system is done and shared with all stakeholders.

Score baseline: 3.4

Score endline: 3.4 (no change)

Capability to deliver on development objectives

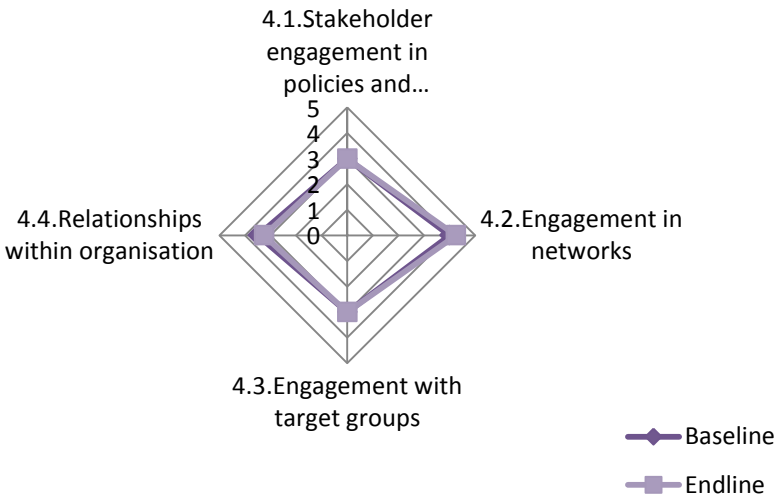


RGVN continues to have day-to-day operational plans and budget for each projects which the staff fully understands and which are in line with the new strategic plan on sustainable livelihood enhancement programme. The restriction of the executive board in borrowing external funds, the ending of the microfinance project and the phasing out of MFS II funding, further made RGVN cost conscious in its resource use. Geographical overlap in RGVN's two main projects saves costs when visiting the target groups. With the microfinance crisis and RGVN board's decision to stop taking loans from the bank, the project of 2011-12 'Graduating NGOs in to MF Institutions in the state of Odisha' could not be delivered as planned. However, the operational plan of the new Hivos funded program ' SLEEP' has been carried out successfully so far. The new initiative of fortnightly review further contributed in effective delivery of the planned outputs. RGVN continues to verify whether services meet beneficiary needs through its monitoring system There is still no formal mechanism to calculate input and output ratio. More detailed report writing, fortnightly meetings, and more interaction at field during training programs and frequent feedback from partners streamlined the monitoring efficiency system. The small team of experienced staff at the Bhubaneswar office continues to ensure team work and good results. Better planning, use of technology in the accounting system, fortnightly review meetings, and the formation of the Project Finance Committee improved the quality and efficiency of work.

Score baseline: 3.7

Score endline: 3.7 (no change)

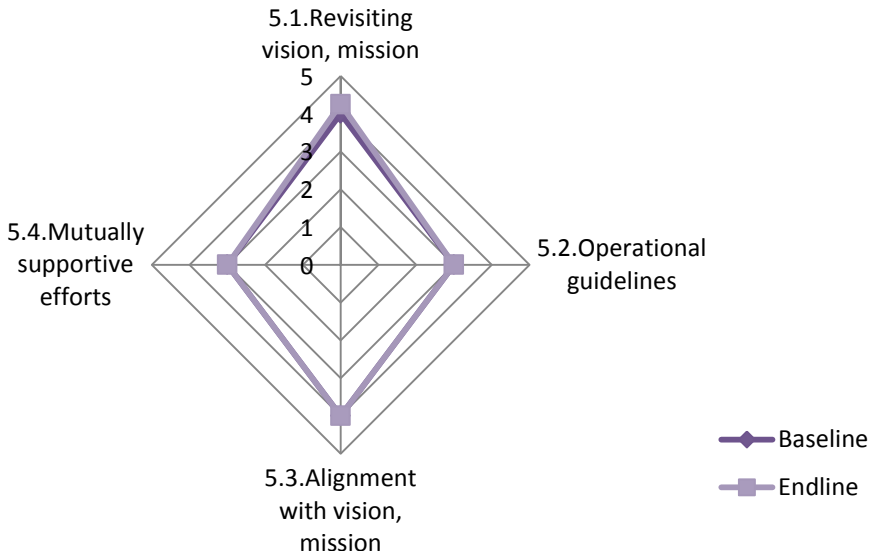
Capability to relate



RGVN continues to engage its stakeholders for the benefit of its operations, plans and outcomes. The organization has strengthened its relationship with the government; however, the relationship is only to link up government schemes to the target groups and not at the level of involving them in policy or strategy making. RGVN continues to work with NGO partners to implement its programmes. The new Company Social Responsibility (CSR) Act facilitated the organisation to establish corporate partnerships. A few other new networks have been established since the baseline workshop in August 2012. And RGVN established better linkages with government departments through linking their target group to government schemes and because of built up trust by implementing the rehabilitation program for the Phailin and flood victims. The organisation continues to engage actively with the target groups.
RGVN organizes various periodic workshops, exposure visits, krusak melas (farmer festivals) which facilitates engagement with the target groups. The assistant director at the Bhubaneswar office being democratic in her approach gives considerable autonomy to her staff in terms taking decisions for their respective projects. The evaluation team observed that the relationship between RGVN Bhubaneswar and RGVN head office Guwahati is getting unpleasant as they compete with each other for the same projects.
Score baseline: 3.4

Score endline: 3.4 (no change)

Capability to achieve coherence



The organisation continues to revisit vision and mission of the organisation every 5 years. Due to the microfinance crisis, a change in the donor's priority, the floods and Phailin cyclone, the organisation has made a strategic shift from microfinance to community based micro-enterprise development leading to sustainable livelihood enhancement. The strategic shift is still in alignment with the unchanged vision and mission of the organization. The organisation continues to have operational guidelines like a HR policy which is part of the Administrative Manual of which a hard copy exists. RGVN's projects, strategies and operations continue to be in line with their vision and mission. The new SLEEP project's strategies are very much in line with RGVN's vision to improve the quality of life of the rural and urban underprivileged poor through social action. RGVN's projects continue to be mutually supportive. The SLEEP project and Jivika project both aim at promoting sustainable livelihood promotion among the women, work in the same geographical areas and focus on the same core livelihood sub sectors.

Score baseline: 3.5

Score endline: 3.6 (no change)

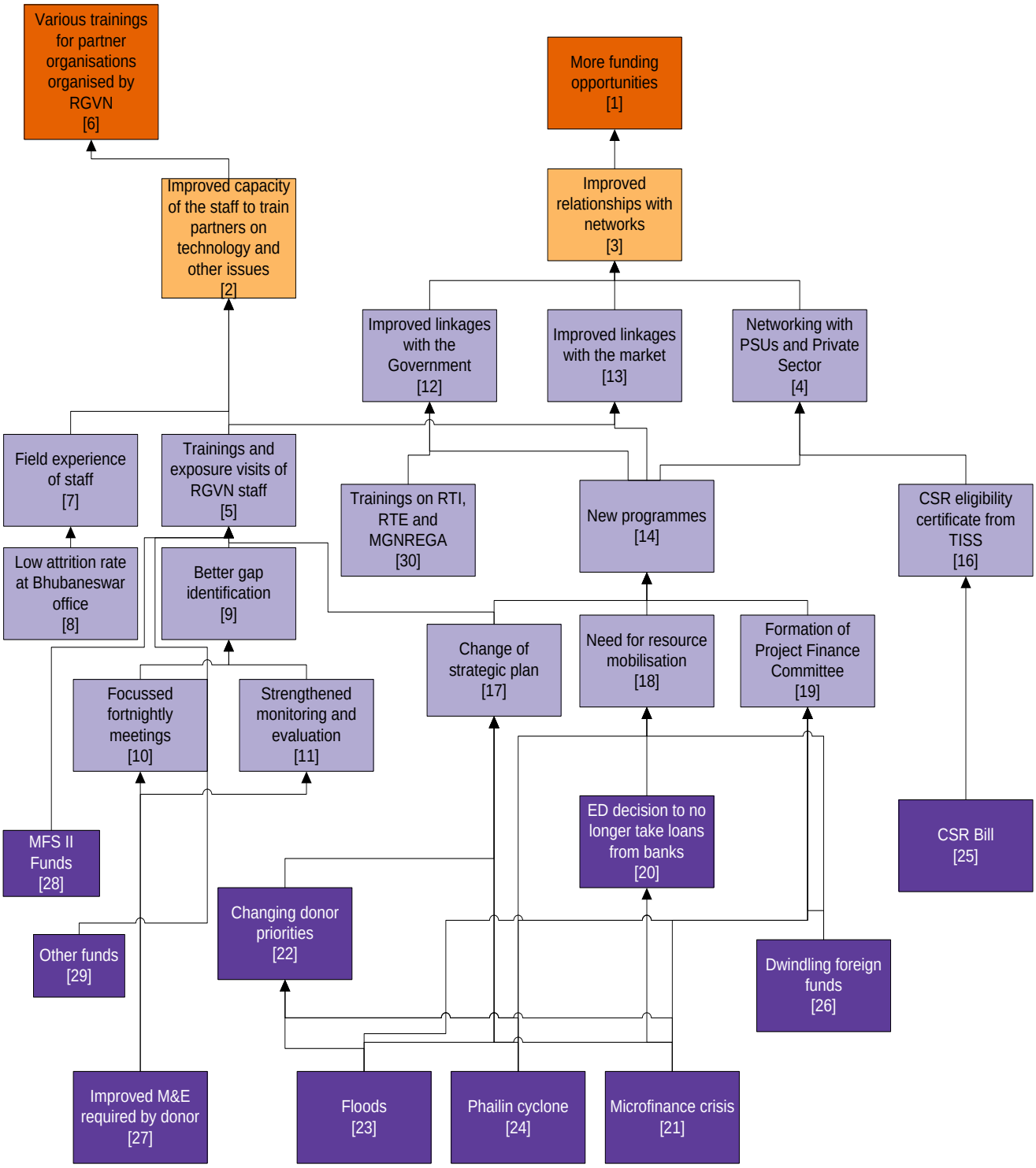
4.2.2 General changes in the organisational capacity of the SPO

The evaluation team carried out an endline assessment at RGVN from 19 to 20 August 2014. During the endline workshop at the SPO, a discussion was held around what were the main changes in organisational capacity since the baseline and why these changes have taken place. The discussion was visualised in a general causal map as can be seen below. The narrative for the general causal map is also described below. It gives a more general picture of what was seen as important changes in the organisation since the baseline, and how these changes have come about, and that tells the more general story about the organisational changes in the SPO. The evaluators considered it important to also note down the SPO's story and this would also provide more information about reasons for change, which were difficult to get for the individual indicators. Also for some issues there may not have been relevant indicators available in the list of core indicators provide by the evaluation team. The detailed narrative can be found in Annex 4.

During this workshop, the team made a recap of key features of the organisation since the baseline workshop in August 2012 and the interview with the Director at the head office in the North-East in June 2013 (such as vision, mission, strategies, clients, partnerships). This was the basis for discussing changes that had happened to the organisation since the baseline. The two main changes that happened in the organisation since the baseline, as identified by the staff during self -assessments, interviews and during the workshop were:

- Improved capacity of the staff to train partners on technology and other issues [2]
- Improved relationships with networks [3]

The two main organisational capacity changes are described in the light orange boxes and some of their key consequences are noted above these cards in dark orange. Unless explicitly stated that a change happened since the interview with the Director in June 2013, the changes took place since the baseline workshop in August 2012. Light purple boxes represent factors and aspects that influence the key organisational capacity changes (in light orange). Key underlying factors that have impacted the organisation are listed at the bottom in dark purple. The narrative describes per organisational capacity change, the contributing factors as described from the top down. The numbers in the visual correspond with the numbers in the narrative.


Various trainings for partner organisations organised by RGVN [6]
More funding opportunities [1]
Improved capacity of the staff to train partners on technology and other issues [2]
Improved relationships with networks [3]
Improved linkages with the Government [12]
Improved linkages with the market [13]
Networking with PSUs and Private Sector [4]
Field experience of staff [7]
Trainings and exposure visits of RGVN staff [5]
Trainings on RTI, RTE and MGNREGA [30]
New programmes [14]
CSR eligibility certificate from TISS [16]
Low attrition rate at Bhubaneswar office [8]
Better gap identification [9]
Change of strategic plan [17]
Need for resource mobilisation [18]
Formation of Project Finance Committee [19]
Focussed fortnightly meetings [10]
Strengthened monitoring and evaluation [11]
ED decision to no longer take loans from banks [20]
CSR Bill [25]
MFS II Funds [28]
Changing donor priorities [22]
Other funds [29]
Dwindling foreign funds [26]
Improved M&E required by donor [27]
Floods [23]
Phailin cyclone [24]
Microfinance crisis [21]

Improved capacity of the staff to train partners on technology and other issues [2]

RGVN is committed to the sustainable livelihood enhancement of rural poor in accordance with its vision and mission. The main source of income of the target population is agriculture and allied activities. Lack of technical knowledge on agriculture, marketing, value addition, lack of irrigation facilities, and exploitation by middlemen, periodic natural disasters and lack of financial inclusion affected the target groups' livelihood security. Since the baseline, the organization has undertaken steps to improve the basic skill sets and marketing linkages of the target groups by improving the capacity of the RGVN staff in these directions. The improved capacity of RGVN staff to train partners on technology and other issues has had a trickledown effect on the capacity of RGVN's partners. This has consequently had enabled the target groups' ability to cope with adverse situations. As a result of RGVN's improved capacity to organize and give trainings to partners, several capacity building trainings on value addition, market linkages, organic farming, vermicomposting production were organized by RGVN staff [6] as per the contract with Hivos for the new project 'Sustainable Livelihood Enhancement and Entrepreneur Promotion' (SLEEP). This project replaced the previous one on microfinance after the microfinance crisis.

Staff's capacity to train partners [2] improved because of the field experience that staff got [7] and because of RGVN staff attending various trainings and exposure visits [5]. Both are further explained below.

Field experience of staff [7]
Capacity of the staff to train partners on technology and other issues also improved because some RGVN staff has been there for a long time working in a small compact unit, doing a variety of activities they also have learnt from field experience. This was because of a low attrition rate at the Bhubaneswar office [8]. This is where the team works that is supported by Hivos to work on the SLEEP project.

Trainings and exposure visits of RGVN staff [5]
Increased capacity of the RGVN staff [2] was furthermore due to various capacity building trainings and exposure visits [5] supported by Hivos and other donors. These trainings include:

- Two-day training was organized by Vrutti Livelihoods, Bangalore on 22-23 May 2014 sponsored by Hivos (MFS II) on producer entrepreneurship catalyst and incubation facility. The focus of the training was to help the staff to assist unviable producer organisations into self-reliant enterprises. Funded by MFS II [28]. The training was attended by assistant director of RGVN, Bhubaneswar Region.
- Two- day training was organised with the support of Hivos (MFS II) on 18-19 August 2014 at Bhubaneswar on enterprise promotion and business development. The programme coordinators of RGVN participated in this. Funded by MFS II [28]. The programme coordinators of RGVN participated in the training programme.
- Training programme on vermicomposting pit by Sir Dorabji Tata Trust, (SDTT) Mumbai in 2013. Funded by SDTT [29]. The training was attended by 3 project staff and programme coordinator of RGVN, Bhubaneswar.
- Leadership training was organized by Small Industrial Development Bank of India (SIDBI) in 2014. Funded by SIDBI [2]. The Programme Coordinator of RGVN, Bhubaneswar attended the training.

The organization also arranged a number of exposure visits for the staff during the last two years to help them learn about vermicomposting, bio-pesticides, governance, value chain analysis and organic farming.

Staff was sent to trainings and exposure visits [5] since they realised there is a gap in terms of knowledge and skills [9] and also because of the change in the strategic plan [17], as working topics like strengthening livelihoods in the SLEEP project required further training to gain knowledge and skills on this. The identification of gaps in knowledge and skills [9] was done during fortnightly meetings [10] where a strategy for diversification of resource mobilisation was being discussed. It was also the result of having strengthened monitoring and evaluation [11]. These are further explained below.

- *Focused fortnightly meetings [10]*
  The fortnightly meeting was a new initiative taken by the management in order to streamline the reporting and monitoring structure. Here day-to-day planned operations were monitored and reviewed, gaps in knowledge and skills were better identified which streamlined the strategic plan

of the organization for smooth functioning of projects and planning of trainings and exposure visits.

- *Strengthened monitoring and evaluation [11]*
  There was change in the strategic plan to shift to sustainable livelihood enhancement, demand from the donor to have detailed and focused data collection, commitment of the organization to fulfil the needs of the target group and increasing focus of donors on evidence based grant making and value for money analysis pushed the organisation to strengthen their monitoring and evaluation. As a result they refined the monitoring and evaluation formats and indicators. Now the data collection is both qualitative and quantitative, whereas during the baseline it was only quantitative.

Focused fortnightly meetings [10] were taken up by the management and monitoring and evaluation was strengthened [11] to streamline the monitoring and evaluation structures and processes because of the donors requirements [27].

Improved relationships with networks [3]

There have been a couple of issues that have greatly affected RGVN and the need to look for additional funding by strengthening their networks. After the microfinance crisis in 2009 [21] the organization went through a rough patch as floods in 2011 and 2014 [23] and the cyclone Phailin in 2013 [24] in the organisation's partner areas further worsened the situation. The partners' ability to recover loans meted out and pay back to RGVN was questionable in the face of such large scale disaster. The organization was not able to recuperate fully from the Microfinance crisis in 2009 and the floods in 2011 till the baseline workshop conducted in August 2012. During this time the focus had already shifted from microfinance to sustainable livelihood enhancement of the target group. However, the strategy was still in an embryonic stage. In the post baseline period, the executive board of RGVN decided to restrict external borrowings from banks and other financial institutions anticipating the inability of the partner organisations to repay RGVN. This initiated the RGVN management to think in the direction of external resource mobilization, develop linkages with government programs and schemes, linkages with market and improve capacity of the staff to implement sustainable livelihood programmes to the target group.

The precarious funding situation, compelled the management to think of converging and linking with government programmes, the market, Public Sector Units (PSUs) and the private sector to enhance the livelihood security of the target groups [3]. Improved relationships with networks [3] is expected to lead to more funding opportunities for RGVN [1]. Improved relationships with networks with different kind of partners [3] was due to improved linkages with the government [12], improved linkages with the market [13] and networking with PSUs and the private sector [4]. Each of these linkages are further explained below.

Linkages with the government [12]
During the baseline workshop (August 2012) there was a need identified for RGVN to develop a relationship with government institutions and maintain a strategic relationship, so that they could better translate their commitments to the target groups. The organization's initiative to rehabilitate the Flood (August 2014) and Phailin (October 2013) affected people and the capacity to implement sustainable livelihood programs, facilitated the organization to develop a trust relationship with the government in the last one and half years (2013-14). Since 2013, RGVN staff has better linkages with government line departments at local level, state level officials and other semi-governmental organisations and corporations which run delivery programmes for the poor. This is evident from the fact that the organization could linkup government schemes and programs to the target groups (farmers in Odisha). With the support of RGVN the target groups could access the inputs provided by the government in the form of a vermicomposting pit. Nearly 25 vermicomposting pits have been constructed by the State Agriculture Department of Odisha in one of the vegetable growing clusters in the Anugul district. In another vegetable growing cluster area in Dhenkanal the farmers have been helped in getting support from the State Agriculture Department of Odisha for Shade Net Nursery. Also NTFP collectors and traders have been able to receive 5 tamarind cake making machines with support from the Tribal Development Corporation. All these have been facilitated by RGVN and its partners. Some of the plans are in the pipeline. For example, RGVN has approached the state and national horticulture board, state agricultural technology institutes, the forest department, the state handicraft development board and the state Khadi and Village Industry board to link with them through different schemes. Banks and financial institutions (FIs) have been approached for providing working capital support for product enhancement at a low interest rate. Given that some of the board members are heads of FIs, it should not be an uphill task, yet while RGVN Guwahati gets its share,

RGVN Bhubaneswar is left out. RGVN strengthening its linkages with the government is thus; because of the new programmes [14] they have been and will be involved in with government agencies (ore on new programmes later on) and trainings [30] on Right to Information (RTI), Right to Education (RTE), Mahatma Gandhi National Rural Employment Guarantee Act (MGNREGA).

Linkages with the market [13]
Due to lack of knowledge and skills on value addition, marketing, variable market condition, exploitative middlemen, and other factors the target groups often find it difficult to get out of the poverty trap. RGVN is committed to align its work with its vision and mission to enhance the livelihood of the target groups. In order to do so they provide them with handholding support in areas like value addition and creating direct linkages with the market. To be able to provide this support RGVN has trained itself after the baseline workshop in August 2012 on these topics [5]. For example, in terms of value addition: Value addition is a process in which the farmers are given handholding support to give due care during processing, preservation and sorting and grading in NTFP and vegetable product which have a positive impact on the pricing and marketing of the products. During last two years (August 2012-2014) RGVN staff provided trainings and handholding support to the target groups on value addition, marketing, etc. They also facilitated access to fair & remunerative markets including linking producer groups to marketing opportunities by market aggregators. An example of value addition activities was tamarind collection and marketing. With the technical support provided by RGVN now the farmers have better capacity in processing, sorting, packaging and grading for proper pricing of the product and to maintain quality aspect with the buyers [Source: ARR + Work Plan 2013-14-15, Endline Evaluation Workshop].
During the last two years (August 2012- August 2014) RGVN initiated and funded "Bazaar on Wheels", a new project to strengthen producer organizations and their access to market. The project focuses especially on access to market for the women producer groups. They are provided with capacity building trainings and provision of a van for marketing their products. This is a pilot project carried out by RGVN through Jagruti Mahila Mahasangha at Govindpur of Dhenkanal district. At present the Mahila Mahasangha (Federation) has a membership of 1200 women and diversified its production to non-farm activities. This has enabled wider markets and enhanced profits. Improved linkages with the market [13] for RGVN has thus been a result of the new programmes [14] they have been involved in and the trainings and exposure visits staff went to [5].

Networking with different Public Sector Units (PSUs) and private sector [4]
RGVN Bhubaneswar has started having better working relations with Public Sector Units and to some extent the private sector agencies. The microfinance crisis and the executive board's decision to restrict borrowing commercial funds created financial crunch in the organization. Also, as the implementation focus has been concentrated on production enhancement, marketing linkages, working capital linkages, value addition etc. to move the clusters into the next phase of sustainability of the activities compelled the organization to make strategic change for resource mobilization. Some of the new networked partners are ACC Limited (formerly The Associated Cement Companies Limited), Larsen & Toubro (L&T), Jamsedji Tata Trust and the 8 new partners in the SLEEP project.

Networking with PSUs and Private sectors [4] improved because of new programmes [14] and CSR eligible certificate from Tata Institute of Social Science (TISS) [16].

- *New programmes [4]*
  The following are some of the new programmes that were undertaken by RGVN during the last two years (August 2012- August 2014):
  - **Placement linked target program** is part of the Phailin rehabilitation program that started after October 2013, which was initiated by RGVN in association with ACC and L&T.
  - **SLEEP** project facilitated the organization to approach new programs such as, NTFP processing, value addition & marketing, Organic vegetable farming, DWCRA[5] / bell metal work from production to marketing. This project runs from July 1st, 2012 till June 30th 2015.
  - **The JIVIKA programme** started in June 2012 and was outlined based on the experiences gained during the survey and relief distribution program conducted by RGVN with support from Jamsedji Tata Trust, Mumbai (JTT).

[5] The Development of women and children in Rural Areas or DWCRA is a government sponsored anti-poverty programme of the Ministry of Rural Development.

- **Working capital support to rickshaw pullers:** Graduating rickshaw pullers to become owner of the rickshaws they use to make a living.

RGVN initiated new programmes [14] due to a change in their strategic plan [17], a need for resource mobilization [18] and the formation of a Project Finance Committee (PFC)[19]. These are further explained below.

- Change of strategic plan [17]
  There was change of strategic plan to shift from microfinance to Sustainable Livelihood Enhancement and Enterprise Promotion due to the microfinance crisis [21] and consequently the failure of the microfinance project's implementation. The Microfinance crisis, the floods and the Phailin cyclone also caused donors to focus more on sustainable livelihoods [22] and mid-course corrective actions in order to keep the target group support afloat. Apart from changing their funding priorities, donors have also been revising their grant making policies [22]. More and more donors are funding agriculture based programs with a focus on improved livelihoods for the poor. Furthermore, The RGVN board too became cautious about recovery of loans and restricted the RGVN Bhubaneswar office from commercial borrowing [20]. The floods in 2011 and 2014 [23]and the cyclone Phailin in 2013 [24] worsened the situation in the organisation's partner areas even further, which also triggered the involvement of RGVN in programmes that were more focused on sustainable livelihood enhancement. All these factors compelled the organization to change its strategy to sustainable livelihood enhancement by focusing on the core livelihood sub sectors like NTFP, agriculture and allied agriculture through the System of Rice Intensification (SRI) model, dairy, organic paddy cultivation, organic vegetable farming, handicraft, etc.
- Need for resource mobilization [18]
  With the microfinance crisis the organization was already undergoing a rough patch which further worsened during 2011-12 period. The board's decision to restrict external commercial borrowing of funds [20], the effect of Phailin [24] and dwindling foreign funding [26] worsened the financial situation of RGVN. All these factors compelled the organization to think of diversifying their strategy for resource mobilization.
- Formation of Project Finance Committee (PFC) [19]
  RGVN used to work with the LAC (Local Area Committee), which has now been disbanded. To recover from the rough patch it was undergoing (including the floods [23], cyclone [24], microfinance crisis [21] and dwindling foreign funds [26]), internally RGVN has set up a Project Finance Committee comprising the Executive Director, Assistant Director, and programme staff. This is a body created to expedite the decision making process, monitor progress, and respond to proposals for funding.

- *CSR[6] eligibility certificate from TISS [16]*

  RGVN became a team member of the National CSR Hub Empanelment team of TISS. This certification made them eligible for receiving CSR funds for developmental activities. The empanelment process aims to provide CPSEs (Central Public Sector Enterprises) with a list of reliable and credible organisations as partners for CSR activities. The empanelment process is designed to serve the requirements of CPSEs. The National Corporate Social Responsibility (NCSR) Hub shall empanel those organisations that are people-centric, have experience and expertise in a specific field and have a planned approach to developmental activities with a specific focus on the welfare and rights of the vulnerable groups in society. This means all the Public Sector Companies (state/government owned companies) of India may consider RGVN for implementation of big CSR project. RGVN getting this certification [16] was triggered by the new CSR Bill [25], which got approved by the Parliament and is effective from April 2014. It has a very strong CSR Clause, which mandates companies with an average profit of INR 50 million in the last three years, to proactively design and undertake welfare and other developmental activities. This is seen as a great opportunity for RGVN as the corporate sector would be required to spend 2 % of their net profit for social development actions.

[6] The new Companies Act 2014, with a very strong CSR Clause, mandates companies with an average profit of INR 50 million in last three years, to proactively design and undertake welfare and other developmental activities.

5 Discussion and conclusion

5.1 Methodological issues

In order to get detailed information on the capacity development of the staff, self-assessment forms were filled out by the management (Assistant Director), programme staff (two Programme Coordinators) and HR/Admin staff (Programme Coordinator Finance). RGVN doesn't have a separate M&E unit. The staff performs multiple tasks including M&E. Their financial condition does not allow it to have a separate team for M&E and programme coordination and therefore no M&E person was interviewed. The agreed questionnaire was aimed at teasing out information from various levels of staff without putting them in any awkward situation.The modified and nuanced repetition of questions when translated to an audience not properly exposed to the English language, created a sense of repetitiveness. Evaluators tried to resolve this, by clarifying the responses by a follow-up interview after studying the responses.

RGVN's focus is to strengthen the partners. It largely works through its partners and at times implements projects on its own. As a result field staff was not invited for the workshop. Due to shift in their programme (from microfinance to Sustainable Livelihood Enhancement and Enterprise Promotion (SLEEP)), RGVN stopped working with the partners they worked with during the baseline. RGVN started working with new partners in the post baseline period. Therefore, evaluators decided not to interview new partners as they were not part of the baseline assessment. RGVN rarely uses Organisation Development Consultants since the staff is well versed and experienced in the area of interventions. The projects under review for funding by Hivos did not have one Organisation Development Consultant. Initially Hivos handheld RGVN and helped it shape the contours of the programme.

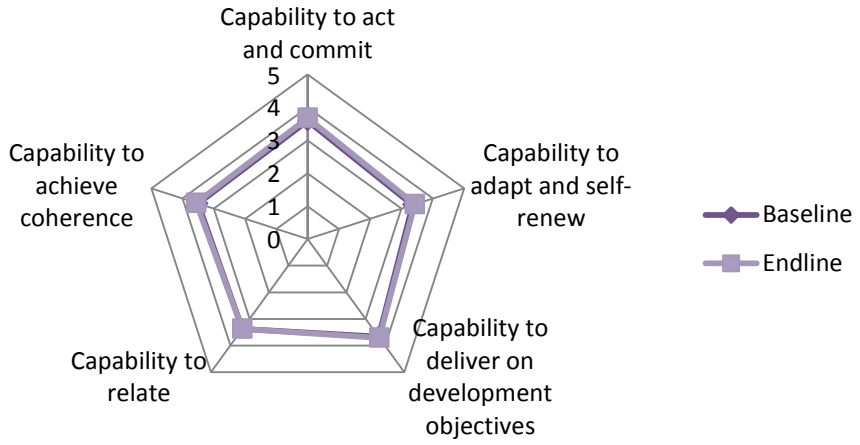
The baseline of RGVN was conducted in August 2012 at the Bhubaneshwar office and the executive director was interviewed in June 2013 in Guwahati. The endline was conducted in August, 2014, followed by an interview with their Executive Director in September, 2014.Therefore, there was difficulty in observing the changes within the organisation due to different time frame. Our focus of evaluation was the RGVN Bhubaneswar office. Since RGVN has this unique division of ownership/ leadership, we also wanted to get the view of the head office regarding the performance and quality of the regional office, in this case Bhubaneswar office. RGVN Bhubaneswar is autonomous to the extent of raising resources and designing the operations of its projects, but their salary comes from RGVN head office in Guwahati. The regional office does not submit any reports to the head office. It directly submits reports annually to the board of trustees. As a result, the Executive Director did not have much information about the functioning of its Bhubaneshwar office and his views contradicted the views given by the RGVN staff in Bhubaneshwar.

The information on the capacity development interventions was "reconstructed" based on the baseline report, progress reports, with the help of the CFA, Netherlands (the person responsible for managing the India portfolio in the transition of offices), as the person within Hivos (the CFA) who was well familiar with RGVN no longer works for Hivos India.

5.2 Changes in organisational capacity

This section aims to provide an answer to the first and fourth evaluation questions:

1. *What are the changes in partner organisations' capacity during the 2012-2014 period?*
4. *What factors explain the findings drawn from the questions above?*



Changes took place in all of the five core capabilities. Below the changes in each of the capabilities are further explained, by referring to the specific indicators that changed.

Over the last two years many changes took place in the indicators under the capability to act and commit. RGVN's leader made the strategic decision to start external resource mobilisation and no longer take loans from banks. In this regard RGVN started to link with government schemes. This showed the staff that the management is now more abreast with changes and developments in their operating environment. Daily operations improved slightly because of the formation of a Project Finance Committee that speeded up the decision making process also concerning funding proposals. Also the introduction of fortnightly meetings that daily operations were in line with strategic plans. RGVN staff improved their skills in a variety of topics, including business development, due to trainings and exposure visits funded by Hivos and other funders like SIDBI and SDTT. Overall staff had more access to trainings on new trends and strategies. There was a slight deterioration in the staff's incentives as performance linked incentives stopped because resources reduced as a result of the director's decision to stop taking loans from banks. RGVN's funding situation deteriorated very slightly as they now have less donors (8) compared to the baseline (11). RGVN improved its proposal writing capacity and improved its relations with government, PSUs and private sector through the CSR hub they became involved in, which is helping in its efforts to raise funds.

In the capability to adapt and self-renew RGVN improved very slightly in two indicators. RGVN very slightly improved their M&E because of having fortnightly meetings to discuss progress, fine-tuned MIS formats and indicators which led to more focussed data collection. Management became more responsive to staff which allowed for more critical reflection during the fortnightly meetings.

In terms of the capability to deliver on development objectives, there has been a very slight improvement in balancing quality and efficiency. RGVN improved the quality of its implementation because of an improved MIS format, better planning, use of technology in accounting system and fortnightly meetings. Efficiency improved because of the Project Finance Committee which helped speed up the decision making process.

In the capability to relate, RGVN improved very slightly its relations with government departments as they worked together more with government programmes. They also improved their relations with the private sector through being involved in the national CSR hub.

Finally, RGVN revisited their strategies from a focus on microfinance to sustainable livelihood enhancement. These new strategies were still in line with their vision and mission.

During the endline workshop some key organisational capacity changes were brought up by RGVN's staff: improved staff capacity to train partners on technology and other issues; and improved relationships with networks. The evaluators considered it important to also note down the SPO's story and this would also provide more information about reasons for change, which were difficult to get for the individual indicators. Also for some issues there may not have been relevant indicators available in the list of core indicators provide by the evaluation team.

RGVN said that their capacity improved in training their partners because of their field experience (because of low attrition rates at the Bhubaneswar office); and trainings and exposure visits they went on that were funded by Hivos, SIDBI and SDTT. RGVN staff got more access to trainings and visits because of gap identification and a change in the strategic plan which required staff to develop new skills. The gaps were identified as a result of fortnightly meetings and strengthened M&E because of donor (Hivos) requirements. RGVN improved its relationships with the government, market, PSUs and private sector. The relations with the government improved because of the new programmes RGVN is involved in and because of some trainings of government department that they attended. The linkages with the market improved because of new programmes and trainings by Hivos, SDTT and SIDBI. The relations with PSUs and the private sector improved because of new programmes and RGVN obtaining a CSR eligibility certificate and become part of a national CSR Hub of TISS, after the CSR bill got approved. The new programmes were a consequence of a change in RGVN's strategic plan, need for resource mobilisation and the formation of the Project Finance Committee. The change in strategic focus of RGVN was triggered by floods, the Phailin cyclone, the microfinance crisis and the changes in donor's priorities (from microfinance to agriculture/livelihoods). The need for resource mobilisation came from dwindling foreign funding and the decision of the director to no longer take loans from banks. According to RGVN, and in terms of the key organisational capacity changes since the baseline according to their perspective, MFS II funded capacity development interventions played a role , particularly in terms of improving their staff capacity to train partners on technology and other issues and improved linkages with the market.

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List of documents available:

1004806_RGVN_Approval of 2014 Annual Review Report.pdf
1004806_RGVN_Assessment of 2014 Annual Review Report.pdf
RGVN _ Additional information received - responses to questions raised in assesment letter (June 2014).doc
RGVN (1001449) Narrative action plan 2012-2013.doc
RGVN (1001449) Narrative Report and FAS_2011-2012___MFIB_.docx
RGVN (1001449) Budget April-June 2012.xls
Hivos assessment RGVN (1001449) FAS 2010-2011.docx
Hivos assessment RGVN (1001449) FAS 2011-2012 (draft).docx
Approval letter RGVN (1001449) Workplan and Budget Apr2012-Jun 2012.pdf
Approval letter RGVN (1001449) FAS and progress report 2011-12.pdf
Approval letter RGVN (1001449) Workplan and budget 2011-2012.pdf
Signed contract-hard copy1.pdf
Signed contract-hard copy.pdf
Approval FAS 2012-13.docx
Proposal-_HIVOS_by__RGVN-revised.doc
ARR + Work Plan 2013-14-15.docx
ARR+WP 12-13-14.docx
WORKPLAN-13-14.docx
2013-14 GE_RA_1.docx
2013-14 GE_RA_2.docx
2013-14 GE_RA_3.docx
Financial Audited report 2012-13.pdf
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RP-12-13 001.jpg
RP-12-13 002.jpg
RP-12-13 003.jpg
RP-12-13 004.jpg
RP-12-13 005.jpg
FAS add info.doc
FC-6(12-13) 001.jpg
FC-6(12-13) 002.jpg
FC-6(12-13) 003.jpg
FC-6(12-13) 004.jpg
FCRA and MR.docx
FCRA(12-13) 001.jpg
FCRA(12-13) 002.jpg
FCRA(12-13) 003.jpg

Fieldwork data:

Annex L_5c endline interview guide_subgroup_management_selected indicators RGVN.docx
5c endline self-assessment sheet_programme staff_India_RGVN.docx
5c endline self-assessment sheet__admin HRM Staff_India_RGVN.docx
5c endline self-assessment sheet_management_India_RGVN.docx
Annex K_5c endline workshop_key changes and factors_SPO perspective_country_RGVN.docx
ATTENDANCE SHEET for RGVN 19 & 20 AUG Workshop.docx
5c endline observation sheet - observations by in-country evaluators during the endline capacity assessment at the SPO_RGVN.docx

List of Respondents

RGVN staff at Bhubaneswar office:

NAME	DESIGNATION	19th Aug	20th Aug
Mrs Dharitri Dwivedy	Assistant Director	Present	Present
Mr Subhransu Sekhar Mohanty	Program Coordinator	Present	Present
Mr Tanmaya Tilak Mohapatra	Program Coordinator	Present	Present
Mr Somya Darsan Routray	Program Coordinator (finance)	Present	Present

RGVN director:

Dr. Amiya Sharma, Executive Director RGVN at head office in Guwahati. Interviewed on 24 September 2014.

CFA:

Information provided by:

Caroline Brants, Programme Officer India at Head office of Hivos.

Karel Chambille, Evaluation Manager at Hivos.

Appendix 1 Methodological approach & reflection

1. Introduction

This appendix describes the methodological design and challenges for the assessment of capacity development of Southern Partner Organisations (SPOs), also called the '5C study'. This 5C study is organised around four key evaluation questions:

1. What are the changes in partner organisations' capacity during the 2012-2014 period?
2. To what degree are the changes identified in partner capacity attributable to development interventions undertaken by the MFS II consortia (i.e. measuring effectiveness)?
3. Were the efforts of the MFS II consortia efficient?
4. What factors explain the findings drawn from the questions above?

It has been agreed that the question (3) around efficiency cannot be addressed for this 5C study. The methodological approach for the other three questions is described below. At the end, a methodological reflection is provided.

In terms of the attribution question (2), 'process tracing' is used. This is a theory-based approach that has been applied to a selected number of SPOs since it is a very intensive and costly methodology, although it provides rich information and can generate a lot of learning within the organisations. This approach was presented and agreed-upon during the synthesis workshop on 17-18 June 2013 by the 5C teams for the eight countries of the MFS II evaluation. A more detailed description of the approach was presented during the synthesis workshop in February 2014. The synthesis team, NWO-WOTRO, the country project leaders and the MFS II organisations present at the workshop have accepted this approach. It was agreed that this approach can only be used for a selected number of SPOs since it is a very intensive and costly methodology. Key organisational capacity changes/ outcomes of the SPO were identified, based on their relationship to the two selected capabilities, the capability to act and commit the capability to adapt and self-renew, and an expected relationship with CFA supported capacity development interventions (MFS II funding). It was agreed to focus on these two capabilities, since these are the most targeted capabilities by the CFAs, as established during the baseline process.

Please find below an explanation of how the above-mentioned evaluation questions have been addressed in the 5C evaluation.

Note: the methodological approach is applied to 4 countries that the Centre for Development Innovation, Wageningen University and Research centre is involved in in terms of the 5C study (Ethiopia, India, Indonesia, Liberia). The overall approach has been agreed with all the 8 countries selected for this MFS II evaluation. The 5C country teams have been trained and coached on this methodological approach during the evaluation process. Details specific to the SPO are described in chapter 5.1 of the SPO report. At the end of this appendix a brief methodological reflection is provided.

2. Changes in partner organisation's capacity – evaluation question 1

This section describes the data collection and analysis methodology for answering the first evaluation question: **What are the changes in partner organisations' capacity during the 2012-2014 period?**

This question was mainly addressed by reviewing changes in 5c indicators, but additionally a 'general causal map' based on the SPO perspective on key organisational capacity changes since the baseline

has been developed. Each of these is further explained below. The development of the general causal map is integrated in the steps for the endline workshop, as mentioned below.

During the baseline in 2012 information has been collected on each of the 33 agreed upon indicators for organisational capacity. For each of the five capabilities of the 5C framework indicators have been developed as can be seen in Appendix 2. During this 5C baseline, a summary description has been provided for each of these indicators, based on document review and the information provided by staff, the Co-financing Agency (CFA) and other external stakeholders. Also a summary description has been provided for each capability. The results of these can be read in the baseline reports.

The description of indicators for the baseline in 2012 served as the basis for comparison during the endline in 2014. In practice this meant that largely the same categories of respondents (preferably the same respondents as during the baseline) were requested to review the descriptions per indicator and indicate whether and how the endline situation (2014) is different from the described situation in 2012.[7] Per indicator they could indicate whether there was an improvement or deterioration or no change and also describe these changes. Furthermore, per indicator the interviewee could indicate what interventions, actors and other factors explain this change compared to the baseline situation. See below the specific questions that are asked for each of the indicators. Per category of interviewees there is a different list of indicators to be looked at. For example, staff members were presented with a list of all the indicators, whilst external people, for example partners, are presented with a select number of indicators, relevant to the stakeholder.

The information on the indicators was collected in different ways:

1) **Endline workshop at the SPO - self-assessment and 'general causal map'**: similar to data collection during the baseline, different categories of staff (as much as possible the same people as during the baseline) were brought together in a workshop and requested to respond, in their staff category, to the list of questions for each of the indicators (self-assessment sheet). Prior to carrying out the self-assessments, a brainstorming sessions was facilitated to develop a 'general causal map', based on the key organisational capacity changes since the baseline as perceived by SPO staff. Whilst this general causal map is not validated with additional information, it provides a sequential narrative, based on organisational capacity changes as perceived by SPO staff;
2) **Interviews with staff members**: additional to the endline workshop, interviews were held with SPO staff, either to provide more in-depth information on the information provided on the self-assessment formats during the workshop, or as a separate interview for staff members that were not present during the endline workshop;
3) **Interviews with externals**: different formats were developed for different types of external respondents, especially the co-financing agency (CFA), but also partner agencies, and organisational development consultants where possible. These externals were interviewed, either face-to-face or by phone/Skype. The interview sheets were sent to the respondents and if they wanted, these could be filled in digitally and followed up on during the interview;
4) **Document review**: similar to the baseline in 2012, relevant documents were reviewed so as to get information on each indicator. Documents to be reviewed included progress reports, evaluation reports, training reports, etc. (see below) since the baseline in 2012, so as to identify changes in each of the indicators;
5) **Observation**: similar to what was done in 2012, also in 2014 the evaluation team had a list with observable indicators which were to be used for observation during the visit to the SPO.

Below the key steps to assess changes in indicators are described.

[7] The same categories were used as during the baseline (except beneficiaries, other funders): staff categories including management, programme staff, project staff, monitoring and evaluation staff, field staff, administration staff; stakeholder categories including co-financing agency (CFA), consultants, partners.

Key steps to assess changes in indicators are described

16. Provide the description of indicators in the relevant formats – CDI team
17. Review the descriptions per indicator – in-country team & CDI team
18. Send the formats adapted to the SPO to CFA and SPO – in-country team (formats for SPO) and CDI team (formats for CFA)
19. Collect, upload & code the documents from CFA and SPO in NVivo – CDI team
20. Organise the field visit to the SPO – in-country team
21. Interview the CFA – CDI team
22. Run the endline workshop with the SPO – in-country team
23. Interview SPO staff – in-country team
24. Fill-in observation sheets – in-country team
25. Interview externals – in-country team
26. Upload and auto-code all the formats collected by in-country team and CDI team in NVivo – CDI team
27. Provide to the overview of information per 5c indicator to in-country team – CDI team
28. Analyse data and develop a draft description of the findings per indicator and for the general questions – in-country team
29. Analyse data and develop a final description of the findings per indicator and per capability and for the general questions – CDI team
30. Analyse the information in the general causal map –in-country team and CDI-team

Note: the CDI team include the Dutch 5c country coordinator as well as the overall 5c coordinator for the four countries (Ethiopia, India, Indonesia, Liberia). The 5c country report is based on the separate SPO reports.

Below each of these steps is further explained.

*Step 1. Provide the **description of indicators** in the relevant formats – CDI team*

- These formats were to be used when collecting data from SPO staff, CFA, partners, and consultants. For each of these respondents different formats have been developed, based on the list of 5C indicators, similar to the procedure that was used during the baseline assessment. The CDI team needed to add the 2012 baseline description of each indicator. The idea was that each respondent would be requested to review each description per indicator, and indicate whether the current situation is different from the baseline situation, how this situation has changed, and what the reasons for the changes in indicators are. At the end of each format, a more general question is added that addresses how the organisation has changed its capacity since the baseline, and what possible reasons for change exist. Please see below the questions asked for each indicator as well as the more general questions at the end of the list of indicators.

General questions about key changes in the capacity of the SPO

What do you consider to be the key changes in terms of how the organisation/ SPO has developed its capacity since the baseline (2012)?

What do you consider to be the main explanatory reasons (interventions, actors or factors) for these changes?

List of questions to be asked for each of the 5C indicators (The entry point is the the description of each indicator as in the 2012 baseline report):

1. *How has the situation of this indicator changed compared to the situation during the baseline in 2012? Please tick one of the following scores:*
   - -2 = Considerable deterioration
   - -1 = A slight deterioration
   - 0 = No change occurred, the situation is the same as in 2012
   - +1 = Slight improvement
   - +2 = Considerable improvement
2. *Please describe what exactly has changed since the baseline in 2012*
3. *What interventions, actors and other factors explain this change compared to the baseline situation in 2012? Please tick and describe what interventions, actors or factors influenced this indicator, and how. You can tick and describe more than one choice.*
   - Intervention, actor or factor at the level of or by **SPO**: ..... .
   - Intervention, actor or factor at the level of or by the **Dutch CFA (MFS II funding)**: .... .
   - Intervention, actor or factor at the level of or by the **other funders**: ..... .
   - **Other** interventions, actors or factors: ..... .
     - Don't know.

*Step 2. **Review** the descriptions per indicator – in-country team & CDI team*

Before the in-country team and the CDI team started collecting data in the field, it was important that they reviewed the description for each indicator as described in the baseline reports, and also added to the endline formats for review by respondents. These descriptions are based on document review, observation, interviews with SPO staff, CFA staff and external respondents during the baseline. It was important to explain this to respondents before they filled in the formats.

*Step 3. **Send the formats** adapted to the SPO to CFA and SPO – in-country team (formats for SPO) and CDI team (formats for CFA)*

The CDI team was responsible for collecting data from the CFA:

- 5C Endline assessment Dutch co-financing organisation;
- 5C Endline support to capacity sheet – CFA perspective.

The in-country team was responsible for collecting data from the SPO and from external respondents (except CFA). The following formats were sent before the fieldwork started:

- 5C Endline support to capacity sheet – SPO perspective.
- 5C Endline interview guides for externals: partners; OD consultants.

*Step 4. **Collect, upload & code the documents** from CFA and SPO in NVivo – CDI team*

The CDI team, in collaboration with the in-country team, collected the following documents from SPOs and CFAs:

- Project documents: project proposal, budget, contract (Note that for some SPOs there is a contract for the full MFS II period 2011-2015; for others there is a yearly or 2-yearly contract. All new contracts since the baseline in 2012 will need to be collected);
- Technical and financial progress reports since the baseline in 2012;.

- Mid-term evaluation reports;
- End of project-evaluation reports (by the SPO itself or by external evaluators);
- Contract intake forms (assessments of the SPO by the CFA) or organisational assessment scans made by the CFA that cover the 2011-2014 period;
- Consultant reports on specific inputs provided to the SPO in terms of organisational capacity development;
- Training reports (for the SPO; for alliance partners, including the SPO);
- Organisational scans/ assessments, carried out by the CFA or by the Alliance Assessments;
- Monitoring protocol reports, especially for the 5C study carried out by the MFS II Alliances;
- Annual progress reports of the CFA and of the Alliance in relation to capacity development of the SPOs in the particular country;
- Specific reports that are related to capacity development of SPOs in a particular country.

The following documents (since the baseline in 2012) were requested from SPO:

- Annual progress reports;
- Annual financial reports and audit reports;
- Organisational structure vision and mission since the baseline in 2012;
- Strategic plans;
- Business plans;
- Project/ programme planning documents;
- Annual work plan and budgets;
- Operational manuals;
- Organisational and policy documents: finance, human resource development, etc.;
- Monitoring and evaluation strategy and implementation plans;
- Evaluation reports;
- Staff training reports;
- Organisational capacity reports from development consultants.

The CDI team will coded these documents in NVivo (qualitative data analysis software program) against the 5C indicators.

Step 5. ***Prepare and organise the field visit*** *to the SPO – in-country team*

Meanwhile the in-country team prepared and organised the logistics for the field visit to the SPO:

- **General endline workshop** consisted about one day for the self-assessments (about ½ to ¾ of the day) and brainstorm (about 1 to 2 hours) on key organisational capacity changes since the baseline and underlying interventions, factors and actors ('general causal map'), see also explanation below. This was done with the five categories of key staff: managers; project/ programme staff; monitoring and evaluation staff; admin & HRM staff; field staff. Note: for SPOs involved in process tracing an additional 1 to 1½ day workshop (managers; program/project staff; monitoring and evaluation staff) was necessary. See also step 7;
- **Interviews with SPO staff** (roughly one day);
- **Interviews with external respondents** such as partners and organisational development consultants depending on their proximity to the SPO. These interviews coulc be scheduled after the endline workshop and interviews with SPO staff.

General causal map

During the 5C endline process, a 'general causal map' has been developed, based on key organisational capacity changes and underlying causes for these changes, as perceived by the SPO. The general causal map describes cause-effect relationships, and is described both as a visual as well as a narrative.

As much as possible the same people that were involved in the baseline were also involved in the endline workshop and interviews.

Step 6. ***Interview the CFA*** *– CDI team*

The CDI team was responsible for sending the sheets/ formats to the CFA and for doing a follow-up interview on the basis of the information provided so as to clarify or deepen the information provided. This relates to:

- 5C Endline assessment Dutch co-financing organisation;
- 5C Endline support to capacity sheet - CFA perspective.

Step 7. ***Run the endline workshop*** *with the SPO – in-country team*

This included running the endline workshop, including facilitation of the development of the general causal map, self-assessments, interviews and observations. Particularly for those SPOs that were selected for process tracing all the relevant information needed to be analysed prior to the field visit, so as to develop an initial causal map. Please see Step 6 and also the next section on process tracing (evaluation question two).

An endline workshop with the SPO was intended to:

- Explain the purpose of the fieldwork;
- Carry out in the self-assessments by SPO staff subgroups (unless these have already been filled prior to the field visits) - this may take some 3 hours.
- Facilitate a brainstorm on key organisational capacity changes since the baseline in 2012 and underlying interventions, factors and actors.

Purpose of the fieldwork**:** to collect data that help to provide information on what changes took place in terms of organisational capacity development of the SPO as well as reasons for these changes. The baseline that was carried out in 2012 was to be used as a point of reference.

Brainstorm on key organisational capacity changes and influencing factors: a brainstorm was facilitated on key organisational capacity changes since the baseline in 2012. In order to kick start the discussion, staff were reminded of the key findings related to the historical time line carried out in the baseline (vision, mission, strategies, funding, staff). This was then used to generate a discussion on key changes that happened in the organisation since the baseline (on cards). Then cards were selected that were related to organisational capacity changes, and organised. Then a 'general causal map' was developed, based on these key organisational capacity changes and underlying reasons for change as experienced by the SPO staff. This was documented as a visual and narrative.This general causal map was to get the story of the SPO on what they perceived as key organisational capacity changes in the organisation since the baseline, in addition to the specific details provided per indicator.

Self-assessments**:** respondents worked in the respective staff function groups: management; programme/ project staff; monitoring and evaluation staff; admin and HRM staff; field staff. Staff were assisted where necessary so that they could really understand what it was they were being asked to do as well as what the descriptions under each indicator meant.

Note: for those SPOs selected for process tracing an additional endline workshop was held to facilitate the development of detailed causal maps for each of the identified organisational change/ outcome areas that fall under the capability to act and commit, and under the capability to adapt and self-renew, and that are likely related to capacity development interventions by the CFA. See also the next section on process tracing (evaluation question two). It was up to the in-country team whether this workshop was held straight after the initial endline workshop or after the workshop and the follow-up interviews. It could also be held as a separate workshop at another time.

Step 8. ***Interview SPO staff*** *– in-country team*

After the endline workshop (developing the general causal map and carrying out self-assessments in subgroups), interviews were held with SPO staff (subgroups) to follow up on the information that was provided in the self-assessment sheets, and to interview staff that had not yet provided any information.

Step 9. ***Fill-in observation sheets*** *– in-country team*

During the visit at the SPO, the in-country team had to fill in two sheets based on their observation:

- 5C Endline observation sheet;
- 5C Endline observable indicators.

Step 10. ***Interview externals*** *– in-country team & CDI team*

The in-country team also needed to interview the partners of the SPO as well as organisational capacity development consultants that have provided support to the SPO. The CDI team interviewed the CFA.

Step 11. ***Upload and auto-code all the formats*** *collected by in-country team and CDI team – CDI team*

The CDI team was responsible for uploading and auto-coding (in Nvivo) of the documents that were collected by the in-country team and by the CDI team.

Step 12. Provide the ***overview of information*** *per 5C indicator to in-country team – CDI team*

After the analysis in NVivo, the CDI team provided a copy of all the information generated per indicator to the in-country team for initial analysis.

Step 13. ***Analyse the data and develop a draft description*** *of the findings per indicator and for the general questions – in-country team*

The in-country team provided a draft description of the findings per indicator, based on the information generated per indicator. The information generated under the general questions were linked to the general causal map or detailed process tracing related causal map.

Step 14. ***Analyse the data and finalize the description*** *of the findings per indicator, per capability and general – CDI team*

The CDI team was responsible for checking the analysis by the in-country team with the Nvivo generated data and to make suggestions for improvement and ask questions for clarification to which the in-country team responded. The CDI team then finalised the analysis and provided final descriptions and scores per indicator and also summarize these per capability and calculated the summary capability scores based on the average of all indicators by capability.

Step 15. ***Analyse the information*** *in the general causal map –in-country team & CDI team*

The general causal map based on key organisational capacity changes as perceived by the SPO staff present at the workshop, was further detailed by in-country team and CDI team, and based on the notes made during the workshop and where necessary additional follow up with the SPO. The visual and narrative was finalized after feedback by the SPO. During analysis of the general causal map relationships with MFS II support for capacity development and other factors and actors were identified. All the information has been reviewed by the SPO and CFA.

3. Attributing changes in partner organisation's capacity – evaluation question 2

This section describes the data collection and analysis methodology for answering the second evaluation question: ***To what degree are the changes identified in partner capacity attributable to (capacity) development interventions undertaken by the MFS II consortia (i.e. measuring effectiveness)?***

In terms of the attribution question (2), 'process tracing' is used. This is a theory-based approach that has been applied to a selected number of SPOs since it is a very intensive and costly methodology, although it provides rich information and can generate a lot of learning within the organisations. Key organisational capacity changes/ outcomes of the SPO were identified, based on their relationship to the two selected capabilities, the capability to act and commit the capability to adapt and self-renew, and an expected relationship with CFA supported capacity development interventions (MFS II funding). It was agreed to focus on these two capabilities, since these are the most targeted capabilities by the CFAs, as established during the baseline process. The box below provides some background information on process tracing.

Background information on process tracing

The essence of process tracing research is that scholars want to go beyond merely identifying correlations between independent variables (Xs) and outcomes (Ys). Process tracing in social science is commonly defined by its addition to trace causal mechanisms (Bennett, 2008a, 2008b; Checkle, 2008; George & Bennett, 2005). A causal mechanism can be defined as "a complex system which produces an outcome by the interaction of a number of parts" (Glennan, 1996, p. 52). Process tracing involves "attempts to identify the intervening causal process – the causal chain and causal mechanism – between an independent variable (or variables) and the outcome of the dependent variable" (George & Bennett, 2005, pp. 206-207).

Process tracing can be differentiated into three variants within social science: theory testing, theory building, and explaining outcome process tracing (Beach & Pedersen, 2013).

Theory testing process tracing uses a theory from the existing literature and then tests whether evidence shows that each part of hypothesised causal mechanism is present in a given case, enabling within case inferences about whether the mechanism functioned as expected in the case and whether the mechanism as a whole was present. No claims can be made however, about whether the mechanism was the only cause of the outcome.

Theory building process tracing seeks to build generalizable theoretical explanations from empirical evidence, inferring that a more general causal mechanism exists from the fact of a particular case.

Finally, explaining outcome process tracing attempts to craft a minimally sufficient explanation of a puzzling outcome in a specific historical case. Here the aim is not to build or test more general theories but to craft a (minimally) sufficient explanation of the outcome of the case where the ambitions are more case centric than theory oriented.

Explaining outcome process tracing is the most suitable type of process tracing for analysing the causal mechanisms for selected key organisational capacity changes of the SPOs. This type of process tracing can be thought of as a single outcome study defined as seeking the causes of the specific outcome in a single case (Gerring, 2006; in: Beach & Pedersen, 2013). Here the ambition is to craft a minimally sufficient explanation of a particular outcome, with sufficiency defined as an explanation that accounts for all of the important aspects of an outcome with no redundant parts being present (Mackie, 1965).

Explaining outcome process tracing is an iterative research strategy that aims to trace the complex conglomerate of systematic and case specific causal mechanisms that produced the outcome in question. The explanation cannot be detached from the particular case. Explaining outcome process tracing refers to case studies whose primary ambition is to explain particular historical outcomes, although the findings of the case can also speak to other potential cases of the phenomenon. Explaining outcome process tracing is an iterative research process in which 'theories' are tested to see whether they can provide a minimally sufficient explanation of the outcome. Minimal sufficiency is defined as an explanation that accounts for an outcome, with no redundant parts. In most explaining outcome studies, existing theorisation cannot provide a sufficient explanation, resulting in a second stage in which existing theories are re-conceptualised in light of the evidence gathered in the preceding empirical analysis. The conceptualisation phase in explaining outcome process tracing is therefore an iterative research process, with initial mechanisms re-conceptualised and tested until the result is a theorised mechanism that provides a minimally sufficient explanation of the particular outcome.

Below a description is provided of how SPOs are selected for process tracing, and a description is provided on how this process tracing is to be carried out. Note that this description of process tracing provides not only information on the extent to which the changes in organisational development can be attributed to MFS II (evaluation question 2), but also provides information on other contributing factors and actors (evaluation question 4). Furthermore, it must be noted that the evaluation team has developed an adapted form of 'explaining outcome process tracing', since the data collection and analysis was an iterative process of research so as to establish the most realistic explanation for a particular outcome/ organisational capacity change. Below selection of SPOs for process tracing as well as the different steps involved for process tracing in the selected SPOs, are further explained.

Selection of SPOs for 5C process tracing

Process tracing is a very intensive methodology that is very time and resource consuming (for development and analysis of one final detailed causal map, it takes about 1-2 weeks in total, for different members of the evaluation team). It has been agreed upon during the synthesis workshop on 17-18 June 2013 that only a selected number of SPOs will take part in this process tracing for the purpose of understanding the attribution question. The selection of SPOs is based on the following criteria:

- MFS II support to the SPO has not ended before 2014 (since this would leave us with too small a time difference between intervention and outcome);
- Focus is on the 1-2 capabilities that are targeted most by CFAs in a particular country;
- Both the SPO and the CFA are targeting the same capability, and preferably aim for similar outcomes;
- Maximum one SPO per CFA per country will be included in the process tracing.

The intention was to focus on about 30-50% of the SPOs involved. Please see the tables below for a selection of SPOs per country. Per country, a first table shows the extent to which a CFA targets the five capabilities, which is used to select the capabilities to focus on. A second table presents which SPO is selected, and takes into consideration the selection criteria as mentioned above.

ETHIOPIA

For Ethiopia the capabilities that are mostly targeted by CFAs are the capability to act and commit and the capability to adapt and self-renew. See also the table below.

Table 1

The extent to which the Dutch NGO explicitly targets the following capabilities – Ethiopia

Capability to:	AMREF	CARE	ECFA	FSCE	HOA-REC	HUNDEE	NVEA	OSRA	TTCA
Act and commit	5	4	5	5	5	3	4	4	3
Deliver on development objectives	2	1	1	1	2	1	1	2	1
Adapt and self-renew	4	2	3	4	2	5	3	3	3
Relate	3	1	2	2	3	2	1	3	1
Achieve coherence	2	2	1	1	1	1	1	1	1

Note: Number 1 stands for not targeted, 5 for intensively targeted. These scores are relative scores for the interventions by the CFA to strengthen the capacity of the SPO. The scores are relative to each other, a higher score means that this capability gets more attention by the CFA compared to other capabilities.

Source: country baseline report, Ethiopia.

Below you can see the table describing when the contract with the SPO is to be ended, and whether both SPO and the CFA expect to focus on these two selected capabilities (with MFS II funding). Based on the above-mentioned selection criteria the following SPOs are selected for process tracing: AMREF,

ECFA, FSCE, HUNDEE. In fact, six SPOs would be suitable for process tracing. We just selected the first one per CFA following the criteria of not including more than one SPO per CFA for process tracing

Table 2
SPOs selected for process tracing – Ethiopia

Ethiopia – SPOs	End of contract	Focus on capability to act and commit– by SPO	Focus on capability to act and commit – by CFA	Focus on capability to adapt and self-renew – by SPO	Focus on capability to adapt and self-renew – by CFA	CFA	Selected for process tracing
AMREF	Dec 2015	Yes	Yes	Yes	Yes	AMREF NL	Yes
CARE	Dec 31, 2015	Partly	Yes	Yes	Yes – slightly	CARE Netherlands	No - not fully matching
ECFA	Jan 2015	Yes	Yes	Yes	Yes	Child Helpline International	Yes
FSCE	Dec 2015	Yes	Yes	Yes	Yes	Stichting Kinderpostzegels Netherlands (SKN); Note: no info from Defence for Children – ECPAT Netherlands	Yes
HOA-REC	Sustainable Energy project (ICCO Alliance): 2014 Innovative WASH (WASH Alliance): Dec 2015	Yes	Yes	Yes	Yes - slightly	ICCO	No - not fully matching
HUNDEE	Dec 2014	Yes	Yes	Yes	Yes	ICCO & IICD	Yes
NVEA	Dec 2015 (both)	Yes	Yes	Yes	Yes	Edukans Foundation (under two consortia); Stichting Kinderpostzegels Netherlands (SKN)	Suitable but SKN already involved for process tracing FSCE
OSRA	C4C Alliance project (farmers marketing): December 2014 ICCO Alliance project (zero grazing: 2014 (2nd phase)	Yes	Yes	Yes	Yes	ICCO & IICD	Suitable but ICCO & IICD already involved for process tracing - HUNDEE
TTCA	June 2015	Partly	Yes	No	Yes	Edukans Foundation	No - not fully matching

INDIA

For India the capability that is mostly targeted by CFAs is the capability to act and commit. The next one in line is the capability to adapt and self-renew. See also the table below in which a higher score means that the specific capability is more intensively targeted.

Table 3

The extent to which the Dutch NGO explicitly targets the following capabilities – India[8]

Capability to:	BVHA	COUNT	DRISTI	FFID	Jana Vikas	Samarthak Samiti	SMILE	SDS	VTRC
Act and commit	5	3	4	4	4	4	4	3	5
Deliver on development objectives	1	5	1	1	1	1	1	2	1
Adapt and self-renew	2	2	1	3	1	1	4	1	4
Relate	3	1	1	1	1	1	2	1	2
Achieve coherence	1	1	1	4	1	1	1	1	2

Note: Number 1 stands for not targeted, 5 for intensively targeted. These scores are relative scores for the interventions by the CFA to strengthen the capacity of the SPO. The scores are relative to each other, a higher score means that this capability gets more attention by the CFA compared to other capabilities.

Source: country baseline report, India.

Below you can see a table describing when the contract with the SPO is to be ended and whether SPO and the CFA both expect to focus on these two selected capabilities (with MFS II funding). Based on the above-mentioned selection criteria the following SPOs are selected for process tracing: BVHA, COUNT, FFID, SMILE and VTRC. Except for SMILE (capability to act and commit only), for the other SPOs the focus for process tracing can be on the capability to act and commit and on the capability to adapt and self-renew.

Table 4

SPOs selected for process tracing – India

India – SPOs	End of contract	Focus on capability to act and commit– by SPO	Focus on capability to act and commit – by CFA	Focus on capability to adapt and self-renew –by SPO	Focus on capability to adapt and self-renew – by CFA	CFA	Selected for process tracing
BVHA	2014	Yes	Yes	Yes	Yes	Simavi	Yes; both capabilities
COUNT	2015	Yes	Yes	Yes	Yes	Woord en Daad	Yes; both capabilities
DRISTI	31-03-2012	Yes	Yes	No	no	Hivos	No - closed in 2012
FFID	30-09-2014	Yes	Yes	Yes	Yes	ICCO	Yes

[8] RGVN, NEDSF and Women's Rights Forum (WRF) could not be reached timely during the baseline due to security reasons. WRF could not be reached at all. Therefore these SPOs are not included in Table 1.

India – SPOs	End of contract	Focus on capability to act and commit– by SPO	Focus on capability to act and commit – by CFA	Focus on capability to adapt and self-renew –by SPO	Focus on capability to adapt and self-renew – by CFA	CFA	Selected for process tracing
Jana Vikas	2013	Yes	Yes	Yes	No	Cordaid	No - contract is and the by now; not fully matching focus
NEDSF							No – delayed baseline
RGVN							No - delayed baseline
Samarthak Samiti (SDS)	2013 possibly longer	Yes	Yes	Yes	No	Hivos	No - not certain of end date and not fully matching focus
Shivi Development Society (SDS)	Dec 2013 intention 2014	Yes	Yes	Yes	No	Cordaid	No - not fully matching focus
Smile	2015	Yes	Yes	Yes	Yes	Wilde Ganzen	Yes; first capability only
VTRC	2015	Yes	Yes	Yes	Yes	Stichting Red een Kind	Yes; both capabilities

INDONESIA

For Indonesia the capabilities that are most frequently targeted by CFAs are the capability to act and commit and the capability to adapt and self-renew. See also the table below.

Table 5

The extent to which the Dutch NGO explicitly targets the following capabilities – Indonesia

Capability to:	ASB	Daya kologi	ECPAT	GSS	Lem baga Kita	Pt. PPMA	Rifka Annisa	WIIP	Yad upa	Yayasan Kelola	YPI	YRBI
Act and commit	4	4	4	5	4	4	5	3	3	2	5	4
Deliver on development objectives	1	1	1	2	2	1	2	1	1	1	1	1
Adapt and self-renew	3	1	2	4	2	3	4	4	1	1	4	3
Relate	1	1	2	3	3	2	1	2	2	2	3	2
Achieve coherence	1	1	1	2	1	1	2	2	1	1	2	1

Note: Number 1 stands for not targeted, 5 for intensively targeted. These scores are relative scores for the interventions by the CFA to strengthen the capacity of the SPO. The scores are relative to each other, a higher score means that this capability gets more attention by the CFA compared to other capabilities.

Source: country baseline report, Indonesia.

The table below describes when the contract with the SPO is to be ended and whether both SPO and the CFA expect to focus on these two selected capabilities (MFS II funding). Based on the above-mentioned selection criteria the following SPOs are selected for process tracing: ASB, ECPAT, Pt.PPMA, YPI, YRBI.

Table 6

SPOs selected for process tracing – Indonesia

Indonesia – SPOs	End of contract	Focus on capability to act and commit– by SPO	Focus on capability to act and commit – by CFA	Focus on capability to adapt and self-renew – by SPO	Focus on capability to adapt and self-renew – by CFA	CFA	Selected for process tracing
ASB	February 2012; extension Feb,1, 2013 – June,30, 2016	Yes	Yes	Yes	Yes	Hivos	Yes
Dayakologi	2013; no extension	Yes	Yes	Yes	No	Cordaid	No: contract ended early and not matching enough
ECPAT	August 2013; Extension Dec 2014	Yes	Yes	Yes, a bit	Yes	Free Press Unlimited - Mensen met een Missie	Yes
GSS	31 December 2012; no extension	Yes	Yes	Yes, a bit	Yes	Free Press Unlimited - Mensen met een Missie	No: contract ended early
Lembaga Kita	31 December 2012; no extension	Yes	Yes	No	Yes	Free Press Unlimited - Mensen met een Missie	No - contract ended early
Pt.PPMA	May 2015	Yes	Yes	No	Yes	IUCN	Yes, capability to act and commit only
Rifka Annisa	Dec, 31 2015	No	Yes	No	Yes	Rutgers WPF	No - no match between expectations CFA and SPO
WIIP	Dec 2015	Yes	Not MFS II	Yes	Not MFS II	Red Cross	No - Capacity development interventions are not MFS II financed. Only some overhead is MFS II

Indonesia – SPOs	End of contract	Focus on capability to act and commit– by SPO	Focus on capability to act and commit – by CFA	Focus on capability to adapt and self-renew – by SPO	Focus on capability to adapt and self-renew – by CFA	CFA	Selected for process tracing
Yayasan Kelola	Dec 30, 2013; extension of contract being processed for two years (2014-2015)	Yes	Not really	Yes	Not really	Hivos	No - no specific capacity development interventions planned by Hivos
YPI	Dec 31, 2015	Yes	Yes	Yes	Yes	Rutgers WPF	Yes
YRBI	Oct, 30, 2013; YRBI end of contract from 31st Oct 2013 to 31st Dec 2013. Contract extension proposal is being proposed to MFS II, no decision yet.	Yes	Yes	Yes	Yes	ICCO	Yes
Yadupa	Under negotiation during baseline; new contract 2013 until now	Yes	Nothing committed	Yes	Nothing committed	IUCN	No, since nothing was committed by CFA

LIBERIA

For Liberia the situation is arbitrary which capabilities are targeted most CFA's. Whilst the capability to act and commit is targeted more often than the other capabilities, this is only so for two of the SPOs. The capability to adapt and self-renew and the capability to relate are almost equally targeted for the five SPOs, be it not intensively. Since the capability to act and commit and the capability to adapt and self-renew are the most targeted capabilities in Ethiopia, India and Indonesia, we choose to focus on these two capabilities for Liberia as well. This would help the synthesis team in the further analysis of these capabilities related to process tracing. See also the table below.

Table 7

The extent to which the Dutch NGO explicitly targets the following capabilities – Liberia

Capability to:	BSC	DEN-L	NAWOCOL	REFOUND	RHRAP
Act and commit	5	1	1	1	3
Deliver on development objectives	3	1	1	1	1
Adapt and self-renew	2	2	2	2	2
Relate	1	2	2	2	2
Achieve coherence	1	1	1	1	1

Note: Number 1 stands for not targeted, 5 for intensively targeted. These scores are relative scores for the interventions by the CFA to strengthen the capacity of the SPO. The scores are relative to each other, a higher score means that this capability gets more attention by the CFA compared to other capabilities.

Source: country baseline report, Liberia.

Below you can see the table describing when the contract with the SPO is to be ended, and whether both SPO and the CFA expect to focus on these two selected capabilities (with MFS II funding). Also, for two of the five SPOs capability to act and commit is targeted more intensively compared to the other capabilities. Based on the above-mentioned selection criteria the following SPOs are selected for process tracing: BSC and RHRAP.

Table 8

SPOs selected for process tracing – Liberia

Liberia – SPOs	End of contract	Focus on capability to act and commit– by SPO	Focus on capability to act and commit – by CFA	Focus on capability to adapt and self-renew –by SPO	Focus on capability to adapt and self-renew – by CFA	CFA	Selected for process tracing
BSC	Dec 31, 2015	Yes	Yes	Yes	Yes	SPARK	Yes
DEN-L	2014	No	No	Unknown	A little	ICCO	No – not matching enough
NAWOCOL	2014	Yes	No	No	A little	ICCO	No – not matching enough
REFOUND	At least until 2013 (2015?)	Yes	No	Yes	A little	ICCO	No – not matching enough
RHRAP	At least until 2013 (2014?)	Yes	Yes	Yes	Yes	ICCO	Yes

Key steps in process tracing for the 5C study

In the box below you will find the key steps developed for the 5C process tracing methodology. These steps will be further explained here. Only key staff of the SPO is involved in this process: management; programme/ project staff; and monitoring and evaluation staff, and other staff that could provide information relevant to the identified outcome area/key organisational capacity change. Those SPOs selected for process tracing had a separate endline workshop, in addition to the ' general endline workshop. This workshop was carried out after the initial endline workshop and the interviews during the field visit to the SPO. Where possible, the general and process tracing endline workshop have been held consecutively, but where possible these workshops were held at different points in

time, due to the complex design of the process. Below the detailed steps for the purpose of process tracing are further explained.

Key steps in process tracing for the 5C study

1. Identify the planned MFS II supported capacity development interventions within the selected capabilities (capability to act and commit and capability to adapt and self-renew) – CDI team
2. Identify the implemented MFS II supported capacity development interventions within the selected capabilities (capability to act and commit and capability to adapt and self-renew) – CDI team
3. Identify initial changes/ outcome areas in these two capabilities – CDI team & in-country team
4. Construct the detailed, initial causal map (theoretical model of change) – CDI team & in-country team
5. Identify types of evidence needed to verify or discard different causal relationships in the model of change – in-country teams, with support from CDI team
6. Collect data to verify or discard causal mechanisms and construct workshop based, detailed causal map (model of change) – in-country team
7. Assess the quality of data and analyse data and develop final detailed causal map (model of change) – in-country team with CDI team
8. Analyse and conclude on findings– CDI team, in collaboration with in-country team

Some definitions of the terminology used for this MFS II 5c evaluation

Based upon the different interpretations and connotations the use of the term causal mechanism we use the following terminology for the remainder of this paper:

A **detailed causal map** (or **model of change)** = the representation of all possible explanations – causal pathways for a change/ outcome. These pathways are that of the intervention, rival pathways and pathways that combine parts of the intervention pathway with that of others. This also depicts the reciprocity of various events influencing each other and impacting the overall change.

A **causal mechanism** = is the combination of parts that ultimately explains an outcome. Each part of the mechanism is an individually insufficient but necessary factor in a whole mechanism, which together produce the outcome (Beach and Pedersen, 2013, p. 176).

Part or **cause** = one actor with its attributes carrying out activities/ producing outputs that lead to change in other parts. The final part or cause is the change/ outcome.

Attributes of the actor = specificities of the actor that increase his chance to introduce change or not such as its position in its institutional environment.

*Step 1. Identify the **planned MFS II supported capacity development interventions** within the selected capabilities (capability to act and commit and capability to adapt and self-renew) – CDI team*

Chapter 4.1 and 4.2 in the baseline report were reviewed. Capacity development interventions as planned by the CFA for the capability to act and commit and for the capability to adapt and self-renew were described and details inserted in the summary format. This provided an overview of the capacity development activities that were originally planned by the CFA for these two capabilities and assisted in focusing on relevant outcomes that are possibly related to the planned interventions.

*Step 2. Identify the **implemented capacity development interventions** within the selected capabilities (capability to act and commit and capability to adapt and self-renew) – CDI team*

The input from the CFA was reviewed in terms of what capacity development interventions have taken place in the MFS II period. This information was be found in the 'Support to capacity development sheet - endline - CFA perspective' for the SPO, based on details provided by the CFA and further discussed during an interview by the CDI team.

The CFA was asked to describe all the MFS II supported capacity development interventions of the SPO that took place during the period 2011 up to now. The CDI team reviewed this information, not only the interventions but also the observed changes as well as the expected long-term changes, and then linked these interventions to relevant outcomes in one of the capabilities (capability to act and commit; and capability to adapt and self-renew).

*Step 3. Identify **initial changes/ outcome areas** in these two capabilities – by CDI team & in-country team*

The CDI team was responsible for coding documents received from SPO and CFA in NVivo on the following:

- 5C Indicators: this was to identify the changes that took place between baseline and endline. This information was coded in Nvivo.
- Information related to the capacity development interventions implemented by the CFA (with MFS II funding) (see also Step 2) to strengthen the capacity of the SPO. For example, the training on financial management of the SPO staff could be related to any information on financial management of the SPO. This information was coded in Nvivo.

In addition, the response by the CFA to the changes in 5C indicators format, was auto-coded.

The in-country team was responsible for timely collection of information from the SPO (before the fieldwork starts). This set of information dealt with:

- MFS II supported capacity development interventions during the MFS II period (2011 until now).
- Overview of all trainings provided in relation to a particular outcome areas/organisational capacity change since the baseline.
- For each of the identified MFS II supported trainings, training questionnaires have been developed to assess these trainings in terms of the participants, interests, knowledge and skills gained, behaviour change and changes in the organisation (based on Kirkpatrick's model), one format for training participants and one for their managers. These training questionnaires were sent prior to the field visit.
- Changes expected by SPO on a long-term basis ('Support to capacity development sheet - endline - SPO perspective').

For the selection of change/ outcome areas the following criteria were important:

- The change/ outcome area is in one of the two capabilities selected for process tracing: capability to act and commit or the capability to adapt and self-renew. This was the first criteria to select upon.
- There was a likely link between the key organisational capacity change/ outcome area and the MFS II supported capacity development interventions. This also was an important criteria. This would need to be demonstrated through one or more of the following situations:
  - In the 2012 theory of change on organisational capacity development of the SPO a link was indicated between the outcome area and MFS II support;
  - During the baseline the CFA indicated a link between the planned MFS II support to organisational development and the expected short-term or long-term results in one of the selected capabilities;
  - During the endline the CFA indicated a link between the implemented MFS II capacity development interventions and observed short-term changes and expected long-term changes in the organisational capacity of the SPO in one of the selected capabilities;
  - During the endline the SPO indicated a link between the implemented MFS II capacity development interventions and observed short-term changes and expected long-term changes in the organisational capacity of the SPO in one of the selected capabilities.

Reviewing the information obtained as described in Step 1, 2, and 3 provided the basis for selecting key organisational capacity change/ outcome areas to focus on for process tracing. These areas were to be formulated as broader outcome areas, such as 'improved financial management', 'improved monitoring and evaluation' or 'improved staff competencies'.

Note: the outcome areas were to be formulated as intermediates changes. For example: an improved monitoring and evaluation system, or enhanced knowledge and skills to educate the target group on climate change. Key outcome areas were also verified - based on document review as well as discussions with the SPO during the endline.

*Step 4. Construct the **detailed, initial causal map** (theoretical model of change) – CDI & in-country team*

A detailed initial causal map was developed by the CDI team, in collaboration with the in-country team. This was based on document review, including information provided by the CFA and SPO on MFS II supported capacity development interventions and their immediate and long-term objectives as well as observed changes. Also, the training questionnaires were reviewed before developing the initial causal map. This detailed initial causal map was to be provided by the CDI team with a visual and related narrative with related references. This initial causal map served as a reference point for further reflection with the SPO during the process tracing endline workshop, where relationships needed to be verified or new relationships established so that the second (workshop-based), detailed causal map could be developed, after which further verification was needed to come up with the final, concluding detailed causal map.

It's important to note that organisational change area/ outcome areas could be both positive and negative.

For each of the selected outcomes the team needed to make explicit the theoretical model of change. This meant finding out about the range of different actors, factors, actions, and events etc. that have contributed to a particular outcome in terms of organisational capacity of the SPO.

A model of change of good quality includes:

- The causal pathways that relate the intervention to the realised change/ outcome;
- Rival explanations for the same change/ outcome;
- Assumptions that clarify relations between different components or parts;
- Case specific and/or context specific factors or risks that might influence the causal pathway, such as for instance the socio-cultural-economic context, or a natural disaster;
- Specific attributes of the actors e.g. CFA and other funders.

A model of change (within the 5C study called a 'detailed causal map') is a complex system which produces intermediate and long-term outcomes by the interaction of other parts. It consists of parts or causes that often consist of one actor with its attributes that is implementing activities leading to change in other parts (Beach & Pedersen, 2013). A helpful way of constructing the model of change is to think in terms of actors carrying out activities that lead to other actors changing their behaviour. The model of change can be explained as a range of activities carried out by different *actors* (including the CFA and SPO under evaluation) that will ultimately lead to an outcome. Besides this, there are also '*structural*' elements, which are to be interpreted as external factors (such as economic conjuncture); and *attributes* of the actor (does the actor have the legitimacy to ask for change or not, what is its position in the sector) that should be looked at (Beach & Pedersen, 2013). In fact Beach and Pedersen, make a fine point about the subjectivity of the actor in a dynamic context. This means, in qualitative methodologies, capturing the changes in the actor, acted upon area or person/organisation, in a non sequential and non temporal format. Things which were done recently could have corrected behavioural outcomes of an organisation and at the same ime there could be processes which incrementally pushed for the same change over a period of time. Beach and Pedersen espouse this methodology because it captures change in a dynamic fashion as against the methodology of logical framework. For the MFS II evaluation it was important to make a distinction between those paths in the model of change that are the result of MFS II and rival pathways.
The construction of the model of change started with the identified key organisational capacity change/ outcome, followed by an inventory of all possible subcomponents that possibly have caused the change/ outcome in the MFS II period (2011-up to now, or since the baseline). The figure below presents an imaginary example of a model of change. The different colours indicate the different types of support to capacity development of the SPO by different actors, thereby indicating different

pathways of change, leading to the key changes/ outcomes in terms of capacity development (which in this case indicates the ability to adapt and self-renew).

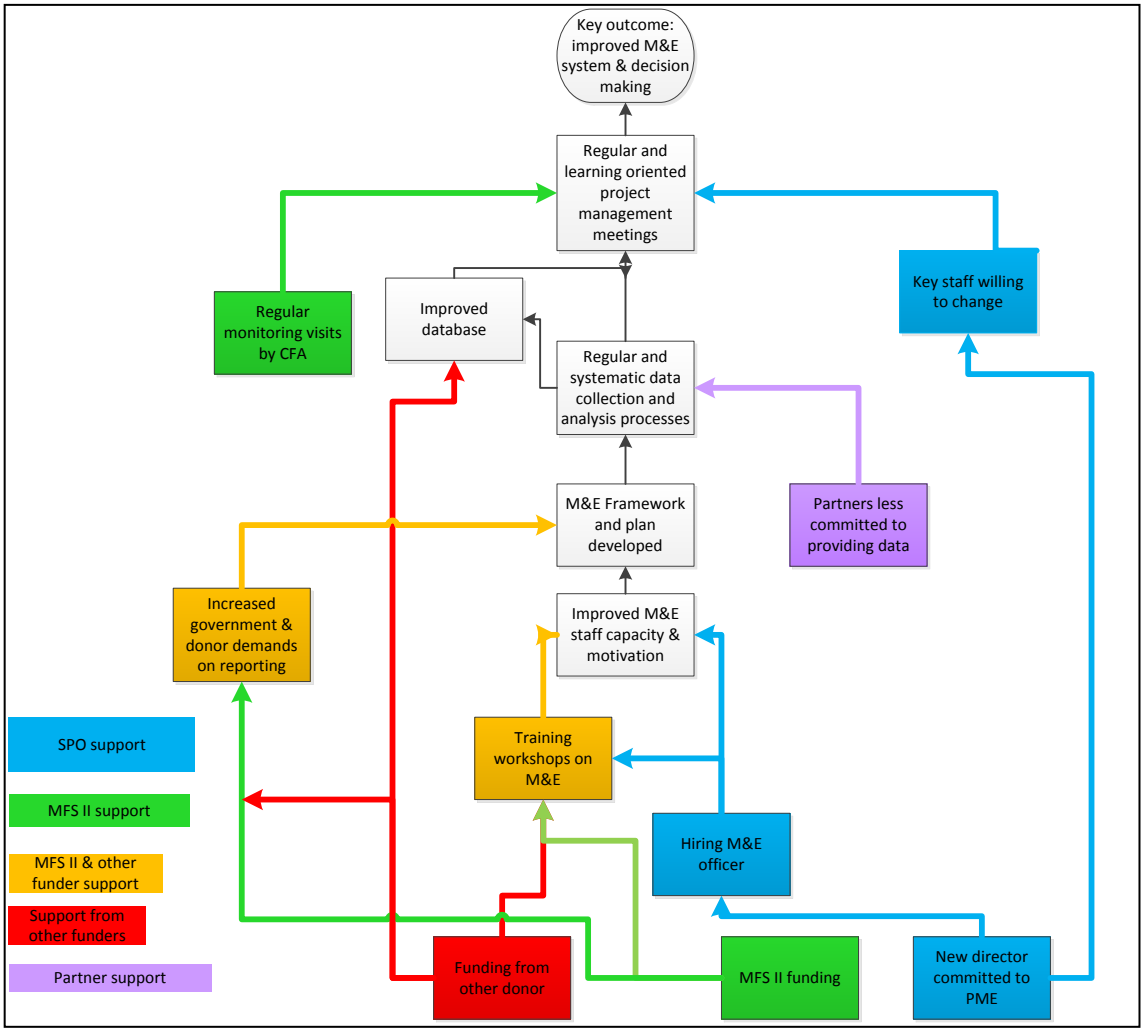


Figure 1 *An imaginary example of a model of change*

Step 5. Identify ***types of evidence*** *needed to verify or discard different causal relationships in the model of change – in-country teams with support from CDI team*

Once the causal mechanism at theoretical level were defined, empirical evidence was collected so as to verify or discard the different parts of this theoretical model of change, confirm or reject whether subcomponents have taken place, and to find evidence that confirm or reject the causal relations between the subcomponents.

A key question that we needed to ask ourselves was, *"What information do we need in order to confirm or reject that one subcomponent leads to another, that X causes Y?"*. The evaluation team needed to agree on what information was needed that provides empirical manifestations for each part of the model of change.

There are four distinguishable types of evidence that are relevant in process tracing analysis: *pattern, sequence, trace, and account*. Please see the box below for descriptions of these types of evidence.

The evaluation team needed to agree on the types of evidence that was needed to verify or discard the manifestation of a particular part of the causal mechanism. Each one or a combination of these different types of evidence could be used to confirm or reject the different parts of the model of change. This is what is meant by robustness of evidence gathering. Since causality as a concept can bend in many ways, our methodology, provides a near scientific model for accepting and rejecting a particular type of evidence, ignoring its face value.

Types of evidence to be used in process tracing

Pattern evidence relates to predictions of statistical patterns in the evidence. For example, in testing a mechanism of racial discrimination in a case dealing with employment, statistical patterns of employment would be relevant for testing this part of the mechanism.

Sequence evidence deals with the temporal and spatial chronology of events predicted by a hypothesised causal mechanism. For example, a test of the hypothesis could involve expectations of the timing of events where we might predict that if the hypothesis is valid, we should see that the event B took place after event A took place. However, if we found that event B took place before event A took place, the test would suggest that our confidence in the validity of this part of the mechanism should be reduced (disconfirmation/ falsification).

Trace evidence is evidence whose mere existence provides proof that a part of a hypothesised mechanism exists. For example, the existence of the minutes of a meeting, if authentic ones, provide strong proof that the meeting took place.

Account evidence deals with the content of empirical material, such as meeting minutes that detail what was discussed or an oral account of what took place in the meeting.

Source: Beach and Pedersen, 2013

Below you can find a table that provides guidelines on what to look for when identifying types of evidence that can confirm or reject causal relationships between different parts/ subcomponents of the model of change. It also provides one example of a part of a causal pathway and what type of information to look for.

Table 9

Format for identifying types of evidence for different causal relationships in the model of change (example included)

Part of the model of change	Key questions	Type of evidence needed	Source of information
Describe relationship between the subcomponents of the model of change	Describe questions you would like to answer a so as to find out whether the components in the relationship took place, when they took place, who was involved, and whether they are related	Describe the information that we need in order to answer these questions. Which type of evidence can we use in order to reject or confirm that subcomponent X causes subcomponent Y? Can we find this information by means of : Pattern evidence; Sequence evidence; Trace evidence; Account evidence?	Describe where you can find this information
Example: Training workshops on M&E provided by MFS II funding and other sources of funding	Example: What type of training workshops on M&E took place? Who was trained? When did the training take place? Who funded the training? Was the funding of training provided before the training took place? How much money was available for the training?	Example: Trace evidence: on types of training delivered, who was trained, when the training took place, budget for the training Sequence evidence on timing of funding and timing of training Content evidence: what the training was about	Example: Training report SPO Progress reports interviews with the CFA and SPO staff Financial reports SPO and CFA

Please note that for practical reasons, the 5C evaluation team decided that it was easier to integrate the specific questions in the narrative of the initial causal map. These questions would need to be addressed by the in country team during the process tracing workshop so as to discover, verify or discard particular causal mechanisms in the detailed, initial causal map. Different types of evidence was asked for in these questions.

Step 6. ***Collect data*** *to verify or discard causal mechanisms and develop workshop-based, detailed causal map – in-country team*

Once it was decided by the in-country and CDI evaluation teams what information was to be collected during the interaction with the SPO, data collection took place. The initial causal maps served as a basis for discussions during the endline workshop with a particular focus on process tracing for the identified organisational capacity changes. But it was considered to be very important to understand from the perspective of the SPO how they understood the identified key organisational capacity change/outcome area has come about. A new detailed, workshop-based causal map was developed that included the information provided by SPO staff as well as based on initial document review as described in the initial detailed causal map. This information was further analysed and verified with other relevant information so as to develop a final causal map, which is described in the next step.

Step 7. ***Assess the quality*** *of data and* ***analyse data****, and develop the* ***final detailed causal map*** *(model of change) – in-country team and CDI team*

Quality assurance of the data collected and the evidence it provides for rejecting or confirming parts of causal explanations are a major concern for many authors specialised in contribution analysis and process-tracing. Stern et al. (2012), Beach and Pedersen (2013), Lemire, Nielsen and Dybdal (2012), Mayne (2012) and Delahais and Toulemonde (2012) all emphasise the need to make attribution/ contribution claims that are based on pieces of evidence that are rigorous, traceable, and credible. These pieces of evidence should be as explicit as possible in proving that *subcomponent X causes subcomponent Y* and ruling out other explanations. Several tools are proposed to check the nature and the quality of data needed. One option is, Delahais and Toulemonde's Evidence Analysis Database, which we have adapted for our purpose.

Delahais and Toulemonde (2012) propose an Evidence Analysis Database that takes into consideration three criteria:

Confirming/ rejecting a causal relation (yes/no);
Type of causal mechanism: intended contribution/ other contribution/ condition leading to intended contribution/ intended condition to other contribution/ feedback loop;
Strength of evidence: strong/ rather strong/ rather weak/ weak.

We have adapted their criteria to our purpose. The in-country team, in collaboration with the CDI team, used the criteria in assessing whether causal relationships in the causal map, were strong enough. This has been more of an iterative process trying to find additional evidence for the established relationships through additional document review or contacting the CFA and SPO as well as getting their feedback on the final detailed causal map that was established. Whilst the form below has not been used exactly in the manner depicted, it has been used indirectly when trying to validate the information in the detailed causal map. After that, the final detailed causal map is established both as a visual as well as a narrative, with related references for the established causal relations.

Example format for the adapted evidence analysis database (example included) **Description of causal relation**	**Confirming/ rejecting a causal relation (yes/no)**	**Type of information providing the background to the confirmation or rejection of the causal relation**	**Strength of evidence: strong/ rather strong/ rather weak/ weak**	**Explanation for why the evidence is (rather) strong or (rather) weak, and therefore the causal relation is confirmed/ rejected**
e.g. Training staff in M&E leads to enhanced M&E knowledge, skills and practice	e.g. Confirmed	e.g. Training reports confirmed that staff are trained in M&E and that knowledge and skills increased as a result of the training		

Step 8. ***Analyse and conclude*** *on findings– in-country team and CDI team*

The final detailed causal map was described as a visual and narrative and this was then analysed in terms of the evaluation question two and evaluation question four: *"To what degree are the changes identified in partner capacity attributable to development interventions undertaken by the MFS II consortia (i.e. measuring effectiveness)?"* and *"What factors explain the findings drawn from the questions above?"* It was analysed to what extent the identified key organisational capacity change can be attributed to MFS II supported capacity development interventions as well as to other related factors, interventions and actors.

4. Explaining factors – evaluation question 4

This paragraph describes the data collection and analysis methodology for answering the fourth evaluation question: **"What factors explain the findings drawn from the questions above?"**

In order to explain the changes in organisational capacity development between baseline and endline (evaluation question 1) the CDI and in-country evaluation teams needed to review the indicators and how they have changed between baseline and endline and what reasons have been provided for this. This has been explained in the first section of this appendix. It has been difficult to find detailed explanations for changes in each of the separate 5c indicators, but the 'general causal map' has provided some ideas about some of the key underlying factors actors and interventions that influence the key organisational capacity changes, as perceived by the SPO staff.

For those SPOs that are selected for process tracing (evaluation question 2), more in-depth information was procured for the identified key organisational capacity changes and how MFS II supported capacity development interventions as well as other actors, factors and interventions have influenced these changes. This is integrated in the process of process tracing as described in the section above.

5. Methodological reflection

Below a few methodological reflections are made by the 5C evaluation team.

Use of the 5 core capabilities framework and qualitative approach: this has proven to a be very useful framework to assess organisational capacity. The five core capabilities provide a comprehensive picture of the capacity of an organisation. The capabilities are interlinked, which was also reflected in

the description of standard indicators, that have been developed for the purpose of this 5C evaluation and agreed upon for the eight countries. Using this framework with a mainly qualitative approach has provided rich information for the SPOs and CFAs, and many have indicated this was a useful learning exercise.

Using standard indicators and scores: using standard indicators is useful for comparison purposes. However, the information provided per indicator is very specific to the SPO and therefore makes comparison difficult. Whilst the description of indicators has been useful for the SPO and CFA, it is questionable to what extent indicators can be compared across SPOs since they need to be seen in context, for them to make meaning. In relation to this, one can say that scores that are provided for the indicators, are only relative and cannot show the richness of information as provided in the indicator description. Furthermore, it must be noted that organisations are continuously changing and scores are just a snapshot in time. There cannot be perfect score for this. In hindsight, having rubrics would have been more useful than scores.

General causal map: whilst this general causal map, which is based on key organisational capacity changes and related causes, as perceived by the SPO staff present at the endline workshop, has not been validated with other sources of information except SPO feedback, the 5C evaluation team considers this information important, since it provides the SPO story about how and which changes in the organisation since the baseline, are perceived as being important, and how these changes have come about. This will provide information additional to the information that has been validated when analysing and describing the indicators as well as the information provided through process tracing (selected SPOs). This has proven to be a learning experience for many SPOs.

Using process tracing for dealing with the attribution question: this theory-based and mainly qualitative approach has been chosen to deal with the attribution question, on how the organisational capacity changes in the organisations have come about and what the relationship is with MFS II supported capacity development interventions and other factors. This has proven to be a very useful process, that provided a lot of very rich information. Many SPOs and CFAs have already indicated that they appreciated the richness of information which provided a story about how identified organisational capacity changes have come about. Whilst this process was intensive for SPOs during the process tracing workshops, many appreciated this to be a learning process that provided useful information on how the organisation can further develop itself. For the evaluation team, this has also been an intensive and time-consuming process, but since it provided rich information in a learning process, the effort was worth it, if SPOs and CFAs find this process and findings useful.

A few remarks need to be made:

- Outcome explaining process tracing is used for this purpose, but has been adapted to the situation since the issues being looked at were very complex in nature.
- Difficulty of verifying each and every single change and causal relationship:
- Intensity of the process and problems with recall: often the process tracing workshop was done straight after the general endline workshop that has been done for all the SPOs.In some cases, the process tracing endline workshop has been done at a different point in time, which was better for staff involved in this process, since process tracing asks people to think back about changes and how these changes have come about. The word difficulties with recalling some of these changes and how they have come about. See also the next paragraph.
- Difficulty of assessing changes in knowledge and behaviour: training questionnaire is have been developed, based on Kirkpatrick's model and were specifically tailored to identify not only the interest but also the change in knowledge and skills, behaviour as well as organisational changes as a result of a particular training. The retention ability of individuals, irrespective of their position in the organisation, is often unstable. The 5C evaluation team experienced that it was difficult for people to recall specific trainings, and what they learned from those trainings. Often a change in knowledge, skills and behaviour is a result brought about by a combination of different factors , rather than being traceable to one particular event. The detailed causal maps that have been established, also clearly pointed this. There are many factors at play that make people change their behaviour, and this is not just dependent on training but also internal/personal (motivational) factors as well as factors within the organisation, that stimulate or hinder a person to change behaviour. Understanding how behaviour change works is important when trying to really understand the extent to which behaviour has changed as a

result of different factors, actors and interventions. Organisations change because people change and therefore understanding when and how these individuals change behaviour is crucial. Also attrition and change in key organisational positions can contribute considerably to the outcome.

Utilisation of the evaluation

The 5C evaluation team considers it important to also discuss issues around utility of this evaluation. We want to mention just a few.

Design – mainly externally driven and with a focus on accountability and standard indicators and approaches within a limited time frame, and limited budget: this MFS II evaluation is originally based on a design that has been decided by IOB (the independent evaluation office of the Dutch Ministry of Foreign Affairs) and to some extent MFS II organisations. The evaluators have had no influence on the overall design and sampling for the 5C study. In terms of learning, one may question whether the most useful cases have been selected in this sampling process. The focus was very much on a rigorous evaluation carried out by an independent evaluation team. Indicators had to be streamlined across countries. The 5C team was requested to collaborate with the other 5C country teams (Bangladesh, Congo, Pakistan, Uganda) to streamline the methodological approach across the eight sampled countries. Whilst this may have its purpose in terms of synthesising results, the 5C evaluation team has also experienced the difficulty of tailoring the approach to the specific SPOs. The overall evaluation has been mainly accountability driven and was less focused on enhancing learning for improvement. Furthermore, the timeframe has been very small to compare baseline information (2012) with endline information (2014). Changes in organisational capacity may take a long, particularly if they are related to behaviour change. Furthermore, there has been limited budget to carry out the 5C evaluation. For all the four countries (Ethiopia, India, Indonesia, Liberia) that the Centre for Development Innovation, Wageningen University and Research centre has been involved in, the budget has been overspent.

However, the 5C evaluation team has designed an endline process whereby engagement of staff, e.g. in a workshop process was considered important, not only due to the need to collect data, but also to generate learning in the organisation. Furthermore, having general causal maps and detailed causal maps generated by process tracing have provided rich information that many SPOs and CFAs have already appreciated as useful in terms of the findings as well as a learning process.

Another issue that must be mentioned is that additional requests have been added to the country teams during the process of implementation: developing a country based synthesis; questions on design, implementation, and reaching objectives of MFS II funded capacity development interventions, whilst these questions were not in line with the core evaluation questions for the 5C evaluation.

Complexity and inadequate coordination and communication: many actors, both in the Netherlands, as well as in the eight selected countries, have been involved in this evaluation and their roles and responsibilities, were often unclear. For example, 19 MFS II consortia, the internal reference group, the Ministry of Foreign Affairs, Partos, the Joint Evaluation Trust, NWO-Wotro, the evaluators (Netherlands and in-country), 2 external advisory committees, and the steering committee. Not to mention the SPO's and their related partners and consultants. CDI was involved in 4 countries with a total number of 38 SPOs and related CFAs. This complexity influenced communication and coordination, as well as the extent to which learning could take place. Furthermore, there was a distance between the evaluators and the CFAs, since the approach had to be synchronised across countries, and had to adhere to strict guidelines, which were mainly externally formulated and could not be negotiated or discussed for the purpose of tailoring and learning. Feedback on the final results and report had to be provided mainly in written form. In order to enhance utilisation, a final workshop at the SPO to discuss the findings and think through the use with more people than probably the one who reads the report, would have more impact on organisational learning and development. Furthermore, feedback with the CFAs has also not been institutionalised in the evaluation process in the form of learning events. And as mentioned above, the complexity of the evaluation with many actors involved did not enhance learning and thus utilization.

5C Endline process, and in particular thoroughness of process tracing often appreciated as learning process: The SPO perspective has also brought to light a new experience and technique of self-assessment and self-corrective measures for managers. Most SPOs whether part of process tracing or not, deeply appreciated the thoroughness of the methodology and its ability to capture details with robust connectivity. This is a matter of satisfaction and learning for both evaluators and SPOs. Having a process whereby SPO staff were very much engaged in the process of self-assessment and reflection has proven for many to be a learning experience for many, and therefore have enhanced utility of the 5C evaluation.

Appendix 2 Background information on the five core capabilities framework

The 5 capabilities (5C) framework was to be used as a framework for the evaluation of capacity development of Southern Partner Organisations (SPOs) of the MFS II consortia. The 5C framework is based on a five-year research program on 'Capacity, change and performance' that was carried out by the European Centre for Development Policy Management (ECDPM). The research included an extensive review of the literature and sixteen case studies. The 5C framework has also been applied in an IOB evaluation using 26 case studies in 14 countries, and in the baseline carried out per organisation by the MFS II organisations for the purpose of the monitoring protocol.

The 5C framework is structured to understand and analyse (changes in) the capacity of an organization to deliver (social) value to its constituents. This introduction briefly describes the 5C framework, mainly based on the most recent document on the 5C framework (Keijzer et al., 2011).

The 5C framework sees capacity as an **outcome** of an **open system**. An organisation or collaborative association (for instance a network) is seen as a system interacting with wider society. The most critical practical issue is to ensure that relevant stakeholders share a common way of thinking about capacity and its core constituents or capabilities. Decisive for an organisation's capacity is the context in which the organisation operates. This means that **understanding context issues** is crucial. The use of the 5C framework requires a multi-stakeholder approach because shared values and results orientation are important to facilitate the capacity development process. The 5C framework therefore needs to **accommodate the different visions** of stakeholders and conceive different strategies for raising capacity and improving performance in a given situation.

The 5C framework defines capacity as '**producing social value'** and identifies five core capabilities that together result in that overall capacity. Capacity, capabilities and competences are seen as follows:

Capacity is referred to as the overall ability of an organisation or system to create value for others;

Capabilities are the collective ability of a group or a system to do something either inside or outside the system. The collective ability involved may be technical, logistical, managerial or generative (i.e. the ability to earn legitimacy, to adapt, to create meaning, etc.);

Competencies are the energies, skills and abilities of individuals.

Fundamental to developing capacity are inputs such as human, material and financial resources, technology, and information. To the degree that they are developed and successfully integrated, capabilities contribute to the overall capacity or ability of an organisation or system to create value for others. A single capability is not sufficient to create capacity. All are needed and are strongly interrelated and overlapping. Thus, to achieve its development goals, the 5C framework says that every organisation or system must have **five basic capabilities:**

- The capability to act and commit;
- The capability to deliver on development objectives;
- The capability to adapt and self-renew;
- The capability to relate (to external stakeholders);
- The capability to achieve coherence.

In order to have a common framework for evaluation, the five capabilities have been reformulated in outcome domains and for each outcome domain performance indicators have been developed.

There is some overlap between the five core capabilities but together the five capabilities result in a certain level of capacity. Influencing one capability may have an effect on one or more of the other capabilities. In each situation, the level of any of the five capabilities will vary. Each capability can become stronger or weaker over time.

Appendix 3 Changes in organisational capacity of the SPO - 5C indicators

Below you will find a description for each of the indicators under each of the capabilities, what the situation is as assessed during the endline, how this has changed since the baseline workshop in August 2012 and the interview with the Director at the head office in Guwahati in June 2013 and what are the reasons for change. Unless explicitly stated that a change happened since the interview with the director in June 2013, the changes took place since the baseline workshop in August 2012.

Capability to act and commit

Level of effective leadership

1.1.Responsive leadership: 'Leadership is responsive, inspiring, and sensitive'

This is about leadership within the organisation (operational, strategic). If there is a larger body then you may also want to refer to leadership at a higher level but not located at the local organisation.

The leadership at the head office continues to be open to ideas and suggestions and has a decentralised approach with each implementing regional unit. This creates a platform for the regional units to grow, strengthen themselves and work towards being self-sustainable. The Regional unit is autonomous to the extent of raising resources and completely designing the operations of its projects but all project contracts have to be approved and signed by the RGVN Director, head office and the funds are also channelled through them. The leadership at RGVN Bhubaneswar is however, very committed, competent, experienced, responsive and proactive in taking decisions. This is evident from the initiatives taken by the leader after the micro-finance crisis in 2009 and floods in 2011 and cyclone Phailin in 2013. The leader responded by shifting the focus from micro-finance to sustainable livelihood enhancement of the target group. Further, in response to the executive board of RGVN deciding to restrict external borrowings from banks and other financial institutions, the leader along with the management decided to initiate external resource mobilization, develop linkages with government programs and schemes, linkages with market, network with NGOs and public sector units and improve capacity of the staff to provide sustainable livelihood security to the target group. Though there is hierarchy in the organization the leader at the Bhubaneswar office gives considerable autonomy to the staff to contribute in the organizational strategy, decision making, operation, capacity development etc., which further enhanced the capacity of the staff for self-sustainability.

Score baseline: 4.0

Score endline: 4.0 (no change)

1.2.Strategic guidance: 'Leaders provide appropriate strategic guidance (strategic leader and operational leader)'

This is about the extent to which the leader(s) provide strategic directions

The leadership in Bhubaneswar continues to give strategic guidance. The strategic plan of 2011-2012 on strengthening micro-finance institutions could not be implemented because of the micro-finance crisis in 2009, flood and cyclone Phailin in 2011 and 2013. The management initiated to shift from micro-finance to sustainable livelihood enhancement of the target group. This decision was taken during the baseline but the strategy was still in an inception stage. In the post baseline period the executive board of RGVN decided to restrict external borrowings from Banks and other financial institutions anticipating the inability of the partner organisation to repay their loans. Thus, the

management made a strategic change to initiate external resource mobilization and develop linkages with government programs and schemes, linkages with market, network with NGOs and public sector units and improve capacity of the staff for better sustainability of the programme. During the baseline there was a call for leadership to stay abreast with the latest developments and encourage innovative ideas in strategy making. This is now taking place as management has made the strategic change based on developments in their operating environment.

After the baseline workshop in August 2012, RGVN has set up a Project Finance Committee comprising the executive director, assistant director, and programme staff. This has contributed to improved strategic guidance. This is a body created to expedite the decision making process, monitor progress, and respond to proposals for funding. The executive board continues to review the operations of each regional office separately in its periodic meetings and extends strategic direction as and when required. Thus, though the regional units are given autonomy to implement the project, mobilise funds, write proposals, approach donors etc., this autonomy is restricted as the final approval comes from the executive director.

Score baseline: 3.5

Score endline: 4.0 (slight improvement)

1.3.Staff turnover: 'Staff turnover is relatively low'

This is about staff turnover.

Over the last two years there has been no change in this indicator. Staff turnover continues to be low at the regional unit Bhubaneswar. The organisation provides an environment in which the staff members are trusted and delegated authority and responsibilities commensurate to their abilities. There has been no new recruitment during the last two years, as the organisation has not grown. They have not been able to procure any new projects and the Hivos fund for the Sustainable Livelihood Enhancement and Enterprise Promotion (SLEEP) project till 2015 is not enough to hire new project staff. The low staff turnover has the positive effect that staff has learnt a lot through experience and is applying this in their daily work.

Score baseline: 4.0

Score endline: 4.0 (no change)

Level of realistic strategic planning

1.4.Organisational structure: 'Existence of clear organisational structure reflecting the objectives of the organisation'

Observable indicator: Staff have copy of org structure and understand this

The organisational structure at the headquarters in Guwahati and the regional office in Bhubaneswar continue to be the same, but new board members have replaced the earlier ones. RGVN has set up the Project Finance Committee which is comprised of the executive director, assistant director, and programme staff. This is a body created to expedite the decision making process, monitor progress, and respond to proposals for funding. With the change in the strategy RGVN stopped working with old NGO partners on micro-finance and aligned with eight new partners to work on enhancing sustainable livelihoods. Out of these eight, four partners are in Orissa and the other four are in Andhra Pradesh. RGVN has an established effective structure at the regional and head office which ensures a sound decision making process and a transparent financial and programme management system. In the SLEEP project they are making some changes in the decision making process, staff structure and financial and programme management system at the Partner NGO level for better realization of the overall objectives of the project. While the livelihood coordinator now heads the project and takes all the operational decisions, the chief functionary of each partner organisation would do lead head the project and make operational decisions. Furthermore, the decision making process has to be participatory with involvement of the beneficiaries, the facilitating staff members and the chief functionary of each facilitating NGOs.

RGVN continues to work in 14 states of India. The executive director heads the organisation and is based in Guwahati while the four regional offices at Guwahati, Patna, Bhubaneshwar and Raipur are headed by Regional Coordinators. The organisation has a well-developed staff structure with separate departments for accounts, personnel and operations. RGVN has a team of 313 (259 on contract basis) staff drawn from the fields of management, social sciences, social work, agriculture, veterinary science and engineers. Hivos supports RGVN for its work in Odisha State. The Odisha team that works from the Bhubaneswar office is comprised of 5 key personnel of whom 2 are women and they manage the day to day operations.

Score baseline: 4.0

Score endline: 4.0 (no change)

1.5.Articulated strategies: 'Strategies are articulated and based on good situation analysis and adequate M&E'

Observable indicator: strategies are well articulated. Situation analysis and monitoring and evaluation are used to inform strategies.

Over the period RGVN has devised certain strategies for the sustainability of the organisation moving from microfinance into sustainable livelihood enhancement. The strategies continue to be well defined and based on a proper contextual analysis and monitoring which staff now understand better. Sustainable livelihood enhancement is done by focusing on the core livelihood sub sectors like Non Timber Forest Produce (NTFP), agriculture and allied agriculture on System of Rice Intensification (SRI) technology, dairy, organic paddy cultivation, organic vegetable farming, handicraft, etc. For better achievement of the outcomes RGVN mobilized and strengthened women producers, artisans, and forest dwellers in its operational areas. The strategies that RGVN is following in the SLEEP project are:

- A three phase model of graduating women in producers groups to producer federations to producer cooperatives through using the entrepreneurship development concept.
- Use of locally adopted, resource saving, knowledge-centric, farmer-led and environment-friendly technologies.
- Coordinated action by communities and community based institutions such as the women self-help groups, cooperatives, farmer groups and local NGOs.
- Inculcating community mobilization skills among women in agriculture, NTFP and bell metal thereby demonstrating and articulating the benefits of the sustainable livelihood methods to them.
- Enhancing the skill base of the women in these livelihood activities to enable them to pursue their livelihoods on a sustainable basis.
- Partnering with local resource agencies for effective deliverance and desired output.

All these strategies are articulated in a participatory manner, making use of good situation analysis, bottom-up planning and RGVN's longstanding experience of mobilising and strengthening women produces, artisans, and forest dwellers in its operational areas.
Score baseline: 3.5

Score endline: 3.5 (no change)

Level of translation of strategy into operations

1.6.Daily operations: 'Day-to-day operations are in line with strategic plans'

This is about the extent to which day-to-day operations are aligned with strategic plans.

With the change in the strategic plan and changing environment the day-to-day operational plans have been revised. The organisation continues to maintain a bottom up approach in strategic planning. Plans are normally followed except sometimes due to unavoidable circumstances. The Project Finance Committee was established to speed up the decision making process. Fortnightly review meetings are conducted to monitor day-to-day operation and gather informal feedback for smooth execution of the plan. This has streamlined the operationalization of the strategic plan of the organization. Focused half yearly, quarterly, monthly and fortnightly monitoring and review meetings continue to be in place to discuss the progress in the programmes.

Score baseline: 4.0

Score endline: 4.25 (very slight improvement)

Level of staff capacity and motivation

1.7.Staff skills: 'Staff have necessary skills to do their work'

This is about whether staff have the skills necessary to do their work and what skills they might they need.

Over the period RGVN staff has gained skills and knowledge on certain areas that were recommended during the baseline, such as, sectorial understanding in agriculture, communication and their reports now read well. Furthermore, skills and knowledge of staff have been increased on business development, producer entrepreneurship, organic farming, market linkages, value chain and organisational development, vermin compost production, conducting training of trainers, training their partner organisations, to initiate dialogue with government line department for support and convergence. Increased skills and knowledge have been primarily due to capacity building trainings supported by Hivos and other donors like the Small Industrial Development Bank of India. The low attrition rate has also helped staff to acquire considerable field experience while working in a compact unit working on a plethora of activities. Skills on fundraising, M&E, MIS and financial management have not yet been addressed through trainings. Due to limited staff strength in the regional office of Bhubaneswar the staff has to multi-task and takes up additional responsibilities. The executive director feels that despite repeated suggestions the staff at the Bhubaneswar office has not been unable to put a proposal together for submission to a donor.

Score baseline: 3.0

Score endline: 3.25 (very slight improvement)

1.8.Training opportunities: 'Appropriate training opportunities are offered to staff'

This is about whether staff at the SPO are offered appropriate training opportunities

Over the period the staff participated in ample training programmes and exposure visits supported both by Hivos (MFS II) and others. The following training and exposure visits were offered to staff in the last years:

- Exposure visit to SAMBANDH supported by Sir Dorabji Tata Trust in 2013.
- Exposure visit to Badamba, Raipur, Parbatipuram and Agriculture university firm, Hyderabad supported by Hivos in 2013.
- Training on Portfolio Audit 2012.
- Vermicomposting pit development training by Sri Damodar Tata Trust, Mumbai in 2013.
- Training on Leadership, financial management and group dynamics in July 2013, Jamunali supported by Hivos.
- Training on Organic farming process in October 2013 at Rambhadhrapuram supported by Hivos.
- Training on enterprise promotion and business development in 2013 and August 2014 in Bhubaneswar supported by Hivos.
- Exposure visit to Construction Skills Training Institute, Kolkatta in the year 2014.
- Leadership training by Grameen India Foundation, funded by SIDBI in 2014.
- Workshop on Producer Entrepreneurship Catalyst and Incubation Facility (ProCIF) organised by Vrutti Livelihoods sponsored by Hivos 22-23 May 2014 at Bangalore to help the staff graduate poor producer organisations into self-reliant enterprises. This resulted in the staff to improve capacity in training the partners on enterprise management skill and techniques of enterprise promotion activity to supplement the objective of scale up, profitability and market linkages. They could better plan for community level enterprise promotion and prepared a road map for the registration of the cluster with suitable legal identity.

Staff now seems to have more access to trainings on new trends and strategies as the above trainings fit well with RGVN's new strategy to focus on sustainable livelihood enhancement. This has improved since the baseline.
Score baseline: 3.0

Score endline: 3.5 (slight improvement)

1.9.1.Incentives: 'Appropriate incentives are in place to sustain staff motivation'

This is about what makes people want to work here. Incentives could be financial, freedom at work, training opportunities, etc.

Freedom at work, freedom of experimentation with ideas and skill building through various trainings and exposure visits continue to motivate staff at work. Pay and benefits are almost at par in the sector. Benefits like provident fund, leave travel allowance, telephone bills reimbursements and accommodation are made available to staff. The organisation continues to support internal learning and reflection processes as part of its culture of creating informed knowledge base and sharing. The mutual learnings and cross sharing of ideas provide opportunities for staff members to be recognised and given enhanced responsibilities. However, performance linked incentives for staff have been stopped since the baseline workshop in August 2012 because of the executive board's decision to no longer borrow commercial funds and the end of MFS II funding.
Score baseline: 3.5

Score endline: 3.0 (slight deterioration)

Level of financial resource security

1.9.2.Funding sources: 'Funding from multiple sources covering different time periods'

This is about how diversified the SPOs funding sources are over time, and how the level of funding is changing over time.

During the baseline in August 2012, RGVN had 11 different funders and was receiving funding in the form of grants and loans. Now the executive board has made the decision to no longer take loans from banks, anticipating the inability of the partner organisation to repay their loans. The formation of Project Finance Committee and Company Social Responsibility (CSR) eligibility certificate from Tata Institute of Social Studies further strengthened the organisation to explore funding opportunities for financial sustainability. In 2013, RGVN received funding from the following foreign donors: Hivos, Indian Network on Ethics and Workshop on Climate Change (funded by EU), Assam Foundation of North America (United States), Concern Universal (CU), Bangladesh – project funded by EU and Oxfam India (received from UK). With the change in strategy from microfinance (after the microfinance crisis) to sustainable livelihood enhancement, RGVN has been able to continue to receive support from Hivos, and in addition has received funding for this topic from Jamsedji Tata Trust, ACC Ltd (formerly The Associated Cement Companies Limited) and Larsen & Toubro. For the SLEEP project, Hivos is the main funder, but RGVN has also contacted several government institutions and other donors like Malviya foundation, OXFAM, National livelihood mission, National Horticulture mission for possible support. There are proposals in the pipeline to get funding from: Invest India Micro Pension Services Private Limited, Vattikuti Foundation, India Foundation for Humanistic Development (IFHD), Bharat Rural Livelihoods Foundation (BRLF) and the Invest India Micro Pension (IIMP). While RGVN is approaching new donors and this looks promising, currently they are receiving funding from around 8 donors which is a smaller set of funders than during the baseline.

Score baseline: 3.0

Score endline: 2.75 (very slight deterioration)

1.9.3.Funding procedures: 'Clear procedures for exploring new funding opportunities'

This is about whether there are clear procedures for getting new funding and staff are aware of these procedures.

RGVN continues to have clear cut funding procedures. RGVN has a national level copy of procedures for exploring new funding opportunities which includes a separate section applicable to RGVN Bhubaneswar. For the sustainability of the programmes the staff has developed new proposals to approach different donors. The organisation has started having better working relations with government agencies, Public Sector Units (PSUs) and to some extent the private sector agencies for mobilizing funds. The new Company Social Responsibility Act opened an opportunity for RGVN to mobilise funds. RGVN became a member of National Company Social Responsibility (CSR) Hub Empanelment team of Tata Institute of Social Science. This is a network working to provide CPSEs (Central Public Sector Enterprises) with a list of reliable and credible organisations as partners for CSR activities.[9] This Company Social Responsibility (CSR) eligibility certificate from Tata Institute of Social Studies further strengthened the organisation to explore funding opportunities for financial sustainability.

RGVN has set up a Project Finance Committee comprising the executive director, assistant director, and programme staff. This is a body created to expedite the decision making process, monitor progress, and respond to proposals for funding. Since the baseline interview with the director in 2013, RGVN head office Guwahati has given autonomy to the regional branches to mobilise funds at its own and to choose the projects they work on. However, all the application must go through the executive director. The head office gives strategic support to the regional branches to mobilise funds. Bhubaneswar regional unit started working among rickshaw pullers on financial inclusion. The idea came from the executive director and was to create better livelihood opportunities for the rickshaw pullers and enhance the visibility of RGVN to attract new funders.

The change in strategy from microfinance to sustainable livelihood enhancement has widened their scope to approach new donors. For example, they are receiving support from ACC (formerly The Associated Cement Companies Limited) and Larsen & Toubro (L&T) to work the youth skill development and placement programme which is part of the Phailin cyclone rehabilitation programme. This programme was initiated by RGVN. RGVN identifies and motivates semi-skilled youths/workers to receive training facilitated by L&T. This resulted in better networking and visibility of the organisation to leverage more funds. There are proposals in the pipeline to get funding from: Invest India Micro Pension Services Private Limited, Vattikuti Foundation, India Foundation for Humanistic Development (IFHD), Bharat Rural Livelihoods Foundation (BRLF) and the Indian Institute of Planning and Management (IIMP).

Score baseline: 4.0

Score endline: 4.25 (very slight improvement)

Summary of capability to act and commit

The leadership at the head office continues to be open to ideas and suggestions and has a decentralised approach with each implementing regional unit. The Regional unit in Bhubaneswar is autonomous and responsible for its fundraising, but contracts have to be approved and signed by the RGVN executive director. The executive director feels that despite repeated suggestions the leader at the Bhubaneswar office has not submitted any funding proposals to the head office. The leadership at RGVN Bhubaneswar is however, very committed, competent, experienced, responsive and proactive in taking decisions. The leadership in Bhubaneswar continues to give strategic guidance. While the 2011-2012 strategic plans could not be implemented mainly due to the micro-finance crisis, and a flood and cyclone followed, the management made the strategic decision to shift from micro-finance to sustainable livelihood enhancement. Also external resource mobilisation began to play an important role as the head office decided to no longer allow external borrowings from banks. RGVN's new Project Finance Committee plays an important role in monitoring progress and responding to proposals for funding. Leadership is now staying more abreast with the latest developments and encourages

[9] The new CSR Bill which got approved by the Parliament (and effective from April 2014), with a very strong CSR Clause, mandates companies with an average profit of INR 50 million in the last three years, to proactively design and undertake welfare and other developmental activities. The corporate sector would be required to spend 2 % of their net profit for social development actions.

innovative ideas in strategy making. Staff turnover continues to be low at the regional unit Bhubaneswar and staff has become experienced in their work. There has been no new recruitment at the Bhubaneswar office during the last two years, as the organisation has not been able to procure any new projects. The Sustainable Livelihood Enhancement and Enterprise Promotion (SLEEP) project till 2015, funded by Hivos does not have enough funds to attract extra manpower. The organisational structure at the headquarters in Guwahati and the regional office in Bhubaneswar continued to be the same, but new board members have replaced the earlier ones. RGVN continues to work in 14 states of India. The executive director heads the organisation and is based in Guwahati while the four regional offices at Guwahati, Patna, Bhubaneshwar and Raipur are headed by Regional Coordinators. Hivos continues to supports RGVN for its work in Odisha, for which the team works from Bhubaneswar. RGVN's strategies continue to be well defined and based on good situation analysis and its experience in working in its operational areas. The overall strategy from RGVN has moved from microfinance to sustainable livelihood enhancement. In the related project SLEEP, RGVN articulates its strategies based on their longstanding experience of mobilising and strengthening women produces, artisans, and forest dwellers. With the change in the strategic plan and changing environment the day-to-day operational plans have been revised. Fortnightly review meetings are now conducted to monitor day-to-day operation; this has streamlined the operationalization of the strategic plan of the organization. Over the period RGVN staff has gained skills and knowledge on certain areas that were recommended during the baseline and more due to trainings supported by Hivos and other donors like the Small Industrial Development Bank of India and through staff's considerable field experience. However, due to limited staff strength in the regional office of Bhubaneswar the staff has to multi-task and takes up additional responsibilities. Over the MFS II period the staff participated in ample training programmes and exposure visits supported both by Hivos (MFS II) and others. Staff now seems to have more access to trainings on new trends and strategies as the above trainings fit well with RGVN's new strategy to focus on sustainable livelihood enhancement. Freedom at work, freedom of experimentation with ideas and skill building through various trainings and exposure visits continue to motivate staff at work. However, performance linked incentives have stopped in after the baseline in August 2012 because of the executive board's decision to no longer borrow commercial funds and the end of MFS II funding. During the baseline, RGVN had 11 different funders and was receiving funding in the form of grants and loans, while RGVN is approaching new donors related to livelihoods and with its CSR eligibility certificate, currently they are receiving funding from a smaller set of funders than during the baseline. RGVN continues to have clear cut funding procedures RGVN has a national level copy of procedures for exploring new funding opportunities which includes a separate section applicable to RGVN Bhubaneswar. RGVN head office Guwahati has given autonomy to the regional branches to mobilise funds at its own and to choose the projects they work on.

Score baseline: 3.6

Score endline: 3.7 (no change)

Capability to adapt and self-renew

Level of effective application of M&E

2.1.M&E application: 'M&E is effectively applied to assess activities, outputs and outcomes'

This is about what the monitoring and evaluation of the SPO looks at, what type of information they get at and at what level (individual, project, organisational).

The shift in the focus from microfinance to sustainable livelihood and demand from the donor for focused and structured reporting led the organisation to fine-tune and modify monitoring formats and indicators to collect focussed data from the field. RGVN continues to get both qualitative and quantitative information from its M&E system. During monthly and half yearly meetings staff continues to share their field visit experiences. A new initiative is the fortnightly meetings. The management has initiated fortnightly (informal) review meetings to review and analyse the day to day operation and the data. It is indicated in the annual plan for the SLEEP project for 2014-15 that the objectives, indicators, achievements, output and target are well defined to have better evaluation and monitoring of the programmes. Fine-tuned MIS formats and modified MIS indicators made data collection from

the field more focused. RGVN followed the reporting guidelines of Hivos which resulted not only in better reporting but also triggered RGVN to have a close look at the achievements. As per the contract a bi-lingual process manual was developed for Orissa and Andhra Pradesh to review the progress of all the clusters on a quarterly basis for better programme management. Computerized accounting by using the latest technology was initiated. This has further strengthened the M&E system, but an overall comprehensive M&E system for the organisation is missing. However, there continues to be a need for RGVN to link outputs to higher level outcomes.

Score baseline: 4.0

Score endline: 4.25 (very slight improvement)

2.2.M&E competencies: 'Individual competencies for performing M&E functions are in place'

This is about whether the SPO has a trained M&E person; whether other staff have basic understanding of M&E; and whether they know what information to collect, how to process the information, how to make use of the information so as to improve activities etc.

There has been no change in this indicator. RGVN still does not have a dedicated person that works on M&E. Staff members have a good understanding of M&E. At the Bhubaneswar office, most staff has worked there for a long time and has over the years been trained in using log frames and results based analysis. Continuous feedback from Hivos also has helped them improve their knowledge on monitoring the progress of the SLEEP programme. As a result there is focused data collection and structured reporting. However, there continues to be a need to setup a proper monitoring system by establishing a separate monitoring department and hiring a dedicated person for M&E. RGVN has indicated that they will hire an M&E expert as soon as they have the funds available for this.
Score baseline: 2.5

Score endline: 2.5

Level of strategic use of M&E

2.3.M&E for future strategies: 'M&E is effectively applied to assess the effects of delivered products and services (outcomes) for future strategies'

This is about what type of information is used by the SPO to make decisions; whether the information comes from the monitoring and evaluation; and whether M&E info influences strategic planning.

In the fortnightly meetings, day to day planned operations are monitored and reviewed, and gaps better identified. Inputs from these frequent meetings are used in the half yearly meetings in which the strategic plan of the organization is discussed. RGVN continue to receive feedback from the donor which further helps in planning. It is evident from the annual plan 2014-15 that after proper monitoring and review the organisation has proposed some changes in strategy for programme management, financial management and decision making process. However, information on the link between outputs and higher level outcomes are still missing, so these are not guiding the strategic decisions for the future.

Score baseline: 3.0

Score endline: 3.0 (no change)

Level of openness to strategic learning

2.4.Critical reflection: 'Management stimulates frequent critical reflection meetings that also deal with learning from mistakes'

This is about whether staff talk formally about what is happening in their programs; and, if so, how regular these meetings are; and whether staff are comfortable raising issues that are problematic.

There has been a slight improvement in this indicator. During the endline evaluation workshop it was shared to the evaluation team that while monthly, quarterly and annual meetings continued to take

place, now fortnightly review meetings were introduced by management. These fortnightly meetings form a new platform/initiative for the staff to reflect upon the progress of the project, discuss on the plan and other issues with the assistant director. Management has also become more responsive. This streamlined the critical reflection process and resulted in better identification of gaps and appropriate actions taken to address it. Because of a small compact unit of staff at the Bhubaneswar office the meetings are carried out in an informal way and without any prior notice.

Score baseline: 3.0

Score endline: 3.25 (very slight improvement)

2.5. Freedom for ideas: 'Staff feel free to come up with ideas for implementation of objectives

This is about whether staff feel that ideas they bring for implementation of the program are welcomed and used.

There has been no change in this indicator. The organisation continues to follow a bottom up approach and practices flexibility in strategic planning. The assistant director gives considerable autonomy to the staff to come up with ideas. There has been no new recruitment at the Bhubaneswar office and most of the staff has been in the organisation for a fairly long period. Though there is hierarchy in the organisation the staff is allowed to take their own decisions and contribute in the strategy in coherence with the overall mandate of the organisation.

Score baseline: 4.0

Score endline: 4.0 (no change)

Level of context awareness

2.6.System for tracking environment: 'The organisation has a system for being in touch with general trends and developments in its operating environment'

This is about whether the SPO knows what is happening in its environment and whether it will affect the organization.

There has been no change in this indicator. The organisation continues to follow the existing system for tracking the issues that may affect the functioning of the organisation. For instance, it continues to work with its implementing NGO partners which helps to have better understanding of the contextual issues at the field level. The head quarter at Guwahati also shares information with the regional offices during board meetings and Project Finance Committee meetings. The board members are widely experienced and guide the staff in adverse situations. Internet, newspapers, government policies, media and other stakeholders are also used as a source for information on the external environment. RGVN is still part of a large network. Since the baseline they became a member of the National Corporate Social Responsibility Hub Empanelment team (NCSRHET) of Tata Institute of Social Science. This is a network working to provide CPSEs (Central Public Sector Enterprises) with a list of reliable and credible organisations as partners for CSR activities. This ensures that the organisation keeps a track on the latest developments in its operating environment in terms of opportunities related to the CSR Bill. As RGVN has shifted its focus from microfinance to sustainable livelihoods, they now also track developments in agriculture. In light of large scale government promotional activities for organic cultivation RGVN has planned for 2014-15 to create conducive environment for the farming community to shift from non-organic cultivation process to organic based cultivation. This further ensures that it keeps a track on the latest developments. While, staff RGVN stays informed about their operating environment, there still seems to be no formal mechanism to track the environment.

Score baseline: 3.0

Score endline: 3.0 (no change)

2.7.Stakeholder responsiveness: 'The organisation is open and responsive to their stakeholders and the general public'

This is about what mechanisms the SPO has to get input from its stakeholders, and what they do with that input.

There has been no change in this indicator. The organisation continues to be open to take inputs from different stakeholders and is sensitive to their needs. For example, RGVN has developed its M&E indicators and formats in the SLEEP project in consultation with the facilitating NGO partners for effective implementation and reporting of the project activities. RGVN also continues to involve its partner organisations during the planning phase. At the regional level the draft planning is prepared and this is send to the head office for review and approval by the Governing Board. Regular visits to and communication with the partners maintain an open level of interaction. RGVN maintains transparency in operation and financial matters. There is a periodic sharing of accounts and operational information to all stakeholders and general public. Periodic review of financial and operational system is done and shared with all stakeholders.
Score baseline: 4.0

Score endline: 4.0 (no change)

Summary of capability to adapt and self-renew

The shift in the focus from microfinance to sustainable livelihood and demand from the donor for focused and structured reporting led the organisation to fine-tune and modify monitoring formats and indicators to collect focussed data from the field. Computerized accounting by using the latest technology was initiated, which further strengthened the M&E system. However, there continues to be a need for RGVN to link outputs to higher level outcomes. RGVN still does not have a dedicated person that works on M&E. At the Bhubaneswar office, most staff has worked there for a long time and has over the years been trained in using log frames and results based analysis. RGVN has indicated that they will hire an M&E expert as soon as they have the funds available for this. RGVN continues to get both qualitative and quantitative information from its M&E system; staff still shares their field visit experience in monthly and half yearly meetings and now also during fortnightly meetings. It is evident from the annual plan 2014-15 that after proper monitoring and review the organisation has proposed some changes in strategy for programme management, financial management and decision making process. Management has also become more responsive and the fortnightly review meetings have streamlined the critical reflection process and resulted in better identification of gaps and appropriate actions taken to address it. The assistant director gives considerable autonomy to the staff to come up with ideas. Though there is hierarchy in the organisation the staff is allowed to take their own decisions and contribute in the strategy in coherence with the overall mandate of the organisation. RGVN continues to work with its implementing NGO partners which helps to have a better understanding of the contextual issues at the field level. RGVN is still part of a large network. As RGVN has shifted its focus from microfinance to sustainable livelihoods, they now also track developments in agriculture. While, staff RGVN stays informed about their operating environment, there still seems to be no formal mechanism to track the environment. The organisation continues to be open to take inputs from different stakeholders, especially their partner organisations, and uses their inputs in developing its M&E indicators and formats in the SLEEP project. Periodic review of financial and operational system is done and shared with all stakeholders.

Score baseline: 3.4

Score endline: 3.4 (no change)

Capability to deliver on development objectives

Extent to which organisation delivers on planned products and services

3.1.Clear operational plans: 'Organisation has clear operational plans for carrying out projects which all staff fully understand'

This is about whether each project has an operational work plan and budget, and whether staff use it in their day-to-day operations.

There has been no change in this indicator. RGVN continues to have day-to-day operational plans and budget for each project which the staff fully understands and which are in line with the strategic plan. Since the baseline workshop in August 2012, with the shift in the strategy from microfinance to the sustainable livelihood enhancement programme there is a modification in the strategic and operational plans. Annual strategic and operational plans are prepared with clear indication of activities, output and results. Bi-monthly operational work plan also prepared which is in line with the annual plan. Attention has been given for quality enhancement and strict adherence to budget in daily operations.

Score baseline: 4.0

Score endline: 4.0 (no change)

3.2.Cost-effective resource use: 'Operations are based on cost-effective use of its resources'

This is about whether the SPO has the resources to do the work, and whether resources are used cost-effectively.

There has been no change in this indicator. The restriction of the executive board in borrowing external funds, the ending of the microfinance project and the phasing out of MFS II funding, further made RGVN cost conscious in its resource use. RGVN continues to be cost-effective in resource use by planning the day-to-day operations in line with the annual budget and giving attention to strict adherence to the budget. As RGVN's two main projects work in the same geographical areas this facilitates and saves costs when giving capacity building trainings, organising review meetings and going on monitoring visits.

Score baseline: 4.0

Score endline: 4.0 (no change)

3.3.Delivering planned outputs: 'Extent to which planned outputs are delivered'

This is about whether the SPO is able to carry out the operational plans.

With the microfinance crisis and RGVN board's decision to stop taking loans from the bank, the project of 2011-12 'Graduating NGOs in to MF Institutions in the state of Odisha' could not be delivered as planned. However, the operational plan of the new Hivos funded program 'SLEEP' has been carried out successfully so far. It is evident from the 2012-13 and 2013-14 annual reports and the donor assessment of the annual report that the outputs are being delivered as planned. For example the 2013-14 annual report indicates 100% achievement in mobilizing women farmers/Forest dwellers/DWCRA[10] artisans to form producer groups: there is an improvement from 1700 in 2012-13 to 3650 in 2013-14 against the targeted 3650. The new initiative of fortnightly review meetings along with the existing half yearly and annual review meetings further contributed in effective delivery of the planned outputs.

Score baseline: 4.0

Score endline: 4.0 (no change)

[10] The Development of women and children in Rural Areas or DWCRA is a government sponsored anti-poverty programme of the Ministry of Rural Development.

Extent to which delivered products and services are relevant for target population in terms of the effect they have

3.4.Mechanisms for beneficiary needs: 'The organisation has mechanisms in place to verify that services meet beneficiary needs'

This is about how the SPO knows that their services are meeting beneficiary needs

This indicator has not changed since the baseline. RGVN continues to verify whether services meet beneficiary needs through its monitoring system. Over the period the report format for quarterly review has been fine-tuned. RGVN staff is now included in the cluster level quarterly review meetings which were earlier done by only the NGO partners. This further facilitated to know whether services meet beneficiary needs. The workshops organised by RGVN for SHG leaders and krusak melas (farmer festivals) also facilitated informal discussion with the target groups to know the outcome of the projects. The process to know whether service meet beneficiaries needs improved as the MIS indicators and format was fine-tuned to get proper data from the field. Also fortnightly meetings streamlined the process.

Score baseline: 4.0

Score endline: 4.0 (no change)

Level of work efficiency

3.5.Monitoring efficiency: 'The organisation monitors its efficiency by linking outputs and related inputs (input-output ratio's)'

This is about how the SPO knows they are efficient or not in their work.

There is no formal mechanism to calculate input and output ratio. However, through the fortnightly, monthly and quarterly review of the projects the efficiency is measured which is linked to the deliverables. The donor feedback on the annual reports of RGVN and the assessment of planned targets and its achievements also contribute in monitoring efficiency of the organisation. There is an internal audit and the external audit by RGVN head office to ensure transparency and accountability in utilisation of funds. More detailed report writing, more interaction at field during training programs and frequent feedback from partners streamlined the monitoring efficiency system.

Score baseline: 3.0

Score endline: 3.0 (no change)

3.6.Balancing quality-efficiency: 'The organisation aims at balancing efficiency requirements with the quality of its work'

This is about how the SPO ensures quality work with the resources available

The small team of experienced staff at the Bhubaneswar office continues to ensure team work and good results. The staff could better implement the project as there is an operational plan and improved MIS format to monitor the project's quality and efficiency. The staff has been there for a long time and is well-experienced, which contributes in balancing efficiency with the quality of work. Better planning, use of technology in the accounting system, fortnightly review meetings, and the formation of the Project Finance Committee improved the quality and efficiency of work. Appropriate trainings are given to the partners and beneficiaries to deliver quality work.

Score baseline: 3.0

Score endline: 3.25 (very slight improvement)

Summary of capability to deliver on development objectives

RGVN continues to have day-to-day operational plans and budget for each projects which the staff fully understands and which are in line with the new strategic plan on sustainable livelihood enhancement programme. The restriction of the executive board in borrowing external funds, the ending of the microfinance project and the phasing out of MFS II funding, further made RGVN cost conscious in its resource use. Geographical overlap in RGVN's two main projects saves costs when visiting the target groups. With the microfinance crisis and RGVN board's decision to stop taking loans from the bank, the project of 2011-12 'Graduating NGOs in to MF Institutions in the state of Odisha' could not be delivered as planned. However, the operational plan of the new Hivos funded program ' SLEEP' has been carried out successfully so far. The new initiative of fortnightly review further contributed in effective delivery of the planned outputs. RGVN continues to verify whether services meet beneficiary needs through its monitoring system There is still no formal mechanism to calculate input and output ratio. More detailed report writing, fortnightly meetings, and more interaction at field during training programs and frequent feedback from partners streamlined the monitoring efficiency system. The small team of experienced staff at the Bhubaneswar office continues to ensure team work and good results. Better planning, use of technology in the accounting system, fortnightly review meetings, and the formation of the Project Finance Committee improved the quality and efficiency of work.

Score baseline: 3.7

Score endline: 3.7 (no change)

Capability to relate

Level of involving external parties in internal policy/strategy development

4.1.Stakeholder engagement in policies and strategies: 'The organisation maintains relations/ collaboration/alliances with its stakeholders for the benefit of the organisation'

This is about whether the SPO engages external groups in developing their policies and strategies, and how.

There has been no change in this indicator. RGVN continues to engage its stakeholders for the benefit of its operations, plans and outcomes. They are proactive in analysing trends jointly with other stakeholders. RGVN Governing board takes all policy and governance related decisions on a quarterly and annual basis. The organization has strengthened its relationship with the government which was weak during baseline. However, the relationship is only to the point of linking up government schemes and programmes to the target groups but not at the level of involving them in policy or strategy making.

Score baseline: 3.0

Score endline: 3.0 (no change)

Level of engagement of organisation in networks, alliances and collaborative efforts

4.2.Engagement in networks: 'Extent to which the organization has relationships with existing networks/alliances/partnerships'

This is about what networks/alliances/partnerships the SPO engages with and why; with they are local or international; and what they do together, and how do they do it.

In RGVN's new programmes they continue to work with NGO partners to implement its programmes. Over the period with the shift in the strategic plan the organisation has established relationships with eight new NGO partners, out of whom four are in Orissa and the other four are in Andhra Pradesh. The new Company Social Responsibility (CSR) Act facilitated the organisation to establish corporate partnership with ACC Limited (formerly The Associated Cement Companies Limited) and Larsen & Toubro (L&T) for training and employment of semi-skilled workers from the under privileged segment.

RGVN became a member of National CSR Hub Empanelment team of Tata Institute of Social Science. This is a network working to provide CPSEs (Central Public Sector Enterprises) with a list of reliable and credible organisations as partners for CSR activities. A few new networks have been established since the baseline workshop in August 2012: Invest India Micro Pension, VattiKutti Foundation, Jindal Association. In the last months RGVN established better linkages with government departments through linking and converging with government programs and schemes. Also there was trust built with the government by implementing the rehabilitation program for the Phailin and flood victims.

Score baseline: 4.0

Score endline: 4.25 (very slight improvement)

Extent to which organisation is actively engaging with target groups

4.3.Engagement with target groups: 'The organisation performs frequent visits to their target groups/ beneficiaries in their living environment'

This is about how and when the SPO meets with target groups.

There has been no change in this indicator. The organisation continues to engage actively with the target groups. The downward communication generally happens through developing and strengthening other partner organisations to reach out effectively to the primary stakeholders. RGVN organizes various periodic workshops, exposure visits, krusak melas (farmer festivals) which facilitates engagement with the target groups.
Score baseline: 3.0

Score endline: 3.0 (no change)

Level of effective relationships within the organisation

4.4.Relationships within organisation: 'Organisational structure and culture facilitates open internal contacts, communication, and decision-making'

How do staff at the SPO communicate internally? Are people free to talk to whomever they need to talk to? When and at what forum? What are the internal mechanisms for sharing information and building relationships?

The assistant director at the Bhubaneswar office being democratic in her approach gives considerable autonomy to her staff in terms taking decisions for their respective projects. The small team in Bhubaneswar has been working together for a long period. This has facilitated better communication both at the professional and personal front. In general there continues to be open communication in the organisation. RGVN teams have internal team meetings, and the senior management team meets every three months. Formal meetings are mostly through monthly meetings, quarterly review, training and workshops, strategic planning exercises, retreats etc. The evaluation team observed that the relationship between RGVN Bhubaneswar and RGVN head office Guwahati is getting unpleasant as they compete with each other for the same projects.

Score baseline: 3.5

Score endline: 3.25 (very slight deterioration)

<u>Summary of capability to relate</u>

RGVN continues to engage its stakeholders for the benefit of its operations, plans and outcomes. The organization has strengthened its relationship with the government; however, the relationship is only to link up government schemes to the target groups and not at the level of involving them in policy or strategy making. RGVN continues to work with NGO partners to implement its programmes. The new Company Social Responsibility (CSR) Act facilitated the organisation to establish corporate partnerships. A few other new networks have been established since the baseline workshop in August 2012. And RGVN established better linkages with government departments through linking their target group to government schemes and because of built up trust by implementing the rehabilitation

program for the Phailin and flood victims. The organisation continues to engage actively with the target groups.

RGVN organizes various periodic workshops, exposure visits, krusak melas (farmer festivals) which facilitates engagement with the target groups. The assistant director at the Bhubaneswar office being democratic in her approach gives considerable autonomy to her staff in terms taking decisions for their respective projects. The evaluation team observed that the relationship between RGVN Bhubaneswar and RGVN head office Guwahati is getting unpleasant as they compete with each other for the same projects.
Score baseline: 3.4

Score endline: 3.4 (no change)

Capability to achieve coherence

Existence of mechanisms for coherence

5.1.Revisiting vision, mission: 'Vision, mission and strategies regularly discussed in the organisation'

This is about whether there is a vision, mission and strategies; how often staff discuss/revise vision, mission and strategies; and who is involved in this.

The organisation continues to revisit vision and mission of the organisation every 5 years. Due to the microfinance crisis, a change in the donor's priority, the floods and Phailin cyclone, the organisation has made a strategic shift from microfinance to community based micro-enterprise development leading to sustainable livelihood enhancement. The strategic shift is in alignment with the vision (a world where the poor and underprivileged can live with dignity and prosperity) and mission (to improve the quality of life of the urban and rural poor and underprivileged through microfinance and social action) of the organization.

Score baseline: 4.0

Score endline: 4.25 (very slight improvement)

5.2.Operational guidelines: 'Operational guidelines (technical, admin, HRM) are in place and used and supported by the management'

This is about whether there are operational guidelines, which operational guidelines exist; and how they are used.

There is no change in this indicator. The organisation continues to have operational guidelines like a HR policy which is part of the Administrative Manual of which a hard copy exists. The performance appraisal system is still part of the HR policy. There are also operational manuals. Separate books of account and ledger are maintained and a separate audit reports are prepared as per the funder's requirement.

Score baseline: 3.0

Score endline: 3.0 (no change)

Level of coherence of various efforts of organisation

5.3.Alignment with vision, mission: 'Projects, strategies and associated operations are in line with the vision and mission of the organisation'

This is about whether the operations and strategies are line with the vision/mission of the SPO.

RGVN's projects, strategies and operations continue to be in line with their vision and mission. The new Sustainable Livelihood Enhancement and Enterprise Promotion project aims at empowerment of women in agriculture, NTFP and handicraft by making systematic interventions to enhance their participation and productivity. The aim is gradually graduate individuals (women) from SHGs to producer federations to producer companies through entrepreneurship development for sustainable

livelihoods. It works in the four Tribal dominated pockets of Southern Odisha, Central Odisha, where predominantly tribal, unprivileged, poor people live. This is very much in line with RGVN's vision to improve the quality of life of the rural and urban underprivileged poor through social action.

Score baseline: 4.0

Score endline: 4.0 (no change)

5.4.Mutually supportive efforts: 'The portfolio of project (activities) provides opportunities for mutually supportive efforts'

This is about whether the efforts in one project complement/support efforts in other projects.

There has been no change in this indicator. RGVN's projects continue to be mutually supportive. The Jivika rehabilitation of flood victims in Puri & Nayagarh districts of Odisha project was outlined based on the experiences gained during RGVN's survey and relief distribution programme in 2011 with support from Jamsedji Tata Trust, Mumbai (JTT). The project promotes sustainable rural livelihoods in sub sectors like goatery, bamboo work, vermicomposting, organic farming and cycle rickshaw/trolley at the house hold level. This project aims at empowering women among the marginalized poor people of this area. The SLEEP project and Jivika project both aim at promoting sustainable livelihood promotion among the women, work in the same geographical areas and focus on the same core livelihood sub sectors. This facilitates mutually supportive efforts in organizing capacity building trainings, review meetings and monitoring visits.

Score baseline: 3.0

Score endline: 3.0 (no change)

<u>Summary of capability to achieve coherence</u>

The organisation continues to revisit vision and mission of the organisation every 5 years. Due to the microfinance crisis, a change in the donor's priority, the floods and Phailin cyclone, the organisation has made a strategic shift from microfinance to community based micro-enterprise development leading to sustainable livelihood enhancement. The strategic shift is still in alignment with the unchanged vision and mission of the organization. The organisation continues to have operational guidelines like a HR policy which is part of the Administrative Manual of which a hard copy exists. RGVN's projects, strategies and operations continue to be in line with their vision and mission. The new SLEEP project's strategies are very much in line with RGVN's vision to improve the quality of life of the rural and urban underprivileged poor through social action. RGVN's projects continue to be mutually supportive. The SLEEP project and Jivika project both aim at promoting sustainable livelihood promotion among the women, work in the same geographical areas and focus on the same core livelihood sub sectors.

Score baseline: 3.5

Score endline: 3.6 (no change)

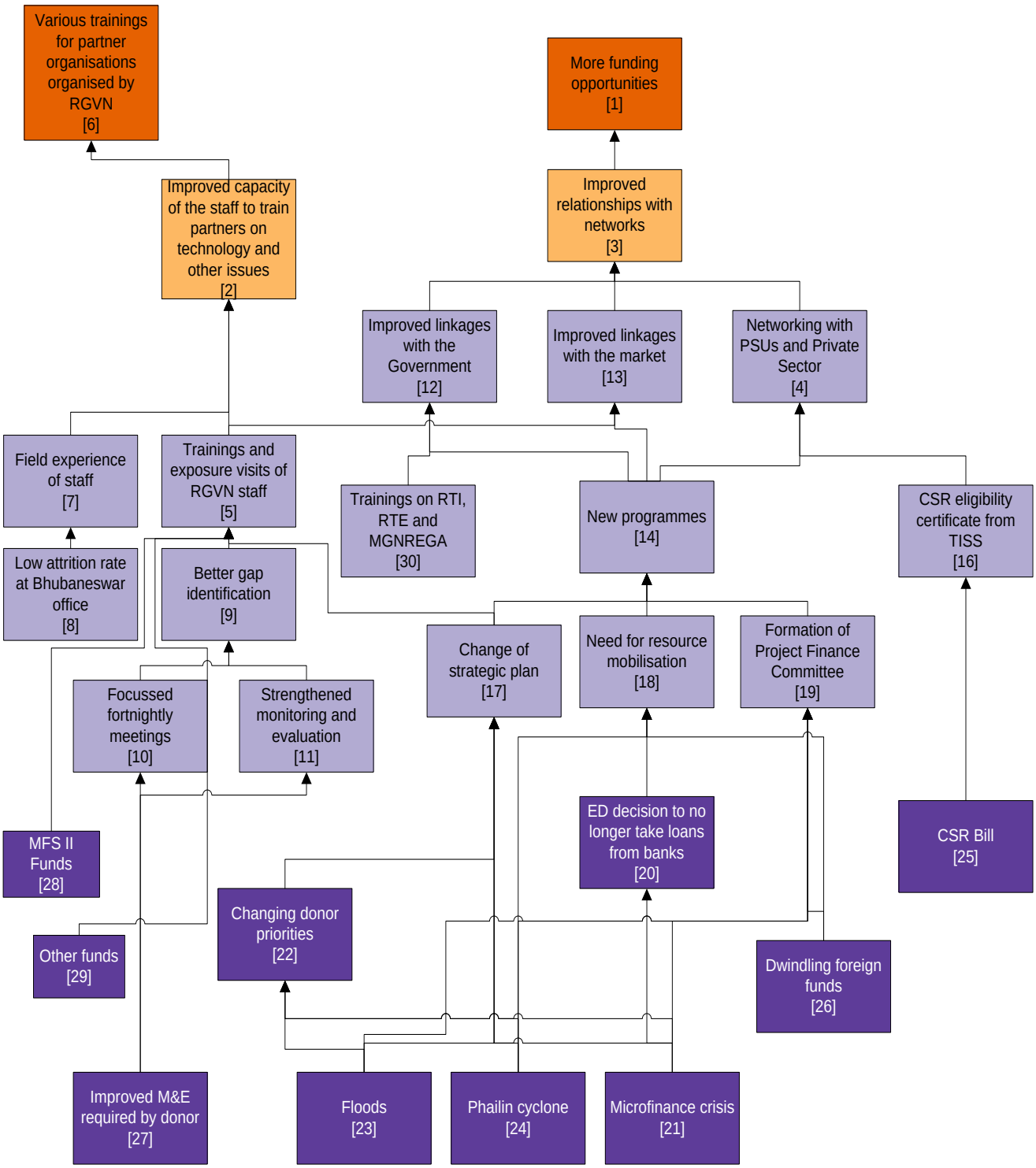
Appendix 4 Results - key changes in organisational capacity - general causal map

Below you will find a description of the general causal map that has been developed for the SPO during the endline workshop. Key changes in organisational capacity since the baseline as identified by the SPO during this endline workshop, are described as well as the expected effects and underlying causal factors, actors and events.

The evaluation team carried out an endline assessment at RGVN from 19 to 20 August 2014. During this workshop, the team made a recap of key features of the organisation since the baseline workshop in August 2012 and the interview with the Director at the head office in the North-East in June 2013 (such as vision, mission, strategies, clients, partnerships). This was the basis for discussing changes that had happened to the organisation since the baseline. The two main changes that happened in the organisation since the baseline, as identified by the staff during self -assessments, interviews and during the workshop were:

- Improved capacity of the staff to train partners on technology and other issues [2]
- Improved relationships with networks [3]

The two main organisational capacity changes are described in the light orange boxes and some of their key consequences are noted above these cards in dark orange. Unless explicitly stated that a change happened since the interview with the Director in June 2013, the changes took place since the baseline workshop in August 2012. Light purple boxes represent factors and aspects that influence the key organisational capacity changes (in light orange). Key underlying factors that have impacted the organisation are listed at the bottom in dark purple. The narrative describes per organisational capacity change, the contributing factors as described from the top down. The numbers in the visual correspond with the numbers in the narrative.


Various trainings for partner organisations organised by RGVN [6]
More funding opportunities [1]
Improved capacity of the staff to train partners on technology and other issues [2]
Improved relationships with networks [3]
Improved linkages with the Government [12]
Improved linkages with the market [13]
Networking with PSUs and Private Sector [4]
Field experience of staff [7]
Trainings and exposure visits of RGVN staff [5]
Trainings on RTI, RTE and MGNREGA [30]
New programmes [14]
CSR eligibility certificate from TISS [16]
Low attrition rate at Bhubaneswar office [8]
Better gap identification [9]
Change of strategic plan [17]
Need for resource mobilisation [18]
Formation of Project Finance Committee [19]
Focussed fortnightly meetings [10]
Strengthened monitoring and evaluation [11]
ED decision to no longer take loans from banks [20]
CSR Bill [25]
MFS II Funds [28]
Changing donor priorities [22]
Other funds [29]
Dwindling foreign funds [26]
Improved M&E required by donor [27]
Floods [23]
Phailin cyclone [24]
Microfinance crisis [21]

Improved capacity of the staff to train partners on technology and other issues [2]

After the Micro Finance crisis in 2009 the organization went through a rough patch and the 2011 flood and cyclone Phailin [Source: Flood & Phailin details] in the organisation's partner areas further worsened the condition. The partners' ability to recover loans meted out and pay back RGVN was questionable in the face of such large scale disaster. The organization was not able to recuperate fully till the baseline conducted in 2012. During this time the focus had already shifted from micro finance to sustainable livelihood enhancement of the target group. The main source of income of the target population is agriculture and allied activities. However, the strategy was still in an embryonic stage.

RGVN is committed to the sustainable livelihood enhancement of rural poor in accordance with its vision and mission. Lack of technical knowledge on agriculture, marketing, value addition, lack of irrigation facilities, and exploitation by middlemen, periodic natural disasters and lack of financial inclusion affected the target groups' livelihood security. Since the baseline, the organization has undertaken steps to improve the basic skill sets and marketing linkages of the target groups by improving the capacity of the RGVN staff in these directions. [Source: ARR+WP 12-13-14]. The improved capacity of RGVN staff to train partners on technology and other issues, which has had a trickledown effect on the capacity of RGVN's partners and the target group in coping mechanisms. As a result of RGVN's improved capacity to organize and give trainings to partners, several capacity building trainings on value addition, market linkages, organic farming, vermicomposting production were organized by RGVN staff [6] as per the contract with Hivos for the new project 'Sustainable Livelihood Enhancement and Entrepreneur Promotion' (SLEEP) [Source: Signed contract-hard copy]. This project replaced the previous one on microfinance after the microfinance crisis. These trainings include:

- *Two days training on 'Group Dynamics, Conflict Resolution, Leadership and Financial Management'* was organized by RGVN at Jamunali on 19-20 July 2013 for the SHG leaders. They were trained on allied agricultural development, group dynamics, market linkages, and basics of financial viability of an association [Source: Sample Field trg. Minutes].

- *Two days training on 'Vermicomposting production'* was organized by RGVN at Pratappur on 9-10 August 2013 funded by Hivos. The objective of the training was to develop the skill and knowledge of the farmers on Vermicomposting production, its impact on land, its marketability and household level labour saving aspect [Source: Sample Vermi Trg.Minutes].

- *One day Krusak Mela* (farmers' get-together) was organized by RGVN at Kanasa in March 2013. The objective was to orient the farmers on organic farming, market linkages, preparing indigenous cold storage and show casing best practices and practitioners [Source: Krusak Mela].

- *One day training program on "Enterprise Promotion and Business Development Plan"* was organized by RGVN on 14-15 May 2014 at Vizagapatam, AP. This enhanced the knowledge of the partners in business development, market linkages, value chain, banking practices, financial inclusion etc. Resource person Mr. I.B Raju, Assistant Professor, GIM, GITAM University, Visakhapatnam was invited to facilitate the training [Source: Sample Central Training Minutes].

Staff's capacity to train partners [2] improved because of the field experience that staff got [7] and because of RGVN staff attending various trainings and exposure visits [5]. Both are further explained below.

Field experience of staff [7]

Capacity of the staff to train partners on technology and other issues also improved because some RGVN staff has been there for a long time working in a small compact unit, doing a variety of activities they also have learnt from field experience [Source: ARR+WP 12-13-14, ARR+Work Plan 2013-14-15, 5c endline self-assessment sheet_ management _India_ RGVN]. This was because of a low attrition rate at the Bhubaneswar office [8]. This is where the team works that is supported by Hivos to work on the SLEEP project.

Trainings and exposure visits of RGVN staff [5]

Increased capacity of the RGVN staff [2] was furthermore due to various capacity building trainings and exposure visits [5] supported by Hivos and other donors. These trainings include:

- Two-day training was organized by Vrutti Livelihoods, Bangalore on 22-23 May 2014 sponsored by Hivos on producer entrepreneurship catalyst and incubation facility. The focus of the training was to help the staff to assist unviable producer organisations into self-reliant enterprises [Source: 5c endline self-assessment sheet_management_India_RGVN, Workshop on Producer

Entrepreneurship Catalyst and Incubation Facility May 2014]. Funded by MFS II [28]. The training was attended by assistant director of RGVN, Bhubaneswar Region.

- Two- day training was organised with the support of Hivos (MFS II) on 18-19 August 2014 at Bhubaneswar on enterprise promotion and business development. The programme coordinators of RGVN participated in this [Source: 5c endline self-assessment sheet_programme staff_India_RGVN]. Funded by MFS II [28]. The programme coordinators of RGVN participated in the training programme.
- Training programme on vermicomposting pit by Sir Dorabji Tata Trust (SDTT), Mumbai in 2013 [Source: 5c endline self-assessment sheet_programme staff_India_RGVN]. Funded by SDTT [29]. The training was attended by 3 project staff and programme coordinator of RGVN, Bhubaneswar.
- Leadership training was organized by Small Industrial Development Bank of India (SIDBI) in 2014 [Source: 5c endline self-assessment sheet_programme staff_India_RGVN]. Funded by SIDBI [29]. The Programme Coordinator of RGVN, Bhubaneswar attended the training.

The organization also arranged a number of exposure visits for the staff during the last two years to help them learn about vermicomposting, bio-pesticides, governance, value chain analysis and organic farming [Source: 5c endline self-assessment sheet_management_India_RGVN]:

- Exposure visit to Badamba, Raipur, Parbatipuram and Agriculture university farm, Hyderabad, supported by Hivos enabled the staff to have practical knowledge and skills which was passed on to the partner organisations later. These visits also enabled the staff to network with likeminded organisations [Source: 5c endline self-assessment sheet_management_India _RGVN]. Funded by MFS II [28].
- Visit to SAMBANDH supported by Sir Dorabji Tata Trust. Sambandh is a Microfinance institution, which also trains organisations to graduate to producer companies [Source: 5c endline self-assessment sheet_management_India_RGVN]. Funded by SDTT [29].

Staff was sent to trainings and exposure visits [5] since they realised there is a gap in terms of knowledge and skills [9] and also because of the change in the strategic plan [17], as working topics like strengthening livelihoods in the SLEEP project required further training to gain knowledge and skills on this. The identification of gaps in knowledge and skills [9] was done during fortnightly meetings [10] where a strategy for diversification of resource mobilisation was being discussed. It was also the result of having strengthened monitoring and evaluation [11] [Source: 5c endline self-assessment sheet_management_India_RGVN]. These are further explained below.

- *Focused fortnightly meetings [10]*
  The fortnightly meeting was a new initiative taken by the management in order to streamline the reporting and monitoring structure. Here day-to-day planned operations were monitored and reviewed, gaps in knowledge and skills were better identified which streamlined the strategic plan of the organization for smooth functioning of projects and planning of trainings and exposure visits[Source: ARR + Work Plan 2013-14-15, 5c endline self-assessment sheet_management_India_RGVN].
- *Strengthened monitoring and evaluation [11]*
  There was change in the strategic plan to shift to sustainable livelihood enhancement, demand from the donor to have detailed and focused data collection, commitment of the organization to fulfil the needs of the target group and increasing focus of donors on evidence based grant making and value for money analysis pushed the organisation to strengthen their monitoring and evaluation. As a result they refined the monitoring and evaluation formats and indicators. Now the data collection is both qualitative and quantitative, whereas during the baseline it was only quantitative [Source: Endline evaluation workshop, 5c endline self-assessment sheet_management_India_RGVN, 1004806_RGVN_Assessment of 2014 Annual Review Report]

Focused fortnightly meetings [10] were taken up by the management and monitoring and evaluation was strengthened [11] to streamline the monitoring and evaluation structures and processes because of the donors requirements [27].

Improved relationships with networks [3]

There have been a couple of issues that have greatly affected RGVN and the need to look for additional funding by strengthening their networks. After the microfinance crisis in 2009 [21] the organization went through a rough patch as floods in 2011 and 2014 [23] and the cyclone Phailin in 2013 [24] in the organisation's partner areas further worsened the situation [Source: Flood & Phailin details]. The partners' ability to recover loans meted out and pay back to RGVN was questionable in the face of such large scale disaster. The organization was not able to recuperate fully from the

Microfinance crisis in 2009 and the floods in 2011 till the baseline workshop conducted in August 2012. During this time the focus had already shifted from microfinance to sustainable livelihood enhancement of the target group. However, the strategy was still in an embryonic stage [Source: RGVN Baseline report]. In the post baseline period, the executive board of RGVN decided to restrict external borrowings from banks and other financial institutions anticipating the inability of the partner organisations to repay RGVN. This initiated the RGVN management to think in the direction of external resource mobilization, develop linkages with government programs and schemes, linkages with market and improve capacity of the staff to implement sustainable livelihood programmes to the target group [Source: 5c endline self-assessment sheet_management_India_RGVN, ARR+WP 12-13-14, RGVN-Annual-Report-2012-13-Final-Draft].

The precarious funding situation, compelled the management to think of converging and linking with government programmes, the market, Public Sector Units (PSUs) and the private sector to enhance the livelihood security of the target groups [3][Source: Endline evaluation workshop, 5c endline self-assessment sheet_management_India_RGVN, Flood & Phailin details]. Improved relationships with networks [3] is expected to lead to more funding opportunities for RGVN [1]. Improved relationships with networks [3] was because of improved linkages with the government [12], improved linkages with the market [13] and networking with PSUs and the private sector [4]. Each of these linkages are further explained below.

Linkages with the government [12]
During the baseline workshop (August 2012) there was a need for RGVN to develop a relationship with government institutions and maintain a strategic relationship, so that they could better translate their commitments to the target groups. The organization's initiative to rehabilitate the Flood (August 2014) and Phailin (October 2013) affected people and the capacity to implement sustainable livelihood programs, facilitated the organization to develop a trust relationship with the government in the last one and half years (2013-14). Since 2013, RGVN staff has better linkages with government line departments at local level, state level officials and other semi-governmental organisations and corporations which run delivery programmes for the poor [Source: 5c endline self-assessment sheet_management_India_RGVN, Flood & Phailin details, http://www.slideshare.net/RanjanPraharaj/phailin-response-by-uaa-in-ganjam-district-of-odisha]. This is evident from the fact that the organization could linkup government schemes and programs to the target groups (farmers in Odisha). With the support of RGVN the target groups could access the inputs provided by the government in the form of a vermicomposting pit. Nearly 25 vermicomposting pits have been constructed by the State Agriculture Department of Odisha in one of the vegetable growing clusters in the Anugul district. In another vegetable growing cluster area in Dhenkanal the farmers have been helped in getting support from the State Agriculture Department of Odisha for Shade Net Nursery. Also NTFP collectors and traders have been able to receive 5 tamarind cake making machines with support from the Tribal Development Corporation. All these have been facilitated by RGVN and its partners [Source: ARR + Work Plan 2013-14-15]. Some of the plans are in the pipeline. For example, RGVN has approached the state and national horticulture board, state agricultural technology institutes, the forest department, the state handicraft development board and the state Khadi and Village Industry board to link with them through different schemes. Banks and financial institutions (FIs) have been approached for providing working capital support for product enhancement at a low interest rate [Source: ARR + Work Plan 2013-14-15]. Given that some of the board members are heads of FIs, it should not be an uphill task, yet while RGVN Guwahati gets its share, RGVN Bhubaneswar is left out. RGVN strengthening its linkages with the government is thus; because of the new programmes [14] they have been and will be involved in with government agencies, (more on new programmes later on) and trainings [30] on Right to Information (RTI), Right to Education (RTE), Mahatma Gandhi National Rural Employment Guarantee Act (MGNREGA) [Source: Endline evaluation workshop, 5c endline self-assessment sheet_management_India_RGVN, Flood & Phailin details].

Linkages with the market [13]
Due to lack of knowledge and skills on value addition, marketing, variable market condition, exploitative middlemen, and other factors the target groups often find it difficult to get out of the poverty trap. RGVN is committed to align its work with its vision and mission to enhance the livelihood of the target groups. In order to do so they provide them with handholding support in areas like value addition and creating direct linkages with the market. To be able to provide this support RGVN has trained itself after the baseline workshop in August 2012 on these topics [5]. For example, in terms of value addition: Value addition is a process in which the farmers are given handholding support to give due care during processing, preservation and sorting and grading in NTFP and vegetable product which have a positive impact on the pricing and marketing of the products. During last two years (August 2012-2014) RGVN staff provided trainings and handholding support to the target groups on

value addition, marketing, etc. They also facilitated access to fair & remunerative markets including linking producer groups to marketing opportunities by market aggregators [Source: Endline evaluation workshop, ARR+WP 12-13-14]. An example of value addition activities was tamarind collection and marketing. With the technical support provided by RGVN now the farmers have better capacity in processing, sorting, packaging and grading for proper pricing of the product and to maintain quality aspect with the buyers [Source: ARR + Work Plan 2013-14-15, Endline Evaluation Workshop]. During the last two years (August 2012- August 2014) RGVN initiated and funded "Bazaar on Wheels", a new project to strengthen producer organizations and their access to market. The project focuses especially on access to market for the women producer groups. They are provided with capacity building trainings and provision of a van for marketing their products. This is a pilot project carried out by RGVN through Jagruti Mahila Mahasangha at Govindpur of Dhenkanal district. At present the Mahila Mahasangha (Federation) has a membership of 1200 women and diversified its production to non-farm activities. This has enabled wider markets and enhanced profits [Source: RGVN-Annual-Report-2012-13-Final-Draft, 5c endline self-assessment sheet_programme staff_India_RGVN]. Improved linkages with the market [13] for RGVN has thus been a result of the new programmes [14] they have been involved in and the trainings and exposure visits staff went to [5].

Networking with different Public Sector Units (PSUs) and private sector [4]
RGVN Bhubaneswar has started having better working relations with Public Sector Units and to some extent the private sector agencies. The microfinance crisis and the executive board's decision to restrict borrowing commercial funds created financial crunch in the organization. Also, as the implementation focus has been concentrated on production enhancement, marketing linkages, working capital linkages, value addition etc. to move the clusters into the next phase of sustainability of the activities compelled the organization to make strategic change for resource mobilization [Source: Endline evaluation workshop, ARR + Work Plan 2013-14-15, Strategy_Minutes]. Some of the new networked partners are:

- In the post Phailin (October 2013) period RGVN in association with ACC Limited (formerly The Associated Cement Companies Limited) supports and rehabilitates the Phailin and flood affected people of Odisha. Also in collaboration with Larsen & Toubro (L&T), RGVN has taken up the project in the post Phailin period to provide placement to the semi-skilled Phailin and Flood effected people [Source: Endline evaluation workshop, 5c endline self-assessment sheet_management_India_RGVN].
- Jamsedji Tata Trust: Since 2012 RGVN has developed a network with Jamsedji Tata Trust to promote sustainable livelihood of the poor flood and Phailin effected people [Source: Narrative_Annual_report_of_Project-_JIVIKA_June_1, 2012-May_31, 2013, Flood & Phailin details, Endline evaluation workshop].
- With the inception of the new project Sustainable Livelihood Enhancement and Enterprise Promotion (SLEEP) there are eight new partner NGOs with RGVN. This project runs from July 1st, 2012 till June 30th 2015. Out of these eight, four partners are in Orissa: SHAKTI, Raygada; Viswa Yuva Kendra, Baninali, Angul; Gania Sisu Raija, Gania, Nayagargh Integrated Rural Harijana Adibasi Development Centre, Dhenkanal. The other four partners are in Andhra Pradesh: Chaitanya Bharathi – Vizianagaram, SAMIDA, Yelamanchili, NATURE Araku, and CMS Hyderabad. While this project had started when the baseline workshop was conducted, it was still in its initial stage. In the post baseline workshop period (after August 2012) the project gradually strengthened and implemented [Source: Endline evaluation workshop, ARR + Work Plan 2013-14-15, 5c endline self-assessment sheet_management_India_RGVN, RGVN-Annual-Report-2012-13-Final-Draft, Strategy_Minutes].

Networking with PSUs and Private sectors [4] improved because of new programmes [14] and CSR eligible certificate from Tata Institute of Social Science (TISS) [16].

- *New programmes [4]*
  The following are some of the new programmes that were undertaken by RGVN during the last two years (August 2012- August 2014):
    - **Placement linked target program** is part of the Phailin rehabilitation program that started after October 2013, which was initiated by RGVN in association with ACC and L&T. RGVN identifies and motivates semi-skilled youths/workers to receive training facilitated by L&T. As of now 81 candidates are sponsored by RGVN. L&T has initiated the Construction Skilled Training Institutes in a joint venture with vocational training institutes across the country to train rural youth. The 8th Construction Skills Training Institute (CSTI) at Gopalpur, Cuttack in the state of Odisha was established in June 2012. The training institute is a joint initiative between the Government of Odisha and L&T. The building and land infrastructure is provided by the State and L&T is the knowledge

provider and training partner. Subsequent to the training, L&T also facilitates placement of trainees through subcontractors at project sites for the willing candidates [Source: Endline Evaluation Workshop, 5c endline self-assessment sheet_management_India_RGVN, http://www.lntecc.com/homepage/csti/jointventures.htm].

- **SLEEP** project facilitated the organization to approach new programs such as, NTFP processing, value addition & marketing, Organic vegetable farming, DWCRA[11] / bell metal work from production to marketing. This project runs from July 1st, 2012 till June 30th 2015 [Source: ARR + Work Plan 2013-14-15, Micro Plan- Ramanaguda NTFP cluster].
- **The JIVIKA programme** started in June 2012 and was outlined based on the experiences gained during the survey and relief distribution program conducted by RGVN with support from Jamsedji Tata Trust, Mumbai (JTT). The project promotes sustainable rural livelihoods in sub sectors like- Goatery, Bamboo work, vermicomposting, organic farming (vegetable & paddy farming through System of Rice Intensification SRI technology) and cycle rickshaw/trolley at the house hold level. This also includes recognizing and strengthening potential SHGs who would be the vectors for such activities as beneficiaries, verification, and final distribution on the need based report. While this programme started before the baseline workshop in August 2012, it was implemented and strengthened after the baseline workshop [Source: Narrative_Annual_report_of_Project-_JIVIKA_June_1, 2012-May_31, 2013, Flood & Phailin details].
- **Working capital support to rickshaw pullers**: Graduating rickshaw pullers to become owner of the rickshaws they use to make a living. RGVN had identified 35 flood victims to become involved in this project. However, with the approved budget for the activity (capital cost) they could manage to extend the number up to 40 cycle rickshaw/trolley to 40 beneficiaries and 5 bi-cycles to 5 women beneficiaries to expedite their mobility in the business of stone carving items, toy business & fast food business. The synthesis of the total attempt was to create adequate livelihood opportunity at the house hold level and ensure food security. The model has been so effective that it has been adopted by Syndicate Bank and Allahabad Bank, two of the leading banking partners with credible presence in the project area. This is evidence of spill over effect of piloting and demonstrating in order to network with PSUs [Source: Endline Evaluation Workshop, RGVN-Annual-Report-2012-13-Final-Draft, Narrative_Annual_report_of_Project-JIVIKA_June_1, 2012-May_31, 2013, Workshop on Rickshaw puller interface, Flood & Phailin details].
  There are some proposals which are in the pipeline with VattiKutti Foundation, India Foundation for Humanistic Development (IFHD) Vishakhapatnam Steel Plant, Bharat Rural Livelihoods Foundation (BRLF) and Invest India Micro Pension Services Private Limited (IIMP) [Source: 5c endline self-assessment sheet_management_India_RGVN, 5c endline self-assessment sheet_programme staff_India_RGVN].

RGVN initiated new programmes [14] due to a change in their strategic plan [17], a need for resource mobilization [18] and the formation of a Project Finance Committee (PFC)[19] [Source: Endline evaluation workshop, 5c endline self-assessment sheet_management_India_RGVN, Endline Evaluation Workshop]. These are further explained below.

- <u>Change of strategic plan [17]</u>
  There was change of strategic plan to shift from microfinance to Sustainable Livelihood Enhancement and Enterprise Promotion due to the microfinance crisis [21] and consequently the failure of the microfinance project's implementation. The Microfinance crisis, the floods and the Phailin cyclone also caused donors to focus more on sustainable livelihoods [22] and mid-course corrective actions in order to keep the target group support afloat. Apart from changing their funding priorities, donors have also been revising their grant making policies [22]. More and more donors are funding agriculture based programs with a focus on improved livelihoods for the poor. Furthermore, The RGVN board too became cautious about recovery of loans and restricted the RGVN Bhubaneswar office from commercial borrowing [20]. The floods in 2011 and 2014 [23]and the cyclone Phailin in 2013 [24] worsened the situation in the organisation's

[11] The Development of women and children in Rural Areas or DWCRA is a government sponsored anti-poverty programme of the Ministry of Rural Development.

partner areas even further, which also triggered the involvement of RGVN in programmes that were more focused on sustainable livelihood enhancement [Source: Flood & Phailin details]. All these factors compelled the organization to change its strategy to sustainable livelihood enhancement by focusing on the core livelihood sub sectors like NTFP, agriculture and allied agriculture through the System of Rice Intensification (SRI) model, dairy, organic paddy cultivation, organic vegetable farming, handicraft, etc. [Source: Startegy_Minutes, Organic Agriculture, 5c endline self-assessment sheet_management_India_RGVN, 5c endline self-assessment sheet_programme staff_India_RGVN].

- Need for resource mobilization [18]
  With the microfinance crisis the organization was already undergoing a rough patch which further worsened during 2011-12 period. The board's decision to restrict external commercial borrowing of funds [20], the effect of Phailin [24] and dwindling foreign funding [26] worsened the financial situation of RGVN. All these factors compelled the organization to think of diversifying their strategy for resource mobilization [Source: Endline Evaluation Workshop, 5c endline self-assessment sheet_management_India_RGVN].
- Formation of Project Finance Committee (PFC) [19]
  RGVN used to work with the LAC (Local Area Committee), which has now been disbanded. To recover from the rough patch it was undergoing (including the floods [23], cyclone [24], microfinance crisis [21] and dwindling foreign funds [26]), internally RGVN has set up a Project Finance Committee comprising the Executive Director, Assistant Director, and programme staff. This is a body created to expedite the decision making process, monitor progress, and respond to proposals for funding [Source: RGVN-Annual-Report-2012-13-Final-Draft, PFC Minute, 5c endline self-assessment sheet_management_India_RGVN].

- CSR[12] eligibility certificate from TISS [16]
  RGVN became a team member of the National CSR Hub Empanelment team of TISS. This certification made them eligible for receiving CSR funds for developmental activities. The empanelment process aims to provide CPSEs (Central Public Sector Enterprises) with a list of reliable and credible organisations as partners for CSR activities. The empanelment process is designed to serve the requirements of CPSEs. The National Corporate Social Responsibility (NCSR) Hub shall empanel those organisations that are people-centric, have experience and expertise in a specific field and have a planned approach to developmental activities with a specific focus on the welfare and rights of the vulnerable groups in society. This means all the Public Sector Companies of India may consider RGVN for implementation of big CSR projects [Source: Endline Evaluation Workshop, 5c endline self-assessment sheet_programme staff_India_RGVN, FINAL_EMPANELMENT TISS]. RGVN getting this certification [16] was triggered by the new CSR Bill [25], which got approved by the Parliament and is effective from April 2014. It has a very strong CSR Clause, which mandates companies with an average profit of INR 50 million in the last three years, to proactively design and undertake welfare and other developmental activities. This is seen as a great opportunity for RGVN as the corporate sector would be required to spend 2 % of their net profit for social development actions.

[12] The new Companies Act 2014, with a very strong CSR Clause, mandates companies with an average profit of INR 50 million in last three years, to proactively design and undertake welfare and other developmental activities.

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Evaluation Samarthak Samiti

Country	India
Consortium	Hivos Alliantie (People Unlimited 4.1)
Responsible Dutch NGO	Hivos
Project (if applicable)	Samarthak Samiti: Mobilisation of Community to Strengthen MFP based Livelihoods of Tribal Women in South Rajasthan
Southern partner organisation	SAMARTHAK SAMITI

The project/partner is part of the sample for the following evaluation component(s):

	X
Achievement of MDGs and themes	X
Capacity development of Southern partner organisations	X
Efforts to strengthen civil society	

Abstract

This report contains the evaluation of Samarthak Samitit's project ": Mobilisation of Community to Strengthen MFP based Livelihoods of Tribal Women in South Rajasthan". It provides information on the measured impact of the project as well as details on its "efficiency". The findings are based on data collected in 2012 and in 2014. The main finding is that the project has some impact but this impact decreased over time. The project seems to be cost effective..

Introduction

This report examines the impact and the cost-effectiveness of a program that tries to empower the communities depending on minor forest produce (MFP) based products by focusing on capacity building and better service delivery through effective marketing of the forest produce collected by the communities. The project is conducted by Samarthak Samiti, a southern partner organization (SPO) of HIVOS. This program evaluation examines whether the project accomplished the main aims in terms of outputs and outcomes. The evaluation also contains a cost-effectiveness analysis.

The impact evaluation mainly focuses on the impact of the program on the livelihood of the minor forest producers (MFPs). The evaluation suggests that self-help groups (SHGs) have a positive influence on the livelihood of the MFPs. However, this effect seems too dissipate over the evaluation period. The impact of the program on the village level has been positive but decreases during the evaluation period till a level where no improvement can be seen anymore. Measuring the cost-effectiveness of the program is not obvious. However, taking into accounts the outputs delivered, costs seem reasonable.

The remainder of this report is as follows: the next section will give some background about Samarthak Samiti, MFP collectors and the local context. Section three gives details about the project, its budget, duration, objectives, outcomes as well as the theory of change. Section four gives a description of the sampling process together with some descriptive statistics. Section five describes the methodology together with its motivation and the outcome of the impact evaluation plus a cost-effectiveness analysis. A discussion is provided in section six. Section seven concludes.

Context

In Rajasthan (India) both forest areas and tribal population are concentrated in the southern and south-eastern parts of the state. The tribal communities constitute 12.56 per cent of the state population. These communities depend on minor forest produce. Studies have shown that 63-65 per cent of the total income of the tribal households comes from the forest.

The tribal live in extreme poverty with limited access to land, poor quality of cultivable land, and poor access to health service provisions, resulting in high incidence of communicable and non-communicable diseases. The reasons for persistent poverty are: too many intermediaries, lack of access to markets, value addition due to lack of processing facilities ,marketing, lack of information about grading, sorting, drying, lack of credit for taking up entrepreneurial activities, absence of collective arrangement for procurement. Furthermore, unscientific and unsustainable extractions of resources cause long term damage to the eco-system.

The fifth Schedule of the Constitution of India envisages notification of tribal-dominated areas as Scheduled Areas and the formation of a Tribal Advisory Council (TAC) at the State level. It provides for making regulations by the State Government for the Scheduled Areas having the force of law. It also allows the Union Government to give directions to a State regarding the administration of Scheduled Areas. These Schedules have had little impact on the ground.

In 1992, the 73rd amendment Act to the Constitution mandated that resources, responsibility and decision making be passed on from central government to the lowest unit of the governance, the Gram Sabha or the Village Assembly. Since the laws do not automatically cover the scheduled areas,

the Panchayat Extension to Scheduled Areas (PESA) Act was enacted on 24 December 1996 to enable Tribal Self Rule in these areas. The rationale behind the Act is to preserve the tribal population from exploitation with an active involvement of the Gram Sabha. It authorized the Gram Sabha and Panchayats, specifically on matters of enforcing prohibition of sale and consumption of intoxicant; ownership of minor forest produce; power to prevent alienation of land and restoration of unlawfully alienated land, management of village markets, control over money lending, etc. A limitation of the PESA law is that it is applicable only to those areas which are legally regarded as Scheduled Areas. A significant number of tribal living outside the scheduled areas are not covered by this legislation.

Moreover, Gram Sabhas need to implement PESA effectively, by giving control to the tribal to take care of their affairs almost autonomously. However, in reality other state legislatures and extraneous forces, such as forest department, subordinate them defeating the very purpose of PESA. The State governments have discovered a clever way to bypass PESA provisions to exploit the natural resources of the tribal areas: The parliament passed the PESA Act for rural areas, but a similar legislation for urban scheduled areas was never mooted. State governments are taking advantage of Parliament's lapse to give speedy clearances to mining and industries in tribal areas. Their modus operandi is simple: they upgrade rural panchayats in scheduled areas to urban panchayats to bypass PESA.

The MFPs collected by the tribal include many different stakeholders: tribal communities, the Rajasthan Tribal Area Development Co-operative Federation Ltd. (Rajas Sangh), the intermediary organizations created to facilitate the Rajas Sanghs-- Large Area Multipurpose Societies (LAMPS), the State Forest Department, the traders, the cooperatives comprising SHGs and other NGOs.

There are two different ministries in the Union Government, namely, the Ministry of Panchayati Raj and the Ministry of Tribal Affairs that have overlapping influence on implementation of PESA – and they virtually function in isolation. In the Tribal sub plan area, the Rajas Sangh was formed in 1976 and was given the monopoly rights for the collection and trading of the MFPs. The aim was to reduce the exploitation of the MFP collectors at the hands of the private traders through a price fixing mechanism. There is a significant price differential between the price of MFPs fixed by the Rajas Sangh and that from the open market i.e. traders. The Rajas Sangh has authorized agents called LAMPS. However the collection centres are not available in remote villages where the chances of getting MFPs are very high as they are closer to the forest. The traders here take the advantage; they can also react to the price fluctuations in the market to attract the MFPs collectors which cannot be done by the LAMPS. It was also reported by the MFP collector during our field visit that the LAMPS do not collect MFPs and collude with traders or not account the produce and sell it directly in the open market. It is usually found that the market rate is higher than the Rajas Sangh rate. Though Rajas Sangh provides incentives to LAMPS for collecting the MFPs (8 percent commission is given) but the profit margin are still higher claimed by the Samarthak Samiti to be higher in selling the produce in the open market. Samarthak Samiti, a registered federation of six cooperative society's claims to positively influence the price of Minor Forest Produce. It collects the MFPs from the groups (SHGs) and put pressure on the traders to increase the prices by offering higher price to the group collectors.

The current issues that the Minor Forest Producers are facing are the following:

High exploitation and poor regeneration-Due to unrestricted collection, overuse of Products, unscientific collection, and also rapid deforestation for non-forest use, the natural availability of MFP producing trees are less in number, and their regeneration in many forest areas has gone down.

Inadequate MFP baseline data and mapping, unclear demand supply scenario-For national level planning and management a reliable data base on MFP is required to determine the quantity available, collected, self- consumed, value added and traded, mature trees available and their production potential, per hector number of trees, etc. Since MFP collections are seasonal and may vary from year to year it is difficult to provide demand and supply data until a dedicated system prevails.

Poor attention to MFP conservation- In situ and ex situ conservation, identification of genotype and gene bank, application of biotechnology and genetic engineering need attention.

Absence of sustainable harvesting protocols- Sustainable harvesting protocols has not been developed for most MFPs and whatever protocols are available remain unpracticed in many cases.

Unorganized sector- Traditionally the entire MFP sector, particularly its collection, trade and local value addition are managed in an unsystematic and unorganized manner. Gram sabhas and Panchayats are still not in a position to handle the overall management of MFP.

Inadequate infrastructure, and post-harvesting facilities/skills- In most places in India neither the Forest Department, nor the procurement agencies, the Gram sabha/Panchayat and the institutions of primary collectors have proper storage facilities. Most MFPs are seasonal products. Moreover products that are perishable require immediate disposal in absence of appropriate storage facility. This means that the primary collector is compelled to sell at a low price.

Volatile market- MFP market is highly diverse, and fluctuates quite frequently. This discourages private entrepreneurship in the sector so far commercial farming is concerned. Primary collectors and producers get the least share from their hard earned product, so there is a need of Minimum Support Price (MSP) from the government side.

Adapting to Climate change- Change in temperature and rainfall pattern affects the MFP production- both qualitatively and quantitatively (for example, lac). This will affect the dependent economy of the local people.

Incompatible tax structure - The present tax structure for many MFP (tendu patta, lac, gum, mahua, medicinal plants, sal seeds, etc,) is not structured and each state follows separate tax structures.

Inadequate capacity and knowledge in MFP management-

Conventional forest management systems are unable to meet the requirement of complex challenges of the present era like biodiversity conservation and climate adaptation.

Poor progress in research & development*:* Some commercially important MFPs like mahua and tendu leaf have only one market use, which is why they are very much vulnerable to fluctuations in demand. There are many high volume MFPs that either remain unsold or sold at a meager price due to absence of wider marketable options.

***Absence of complimentary mechanism for MFP crop failures*:** Periodic crop failure is a natural phenomenon for many MFPs, but climate change has increased the frequency. MFP crop failure or bad crop severely affects primitive tribal groups and hunter gatherers, but there is no policy or mechanism to provide some support in such cases to the critically dependents.

Underperformance of public sector procurement & trade agencies: TRIFED and state-level procurement & trade agencies have often underperformed in meeting their objectives partly because their structure is not much professionally and/or commercially viable, partly because they suffer from policy level setbacks, and partly because they have to face unwanted and informal political and other interventions.

Primary collectors losing interest in MFP collection: Uncertain market and reduced production followed by availability of more secured options like MGNREGS has reduced the interest of primary collectors (particularly males) in MFP collection in many areas.

Better opportunities in marketing through Minimum Support Price (MSP) ; mechanism for market intelligence and information system; efficient Certification system for improved trade; revolving fund for primary collectors and their institutions; value chain development by aggregation; primary processing, grading, branding and certification; eco- services of MFP such as Herbal ecotourism and local enterprise development; and encouraging corporate sector involvement- contract farming, infrastructure development, resource augmentation. Total budgeted amount: Rs.3000 crores.

Project Description

The Minor Forest Produce (MFP) collected by the tribal people includes many different stakeholders which are involved in the marketing of the MFP in some way or the other. These stakeholders are – tribal community themselves, the Rajasthan Tribal Area Development Co-operative Federation Ltd. (Rajas Sangh), the Rajas Sangh agents i.e Large Area Multipurpose Societies (LAMPS), the State Forest Department, the traders, the cooperatives (including Self Help Group i.e. SHGs) and other NGOs.

In the Tribal sub plan (refer to 'type of area') area, the Rajas Sangh was formed in 1976 and was given the monopoly rights for the collection and trade of the non- nationalized MFP. The aim was to reduce the exploitation of the MFP collectors at the hands of the private traders through a price fixing mechanism. There is a significant price differential between the price of MFP fixed by the Rajas Sangh and that from the open market i.e. traders. The Rajas Sangh has authorized agents called LAMPS. However the collection centres are not available in remote villages where the chances of getting MFP are very high as they are closer to the forest. The traders here take the advantage; they can also react to the price fluctuations in the market to attract the MFP collectors which cannot be done by the LAMPS. It was also reported by the MFP collector during our field visit that the LAMPS do not collect MFP and collude with traders or not account the produce and sell it directly in the open market. It is usually found that market rate is higher than the Rajas Sangh rate. Though Rajas Sangh provides incentives to LAMPS for collecting the MFP (8 percent commission is given) but the profit margin are still higher claimed by the Samarthak Samiti to be higher in selling the produce in the open market. Samarthak Samiti, a registered federation of six cooperative society's claims to positively influence the price of Minor Forest Produce. It collects the MFP from the groups (SHGs) and put pressure on the traders to increase the prices by offering higher price to the group collectors.

The purpose of this project is to enhance access and control over livelihood resources of forest dependent communities in 5 districts and 10 blocks of Southern Rajasthan by 2013. The activities would primarily seek to strengthen the existing cooperatives at the state level, build their capacities for collecting, processing and marketing of 5 forest products. And lobby their interest with the government. The basic idea is to break the monopoly of forest contractors. This will improve the prices of the forest produce, and thus their income increase. The project started in 01-04-2009, as a follow-up of a project that was financed under MFS I that started in 20-11-2006. The project originally ran till 31-03-2013 however, a budget-neutral extension was agreed, making the project run one year longer, till 31-3-2014. The total budget of the project was 441,108 Euro, from which HIVOS finances 150,850 Euro where 87,929 Euro falls under MFS I (2009 and 2010) and 62,921 Euro falls under MFS II (2011 and 2012).

In order to achieve the above mentioned goal the project 6 staff members[1], of which two are women, are financed and a financial management training from HIVOS is organized. Moreover, Minor Forest Producer Groups were formed and activities organized, which include: training, exposure visits, production of IEC materials, linkages with traders and forest department, propagation of saplings, providing business development services, networking and organizing pressure groups. A stylized result chain, which shows the manner in which Samarthak Samiti expected to accomplish its objectives, is provided below.

Stylized results chain:

Input:

Financial and technical support of HIVOS

Activities:

Minor Forest Producer Groups are formed and activities organized, which include: training, exposure visits, production of IEC materials, linkages with traders and forest department, propagation of saplings, providing business development services, networking and organizing pressure groups

Outputs:

- 70 Minor Forest Producer Groups (20 new) with 1600 members will have been established and federated at the state level by 2013

- establishing and strengthening 9 cooperatives (1 new).

- A centralized processing centre would have been set up catering to the 9 cooperatives (and can support the members of the groups).

- A minor forest produce development fund (MDF) (which has already been created) to support small financial needs of the groups to carry out the activity of the MFPs collection and marketing

Outcomes:

[1] The "Call" document suggests that there are 8 full time staff members.

- Outcome 1: Enhanced control over livelihoods of Forest Dependent Communities in 10 blocks in 5 districts of Southern Rajasthan by 2013.

- Outcome 2: Community organized for gaining rights and control over MFP.

- Outcome 3: Biodiversity maintained and sustained (Note this has not been evaluated by us since there was no baseline (some self-evaluation questions are asked)).

- Outcome 4: Knowledge and skill of forest dependent community & organisations built for community controlled processing and marketing.

- Outcome 5: Favorable policy environment created in support of Forest Dependent Communities.

Indicators:

This evaluation will mainly focus on Outcome 1. The major outcome indicators for this outcome are:

Major outcome indicators:

Food security: until what month is food available

Monthly per capita income

Yield/hectare of selected crops

Specific indicators:

Prices of honey, ratanjot, punwar, sitaphal, mahua, and tendupatta.

Quantities of honey, ratanjot, punwar, sitaphal, mahua, and tendupatta.

Some indicators on the demand side (traders) are obtained but the sample size is below 20.

Data and Sampling

The data that is used for this evaluation is collected from annual review reports and several types of surveys. We have conducted surveys in the Tribal Sub Plan (TSP) areas where all households have access and rights for collecting the Minor Forest Produce from the forest. Within this area we have conducted surveys on 3 stakeholders: Self Help Group members, Traders, and Village heads or Village representatives.

We have identified the Kotra block from where we have taken our sample. The block was chosen based on its forest cover. It contributes to the community livelihoods to a considerable extent. The block was also selected since it has the maximum variety of Minor Forest Produce. We had identified the most common Minor Forest Produce i.e. Honey, Ratanjot, Punwar, Sitaphal, Mahua, Tendupatta & others. We sampled from villages that are close to the main road. Within these villages the selection was random.

We have identified tree types of groups to identify the impact of the SHGs. First we selected a group that contains members of the Samarthak Samiti (SS) SHGs (T1: proposed sample 150, actual sample 145). The second group is our first control group and exists of households who are not members of

Samarthak Samiti but live in the same village as where Samarthak Samiti operates (C1: proposed sample 150, actual sample 157). This control group helps us in identifying possible spillover effects of the program. The third group also contains households who are not members of Samarthak Samiti, but these households live in villages where Samarthak Samiti does not operate (C2: proposed sample 125, actual sample 250). This group allows us to identify the effect of all operations of Samarthak Samiti.

We assumed that all members of a SHG would be active in collecting MFP. However, it turned out that some members of SHGs did not collect MFP when the agricultural produce was good. It also happened that the MFP collected is small, e.g. because of lack of rain, or due to personal consumption. In these cases no prices were reported. Sometimes MFP happened to be reported as home-grown, and thus not as MFP.

Secondly traders of Minor Forest Produce are surveyed. The objective of the trader's survey was to see whether there is MFP price variation across the value chain of the traders and why. It may also give extra information about whether Samarthak Samiti has been able to influence the MFP prices. This is because Samarthak Samiti formed the SHGs groups and these SHG groups collects the produce from the collectors and aim at giving better price returns as compared to the prevailing Rajas Sangh rate.

Finally, a survey is held among village heads. The MFP commercialization provides an effective answer to the problem of improving local livelihoods. At the same time, achieving species and ecosystem conservation is also important. The growing body of scientific research suggests that MFPs can help communities meet their needs without jeopardizing forest ecosystems. To capture the impact of MFP collection on the economic, social and ecological value, we have conducted the village head survey regarding the Natural Resource Management.

Two rounds of surveying have taken place. The first round of the survey took place in the end of 2012. The follow up was done in the second half of 2014. It should be noticed that the baseline survey is not a real baseline for the survey did not take place before the interventions started. The fact that a pre-intervention survey is lacking complicates the impact analysis considerably, as will be further explained below. We were able to survey the same people in the baseline and the follow up survey. Thus, our analysis does not suffer from attrition problems. Yet, it appeared that many members of SHGs organized by Samarthak Samiti left these SHGs. As will be explained below, we were able to use this information to improve the impact analysis.

Some descriptive statistics on key variables are given in Table 1. Table A1 in the appendix gives an overview of control variables that are used.

Table 1: Descriptive statistics of outcomes

Treatment	Total Consumption	Yield per hectare	Profit from Agriculture
Mean	2583.286	244.7867	7278.735
SD	1714.052	181.0473	6582.662
min	374.6667	35.71429	0
max	10849.67	1500	36000
N	215	211	215
Spilover	**Total Consumption**	**Yield per hectare**	**Profit from Agriculture**
Mean	2224.357	236.2295	6381.864
SD	1617.135	178.5037	6928.302
min	423.3333	0.026661	0
max	11567.33	1150	64000
N	389	364	389
Control	**Total Consumption**	**Yield per hectare**	**Profit from Agriculture**
Mean	2227.272	219.7191	4740.814
SD	1240.762	117.5332	4485.411
min	0	1.428571	0
max	9822.667	800	48400
N	499	467	499
Total	**Total Consumption**	**Yield per hectare**	**Profit from Agriculture**
Mean	2295.639	230.5627	5814.269
SD	1485.611	154.9582	5954.92
min	0	0.026661	0
max	11567.33	1500	64000
N	1103	1042	1103

Analysis and Results

This section analyzes the impact of the program of Smarthak Samiti. Firstly some outcomes that can be observed directly are compared with the planned outcomes. Secondly, the methodology that is applied in order to evaluate the impact is discussed, together with the tradeoffs and reasons why this particular setup has been chosen. Subsequently the results of this examination are analyzed. Finally this section discusses the "cost-effectiveness" of the project.

Outputs and Outcomes

The program has many outcomes and outcome indicators, and most of the goals for these indicators are met. Therefore this section only focusses on the outcomes that directly involve the beneficiaries and/or their livelihood, which are listed in Table 2. A complete overview of all the indicators is given in Table A2 in the appendix. From Table 2 it is clear that the number of members is higher than the set goal. However, there is a decrease in the number of members over time. This is not necessarily critical as members may leave the program if all aims have been reached. Moreover, the decrease in the number of members in the entire project is less severe than the number of members who have left the project in our sample. The percentage of female members has not met its target. However, in

all fairness this may be explained by the larger member base of Samarthak Samiti. The number of women in leadership positions is difficult to examine precisely since information about all leadership positions was not available to us. A figure of about 22% is given (see Table A2), but this number could not be verified. However, on the overall cooperative level 45 percent of the leading positions are occupied by women. Yet, there are quite some differences between the number of women in the council between these cooperatives. There are cooperatives that do not have female members in their council at al.

An extensive analysis of the impact of the project on price changes and income is given in the impact section below.

Table 2: Output and outcome goals and achievements

Output/Outcome	Goal	Achieved
Number of members	2000	3856-3492[1)]
Percentage female members	70 %	2012: 2390/3856 2013: 2207/3492 So, about 65 % are females
Women on leadership positions	30%	22% up to about 45%[2)]
Increased price realization in case of at least 5 MFP products through value addition and quality improvement.	5	For 2 to 3 products a significant increase in price has been found[3)]
An increase in income from 3 MFP products by increasing holding capacity by 2013.	At least 10%	[4)]An in-depth analysis is given below

Sources: Country specific information – India, Mobilization of Community to strenthen MFP based Livlihood of Tribal (2012-2013) and (2013-2014), and COOP details and EC list. Own calculations.

1) 3856 in December 2012 (before the project ended) and 3492 at December 2013 after the project ended.
2) The exact details on the number of female leaders could not be found. Yet, the number of females in the cooperative council is about 45 %. So, 22 percent may be correct. However, there is quite a large difference between the several cooperatives, the percentage runs from 0 to 100.
3) Our result is based on the prices that households have received and differs from the result given in Table A2, which reports the findings of Samarthak Samiti. It is not clear how they have calculated their result. An in-depth analysis is given below.
4) An in-depth analysis is given below.

Methodology

The main challenge of every impact evaluation is to determine to what extent certain changes can be attributed to the intervention. An impact evaluation tries to disentangle impacts of the project from impacts due to other causes, which is not an easy task. Impact evaluations also suffer from self-selection and program placement biases. The preferred approach to measure impact is to conduct a randomized controlled trial as this automatically generates comparable control and treatment groups. However, RCTs are often not possible in practice, as is the case for this project.

The initial plan to measure impact for this program was to conduct a so-called double difference (DD) methodology. The DD approach does not measure the average impact of the project as such for a pre-intervention baseline is lacking. However, since we have observed that people have selected themselves out of the program we had the opportunity to identify the effect of the program by applying a fixed effects estimator.

Our approach works as follows. We estimate the following equation with fixed effects.

$$Y_{ijt} = \alpha_i + \beta_1 Post_t + \beta_2 Post_t D_j^T + \beta_3 D_j^T + \gamma X_{ijt} + \varepsilon_{ijt} \qquad (1)$$

Where Y_{ijt} denotes an outcome variable for respondent *i* in group *j* at time t, α_i is the fixed effect, $Post_t$ is a binary variable that takes the value one if the observation corresponds to the second time period, D_j^T is a binary variable equal to one if the respondent belonged to the treatment group. X is a vector of controls. ε_{ijt} denotes the error term. β_2 in (1) is the estimate of the impact of one extra time period in the intervention on outcome Y. [2] β_3 measures the impact of the program.

In order to improve matching between controls and treatments, before applying the fixed effects estimation, we use PSM to match treatments and controls during the baseline. More specifically, we run a logit regression using baseline data, and determine probabilities of "being in the treatment or the control group". Based on this analysis we are able to determine a so-called common space, which defines an area within which controls and treatments do not differ too much. We subsequently deleted all observations outside the common space, and applied the fixed effects analysis only on observations within the common space.

Since the program has also aspects that work on the village level we have compared the treated villages with the control villages. If we assume that the villages in which the program operates are not correlated with some unobservable characteristics, we can estimate a Mundlack model, which is a kind of hybrid fixed and random effects model. The assumption of not correlated effects with unobservable characteristics may be quite unrealistic at the individual level, yet, on the village level this may not be implausible. Under the Mundlack specification we can identify the effect of the program on the village level. More specifically we have estimated Equation (1) again but now α_i is the random effect, $Post_t$ is a binary variable that takes the value one if the observation corresponds to the second time period, D_j^T is a variable equal to one if the respondent belonged to a treatment village.[3] X is a vector of controls. ε_{ijt} denotes the error term. β_2 in (1) is the estimate of the impact of one extra time period in the intervention village on outcome Y. [4] β_3 measures the impact of the program on the village level. Also for this case we have improved the matching as discussed above.

Impact

One of the main drivers of impact of the program is a change in price of the minor forest produce. Table 3 gives an overview of the prices in the treatment and in the control villages for the first round, the second round, and the combination of both rounds. These prices are based on the reported value and quantities of the last year per product by the surveyed households. Since not all respondents collected a certain product or could recall the prices and or quantities, the number of observations runs from as low as 2 up to 193 per group. Some members of a SHG do not collect MFP because the agriculture produce was good. Or MFP was so small, e.g. because of lack of rain, such that all produce was used for personal consumption and thus no prices were reported. Another issue is that sometimes MFP is reported as home-grown and thus not reported as MFP. This of course has its

[2] This time period is measured by the time between the baseline and follow-up survey.

[3] The subtle difference here is the difference of belonging to the treatment group or the treatment village.

[4] This time period is measured by the time between the baseline and follow-up survey.

influence on the power. From Table 3 it is clear that for all products but tendupatta in the second round the price of the MFP is higher in the treatment village than in the control village. However, most price increases are not statistically significant. Only for Ratanjot there is a clear and significant price increase. For sitaphal only in the first round a significant increase is found. For punwar a significant price increase at the ten percent level is found only if both rounds are combined. Note that the sample may be too small to be able to detect small impacts of the project. In other words, the analysis may suffer from too low a power. For completeness we have checked if the effects on prices were driven by quantity effects. It appeared that there are no significant changes in the quantities (see Table A3 in the appendix). This implies that there is some indication that the project has led to a better price of the MFP for the collectors. From our survey among the 20 traders we have identified that almost all traders have heard about Samarthak Samiti. When asked if Samarthak Samiti has been able to influence the price, most traders refuse to answer. From the eight traders who do answer half of them indicate that Samarthak Samiti indeed affects the prices.

For determining the impact of the program on livelihood we firstly have examined the impact of the SHGs on total consumption. Some households indicated that they were no longer a member of a SHG in the second period. Therefore, the treatment variable is no longer completely time unvarying which helps us to identify the effect of the treatment under fixed effects. The results of this analysis are given in Table 4. Panel A in Table 4 shows the results based on the entire sample. As the entire sample also includes a group of families that live in the same village as the families who are members of SHGs, the analysis may be troubled by spillovers. Therefore, in Panel B of Table 4 the spillover group is excluded. From Panel A we can observe that being a member has a positive effect on consumption. Yet, this effect is only significant at the ten percent level. The effect is consistent in all the specification though. Interestingly, it appears that over the entire sample people consumed less in the second period compared to the first period. This effect may be even somewhat stronger for the treated members. However, this effect is not statistically significant. If all the different effects are added with each other, it looks like that the families in the treatment group and stayed in the treatment group are at about the same level of consumption as they initially where, while the families in the control group saw their consumption decrease lower. People who have selected themselves out of the program have benefitted most. With the possible spillover group excluded from the sample as is done in Panel B, we can observe that being a member of a SHG has a strongly significant positive effect on consumption. However, this effect has significantly decreased in the period between our two surveys. These results indeed suggest the existence of spillover effects.

The effect of the Samarthak Samiti's program on the village level is explored more deeply. If we assume that the villages in which the program operates are not correlated with some unobservable characteristics, we can estimate a Mundlack model, which is a kind of hybrid fixed and random effects model. The assumption of not correlated effects with unobservable characteristics may be quite unrealistic at the individual level, yet, on the village level this may not be implausible. Under the Mundlack specification we can identify the effect of the program on the village level. The results of this analysis are given in Tabel 5. From Table 5 we can observe that the program initially had a positive effect on total consumption where significance runs from one to five percent. However, over the time period the project stopped having an impact as the Treated Village interacted with time cancels out the initial treated village effect. The reason for the deteriorating impact of the program over time is not clear. Moreover, it seems as if the total consumption for the entire sample became significantly lower over the period.

Table 3: Prices of MFP from producers

Panel A: First round	Total	Treatment Village	Control Village	p	N	N_T	N_C
Price of Honey	196.6667	227.1429	90	0.30	9	7	2
Price of Ratanjot	8.887006	9.29845	7.78125	0.01	118	86	32
Price of Punwar	7.620566	7.920256	6.785714	0.10	106	78	28
Price of Sitaphal	9.34886	10.00072	6.721049	0.045	161	129	32
Price of Mahua	16.46429	17.56	7.333333	0.18	28	25	3
Price of Tendupatta	23.33492	29.4	21.60204	0.32	18	4	14

Panel B: Second round	Total	Treatment Village	Control Village	p	N	N_T	N_C
Price of Honey	100	110	90	0.15	4	2	2
Price of Ratanjot	10.04807	10.73704	8.75625	0.07	46	30	16
Price of Punwar	7.310345	7.411765	7.166667	0.36	29	17	12
Price of Sitaphal	13.19964	13.66704	11.83994	0.36	86	64	22
Price of Mahua	16.06061	.	.	.	11	.	.
Price of Tendupatta	44.18095	38.22222	47.16032	0.58	9	3	6

Panel C: Both rounds	Total	Treatment Village	Control Village	p	N	N_T	N_C
Price of Honey	166.9231	201.1111	90	0.24	13	9	4
Price of Ratanjot	9.212669	9.670498	8.10625	0.01	164	116	48
Price of Punwar	7.553926	7.829263	6.9	0.09	135	95	40
Price of Sitaphal	10.68962	11.2165	8.806521	0.14	247	193	54
Price of Mahua	16.35043	17.10185	7.333333	0.18	39	36	3
Price of Tendupatta	30.2836	33.18095	29.26952	0.41	27	7	20

In addition, we examined the impact of the project on food security. Despite the decrease in total consumption, all families (but one or two) indicated that food security was not an issue. This holds for the treatment as well as for the control group. The results are given in Table A4 in the appendix.

As the project also deals with biodiversity we have examined if this aspect of the project would have any negative (or possible positive) effects on the yield and profits from agriculture. We have not found any of such effect (The results are in Tables A5 and A6 in the appendix).

With respect to the environment we have asked several village heads about regulation regarding the use of the forest. This regulation has increased from five out of nine to seven out of nine in the period of the evaluation. The also indicate that the regulation is followed. They are also asked about the biodiversity in their village. The results are given in Table A7. But no significant changes over time are found.

Table 4: Fixed effects regression with SHG effect on total consumption

	(1)	(2)	(3)	(4)

Panel A: With spillover group	total consumption	total consumption	total consumption	total consumption
Time Effect	-413.8***	-401.1***	-388.6***	-357.9***
	(85.69)	(102.0)	(86.97)	(98.37)
Treated * Time	-261.5	-255.1	-306.2	-271.2
	(217.9)	(224.4)	(224.8)	(230.9)
Treated	486.5*	501.4*	441.4*	486.4*
	(252.6)	(258.1)	(250.2)	(256.1)
Control Variables	No	Yes	No	Yes
Common support	No	No	Yes	Yes
Spillover group	Included	Included	Included	Included
Constant	2424***	4978***	2419***	114.0
	(73.10)	(1521)	(73.58)	(2004)
Observations	1103	1101	1068	1066
R-squared	0.086	0.107	0.080	0.104
Number of households	552	552	534	534

	(5)	(6)	(7)	(8)
Panel B: Without spillover group	total consumption	total consumption	total consumption	total consumption
Time Effect	-187.0**	-129.4	-154.6*	-110.4
	(81.12)	(95.46)	(81.81)	(93.51)
Treated * Time	-394.2*	-418.0**	-441.0**	-442.9**
	(208.1)	(210.6)	(214.0)	(216.3)
Treated	787.6***	871.7***	751.2***	815.7***
	(251.7)	(256.5)	(245.1)	(252.4)
Control Variables	No	Yes	No	Yes
Common support	No	No	Yes	Yes
Spillover group	Excluded	Excluded	Excluded	Excluded
Constant	2227***	894.6	2216***	2770*
	(85.39)	(1555)	(84.38)	(1451)
Observations	790	789	764	763
R-squared	0.104	0.157	0.097	0.143
Number of households	395	395	382	382

Robust standard errors in parentheses *** p<0.01, ** p<0.05, * p<0.1

Table 5: Random effects regression (Mundlack) Village effect on consumption

	(1)	(2)	(3)	(4)

VARIABLES	total consumption	total consumption	total consumption	total consumption
Time Effect	-191.0**	-173.6**	-158.6*	-144.9*
	(81.28)	(85.55)	(81.98)	(86.25)
Treated Village * Time	-593.2***	-651.3***	-605.0***	-646.5***
	(144.7)	(148.6)	(145.5)	(148.7)
Treated Village	421.7***	347.5**	425.0***	335.9**
	(141.3)	(135.8)	(141.9)	(137.5)
Control variables	No	Yes	No	Yes
Common support	No	No	Yes	Yes
Constant	2325***	5896***	2304***	
	(79.68)	(870.2)	(80.08)	
Observations	1100	1098	1066	1064
Number of hhcode	550	550	533	533

Robust standard errors in parentheses *** p<0.01, ** p<0.05, * p<0.1

Cost-effectiveness

In order to determine the cost-effectiveness of a project one needs a benchmark project that is cost-effective and uses about the same inputs as the project under evaluation. One can compare the outputs of both projects in order to determine whether the assessed project is cost-effective. Since such a benchmark is lacking the determination of cost-effectiveness is problematic. Therefore the focus will be on the price per output calculated from the amount of inputs delivered for the given budget of the project and these are compared with prices per input of similar projects found in the literature on forest produce.

Table 6: Cost of organize and strengthen MFP groups

	2012-2013	2013-2014	2012-2014
Organize/Strengthen MFP collectors (Women and Men) into groups	307300 INR 19646.49 Int$	417310 INR 25715.55 Int$	724610 INR 45362.04 Int$
Cost per Group	165.10 Int$	216.10 Int$	381.19 Int$
Business sustainability support	1329620 INR 85006.07 Int$	730996 INR 45045.57 Int$	2060616 INR 130051.64 Int$
Cost per Group	714.34 Int$	378.53 Int$	1092.87 Int$
Overall cost per group	879.43 Int$	594.63 Int$	1474.07 Int$

Sources: FR – Hivos 2013-14.pdf and Mobilization of Community to Strengthen MFP based Livelihoods of Tribal Women in Southern Rajasthan.
The split between Organize and Strengthen and business sustainability is a bit ad hoc and not entirely consistent between the 2012-2013 and 2013-2014 reports.
Conversion is based on rates of 2012 and 2013 respectively based on the methodology outlined in in AIID (2014).

Table 6 gives the cost per group. If this is compared with the 1,670.00 Int$ of Isern (2007 via AIID 2014) the project can run for about eight years if these costs are met. However, the project also includes business sustainability support, which also includes cost for the processing units, and forestry based orchards, which deals more with the biodiversity outcome of the program, the costs increase to 1474.07 Int$ for two years. This is still less that the number given by Isern (2007) but it is only for two years. Given these two extremes we can conclude that the project is reasonably efficient from a cost per group perspective.

Discussion

A remarkable indication from the analysis is that the overall livelihood in the area seems to decrease for the regressions show a negative time trend. Fortunately, SHG's seem to improve on this outcome. Yet, also for members of SHGs livelihoods decreased during the evaluation period. Given the probable change in the environment where Samarthak Samiti operates, the weakening of the effect of the program may be caused by the lack of Samarthak Samiti to change its overall capability to act and commit, one of the findings in the capacity development part of the evaluation of Samarthak Samiti (see the capacity development evaluation report of Samarthak Samiti for further details). However, one should note that none of the respondents in the treatment group and only a few in the control groups have indicated that food security was an issue.

A positive effect of the program is that it probably has positive spillover effects on non-members. While these spillovers are positive the program faces a decline in the total number of members, about ten percent in the last year given information provided by Samathak Samiti and around half in our sample. In all fairness we have to say that the number of members is much higher than planned.

This impact evaluation has not focused much on the bio diversity aspect of the program since we lack baseline information on bio diversity. However, in the village heads survey we did not find any evidence for a deterioration of bio diversity. Yet, it remains unclear to what extent this can eb attributed to the project.

As far as we could examine the program achieved most of its objectives and we even find that the program has broken (part of) the monopoly power of the traders. Breaking the monopoly power of the traders may be of great importance as Das (1996) writes: "Monopolistic trade policies are the surest way to kill initiative and the market, and deny justice to the [minor forest] producers". Yet, as already mentioned, dynamics seem to be quite important as effects have changed over the period of two years a lot. Because of these dynamics, this evaluation cannot address questions like should the project be continued or if similar projects should be started? In order to answer these questions clearly more than two points in time are necessary. Therefore, if this project is continued, we urge for the inclusion of extra survey rounds as well.

Conclusion

Given the above findings of the impact evaluation the following scores are given to the program:

Table 7: Scoring the program

Statement:	Score:
On a scale of 1 to 10, with 1 being “not at all” and 10 being “completely”	
The project was well designed	8
The project was implemented as designed	10
The project reached all its objectives	6
The observed results are attributable to the project interventions	6
The observed results are relevant to the project beneficiaries	8
The project was implemented efficiently	6

Scores are on a scale of 1 to 10, with 1 being “not at all” and 10 being “completely”

Note that the score on “The observed results are attributable to the project interventions” reflects how well we could evaluate the program. Therefore, it is not a score of the program. The objectives used to score on this aspect are given in the country summary.

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Mobilization of Community to Strengthen MFP based Livelihoods of Tribal Women in Southern Rajasthan (Annual Work Plan : April 2012 to March 2013)

Mobilization of Community to strenthen MFP based Livlihood of Tribal (2012-2013)

Mobilization of Community to strenthen MFP based Livlihood of Tribal (2013-2014)

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Appendix

Table A1: Control variables (Caste and Religion)

Treatment	Scheduled Tribe	Scheduled caste	Other backward class	Other	Hinduism	Islam
Mean	0.995349	0.004651	0	0	0.976744	0.023256
SD	0.068199	0.068199	0	0	0.151067	0.151067
min	0	0	0	0	0	0
max	1	1	0	0	1	1
N	215	215	215	215	215	215
Spilover	**Scheduled Tribe**	**Scheduled caste**	**Other backward class**	**Other**	**Hinduism**	**Islam**
Mean	0.994859	0	0.005141	0	0.997429	0.002571
SD	0.071611	0	0.071611	0	0.050702	0.050702
min	0	0	0	0	0	0
max	1	0	1	0	1	1
N	389	389	389	389	389	389
Control	**Scheduled Tribe**	**Scheduled caste**	**Other backward class**	**Other**	**Hinduism**	**Islam**
Mean	0.981964	0.008016	0.008016	0.002004	0.995992	0.004008
SD	0.133215	0.089262	0.089262	0.044766	0.063245	0.063245
min	0	0	0	0	0	0
max	1	1	1	1	1	1
N	499	499	499	499	499	499
Total	**Scheduled Tribe**	**Scheduled caste**	**Other backward class**	**Other**	**Hinduism**	**Islam**
Mean	0.989121	0.004533	0.00544	0.000907	0.992747	0.007253
SD	0.103783	0.067206	0.073587	0.03011	0.084893	0.084893
min	0	0	0	0	0	0
max	1	1	1	1	1	1
N	1103	1103	1103	1103	1103	1103

Table A1: Control variables (schooling head) (Cont)

Treatment	Illiterate	Literate, non-formal	Pre-primary	Primary	Middle	Secondary
Mean	0.767442	0.065116	0.018605	0.069767	0.051163	0.013954
SD	0.423449	0.247307	0.135439	0.255349	0.220844	0.117572
min	0	0	0	0	0	0
max	1	1	1	1	1	1
N	215	215	215	215	215	215
Spilover	**Illiterate**	**Literate, non-formal**	**Pre-primary**	**Primary**	**Middle**	**Secondary**
Mean	0.809769	0.012854	0	0.082262	0.046273	0.005141
SD	0.392989	0.112787	0	0.275118	0.210345	0.071611
min	0	0	0	0	0	0
max	1	1	0	1	1	1
N	389	389	389	389	389	389
Control	**Illiterate**	**Literate, non-formal**	**Pre-primary**	**Primary**	**Middle**	**Secondary**
Mean	0.837675	0.026052	0.002004	0.03006	0.034068	0.016032
SD	0.369118	0.15945	0.044766	0.170924	0.181586	0.125725
min	0	0	0	0	0	0
max	1	1	1	1	1	1
N	499	499	499	499	499	499
Total	**Illiterate**	**Literate, non-formal**	**Pre-primary**	**Primary**	**Middle**	**Secondary**
Mean	0.814143	0.029012	0.004533	0.05621	0.041704	0.011786
SD	0.389168	0.167916	0.067206	0.230432	0.200004	0.107971
min	0	0	0	0	0	0
max	1	1	1	1	1	1
N	1103	1103	1103	1103	1103	1103

Table A1: Control variables (schooling head and marital status) (Cont)

Treatment	Senior secondary	Diploma or certificate	Graduate (B.A, B.Sc., B.Com)	Never married	Currently married	Widow/ Widower
Mean	0.004651	0	0.009302	0.004651	0.916279	0.07907
SD	0.068199	0	0.096223	0.068199	0.277615	0.270477
min	0	0	0	0	0	0
max	1	0	1	1	1	1
N	215	215	215	215	215	215
Spilover	**Senior secondary**	**Diploma or certificate**	**Graduate (B.A, B.Sc., B.Com)**	**Never married**	**Currently married**	**Widow/ Widower**
Mean	0.03856	0	0.005141	0.005155	0.927835	0.06701
SD	0.192793	0	0.071611	0.071703	0.259095	0.250363
min	0	0	0	0	0	0
max	1	0	1	1	1	1
N	389	389	389	388	388	388
Control	**Senior secondary**	**Diploma or certificate**	**Graduate (B.A, B.Sc., B.Com)**	**Never married**	**Currently married**	**Widow/ Widower**
Mean	0.046092	0.002004	0.006012	0.01004	0.929719	0.060241
SD	0.209895	0.044766	0.077381	0.099797	0.255877	0.238172
min	0	0	0	0	0	0
max	1	1	1	1	1	1
N	499	499	499	498	498	498
Total	**Senior secondary**	**Diploma or certificate**	**Graduate (B.A, B.Sc., B.Com)**	**Never married**	**Currently married**	**Widow/ Widower**
Mean	0.035358	0.000907	0.006346	0.007266	0.926431	0.066303
SD	0.184767	0.03011	0.079447	0.08497	0.261188	0.248925
min	0	0	0	0	0	0
max	1	1	1	1	1	1
N	1103	1103	1103	1101	1101	1101

Table A1: Control variables (Cont)

Treatment	Household size	Age of the head of the household	Number of adult males in the household	Number of adults in the household	Gender of the head of the household
Mean	5.804651	48.03721	1.627907	3.204651	1.181395
SD	2.369782	14.48714	0.870687	1.320215	0.386245
min	1	8	0	0	1
max	13	82	5	8	2
N	215	215	215	215	215
Spilover	**Household size**	**Age of the head of the household**	**Number of adult males in the household**	**Number of adults in the household**	**Gender of the head of the household**
Mean	5.66838	44.99229	1.701799	3.218509	1.084833
SD	2.125096	14.56632	0.907314	1.497788	0.278992
min	1	18	0	1	1
max	13	82	5	9	2
N	389	389	389	389	389
Control	**Household size**	**Age of the head of the household**	**Number of adult males in the household**	**Number of adults in the household**	**Gender of the head of the household**
Mean	5.302605	43.02004	1.52505	2.953908	1.09018
SD	2.061946	13.51184	0.79713	1.33379	0.286727
min	1	20	0	1	1
max	14	87	5	10	2
N	499	499	499	499	499
Total	**Household size**	**Age of the head of the household**	**Number of adult males in the household**	**Number of adults in the household**	**Gender of the head of the household**
Mean	5.529465	44.69356	1.607434	3.096102	1.106074
SD	2.155648	14.1932	0.854697	1.396071	0.308072
min	1	8	0	0	1
max	14	87	5	10	2
N	1103	1103	1103	1103	1103

Table A2: Outcomes

Objectives as in Contract till 2013	Outcome - Indicator as on December 2012	Outcome - Indicator as on December 2013
Enhancing control over livelihoods of Forest Dependent communities in 10 blocks in five districts of southern Rajasthan by 2013		
An apex body to secure the rights of forest Dependent Communities will have been created by 2013	An apex body to secure the rights of forest Dependent Communities have been created as a Samarthak Producers Company Ltd. Udaipur	An apex body to secure the rights of forest Dependent Communities have been created as a Samarthak Producers Company Ltd. Udaipur
At least 70% of the projected 2000 members will be women and at least 30% women will be at leadership positions	By the March 2012 the network has a total of 3856 members with 2390-as women members	By the March 2012 the network has a total of 3492 members with 2207as women members
Out of the cooperatives at least 1 will have developed its business plan and 1 cooperative will have established a MFP processing centre in the region	Kotra Cooperative have developed capacities to prepare annual Business Plan and Kotra cooperative have established a MFP processing centre in the region	Kotra Cooperative have developed capacities to prepare annual Business Plan and Kotra cooperative have established a MFP processing centre in the region
At least 2 policy changes favoring the MFP collecting community will have been made by end of 2013	New forest rights act centre sub rules will have positive effect for MFPs collectors of the area Making of the PESA sub rules in Rajasthan statae SS was a part of this during drafting and formation by Astha and its TRRU, and submitted to state for adopt this.	New forest rights act centre sub rules will have positive effect for MFPs collectors of the area Making of the PESA sub rules in Rajasthan state SS was a part of this during drafting and formation by Astha and its TRRU, and submitted to state for adopt this.
At least in 6 blocks the forest department will have propagated MFP saplings in the forest area.	Forest Department started to propagation of economic MFPs in the area as they are making nursaries and providing saplings of the most economic plants	Forest Department started to propagation of economic MFPs in the area as they are making nursaries and providing saplings of the most economic plants
Out of the nine at least 2 cooperatives will have started generating its own local resources towards sustainability	Kotra and Aburoad coopeartives are using there own resources and are in process of sustainability	Kotra and Aburoad coopeartives are using there own resources and are in process of sustainability
Increased price realization in case of at least 5 MFP products through	Honey, Jamun, Amla, Sitafal, Ratanjote are the product wich are	Honey, Jamun, Amla, Sitafal, Ratanjote and Wax are the product

value addition and quality improvement	getting increased price by value addistion and quality is improved	wich are getting increased price by value addistion and quality is improved
At least 10% increase in income from 3 MFP products by increasing holding capacity by 2013.	By holding the produce at local level price is incresed of Punwad by 30%, Amla by 40%, and Mahuwa flawer by 50 %. Moong and Urad are also incresed rate by 10 -15 % after holding	By holding the produce at local level price is incresed of Punwad by 30%, Amla by 40%, and Mahuwa flawer by 50 %. Moong and Urad are also incresed rate by 10 -15 % after holding
Community organized for gaining rights and control over MFP		
70 groups (20 New) and 9 cooperatives (1 new) with 1600 members (1000 women) will have been established and federated at the state level by 2013	119 Womens groups are formed and 9 coopearives (2) un-regeisterd are formed with 3856 memebers including 2390 womens	119 Womens groups are formed and 9 coopearives (2) un-regeisterd are formed with 3492 memebers including 2207 womens
At least 30% of the women members will have developed skills for leadership positions	Total 2390 womens out of the total 3856 memebers are 61 %..of the totalmembership. 520 womens members are comes in as leadership position of the grous and cooperatives are 22%	Total 2207 womens out of the total 3492 memebers are 61 %..of the totalmembership. 520 womens members are comes in as leadership position of the grous and cooperatives are 22%
Biodiversity maintained and sustained		
Situation papers and an action plan evolved for the conservation of biodiversity	Situation papers and an action plan evolved for the conservation of biodiversity	Situation papers and an action plan evolved for the conservation of biodiversity
At least 5 villages in each block will have MFP saplings planned on private and common lands	In Dhariyawad, Kotra, and Goguda .blocks MFPs saplings are planted in 10 villages.	In Dhariyawad, Kotra, and Goguda blocks MFPs saplings are planted in 20 villages.
At least 80 (50) new families will have started farming compost and organic farming	3 varmi compost bed are made during the year as a extension of the unit resulting total of the 90 varmi composed bed in area.	5 groups have started to make Bio pesticide using local resource and started to use it at farme level. Total 90 varmi compost bed were made during the project with extension of the beds.
Stakeholders including forest department sensitized on the need to conserve bio-diversity	Forest department is in link with samarthak samiti and are involve us in there programe and activity in refrance to the Bio-divercity as	Forest department is in link with samarthak samiti and are involve us in there programe and activity in refrance to the Bio-divercity as

	they invite us in every programe of the conservation organised by them.	they invite us in every programe of the conservation organised by them.
Knowledge and skill of forest department community & organization built for community controlled processing and marketing		
At least one cooperative out of nine will have an established and functioning, processing centre.	One cooperative Kotra have a small level processing center at Devla for processing of Honey	One cooperative Kotra have a small level processing center at Devla for processing of Honey
A revolving fund use strategy will have been developed for better management of MDF fund	Revolving fund management poloicy has been developed and is using for the management at the fedreation level	Revolving fund management poloicy has been developed and is using for the management at the fedreation level
2 MFP products will have been certified by concerned authorities and marketed by the cooperatives	Food Licence has been issued in name of the producers company for producing Honey and Ark in area	Food Licence has been issued in name of the Samarthak Producers Company for producing Honey and Ark and Saharbat in area.
Community Capacitated to improve MFP collection and storage methods	Community started to value addistion and storage of the MFPs like Ratnjote, Punwad, Palash, MFPs–Honey , jamun and Sitafal collection work is improve as Safe Harvest	Community started to value addistion and storage of the MFPs like Ratnjote, Punwad, Palash,Mahuwa, MFPs–Honey , jamun and Sitafal collection work is improve using Safe Harvest Practice.
Linkages established with traders and financial institutions	For MFPs like last forest company at Tamilnadu and UTMT at Mumbai. Tendupatta market link with trader at Hedrabad	For MFPs like last forest company at Tamilnadu and UTMT at Mumbai. And few small out lets at varios citi in Mharastar and Gujrat. The Tendupatta market link with trader at Hedrabad is regular .
Favourable policy environment created in support of forest Dependent communities		
Forest dependent communities and local panchayats members sensitized and aware of forest act, PESA, TSR, transit permit, reservation on tendering and rate fixing etc.	Forest dependent communities and local panchayats members sensitized and aware of forest act, PESA, TSR, transit permit, reservation on tendering and rate fixing etc.	Forest dependent communities and local panchayats members sensitized and aware of forest act, PESA, TSR, transit permit, reservation on tendering and rate fixing etc.
Strong organization for forest dependent communities emerges as pressure groups for lobbying government, forest department	As the most of the lobbying work is done by SS is done in colobration with Astha and in south Rajasthan most of the issue releted to tribes are deal by the TRRU (Tribal Rights	As the most of the lobbying work is done by SS is done in colobration with Astha and in south Rajasthan most of the issue releted to tribes are deal by the TRRU (Tribal Rights

A strong network of organization in place to lobby for policy changes.	Resource Unit) and Jungal Jameen Jan andolan is the leading organisation workin for the tribal rights. SS is the involve in this since a long time .	Resource Unit) and Jungal Jameen Jan andolan is the leading organisation workin for the tribal rights. SS is the involve in this since a long time .
Improved management efficiency at Samarthak Samiti		
Result Based Monitoring system put in place	Overall monitoring system is developed and monitoring on RBM process is planned under various projects	Overall monitoring system is developed and monitoring on RBM process is planned under various projects
In house gender expertise developed	SS Members would be provided with gender sensitization processes	SS Members would be provided with gender sensitization processes
HRD policy put in place	HRD aspects are started to be followed	HRD aspects are started to be followed
Sustainability Plan developed	Planning exercise with member cooperatives	Planning exercise with member cooperatives members
Sources: Country specific information – India, Mobilization of Community to strenthen MFP based Livlihood of Tribal (2012-2013)		

Table A3: Quantities of MFP

Panel A: First round	Total	Treatment Village	Control Village	p
Quantity of Honey	12.22222	12.85714	10	0.414228
Quantity of Ratanjot	84.36441	85.17442	82.1875	0.427474
Quantity of Punwar	72.68868	72.3718	73.57143	0.528661
Quantity of Sitaphal	297.1553	279.0078	370.3125	0.919534
Quantity of Mahua	74.89286	81.88	16.66667	0.289185
Quantity of Tendupatta	604.3333	683.75	581.6429	0.427501

Panel B: Second round	Total	Treatment Village	Control Village	p
Quantity of Honey	8	6	10	0.788675
Quantity of Ratanjot	94.23913	78	124.6875	0.893312
Quantity of Punwar	48.5	48.61111	48.33333	0.489947
Quantity of Sitaphal	338.6047	350.8594	302.9546	0.26995
Quantity of Mahua	146.8182	.	.	.
Quantity of Tendupatta	455	111.6667	626.6667	0.754604

Panel C: Both rounds	Total	Treatment Village	Control Village	p
Quantity of Honey	10.92308	11.33333	10	0.433841
Quantity of Ratanjot	87.13415	83.31897	96.35417	0.795211
Quantity of Punwar	67.35294	67.91667	66	0.44113
Quantity of Sitaphal	311.587	302.8342	342.8704	0.788424
Quantity of Mahua	95.17949	101.7222	16.66667	0.263057
Quantity of Tendupatta	554.5556	438.5714	595.15	0.644462

Table A4: Food security

Panel A: Baseline	Total	Treatment	Control	p
Monsoon	0.998188	1	0.997543	0.275533
Winter	0.996377	1	0.995086	0.199333
Summer	0.996377	1	0.995086	0.199333

Panel B: Followup	Total	Treatment	Control	p
Monsoon	0.998188	1	0.997921	0.351606
Winter	0.996377	1	0.995842	0.294831
Summer	0.996377	1	0.995842	0.294831

Panel C: All	Total	Treatment	Control	p
Monsoon	0.998188	1	0.997748	0.243281
Winter	0.996377	1	0.995496	0.162313
Summer	0.996377	1	0.995496	0.162313

Table A5: Fixed Effects Regression: SHG effect on Yield

VARIABLES	(1) yield	(2) yield	(3) yield	(4) yield
Year Effect	-2.252	-9.440	-6.698	-14.48
	(10.24)	(14.03)	(9.997)	(13.66)
Treated * year	1.525	9.281	-11.79	-6.064
	(29.49)	(29.92)	(26.48)	(26.15)
Is treated	35.84	39.46	13.07	15.88
	(28.86)	(29.08)	(22.54)	(22.66)
Controls	No	Yes	No	Yes
Common Support	No	No	Yes	Yes
Constant	224.3***	163.7	230.9***	9.400
	(9.502)	(229.2)	(7.431)	(258.6)
Observations	1042	1040	1013	1011
R-squared	0.006	0.030	0.004	0.026
Number of hhcode	547	547	531	531

Robust standard errors in parentheses *** p<0.01, ** p<0.05, * p<0.1

Table A6: Fixed effect regression: Effect of SHG on profits from agriculture

VARIABLES	(1) Profits From Agriculture	(2) Profits From Agriculture	(3) Profits From Agriculture	(4) Profits From Agriculture
Year Effect	-333.3	-225.2	-395.7	-304.9
	(335.0)	(400.0)	(340.1)	(404.2)
Treated * year	1562*	1070	1138	573.0
	(894.1)	(816.1)	(870.6)	(762.5)
Is treated	514.5	386.0	156.0	-46.29
	(651.9)	(666.2)	(581.6)	(597.5)
Controls	No	Yes	No	Yes
Common Support	No	No	Yes	Yes
Constant	5781***	13640***	5931***	-13090**
	(248.5)	(4608)	(231.9)	(5353)
Observations	1103	1101	1068	1066
R-squared	0.009	0.056	0.006	0.055
Number of hhcode	552	552	534	534

Robust standard errors in parentheses *** p<0.01, ** p<0.05, * p<0.1

Table A7: Changes in Hectares of types of plants

	Total	Second Round	First Round	p	N	N_2	N_1
Ratanjot	27.21429	36.2	22.22222	0.274215	14	5	9
Punwar	26.42857	34	22.22222	0.305106	14	5	9
Sitaphal	25.42857	31.2	22.22222	0.336064	14	5	9
Mahua	5	2.6	6.333333	0.84101	14	5	9
Palash Phol	11.42857	11.6	11.33333	0.489784	14	5	9

Endline report – India, Samarthak Samiti MFS II country evaluations

Capacity of Southern Partner Organisations (5C) component

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This report presents the findings of the endline of the evaluation of the organisational capacity component of the MFS II country evaluations. The focus of this report is India, Samarthak Samiti. The format is based on the requirements by the synthesis team and NWO/WOTRO. The endline was carried out in 2014. The baseline was carried out in 2012.

Key words: 5C (five core capabilities); attribution; baseline; causal map; change; CFA (Co-financing Organisation) endline; organisational capacity development; SPO (Southern Partner Organisation).

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The India 5C evaluation team

List of abbreviations and acronyms

Causal map	Map with cause-effect relationships. See also 'detailed causal map'.
Causal mechanisms	The combination of parts that ultimately explains an outcome. Each part of the mechanism is an individually insufficient but necessary factor in a whole mechanism, which together produce the outcome
CBO	Community Based Organisation
CCD	Covenant Centre for Development
CDI	Centre for Development Innovation, Wageningen University & Research centre
CEE-UNDP	Centre for Environment Education of the United Nations Development Programme
CFA	Co-Financing Agency
CPR	Common Property Resource
CSR	Corporate Social Responsibility
Detailed causal map	Also 'model of change'. the representation of all possible explanations – causal pathways for a change/ outcome. These pathways are that of the intervention, rival pathways and pathways that combine parts of the intervention pathway with that of others. This also depicts the reciprocity of various events influencing each other and impacting the overall change. In the 5C evaluation identified key organisational capacity changes and underlying reasons for change (causal mechanisms) are traced through process tracing (for attribution question).
FCRA	Foreign Contribution Regulation Act
FRA	Forest Rights Act Forest Rights Act
General causal map	Causal map with key organisational capacity changes and underlying reasons for change (causal mechanisms), based on SPO perception.
HR	Human Resources
IDF	India Development Foundation
LAMPS	Large Area Multipurpose Societies
M&E	Monitoring and Evaluation
MDF	MFP development Fund
MFP	Minor Forest Produce
MFS	Dutch co-financing system
MGNREGA	Mahatma Gandhi National Rural Employment Guarantee Act
MIS	Management Information System
MSP	Minimum Support Price
NABARD	National Bank for Agriculture and Rural Development
NGO	Non-Governmental Organisation
NPMI	Non-Pesticide Members Initiative
NRLM	National Rural Livelihood Mission
NSTFDC	National Scheduled Tribal Finance and Development Corporation
NTFP	Non-Timber Forest Produce
OD	Organisational Development
PESA	Panchayat Extension to Scheduled Areas
PME	Planning, Monitoring and Evaluation
Process tracing	Theory-based approach to trace causal mechanisms
ProCIF	Producer Entrepreneurship Catalyst & Incubation Facility
SBI	State Bank of India
SDTT	Sir Dorabji Tata Trust
SFAC	Small Farmers' Agribusiness Consortium
SHG	Self-Help Group
SIDBI	Small Industries Development Bank of India

SPO	Southern Partner Organisation
SPWD	Society for Promotion of Wasteland Development
SRTT	Sir Ratan Tata Trust
SS	Samarthak Samiti
ST	Scheduled Tribes
ToC	Theory of Change
TRIFED	Tribal Cooperative Marketing Development Federation of India
TSP	Tribal Sub Plan
TSR	Tribal Self-Rule
Wageningen UR	Wageningen University & Research centre
WFI	Wells for India
5 C	Capacity development model which focuses on 5 core capabilities

1 Introduction & summary

1.1 Purpose and outline of the report

The Netherlands has a long tradition of public support for civil bi-lateral development cooperation, going back to the 1960s. The Co-Financing System (*Medefinancieringsstelsel*, or 'MFS') is its most recent expression. MFS II is the 2011-2015 grant framework for Co-Financing Agencies (CFAs), which is directed at achieving a sustainable reduction in poverty. A total of 20 consortia of Dutch CFAs have been awarded €1.9 billion in MFS II grants by the Dutch Ministry of Foreign Affairs (MoFA).

The overall aim of MFS II is to help strengthen civil society in the South as a building block for structural poverty reduction. CFAs receiving MFS II funding work through strategic partnerships with Southern Partner Organisations.

The MFS II framework stipulates that each consortium is required to carry out independent external evaluations to be able to make valid, evaluative statements about the effective use of the available funding. On behalf of Dutch consortia receiving MFS II funding, NWO-WOTRO has issued three calls for proposals. Call deals with joint MFS II evaluations of development interventions at country level. Evaluations must comprise a baseline assessment in 2012 and a follow-up assessment in 2014 and should be arranged according to three categories of priority result areas as defined by MoFA:

Achievement of Millennium Development Goals (MDGs) & themes;

Capacity development of Southern partner organisations (SPO) (5 c study);

Efforts to strengthen civil society.

This report focuses on the assessment of capacity development of southern partner organisations. This evaluation of the organisational capacity development of the SPOs is organised around **four key evaluation questions**:

1. What are the changes in partner organisations' capacity during the 2012-2014 period?
2. To what degree are the changes identified in partner capacity attributable to development interventions undertaken by the MFS II consortia (i.e. measuring effectiveness)?
3. Were the efforts of the MFS II consortia efficient?
4. What factors explain the findings drawn from the questions above?

The purpose of this report is to provide endline information on one of the SPOs involved in the evaluation: Samarthak Samiti in India. The baseline report is described in a separate document.

Chapter 2 describes general information about the Southern Partner Organisation (SPO). Here you can find general information about the SPO, the context in which the SPO operates, contracting details and background to the SPO. In chapter 3 a brief overview of the methodological approach is described. You can find a more detailed description of the methodological approach in appendix 1.Chapter 4 describes the results of the 5c endline study. It provides an overview of capacity development interventions of the SPO that have been supported by MFS II. It also describes what changes in organisational capacity have taken place since the baseline and why (evaluation question is 1 and 4). This is described as a summary of the indicators per capability as well as a general causal map that provides an overview of the key organisational capacity changes since the baseline, as experienced by the SPO. The complete overview of descriptions per indicator, and how these have changed since the baseline is described in appendix 3. The complete visual and narrative for the key organisational capacity changes that have taken place since the baseline according to the SPO staff present at the endline workshop is presented in appendix 4.

Chapter 5 presents a discussion on the findings and methodology and a conclusion on the different evaluation questions.

The overall methodology for the endline study of capacity of southern partner organisations is coordinated between the 8 countries: Bangladesh (Centre for Development Studies, University of Bath; INTRAC); DRC (Disaster Studies, Wageningen UR); Ethiopia (CDI, Wageningen UR); India (CDI, Wageningen UR: Indonesia (CDI, Wageningen UR); Liberia (CDI, Wageningen UR); Pakistan (IDS; MetaMeta); (Uganda (ETC). Specific methodological variations to the approach carried out per country where CDI is involved are also described in this document.

This report is sent to the Co-Financing Agency (CFA) and the Southern Partner Organisation (SPO) for correcting factual errors and for final validation of the report.

1.2 Brief summary of analysis and findings

Over the last two years SS has seen no change in its overall capability to act and commit. While the leader became more self-reliant, there were more trainings and capacity to writing proposals for funding but due to a deteriorated funding situation key staff had to leave the organisation. In the capability to adapt and self-renew SS also improved very slightly. This was mainly due to fine-tuning, but their M&E templates, internal capacity building on M&E, slightly more strategic use of M&E by SS and slight improvement in tracking its operating environment. SS showed a very slight deterioration in the capability to deliver on development objectives. While SS is working more cost-effectively, due to staff having to leave because of reduced funding, balancing quality and efficiency was negatively affected. The organisation had a very slight improvement in the capability to relate because SS now receives feedback on its strategies from a more diverse set of stakeholders and has improved its networks at the national level. Finally there was a very slight deterioration in the capability to achieve coherence because SS is applying new strategies that are not yet aligned with their current vision and mission.

The evaluators considered it important to also note down the SPO's perspectives on the most important organisational capacity changes since the baseline. During the endline workshop the key organisational capacity changes that were brought up by SS' staff were: improved staff capacity to write reports, improved staff capacity to train target groups and improved capacity for financial sustainability. An MFS II supported capacity development intervention (financial management training) together with trainings by other funders like SDTT and Astha Sansthan have played a role in improving data collection and compilation skills which contributed to staff capacity to write reports. SS staff being better able to train target groups can be attributed to trainings and exposure visits funded by MFS II and other funders (SDTT, IRMA). These trainings focused on business plan development, marketing etc. furthermore staff have also taken on more responsibilities due to reduced funding as a result of shifting donor priorities. Finally, SS improved their capacity for financial sustainability because of new funding strategies, that were triggered by reduced funding, and improved interaction and networks with like-minded NGOs and government agencies. According to SS, MFS II funded capacity development interventions thus played a role mainly in terms of improving their data collection and compilation competencies and in improving their understanding of the technical aspect of their role in supporting and training their target groups, in particular in advising beneficiaries on sustainable farming etc. A general shift of the donor priorities and reduced funding have been important triggers for these changes.

2 General Information about the SPO – Samarthak Samiti

2.1 General information about the Southern Partner Organisation (SPO)

Country	India
Consortium	People Unlimited 4.1
Responsible Dutch NGO	Hivos
Project (if applicable)	Mobilisation of Community to strengthen MFP based livelihoods of tribal Women in South Rajasthan
Southern partner organisation	Samarthak Samiti

The project/partner is part of the sample for the following evaluation component(s):

Achievement of MDGs and themes	X
Capacity development of Southern partner organisations	X
Efforts to strengthen civil society	

2.2 The socio-economic, cultural and political context in which the partner operates

Samarthak Samiti (The Rajasthan Forest Produce Processing Group Support Society) is registered as a society working among tribal and other marginalised communities since 1995 in six districts of Rajasthan to provide guidance and motivation to smaller organizations, cooperative societies and such other societies, which are engaged with minor forest produce collection and devoted to the cause of biodiversity conservation.

Rajasthan has a tribal population of 8.42 percent against the Scheduled Tribe population of India of 10.4 percent. There are 1152 villages with 100 percent tribal population as per 2011 Census in Rajasthan.[1] The Tribal economy is mainly dependent on subsistence agriculture with forest forming an essential part of their livelihood.[2] As per the Government Estimates, a total of 100 million forest dwellers are dependent on Minor Forest Produce (MFP) for food, shelter, medicines, cash income etc. Market for MFP products not being developed the products were sold through a channel which included chain of traders comprising petty traders, small traders, big traders and wholesalers, all of them retaining a part of their profits. With producers on the other hand left with meagre income from sale of MFPs. Lack of transparency and absence of market led to rise of large numbers of middle men linking the forest producers to the market.

In Rajasthan, Rajasthan Tribal Area Development Co-operative Federation Ltd (Rajas Sangh) was established in 1976 under the Tribal sub plan area, and was given the monopoly rights for the collection and trading of the MFPs. The aim was to reduce the exploitation of the MFP collectors at the

1http://tribal.nic.in/WriteReadData/CMS/Documents/201410170519295222004StatisticalProfileofSTs2013.pdf
2 http://tribal.nic.in/WriteReadData/CMS/Documents/201410170519295222004StatisticalProfileofSTs2013.pdf

hands of the private traders through a price fixing mechanism. However, there was a significant price differential between the price of MFPs fixed by the Rajas Sangh and that from the open market i.e. traders. The Rajas Sangh had authorised agents called Large Area Multipurpose Societies (LAMPS) for the collection of MFPs. These centres were not available in remote villages where the chances of getting MFPs were high being close to the forest. It was also reported by the MFP collector that the LAMPS did not collect MFPs and collude with traders or not account the produce and sell it directly in the open market. The market rate remained higher than the Rajas Sangh rate. Though Rajas Sangh provided incentives to LAMPS for collecting the MFPs (8 percent commission is given) but the profit margin continued to remain higher in selling the produce in the open market. Samarthak Samiti, through its work influenced the price of Minor Forest Produce. It collected the MFPs from the groups (SHGs) and put pressure on the traders to increase the prices by offering higher price to the group collectors.

The provisions of PESA (Panchayat Extension to Scheduled Areas) in 1996 and FRA (Forest Rights Act) in 2006 the ownership rights of MFP were given to the Gram Sabhas[3] in the villages. The Scheduled Tribes and Other Traditional Forest Dwellers (Recognition of Forest Rights) Act, 2006 gave tribal communities right to ownership as well as, access to collect, use and dispose of minor forest produce which are traditionally collected within and outside the village boundaries.

It was also envisaged in the 2010 report of the Government, "Report of the Committee on Ownership, Price Fixation, Value Addition and Marketing of Minor Forest Produce[4]" that there is a need for strengthening of SHGs, co-operatives and producer companies for removal of exploitative traders in its place. In this report emphasis was already placed on Minimum Support Price[5] for 14 main MFP's: tamarind, mahuwa flower, mahuwa seed, tendu leaf, bamboo, sal seed, myrobalan, chironji, lac, gum, karaya, honey and seeds of karanja, neem and puwad. However, it was only in 2013-2014, that the Government of India decided to come up with a Minimum Support Price[6] (MSP) for the Minor Forest Products (MFP). This MSP will also create a social net for the producers ensuring protection of Scheduled Tribe groups living in these areas from abject poverty. The MSP for MFP has been implemented in areas under the Schedule V7 of the Constitution for certain specified items like Tendu, Mahuwa seed etc. Under the scheme "Mechanism for marketing of Minor Forest Produce (MFP) through Minimum Support Price (MSP) and development of Value Chain for MFP" launched in 2014 to be continued for the next Five Years Plan (2012-2017) an incentive in the form of procurement of 2% of the base procurement value of MFP will be given by the government to all the states for a period of five years. Government programmes towards marketing of MFP will be linked to capacity building of Gram Sabhas and Panchayati Raj Institutions. For instance, the 'Mahila Sashaktikaran Pariyojana' under the NRLM[8] (National Rural Livelihood Mission) will capacitate MFP gatherers. Emphasis has also been given to market information system for MFP, as well as, implementation of speedy dissemination of market information through MFPNET.

National Scheduled Tribal Finance and Development Corporation (NSTFDC) signed refinance agreement with the State Bank of India (SBI) in the Financial Year 2012-2013 to help ST (Scheduled Tribes) SHGs to access NSTFDC's concessional assistance and market their products by Tribal Cooperative Development Federation of India Limited (TRIFED) through its retail outlets "TRIBES INDIA[9]". TRIFED and the state agencies are envisaged to keep a close watch on the market prices during the procurement season[10]. Intervention of Samarthak Samiti in these areas towards empowering the MFP collectors group into larger groups at the sub-district and regional level, worked for long term production sustenance of MFPs for continued and improved livelihood, building

[3] Gram Sabha means a body consisting of persons registered in the electoral rolls relating to a village comprised within the area of Panchayat at the village level.

[4] http://www.panchayat.gov.in/documents/401/84079/Report_of_the_Committee_on_MinorForestProduce.pdf

[5] Minimum Support price: The MSP is a scheme of the Government of India (GOI) to safeguard the interest of the farmers. Under this scheme the GOI declares the minimum support pieces of various agricultural produces and assures the farmer that their agricultural produce will be purchased at the MSP, thereby preventing distress sell.

[7] Schedule V: Fifth Schedule of the Constitution determined the scheduled areas by an order of the President.

[8] NRLM: National Rural Livelihood Mission a project under the Ministry of Rural Development of India for poverty alleviation.

[9] http://tribal.nic.in/WriteReadData/CMS/Documents/201407280104442396450AnnualReport2013-14.pdf

[10] http://tribal.nic.in/WriteReadData/CMS/Documents/201403250507260927826operationalguidlines2.pdf

knowledge and skill of the tribal communities on collection and marketing of MFP, inculcate policy and environmental regulations for protecting community rights. This led to MFP collectors (Tendu Collectors) get a minimum support price fixed by the Forest Department of Rajasthan. Earlier the traders did not pay this support price to the producers organized a campaign raised awareness and in turn traders also had to pay minimum price, this has helped 10000 tendupatta collector tribals families.

The market for Tendupatta in 2013 in this area is affected by the policy of the government to ban smoking. But as tendupatta cooperatives have paid the minimum price of Rs. 70 per 100 bundles and organized a campaign raised awareness and in turn traders also had to pay minimum price, this has helped 10000 tendu leaves collector tribals families.

As Tribals are well connected with Samarthak Samiti, they could discuss with them on the kind of produce to be produced in the gap period. This helped the leaders to make a strategic choice to diversifying its program and move towards agriculture and animal husbandry and from production to marketing. Samarthak Samiti has moved a step up from production to marketing through strengthening its producer company.

2.3 Contracting details

When did cooperation with this partner start:

> Hivos has been aware of Samarthak Samiti's (SS) work through its relationship with Astha Sansthan that has promoted Samarthak Samiti. Hivos has also support Samarthak Samiti in 2003 for organising a meeting on behalf of South Asian Alliance for Poverty Eradication (SAAPE) through the Micro Fund Budget line. Subsequently Samarthak Samiti approached Hivos for support to build up its institution to strengthen the cooperatives of Minor Forest Produce (MFP) gatherers in Southern Rajasthan region. The first phase of support to SS for the project 'Mobilisation of Community to Strengthen MFP based Livelihoods of Tribal Women in South Rajasthan' was for the period 1 October 2006 to 31 March 2009.

What is the MFS II contracting period:

> The project "Mobilisation of Community to strengthen MFP based livelihoods of tribal Women in South Rajasthan" runs from 1st of April 2009 until 31st of March 2014 and is funded under MFS II from 1st of January 2011 until 31st of March 2014.

Did cooperation with this partner end? Yes.

If yes, when did it finish? 31 March 2014

What is the reason for ending the cooperation with this partner: This contract has come to an end following the changes in the Co-Financing Programme supported by the Dutch Ministry of Foreign Affairs. Hivos may collaborate with this partner again in the future if the work of this organization can be integrated into a new project or programme.

2.4 Background to the Southern Partner Organisation

History

Samarthak Samiti developed as an offshoot of Astha Sansthan in 1990 in Southern Rajasthan to undertake the struggle/movement to increase the wages of Tendupatta collectors which Astha Sansthan had initiated in early nineties. It aims at strengthen community based organisations (CBOs) (self-help groups (SHGs) and Cooperatives) which are engaged with minor forest produce (MFP) collection and devoted to the cause of biodiversity conservation in order to provide sustainable livelihood to the marginalised tribal communities. Also lobby for natural resource management rules, laws and policies to create a favourable condition for the marginal communities.

In the early nineties despite some drawbacks the tendupatta movement resulted in increase in the price per bundle of tendupatta and cooperatives received loan with a negotiated interest rate from the department of Cooperatives. However, in 1993-95 cooperatives suffered losses due to change in management level and local politics. As a result, the need rose to form an organization to support tendupatta cooperatives after dealing with (Rajas Sangh) and then all the cooperative members meet together and decide to form an organization known as Samarthak Samiti.

During this period Samarthak Samiti was registered as a society in 1995 under the Societies Registration Act 1956 in order to manage the five existing cooperatives and streamline their activities, while carrying out the advocacy with the government. It was also registered under FCRA in 2002. The vision of Samarthak Samiti was then defined as "Strengthening livelihood of tribal communities and other marginalized sections of the society in Rajasthan through natural resource management.", and continues with the same vision. It was decided that the work would focus on tendupatta collection and sale and cooperatives would help sustain the activities of the society. Therefore, no funds were to be asked for.

From 1997 because the construction of Samarthak Samiti was not financially sustainable, Sir Ratan Tata Trust (SRTT) was asked for funds. SRTT gave Rs 2.76 lakhs for about 3 years. Working capital was requested from NABARD and other banks but loans were refused due to lack of sufficient assets. Though Astha gave a guarantee but this guarantee was refused, asking for change in by laws of Astha. However, in 1997 SIDBI granted 20 lakhs as loan in at 11% interest.

In the year 1998-2000 there was severe drought conditions in the region which resulted poor leaf yield. This made Samarthak Samiti aware of the risk of working with single commodity based intervention and undertook studies on availability of various minor forest produce in the area. As per the outcome of the study and in order to improve the demand conditions for other MFP products such as honey, ratanjot, custard apple, etc., started organising exhibition and presentation so as to increase demand condition in the region. As a result not only the demand condition increased in the market but also the district administration provided retail space to some of the cooperatives to display and sell their products.

By the year 2003, Samarthak Samiti was managing six cooperatives: Pratapgrah, Ghatol, Kotra, Aburoad Jhalawar, Jhadol, and Bichhiwada. And in 2004, two more were added: Gogunda and Salumber. The year 2003-04 was crucial as there were no funds for the organisation and Astha had to be asked for payment of salaries.

2004 was a turning year for Samarthak Samiti as they were granted a UNDP country project for the period 2004 – 2007 (about 70,000 EUR). This project 'Strengthening Minor Forest Produce- Based Livelihoods for Tribal Women in Udaipur' helped create a unique identity for Samarthak Samiti. It started working beyond tendupatta and other MFPs collection and marketing. 6 new employees were recruited and 22 SHG groups were formed and Samarthak Samiti also expanded geographically.

As it gained better visibility and experience in the livelihood promotion of the marginal tribal communities, contributed in mobilising international funds. Towards the end of UNDP project in 2006 it received MFS funds from Hivos. Hivos funded the 'Mobilization of Community to Strengthen MFP based Livelihoods of Tribal Women in Southern Rajasthan' project since October 2006. In this project, during 2006-2008 it received for about 70,605 EUR from Hivos and it increased to 150,850 Euro in 2009-2013 of which 62,921 Euro in years 2011-2013. The unspent balance with Hivos for 2009-13 was INR

1,913,495 which gave SS an extension of one year for 2013-2014. The Hivos funding over the years has helped Samarthak Samiti strengthen its capacity, improve the visibility and establish better networks.

Samarthak Samiti had 10 staff during baseline (September 2012) and during endline (July 2014) it had 9 staff. In 2009, Samarthak Samiti has started dealing with organic agricultural produce under SPWD (Society for Promotion of Wasteland Development) funds (about 20,000 EUR for the period of 2007-2010) but shortage of rains has not let the program to be successful and the funding ended in 2010.

In 2009-2013 Samarthak Samite received funding from various funders: Christian Aid started funding since 2010 till March 2013 for about 55000 GBP was received from Christian Aid for period of 2010-2013 and Sri Dorabji Tata Trust started funding since 2011 till 2014 for about 65000 Euro / INR 5,500,000. TRIFED started funding since 2009 till 2013 for about 14000 Euro. TRIFED along with support mostly engaged in capacitating the staff in honey harvesting techniques. During this period Centre for Environment Education (CEE) project focuses on biodiversity and funded for seed. Also, at present, Samarthak Samiti has good Khadi and zila parishad linkages along with good links with forest department. Other organisations also seek advice from Samarthak Samiti for matters concerning forest produce.

The number of SHGs and cooperatives has grown over time; the number of active registered cooperatives was 7 during baseline (September 2012) and in 2014 it is increased to 9. Obtaining funds is a big problem, if all cooperatives were to work then about projected requirement would be of 3-4 crores (INR 30-40 million; between 420,000 and 520,000EUR). Some cooperatives like the one in Abu road and Kotra are self-sustaining while the remaining 7 active registered cooperatives required resources to carry out their work.

A centralized processing centre is already planned with the support of HIVOS and other partner agencies. In 2012-13 laid the foundation of the processing centre for proper set-up of processing, storage and training. This is a grass roots level training cum processing demonstration centre at Kotra cooperative office premise is set including activities like Honey filter and processing, Jamun Sirka preparation, grinding unit, processing of Chikori powder. This centre also helps young girls to learn income generation avenues in alternate opportunities. The project developed centre so that it provides additional employment by creating grading and the value addition facilities for products like Satawar, Asgandh, Musali, Ratanjyot, Kanji and Dolma.

Samarthak Producer Company Limited which was registered during 2011 formally got registered in the Agriculture Produce Marketing Committee (APMC) and also got register its trade mark “desert Greens” for producing, processing and marketing Honey and Ark and Saharbat in area.

MFP Development Fund (MFD) which supports the small financial needs of the groups to carry out the activity of the MFPs collection and marketing to made payments to the collectors for their urgent needs. In this fund all the Cooperatives and forest community groups contributes. Since 2009 MFD has been managed by members on rotation. Presently this fund is managed by the Vanopaj Samuh Sangh. It is further planned to train the members on financial management to manage and utilize the fund and pass on this knowledge and skill to community leaders in the area, so that by the end of the project period a sustainable fund management system is at place.

The significance of MFPs is high for poor tribal communities in the area as they constitute important part of their livelihoods and potentials are large. In this whole trade of MFPs over-exploitation and even local extirpation in response to intensive harvest is the major threat to forest ecosystem and community economics. The result is that the natural resource base is becoming degraded in certain areas, and an increasing number of species are becoming extinct. In such circumstances, maintaining MFP harvest and trade within sustainable levels presents a major challenge today and the foreseeable future. With government’s anti-smoking policy and changing donor priority has added further challenges. Thus the organisation has further made strategic change to move toward agriculture and animal husbandry production and marketing for creating better sustainable livelihood for the target groups.

Vision

Strengthening livelihood of tribal communities and other marginalized sections of the society in Rajasthan through natural resource management.

Mission

Samarthak Samiti endeavours to strengthen people's organizations by facilitating appropriate interventions in collection, processing and marketing of forest produces in Rajasthan.

Strategies

The strategies followed by Samarthak Samiti are the following:

- Support forest dwellers for getting their rights in the forest area and to collect the forest products.
- Promote the natural agriculture and Non pesticides used agriculture products in area;
- Social mobilization of the women's especially tribal women's to get there rights over natural resource. Information exchange within the community in changes of rules and regulations regarding the forest;
- Provide support for the creation of new groups and Cooperatives for collective marketing of their products;
- Provide financial, marketing and legal support to organizations like groups and cooperatives for selling there MFPs and other products;
- Research, survey and documentation of information related with different varieties of forest produce;
- Enhance the organizational and financial capacities of smaller groups.

3 Methodological approach and reflection

3.1 Overall methodological approach and reflection

This chapter describes the methodological design and challenges for the assessment of capacity development of Southern Partner Organisations (SPOs), also called the '5C study'. This 5C study is organised around **four key evaluation questions**:

1. What are the changes in partner organisations' capacity during the 2012-2014 period?
2. To what degree are the changes identified in partner capacity attributable to development interventions undertaken by the MFS II consortia (i.e. measuring effectiveness)?
3. Were the efforts of the MFS II consortia efficient?
4. What factors explain the findings drawn from the questions above?

It has been agreed that the question (3) around efficiency cannot be addressed for this 5C study. The methodological approach for the other three questions is described below. At the end, a methodological reflection is provided.

Note: this methodological approach is applied to 4 countries that the Centre for Development Innovation, Wageningen University and Research centre is involved in in terms of the 5C study (Ethiopia, India, Indonesia, Liberia). The overall approach has been agreed with all the 8 countries selected for this MFS II evaluation. The 5C country teams have been trained and coached on this methodological approach during the evaluation process. Details specific to the SPO are described in chapter 5.1 of the SPO report A detailed overview of the approach is described in appendix 1.

The first (changes in organisational capacity) and the fourth evaluation question are addressed together through:

- **Changes in the 5C indicators since the baseline:** standard indicators have been agreed upon for each of the five capabilities of the five capabilities framework (see appendix 2) and changes between the baseline, and the endline situation have been described. For data collection a mix of data collection methods has been used, including self-assessments by SPO staff; interviews with SPO staff and externals; document review; observation. For data analysis, the Nvivo software program for qualitative data analysis has been used. Final descriptions per indicator and per capability with corresponding scores have been provided.
- **Key organisational capacity changes – 'general causal map':** during the endline workshop a brainstorm has been facilitated to generate the key organisational capacity changes as perceived by the SPO since the baseline, with related underlying causes. For this purpose, a visual as well as a narrative causal map have been described.

In terms of the attribution question (2 and 4), **'process tracing'** is used. This is a theory-based approach that has been applied to a selected number of SPOs since it is a very intensive and costly methodology, although it provides rich information and can generate a lot of learning within the organisations. This approach was presented and agreed-upon during the synthesis workshop on 17-18 June 2013 by the 5C teams for the eight countries of the MFS II evaluation. A more detailed description of the approach was presented during the synthesis workshop in February 2014. The synthesis team, NWO-WOTRO, the country project leaders and the MFS II organisations present at the workshop have accepted this approach. It was agreed that this approach can only be used for a selected number of SPOs since it is a very intensive and costly methodology. Key organisational capacity changes/ outcomes of the SPO were identified, based on their relationship to the two selected capabilities, the capability to act and commit the capability to adapt and self-renew, and an expected relationship with CFA supported capacity development interventions (MFS II funding). It was agreed to focus on these two capabilities, since these are the most targeted capabilities by the CFAs, as established during the baseline process.

Please find below an explanation of how the above-mentioned evaluation questions have been addressed in the 5C evaluation.

At the end of this appendix a brief methodological reflection is provided.

3.2 Assessing changes in organisational capacity and reasons for change - evaluation question 1 and 4

This section describes the data collection and analysis methodology for answering the first evaluation question: **What are the changes in partner organisations' capacity during the 2012-2014 period?** And the fourth evaluation question: **"What factors explain the findings drawn from the questions above?"**

In order to explain the changes in organisational capacity development between baseline and endline (evaluation question 1) the CDI and in-country evaluation teams needed to review the indicators and how they have changed between baseline and endline and what reasons have been provided for this. This is explained below. It has been difficult to find detailed explanations for changes in each of the separate 5c indicators, but the 'general causal map' has provided some ideas about some of the key underlying factors actors and interventions that influence the key organisational capacity changes, as perceived by the SPO staff.

The evaluators considered it important to also note down a consolidated SPO story and this would also provide more information about what the SPO considered to be important in terms of organisational capacity changes since the baseline and how they perceived these key changes to have come about. Whilst this information has not been validated with sources other than SPO staff, it was considered important to understand how the SPOs has perceived changes in the organisation since the baseline.

For those SPOs that are selected for process tracing (evaluation question 2), more in-depth information is provided for the identified key organisational capacity changes and how MFS II supported capacity development interventions as well as other actors, factors and interventions have influenced these changes. This is integrated in the next session on the evaluation question on attribution, as described below and in the appendix 1.

How information was collected and analysed for addressing evaluation question 1 and 4, in terms of description of changes in indicators per capability as well as in terms of the general causal map, based on key organisational capacity changes as perceived by the SPO staff, is further described below.

During the baseline in 2012 information has been collected on each of the 33 agreed upon indicators for organisational capacity. For each of the five capabilities of the 5C framework indicators have been developed as can be seen in Appendix 2. During this 5C baseline, a summary description has been provided for each of these indicators, based on document review and the information provided by staff, the Co-financing Agency (CFA) and other external stakeholders. Also a summary description has been provided for each capability. The results of these can be read in the baseline reports.

The description of indicators for the baseline in 2012 served as the basis for comparison during the endline in 2014. In practice this meant that largely the same categories of respondents (preferably the same respondents as during the baseline) were requested to review the descriptions per indicator and indicate whether and how the endline situation (2014) is different from the described situation in 2012[11].

Per indicator they could indicate whether there was an improvement or deterioration or no change and also describe these changes. Furthermore, per indicator the interviewee could indicate what interventions, actors and other factors explain this change compared to the baseline situation. See

[11] The same categories were used as during the baseline (except beneficiaries, other funders): staff categories including management, programme staff, project staff, monitoring and evaluation staff, field staff, administration staff; stakeholder categories including co-financing agency (CFA), consultants, partners.

below the specific questions that are asked for each of the indicators. Per category of interviewees there is a different list of indicators to be looked at. For example, staff members were presented with a list of all the indicators, whilst external people, for example partners, are presented with a select number of indicators, relevant to the stakeholder.

The information on the indicators was collected in different ways:

1) **Endline workshop at the SPO - self-assessment and 'general causal map'**: similar to data collection during the baseline, different categories of staff (as much as possible the same people as during the baseline) were brought together in a workshop and requested to respond, in their staff category, to the list of questions for each of the indicators (self-assessment sheet). Prior to carrying out the self-assessments, a brainstorming sessions was facilitated to develop a 'general causal map', based on the key organisational capacity changes since the baseline as perceived by SPO staff. Whilst this general causal map is not validated with additional information, it provides a sequential narrative, based on organisational capacity changes as perceived by SPO staff;
2) **Interviews with staff members**: additional to the endline workshop, interviews were held with SPO staff, either to provide more in-depth information on the information provided on the self-assessment formats during the workshop, or as a separate interview for staff members that were not present during the endline workshop;
3) **Interviews with externals**: different formats were developed for different types of external respondents, especially the co-financing agency (CFA), but also partner agencies, and organisational development consultants where possible. These externals were interviewed, either face-to-face or by phone/Skype. The interview sheets were sent to the respondents and if they wanted, these could be filled in digitally and followed up on during the interview;
4) **Document review**: similar to the baseline in 2012, relevant documents were reviewed so as to get information on each indicator. Documents to be reviewed included progress reports, evaluation reports, training reports, etc. (see below) since the baseline in 2012, so as to identify changes in each of the indicators;
5) **Observation**: similar to what was done in 2012, also in 2014 the evaluation team had a list with observable indicators which were to be used for observation during the visit to the SPO.

Below the key steps to assess changes in indicators are described.

Key steps to assess changes in indicators are described

1. Provide the description of indicators in the relevant formats – CDI team
2. Review the descriptions per indicator – in-country team & CDI team
3. Send the formats adapted to the SPO to CFA and SPO – in-country team (formats for SPO) and CDI team (formats for CFA)
4. Collect, upload & code the documents from CFA and SPO in NVivo – CDI team
5. Organise the field visit to the SPO – in-country team
6. Interview the CFA – CDI team
7. Run the endline workshop with the SPO – in-country team
8. Interview SPO staff – in-country team
9. Fill-in observation sheets – in-country team
10. Interview externals – in-country team
11. Upload and auto-code all the formats collected by in-country team and CDI team in NVivo – CDI team
12. Provide to the overview of information per 5c indicator to in-country team – CDI team
13. Analyse data and develop a draft description of the findings per indicator and for the general questions – in-country team
14. Analyse data and develop a final description of the findings per indicator and per capability and for the general questions – CDI team
15. Analyse the information in the general causal map –in-country team and CDI-team

Note: the CDI team include the Dutch 5c country coordinator as well as the overall 5c coordinator for the four countries (Ethiopia, India, Indonesia, Liberia). The 5c country report is based on the separate SPO reports.

Please see appendix 1 for a description of the detailed process and steps.

3.3 Attributing changes in organisational capacity - evaluation question 2 and 4

This section describes the data collection and analysis methodology for answering the second evaluation question*: **To what degree are the changes identified in partner capacity attributable to (capacity) development interventions undertaken by the MFS II consortia*** **(i.e. measuring effectiveness)?** and the fourth evaluation question: **"What factors explain the findings drawn from the questions above?"**

In terms of the attribution question (2), 'process tracing' is used. This is a theory-based approach that has been applied to a selected number of SPOs since it is a very intensive and costly methodology, although it provides rich information and can generate a lot of learning within the organisations. Key organisational capacity changes/ outcomes of the SPO were identified, based on their relationship to the two selected capabilities, the capability to act and commit the capability to adapt and self-renew, and an expected relationship with CFA supported capacity development interventions (MFS II funding). It was agreed to focus on these two capabilities, since these are the most targeted capabilities by the CFAs, as established during the baseline process.

Below, the selection of SPOs for process tracing as well as the different steps involved for process tracing in the selected SPOs, are further explained.

3.3.1 Selection of SPOs for 5C process tracing

Process tracing is a very intensive methodology that is very time and resource consuming (for development and analysis of one final detailed causal map, it takes about 1-2 weeks in total, for different members of the evaluation team). It has been agreed upon during the synthesis workshop on 17-18 June 2013 that only a selected number of SPOs will take part in this process tracing for the purpose of understanding the attribution question. The selection of SPOs is based on the following criteria:

- MFS II support to the SPO has not ended before 2014 (since this would leave us with too small a time difference between intervention and outcome);
- Focus is on the 1-2 capabilities that are targeted most by CFAs in a particular country;
- Both the SPO and the CFA are targeting the same capability, and preferably aim for similar outcomes;
- Maximum one SPO per CFA per country will be included in the process tracing.

The intention was to focus on about 30-50% of the SPOs involved. Please see the tables below for a selection of SPOs per country. Per country, a first table shows the extent to which a CFA targets the five capabilities, which is used to select the capabilities to focus on. A second table presents which SPO is selected, and takes into consideration the selection criteria as mentioned above.

For the detailed results of this selection, in the four countries that CDI is involved in, please see appendix 1. The following SPOs were selected for process tracing:

Ethiopia: AMREF, ECFA, FSCE, HUNDEE (4/9)

India: BVHA, COUNT, FFID, SMILE, VTRC (5/10)

Indonesia: ASB, ECPAT, PtPPMA, YPI, YRBI (5/12)

Liberia: BSC, RHRAP (2/5).

3.3.2 Key steps in process tracing for the 5C study

In the box below you will find the key steps developed for the 5C process tracing methodology. These steps will be further explained here. Only key staff of the SPO is involved in this process: management; programme/ project staff; and monitoring and evaluation staff, and other staff that could provide information relevant to the identified outcome area/key organisational capacity change. Those SPOs selected for process tracing had a separate endline workshop, in addition to the ' general endline workshop. This workshop was carried out after the initial endline workshop and the interviews

during the field visit to the SPO. Where possible, the general and process tracing endline workshop have been held consecutively, but where possible these workshops were held at different points in time, due to the complex design of the process. Below the detailed steps for the purpose of process tracing are further explained. More information can be found in Appendix 1.

Key steps in process tracing for the 5C study

1. Identify the planned MFS II supported capacity development interventions within the selected capabilities (capability to act and commit and capability to adapt and self-renew) – CDI team

2. Identify the implemented MFS II supported capacity development interventions within the selected capabilities (capability to act and commit and capability to adapt and self-renew) – CDI team

3. Identify initial changes/ outcome areas in these two capabilities – CDI team & in-country team

4. Construct the detailed, initial causal map (theoretical model of change) – CDI team & in-country team

5. Identify types of evidence needed to verify or discard different causal relationships in the model of change – in-country teams, with support from CDI team

6. Collect data to verify or discard causal mechanisms and construct workshop based, detailed causal map (model of change) – in-country team

7. Assess the quality of data and analyse data and develop final detailed causal map (model of change) – in-country team with CDI team

8. Analyse and conclude on findings– CDI team, in collaboration with in-country team

3.3.3 Methodological reflection

Below a few methodological reflections are made by the 5C evaluation team. These can also be found in appendix 1.

Use of the 5 core capabilities framework and qualitative approach: this has proven to a be very useful framework to assess organisational capacity. The five core capabilities provide a comprehensive picture of the capacity of an organisation. The capabilities are interlinked, which was also reflected in the description of standard indicators, that have been developed for the purpose of this 5C evaluation and agreed upon for the eight countries. Using this framework with a mainly qualitative approach has provided rich information for the SPOs and CFAs, and many have indicated this was a useful learning exercise.

Using standard indicators and scores: using standard indicators is useful for comparison purposes. However, the information provided per indicator is very specific to the SPO and therefore makes comparison difficult. Whilst the description of indicators has been useful for the SPO and CFA, it is questionable to what extent indicators can be compared across SPOs since they need to be seen in context, for them to make meaning. In relation to this, one can say that scores that are provided for the indicators, are only relative and cannot show the richness of information as provided in the indicator description. Furthermore, it must be noted that organisations are continuously changing and scores are just a snapshot in time. There cannot be perfect score for this. In hindsight, having rubrics would have been more useful than scores.

General causal map: whilst this general causal map, which is based on key organisational capacity changes and related causes, as perceived by the SPO staff present at the endline workshop, has not been validated with other sources of information except SPO feedback, the 5C evaluation team considers this information important, since it provides the SPO story about how and which changes in

the organisation since the baseline, are perceived as being important, and how these changes have come about. This will provide information additional to the information that has been validated when analysing and describing the indicators as well as the information provided through process tracing (selected SPOs). This has proven to be a learning experience for many SPOs.

Using process tracing for dealing with the attribution question: this theory-based and mainly qualitative approach has been chosen to deal with the attribution question, on how the organisational capacity changes in the organisations have come about and what the relationship is with MFS II supported capacity development interventions and other factors. This has proven to be a very useful process, that provided a lot of very rich information. Many SPOs and CFAs have already indicated that they appreciated the richness of information which provided a story about how identified organisational capacity changes have come about. Whilst this process was intensive for SPOs during the process tracing workshops, many appreciated this to be a learning process that provided useful information on how the organisation can further develop itself. For the evaluation team, this has also been an intensive and time-consuming process, but since it provided rich information in a learning process, the effort was worth it, if SPOs and CFAs find this process and findings useful.

A few remarks need to be made:

- Outcome explaining process tracing is used for this purpose, but has been adapted to the situation since the issues being looked at were very complex in nature.
- Difficulty of verifying each and every single change and causal relationship:
  - Intensity of the process and problems with recall: often the process tracing workshop was done straight after the general endline workshop that has been done for all the SPOs.In some cases, the process tracing endline workshop has been done at a different point in time, which was better for staff involved in this process, since process tracing asks people to think back about changes and how these changes have come about. The word difficulties with recalling some of these changes and how they have come about. See also the next paragraph.
  - Difficulty of assessing changes in knowledge and behaviour: training questionnaire is have been developed, based on Kirkpatrick's model and were specifically tailored to identify not only the interest but also the change in knowledge and skills, behaviour as well as organisational changes as a result of a particular training. The retention ability of individuals, irrespective of their position in the organisation, is often unstable. The 5C evaluation team experienced that it was difficult for people to recall specific trainings, and what they learned from those trainings. Often a change in knowledge, skills and behaviour is a result brought about by a combination of different factors , rather than being traceable to one particular event. The detailed causal maps that have been established, also clearly pointed this. There are many factors at play that make people change their behaviour, and this is not just dependent on training but also internal/personal (motivational) factors as well as factors within the organisation, that stimulate or hinder a person to change behaviour. Understanding how behaviour change works is important when trying to really understand the extent to which behaviour has changed as a result of different factors, actors and interventions. Organisations change because people change and therefore understanding when and how these individuals change behaviour is crucial. Also attrition and change in key organisational positions can contribute considerably to the outcome.

Utilisation of the evaluation

The 5C evaluation team considers it important to also discuss issues around utility of this evaluation. We want to mention just a few.

Design – mainly externally driven and with a focus on accountability and standard indicators and approaches within a limited time frame, and limited budget: this MFS II evaluation is originally based on a design that has been decided by IOB (the independent evaluation office of the Dutch Ministry of Foreign Affairs) and to some extent MFS II organisations. The evaluators have had no influence on the overall design and sampling for the 5C study. In terms of learning, one may question whether the most useful cases have been selected in this sampling process. The focus was very much on a rigorous evaluation carried out by an independent evaluation team. Indicators had to be streamlined across countries. The 5C team was requested to collaborate with the other 5C country teams (Bangladesh,

Congo, Pakistan, Uganda) to streamline the methodological approach across the eight sampled countries. Whilst this may have its purpose in terms of synthesising results, the 5C evaluation team has also experienced the difficulty of tailoring the approach to the specific SPOs. The overall evaluation has been mainly accountability driven and was less focused on enhancing learning for improvement. Furthermore, the timeframe has been very small to compare baseline information (2012) with endline information (2014). Changes in organisational capacity may take a long, particularly if they are related to behaviour change. Furthermore, there has been limited budget to carry out the 5C evaluation. For all the four countries (Ethiopia, India, Indonesia, Liberia) that the Centre for Development Innovation, Wageningen University and Research centre has been involved in, the budget has been overspent.

However, the 5C evaluation team has designed an endline process whereby engagement of staff, e.g. in a workshop process was considered important, not only due to the need to collect data, but also to generate learning in the organisation. Furthermore, having general causal maps and detailed causal maps generated by process tracing have provided rich information that many SPOs and CFAs have already appreciated as useful in terms of the findings as well as a learning process.

Another issue that must be mentioned is that additional requests have been added to the country teams during the process of implementation: developing a country based synthesis; questions on design, implementation, and reaching objectives of MFS II funded capacity development interventions, whilst these questions were not in line with the core evaluation questions for the 5C evaluation.

Complexity and inadequate coordination and communication: many actors, both in the Netherlands, as well as in the eight selected countries, have been involved in this evaluation and their roles and responsibilities, were often unclear. For example, 19 MFS II consortia, the internal reference group, the Ministry of Foreign Affairs, Partos, the Joint Evaluation Trust, NWO-Wotro, the evaluators (Netherlands and in-country), 2 external advisory committees, and the steering committee. Not to mention the SPO's and their related partners and consultants. CDI was involved in 4 countries with a total number of 38 SPOs and related CFAs. This complexity influenced communication and coordination, as well as the extent to which learning could take place. Furthermore, there was a distance between the evaluators and the CFAs, since the approach had to be synchronised across countries, and had to adhere to strict guidelines, which were mainly externally formulated and could not be negotiated or discussed for the purpose of tailoring and learning. Feedback on the final results and report had to be provided mainly in written form. In order to enhance utilisation, a final workshop at the SPO to discuss the findings and think through the use with more people than probably the one who reads the report, would have more impact on organisational learning and development. Furthermore, feedback with the CFAs has also not been institutionalised in the evaluation process in the form of learning events. And as mentioned above, the complexity of the evaluation with many actors involved did not enhance learning and thus utilization.

5C Endline process, and in particular thoroughness of process tracing often appreciated as learning process: The SPO perspective has also brought to light a new experience and technique of self-assessment and self-corrective measures for managers. Most SPOs whether part of process tracing or not, deeply appreciated the thoroughness of the methodology and its ability to capture details with robust connectivity. This is a matter of satisfaction and learning for both evaluators and SPOs. Having a process whereby SPO staff were very much engaged in the process of self-assessment and reflection has proven for many to be a learning experience for many, and therefore have enhanced utility of the 5C evaluation.

4 Results

4.1 MFS II supported capacity development interventions

Below an overview of the different MFS II supported capacity development interventions of Samarthak Samiti that have taken place since 2011 are described. The information is based on the information provided by Hivos and Samarthak Samiti.

The information available about the MFS II supported capacity development interventions comes partly from the support to capacity development sheet filled in by Hivos in September 2012, other progress reports received and the support to capacity development sheet filled in by SS in March 2014. Unfortunately the person within Hivos who was well familiar with SS no longer works for Hivos India and therefore could not provide additional inside information on the capacity development of SS. Tasks and responsibilities were transferred to the Hivos head office in the Netherlands upon closure of the Bangalore office in December 2013 and in anticipation of the establishment of a new office in Mumbai in August 2014.

In the progress report for the period 1 April 2013 – 31 March 2014 on the project "Mobilisation of Community to strengthen MFP based livelihoods of tribal Women in South Rajasthan" funded by Hivos, the following capacity building activities are mentioned:

- During this year SS organised a training for its staff on producer company management , exposure to the other producer company and the marketing exposure in the big events.
- Staff training: Team members were sent to a training programme where the opportunity came towards two persons, who were sent to a producer company training organised by ALC, Hyderabad at Udaipur.

The table below is based on the interventions that Samarthak Samiti has mentioned as funded by Hivos in the support to capacity development sheet.

Table 1
Information about MFS II supported capacity development interventions since baseline

Title of the MFS II supported capacity development intervention	Objectives	Activities	Timing and duration	Budget
Finance Management and Accounting Workshop by Hivos in Bangalore	To improve the financial management systems in the organization	2 staff members (Secretary/programme and accounts) participated in this in-house workshop for Hivos its partners for new FCRA and progress	6-9 September 2011	€ 235
Training on Project Management and Result Based Monitoring in Udaipur	Staff have a better understanding of project management	Training by Mr. Subodh Tonadan for all staff	21-22 October 2011	€ 471
RBM and Project Management training in Udaipur	Understanding for better project management	Training by Mr. Deepak Sharma for all staff	9 November 2011	€ 118
Training on Management of the producers organisation in Udaipur	Understanding about the producer organisation	Training by ALC , Hydarabad A cluster facilitator and the accounts person of SS participated in this.	14-16 November 2013	€ 94
Training on Management of the Social enterprise in Anand	Understanding about Social enterprise management	Training by IRMA. A cluster facilitator participated in this.	18-22 March 2014	€ 353

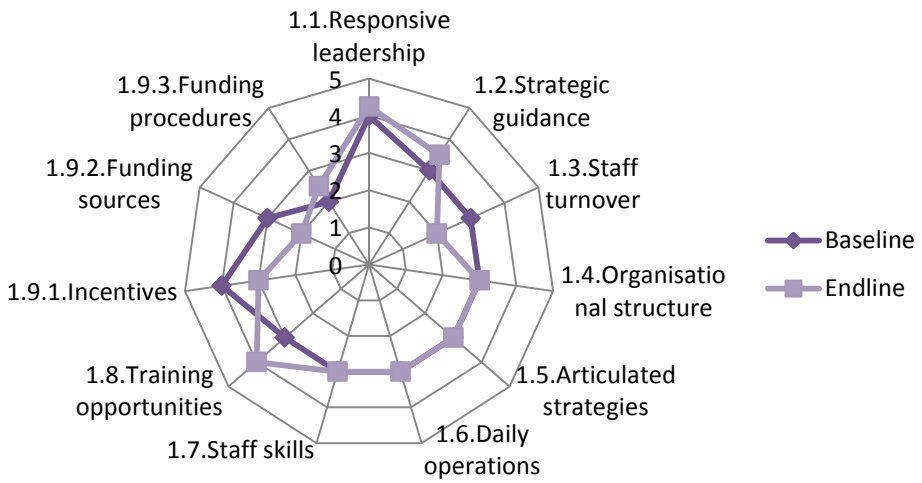
Source: Baseline report Samarthak Samiti and 5C endline_support to capacity development sheet_SPO perspective_India_Samarthak Samiti

4.2 Changes in capacity and reasons for change - evaluation question 1 and 4

Below you can find a description of the changes in each of the five core capabilities. This information is based on the analysis of the information per each of the indicators. This detailed information for each of the indicators describes the current situation, and how and why it has changed since the baseline. See also annex 3.

4.2.1 Changes in the five core capabilities

Capability to act and commit



The most serious change that affected the organisation has been the reduction in funding. Most of Samarthak Samiti's contracts with donors have ended in 2014, including the one with Hivos, meaning a significant decrease in its funding base. Whilst there are still no formal funding procedures, SS has improved staff's capacity to write proposals and they have approached five potential funders to cope with this poor funding situation. Other coping strategies include: widening its strategic focus to appeal to a wider set of donors; strengthening its producer company in the hope that they can support the organisation's strategies and pay the salaries of the staff of Samarthak Samiti; the MFP development fund which helps in the self-sustainability of the producer's groups that Samarthak Samiti supports; being hired as resource agency by SFAC[12] and by TRIFED to organise short term NTFPs based training. They were able to get funding from Centre for Environment Education of the United Nations Development Programme (CEE-UNDP) and Wells for India (WFI) to continue the "Mobilization of Community to Strengthen MFP based Livelihoods of Tribal Women in Southern Rajasthan" programme until December 2015 and pay half of the field staff's salaries. The chief functionary has taken it upon himself to develop proposals and new relationships with potential donors. The leader of Samarthak Samiti is still responsive and focussed in his work. Reduced funding and need to sustain the organisation has compelled the leader to be self-reliant. He has become more independent from external consultants and Astha (the mother organisation of SS) as he increased his capacity to write reports, proposals and approach donors. The leader has improved his capacity to network and has approached new donors for the sustainability of the organisation: in 2013 he approached the Centre for Environment Education Ahmedabad and Wells for India. The leader is focusing on the capacity building of his field staff by offering them training opportunities and exposure visits so that they can independently train the target groups. The strategic directions provided by the leader are still in line

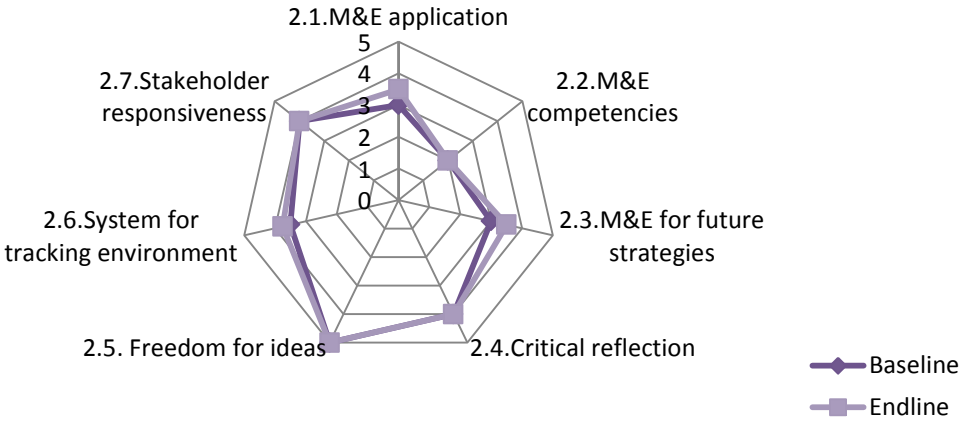
12 SFAC is a consortium that supports new ventures in Agro-based industries. The target groups are individuals, farmers, producer groups, SHGs etc. and the consortium helps them get venture capital by linking them with banks

with the vision of the organization. The leader is now taking a more business-like approach by focussing on non-timber forest produce (NTFP) collection, livelihoods and marketing and focusses more on generating own income instead of depending on grants. Samarthak Samiti has well-articulated strategies both at the programme as well as the organizational level that are based on good situational analysis and on achieving sustainability. Through its field staff Samarthak Samiti is always aware of the situation on the ground. The organisation's daily operations are still in line with strategic plans. Monthly plans are made based upon quarterly targets and staff makes daily plan based on the monthly plans. In the last two years as the funding from the donors has gradually reduced, staff salaries have also been reduced by 50%. Two project level staff had to leave the organization because of lack of funds to keep them, which has increased the workload on the remaining staff. Staff turnover at the field level continues to be low. Field staff is from the community and are motivated to help their own community. SS remains to be a not very hierarchical organisation and there are no changes in the organisational structure. There is a plan to reshuffle the board members and form an advisory committee to make the decision making process faster. While staff has improved their skills in areas that were lacking during the baseline (MIS, nursery raising, technical support on agriculture, developing producer organisation), there continues to be a need to improve basic English skills gaps. While SS continued to provide a customised training and exposure visit programme to staff and had reached a good level of trained staff, with 2-3 trained staff leaving the situation changed dramatically. The programme staff that was trained on results-based monitoring could not be retained as the organisation did not have sufficient funds.

Score baseline: 3.1

Score endline: 3.0 (no change)

Capability to adapt and self-renew



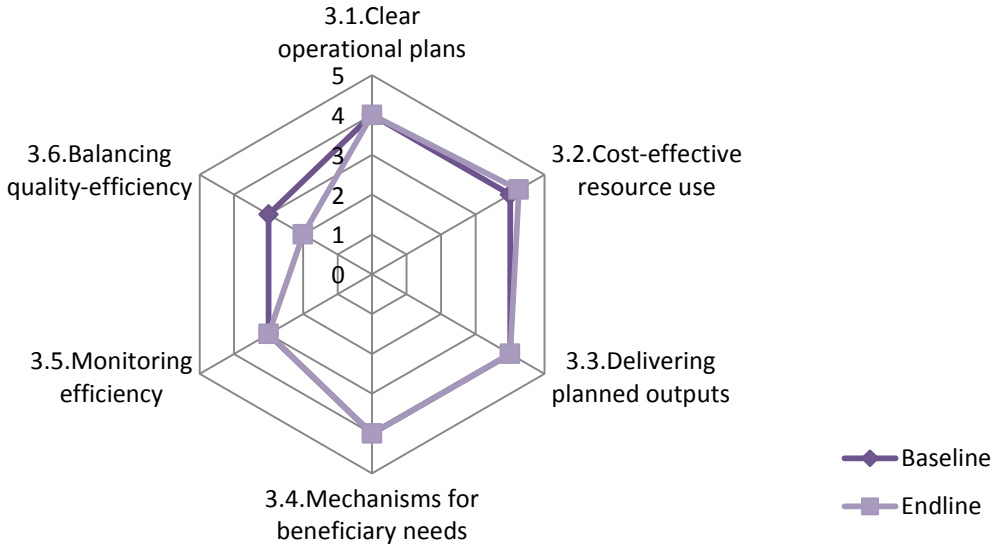
Samarthak Samiti continues to have regular meetings to report on and discuss project related issues but still does not have a comprehensive and formalised M&E system in place. Monitoring is still done for inputs and outputs through record keeping. Since the baseline Samarthak Samiti has fine-tuned its templates and MIS formats for data collection and monitoring both at the field and head quarter level. In its reports, indicators at activity and outcome level are reported on. The reports are submitted monthly by the field staff. These are then compiled, analysed and translated to English by the leader. While field staff has become better at monitoring and collecting data and the leader is becoming less dependent on external consultants for drafting reports, programme staff that was trained in results-based monitoring have left the organisation due to lack of funding. The informal analysis of data and the overall M&E process improved over the last two years as donors have continuously pointed at the gaps. This has helped Samarthak Samiti to learn from previous experiences and use this in developing new strategic plans. Staff continue to meet regularly to discuss issues at project level. They also feel comfortable to come to the leader to ask for advice as he is very approachable and likes to sit in the same room as staff. With reduction in funds, issues are discussed more often. Decision making is participatory and decentralised and this supports people in talking freely. There are frequent discussions and their ideas are welcomed and used. Samarthak Samiti continues to work with the

cooperatives which helps them in tracking any changes regarding the situation on the ground. As Samarthak Samiti continues to work on products of which many are regulated by the government, they stay up to date with the relevant acts and policies; and make use of the relevant state and national government provisions. With government's anti-smoking policy and changing donor priority the organisation made strategic change to move toward agriculture and animal husbandry production and marketing. SS is now also tracking trends in agriculture through its network in the non- pesticide management initiative. The information now seems to be coming from both the local and national level. The organisation continues to be open to take inputs from different beneficiaries and sensitive to their needs.

Score baseline: 3.5

Score endline: 3.7 (very slight improvement)

Capability to deliver on development objectives

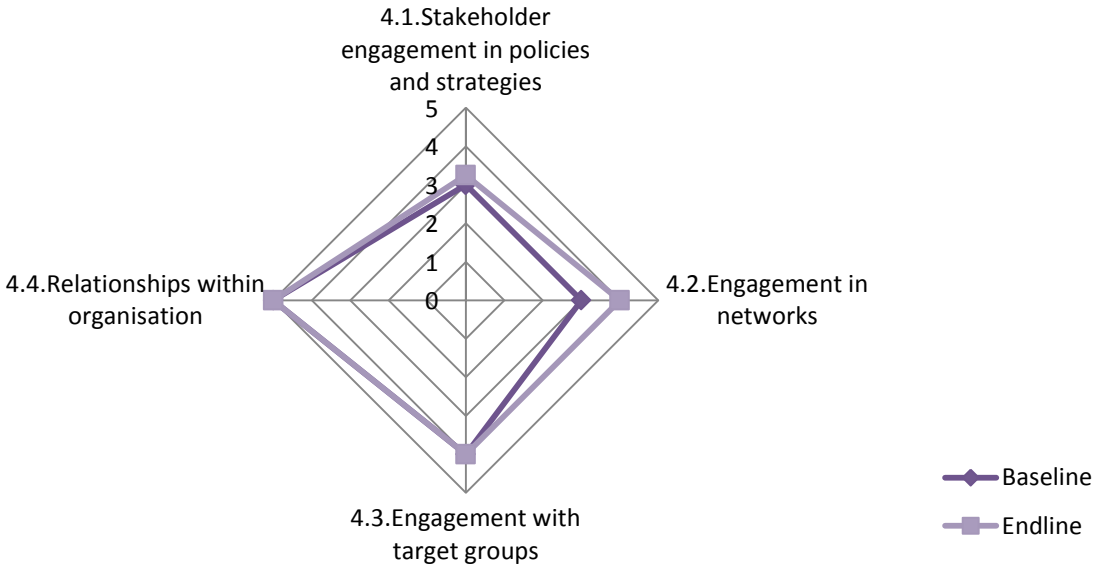


Samarthak Samiti continues to have a work plan and budget for each project. Quarterly, monthly and daily plans are made in alignment with the annual strategic plan. In some of the clusters the staff meets daily to discuss their plans and activities. Staff still have access to vehicles and computers that enable them to carry out their work. With a reduction in funds, using resources in a cost-effective manner has become more important. The leader and field staff are now less dependent on the external consultant and only hire him when in dire need. Most of the planned outputs are carried out and delivered. There are external factors, like climatic conditions and auction prices that sometimes prevent the execution of plans and submission of deliverables. Samarthak Samiti continues to work in a participatory and decentralized way. They are a membership organisation having representation from various cooperatives; the programmes are developed based on the needs and alternatives suggested by the members. Input-output ratios are still not developed as per the definition of the term and no formal mechanisms for staff appraisal are in place. Monitoring efficiency could have improved as two project staff were trained on results-based monitoring. However, they left the organisation as they could not be retained due to financial constraints. Due to lack of staff there is no proper monitoring and sufficient field visits of the programme and as a result the quality and efficiency of the work has deteriorated. Furthermore, the current staff is overburdened with double workloads against half the salary.

Score baseline: 3.7

Score endline: 3.5 (very slight deterioration)

Capability to relate

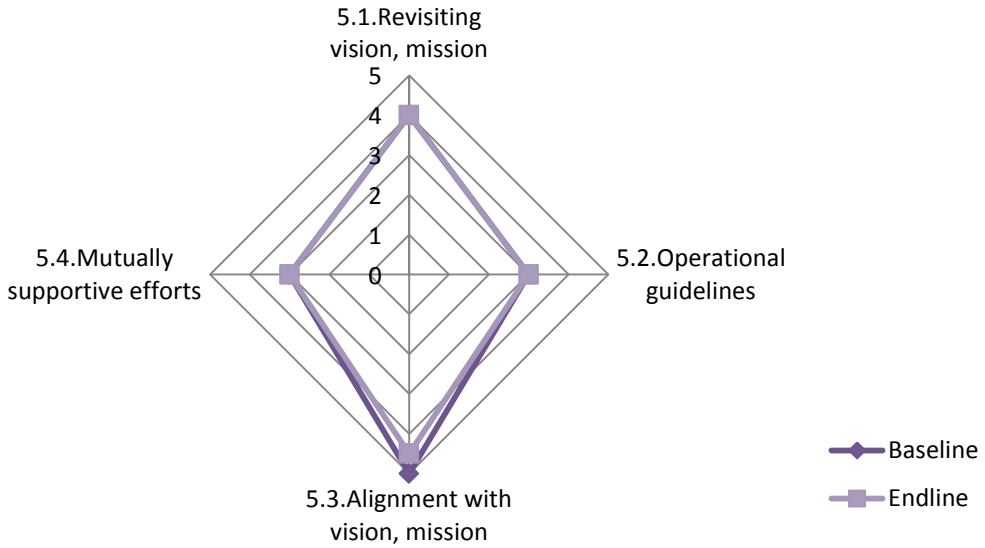


Samarthak Samiti continues to maintain relationships with local likeminded NGOs and cooperatives and takes inputs from them while preparing strategic plans. A new network they are part of is the Non-Pesticide Management Initiative (NPMI) which helps them in developing strategies on agriculture. During the last two years Samarthak Samiti has continued its relationship with cooperatives, government and like-minded NGOs, but is now linking up with other organisations and relevant networks also at the national level. These include: SFAC for promoting producer organisations in Rajasthan, MFP Drafting committee of the government, NPMI, Tribal Self-Rule Network and the Herbal Network India. This has strengthened the capacity of the organization in lobbying for policy change and betterment of the tribal community. Samarthak Samiti continues to maintain close relationships with the cooperatives and in the last two years field level staff gained confidence to independently conduct meetings with the community groups which strengthened their interaction with them. However, due to reduced funding and the leader being overburdened with work his interaction with the target groups has reduced. Staff continues to have good interpersonal relationships and feel free to discuss issues among themselves and with their leader.

Score baseline: 3.8

Score endline: 4.1 (very slight improvement)

Capability to achieve coherence



For now, Samarthak Samiti's projects, strategies and associated operations are still aligned with its vision and mission. Samarthak Samiti is however, rethinking its strategic focus to move it from NTFP collection and marketing to agriculture and forest based strategies due to the government's anti-smoking policy affecting the demand for tendu patta and the change in funders' priorities. This is not in line with the current vision and mission which both focus on natural resource management and collection, processing and marketing of forest produces (not agriculture). Operational plans, HR guidelines and gender policy still exist in the organisation but are not strictly followed as there are few staff members and reduced funding. There is still a need to follow the gender policy more systematically. Due to having less people in the organization, the staff is multi-tasking which further ensures that there is no duplication of work and the project activities are mutually supportive. A negative result of this is that staff over overburdened.

Score baseline: 3.8

Score endline: 3.6 (very slight deterioration)

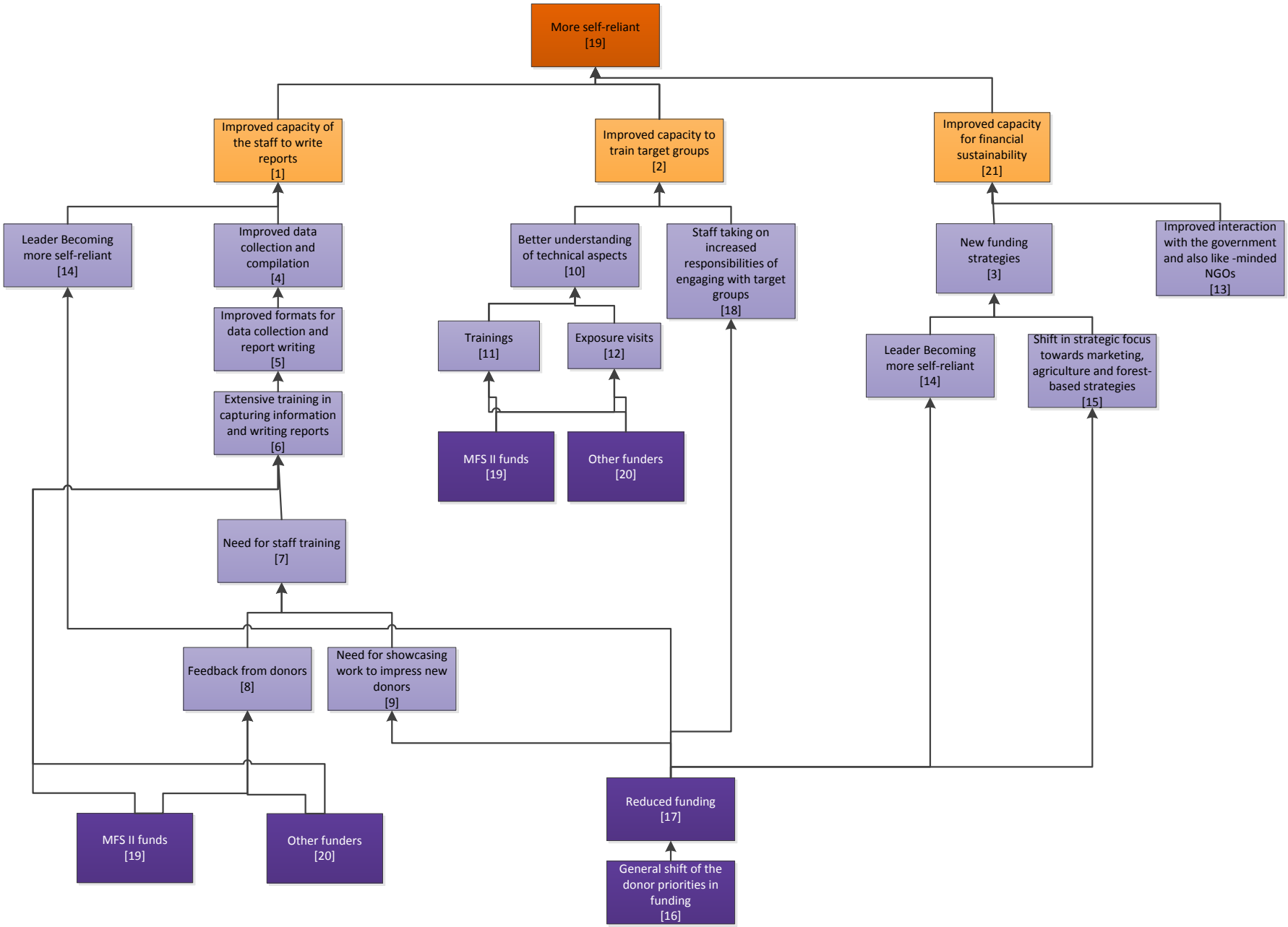
4.2.2 General changes in the organisational capacity of the SPO

The evaluation team carried out an endline assessment at Samarthak Samiti from 1 to 3 July 2014. During the endline workshop at the SPO, a discussion was held around what were the main changes in organisational capacity since the baseline and why these changes have taken place. The discussion was visualised in a general causal map as can be seen below. The narrative for the general causal map is also described below. It gives a more general picture of what was seen as important changes in the organisation since the baseline, and how these changes have come about, and that tells the more general story about the organisational changes in the SPO. The evaluators considered it important to also note down the SPO's story and this would also provide more information about reasons for change, which were difficult to get for the individual indicators. Also for some issues there may not have been relevant indicators available in the list of core indicators provide by the evaluation team. The detailed narrative can be found in Annex 4.

During this workshop, the team made a recap of key features of the organisation in the baseline in 2012 (such as vision, mission, strategies, clients, partnerships). This was the basis for discussing changes that had happened to the organisation since the baseline. According to staff present at the endline workshop. Samarthak Samiti has become more self-reliant in the last two years since the baseline. This has been due to the following key organizational capacity changes:

1. Improved capacity of the staff to write reports [1]
2. Improved capacity of the staff to train target groups [2]
3. Improved capacity for financial sustainability [21]

During the endline workshop it was discussed what were the reasons for each of these organisational capacity changes. The three main organisational capacity changes are described in the light orange boxes and some of their key consequences are noted above these cards in dark orange. Light purple boxes represent factors and aspects that influence the key organisational capacity changes (in light orange). Key underlying factors that have impacted the organisation are listed at the bottom in dark purple. The narrative describes per organisational capacity change, the contributing factors as described from the top down. The numbers in the visual correspond with the numbers in the narrative.


More self-reliant [19]
Improved capacity of the staff to write reports [1]
Improved capacity to train target groups [2]
Improved capacity for financial sustainability [21]
Leader Becoming more self-reliant [14]
Improved data collection and compilation [4]
Better understanding of technical aspects [10]
Staff taking on increased responsibilities of engaging with target groups [18]
New funding strategies [3]
Improved interaction with the government and also like -minded NGOs [13]
Improved formats for data collection and report writing [5]
Trainings [11]
Exposure visits [12]
Leader Becoming more self-reliant [14]
Shift in strategic focus towards marketing, agriculture and forest-based strategies [15]
Extensive training in capturing information and writing reports [6]
MFS II funds [19]
Other funders [20]
Need for staff training [7]
Feedback from donors [8]
Need for showcasing work to impress new donors [9]
Reduced funding [17]
MFS II funds [19]
Other funders [20]
General shift of the donor priorities in funding [16]

1. Improved capacities of the staff to write reports [1]

During the endline workshop, SS staff indicated that their capacity to write reports has improved [1] and that this is related to:

- *The leader becoming more self-reliant [14].* The leader is less dependent on external consultants and Samarthak Samiti's mother organisation Astha Sansthan. This is evident from the fact that the consultant was initially invited for 4-5 times in a month but now his help is sought only 4-5 times in a quarter. The leader has been independently trying to put together proposals, compiling information from the field and translating it into English, which he is now better versed in.
- *Improved data collection and compilation [4].* The improved capacity of the staff for data collection, report writing and monitoring improved the quality of monthly reports. This is evident from the approval letter of 2014 Annual Review Report of Samarthak Samiti.

2. Improved capacities of the field staff to train target groups [2]

Samarthak Samiti has improved its capacity to train the target groups on technologies, entrepreneurship development, business potential and sustainability [2], which is noted in the additional partner contract with Hivos for extension of the budget. The staff is more confident in conducting meetings with the target groups, officials of the forest departments and the police. Improved capacities of the field staff to train target groups [2] is due to:

- *Staff expresses better understanding of the technical aspects of their roles [10]:* this is demonstrated by for example advising beneficiaries on sustainable farming, processing of NTFP, documentation related to dispatch of NTFP and helping beneficiaries negotiate with local traders
- *Staff to take on increased responsibility of engaging with the target groups [18]:* The other reason for improved capacity of SS staff to train the target group was that staff now take on the responsibility of engaging with the target groups. Earlier the staff was more dependent on the leader or a resource person to train the target groups and solve problems.

3. Improved capacity for financial sustainability [21]

SS improved its capacity for financial sustainability [21] because the organization started using new funding strategies [3] and because they improved their interaction with the government and like-minded NGOs [13]:

- *New funding strategies [3]* During the last two years the staff has improved their skills significantly to collect focused data from the field, to write better reports in order to showcase its work to new donors. While during the baseline Samarthak Samiti depended on an organisational development specialist for finalising their proposals, they are now trying to independently to put together proposals, and they are making better use of data and field experiences. The chief functionary has taken it upon himself to develop proposals and new relationships with potential donors. SS currently is in contact with the following potential donors:
  - Cement company to make it part of their CSR
  - NABARD (National Bank for Agriculture and Rural Development) Jaipur for the tree-based Wadi support for tribal groups in the area
  - Christian Aid, hopefully to support SS in a consortium of the BEE-Keeping for agriculture production project in 2014-2016
  - As a Hivos partner SS also has applied to the Producer Entrepreneurship Catalyst & Incubation Facility (PROCIF) for capacity building and will also apply for the working capital and other support.
- *During the endline workshop, SS staff also indicated that they have improved their interaction with the government and also other like –minded NGOs [13].* One of the networks that Samarthak Samiti has strengthened is that they are now empanelled as resource agency by SFAC[13.]

13 SFAC is a consortium that supports new ventures in Agro-based industries. The target groups are individuals, farmers, producer groups, SHGs etc. and the consortium helps them get venture capital by linking them with banks

Underlying factors:

- *Other funders [20]:* have funded trainings and exposure visits that (indirectly) led to improved data collection and compilation [4] and staff expressing a better understanding of the technical aspects of their roles [10].
- *MFS II funds [19]:* also were used for trainings and exposure visits that (indirectly) led to improved data collection and compilation [4] and staff expressing a better understanding of the technical aspects of their roles [10].
- *Reduced funding [17]* and need to sustain the organisation has compelled the leader to be self-reliant [14] because of a shift in donor priorities [16]. Reduction in funding [17] has also led to staff taking on increased responsibility of engaging with the target groups [18] and the organisation starting to use new funding strategies [3].

5 Discussion and conclusion

5.1 Methodological issues

In order to get detailed information on the capacity development of the staff, self-assessment forms were filled in by the management (Secretary cum chief functionary), HR/Administration staff (HR/Administration, Finance officer), and field staff (three community worker and cluster facilitator). Two of SS' programme staff left the organization during the period of evaluation, due to inadequate funds to support these staff. As a result, the evaluators did not have filled in self-assessment forms for those programme staff. Though the questions in the self-assessments were aimed at looking closely into the detailed changes, these questions became very repetitive. Evaluators tried to resolve this, by clarifying the responses by follow-up interviews after studying the responses.

The evaluators interviewed one partner of SS and the organisation's Organisation Development Consultant, which gave insight into the organisation's capacity, strategic planning and funding situation. Dependence of Samarthak Samiti on the Organisation Development Consultant has gradually reduced due to funding crunch and lack of new projects.

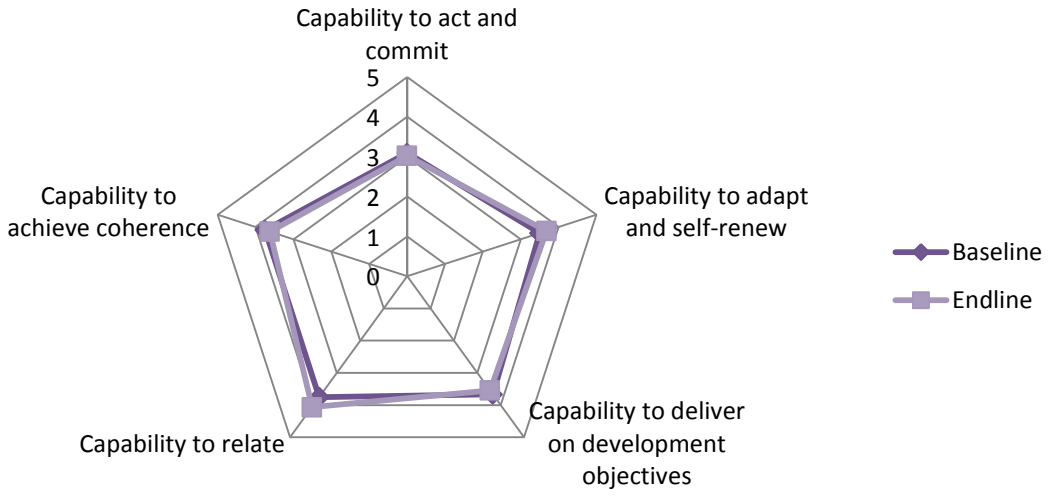
Unfortunately the person within Hivos (the CFA) who was well familiar with SS no longer works for Hivos India and could therefore not provide additional inside information on the capacity development and the changes in the organisational capacity indicators of SS. Tasks and responsibilities of the Hivos office in India were transferred to the Hivos head office in the Netherlands upon closure of the Bangalore office in December 2013 and in anticipation of the establishment of a new office in Mumbai in August 2014. The information on the capacity development interventions was "reconstructed" based on the baseline report, and the progress reports. The support to capacity development sheet was filled in by SS in March 2014, with the help of the CFA (the person responsible for managing the India portfolio in the transition of offices).

The five funders they had during the baseline have almost all terminated their contracts in 2014 (including Hivos). The effect of this might not be shown completely in the general causal map, since these changes are recent, whilst most likely the implications and consequences for SS are big.

5.2 Changes in organisational capacity

This section aims to provide an answer to the first and fourth evaluation questions:

1. *What are the changes in partner organisations' capacity during the 2012-2014 period?*
4. *What factors explain the findings drawn from the questions above?*



Changes took place in all of the five core capabilities. Below the changes in each of the capabilities are further explained, by referring to the specific indicators that changed.

Over the last two years many changes took place in the indicators under the capability to act and commit. Because of reduced funding the leader became more self-reliant and less dependent on the external consultant. The leader focussed more on capacity building for staff and at the same time second line leadership was strengthening. The leader also started taking a more business-like approach and through strategic planning exercises SS came to a more holistic strategy for its work. The leader also improved his networking capacity. There was a slight deterioration in the indicator on staff turnover, as 2-3 key staff left the organisation in the last two years, taking with them valuable skills. This was because of reduced funding, which led to having to let two staff members go and halving the salaries while increasing the workload of the staff that remained. There has, however, been improvement in the amount of trainings that were offered to staff. Hivos and other donors identified gaps and there were more need-based trainings in the last two years. As most of the contracts ended in 2014 there was a deterioration in the funding situation of SS. This in turn led SS to improve its capacity to showcase its work and write proposals for new funding opportunities slightly.

In the capability to adapt and self-renew SS improved slightly in various indicators. SS fine-tuned their M&E templates and MIS formats and made them available in Hindi for field staff to understand. There has also been internal capacity building for staff which has helped them in improving the M&E process. The improvement in the M&E process allowed SS to learn from their previous experiences which they take along in their strategic plans. In this sense, SS' strategic use of M&E has improved slightly. There has also been a very slight improvement in SS' tracking of its operating environment. They are now part of more (also national) networks, like the non-pesticide management initiative which allows them to track trends in agriculture, which is a new area they are working in.

In terms of the capability to deliver on development objectives, there has been a very slight improvement in cost-effectiveness, as reduced funding pushed SS to become more cost-effective. They are now e.g. making less use of hiring an external OD-consultant to assist in proposal writing. Because of the same reduced funding the ability of SS to balance quality and efficiency, however, deteriorated. They were unable to retain talented staff which negatively affected both the quality and the efficiency of their work.

In the capability to relate, SS is now receiving feedback on its strategies and policies from a more diverse set of stakeholders, including government agencies with whom they have better relationships. They have improved their networks, because there is now more interaction with different partners and they are more open to other organisations and networks, not only at local but also at national level.

Finally, SS slightly deteriorated in its capability to achieve coherence as they are applying new strategies, more related to agriculture, but these are not yet aligned with their current vision and mission which is only about natural resource management.

During the endline workshop some key organisational capacity changes were brought up by SS's staff, these have been captured in the general causal map in 4.2.2: improved staff capacity to write reports, improved staff capacity to train target groups and improved capacity for financial sustainability. The

evaluators considered it important to also note down the SPO's story and this would also provide more information about reasons for change, which were difficult to get for the individual indicators. Also for some issues there may not have been relevant indicators available in the list of core indicators provide by the evaluation team.

SS said it improved its staff capacity in writing reports because their leader became more self-reliant and staff improved their capacity to collect and compile data. Becoming more self-reliant was triggered by reduced funding (including the ending of the MFS II contract in March 2014). Improved data collection and compilation skills can be attributed to trainings by MFS II funds (e.g. financial management training in 2012) and other funders like SDTT and Astha Sansthan. SS was better able to train their target groups because of a better understanding of the technical aspect of their roles and staff taking on increased responsibility of engaging with the target groups. The better understanding of the technical aspect can be attributed to trainings funded by MFS II and other funders (SDTT, IRMA), and these trainings focused on business plan development, marketing etc. Staff took up increased responsibility/workload because of reduced funding (including the ending of the MFS II contract in March 2014). Finally, SS to have had improved their capacity for financial sustainability because of new funding strategies, that were triggered by reduced funding, and improved interaction and networks with like-minded NGOs and government agencies. The new funding strategies were also due to the leader becoming more self-reliant and the shift in strategic focus from NTFP collection and marketing to agriculture and forest based strategies. According to SS, MFS II funded capacity development interventions thus played a role in improving their data collection and compilation and in improving their understanding of the technical aspect of their role in supporting their partners, in particular in advising beneficiaries on sustainable farming, processing of NTFP, documentation related to dispatch of NTFP and helping beneficiaries negotiate with local traders.

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Overall evaluation methodology

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2. SS-Work_Plan_2012-13 (Updated).doc
3. Review Report 2012-13- 11Feb.doc
4. SS-Work Plan_2013-14 26th May , Extension.doc
5. Review Report 2013-14.docx
6. Staff and other details for 2014.xlsx

List of the persons for interview at Samarthak Samiti.docx

1. SS - 5 C Table - 25-03.docx

1001404_SS_Approval of 2012_13 Finanacial Audited Statement.pdf
Audit statement (FC) 2012-2013.docx
Audited – stat(income & exp) – FC 2012-130001.docx
Audited statement consolidated – 2012-2013.docx
Clarification for Hivos on report 2013.docx
FC - 6 CA cer. March 2013.PDF
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Management letter 2012-13.pdf
Contract 1001404
SS - Samarthak Samiti - Contract 1001404
140227 Assessment 2014 ARR - request for additional information.pdf
140314 - SS - Approval letter of 2014 Annual Review Report.pdf
1001404 - SS - Assessment letter 2012-13 financial audited statement - status not yet approved.pdf
Annual Review Report 12-13.doc
approval Prog Rep 11-12.pdf
asses. ann. rep 11-12.docx
assessment_WP 12-13.docx
Comment_annual report.doc
Annual report 2011-2012.docx
Annual Review Rep 13-14.docx
Copy of SS unutilised balance calculation 31-Mar-12.xlsx
Contract extension September 2013.pdf
Copy of Overall-Budget-Samarthak_-2012-13.xls
Letter- approval FAS + progress report 2011-12.pdf
SS.xlsx
Audit stat. sent to Hivos (2012-13)
2nd set of FAS 2012-13.pdf
Acknowledgement receeip FAS 2010-11.doc
Hivos assessement FAS 2011-2012.docx
Hivos assessment FAS 2010-2011.docx
Audit report & notes 2012-13.PDF
audit stat. (FC) 2012-13.PDF
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Audited Hivos stat (income & exp.) 2012-13 (2).JPG
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FC-6 (ss) 2012-13.PDF
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SS-Work Plan_2013-14 26th May , Extension.doc
SS-Work_Plan_2012-13.doc
Work Plan 2011-2012.doc
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5c endline observation sheet - observations by in-country evaluators during the endline capacity assessment at the SPO_Samarthak.docx
ATTENDANCE SHEET for SS 1-3 July Workshop.docx
5C endline_support to capacity development sheet_SPO perspective_India_Samarthak Samiti (2).docx
Annex K_5c endline workshop_key changes and factors_SPO perspective_country_name SPO.docx

5c endline self-assessment sheet_management_India_Samarthak.docx
5c endline self-assessment sheet_admin HRM staff_India_Samarthak.docx
5c endline self-assessment sheet_field staff_India_Samarthak Samiti.docx

5c endline interview guide_OD consultants_selected indicators_Samarthak Samiti.docx
5c endline interview guide – partners – selected indicators_India_Samarthak.docx

List of Respondents

Samarthak Samiti staff:

Name	Designation	1st July	2nd July	3rd July
Kamlendra Singh Rathore	Secretary and Program Coordinator	Present	Present	Present
Panna Lal Dangi	Admin, H.R and Finance	Present	Present	Present
Asha Ram	Cluster facilitator	Present	Present	Present
Heera mani	Community worker	Present	Present	Present
Bhura Ram	Community worker	Present	Present	Present
Dhanna Ram	Community worker	Present	Present	Present

CFA:

Some information obtained from Caroline Brants and Karel Chambille from Hivos.

Unfortunately the person within Hivos who was well familiar with SS no longer works for Hivos India and therefore could not provide additional inside information on the capacity development of SS. Tasks and responsibilities were transferred to the Hivos head office in the Netherlands upon closure of the Bangalore office in December 2013 and in anticipation of the establishment of a new office in Mumbai in August 2014.

Partner:

Mr. Vyas, ASTHAA, Senior Expert. Interviewed on 3 July 2014

OD consultant:

Deepak Sharma, Udaipur, Programme design, Mentoring, Documentation & Reporting. Interviewed on 3 July 2014.

Appendix 1 Methodological approach & reflection

1. Introduction

This appendix describes the methodological design and challenges for the assessment of capacity development of Southern Partner Organisations (SPOs), also called the '5C study'. This 5C study is organised around four key evaluation questions:

1. What are the changes in partner organisations' capacity during the 2012-2014 period?
2. To what degree are the changes identified in partner capacity attributable to development interventions undertaken by the MFS II consortia (i.e. measuring effectiveness)?
3. Were the efforts of the MFS II consortia efficient?
4. What factors explain the findings drawn from the questions above?

It has been agreed that the question (3) around efficiency cannot be addressed for this 5C study. The methodological approach for the other three questions is described below. At the end, a methodological reflection is provided.

In terms of the attribution question (2), 'process tracing' is used. This is a theory-based approach that has been applied to a selected number of SPOs since it is a very intensive and costly methodology, although it provides rich information and can generate a lot of learning within the organisations. This approach was presented and agreed-upon during the synthesis workshop on 17-18 June 2013 by the 5C teams for the eight countries of the MFS II evaluation. A more detailed description of the approach was presented during the synthesis workshop in February 2014. The synthesis team, NWO-WOTRO, the country project leaders and the MFS II organisations present at the workshop have accepted this approach. It was agreed that this approach can only be used for a selected number of SPOs since it is a very intensive and costly methodology. Key organisational capacity changes/ outcomes of the SPO were identified, based on their relationship to the two selected capabilities, the capability to act and commit the capability to adapt and self-renew, and an expected relationship with CFA supported capacity development interventions (MFS II funding). It was agreed to focus on these two capabilities, since these are the most targeted capabilities by the CFAs, as established during the baseline process.

Please find below an explanation of how the above-mentioned evaluation questions have been addressed in the 5C evaluation.

Note: the methodological approach is applied to 4 countries that the Centre for Development Innovation, Wageningen University and Research centre is involved in in terms of the 5C study (Ethiopia, India, Indonesia, Liberia). The overall approach has been agreed with all the 8 countries selected for this MFS II evaluation. The 5C country teams have been trained and coached on this methodological approach during the evaluation process. Details specific to the SPO are described in chapter 5.1 of the SPO report. At the end of this appendix a brief methodological reflection is provided.

2. Changes in partner organisation's capacity – evaluation question 1

This section describes the data collection and analysis methodology for answering the first evaluation question: **What are the changes in partner organisations' capacity during the 2012-2014 period?**

This question was mainly addressed by reviewing changes in 5c indicators, but additionally a 'general causal map' based on the SPO perspective on key organisational capacity changes since the baseline

has been developed. Each of these is further explained below. The development of the general causal map is integrated in the steps for the endline workshop, as mentioned below.

During the baseline in 2012 information has been collected on each of the 33 agreed upon indicators for organisational capacity. For each of the five capabilities of the 5C framework indicators have been developed as can be seen in Appendix 2. During this 5C baseline, a summary description has been provided for each of these indicators, based on document review and the information provided by staff, the Co-financing Agency (CFA) and other external stakeholders. Also a summary description has been provided for each capability. The results of these can be read in the baseline reports.

The description of indicators for the baseline in 2012 served as the basis for comparison during the endline in 2014. In practice this meant that largely the same categories of respondents (preferably the same respondents as during the baseline) were requested to review the descriptions per indicator and indicate whether and how the endline situation (2014) is different from the described situation in 2012.[14] Per indicator they could indicate whether there was an improvement or deterioration or no change and also describe these changes. Furthermore, per indicator the interviewee could indicate what interventions, actors and other factors explain this change compared to the baseline situation. See below the specific questions that are asked for each of the indicators. Per category of interviewees there is a different list of indicators to be looked at. For example, staff members were presented with a list of all the indicators, whilst external people, for example partners, are presented with a select number of indicators, relevant to the stakeholder.

The information on the indicators was collected in different ways:

1) **Endline workshop at the SPO - self-assessment and 'general causal map'**: similar to data collection during the baseline, different categories of staff (as much as possible the same people as during the baseline) were brought together in a workshop and requested to respond, in their staff category, to the list of questions for each of the indicators (self-assessment sheet). Prior to carrying out the self-assessments, a brainstorming sessions was facilitated to develop a 'general causal map', based on the key organisational capacity changes since the baseline as perceived by SPO staff. Whilst this general causal map is not validated with additional information, it provides a sequential narrative, based on organisational capacity changes as perceived by SPO staff;
2) **Interviews with staff members**: additional to the endline workshop, interviews were held with SPO staff, either to provide more in-depth information on the information provided on the self-assessment formats during the workshop, or as a separate interview for staff members that were not present during the endline workshop;
3) **Interviews with externals**: different formats were developed for different types of external respondents, especially the co-financing agency (CFA), but also partner agencies, and organisational development consultants where possible. These externals were interviewed, either face-to-face or by phone/Skype. The interview sheets were sent to the respondents and if they wanted, these could be filled in digitally and followed up on during the interview;
4) **Document review**: similar to the baseline in 2012, relevant documents were reviewed so as to get information on each indicator. Documents to be reviewed included progress reports, evaluation reports, training reports, etc. (see below) since the baseline in 2012, so as to identify changes in each of the indicators;
5) **Observation**: similar to what was done in 2012, also in 2014 the evaluation team had a list with observable indicators which were to be used for observation during the visit to the SPO.

Below the key steps to assess changes in indicators are described.

[14] The same categories were used as during the baseline (except beneficiaries, other funders): staff categories including management, programme staff, project staff, monitoring and evaluation staff, field staff, administration staff; stakeholder categories including co-financing agency (CFA), consultants, partners.

Key steps to assess changes in indicators are described

16. Provide the description of indicators in the relevant formats – CDI team
17. Review the descriptions per indicator – in-country team & CDI team
18. Send the formats adapted to the SPO to CFA and SPO – in-country team (formats for SPO) and CDI team (formats for CFA)
19. Collect, upload & code the documents from CFA and SPO in NVivo – CDI team
20. Organise the field visit to the SPO – in-country team
21. Interview the CFA – CDI team
22. Run the endline workshop with the SPO – in-country team
23. Interview SPO staff – in-country team
24. Fill-in observation sheets – in-country team
25. Interview externals – in-country team
26. Upload and auto-code all the formats collected by in-country team and CDI team in NVivo – CDI team
27. Provide to the overview of information per 5c indicator to in-country team – CDI team
28. Analyse data and develop a draft description of the findings per indicator and for the general questions – in-country team
29. Analyse data and develop a final description of the findings per indicator and per capability and for the general questions – CDI team
30. Analyse the information in the general causal map –in-country team and CDI-team

Note: the CDI team include the Dutch 5c country coordinator as well as the overall 5c coordinator for the four countries (Ethiopia, India, Indonesia, Liberia). The 5c country report is based on the separate SPO reports.

Below each of these steps is further explained.

*Step 1. Provide the **description of indicators** in the relevant formats – CDI team*

- These formats were to be used when collecting data from SPO staff, CFA, partners, and consultants. For each of these respondents different formats have been developed, based on the list of 5C indicators, similar to the procedure that was used during the baseline assessment. The CDI team needed to add the 2012 baseline description of each indicator. The idea was that each respondent would be requested to review each description per indicator, and indicate whether the current situation is different from the baseline situation, how this situation has changed, and what the reasons for the changes in indicators are. At the end of each format, a more general question is added that addresses how the organisation has changed its capacity since the baseline, and what possible reasons for change exist. Please see below the questions asked for each indicator as well as the more general questions at the end of the list of indicators.

General questions about key changes in the capacity of the SPO

What do you consider to be the key changes in terms of how the organisation/ SPO has developed its capacity since the baseline (2012)?

What do you consider to be the main explanatory reasons (interventions, actors or factors) for these changes?

List of questions to be asked for each of the 5C indicators (The entry point is the the description of each indicator as in the 2012 baseline report):

1. *How has the situation of this indicator changed compared to the situation during the baseline in 2012? Please tick one of the following scores:*
   - -2 = Considerable deterioration
   - -1 = A slight deterioration
   - 0 = No change occurred, the situation is the same as in 2012
   - +1 = Slight improvement
   - +2 = Considerable improvement
2. *Please describe what exactly has changed since the baseline in 2012*
3. *What interventions, actors and other factors explain this change compared to the baseline situation in 2012? Please tick and describe what interventions, actors or factors influenced this indicator, and how. You can tick and describe more than one choice.*
   - Intervention, actor or factor at the level of or by **SPO**: ..... .
   - Intervention, actor or factor at the level of or by the **Dutch CFA (MFS II funding)**: .... .
   - Intervention, actor or factor at the level of or by the **other funders**: ..... .
   - **Other** interventions, actors or factors: ..... .
   - Don't know.

*Step 2. **Review** the descriptions per indicator – in-country team & CDI team*

Before the in-country team and the CDI team started collecting data in the field, it was important that they reviewed the description for each indicator as described in the baseline reports, and also added to the endline formats for review by respondents. These descriptions are based on document review, observation, interviews with SPO staff, CFA staff and external respondents during the baseline. It was important to explain this to respondents before they filled in the formats.

*Step 3. **Send the formats** adapted to the SPO to CFA and SPO – in-country team (formats for SPO) and CDI team (formats for CFA)*

The CDI team was responsible for collecting data from the CFA:

- 5C Endline assessment Dutch co-financing organisation;
- 5C Endline support to capacity sheet – CFA perspective.

The in-country team was responsible for collecting data from the SPO and from external respondents (except CFA). The following formats were sent before the fieldwork started:

- 5C Endline support to capacity sheet – SPO perspective.
- 5C Endline interview guides for externals: partners; OD consultants.

*Step 4. **Collect, upload & code the documents** from CFA and SPO in NVivo – CDI team*

The CDI team, in collaboration with the in-country team, collected the following documents from SPOs and CFAs:

- Project documents: project proposal, budget, contract (Note that for some SPOs there is a contract for the full MFS II period 2011-2015; for others there is a yearly or 2-yearly contract. All new contracts since the baseline in 2012 will need to be collected);
- Technical and financial progress reports since the baseline in 2012;.

- Mid-term evaluation reports;
- End of project-evaluation reports (by the SPO itself or by external evaluators);
- Contract intake forms (assessments of the SPO by the CFA) or organisational assessment scans made by the CFA that cover the 2011-2014 period;
- Consultant reports on specific inputs provided to the SPO in terms of organisational capacity development;
- Training reports (for the SPO; for alliance partners, including the SPO);
- Organisational scans/ assessments, carried out by the CFA or by the Alliance Assessments;
- Monitoring protocol reports, especially for the 5C study carried out by the MFS II Alliances;
- Annual progress reports of the CFA and of the Alliance in relation to capacity development of the SPOs in the particular country;
- Specific reports that are related to capacity development of SPOs in a particular country.

The following documents (since the baseline in 2012) were requested from SPO:

- Annual progress reports;
- Annual financial reports and audit reports;
- Organisational structure vision and mission since the baseline in 2012;
- Strategic plans;
- Business plans;
- Project/ programme planning documents;
- Annual work plan and budgets;
- Operational manuals;
- Organisational and policy documents: finance, human resource development, etc.;
- Monitoring and evaluation strategy and implementation plans;
- Evaluation reports;
- Staff training reports;
- Organisational capacity reports from development consultants.

The CDI team will coded these documents in NVivo (qualitative data analysis software program) against the 5C indicators.

Step 5. ***Prepare and organise the field visit*** *to the SPO – in-country team*

Meanwhile the in-country team prepared and organised the logistics for the field visit to the SPO:

- **General endline workshop** consisted about one day for the self-assessments (about ½ to ¾ of the day) and brainstorm (about 1 to 2 hours) on key organisational capacity changes since the baseline and underlying interventions, factors and actors ('general causal map'), see also explanation below. This was done with the five categories of key staff: managers; project/ programme staff; monitoring and evaluation staff; admin & HRM staff; field staff. Note: for SPOs involved in process tracing an additional 1 to 1½ day workshop (managers; program/project staff; monitoring and evaluation staff) was necessary. See also step 7;
- **Interviews with SPO staff** (roughly one day);
- **Interviews with external respondents** such as partners and organisational development consultants depending on their proximity to the SPO. These interviews coulc be scheduled after the endline workshop and interviews with SPO staff.

General causal map

During the 5C endline process, a 'general causal map' has been developed, based on key organisational capacity changes and underlying causes for these changes, as perceived by the SPO. The general causal map describes cause-effect relationships, and is described both as a visual as well as a narrative.

As much as possible the same people that were involved in the baseline were also involved in the endline workshop and interviews.

Step 6. ***Interview the CFA*** *– CDI team*

The CDI team was responsible for sending the sheets/ formats to the CFA and for doing a follow-up interview on the basis of the information provided so as to clarify or deepen the information provided. This relates to:

- 5C Endline assessment Dutch co-financing organisation;
- 5C Endline support to capacity sheet - CFA perspective.

Step 7. ***Run the endline workshop*** *with the SPO – in-country team*

This included running the endline workshop, including facilitation of the development of the general causal map, self-assessments, interviews and observations. Particularly for those SPOs that were selected for process tracing all the relevant information needed to be analysed prior to the field visit, so as to develop an initial causal map. Please see Step 6 and also the next section on process tracing (evaluation question two).

An endline workshop with the SPO was intended to:

- Explain the purpose of the fieldwork;
- Carry out in the self-assessments by SPO staff subgroups (unless these have already been filled prior to the field visits) - this may take some 3 hours.
- Facilitate a brainstorm on key organisational capacity changes since the baseline in 2012 and underlying interventions, factors and actors.

Purpose of the fieldwork**:** to collect data that help to provide information on what changes took place in terms of organisational capacity development of the SPO as well as reasons for these changes. The baseline that was carried out in 2012 was to be used as a point of reference.

Brainstorm on key organisational capacity changes and influencing factors: a brainstorm was facilitated on key organisational capacity changes since the baseline in 2012. In order to kick start the discussion, staff were reminded of the key findings related to the historical time line carried out in the baseline (vision, mission, strategies, funding, staff). This was then used to generate a discussion on key changes that happened in the organisation since the baseline (on cards). Then cards were selected that were related to organisational capacity changes, and organised. Then a 'general causal map' was developed, based on these key organisational capacity changes and underlying reasons for change as experienced by the SPO staff. This was documented as a visual and narrative.This general causal map was to get the story of the SPO on what they perceived as key organisational capacity changes in the organisation since the baseline, in addition to the specific details provided per indicator.

Self-assessments**:** respondents worked in the respective staff function groups: management; programme/ project staff; monitoring and evaluation staff; admin and HRM staff; field staff. Staff were assisted where necessary so that they could really understand what it was they were being asked to do as well as what the descriptions under each indicator meant.

Note: for those SPOs selected for process tracing an additional endline workshop was held to facilitate the development of detailed causal maps for each of the identified organisational change/ outcome areas that fall under the capability to act and commit, and under the capability to adapt and self-renew, and that are likely related to capacity development interventions by the CFA. See also the next section on process tracing (evaluation question two). It was up to the in-country team whether this workshop was held straight after the initial endline workshop or after the workshop and the follow-up interviews. It could also be held as a separate workshop at another time.

Step 8. ***Interview SPO staff*** *– in-country team*

After the endline workshop (developing the general causal map and carrying out self-assessments in subgroups), interviews were held with SPO staff (subgroups) to follow up on the information that was provided in the self-assessment sheets, and to interview staff that had not yet provided any information.

Step 9. ***Fill-in observation sheets*** *– in-country team*

During the visit at the SPO, the in-country team had to fill in two sheets based on their observation:

- 5C Endline observation sheet;
- 5C Endline observable indicators.

Step 10. ***Interview externals*** *– in-country team & CDI team*

The in-country team also needed to interview the partners of the SPO as well as organisational capacity development consultants that have provided support to the SPO. The CDI team interviewed the CFA.

Step 11. ***Upload and auto-code all the formats*** *collected by in-country team and CDI team – CDI team*

The CDI team was responsible for uploading and auto-coding (in Nvivo) of the documents that were collected by the in-country team and by the CDI team.

Step 12. Provide the ***overview of information*** *per 5C indicator to in-country team – CDI team*

After the analysis in NVivo, the CDI team provided a copy of all the information generated per indicator to the in-country team for initial analysis.

Step 13. ***Analyse the data and develop a draft description*** *of the findings per indicator and for the general questions – in-country team*

The in-country team provided a draft description of the findings per indicator, based on the information generated per indicator. The information generated under the general questions were linked to the general causal map or detailed process tracing related causal map.

Step 14. ***Analyse the data and finalize the description*** *of the findings per indicator, per capability and general – CDI team*

The CDI team was responsible for checking the analysis by the in-country team with the Nvivo generated data and to make suggestions for improvement and ask questions for clarification to which the in-country team responded. The CDI team then finalised the analysis and provided final descriptions and scores per indicator and also summarize these per capability and calculated the summary capability scores based on the average of all indicators by capability.

Step 15. ***Analyse the information*** *in the general causal map –in-country team & CDI team*

The general causal map based on key organisational capacity changes as perceived by the SPO staff present at the workshop, was further detailed by in-country team and CDI team, and based on the notes made during the workshop and where necessary additional follow up with the SPO. The visual and narrative was finalized after feedback by the SPO. During analysis of the general causal map relationships with MFS II support for capacity development and other factors and actors were identified. All the information has been reviewed by the SPO and CFA.

3. Attributing changes in partner organisation's capacity – evaluation question 2

This section describes the data collection and analysis methodology for answering the second evaluation question: ***To what degree are the changes identified in partner capacity attributable to (capacity) development interventions undertaken by the MFS II consortia (i.e. measuring effectiveness)?***

In terms of the attribution question (2), 'process tracing' is used. This is a theory-based approach that has been applied to a selected number of SPOs since it is a very intensive and costly methodology, although it provides rich information and can generate a lot of learning within the organisations. Key organisational capacity changes/ outcomes of the SPO were identified, based on their relationship to the two selected capabilities, the capability to act and commit the capability to adapt and self-renew, and an expected relationship with CFA supported capacity development interventions (MFS II funding). It was agreed to focus on these two capabilities, since these are the most targeted capabilities by the CFAs, as established during the baseline process. The box below provides some background information on process tracing.

Background information on process tracing

The essence of process tracing research is that scholars want to go beyond merely identifying correlations between independent variables (Xs) and outcomes (Ys). Process tracing in social science is commonly defined by its addition to trace causal mechanisms (Bennett, 2008a, 2008b; Checkle, 2008; George & Bennett, 2005). A causal mechanism can be defined as "a complex system which produces an outcome by the interaction of a number of parts" (Glennan, 1996, p. 52). Process tracing involves "attempts to identify the intervening causal process – the causal chain and causal mechanism – between an independent variable (or variables) and the outcome of the dependent variable" (George & Bennett, 2005, pp. 206-207).

Process tracing can be differentiated into three variants within social science: theory testing, theory building, and explaining outcome process tracing (Beach & Pedersen, 2013).

Theory testing process tracing uses a theory from the existing literature and then tests whether evidence shows that each part of hypothesised causal mechanism is present in a given case, enabling within case inferences about whether the mechanism functioned as expected in the case and whether the mechanism as a whole was present. No claims can be made however, about whether the mechanism was the only cause of the outcome.

Theory building process tracing seeks to build generalizable theoretical explanations from empirical evidence, inferring that a more general causal mechanism exists from the fact of a particular case.

Finally, explaining outcome process tracing attempts to craft a minimally sufficient explanation of a puzzling outcome in a specific historical case. Here the aim is not to build or test more general theories but to craft a (minimally) sufficient explanation of the outcome of the case where the ambitions are more case centric than theory oriented.

Explaining outcome process tracing is the most suitable type of process tracing for analysing the causal mechanisms for selected key organisational capacity changes of the SPOs. This type of process tracing can be thought of as a single outcome study defined as seeking the causes of the specific outcome in a single case (Gerring, 2006; in: Beach & Pedersen, 2013). Here the ambition is to craft a minimally sufficient explanation of a particular outcome, with sufficiency defined as an explanation that accounts for all of the important aspects of an outcome with no redundant parts being present (Mackie, 1965).

Explaining outcome process tracing is an iterative research strategy that aims to trace the complex conglomerate of systematic and case specific causal mechanisms that produced the outcome in question. The explanation cannot be detached from the particular case. Explaining outcome process tracing refers to case studies whose primary ambition is to explain particular historical outcomes, although the findings of the case can also speak to other potential cases of the phenomenon. Explaining outcome process tracing is an iterative research process in which 'theories' are tested to see whether they can provide a minimally sufficient explanation of the outcome. Minimal sufficiency is defined as an explanation that accounts for an outcome, with no redundant parts. In most explaining outcome studies, existing theorisation cannot provide a sufficient explanation, resulting in a second stage in which existing theories are re-conceptualised in light of the evidence gathered in the preceding empirical analysis. The conceptualisation phase in explaining outcome process tracing is therefore an iterative research process, with initial mechanisms re-conceptualised and tested until the result is a theorised mechanism that provides a minimally sufficient explanation of the particular outcome.

Below a description is provided of how SPOs are selected for process tracing, and a description is provided on how this process tracing is to be carried out. Note that this description of process tracing provides not only information on the extent to which the changes in organisational development can be attributed to MFS II (evaluation question 2), but also provides information on other contributing factors and actors (evaluation question 4). Furthermore, it must be noted that the evaluation team has developed an adapted form of 'explaining outcome process tracing', since the data collection and analysis was an iterative process of research so as to establish the most realistic explanation for a particular outcome/ organisational capacity change. Below selection of SPOs for process tracing as well as the different steps involved for process tracing in the selected SPOs, are further explained.

Selection of SPOs for 5C process tracing

Process tracing is a very intensive methodology that is very time and resource consuming (for development and analysis of one final detailed causal map, it takes about 1-2 weeks in total, for different members of the evaluation team). It has been agreed upon during the synthesis workshop on 17-18 June 2013 that only a selected number of SPOs will take part in this process tracing for the purpose of understanding the attribution question. The selection of SPOs is based on the following criteria:

- MFS II support to the SPO has not ended before 2014 (since this would leave us with too small a time difference between intervention and outcome);
- Focus is on the 1-2 capabilities that are targeted most by CFAs in a particular country;
- Both the SPO and the CFA are targeting the same capability, and preferably aim for similar outcomes;
- Maximum one SPO per CFA per country will be included in the process tracing.

The intention was to focus on about 30-50% of the SPOs involved. Please see the tables below for a selection of SPOs per country. Per country, a first table shows the extent to which a CFA targets the five capabilities, which is used to select the capabilities to focus on. A second table presents which SPO is selected, and takes into consideration the selection criteria as mentioned above.

ETHIOPIA

For Ethiopia the capabilities that are mostly targeted by CFAs are the capability to act and commit and the capability to adapt and self-renew. See also the table below.

Table 1

The extent to which the Dutch NGO explicitly targets the following capabilities – Ethiopia

Capability to:	AMREF	CARE	ECFA	FSCE	HOA-REC	HUNDEE	NVEA	OSRA	TTCA
Act and commit	5	4	5	5	5	3	4	4	3
Deliver on development objectives	2	1	1	1	2	1	1	2	1
Adapt and self-renew	4	2	3	4	2	5	3	3	3
Relate	3	1	2	2	3	2	1	3	1
Achieve coherence	2	2	1	1	1	1	1	1	1

Note: Number 1 stands for not targeted, 5 for intensively targeted. These scores are relative scores for the interventions by the CFA to strengthen the capacity of the SPO. The scores are relative to each other, a higher score means that this capability gets more attention by the CFA compared to other capabilities.

Source: country baseline report, Ethiopia.

Below you can see the table describing when the contract with the SPO is to be ended, and whether both SPO and the CFA expect to focus on these two selected capabilities (with MFS II funding). Based on the above-mentioned selection criteria the following SPOs are selected for process tracing: AMREF,

ECFA, FSCE, HUNDEE. In fact, six SPOs would be suitable for process tracing. We just selected the first one per CFA following the criteria of not including more than one SPO per CFA for process tracing

Table 2

SPOs selected for process tracing – Ethiopia

Ethiopia – SPOs	End of contract	Focus on capability to act and commit– by SPO	Focus on capability to act and commit – by CFA	Focus on capability to adapt and self-renew – by SPO	Focus on capability to adapt and self-renew – by CFA	CFA	Selected for process tracing
AMREF	Dec 2015	Yes	Yes	Yes	Yes	AMREF NL	Yes
CARE	Dec 31, 2015	Partly	Yes	Yes	Yes – slightly	CARE Netherlands	No - not fully matching
ECFA	Jan 2015	Yes	Yes	Yes	Yes	Child Helpline International	Yes
FSCE	Dec 2015	Yes	Yes	Yes	Yes	Stichting Kinderpostzegels Netherlands (SKN); Note: no info from Defence for Children – ECPAT Netherlands	Yes
HOA-REC	Sustainable Energy project (ICCO Alliance): 2014 Innovative WASH (WASH Alliance): Dec 2015	Yes	Yes	Yes	Yes - slightly	ICCO	No - not fully matching
HUNDEE	Dec 2014	Yes	Yes	Yes	Yes	ICCO & IICD	Yes
NVEA	Dec 2015 (both)	Yes	Yes	Yes	Yes	Edukans Foundation (under two consortia); Stichting Kinderpostzegels Netherlands (SKN)	Suitable but SKN already involved for process tracing FSCE
OSRA	C4C Alliance project (farmers marketing): December 2014 ICCO Alliance project (zero grazing: 2014 (2nd phase)	Yes	Yes	Yes	Yes	ICCO & IICD	Suitable but ICCO & IICD already involved for process tracing - HUNDEE
TTCA	June 2015	Partly	Yes	No	Yes	Edukans Foundation	No - not fully matching

INDIA

For India the capability that is mostly targeted by CFAs is the capability to act and commit. The next one in line is the capability to adapt and self-renew. See also the table below in which a higher score means that the specific capability is more intensively targeted.

Table 3

The extent to which the Dutch NGO explicitly targets the following capabilities – India[15]

Capability to:	BVHA	COUNT	DRISTI	FFID	Jana Vikas	Samarthak Samiti	SMILE	SDS	VTRC
Act and commit	5	3	4	4	4	4	4	3	5
Deliver on development objectives	1	5	1	1	1	1	1	2	1
Adapt and self-renew	2	2	1	3	1	1	4	1	4
Relate	3	1	1	1	1	1	2	1	2
Achieve coherence	1	1	1	4	1	1	1	1	2

Note: Number 1 stands for not targeted, 5 for intensively targeted. These scores are relative scores for the interventions by the CFA to strengthen the capacity of the SPO. The scores are relative to each other, a higher score means that this capability gets more attention by the CFA compared to other capabilities.

Source: country baseline report, India.

Below you can see a table describing when the contract with the SPO is to be ended and whether SPO and the CFA both expect to focus on these two selected capabilities (with MFS II funding). Based on the above-mentioned selection criteria the following SPOs are selected for process tracing: BVHA, COUNT, FFID, SMILE and VTRC. Except for SMILE (capability to act and commit only), for the other SPOs the focus for process tracing can be on the capability to act and commit and on the capability to adapt and self-renew.

Table 4

SPOs selected for process tracing – India

India – SPOs	End of contract	Focus on capability to act and commit– by SPO	Focus on capability to act and commit – by CFA	Focus on capability to adapt and self-renew –by SPO	Focus on capability to adapt and self-renew – by CFA	CFA	Selected for process tracing
BVHA	2014	Yes	Yes	Yes	Yes	Simavi	Yes; both capabilities
COUNT	2015	Yes	Yes	Yes	Yes	Woord en Daad	Yes; both capabilities
DRISTI	31-03-2012	Yes	Yes	No	no	Hivos	No - closed in 2012
FFID	30-09-2014	Yes	Yes	Yes	Yes	ICCO	Yes

[15] RGVN, NEDSF and Women's Rights Forum (WRF) could not be reached timely during the baseline due to security reasons. WRF could not be reached at all. Therefore these SPOs are not included in Table 1.

India – SPOs	End of contract	Focus on capability to act and commit– by SPO	Focus on capability to act and commit – by CFA	Focus on capability to adapt and self-renew –by SPO	Focus on capability to adapt and self-renew – by CFA	CFA	Selected for process tracing
Jana Vikas	2013	Yes	Yes	Yes	No	Cordaid	No - contract is and the by now; not fully matching focus
NEDSF							No – delayed baseline
RGVN							No - delayed baseline
Samarthak Samiti (SDS)	2013 possibly longer	Yes	Yes	Yes	No	Hivos	No - not certain of end date and not fully matching focus
Shivi Development Society (SDS)	Dec 2013 intention 2014	Yes	Yes	Yes	No	Cordaid	No - not fully matching focus
Smile	2015	Yes	Yes	Yes	Yes	Wilde Ganzen	Yes; first capability only
VTRC	2015	Yes	Yes	Yes	Yes	Stichting Red een Kind	Yes; both capabilities

INDONESIA

For Indonesia the capabilities that are most frequently targeted by CFAs are the capability to act and commit and the capability to adapt and self-renew. See also the table below.

Table 5

The extent to which the Dutch NGO explicitly targets the following capabilities – Indonesia

Capability to:	ASB	Daya kologi	ECPAT	GSS	Lem baga Kita	Pt. PPMA	Rifka Annisa	WIIP	Yad upa	Yayasan Kelola	YPI	YRBI
Act and commit	4	4	4	5	4	4	5	3	3	2	5	4
Deliver on development objectives	1	1	1	2	2	1	2	1	1	1	1	1
Adapt and self-renew	3	1	2	4	2	3	4	4	1	1	4	3
Relate	1	1	2	3	3	2	1	2	2	2	3	2
Achieve coherence	1	1	1	2	1	1	2	2	1	1	2	1

Note: Number 1 stands for not targeted, 5 for intensively targeted. These scores are relative scores for the interventions by the CFA to strengthen the capacity of the SPO. The scores are relative to each other, a higher score means that this capability gets more attention by the CFA compared to other capabilities.

Source: country baseline report, Indonesia.

The table below describes when the contract with the SPO is to be ended and whether both SPO and the CFA expect to focus on these two selected capabilities (MFS II funding). Based on the above-mentioned selection criteria the following SPOs are selected for process tracing: ASB, ECPAT, Pt.PPMA, YPI, YRBI.

Table 6

SPOs selected for process tracing – Indonesia

Indonesia – SPOs	End of contract	Focus on capability to act and commit– by SPO	Focus on capability to act and commit – by CFA	Focus on capability to adapt and self-renew – by SPO	Focus on capability to adapt and self-renew – by CFA	CFA	Selected for process tracing
ASB	February 2012; extension Feb,1, 2013 – June,30, 2016	Yes	Yes	Yes	Yes	Hivos	Yes
Dayakologi	2013; no extension	Yes	Yes	Yes	No	Cordaid	No: contract ended early and not matching enough
ECPAT	August 2013; Extension Dec 2014	Yes	Yes	Yes, a bit	Yes	Free Press Unlimited - Mensen met een Missie	Yes
GSS	31 December 2012; no extension	Yes	Yes	Yes, a bit	Yes	Free Press Unlimited - Mensen met een Missie	No: contract ended early
Lembaga Kita	31 December 2012; no extension	Yes	Yes	No	Yes	Free Press Unlimited - Mensen met een Missie	No - contract ended early
Pt.PPMA	May 2015	Yes	Yes	No	Yes	IUCN	Yes, capability to act and commit only
Rifka Annisa	Dec, 31 2015	No	Yes	No	Yes	Rutgers WPF	No - no match between expectations CFA and SPO
WIIP	Dec 2015	Yes	Not MFS II	Yes	Not MFS II	Red Cross	No - Capacity development interventions are not MFS II financed. Only some overhead is MFS II

Indonesia – SPOs	End of contract	Focus on capability to act and commit– by SPO	Focus on capability to act and commit – by CFA	Focus on capability to adapt and self-renew – by SPO	Focus on capability to adapt and self-renew – by CFA	CFA	Selected for process tracing
Yayasan Kelola	Dec 30, 2013; extension of contract being processed for two years (2014-2015)	Yes	Not really	Yes	Not really	Hivos	No - no specific capacity development interventions planned by Hivos
YPI	Dec 31, 2015	Yes	Yes	Yes	Yes	Rutgers WPF	Yes
YRBI	Oct, 30, 2013; YRBI end of contract from 31st Oct 2013 to 31st Dec 2013. Contract extension proposal is being proposed to MFS II, no decision yet.	Yes	Yes	Yes	Yes	ICCO	Yes
Yadupa	Under negotiation during baseline; new contract 2013 until now	Yes	Nothing committed	Yes	Nothing committed	IUCN	No, since nothing was committed by CFA

LIBERIA

For Liberia the situation is arbitrary which capabilities are targeted most CFA's. Whilst the capability to act and commit is targeted more often than the other capabilities, this is only so for two of the SPOs. The capability to adapt and self-renew and the capability to relate are almost equally targeted for the five SPOs, be it not intensively. Since the capability to act and commit and the capability to adapt and self-renew are the most targeted capabilities in Ethiopia, India and Indonesia, we choose to focus on these two capabilities for Liberia as well. This would help the synthesis team in the further analysis of these capabilities related to process tracing. See also the table below.

Table 7

The extent to which the Dutch NGO explicitly targets the following capabilities – Liberia

Capability to:	BSC	DEN-L	NAWOCOL	REFOUND	RHRAP
Act and commit	5	1	1	1	3
Deliver on development objectives	3	1	1	1	1
Adapt and self-renew	2	2	2	2	2
Relate	1	2	2	2	2
Achieve coherence	1	1	1	1	1

Note: Number 1 stands for not targeted, 5 for intensively targeted. These scores are relative scores for the interventions by the CFA to strengthen the capacity of the SPO. The scores are relative to each other, a higher score means that this capability gets more attention by the CFA compared to other capabilities.

Source: country baseline report, Liberia.

Below you can see the table describing when the contract with the SPO is to be ended, and whether both SPO and the CFA expect to focus on these two selected capabilities (with MFS II funding). Also, for two of the five SPOs capability to act and commit is targeted more intensively compared to the other capabilities. Based on the above-mentioned selection criteria the following SPOs are selected for process tracing: BSC and RHRAP.

Table 8

SPOs selected for process tracing – Liberia

Liberia – SPOs	End of contract	Focus on capability to act and commit– by SPO	Focus on capability to act and commit – by CFA	Focus on capability to adapt and self-renew –by SPO	Focus on capability to adapt and self-renew – by CFA	CFA	Selected for process tracing
BSC	Dec 31, 2015	Yes	Yes	Yes	Yes	SPARK	Yes
DEN-L	2014	No	No	Unknown	A little	ICCO	No – not matching enough
NAWOCOL	2014	Yes	No	No	A little	ICCO	No – not matching enough
REFOUND	At least until 2013 (2015?)	Yes	No	Yes	A little	ICCO	No – not matching enough
RHRAP	At least until 2013 (2014?)	Yes	Yes	Yes	Yes	ICCO	Yes

Key steps in process tracing for the 5C study

In the box below you will find the key steps developed for the 5C process tracing methodology. These steps will be further explained here. Only key staff of the SPO is involved in this process: management; programme/ project staff; and monitoring and evaluation staff, and other staff that could provide information relevant to the identified outcome area/key organisational capacity change. Those SPOs selected for process tracing had a separate endline workshop, in addition to the ' general endline workshop. This workshop was carried out after the initial endline workshop and the interviews during the field visit to the SPO. Where possible, the general and process tracing endline workshop have been held consecutively, but where possible these workshops were held at different points in time, due to the complex design of the process. Below the detailed steps for the purpose of process tracing are further explained.

Key steps in process tracing for the 5C study

1. Identify the planned MFS II supported capacity development interventions within the selected capabilities (capability to act and commit and capability to adapt and self-renew) – CDI team
2. Identify the implemented MFS II supported capacity development interventions within the selected capabilities (capability to act and commit and capability to adapt and self-renew) – CDI team
3. Identify initial changes/ outcome areas in these two capabilities – CDI team & in-country team
4. Construct the detailed, initial causal map (theoretical model of change) – CDI team & in-country team
5. Identify types of evidence needed to verify or discard different causal relationships in the model of change – in-country teams, with support from CDI team
6. Collect data to verify or discard causal mechanisms and construct workshop based, detailed causal map (model of change) – in-country team
7. Assess the quality of data and analyse data and develop final detailed causal map (model of change) – in-country team with CDI team
8. Analyse and conclude on findings– CDI team, in collaboration with in-country team

Some definitions of the terminology used for this MFS II 5c evaluation

Based upon the different interpretations and connotations the use of the term causal mechanism we use the following terminology for the remainder of this paper:

A **detailed causal map** (or **model of change)** = the representation of all possible explanations – causal pathways for a change/ outcome. These pathways are that of the intervention, rival pathways and pathways that combine parts of the intervention pathway with that of others. This also depicts the reciprocity of various events influencing each other and impacting the overall change.

A **causal mechanism** = is the combination of parts that ultimately explains an outcome. Each part of the mechanism is an individually insufficient but necessary factor in a whole mechanism, which together produce the outcome (Beach and Pedersen, 2013, p. 176).

Part or **cause** = one actor with its attributes carrying out activities/ producing outputs that lead to change in other parts. The final part or cause is the change/ outcome.

Attributes of the actor = specificities of the actor that increase his chance to introduce change or not such as its position in its institutional environment.

*Step 1. Identify the **planned MFS II supported capacity development interventions** within the selected capabilities (capability to act and commit and capability to adapt and self-renew) – CDI team*

Chapter 4.1 and 4.2 in the baseline report were reviewed. Capacity development interventions as planned by the CFA for the capability to act and commit and for the capability to adapt and self-renew were described and details inserted in the summary format. This provided an overview of the capacity development activities that were originally planned by the CFA for these two capabilities and assisted in focusing on relevant outcomes that are possibly related to the planned interventions.

*Step 2. Identify the **implemented capacity development interventions** within the selected capabilities (capability to act and commit and capability to adapt and self-renew) – CDI team*

The input from the CFA was reviewed in terms of what capacity development interventions have taken place in the MFS II period. This information was be found in the 'Support to capacity development sheet - endline - CFA perspective' for the SPO, based on details provided by the CFA and further discussed during an interview by the CDI team.

The CFA was asked to describe all the MFS II supported capacity development interventions of the SPO that took place during the period 2011 up to now. The CDI team reviewed this information, not only the interventions but also the observed changes as well as the expected long-term changes, and

then linked these interventions to relevant outcomes in one of the capabilities (capability to act and commit; and capability to adapt and self-renew).

*Step 3. Identify **initial changes/ outcome areas** in these two capabilities – by CDI team & in-country team*

The CDI team was responsible for coding documents received from SPO and CFA in NVivo on the following:

- 5C Indicators: this was to identify the changes that took place between baseline and endline. This information was coded in Nvivo.
- Information related to the capacity development interventions implemented by the CFA (with MFS II funding) (see also Step 2) to strengthen the capacity of the SPO. For example, the training on financial management of the SPO staff could be related to any information on financial management of the SPO. This information was coded in Nvivo.

In addition, the response by the CFA to the changes in 5C indicators format, was auto-coded.

The in-country team was responsible for timely collection of information from the SPO (before the fieldwork starts). This set of information dealt with:

- MFS II supported capacity development interventions during the MFS II period (2011 until now).
- Overview of all trainings provided in relation to a particular outcome areas/organisational capacity change since the baseline.
- For each of the identified MFS II supported trainings, training questionnaires have been developed to assess these trainings in terms of the participants, interests, knowledge and skills gained, behaviour change and changes in the organisation (based on Kirkpatrick's model), one format for training participants and one for their managers. These training questionnaires were sent prior to the field visit.
- Changes expected by SPO on a long-term basis ('Support to capacity development sheet - endline - SPO perspective').

For the selection of change/ outcome areas the following criteria were important:

- The change/ outcome area is in one of the two capabilities selected for process tracing: capability to act and commit or the capability to adapt and self-renew. This was the first criteria to select upon.
- There was a likely link between the key organisational capacity change/ outcome area and the MFS II supported capacity development interventions. This also was an important criteria. This would need to be demonstrated through one or more of the following situations:
  - In the 2012 theory of change on organisational capacity development of the SPO a link was indicated between the outcome area and MFS II support;
  - During the baseline the CFA indicated a link between the planned MFS II support to organisational development and the expected short-term or long-term results in one of the selected capabilities;
  - During the endline the CFA indicated a link between the implemented MFS II capacity development interventions and observed short-term changes and expected long-term changes in the organisational capacity of the SPO in one of the selected capabilities;
  - During the endline the SPO indicated a link between the implemented MFS II capacity development interventions and observed short-term changes and expected long-term changes in the organisational capacity of the SPO in one of the selected capabilities.

Reviewing the information obtained as described in Step 1, 2, and 3 provided the basis for selecting key organisational capacity change/ outcome areas to focus on for process tracing. These areas were to be formulated as broader outcome areas, such as 'improved financial management', 'improved monitoring and evaluation' or 'improved staff competencies'.

Note: the outcome areas were to be formulated as intermediates changes. For example: an improved monitoring and evaluation system, or enhanced knowledge and skills to educate the target group on climate change. Key outcome areas were also verified - based on document review as well as discussions with the SPO during the endline.

*Step 4. Construct the **detailed, initial causal map** (theoretical model of change) – CDI & in-country team*

A detailed initial causal map was developed by the CDI team, in collaboration with the in-country team. This was based on document review, including information provided by the CFA and SPO on MFS II supported capacity development interventions and their immediate and long-term objectives as well as observed changes. Also, the training questionnaires were reviewed before developing the initial causal map. This detailed initial causal map was to be provided by the CDI team with a visual and related narrative with related references. This initial causal map served as a reference point for further reflection with the SPO during the process tracing endline workshop, where relationships needed to be verified or new relationships established so that the second (workshop-based), detailed causal map could be developed, after which further verification was needed to come up with the final, concluding detailed causal map.

It's important to note that organisational change area/ outcome areas could be both positive and negative.

For each of the selected outcomes the team needed to make explicit the theoretical model of change. This meant finding out about the range of different actors, factors, actions, and events etc. that have contributed to a particular outcome in terms of organisational capacity of the SPO.

A model of change of good quality includes:

- The causal pathways that relate the intervention to the realised change/ outcome;
- Rival explanations for the same change/ outcome;
- Assumptions that clarify relations between different components or parts;
- Case specific and/or context specific factors or risks that might influence the causal pathway, such as for instance the socio-cultural-economic context, or a natural disaster;
- Specific attributes of the actors e.g. CFA and other funders.

A model of change (within the 5C study called a 'detailed causal map') is a complex system which produces intermediate and long-term outcomes by the interaction of other parts. It consists of parts or causes that often consist of one actor with its attributes that is implementing activities leading to change in other parts (Beach & Pedersen, 2013). A helpful way of constructing the model of change is to think in terms of actors carrying out activities that lead to other actors changing their behaviour. The model of change can be explained as a range of activities carried out by different *actors* (including the CFA and SPO under evaluation) that will ultimately lead to an outcome. Besides this, there are also '*structural*' elements, which are to be interpreted as external factors (such as economic conjuncture); and *attributes* of the actor (does the actor have the legitimacy to ask for change or not, what is its position in the sector) that should be looked at (Beach & Pedersen, 2013). In fact Beach and Pedersen, make a fine point about the subjectivity of the actor in a dynamic context. This means, in qualitative methodologies, capturing the changes in the actor, acted upon area or person/organisation, in a non sequential and non temporal format. Things which were done recently could have corrected behavioural outcomes of an organisation and at the same ime there could be processes which incrementally pushed for the same change over a period of time. Beach and Pedersen espouse this methodology because it captures change in a dynamic fashion as against the methodology of logical framework. For the MFS II evaluation it was important to make a distinction between those paths in the model of change that are the result of MFS II and rival pathways.
The construction of the model of change started with the identified key organisational capacity change/ outcome, followed by an inventory of all possible subcomponents that possibly have caused the change/ outcome in the MFS II period (2011-up to now, or since the baseline). The figure below presents an imaginary example of a model of change. The different colours indicate the different types of support to capacity development of the SPO by different actors, thereby indicating different pathways of change, leading to the key changes/ outcomes in terms of capacity development (which in this case indicates the ability to adapt and self-renew).

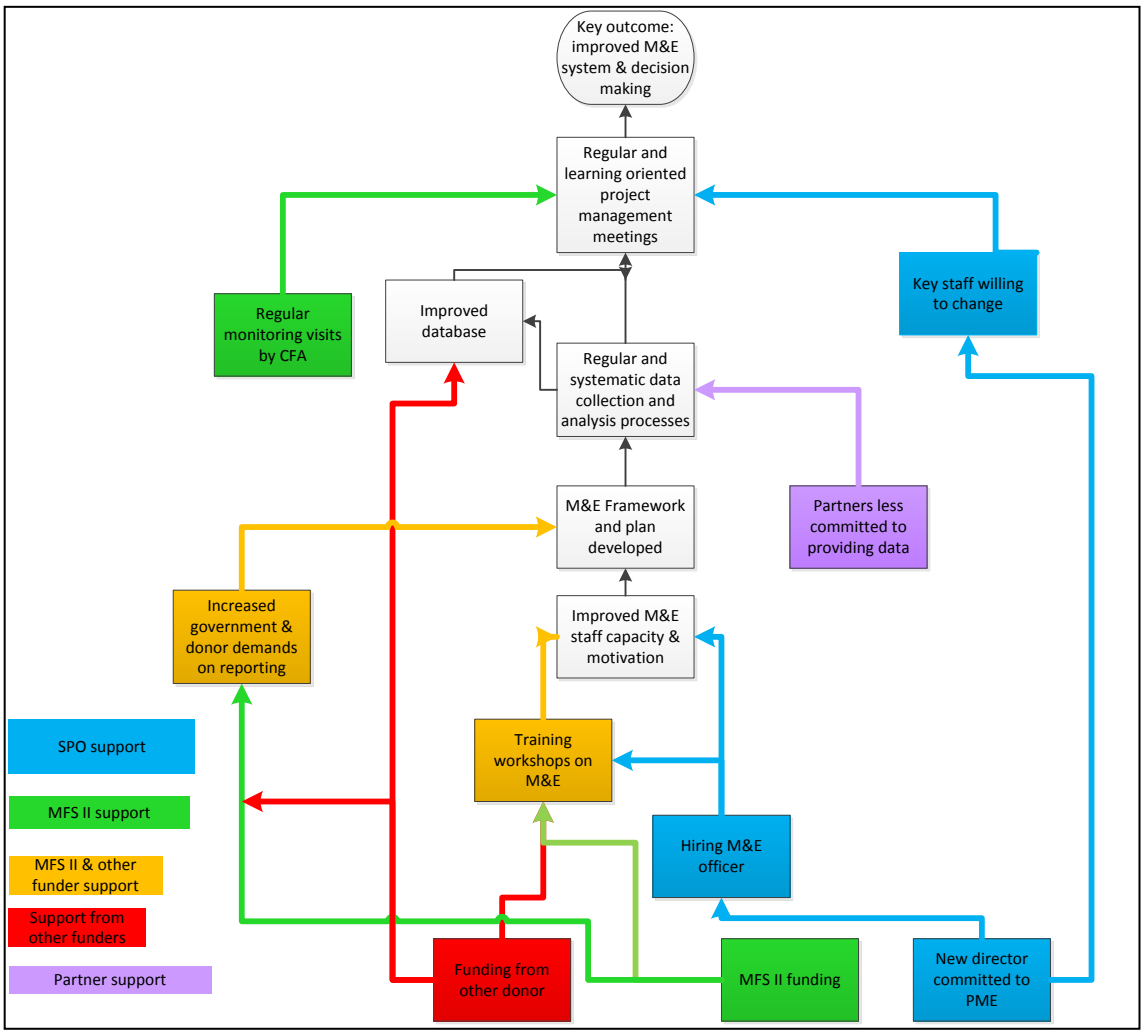


Figure 1 *An imaginary example of a model of change*

Step 5. Identify ***types of evidence*** *needed to verify or discard different causal relationships in the model of change – in-country teams with support from CDI team*

Once the causal mechanism at theoretical level were defined, empirical evidence was collected so as to verify or discard the different parts of this theoretical model of change, confirm or reject whether subcomponents have taken place, and to find evidence that confirm or reject the causal relations between the subcomponents.

A key question that we needed to ask ourselves was, *"What information do we need in order to confirm or reject that one subcomponent leads to another, that X causes Y?"*. The evaluation team needed to agree on what information was needed that provides empirical manifestations for each part of the model of change.

There are four distinguishable types of evidence that are relevant in process tracing analysis: *pattern, sequence, trace, and account*. Please see the box below for descriptions of these types of evidence.

The evaluation team needed to agree on the types of evidence that was needed to verify or discard the manifestation of a particular part of the causal mechanism. Each one or a combination of these different types of evidence could be used to confirm or reject the different parts of the model of change. This is what is meant by robustness of evidence gathering. Since causality as a concept can bend in many ways, our methodology, provides a near scientific model for accepting and rejecting a particular type of evidence, ignoring its face value.

Types of evidence to be used in process tracing

Pattern evidence relates to predictions of statistical patterns in the evidence. For example, in testing a mechanism of racial discrimination in a case dealing with employment, statistical patterns of employment would be relevant for testing this part of the mechanism.

Sequence evidence deals with the temporal and spatial chronology of events predicted by a hypothesised causal mechanism. For example, a test of the hypothesis could involve expectations of the timing of events where we might predict that if the hypothesis is valid, we should see that the event B took place after event A took place. However, if we found that event B took place before event A took place, the test would suggest that our confidence in the validity of this part of the mechanism should be reduced (disconfirmation/ falsification).

Trace evidence is evidence whose mere existence provides proof that a part of a hypothesised mechanism exists. For example, the existence of the minutes of a meeting, if authentic ones, provide strong proof that the meeting took place.

Account evidence deals with the content of empirical material, such as meeting minutes that detail what was discussed or an oral account of what took place in the meeting.

Source: Beach and Pedersen, 2013

Below you can find a table that provides guidelines on what to look for when identifying types of evidence that can confirm or reject causal relationships between different parts/ subcomponents of the model of change. It also provides one example of a part of a causal pathway and what type of information to look for.

Table 9

Format for identifying types of evidence for different causal relationships in the model of change (example included)

Part of the model of change	Key questions	Type of evidence needed	Source of information
Describe relationship between the subcomponents of the model of change	Describe questions you would like to answer a so as to find out whether the components in the relationship took place, when they took place, who was involved, and whether they are related	Describe the information that we need in order to answer these questions. Which type of evidence can we use in order to reject or confirm that subcomponent X causes subcomponent Y? Can we find this information by means of : Pattern evidence; Sequence evidence; Trace evidence; Account evidence?	Describe where you can find this information
Example: Training workshops on M&E provided by MFS II funding and other sources of funding	Example: What type of training workshops on M&E took place? Who was trained? When did the training take place? Who funded the training? Was the funding of training provided before the training took place? How much money was available for the training?	Example: Trace evidence: on types of training delivered, who was trained, when the training took place, budget for the training Sequence evidence on timing of funding and timing of training Content evidence: what the training was about	Example: Training report SPO Progress reports interviews with the CFA and SPO staff Financial reports SPO and CFA

Please note that for practical reasons, the 5C evaluation team decided that it was easier to integrate the specific questions in the narrative of the initial causal map. These questions would need to be

addressed by the in country team during the process tracing workshop so as to discover, verify or discard particular causal mechanisms in the detailed, initial causal map. Different types of evidence was asked for in these questions.

Step 6. ***Collect data*** *to verify or discard causal mechanisms and develop workshop-based, detailed causal map – in-country team*

Once it was decided by the in-country and CDI evaluation teams what information was to be collected during the interaction with the SPO, data collection took place. The initial causal maps served as a basis for discussions during the endline workshop with a particular focus on process tracing for the identified organisational capacity changes. But it was considered to be very important to understand from the perspective of the SPO how they understood the identified key organisational capacity change/outcome area has come about. A new detailed, workshop-based causal map was developed that included the information provided by SPO staff as well as based on initial document review as described in the initial detailed causal map. This information was further analysed and verified with other relevant information so as to develop a final causal map, which is described in the next step.

Step 7. ***Assess the quality*** *of data and* ***analyse data****, and develop the* ***final detailed causal map*** *(model of change) – in-country team and CDI team*

Quality assurance of the data collected and the evidence it provides for rejecting or confirming parts of causal explanations are a major concern for many authors specialised in contribution analysis and process-tracing. Stern et al. (2012), Beach and Pedersen (2013), Lemire, Nielsen and Dybdal (2012), Mayne (2012) and Delahais and Toulemonde (2012) all emphasise the need to make attribution/ contribution claims that are based on pieces of evidence that are rigorous, traceable, and credible. These pieces of evidence should be as explicit as possible in proving that *subcomponent X causes subcomponent Y* and ruling out other explanations. Several tools are proposed to check the nature and the quality of data needed. One option is, Delahais and Toulemonde's Evidence Analysis Database, which we have adapted for our purpose.

Delahais and Toulemonde (2012) propose an Evidence Analysis Database that takes into consideration three criteria:

Confirming/ rejecting a causal relation (yes/no);
Type of causal mechanism: intended contribution/ other contribution/ condition leading to intended contribution/ intended condition to other contribution/ feedback loop;
Strength of evidence: strong/ rather strong/ rather weak/ weak.

We have adapted their criteria to our purpose. The in-country team, in collaboration with the CDI team, used the criteria in assessing whether causal relationships in the causal map, were strong enough. This has been more of an iterative process trying to find additional evidence for the established relationships through additional document review or contacting the CFA and SPO as well as getting their feedback on the final detailed causal map that was established. Whilst the form below has not been used exactly in the manner depicted, it has been used indirectly when trying to validate the information in the detailed causal map. After that, the final detailed causal map is established both as a visual as well as a narrative, with related references for the established causal relations.

Example format for the adapted evidence analysis database (example included) **Description of causal relation**	**Confirming/ rejecting a causal relation (yes/no)**	**Type of information providing the background to the confirmation or rejection of the causal relation**	**Strength of evidence: strong/ rather strong/ rather weak/ weak**	**Explanation for why the evidence is (rather) strong or (rather) weak, and therefore the causal relation is confirmed/ rejected**
e.g. Training staff in M&E leads to enhanced M&E knowledge, skills and practice	e.g. Confirmed	e.g. Training reports confirmed that staff are trained in M&E and that knowledge and skills increased as a result of the training		

Step 8. ***Analyse and conclude*** *on findings– in-country team and CDI team*

The final detailed causal map was described as a visual and narrative and this was then analysed in terms of the evaluation question two and evaluation question four: *"To what degree are the changes identified in partner capacity attributable to development interventions undertaken by the MFS II consortia (i.e. measuring effectiveness)?"* and *"What factors explain the findings drawn from the questions above?"* It was analysed to what extent the identified key organisational capacity change can be attributed to MFS II supported capacity development interventions as well as to other related factors, interventions and actors.

4. Explaining factors – evaluation question 4

This paragraph describes the data collection and analysis methodology for answering the fourth evaluation question: **"What factors explain the findings drawn from the questions above?"**

In order to explain the changes in organisational capacity development between baseline and endline (evaluation question 1) the CDI and in-country evaluation teams needed to review the indicators and how they have changed between baseline and endline and what reasons have been provided for this. This has been explained in the first section of this appendix. It has been difficult to find detailed explanations for changes in each of the separate 5c indicators, but the 'general causal map' has provided some ideas about some of the key underlying factors actors and interventions that influence the key organisational capacity changes, as perceived by the SPO staff.

For those SPOs that are selected for process tracing (evaluation question 2), more in-depth information was procured for the identified key organisational capacity changes and how MFS II supported capacity development interventions as well as other actors, factors and interventions have influenced these changes. This is integrated in the process of process tracing as described in the section above.

5. Methodological reflection

Below a few methodological reflections are made by the 5C evaluation team.

Use of the 5 core capabilities framework and qualitative approach: this has proven to a be very useful framework to assess organisational capacity. The five core capabilities provide a comprehensive picture of the capacity of an organisation. The capabilities are interlinked, which was also reflected in

the description of standard indicators, that have been developed for the purpose of this 5C evaluation and agreed upon for the eight countries. Using this framework with a mainly qualitative approach has provided rich information for the SPOs and CFAs, and many have indicated this was a useful learning exercise.

Using standard indicators and scores: using standard indicators is useful for comparison purposes. However, the information provided per indicator is very specific to the SPO and therefore makes comparison difficult. Whilst the description of indicators has been useful for the SPO and CFA, it is questionable to what extent indicators can be compared across SPOs since they need to be seen in context, for them to make meaning. In relation to this, one can say that scores that are provided for the indicators, are only relative and cannot show the richness of information as provided in the indicator description. Furthermore, it must be noted that organisations are continuously changing and scores are just a snapshot in time. There cannot be perfect score for this. In hindsight, having rubrics would have been more useful than scores.

General causal map: whilst this general causal map, which is based on key organisational capacity changes and related causes, as perceived by the SPO staff present at the endline workshop, has not been validated with other sources of information except SPO feedback, the 5C evaluation team considers this information important, since it provides the SPO story about how and which changes in the organisation since the baseline, are perceived as being important, and how these changes have come about. This will provide information additional to the information that has been validated when analysing and describing the indicators as well as the information provided through process tracing (selected SPOs). This has proven to be a learning experience for many SPOs.

Using process tracing for dealing with the attribution question: this theory-based and mainly qualitative approach has been chosen to deal with the attribution question, on how the organisational capacity changes in the organisations have come about and what the relationship is with MFS II supported capacity development interventions and other factors. This has proven to be a very useful process, that provided a lot of very rich information. Many SPOs and CFAs have already indicated that they appreciated the richness of information which provided a story about how identified organisational capacity changes have come about. Whilst this process was intensive for SPOs during the process tracing workshops, many appreciated this to be a learning process that provided useful information on how the organisation can further develop itself. For the evaluation team, this has also been an intensive and time-consuming process, but since it provided rich information in a learning process, the effort was worth it, if SPOs and CFAs find this process and findings useful.

A few remarks need to be made:

- Outcome explaining process tracing is used for this purpose, but has been adapted to the situation since the issues being looked at were very complex in nature.
- Difficulty of verifying each and every single change and causal relationship:
- Intensity of the process and problems with recall: often the process tracing workshop was done straight after the general endline workshop that has been done for all the SPOs.In some cases, the process tracing endline workshop has been done at a different point in time, which was better for staff involved in this process, since process tracing asks people to think back about changes and how these changes have come about. The word difficulties with recalling some of these changes and how they have come about. See also the next paragraph.
- Difficulty of assessing changes in knowledge and behaviour: training questionnaire is have been developed, based on Kirkpatrick's model and were specifically tailored to identify not only the interest but also the change in knowledge and skills, behaviour as well as organisational changes as a result of a particular training. The retention ability of individuals, irrespective of their position in the organisation, is often unstable. The 5C evaluation team experienced that it was difficult for people to recall specific trainings, and what they learned from those trainings. Often a change in knowledge, skills and behaviour is a result brought about by a combination of different factors , rather than being traceable to one particular event. The detailed causal maps that have been established, also clearly pointed this. There are many factors at play that make people change their behaviour, and this is not just dependent on training but also internal/personal (motivational) factors as well as factors within the organisation, that stimulate or hinder a person to change behaviour. Understanding how behaviour change works is important when trying to really understand the extent to which behaviour has changed as a

result of different factors, actors and interventions. Organisations change because people change and therefore understanding when and how these individuals change behaviour is crucial. Also attrition and change in key organisational positions can contribute considerably to the outcome.

Utilisation of the evaluation

The 5C evaluation team considers it important to also discuss issues around utility of this evaluation. We want to mention just a few.

Design – mainly externally driven and with a focus on accountability and standard indicators and approaches within a limited time frame, and limited budget: this MFS II evaluation is originally based on a design that has been decided by IOB (the independent evaluation office of the Dutch Ministry of Foreign Affairs) and to some extent MFS II organisations. The evaluators have had no influence on the overall design and sampling for the 5C study. In terms of learning, one may question whether the most useful cases have been selected in this sampling process. The focus was very much on a rigorous evaluation carried out by an independent evaluation team. Indicators had to be streamlined across countries. The 5C team was requested to collaborate with the other 5C country teams (Bangladesh, Congo, Pakistan, Uganda) to streamline the methodological approach across the eight sampled countries. Whilst this may have its purpose in terms of synthesising results, the 5C evaluation team has also experienced the difficulty of tailoring the approach to the specific SPOs. The overall evaluation has been mainly accountability driven and was less focused on enhancing learning for improvement. Furthermore, the timeframe has been very small to compare baseline information (2012) with endline information (2014). Changes in organisational capacity may take a long, particularly if they are related to behaviour change. Furthermore, there has been limited budget to carry out the 5C evaluation. For all the four countries (Ethiopia, India, Indonesia, Liberia) that the Centre for Development Innovation, Wageningen University and Research centre has been involved in, the budget has been overspent.

However, the 5C evaluation team has designed an endline process whereby engagement of staff, e.g. in a workshop process was considered important, not only due to the need to collect data, but also to generate learning in the organisation. Furthermore, having general causal maps and detailed causal maps generated by process tracing have provided rich information that many SPOs and CFAs have already appreciated as useful in terms of the findings as well as a learning process.

Another issue that must be mentioned is that additional requests have been added to the country teams during the process of implementation: developing a country based synthesis; questions on design, implementation, and reaching objectives of MFS II funded capacity development interventions, whilst these questions were not in line with the core evaluation questions for the 5C evaluation.

Complexity and inadequate coordination and communication: many actors, both in the Netherlands, as well as in the eight selected countries, have been involved in this evaluation and their roles and responsibilities, were often unclear. For example, 19 MFS II consortia, the internal reference group, the Ministry of Foreign Affairs, Partos, the Joint Evaluation Trust, NWO-Wotro, the evaluators (Netherlands and in-country), 2 external advisory committees, and the steering committee. Not to mention the SPO's and their related partners and consultants. CDI was involved in 4 countries with a total number of 38 SPOs and related CFAs. This complexity influenced communication and coordination, as well as the extent to which learning could take place. Furthermore, there was a distance between the evaluators and the CFAs, since the approach had to be synchronised across countries, and had to adhere to strict guidelines, which were mainly externally formulated and could not be negotiated or discussed for the purpose of tailoring and learning. Feedback on the final results and report had to be provided mainly in written form. In order to enhance utilisation, a final workshop at the SPO to discuss the findings and think through the use with more people than probably the one who reads the report, would have more impact on organisational learning and development. Furthermore, feedback with the CFAs has also not been institutionalised in the evaluation process in the form of learning events. And as mentioned above, the complexity of the evaluation with many actors involved did not enhance learning and thus utilization.

5C Endline process, and in particular thoroughness of process tracing often appreciated as learning process: The SPO perspective has also brought to light a new experience and technique of self-assessment and self-corrective measures for managers. Most SPOs whether part of process tracing or not, deeply appreciated the thoroughness of the methodology and its ability to capture details with robust connectivity. This is a matter of satisfaction and learning for both evaluators and SPOs. Having a process whereby SPO staff were very much engaged in the process of self-assessment and reflection has proven for many to be a learning experience for many, and therefore have enhanced utility of the 5C evaluation.

Appendix 2 Background information on the five core capabilities framework

The 5 capabilities (5C) framework was to be used as a framework for the evaluation of capacity development of Southern Partner Organisations (SPOs) of the MFS II consortia. The 5C framework is based on a five-year research program on 'Capacity, change and performance' that was carried out by the European Centre for Development Policy Management (ECDPM). The research included an extensive review of the literature and sixteen case studies. The 5C framework has also been applied in an IOB evaluation using 26 case studies in 14 countries, and in the baseline carried out per organisation by the MFS II organisations for the purpose of the monitoring protocol.

The 5C framework is structured to understand and analyse (changes in) the capacity of an organization to deliver (social) value to its constituents. This introduction briefly describes the 5C framework, mainly based on the most recent document on the 5C framework (Keijzer et al., 2011).

The 5C framework sees capacity as an **outcome** of an **open system**. An organisation or collaborative association (for instance a network) is seen as a system interacting with wider society. The most critical practical issue is to ensure that relevant stakeholders share a common way of thinking about capacity and its core constituents or capabilities. Decisive for an organisation's capacity is the context in which the organisation operates. This means that **understanding context issues** is crucial. The use of the 5C framework requires a multi-stakeholder approach because shared values and results orientation are important to facilitate the capacity development process. The 5C framework therefore needs to **accommodate the different visions** of stakeholders and conceive different strategies for raising capacity and improving performance in a given situation.

The 5C framework defines capacity as '**producing social value'** and identifies five core capabilities that together result in that overall capacity. Capacity, capabilities and competences are seen as follows:

Capacity is referred to as the overall ability of an organisation or system to create value for others;

Capabilities are the collective ability of a group or a system to do something either inside or outside the system. The collective ability involved may be technical, logistical, managerial or generative (i.e. the ability to earn legitimacy, to adapt, to create meaning, etc.);

Competencies are the energies, skills and abilities of individuals.

Fundamental to developing capacity are inputs such as human, material and financial resources, technology, and information. To the degree that they are developed and successfully integrated, capabilities contribute to the overall capacity or ability of an organisation or system to create value for others. A single capability is not sufficient to create capacity. All are needed and are strongly interrelated and overlapping. Thus, to achieve its development goals, the 5C framework says that every organisation or system must have **five basic capabilities:**

- The capability to act and commit;
- The capability to deliver on development objectives;
- The capability to adapt and self-renew;
- The capability to relate (to external stakeholders);
- The capability to achieve coherence.

In order to have a common framework for evaluation, the five capabilities have been reformulated in outcome domains and for each outcome domain performance indicators have been developed.

There is some overlap between the five core capabilities but together the five capabilities result in a certain level of capacity. Influencing one capability may have an effect on one or more of the other

capabilities. In each situation, the level of any of the five capabilities will vary. Each capability can become stronger or weaker over time.

Appendix 3 Changes in organisational capacity of the SPO - 5C indicators

Below you will find a description for each of the indicators under each of the capabilities, what the situation is as assessed during the endline, how this has changed since the baseline and what are the reasons for change.

Capability to act and commit

Level of Effective Leadership

1.1.Responsive leadership: 'Leadership is responsive, inspiring, and sensitive'

This is about leadership within the organisation (operational, strategic). If there is a larger body then you may also want to refer to leadership at a higher level but not located at the local organisation.

The leader continues to be responsive and focused in his work. Since the baseline there is a slight improvement in the capacity of the leader in being more self-reliant and taking more responsibility in developing proposals, taking the lead in writing donor reports and strategic planning. He is less dependent on external consultants and Samarthak Samiti's mother organisation Astha Sansthan. This is evident from the fact that the consultant was initially invited for 4-5 times in a month but now his help is sought only 4-5 times in a quarter. He has been independently trying to put together proposals, compiling information from the field and translating it into English, which he is now better versed in. The leader is focusing on the capacity building of his field staff by offering them training opportunities and exposure visits so that they can independently train the target groups and address their issues. Reduced funding and need to sustain the organisation has compelled the leader to be self-reliant. The leader is still mentored by the general body which consists of 24 cooperative members and 2 invitees and meets twice a year. The executive council consists of 13 members (3 women) who meet regularly every quarter and act upon decisions taken at the general body meetings and also share information on the progress of the cooperatives. Also second line of leadership is strengthening as the accountant is taking on more responsibilities.

Score baseline: 4.0

Score endline: 4.25 (very slight improvement)

1.2.Strategic guidance: 'Leaders provide appropriate strategic guidance (strategic leader and operational leader)'

This is about the extent to which the leader(s) provide strategic directions

The strategic directions provided by the leader are still in line with the vision of the organization. Though he gives strategic guidance he also allows the flexibility to modify the guidelines in case the conditions on the field require doing so. The leader is now taking a more business-like approach by focussing on non-timber forest produce (NTFP) collection and marketing. This change in approach has come about through strategic planning exercises with the team. Samarthak Samiti is now more looking at holistic agriculture based on the livelihoods approach with a focus on generating own income instead of depending on grants. The leader has also improved his capacity to network with the government and like-minded NGOs and looks at other sustainable strategies for the organisation. He has taken initiatives in approaching new donors for the sustainability of the organisation. As a result he approached two new donors in 2013: the Centre for Environment Education Ahmedabad and Wells for India. The functioning of SS is still transparent and the decision making both internal and external

is democratic in nature. SS being an umbrella organisation for several minor forest produce groups and cooperatives still has a strong representation of cooperative members from the community.

Score baseline: 3.0

Score endline: 3.5 (slight improvement)

1.3.Staff turnover: 'Staff turnover is relatively low'

This is about staff turnover.

Staff turnover continues to be low at the field level. The staff is committed to the organisation and the leader. However, the 2-3 key programme staff has left during the last two years as the organisation did not have funds to support them. The SS team now has six members. The staff that has left held responsible positions and Samarthak Samiti's success depended on their capabilities. This is thus a serious concern as it reflects the poor funding status of the organisation, its inability to retain its staff and at the same time involves loosing skills acquired by the staff during training programmes.

Score baseline: 3.0

Score endline: 2.0 (deterioration)

Level of realistic strategic planning

1.4.Organisational structure: 'Existence of clear organisational structure reflecting the objectives of the organisation'

Observable indicator: Staff have copy of org structure and understand this

Since baseline there has been no change in the organisational structure. There is still no very strong hierarchal structure. Everyone works and sits together in one room; also the leader prefers working with staff in the same room. An organogram is available in the Operational Policy. Strategic and operational decisions are taken by the project team headed by the secretary, and these are then presented in the executive body meeting for approval. During the endline workshop a plan that is in the pipeline was shared with the evaluation team to reshuffle the board members and form an advisory committee, so that the decision making process can be faster.

Score baseline: 3.0

Score endline: 3.0 (no change)

1.5.Articulated strategies: 'Strategies are articulated and based on good situation analysis and adequate M&E'

Observable indicator: strategies are well articulated. Situation analysis and monitoring and evaluation are used to inform strategies.

Samarthak Samiti has well-articulated strategies both at the programme as well as the organizational level. While the former is based on a good situational analysis of the target population the latter is based on achieving sustainability. Since the field staff of Samarthak Samiti works closely with the target population they are always aware of the situation on the ground. The organisation has formed different Minor Forest Produce (MFP) collection groups and capacitated them to become entrepreneurs. Regular interaction with these groups through meetings and trainings helps Samarthak Samiti get feedback on their programme strategies. In order to be self –sustainable, the organisation is in the process of strengthening their producer company for marketing their products. Samarthak Samiti has initiated a centralized processing and storage centre at the cooperative level for their products. The producer company which was registered in 2011 now has the "Desert Green" trademark on its products. The leader is trying to strengthen producer companies with the hope that the salaries of the staff of Samarthak Samiti will be paid by the members of the cooperatives for the services they offer. However, until now only one out of nine cooperatives got registered and further effort is needed to strengthen the cooperatives.

Score baseline: 3.0

Score endline: 3.0 (no change)

Level of translation of strategy into operations

1.6.Daily operations: 'Day-to-day operations are in line with strategic plans'

This is about the extent to which day-to-day operations are aligned with strategic plans.

Day to day operational plans continue to be in line with the strategic plans. The annual strategic plan clearly defines activities, objectives, output, outcomes and quarterly targets and based on this the staff make monthly plans. The monthly plans are presented in the first week of the month and on the basis of these monthly plans, daily plans are made. Before setting out to work, the field staff at the cluster level meets to review the work plan for the day.

Score baseline: 3.0

Score endline: 3.0 (no change)

Level of Staff Capacity and Motivation

1.7.Staff skills: 'Staff have necessary skills to do their work'

This is about whether staff have the skills necessary to do their work and what skills they might they need.

In comparison with the baseline situation staff express a better understanding of the technical aspects of their roles. They have improved their skills in advising beneficiaries on sustainable farming, processing of Non-Timber Forest Produce (NTFP), documentation related to dispatch of NTFP and helping beneficiaries negotiate with local traders. Field staff have also developed their skills in documentation procedures, invoices and preparing receipt for dispatch of goods. Customised/ needs-based training and exposure visit programmes supported by Hivos and other donors have capacitated the staff on different skills and knowledge, such as: use of bio-pesticide, nursery raising, managing and developing a producer company, report writing, case study writing and MIS. Most of the gaps in staff skills that were flagged in the baseline are now filled. Field staff's capacity has increased in marketing the product as they learned from the experience in the festivals Vikas mela and Shrashti mela. This has resulted in increased capacity of the staff to train their target groups. The leader has made a conscious effort to improve his English by writing reports and proposals with minimal help from the OD consultant. There is still a need for the staff to improve their Basic English and a mechanism for the organization to retain its skilled staff or knowledge because 2-3 trained staff left the organisation as Samarthak Samiti. This has been a major setback for Samarthak Samiti. While SS had reached a good level of trained staff, with 2-3 trained staff leaving the situation changed dramatically. The programme staff that was trained on results-based monitoring could not be retained as the organisation did not have sufficient funds. In effect, while there is trained field staff in the organisation, trained programme staff has left Samarthak Samiti.

Score baseline: 3.0

Score endline: 3.0 (no change)

1.8.Training opportunities: 'Appropriate training opportunities are offered to staff'

This is about whether staff at the SPO are offered appropriate training opportunities

During the last two years Samarthak Samiti has made significant effort in providing need based training opportunities to its staff with an aim to be self-sustaining. Hivos and other donors continuously identified gaps in the skills of the staff and trained them on focused data collection, report and proposal writing. Some of the trainings that were offered to the staff were on: FCRA act

and financial management supported by Hivos (2012, in Bangalore); writing reports and case studies facilitated by a consultant and Astha Sansthan (2014, in Udaipur); Waadi cultivation training; leadership (2013, at Astha Sansthan, Udaipur); bio-pesticides making training (2013, in Dhariyawad, Rajasthan); business planning training supported by Hivos (at Mungana Rajasthan); results-based monitoring and project engagement (in Udaipur); nursery raising and use of bio-pesticide training supported by Dorabji Trust (in Udaipur in 2012); project and financial management orientation (in Dahood); participatory marketing system development training supported by Christian Aid (in Madurai in 2013); management of the social enterprise training at (in Anand); management of producer company (in Hyderabad). There have also been exposure visits in 2014: visit to the Indian Institute of Management, Ahmedabad in 2014 to learn about how to market produce, supported by Hivos and Dorabji Trust; visit to Sultanpur, Madhya Pradesh to see the income generation activities of other cooperatives, supported by Dorabji Trust and Hivos; visit to Krishi Vigyan Kendra, supported by Hivos and Krishi Vigyan Kendra. In 2013 the following exposure visits were made: visit to Pratapgarh Krishi Vigyan Kendra for prevention of pest attacks, funded by Dorabji Trust, visit to Shrashti mela, a three day fair where NGOs showcase their products, supported Dorabji Trust and Hivos; visit to Coimbatore on methods of honey collection.

Score baseline: 3.0

Score endline: 4.0 (no change)

1.9.1.Incentives: 'Appropriate incentives are in place to sustain staff motivation'

This is about what makes people want to work here. Incentives could be financial, freedom at work, training opportunities, etc.

The leader continues to be the role model for the staff. Also, since the field staff is from the community, they are motivated to help their own community. It is thus the internal drive that keeps them loyal and committed towards the organisation. In the last two years as the funding from the donors has gradually reduced, staff salaries have also been reduced by 50%. Two project level staff had to leave the organization due to lack of funds to support them. This has increased the workload on the remaining staff.

Score baseline: 4.0

Score endline: 3.0 (deterioration)

Level of Financial Resource Security

1.9.2.Funding sources: 'Funding from multiple sources covering different time periods'

This is about how diversified the SPOs funding sources are over time, and how the level of funding is changing over time.

During the baseline evaluation, Samarthak Samiti received funds from five different donors. Most of the contracts terminated in 2014, for example the contract with Hivos ended on the 31st of March 2014. Over the last two years, funding has therefore decreased. As a consequence to the phasing out of donor funding, government's anti-smoking policy (which had an impact on the sale of tendu patta) and the general shift in the donor priorities, Samarthak Samiti made strategic plans and efforts towards sustainability.

In December 2013 SS managed to get funds from the Centre for Environment Education of the United Nations Development Programme (CEE-UNDP) and Wells for India (WFI) for two years up to October 2015 for the programme "Mobilization of Community to Strengthen MFP based Livelihoods of Tribal Women in Southern Rajasthan." This grant is released at six monthly intervals and is subject to their performance in the project. With this grant SS is supporting its field staff at half their earlier salaries. Further, Samarthak Samiti is hired as a resource agency by the Small Farmers' Agribusiness

Consortium (SFAC)[16] for promoting producer organisation in Rajasthan. It is also hired by TRIFED for organising short term NTFPs based training support for the staff and target group.

Score baseline: 3.0

Score endline: 2.0 (deterioration)

1.9.3.Funding procedures: 'Clear procedures for exploring new funding opportunities'

This is about whether there are clear procedures for getting new funding and staff are aware of these procedures.

There are still no formal procedures to explore new funding possibilities. However, during the last two years the staff has improved their skills significantly to collect focused data from the field, to write better reports in order to showcase its work to new donors. While during the baseline Samarthak Samiti depended on an organisational development specialist for finalising their proposals, they are now trying to independently to put together proposals, and they are making better use of data and field experiences. The chief functionary has taken it upon himself to develop proposals and new relationships with potential donors. SS currently is in contact with the following potential donors:

- Cement company to make it part of their CSR;
- NABARD (National Bank for Agriculture and Rural Development) Jaipur for the tree-based Wadi support for tribal groups in the area;
- Christian Aid, hopefully to support SS in a consortium of the BEE-Keeping for agriculture production project in 2014-2016;
- As a Hivos partner SS also has applied to the Producer Entrepreneurship Catalyst & Incubation Facility (PROCIF) for capacity building and will also apply for the working capital and other support.

The leader understands that all these funding sources are in a nascent stage which needs further effort to strengthen to be completely self-sustained. Some other initiatives that Samarthak Samiti is taking to enhance their funding base are:

- Its producer company which was registered in 2011 got its trademark, “Desert Green”, registered in 2013 for smooth and easy sale of its products. Samarthak Samiti is trying to strengthen its producer company with the hope that the salaries of the staff of Samarthak Samiti will be paid by the members of the cooperatives for the services they offer. With this producer company they are also focusing on new product innovations and marketing such as Beeswax lip balm, Maize Papdi, lentil, aloe vera juice, amla juice and jamun.
- Moving its strategic focus from NTFP collection to marketing, agriculture and forest based strategies to be able to approach a wider range of donors;
- The organisation is focusing on developing cooperatives as small processing and storage centres. All the NTFP and agricultural products can be processed and stored for marketing there so that they withhold the product in the store for a longer period and sell it when the market prices are good.
- Its producer company which was registered in 2011 got its trademark, “Desert Green”, registered in 2013 for smooth and easy sale of its products. Samarthak Samiti is trying to strengthen its producer company with the hope that the salaries of the staff of Samarthak Samiti will be paid by the members of the cooperatives for the services they offer. With this producer company they are also focusing on new product innovations and marketing such as Beeswax lip balm, Maize Papdi, lentil, aloe vera juice, amla juice and jamun.
- The MFP development Fund (MDF) had been created 5 years ago for easy and timely credit to the group members involved in purchase of MFP from the villagers, for processing and value addition. Revolving fund management policy has been developed for better management of this fund. It was a unique step towards attaining self-sustainability in the business of MFP collection and trading by producers’ groups. During the last two years most of the amount was used for making advance payments to the honey, Jamun and agriculture collection groups. Since the baseline the MDF fund

[16] SFAC is a consortium that supports new ventures in Agro-based industries. The target groups are individuals, farmers, producer groups, SHGs etc. and the consortium helps them get venture capital by linking them with banks

has increased from Rs. 6,00,000 to Rs. 9,54,000 a growth of 59.98 percent. This fund helps make Samarthak Samiti's programmes and their effects more sustainable. Further, Samarthak Samiti is hired as a resource agency by SFAC for promoting producer organisation in Rajasthan. It is also hired by TRIFED for organising short term NTFPs based training support for the staff and target group.

The leader of Samarthak Samiti has improved his capacity to write proposals independently for different donors and is trying its best to come up with new innovative proposals, but funders have not been showing long-term interest

Score baseline: 2.0

Score endline: 2.5 (slight improvement)

Summary of capability to act and commit

The most serious change that affected the organisation has been the reduction in funding. Most of Samarthak Samiti's contracts with donor have ended in 2014, including the one with Hivos, meaning a significant decrease in its funding base. Whilst there are still no formal funding procedures, SS has improved staff's capacity to write proposal and they have approached five potential funders to cope with this poor funding situation. Other coping strategies include: widening its strategic focus to appeal to a wider set of donors; strengthening its producer company in the hope that they can support the organisation's strategies and pay the salaries of the staff of Samarthak Samiti; the MFP development fund which helps in the self-sustainability of the producer's groups that Samarthak Samiti supports; being hired as resource agency by SFAC[17] and by TRIFED to organise short term NTFPs based training. They were able to get funding from Centre for Environment Education of the United Nations Development Programme (CEE-UNDP) and Wells for India (WFI) to continue the "Mobilization of Community to Strengthen MFP based Livelihoods of Tribal Women in Southern Rajasthan" programme until December 2015 and pay half of the field staff's salaries. The chief functionary has taken it upon himself to develop proposals and new relationships with potential donors. The leader of Samarthak Samiti is still responsive and focussed in his work. Reduced funding and need to sustain the organisation has compelled the leader to be self-reliant. He has become more independent from external consultants and Astha (the mother organisation of SS) as he increased his capacity to write reports, proposals and approach donors. The leader has improved his capacity to network and has approached new donors for the sustainability of the organisation: in 2013 he approached the Centre for Environment Education Ahmedabad and Wells for India. The leader is focusing on the capacity building of his field staff by offering them training opportunities and exposure visits so that they can independently train the target groups. The strategic directions provided by the leader are still in line with the vision of the organization. The leader is now taking a more business-like approach by focussing on non-timber forest produce (NTFP) collection, livelihoods and marketing and focusses more on generating own income instead of depending on grants. Samarthak Samiti has well-articulated strategies both at the programme as well as the organizational level that are based on good situational analysis and on achieving sustainability. Through its field staff Samarthak Samiti is always aware of the situation on the ground. The organisation's daily operations are still in line with strategic plans. Monthly plans are made based upon quarterly targets and staff makes daily plan based on the monthly plans. In the last two years as the funding from the donors has gradually reduced, staff salaries have also been reduced by 50%. Two project level staff had to leave the organization because of lack of funds to keep them, which has increased the workload on the remaining staff. Staff turnover at the field level continues to be low. Field staff is from the community and are motivated to help their own community. SS remains to be a not very hierarchical organisation and there are no changes in the organisational structure. There is a plan to reshuffle the board members and form an advisory committee to make the decision making process faster. While staff has

[17] SFAC is a consortium that supports new ventures in Agro-based industries. The target groups are individuals, farmers, producer groups, SHGs etc. and the consortium helps them get venture capital by linking them with banks

improved their skills in areas that were lacking during the baseline (MIS, nursery raising, technical support on agriculture, developing producer organisation), there continues to be a need to improve basic English skills gaps. While SS continued to provide a customised training and exposure visit programme to staff and had reached a good level of trained staff, with 2-3 trained staff leaving the situation changed dramatically. The programme staff that was trained on results-based monitoring could not be retained as the organisation did not have sufficient funds.

Score baseline: 3.1

Score endline: 3.0 (no change)

Capability to adapt and self-renew

Level of effective application of M&E

2.1.M&E application: 'M&E is effectively applied to assess activities, outputs and outcomes'

This is about what the monitoring and evaluation of the SPO looks at, what type of information they get at and at what level (individual, project, organisational).

Whilst Samarthak Samiti continues to hold regular meetings to report on and discuss project related issues, there is still a need to have a comprehensive and more formalized M&E system. Monitoring of the project is still carried out at three levels based on participatory approach: 1) field level monitoring of the project is an ongoing process; 2) monthly joint review meetings where completion of project activities are reported and discussed at project level; and 3) quarterly meetings are organized at proposed cluster level with minor forest produce group meetings.

For project input monitoring (finance, equipment and human resource) the following records are still maintained: Monthly Progress Report, Trial balance and Budget-Expenditure statements; Logbooks to give utilization of equipment and instruments; performance of human resources is monitored through monthly schedule and achievement reports on task assignments. Towards output monitoring, projects still keep group based records on various minor forest produce, value addition, sale and income by different group members for various products. Records are maintained within the groups of problems and issues they have come across and actions taken to keep to planning. There is still a General body meeting twice a year and the Executive body meets every quarter. The entire project related and day to day operational decisions are taken by project team headed by secretary, which are later presented in executive body meeting for their approval.

Since the baseline Samarthak Samiti has fine-tuned its templates and MIS formats for data collection and monitoring both at the field and headquarter level. It now has separate formats for data collection for each forest produce unit collected by the cooperatives. These formats are in Hindi, to enable field staff to fill them easily. To ensure consistency and improving quality of data collection and compilation, capacity building workshops are organised for the staff. This process has helped staff to collect focused data regularly and track their progress on their activities, outputs and outcomes in a more systematic manner. Indicators are formulated, monitored and reported on at the activity and outcome level. The reports are submitted monthly by the field staff. These are then, compiled, analysed and translated to English by the leader.

Score baseline: 3.0

Score endline: 3.5 (slight improvement)

2.2.M&E competencies: 'Individual competencies for performing M&E functions are in place'

This is about whether the SPO has a trained M&E person; whether other staff have basic understanding of M&E; and whether they know what information to collect, how to process the information, how to make use of the information so as to improve activities etc.

Gradually there is less dependency of Samarthak Samiti on external consultants for preparing draft reports for the donor. The field staff's competency in monitoring, collecting and compiling the data has improved. Further capacity building trainings are conducted for the staff on MIS. As a result there is

better flow of information from the field to the head office which is further analysed and compiled by the leader. Earlier the leader had to call up the field staff frequently to fill in the missing links in the data. This has reduced considerably after the staff has been trained on data collection. Project staff were trained on results-based monitoring for better project management and decision making process at project level. However, the organisation could not retain these staff which, being a small organisation, resulted in loss of M&E competences of the organisation.

Score baseline: 2.0

Score endline: 2.0 (no change)

Level of strategic use of M&E

2.3.M&E for future strategies: 'M&E is effectively applied to assess the effects of delivered products and services (outcomes) for future strategies'

This is about what type of information is used by the SPO to make decisions; whether the information comes from the monitoring and evaluation; and whether M&E info influences strategic planning.

During the last two years donors have continuously pointed out gaps in data collection and reporting. Their aim was to strengthen data collection methods and procedures. There is improvement in the M&E process and the informal analysis of the data. This has helped Samarthak Samiti to learn from its previous experience on technical issues which has helped in developing new strategic plans. Reports submitted by field staff, cluster facilitators and community workers in the meetings are still valuable, according to which amendments are made in plans and accounts. The accounts person continues to do a monthly or bimonthly analysis to see if funds are being utilized as per budget. This helps in planning for the future.

Score baseline: 3.0

Score endline: 3.5 (slight improvement)

Level of openness to strategic learning

2.4.Critical reflection: 'Management stimulates frequent critical reflection meetings that also deal with learning from mistakes'

This is about whether staff talk formally about what is happening in their programs; and, if so, how regular these meetings are; and whether staff are comfortable raising issues that are problematic.

The staff continues to have regular monthly review meetings to discuss issues at project level. Cluster level meetings are still organized with minor forest produce groups every quarter. Reports are also reviewed to pick up on issues that need to be taken up. Samarthak Samiti is a small organisation, with an easy to approach leader who has a separate room but likes to sit in the same room as staff. Decision making is participatory and decentralised and this supports people in talking freely. There are frequent discussions and their ideas are welcomed and used. Apart from this, the leader continues to be always available to discuss other problems, in case of a problem, staff can easily ask for advice. With the reduction in funds, issues are discussed even more often.

Score baseline: 4.0

Score endline: 4.0 (no change)

2.5. Freedom for ideas: 'Staff feel free to come up with ideas for implementation of objectives

This is about whether staff feel that ideas they bring for implementation of the program are welcomed and used.

There has been no change in this indicator. Samarthak Samiti is a small organisation, with an easy to approach leader who has a separate room but likes to sit in the same room as staff. Decision making

is participatory and decentralised and this supports people in talking freely. There are frequent discussions and their ideas are welcomed and used.

Score baseline: 5.0

Score endline: 5.0 (no change)

Level of context awareness

2.6.System for tracking environment: 'The organisation has a system for being in touch with general trends and developments in its operating environment'

This is about whether the SPO knows what is happening in its environment and whether it will affect the organization.

Samarthak Samiti continues to work with the cooperatives. This ensures not only continuous and regular interaction but also enables them to track any changes regarding the situation on the ground. Astha Sansthan continues to pass on information that is finds relevant for Samarthak Samiti. The organisation has developed new networks with like-minded NGOs, state and national level organisations for sharing, learning and discussing several issues. This helped the leader in tracking different developments and changes. Awareness on the key issues related to the minor forest producers including their rights and responsibilities has helped Samarthak Samiti take suitable action. As Samarthak Samiti continues to work on products of which many are regulated by the government, they stay up to date with the relevant acts, like the Panchayats Extension to Scheduled Areas (PESA) Act, which enables Gram Sabhas to self-govern natural resources and make use of the relevant state and national government provisions like the Green India project, which allocates land under village pasture and MGNREGA[18] work to promote MFP based plantations. With government's anti-smoking policy and changing donor priorities the organisation made a strategic change to move toward agriculture and animal husbandry production and marketing. After this strategic change, SS is now also tracking trends in agriculture. SS membership of a network of four organisations who are part of the non- pesticide management initiative, helps in this. The organisation is also keeping track of its competitors in the MFP sector through being part of a Drafting Committee set up by the government to develop a Draft MFP Policy. The information seems to be locally based but now also a bit more information is tracked at the national level.

Score baseline: 3.5

Score endline: 3.75 (very slight improvement)

2.7.Stakeholder responsiveness: 'The organisation is open and responsive to their stakeholders and the general public'

This is about what mechanisms the SPO has to get input from its stakeholders, and what they do with that input.

In the last two years there has been no change in this indicator. The organisation continued to be open to take inputs from different beneficiaries and sensitive to their needs. Community members continue to be the main stakeholders and are represented by their leaders. The leaders of the self-help groups are always in touch with the field staff of Samarthak Samiti. They also meet with other organizations working on minor forest produce. These meetings may not be regular as they are based on emerging issues and are area specific. Details of meetings with cooperative members are kept in a register at Samarthak Samiti. The forest department officials also inform Samarthak Samiti about policy changes if any. This input helps in planning for activities.

Score baseline: 4.0

[18] The Mahatma Gandhi National Rural Employment Guarantee Act aims at enhancing the livelihood security of people in rural areas by guaranteeing hundred days of wage employment to a household whose adult members volunteer to do unskilled manual work.

Score endline: 4.0

Summary of capability to adapt and self-renew

Samarthak Samiti continues to have regular meetings to report on and discuss project related issues but still does not have a comprehensive and formalised M&E system in place. Monitoring is still done for inputs and outputs through record keeping. Since the baseline Samarthak Samiti has fine-tuned its templates and MIS formats for data collection and monitoring both at the field and headquarter level. In its reports, indicators at activity and outcome level are reported on. The reports are submitted monthly by the field staff. These are then compiled, analysed and translated to English by the leader. While field staff has become better at monitoring and collecting data and the leader is becoming less dependent on external consultants for drafting reports, programme staff that was trained in results-based monitoring have left the organisation due to lack of funding. The informal analysis of data and the overall M&E process improved over the last two years as donors have continuously pointed at the gaps. This has helped Samarthak Samiti to learn from previous experiences and use this in developing new strategic plans. Staff continue to meet regularly to discuss issues at project level. They also feel comfortable to come to the leader to ask for advice as he is very approachable and likes to sit in the same room as staff. With reduction in funds, issues are discussed more often. Decision making is participatory and decentralised and this supports people in talking freely. There are frequent discussions and their ideas are welcomed and used. Samarthak Samiti continues to work with the cooperatives which helps them in tracking any changes regarding the situation on the ground. As Samarthak Samiti continues to work on products of which many are regulated by the government, they stay up to date with the relevant acts and policies; and make use of the relevant state and national government provisions. With government's anti-smoking policy and changing donor priority the organisation made strategic change to move toward agriculture and animal husbandry production and marketing. SS is now also tracking trends in agriculture its network in the non- pesticide management initiative. The information now seems to be coming from both the local and national level. The organisation continues to be open to take inputs from different beneficiaries and sensitive to their needs.

Score baseline: 3.5

Score endline: 3.7 (very slight improvement)

Capability to deliver on development objectives

Extent to which organisation delivers on planned products and services

3.1.Clear operational plans: 'Organisation has clear operational plans for carrying out projects which all staff fully understand'

This is about whether each project has an operational work plan and budget, and whether staff use it in their day-to-day operations.

Since the baseline evaluation there has been no major change in the operational plans of the organisation. SS continues to have a work plan and budget for each project. Staff together prepares the monthly and quarterly activities which are planned in alignment with the annual strategic plan. Further on the basis of these plans daily activities plans are made. In some of the clusters the staff meets daily to discuss their plans and activities.

Score baseline: 4.0

Score endline: 4.0 (no change)

3.2.Cost-effective resource use: 'Operations are based on cost-effective use of its resources'

This is about whether the SPO has the resources to do the work, and whether resources are used cost-effectively.

There has not been any change in this indicator since the baseline. The staff members still have access to vehicles that enable them to carry out their work. Some staff members, like administrative staff, have knowledge of operating computers and have access to them for maintaining accounts. The present resources are used in a cost-effective manner. Because of a reduction in funding Samarthak Samiti had to become less dependent on hiring the support of the external consultant. The leader became self-reliant and only invited the consultant 4-5 time a quarter, instead of 4-5 times a month. Field staff now also works independently on programme related issues to cut down consultancy costs, which SS was paying from its project funding. The present funding scenario and lack of long-term support has pushed Samarthak to take a more cost effective approach to manage their operations.

Score baseline: 4.0

Score endline: 4.25 (very slight improvement)

3.3.Delivering planned outputs: 'Extent to which planned outputs are delivered'

This is about whether the SPO is able to carry out the operational plans.

In the last two years there has been no change in this indicator. The funds are released by the donors only after a report is sent. This ensures that Samarthak Samiti carries out its plans. Most of the planned outputs are carried out. For example all the planned activities for the "Mobilisation of Community to strengthen MFP based livelihoods of tribal Women in South Rajasthan" programme were delivered in the period April – December 2014. There are external factors, like climatic conditions (e.g. heavy rains) and auction prices that sometimes prevent the execution of plans and submission of deliverables. The progress of the programme is reviewed in every monthly meeting and cluster level meetings, and quarterly progress reports are submitted to the donor.

Score baseline: 4.0

Score endline: 4.0 (no change)

Extent to which delivered products and services are relevant for target population in terms of the effect they have

3.4.Mechanisms for beneficiary needs: 'The organisation has mechanisms in place to verify that services meet beneficiary needs'

This is about how the SPO knows that their services are meeting beneficiary needs

Since baseline there has been no change in this indicator. Samarthak Samiti continued to work in a participatory and decentralized way. They are a membership organisation having representation from various cooperatives; the programmes are developed based on the needs and alternatives suggested by the members. Trainings on honey harvesting, to avoid the loss of honey and forest ecology disruption, seem to be meeting the beneficiary needs. In a previous phase, trainings were organized for 750 honey harvesters and they are now doing the job of harvesting honey well.

Score baseline: 4.0

Score endline: 4.0 (no change)

Level of work efficiency

3.5.Monitoring efficiency: 'The organisation monitors its efficiency by linking outputs and related inputs (input-output ratio's)'

This is about how the SPO knows they are efficient or not in their work.

There has been no major change in this indicator since the baseline. Input-output ratios are still not developed as per the definition of the term and no formal mechanisms for staff appraisal are in place. The leader has been working with his core staff since the beginning and knows their strengths and weaknesses. Samarthak Samiti has fine-tuned its templates and MIS formats for data collection and monitoring and field staff have gotten better at both. The present funding scenario and lack of long-term support has pushed Samarthak to take more cost effective approach to manage their operations. They still analyse funds allocated, funds used and funds that can be saved. For project input (finance, equipment and HR) SS still keeps records on: monthly progress, trial balance and budget-expenditure statements and utilization of equipment and instruments. Monitoring efficiency could have improved as two project staff were trained on results-based monitoring. However, they left the organisation as they could not be retained to financial constraints. The situation therefore remains the same as in the baseline.

Score baseline: 3.0

Score endline: 3.0 (no change)

3.6.Balancing quality-efficiency: 'The organisation aims at balancing efficiency requirements with the quality of its work'

This is about how the SPO ensures quality work with the resources available

During the last two years there is slight deterioration in this indicator. The organisation could not retain their trained project staffs due to reduced funding, which has greatly affected its efficiency and quality of work. Due to lack of staff there is no proper monitoring of the programme and as a result the quality of the work has deteriorated. Furthermore, the current staff is overburdened with double workloads against half the salary. This has also affected quality of work. Earlier the field visits to monitor the staff were made by the programme coordinator but now these have to be done by the leader and given the fund shortage the number of such visits has reduced.

Score baseline: 3.0

Score endline: 2.0 (deterioration)

Summary of capability to deliver on development objectives

Samarthak Samiti continues to have a work plan and budget for each project. Quarterly, monthly and daily plans are made in alignment with the annual strategic plan. In some of the clusters the staff meets daily to discuss their plans and activities. Staff still have access to vehicles and computers that enable them to carry out their work. With a reduction in funds, using resources in a cost-effective manner has become more important. The leader and field staff are now less dependent on the external consultant and only hire him when in dire need. Most of the planned outputs are carried out and delivered. There are external factors, like climatic conditions and auction prices that sometimes prevent the execution of plans and submission of deliverables. Samarthak Samiti continues to work in a participatory and decentralized way. They are a membership organisation having representation from various cooperatives; the programmes are developed based on the needs and alternatives suggested by the members. Input-output ratios are still not developed as per the definition of the term and no formal mechanisms for staff appraisal are in place. Monitoring efficiency could have improved as two project staff were trained on results-based monitoring. However, they left the organisation as they could not be retained to financial constraints. Due to lack of staff there is no proper monitoring and sufficient field visits of the programme and as a result the quality and efficiency

of the work has deteriorated. Furthermore, the current staff is overburdened with double workloads against half the salary.

Score baseline: 3.7

Score endline: 3.5 (very slight deterioration)

Capability to relate

Level of involving external parties in internal policy/strategy development

4.1.Stakeholder engagement in policies and strategies: 'The organisation maintains relations/ collaboration/alliances with its stakeholders for the benefit of the organisation'

This is about whether the SPO engages external groups in developing their policies and strategies, and how.

There has a very slight improvement in this indicator since the baseline. Samarthak Samiti continues to maintain relationships with local likeminded NGOs like Astha Sansthan, Prayas, Jan Chetna and cooperatives and takes inputs from them while preparing strategic plans. In the last two years the organisation received feedback from different donors, developed better relationships with the government, and formed alliances with other national NGOs. A new network they are part of is the Non-Pesticide Members Initiative (NPMI) which helps them in developing strategies on agriculture.

Score baseline: 3.0

Score endline: 3.25 (very slight improvements)

4.2.Engagement in networks: 'Extent to which the organization has relationships with existing networks/alliances/partnerships'

This is about what networks/alliances/partnerships the SPO engages with and why; with they are local or international; and what they do together, and how do they do it.

During the last two years Samarthak Samiti has continued its relationship with cooperatives, and strengthened its networks with government and like-minded NGOs. Some new developments since the baseline:

- SS is hired as a resource agency by SFAC for promoting producer organisations in Rajasthan.
- Samarthak Samiti has constantly been engaged in promotion of the MFPs along with the forest departments and also propagation of MFPs in Common Property Resources (CPR) by forest dweller community groups. It became member of MFP Policy Drafting committee of the Government. As a result Samarthak Samiti was able to advocate for the target groups in price fixation, regularising grades of MFPs.
- In 2013, Samarthak Samiti became a member of Non Pesticide Members Initiative (NPMI). This is a national network working on the promotion of non-pesticides farming and developing marketing linkages of the products made by the network partners. This was useful as SS decided to broaden its strategic focus to include agriculture. In the Access Livelihood conference the alliance members could learn and share their ideas.
- SS became a partner of Tribal Self-Rule (TSR) Network, Rajasthan. This network is mainly working on the PESA act (Panchayat Extension to Scheduled Area).Their main work has been to strengthen the village level council (Gaon Sabha) in the Tribal Sub Plan (TSP) area and identifying legal discrepancies within purview of PESA-TSR.
- It also became a partner of Herbal network India. This network is working to promote herbal initiative in North India by CCD (The Covenant Centre for Development).
- It has strengthened its relationship with the government which resulted in helping the forest dwellers in accessing government entitlements.
- The staff’s participation in different mela’s (festivals) and fairs has improved the relationship with many like-minded organisations.

All in all, Samarthak Samiti has started interacting more with more other partners compared to the baseline situation, when they mostly interacted with Astha Sansthan, Prayas and Jan Cethna. Their engagement in networks has also gone beyond just the local level to the national level. Samarthak is now more open to linking up with other organisations and relevant networks. Networking with different partners and sharing experiences strengthened the capacity of the organization in lobbying for policy change and betterment of the tribal community.

Score baseline: 3.0

Score endline: 4.0 (improvement)

Extent to which organisation is actively engaging with target groups

4.3.Engagement with target groups: 'The organisation performs frequent visits to their target groups/ beneficiaries in their living environment'

This is about how and when the SPO meets with target groups.

Samarthak Samiti continues to maintain close relationships with the cooperatives and interacts with them in the cluster level meetings. The interaction of the field staff with the target group has increased ever since the producer company has started (2011). The target groups consults SS on prices of their produce and field staff tries to share the knowledge they attain during training programmes to the target groups. In the last two years as the field level staff gained confidence to independently conduct meetings with the community groups, their interaction and bonding have strengthened with the target communities. However, due to reduced funding and the leader being overburdened with work load his interaction with the target groups has reduced.

Score baseline: 4.0

Score endline: 4.0 (no change)

Level of effective relationships within the organisation

4.4.Relationships within organisation: 'Organisational structure and culture facilitates open internal contacts, communication, and decision-making'

How do staff at the SPO communicate internally? Are people free to talk to whomever they need to talk to? When and at what forum? What are the internal mechanisms for sharing information and building relationships?

In the last two years there has been no change in this indicator. As the organisation has very few staff who see each other in every meeting, they can interact freely and share ideas with each other and the leader. The staff together formulate ideas and take decision.

Score baseline: 5.0

Score endline: 5.0 (no change)

Summary of capability to relate

Samarthak Samiti continues to maintain relationships with local likeminded NGOs and cooperatives and takes inputs from them while preparing strategic plans. A new network they are part of is the Non-Pesticide Members Initiative (NPMI) which helps them in developing strategies on agriculture. During the last two years Samarthak Samiti has continued its relationship with cooperatives, government and like-minded NGOs, but is now linking up with other organisations and relevant networks also at the national level. These include: SFAC for promoting producer organisations in Rajasthan, MFP Drafting committee of the government, NPMI, Tribal Self-Rule Network and the Herbal Network India. This has strengthened the capacity of the organization in lobbying for policy change

and betterment of the tribal community. Samarthak Samiti continues to maintain close relationships with the cooperatives and in the last two years field level staff gained confidence to independently conduct meetings with the community groups which strengthened their interaction with them. However, due to reduced funding and the leader being overburdened with work his interaction with the target groups has reduced. Staff continues to have good interpersonal relationships and feel free to discuss issues among themselves and with their leader.

Score baseline: 3.8

Score endline: 4.1 (very slight improvement)

Capability to achieve coherence

Existence of mechanisms for coherence

5.1.Revisiting vision, mission: 'Vision, mission and strategies regularly discussed in the organisation'

This is about whether there is a vision, mission and strategies; how often staff discuss/revise vision, mission and strategies; and who is involved in this.

For now the vision and mission of the organisation remain the same. Samarthak Samiti is however, rethinking its strategic focus to move it from NTFP collection and marketing to agriculture and forest based strategies due to the government's anti-smoking policy affecting the demand for tendu patta and the change in funder's priorities. Samarthak Samiti is also now focussing more on marketing than on production. The Samarthak Samiti Producer Company which was registered in 2011, got its trademark "Desert Green" registered in 2013. This helps in better marketing and hence smooth sale of its products. These changes in strategies are not yet reflected in the vision and mission of SS which continue to be: "*Strengthening livelihood of tribal communities and other marginalized sections of the society in Rajasthan through natural resource management*" and "*[…]to strengthen people's organizations by facilitating appropriate interventions in collection, processing and marketing of forest produces in Rajasthan.*"

Score baseline: 4.0

Score endline: 4.0 (no change)

5.2.Operational guidelines: 'Operational guidelines (technical, admin, HRM) are in place and used and supported by the management'

This is about whether there are operational guidelines, which operational guidelines exist; and how they are used.

There is no change in this indicator since baseline. Operational plans, HR guideline and gender policy exist in the organisation but are not strictly followed as there are few staff members and reduced funding. However, as the organisation is planning to be self-sustaining and is approaching new donors there is a need to improve and follow operational processes. Also as its mission is to strengthen tribal women, the gender policy needs to be followed more systematically.

Score baseline: 3.0

Score endline: 3.0 (no change)

Level of coherence of various efforts of organisation

5.3.Alignment with vision, mission: 'Projects, strategies and associated operations are in line with the vision and mission of the organisation'

This is about whether the operations and strategies are line with the vision/mission of the SPO.

For now, Samarthak Samiti's projects, strategies and associated operations are still aligned with its vision and mission. In the last two years however, SS started rethinking their strategy to move from collection and marketing of NTFPs to production and marketing of agriculture. This is not in line with

the current vision and mission which both focus on natural resource management and collection, processing and marketing of forest produces (not agriculture).

Score baseline: 5.0

Score endline: 4.5 (slight deterioration)

5.4.Mutually supportive efforts: 'The portfolio of project (activities) provides opportunities for mutually supportive efforts'

This is about whether the efforts in one project complement/support efforts in other projects.

There is no change in this indicator since the baseline. Due to less people in the organization, the staff is multi-tasking which further ensures that there is no duplication of work and the project activities are mutually supportive. A negative result of this is that staff over overburdened.

Score baseline: 3.0

Score endline: 3.0 (no change)

Summary of capability to achieve coherence

For now the vision and mission of the organisation remain the same. Samarthak Samiti is however, rethinking its strategic focus to move it from NTFP collection and marketing to agriculture and forest based strategies due to the government's anti-smoking policy affecting the demand for tendu patta and the change in funder's priorities. These changes in strategies are not yet reflected in the vision and mission of SS. Operational plans, HR guidelines and gender policy still exist in the organisation but are not strictly followed as there are few staff members and reduced funding. There is still a need to follow the gender policy more systematically. For now, Samarthak Samiti's projects, strategies and associated operations are still aligned with its vision and mission. In the last two years however, SS started rethinking their strategy to move from collection and marketing of NTFPs to production and marketing of agriculture. This is not in line with the current vision and mission which both focus on natural resource management and collection, processing and marketing of forest produces (not agriculture). Due to having less people in the organization, the staff is multi-tasking which further ensures that there is no duplication of work and the project activities are mutually supportive. A negative result of this is that staff over overburdened.

Score baseline: 3.8

Score endline: 3.6 (very slight deterioration)

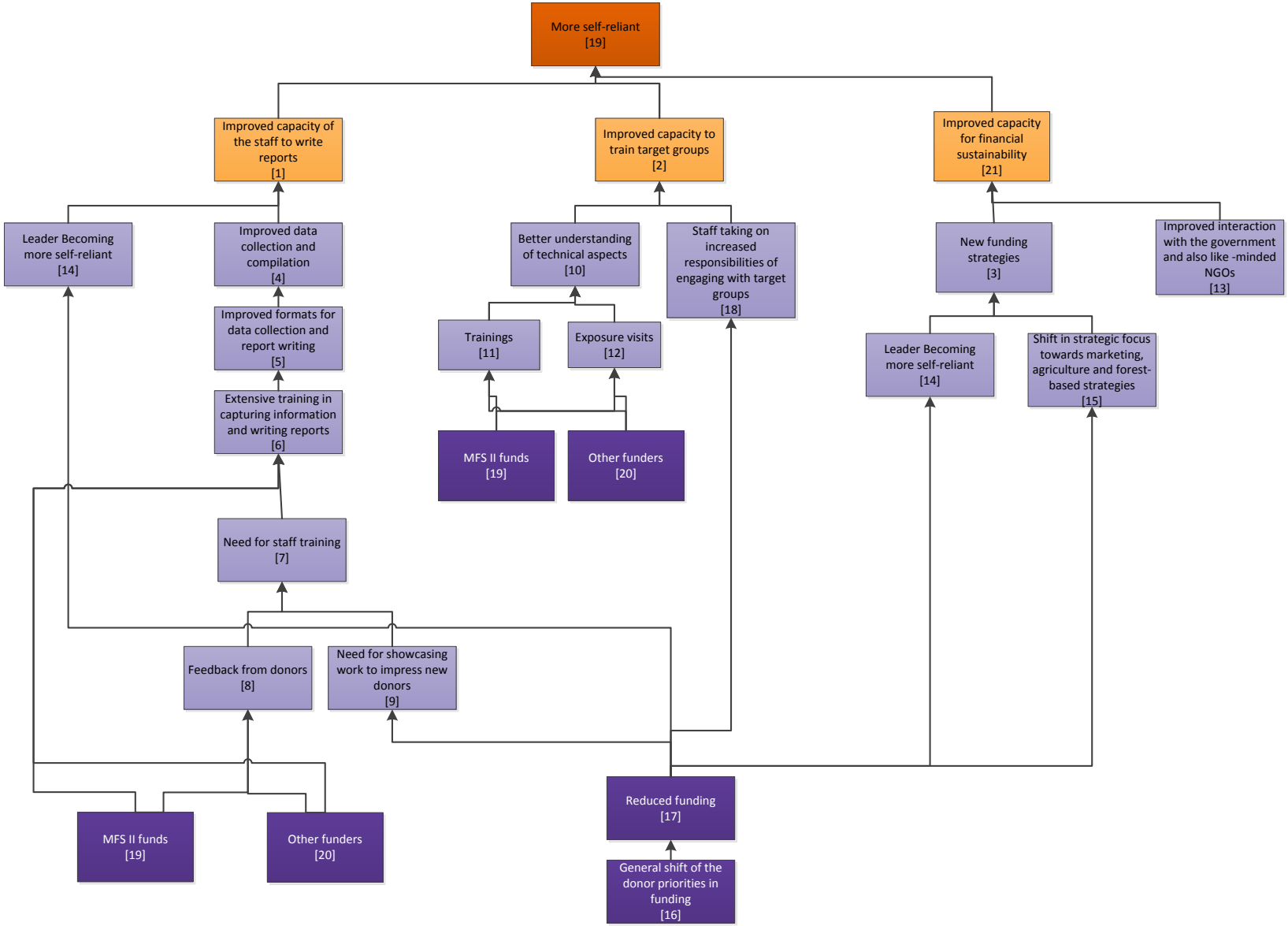
Appendix 4 Results – key changes in organisational capacity – general causal map

Below you will find a description of the general causal map that has been developed for the SPO during the endline workshop. Key changes in organisational capacity since the baseline as identified by the SPO during this endline workshop, are described as well as the expected effects and underlying causal factors, actors and events.

The evaluation team carried out an endline assessment at Samarthak Samiti from 1 to 3 July 2014. During this workshop, the team made a recap of key features of the organisation in the baseline in 2012 (such as vision, mission, strategies, clients, partnerships). This was the basis for discussing changes that had happened to the organisation since the baseline. According to staff present at the endline workshop. Samarthak Samiti has become more self-reliant in the last two years since the baseline. This has been due to the following key organizational capacity changes:

1. Improved capacity of the staff to write reports [1]
2. Improved capacity of the staff to train target groups [2]
3. Improved capacity for financial sustainability [21]

During the endline workshop it was discussed what were the reasons for each of these organisational capacity changes. The three main organisational capacity changes are described in the light orange boxes and some of their key consequences are noted above these cards in dark orange. Light purple boxes represent factors and aspects that influence the key organisational capacity changes (in light orange). Key underlying factors that have impacted the organisation are listed at the bottom in dark purple. The narrative describes per organisational capacity change, the contributing factors as described from the top down. The numbers in the visual correspond with the numbers in the narrative.


More self-reliant [19]
Improved capacity of the staff to write reports [1]
Improved capacity to train target groups [2]
Improved capacity for financial sustainability [21]
Leader Becoming more self-reliant [14]
Improved data collection and compilation [4]
Better understanding of technical aspects [10]
Staff taking on increased responsibilities of engaging with target groups [18]
New funding strategies [3]
Improved interaction with the government and also like -minded NGOs [13]
Improved formats for data collection and report writing [5]
Trainings [11]
Exposure visits [12]
Leader Becoming more self-reliant [14]
Shift in strategic focus towards marketing, agriculture and forest-based strategies [15]
Extensive training in capturing information and writing reports [6]
MFS II funds [19]
Other funders [20]
Need for staff training [7]
Feedback from donors [8]
Need for showcasing work to impress new donors [9]
Reduced funding [17]
MFS II funds [19]
Other funders [20]
General shift of the donor priorities in funding [16]

Improved capacities of the staff to write reports [1]

During the endline workshop, SS staff indicated that their capacity to write reports has improved [1] and that this is related to the leader becoming more self-reliant [14] and to improved data collection and compilation [4]. The leader is less dependent on external consultants and Samarthak Samiti's mother organisation Astha Sansthan. This is evident from the fact that the consultant was initially invited for 4-5 times in a month but now his help is sought only 4-5 times in a quarter. He has been independently trying to put together proposals, compiling information from the field and translating it into English, which he is now better versed in. Reduced funding and need to sustain the organisation has compelled the leader to be self-reliant [17] [Source: 5c endline interview guide_OD consultants_selected indicators_Samarthak Samiti, 5c endline self-assessment sheet_field staff_India_Samarthak, 5c endline self-assessment sheet_admin HRM staff_India_Samarthak]. During the baseline evaluation, Samarthak Samiti received funds from five different donors. Most of the contracts terminated in 2014, for example the contract with Hivos ended on the 31st of March 2014. Over the last two years, funding has therefore decreased [Source: 5c endline self-assessment sheet_admin HRM staff_India_Samarthak, Audited – stat(income & exp) – FC 2012-130001].

The improved capacity of the staff for data collection, report writing and monitoring improved the quality of monthly reports. This is evident from the approval letter of 2014 Annual Review Report of Samarthak Samiti [Source: 140314 - SS - Approval letter of 2014 Annual Review Report].

According to SS staff, they improved the way they collect and compile data [4] due to having improved formats for data collection and report writing [5]. Samarthak Samiti fine-tuned templates and formats for data collection and monitoring at both the field level as well as at the Headquarter level [Source: 5c endline interview guide_OD consultants_selected indicators_Samarthak]. It now has separate formats for data collection for honey, tendu patta and other forest produce collected by the cooperatives. These formats are in Hindi, so the field staff does not have problems with filling them in. These are submitted every month in the office. The information is then compiled and translated to English by the leader [Source: interaction with the leader during the workshop].

Having improved formats for data collection and report writing was the result of extensive training (see below) in capturing information and writing reports [6]. Each donor provides a specific format for data collection and report writing. But, since the field staff was not formally trained, there was no standardized way in which information was collected. However, with training, the staff understood how data was to be collected and how reports were to be written. The consequence was that they even helped the leader in fine tuning the formats according to ground realities [Source: Discussed during endline workshop 2014].

The details of some of the trainings are given below:

- Orientation training on financial management in Bangalore organized and funded by Hivos under MFS II [19] in 2012. The objective of the training was to train the staff on what information needs to be collected, report writing, preparing of utilization certificates, better formats preparation. This concerns the procedure adopted for release of funds by the state government and others to an organsation under various programmes. This procedure stipulates that the organization should furnish Utilisation Certificates to the effect that the funds have been utilized for the purpose for which these were sanctioned and no diversion has been made [Source: self-assessment field, Review Report 2012-13- 11Feb].
- Training on report writing funded by Sir Dorabji Tata Trust, 2012 [Source: 5c endline self-assessment sheet_field staff_India_Samarthak Samiti].
- Training on report writing and case studies facilitated and funded by Aastha Sansthan, 2014 [Source: 5c endline self-assessment sheet_field staff_India_Samarthak Samiti].
- In-house training of the staff on the use of new templates and formats. As a result of this training the staff could improve their capacity to collect data which further improved consistency in data collection and compilation and hence improved reporting [Source: 5c endline interview guide_OD consultants_selected indicators_Samarthak Samiti].

Extensive training [6] was given to staff because of a need for trainings on these topics [7] because of a lack of staff skills. The need for trainings on report writing and data collection was triggered by:

- *Feedback from donors [8]* The need to train field staff [7] arose from the fact that the donors requested better reports [8]. There was regular feedback on the reports submitted by Samarthak Samiti from Hivos (under MFS II [19]) and other donors [20] regarding the need for more detailed information in the reports submitted by Samarthak Samiti [Source: Clarification for Hivos on report 2013, self-assessments]. When gaps in the reports were pointed out, both the leader and the staff understood the need to have more focused data collection and proper reporting [Source: 5c endline interview guide_OD consultants_selected indicators_Samarthak Samiti]. This was followed by the necessity to strengthen the field staff to collect detailed information for writing reports.
- *Need for showcasing work to impress new donors [9].* The need to train field staff [7] also arose from the fact that Samarthak Samiti needed better reports to showcase its work to impress new donors [9], because of reduced funding [17]. There has been a reduction of funds since the last two years due to a general shift of the donor priorities in funding [16]. For e.g. foreign donors have been revising their grant making policies and funding priorities. More and more donors are funding agriculture based programs. Also, stringent policies by successive governments to restrict foreign funding to the NGOs in India which, it perceives are engaged in stalling developmental activities in the country has further added to the problem. This has triggered the need for Samarthak Samiti to look out for new donors. This in turn means that Samarthak Samiti should be able to showcase its work through good quality reports to impress the donor [9] [Source: Discussion during endline workshop 2014].

Improved capacities of the field staff to train target groups [2]

Samarthak Samiti has improved its capacity to train the target groups on technologies, entrepreneurship development, business potential and sustainability [2], which is noted in the additional partner contract with Hivos for extension of the budget [Source: Contract extension September 2013]. The staff is more confident in conducting meetings with the target groups, officials of the forest departments and the police [Source: 5. Review Report 2013-14, interview with OD]. Improved capacities of the field staff to train target groups [2] is due to: better understanding of the technical aspects of their roles [10] and staff to take on the responsibility of visiting target groups [18]. These are further explained below.

- *Staff expresses better understanding of the technical aspects of their roles [10]:* this is demonstrated by for example advising beneficiaries on sustainable farming, processing of NTFP, documentation related to dispatch of NTFP and helping beneficiaries negotiate with local traders [Source: 5c endline interview guide_OD consultants_selected indicators_Samarthak Samiti]. For more information please see below. Better understanding of the technical aspects of their roles is due to: trainings [11] and exposure visits [12]. For details about these trainings and how they assisted staff in the technical aspects of their work please see the information described below.
  - Trainings [11]
    - Training on business plan development and marketing. Training was organized for the SS staff by Hivos at Mungana in 2014 on Business plan development and marketing [Source: 5cendline self-assessment sheet_field staff_India_Samarthak Samiti]. This training helped the staff to train the target group on business planning and marketing on MFP and marketing linkages [Source: Review Report 2013-14]. A number of cooperatives are trained on business plan development and marketing. This training was funded by MFS II [19].
    - Training on Participatory Marketing System Development in Madurai by Sir Dorabji Tata Trust and Hivos in June 2013 [Source: 5. Review Report 2013-14, Self-assessment management].The focus of the training was to understanding the market and market players including the value chain, participatory system in marketing. Now they could market honey in the brand name 'Desert Green'. This training was funded by MFS II [19].
    - Training on Producers' Company by Access Livelihoods Company, Hyderabad in Udaipur in November 2013 [Source 5. Review Report 2013-14, Self-assessment management]. As a result of the training a centralized processing centre was established which would serve as a processing and storage centre for honey filter, Jamun sirka making and grinding and processing Amla powder. After this training, Samarthak Samiti also started to make powder of Heena. During this training, the staff developed a plan to focus on "Integrated

Livelihood System" which not only includes development of MFP component of livelihood of these families but also a component on agriculture and animal husbandry [Source: 5. Review Report 2013-14]. This training was funded by MFS II [19].

  - Leadership training and making bio pesticide. Training on making bio pesticides in Dhariyawad. This was funded by Sir Dorabji Tata Trust in 2013 [20]. This training trained the leaders to train the target groups to make and use bio pesticides. It is evident from the review report of 2013-14 that 5 forest dweller groups have started making and using bio pesticides who were trained by Samarthak Samiti staff [Source: 5. Review Report 2013-14].
  - Training on management of social enterprise in 2014. A training on Management of the Social enterprise in March 2014 was organized by IRMA, in Anand. The workshop dealt with management of social enterprises and leadership. The training capacitated the staff to plan for a market base in and around the city. The leadership realized the role of the organization as an entrepreneur. This also enabled the management of Samarthak Samiti to develop a proposal and send to Global Environment Facility administered by the Centre for Environment Education (CEE) and Wells For India (WFI) [Source: 5. Review Report 2013-14].

- Exposure visits [12]. Samarthak Samiti organised various exposure visits for its staff to see income generation activities by other groups for marketing produce [Source: 5c endline self-assessment sheet_field staff_India_Samarthak Samiti]. These included:
  - Visit to Sultanpur, Madhya Pradesh to see the income generation activities of other cooperatives like making ayurvedic medicines growing tea. This was supported by Sir Dorabji Tata Trust [20] and Hivos [19], 2014.
  - Visit to Krishi Vigyan Kendra, in Rajasthan and the staff was given information on Waadi cultivation, bio pesticides, on making amla murabba and candy. This was supported by Hivos [19]and Krishi Vigyan Kendra [20] in 2014.
  - Exposure visit to Indian Institute of Management, Ahmedabad where the staff of SS and women in the cooperatives learnt how to market their produce. This was supported by Hivos [19] and Sir Dorabji Tata Trust [20] in 2014.
  - Visit to Shrashti mela, a three day fair in Ahmedabad where NGOs showcase their products. SS marketed honey and amla made by their cooperatives. This visit was supported Sir Dorabji Tata Trust [20] and Hivos [19] in 2013.
  - Exposure visit to Pratapgarh Krishi Vigyan Kendra for prevention of pest attacks. This was funded by Sir Dorabji Tata Trust [20] in 2013.

    Exposure visit to Coimbatore on methods of honey collection in 2013.

- *Staff to take on increased responsibility of engaging with the target groups [18].*
  The other reason for improved capacity of SS staff to train the target group was that staff now take on the responsibility of engaging with the target groups. Earlier the staff was more dependent on the leader or a resource person to train the target groups and solve problems. There were sufficient funds for the leader to travel so he would visit them frequently but with the reduction in the funds [17] the leader reduced his number of visits. The staff responded to this situation by taking on the responsibilities of visiting and engaging with the target groups. Now they engage independently in programme issues [Source: 5c endline self-assessment sheet_field staff_India_Samarthak Samiti; 5c endline self-assessment sheet_management_India_Samarthak Samiti].

Improved capacity for financial sustainability [21]

SS improved its capacity for financial sustainability [21] because the organization started using new funding strategies [3] and because they improved their interaction with the government and like-minded NGOs [13]:

- *New funding strategies [3]*
  During the last two years the staff has improved their skills significantly to collect focused data from the field, to write better reports in order to showcase its work to new donors. While during the baseline Samarthak Samiti depended on an organisational development specialist for finalising their proposals, they are now trying to independently to put together proposals, and they are making better use of data and field experiences. The chief functionary has taken it upon himself to

develop proposals and new relationships with potential donors. SS currently is in contact with the following potential donors:

- Cement company to make it part of their CSR
- NABARD (National Bank for Agriculture and Rural Development) Jaipur for the tree-based Wadi support for tribal groups in the area
- Christian Aid, hopefully to support SS in a consortium of the BEE-Keeping for agriculture production project in 2014-2016
- As a Hivos partner SS also has applied to the Producer Entrepreneurship Catalyst & Incubation Facility (PROCIF) for capacity building and will also apply for the working capital and other support.

Samarthak Samiti started applying new funding strategies [3] because the leader became more self-reliant [14] and because of a shift it the organisation's strategic focus [15]:

- *Leader becoming self-reliant [14]:* The leader became self-reliant and depended less on the consultant. This is evident from the fact that the consultant was initially invited for 4-5 times in a month to take suggestions and support on writing reports and developing proposals, but now his help is sought only 4-5 times in a quarter [Source: self-assessment field staff]. Since there were not enough funds to pay the consultant [17], Samarthak Samiti was forced to rely on itself and take advice from the consultant only in case of dire need. This prompted the leader to take up more responsibilities on developing project proposals, preparing draft reports for the donor and taking initiatives in strategic development [Source: interview OD]. SS has now been trying to independently put together proposals, and making better use of data and making use of field experiences and has approached and get funding from two new funders – Wells for Life, CEE (Centre for Environment Education) (UNDP Small Grant) & TRIFED in 2013 [Source: Review Report 2013-14] came on board.
- *Shift in strategic focus [15] :* There was a shift in strategic focus from NTFP collection and marketing to agriculture and forest based strategies. Because of the seasonality of the forest produce and reduced sales of Tendu Patta due to government's anti-smoking policy, there was a lack of sustainable income for the producers. Also there was a reduction of funding [17] due to shifting of donor priorities on funding [16]. All these reasons compelled SS to think of diversifying its program [Source: Self-assessment field and management, endline evaluation workshop 2014]. As Tribals are well connected with Samarthak Samiti, they could discuss with them on the kind of produce to be produced in the gap period. This helped the leaders to make a strategic choice to diversifying its program and move towards agriculture and animal husbandry and from production to marketing. Note: this has not yet been integrated in the vision and mission of the organisation.

  Samarthak Samiti has moved a step up from production to marketing. The Samarthak Samiti Producer Company was registered in 2011. It also registered its trademark "Desert Green" [Source: Annual Review Report 12-13]. SS is also focusing on new product innovations such as beeswax lip balm, Maize Papdi, lentils etc. followed by sale of products both new and old such as aloe vera juice, amla juice, jamun ark at various fairs in the country. For example, Maize Papdi was first sold at the 'Shrashti Mela', a fair held in Ahmedabad, Gujarat. Samarthak Samiti is trying to strengthen Producer Company with the hope that the salaries of the staff of Samarthak Samiti will be paid by the members of the cooperatives for the services they offer.

- *During the endline workshop, SS staff also indicated that they have improved their interaction with the government and also other like –minded NGOs [13].* Samarthak Samiti has strengthened the following networks:
  - Samarthak Samiti is empanelled as resource agency by SFAC[19] (Society Promoted by department of agriculture and cooperation, Ministry of Agriculture, Government of India) for promoting producer organisations in Rajasthan [Source: 5. Review Report 2013-14].
  - Non Pesticide Members Initiative (NPMI). In 2013, Samarthak Samiti became a member of NPMI. This is a national network working on the promotion of non-pesticides farming in

[19] SFAC is a consortium that supports new ventures in Agro-based industries. The target groups are individuals, farmers, producer groups, SHGs etc. and the consortium helps them get venture capital by linking them with banks

the area and developing marketing linkages for the products made by the network partners [Source: 5. Review Report 2013-14, self-assessment management].

- MFP Policy Drafting committee [Source: self-assessment management]. Samarthak Samiti is part of this committee because they have constantly been engaged in promotion of the MFPs along with the forest departments and also propagation of MFPs in Common Property Resources (CPR) by Forest dweller Groups [Source: 3. Review Report 2012-13-11Feb].
- It has strengthened its relationship with the government which resulted in helping the forest dwellers in accessing government entitlements [Source: SS-Work Plan_2013-14 26th May , Extension].
- Tribal Self-Rule (TSR) Network, Rajasthan. This network is mainly working on the PESA act (Panchayat Extension to Scheduled Area).Their main work is to strengthen the village level council (Gaon Sabha) in the Tribal Sub Plan (TSP) area [Source: 5. Review Report 2013-14; discussion during workshop].
- Herbal network India. This network is working to promote herbal initiative in North India by the Covenant Centre for Development [Source: 5. Review Report 2013-14].
- NTFP- EP, South Asia Non Timber Forest Produce Exchange Programme, working on the issue of the NTFPs value addition, promote cultivation and marketing linkage for getting better price.
- The staff's participation in different melas (festivals) and fairs has improved the relationship with many like-minded organisations [Source: 5. Review Report 2013-14]

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The Centre for Development Innovation works on processes of innovation and change in the areas of food and nutrition security, adaptive agriculture, sustainable markets, ecosystem governance, and conflict, disaster and reconstruction. It is an interdisciplinary and internationally focused unit of Wageningen UR within the Social Sciences Group. Our work fosters collaboration between citizens, governments, businesses, NGOs, and the scientific community. Our worldwide network of partners and clients links with us to help facilitate innovation, create capacities for change and broker knowledge.

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Endline Report MFS II Joint Evaluations

Country	India
Consortium	Together4change
Responsible Dutch NGO	Wilde Ganzen
Project (if applicable)	Action for Children
Southern partner organisation	Smile foundation

The project/partner is part of the sample for the following evaluation component(s):

	X
Achievement of MDGs and themes	Good governance
Capacity development of Southern partner organisations	X
Efforts to strengthen civil society	

1. Introduction

Economic growth has taken millions of people out of poverty in India while the middle class has grown considerably in the last two decades (Ravallion, 2010). However, 40 per cent of its population still lives on less than two dollars a day (Sheth, 2010). With a growing number of middle-income households and a vast amount of people living in extremely poor conditions, there is an increasing base for raising in-country funds towards developmental goals in India. In order for charitable organizations to raise funds efficiently from it, further knowledge on what drives these households to donate to charity is necessary.

Fundraising is a crucial activity for any charitable organization and carrying it out efficiently is not an easy task. In India, the Smile Foundation tries to raise funds from Indian firms and middle class to finance developmental projects. The Smile Foundation is financially supported by the Dutch NGO Wilde Ganzen, which is part of the Together4change consortium. Wilde Ganzen started in 2012 the Action for Children (AfC) project, which aims to support fund raising in Brazil, India, Kenya and South Africa via southern partner organizations. The Smile Foundation is the Indian Southern partner organization of Wilde Ganzen that implements the AfC program.

The AfC program works according to the following principle. It focuses on two groups. First, poor people or organizations that focus on poor people, who would like to start up a certain project, and need to raise money for this project from the local population. If the project is supported by AfC, only 50% of the needed funds need to be raised, the remainder will be donated by AfC. Second, the middleclass, including firms that are willing to donate money to Smile, such that Smile can double the funds available for the local projects.

Wilde Ganzen supports Smile in its attempt to conduct the AfC program. The project's aim is to establish and enhance a fully self-supporting mechanism for Civic Action to benefit poor children in India. Its main goal is for local non-governmental, non-poor, and non-foreign actors to increase their active participation in the process of poverty reduction by enabling a more resilient fundraising strategy from middle-income households and the corporate sector. The long-term aim is to achieve a fully India-financed AfC programme for Smile by 2020, independent from foreign aid.

The project targets 350 local civic groups throughout India where child poverty alleviation actions are being executed. These are co-funded, in line with the $1:$1 matching investment mechanism used by the AfC program. The specific aim of Wilde Ganzen is to give support to the development of a stronger fundraising strategy that focuses on these in-country donations by imparting training for the personnel of Smile. Basically, Wilde Ganzen aims to strengthen the capacity of Smile to increase local fundraising and, through Smile, the capacity of local organizations (mainly CBOs) to do the same. Details about the capacity to conduct local fundraising activities, and whether and how these changes are related to the intervention by Wilde Ganzen are provided in the Endline report-India, Smile Foundation MFS II country evaluations: Capacity of Southern Partner Organizations (5C) component (Kusters et al., January 2015). The specific goal consist in achieving an 85 per cent financing by in-country donations for all co-financed budgeted projects by 2016. Moreover, these

operations' administrative costs should at least be half covered by the same source of funds by project finalization date.

This report aims to evaluate the Action for Children project conducted by Smile and supported by Wilde Ganzen. We will assess whether the project achieved the main aims, in terms of improving the percentage of donations that are financed by in-country donations, and in terms of covering an increasing percentage of administrative costs. As the main contribution of Wilde Ganzen to SMILE relates to capacity building, which is analyzed by the C5 report (Kusters et al., 2015) we decided to conduct an experiment to test the underlying hypothesis of the AfC program. More specifically, we set up an experiment to test whether the $1:$1 matching investment mechanism encourages donations to Smile, for the matching strategy requires local groups to also contribute to the projects, which should enhance ownership and incentivize local groups to efficiently conduct the projects. The experiment also aims to improve knowledge about how SMILE could increase personal donations by the Indian middle class, one of the aims of the AfC project.

Although the intervention by Wilde Ganzen primarily aims to improve both the fundraising *capacity* of Smile, and, through Smile, of local CBOs, this report focusses on the first element (the capacity of Smile) and should therefore be read together with the C5 report by Kusters et al. (2015). The project does not primarily focus on poverty reduction of end users as such. Therefore, we refrain from conducting a household survey, and only consider whether the main outputs have been achieved.

The outline of the report is as follows: the next section presents India's charitable giving context as well as a review of the literature addressing the issues that are most associated with the current project. Section 3 describes the project in more detail, section 4 presents data on the fundraising activities, and in section 5 an analysis of the results is presented. Section 6 concludes the report.

2. Context

The middle class in India is estimated to be 50 million people and will reach 600 million by 2030. This represents a large and potential support base for raising funds for the charity. The increasing middle class population and individual motivations for giving can contribute to social change. A 2003 report by Participatory Research in Asia (PRIA) estimated that there are nearly 1.3 million NGOs operating in India. With so many organizations in the sector, it is difficult to choose and support many of these NGOs. The branding, accountability and transparency are a big challenge. The general myth is that the people do not donate in India. But on the contrary, religious donations are quite common in India. To tap the market HDFC Bank, the second largest private bank in the country, signed an agreement with Arulmigu Arunachaleswarar Temple in Thiruvannamalai, Tamil Nadu for offering online donation (press release by HDFC April 11, 2011). However, donations for socio economic causes are quite low. The anecdotal evidence suggests that it is due to lack of trust.

There is hope for the future with a wave of younger people engaging in different fundraising techniques for social causes. One of the finest examples in recent times is that of the group called India Against Corruption (IAC). The objective of this NGO was to introduce Jan Lokpal

Bill. Lokpal at centre and Lokayukta at state level will be independent bodies. This bill gives powers to initiate investigations and prosecution against any officer or politician without needing anyone's permission by the institution. The IAC received huge amount of funding from the people and the Lokpal Bill was passed in Parliament.

Contributions to charities from Indians have increased more than 50 per cent since 2006. The total amount of donations represents a 0.6 per cent of India's GDP and places it above countries such as Brazil and China, where contributions are of 0.3 and 0.1 per cent of their GDP, respectively.

According to Sheth and Singhal (2011), India's billionaires donate between 1.5 and 3 per cent of their annual household income as opposed to their U.S. counterparts who donate 9 per cent of theirs. The major reasons that hold back donations from wealthy individuals in India are threefold: accountability issues, lack of transparency, and donors' unawareness of a charitable organization that matches their interest. Moreover, with an impressive 700 per day NGO creation rate for the period 2006-2009, India now has over 3.3 million operating NGOs. Choosing among this overwhelming amount of charitable organizations represents another major problem for donors. Although this project focuses on fundraising from the middle class rather than millionaires, acknowledging some of the issues that hold back the latter in their donations is a valid insight to assess the constraints that the middle class faces at the time of contributing for charity. If those issues are binding for very wealthy individuals then, they must be even more restricting for middle-income households.

India is a vast country with the second largest population in the world. It contains thousands of different ethnicities, dialects, cultural backgrounds, and many different religious groups. Very diverse societies may have a larger reluctance to charitable giving. A recent study suggests that increases of 10 per cent in ethnic or religious diversity reduce charitable giving by 14 and 10 per cent, respectively (Andreoni et. al., 2011). Intuitively, people prefer to donate for others of their same ethnicity or religion. In more diverse societies, charitable organizations do not necessarily focus on one particular group of people. There is a larger probability for donations to be destined to help people from other ethnic origin or religious background than that of the donor, hence they are more reluctant to donate.

There are also studies that try to assess to what extent solving the transparency and accountability issues affect the amount of funds raised. Karlan and List (2012) demonstrate a simple theory which formally describes how charities can resolve the information asymmetry problems faced by small donors by working with large donors to generate quality signals. Vesterlund (2003) assumes that donors possess imperfect information about charity quality, and shows that if some donors can acquire sufficient information to reveal quality, then announcements about prior donor giving levels can induce additional giving through information revelation. Karlan and List (2012) provide evidence to suggest that, when a large donor is bundled with a charitable organization the asymmetry of information problem that arises when giving to charity is reduced. According to the authors, the large donor acts as a signaling device that reflects the seriousness and efficiency of the charitable organization. The former have more and better resources to monitor the work of many of these organizations. Therefore, having a large donor as a regular one provides the right

signal to smaller or individual donors, who do not have the means necessary to monitor the transparency and accountability of the organization that receives the founds.

Another constraint for fundraising is related to the overhead and fundraising spending in it-self. Many studies show that donations are negatively correlated with the percentage of the total funds raised that are destined to administrative costs and fundraising activities by the charitable organization. According to experts and innovative entrepreneurs in the field, this overhead determination dooms the organization's possibilities for growth, and the hopes that it reaches more people and solves more problems more efficiently (Pallota, 2008). Donors want to see their funds destined to the cause they have selected, but a large overhead explicitly deducts part of the real impact their money can produce. Moreover, in a non-transparent environment, with accountability issues and a large pool of NGOs to choose from, high overheads would increase the binding constraint for charitable giving.

A very interesting approach that a recent study takes on the overhead issue, and related to the big donor benefits, is that taken in Gneezy et. al. (2014). In this research, the authors show in a lab setting that people will donate more, and more frequently, despite large overheads if they are told that the charitable organization's administrative costs are all being covered by some large donor's funds. Results seem to suggest that the real constraint to donations is the trust placed in the charitable organization. Having a large donor covering all the administrative costs provides the appropriate quality signal while assures donors that their full contribution will be directed to those who are targeted by the project. This mechanism has shown to increase donations even in a $1:$1 matching investment, or in a seed money for investment project.

In this context, the AfC project aims to establish and enhance a fully self-supporting mechanism for Civic Action to benefit poor children. It targets to obtain a proportion of 85 per cent of in-country funding donations for all co-financed projects by the end of 2015. Understanding the donating drivers among the Indians is important to develop a strong self-sufficient in-country fundraising base. How to raise funds from this increasing number of middle-income families is fundamental to this task and the aspects of charitable fundraising addressed above should be taken into account when asking for donations.

3. Project description

WG supports, through its partners, people who make an effort to achieve a better future for their community all over the world. An important part of the support is in the form of trainings and financial contributions to branding and marketing of SMILE. The support is directed through small-scale specific projects by, of and for people in developing countries. The AfC project in India focuses on alleviating poverty among children. Particularly, associated with the Smile Foundation in India, WG's focus was put on 350 civil groups throughout India with whom projects for and with children in the education sphere were conducted since January 2011, in addition to the 126 under MFS-1 (2007-2010).

The outcomes and objectives of the AfC project are to directly alleviate poverty through the implementation of 350 small–scale projects, as well as through strengthening the civil society. The latter relates to the possibility of a larger fraction of middle-income families and businesses contributing to funding these projects in the future. It also relates to strengthening the capacity of local CBOs and small NGOs to raise funds at local level and thus increase their legitimacy, their independence, their ability to set their own priorities (instead of that of a donor) and their financial sustainability. The mechanism through which WG works is by matching the investment of the donor. The contributor is invited to invest her preferred amount while the NGO commits to invest an equal amount with funds of its own. The target is to achieve an 85 per cent of in-country funding for co-funded projects by the finalization of the project at the end of 2015.

In order to achieve these goals the project envisaged a series of activities that focused on both, the direct co-financing of small-scale educational projects and strengthening fundraising capabilities of the local civic groups, to achieve a more locally and self-dependent fundraising strategy. The project doubles the local funding raised for these projects at the time it imparts training on fundraising for local civic groups and campaigns for fundraising from the middle class and the corporate sector. The outcomes of the project are straightforward: the number of co-financed educational projects implemented, the amount of money raised to fund the projects, and the degree of self-sufficiency (the proportion of those funds raised in-country). More specifically, the project outputs that SMILE and Wilde Ganzen aim to achieve in 2015 (as specified in the MFS II Evaluation: Country specific information India report; WOTRO, nd) are: (1) by the end of 2015, 350 projects of local groups have received € 705.086 from AfC to double their fundraising; (2) By the end of 2015, 350 local groups have been trained and advised; (3) By the end of 2015, the in-country donations cover 85 per cent of the co-financing budgets for projects; (4) By the end of 2015 this covers 50 per cent of the AfC organization costs.

It should be noted though, that the aimed project outcomes are slightly different from the contract requirement that SMILE wrote with Wilde Ganzen.[1] The contents of the agreement signed between Wilde Ganzen & Smile are:

1) by the end of 2015, Smile will conduct 350 local actions to support 250 projects of local groups. They will have received € 705.086 from AfC to double their fundraising;

(2) By the end of 2015, 250 local groups will be trained and advised;

(3) By the end of 2015, the in-country donations (Euro 436084) cover 62 per cent of the co-financing budgets for projects;

a. [1] The reason for the differences are twofold: (a) WOTRO has only looked at 2015, whereas the contract between Smile and WG covers the whole period 2011-2015; (b) for points 3 and 4 (the co-financing of budgets), WOTRO has included the local actions, whereas the contract of WG with Smile uses figures excluding those local actions.

(4) By the end of 2015, Smile will raise (Euro 333187) this covers 27 per cent of the AfC organization costs.

4. **Methodology and Data Requirements**

The purpose of this project is for WG to build fundraising capacity into the Smiles Foundation. After training, advising, and practical support on fundraising events and campaigns provided by the NGO, the former aims to be able to finance 85 per cent of the budget for co-financed projects with in-country donations. Moreover, the aim is to cover as much as 50 per cent of all organizational costs of the Action for Children project by enhanced in-country fundraising capacity in 2015. All these outcomes should be achieved by project finalization in December 2015.

Project impact evaluation should answer the question of to what extent did the WG intervention actually enhance Smiles fundraising capacity. The indicators detailed above are figures that lead us to determine whether the project had reached, or is on the way of reaching, said goals. However, there is an underlying question that interferes with the project results which is, what would have been Smile's fundraising capacity had WG not intervened? This basic problem in project impact evaluation cannot be solved for this particular case. There is no possible way of analyzing the fundraising on a single project with and without WG intervention, hence we were not able to define a control group. We also lack information on fundraising performance of Smile for projects supported by the WG intervention against projects for which WG has no involvement whatsoever. We therefore decided to validate the project simply by considering the development of relevant indicators from the beginning of the project until the end of the project. This is somewhat in line with a before-after analysis, but not with real before-intervention data. The main drawback of this approach is that we are not able to rigorously analyse attribution. That is, if we find changes, we are not able to rigorously attribute these to the interventions by Wilde Ganzen.

The data requirements for our impact analysis are minor. We only need quarterly reports from the Smile Foundation for this project's main aim is to enhance fundraising capacity of SMILE. The main aim is to enhance capacity of SMILE and capacity of local CBOs and small NGOs supported by SMILE. The project does not primarily aim to enhance welfare of end-users, i.e. organizations that start projects with support of SMILE. Thus a household survey is not needed for this project.

Experiment

In addition to the impact analysis as such, using data from SMILE, we conducted an experiment testing the $1:$1 matching investment mechanism used by the AfC program. The experiment was also conducted to determine the drivers for middle class Indians' charitable contribution. Individual donors were separated into regular and occasional, according to their previous involvement with the foundation, and had letters sent with the purpose of getting them to contribute. Three different letter formats were randomly

assigned to each one: (1) A base letter, explaining what SMILE does**.** This letter contained a success story about the contribution's impact with a picture of the story's young protagonist; (2) the same as in 1, but in addition information about the funding methodology and (3) the same as for 1, but with additional information on SMILE foundation credibility. The idea of the experiment was as follows: if the $1:$1 matching investment mechanism used by the AfC program would be an attractive feature for potential donors, the second letter should raise more funds than the other two letters.

To further test this proposition, after we sent out the letters, we sent reminders by email. The email reminders started in May 2014. One email per month was sent. In total we sent three reminders.

Power

We don't have power issues regarding the main analysis for we only consider development of some key indicators. Yet, for our experiment, sample size, in terms of response rates, is important. It turned out that out of the sample of 150000 individuals to whom we sent the letters, only 25 responded. This comes down to a response rate that is lower than 0.02 percent. There were some differences between the three groups, with a response rate of letter 1 too be highest, around 0.025 percent and a response rate of letter 2 around 0.01 percent. However, it is clear that take up rates are far too low to use this experiment as a test of the relevance of the $1:$1 matching investment mechanism. Regarding the reminders, the response rate was also very low: Hence, our experiment turned out to be highly underpowered for measuring relevance and impact of the funding methodology. Yet, the experiment gives us important information about possibilities to raise funds among the middle class in India , the ultimate goal of SMILE. The experiment clearly shows how difficult it is to raise funds from Indian middle-class, towards child poverty and child rights, one of the main outcomes of this project.

Availability of financial data

The total project budget is € 2,642,711. The percentage funded by MFS II is 45%.

Reports on the budget assigned to each activity financed by WG were sent quarterly by Smile. These data help us determine whether or not the 50 per cent of organization costs being financed by in-country donations has been achieved, or if the foundation is heading that way.

5. Analysis of the results and financial analysis

Table 1a compares Targets and Actual results for 2011, 2012 and 2013. Table 1b gives the total funds (and for 2015 projected funds) raised by SMILE over the entire MFS II period,

2011-2015. Table 1a shows that targets for each year, set in accordance between WG and Smile, had not been met for most outcomes.[2] However, in the last two years reported, Smile has reached and outperformed the targets set regarding to what both, corporate and individual donors contribute. Moreover, funds raised in 2013 from major corporate donors increased threefold with respect to 2012, while those raised from individual occasional donors did as well by 50 per cent.

In 2013, more than 800 occasional individual donors made more than 50 thousand euros in contributions while 22 regular donors gave around 800 euros in donations. In per capita terms, the donations coming from occasional individuals were much larger than those coming from regular ones. The formers' contributions outperformed the latters' by twofold. Nothing can be said about these results without controlling for individual characteristics, which may bias them. However, from the comparison with results from the previous year, it can be concluded that the regular contributors, although duplicate in number, reduced by half the per capita contribution. Basically, in 2012, the same amount of money was raised from half the amount of regular donors. In addition, the number of regular individual contributors remains very low. With respect to occasional donors, the per capita contribution remained fairly the same from 2012 to 2013.

Table 1a	2011		2012			2013		
In-Country Fundraising Activities	Target	Actual	Target	Actual	Amount EUR	Target	Actual	Amount EUR
Fundraising actions planned	100	68	120	84	NA	200	100	NA
Fundraising actions carried out	60	44	70	44	58,266	120	52	NA
Major corporates approached	300	210	320	252	NA	400	295	NA
Major corporates' contributions received	30	34	34	34	36,184	50	49	102,851
Individual contributions – occasional	300	136	500	541	34,366	800	818	50,346
Individual contributions – regular	50	6	50	11	710	50	22	801
Total Funds Raised by Smile					129,526			154,098

Table 1B: Total funds raised by SMILE during MFS II period

[2]It may be argued that the number of fundraising actions implemented is not so important, as it all comes down to the total amount raised by Smile to cover its own contribution, as compared to the planned own contribution. The number of actions carried out is an indicator, though, for the diversification of sources of income and for Smile's ability to spread risks.

2011	2012	2013	2014	2015
103,221	129,526	153,998	163,406	247,116

Note: the figure for 2014 refers to the first three quarters of 2014 for figures of Q4 are not yet known. The figures for 2015 refer to projections, and need to be taken with caution as e.g. they still need correction for over-or underspending in previous years. The totals for 2013 presented in tables 1A and 1B slightly differ (100 Euro), probably due to ex-post corrections.

Table 1B shows that the overall amount raised by SMILE grew from 103,221 Euro in 2011 to 153,998 Euro in 2013. The yearly amount of funds raised increased even further in 2014, and is expected to substantially increase in 2015.

At the end of this section we come back to the required outputs to be achieved in 2015. Recall, that according to the contract between Wild Ganzen and SMILE, by the end of 2015 SMILE should have achieved the following outputs:

1) by the end of 2015, Smile will conduct 350 local actions to support 250 projects of local groups. They will have received € 705.086 from AfC to double their fundraising;

2) By the end of 2015, 250 local groups will be trained and advised;

3) By the end of 2015, the in-country donations (Euro 436084) cover 62 per cent of the co-financing budgets for projects;

4) By the end of 2015 , Smile will raise (Euro 333187) this covers 27 per cent of the AfC organization costs.

The project period is not yet finished. Yet, based on predictions of the Chief Operating Officer of Smile, mr Vikram Singh Verma, it is to be expected that by the end of 2015 Smile will be able to achieve the following:

(1) by the end of 2015,301 projects of local groups have received € 705.086 from AfC to double their fundraising;
(2) By the end of 2015, 301 local groups have been trained and advised;
(3) By the end of 2015, the in-country donations cover 67 per cent of the co-financing budgets for projects;
(4) By the end of 2015 this covers 32 per cent of the AfC organization costs.

The projections of mr Vikram Singh Verma are supported by Table 2, which compares all funds raised in India under AfC, versus the subsidy spent, over the 2011-2014 period (minus Q3 of 2014) and the projection for 2015. The table shows that: 1) the local action results of CBOs have remained stable in the first three years, have grown in 2014 and are projected to grow further in 2015; 2) the funds raised by Smile have grown progressively (provided Q4 of 2014 has given the expected results) and are assumed to grow further in 2015; 3) From 2012 onwards, the overall amount of money raised in country (local actions of CBOs and funds raised by Smile combined) was at the least equal to the amount provided from the Dutch subsidy; 4) it is expected that in 2015 the own contribution of Smile (the funds it raised itself, so excluding the funds raised by local CBOs), is expected to be (far) higher than the planned Dutch subsidy and 5) it is expected that in 2015 the overall in country contributions will more than double the amount provided from the subsidy.

Table 2: Funds raised in India versus the AfC subsidy

	2011	2012	2013	2014	2015	Entire period
Local Action by CBOs	121,587	115,555	126,104	179,238	175,000	717,483
Funds raised by SMILE	103,221	129,526	153,998	193,366	247,116	827,227
Actual AfC subsidy	289,842	244,456	238,709	266,882	160,416	1,200,305
ratio Funds raised by Smile/AfC subsidy	36%	53%	65%	72%	154%	69%
ratio Sum Funds raised by SMILE and Local Actions/AfC subsidy	78%	100%	117%	140%	263%	129%

Hence, it is to be expected that SMILE will be able to fulfill all contract requirements at the end of the project period.

5.1 Results of the experiment and possibilities for future research

Table 3 presents figures on the fundraising and experimental activity carried out on middle income regular and occasional Indian donors.

Table 3	Number of donors reached	Number of donors who responded	Amounts contributed* (€)	Contribution per capita (€)
Letter format 1	50,000	12	375	31.3
Letter format 2	50,000	5	107	21.4
Letter format 3	50,000	8	256	32.0
Total	150,000	25	738	29.5

* Originally reported in Indian Rupees, same exchange rate as in fourth quarter's financial report from Smiles.

The table clearly shows that response rates were extremely low. Fundraising by means of sending letters to potential donors in India does not seem to be a cost-effective experiment for the amount raised is far below the cost of the experiment.

After we sent out the letter, and response rates turned out to be so low, we decided to send reminders by email. The email reminders started in May 2014. One email per month was sent. In total three reminders were sent. Again response rates were very low. In total 8 more donations came in due to the reminders. The total amount of funds raised via the reminders was 17000 Indian rupees (around $275).

The response rates to our experiment were much too low to test the relevance of SMILE's funding methodology, which was the prime aim of the experiment. Although the experiment was not primarily designed to suggest better funding possibilities for SMILE, it clearly shows that in order to raise donations among the Indian middleclass sending letters and/ or emails to a randomly chosen group of relatively rich individuals is not cost-effective. What other possibilities are available to SMILE to raise funding among Indian middleclass?

Overheads are important to donors, since the larger the proportion of their money goes to pay for administrative costs, the lower the sense of an impact they get from their contribution. Therefore it is crucial that new ways to reach out are worked out so that new contributors take this aspect as fundamental.[3] Sending letters by post not only had a large stamp cost, there were two additional problems. First, one could not guarantee that the letters reached the intended target and second, even when they reached they were opened.

These days almost everyone with an Internet connection has an electronic way to be reached: be it through social networks, email accounts, or any other type of online presence. Although still one of the worst ranked countries with respect to information technology spread among its citizens, because of its massive population Indians are among the most

[3] One way to do this could be to ask the Trustees or some large companies to cover the administrative costs, so Smile can guarantee individual donors that 100% of their gift goes to projects. Of course, the more successful fundraising among individuals becomes, the more difficult it is to maintain such a strategy. Under MFS1 Wilde Ganzen promoted the use of this strategy, but the partner organizations, including SMILE, found it inappropriate given their situation.

connected in the world (ITU, 2013). Middle class Indians are probably largely reachable through online interaction, which is marginally cost-free. Hence, instead of letters, emails should be sent.

Even better, through Facebook, particular groups can be targeted. Online social networks might provide a marginally cost-free, easily accessible and highly reliable means to contact potential donors. However, this is but only half the issue, the other half consists on what the content of the communication actually says. The content is what ultimately will be analyzed and that will influence, or determine, whether Indian middle-income individual donors donate.

So far the question of which is the best donation driver among regular or occasional contributors has been addressed without much success. The problem is not only answering which one is more effective, but if any actually is. As suggested above, reaching a vast amount of people is possible through online means. Therefore effectiveness will be sorted out if anything else, by the probability increase of a sufficient number of contributors responding. However, more than an experiment this should also be a fundraising action and, hence, funds need to be raised. Applying the strategy suggested in Gneezy et. al. (2014) may be of use.

6. Discussion and Conclusion

This project mainly aims to improve the fund raising capacity of SMILE and, through it, the same capacity of CBOs and small NGOs. The main aim of this project, i.e. raising the amount of in-country donations to help reduce child poverty and improve child rights is extremely important, e.g. since Western countries become more and more reluctant to donate funds. India has a growing middle class, which may be willing to contribute to the lack of funds available for aid projects, and should in principle provide a huge reservoir for increasing in-country donations. The Smile Foundation is the Indian Southern partner organization of Wilde Ganzen that implements the AfC program, which tries to improve within country donations via the so-called 1:1 funding matching strategy. Wilde Ganzen advocates this funding strategy as it would lead to improved ownership at the local level, being very important for it improves the ownership of the projects, at the local level, which would seduce members of the middle class to also contribute to such projects, and hence should attract more donations. Our experiment does not provide any evidence for the second element of this strategy, i.e. that the 1:1 funding matching strategy would increase donations by the middle class. A possible reason for this result is that the funding matching strategy is very important for the local level (CBOs and NGOs), but not for individual givers who donate to a project via a national partner organization, like SMILE.[4] It should be

[4] According to information from Wilde Ganzen, also in the Netherlands, Private Initiatives at the local level who receive from WG a premium on the funds they raise themselves, frequently say that the premium, plus the fact that the name of Wilde Ganzen is involved, is an important stimulant for mobilizing local donations, whereas individual donors to Wilde Ganzen often do not even know that Wilde Ganzen uses a particular funding methodology.

noticed, though, that our experiment does not test the first part of the strategy, i.e. the improved ownership at the grassroots level.

Our experiment indicates how difficult it is to raise funds from the Indian middle class. The experiment shows that simply approaching potential donors from the middle class in India by sending them letters or reminders per email does not work. In general, our experiment indicates how difficult it is to raise funds from individual persons from the Indian middle class. SMILE raises a lot of funds via Indian corporations, but in order to ensure a continuing increase in India-based donations and diversification of its funding SMILE aims to increase donations from Indian middleclass individuals. Our experiment clearly shows that this is not an easy task.

Our experiment to induce the Indian middle class to donate was not very successful. This could be because this was a new approach and like all new approaches, the overhead costs are too great and, hence, a one-off attempts becomes cost ineffective. Given that one is interested in reducing overheads, it was counter-productive that setting up the platform to reach individuals became too costly.

Luckily, platforms like Facebook and other social media already exist, there are many individuals connected to these media and the cost of disseminating through them is very small. Indeed, one of the experiments to raise donations from the Indian middle class that could be tried by SMILE in the future is crowd-sourcing of funds. Indians donate a lot to religious organizations and to friends and family. What is not common is giving to unknown individuals or organizations. What queers the pitch is that there are too many organizations and not all of them are credible and so the bad ones drive out the good ones from people's minds.

One important lacuna was that Wilde Ganzen is not a known organization in India. On the other hand, most people believe that European organizations, even if unknown, are more credible. So, instead of SMILE claiming that they are being funded by Wilde Ganzen, it could have been better if Wilde Ganzen claimed that they are working with SMILE. The main point being made is that those who know SMILE do not need any certificate from anyone about them; those who do not know will not be impressed by any claims made by SMILE. Wilde Ganzen making a claim has more bite in this case.

Coming back to the project in itself. In our view, the project has been well-designed. We had several conversations and meetings with SMILE. From these meetings we learned that SMILE is a highly professional and strong organization. This conclusion is also confirmed by the C5 report (Kusters et al., 2015) which clearly shows that SMILE was already a very strong organization during the baseline, scoring high on the five core capabilities. During the project period this even increased somewhat further.

In terms of outputs, the project has picked up steam in the last years, at least with some donors in India. It is to be expected that SMILE will be able to fulfil all project requirements at the end of the project period, although some outputs may be slightly below the aimed

outputs as described in the WOTRO country report. Unfortunately, we are not able to rigorously attribute these changes to the support by Wilde Ganzen for the evaluation methodology is based on a simple before-after analysis without taking into account a comparison group. Moreover, as is also explained in Kusters et al (2015) other donors also financially supported SMILE during the project period, so that it is almost impossible to single out the impact of Wilde Ganzen as such. Yet, overall we are very positive about this project, and about SMILE as a professional and strong organization. We do have some concerns about possibilities to raise India-based personal donations in the future, but trust that SMILE will be able to develop appropriate strategies.

We end this report by valuing the programme in terms of the main evaluation questions of the MFS II evaluation. As we were not able to define a control group, we are not sure whether observed results can be attributed to the project. Hence, we grade this question low, with a 5. It should be noticed though, that this is a grade for the "rigour" of the impact analysis, not for the project, SMILE or Wilde Ganzen. The efficiency question is also impossible to answer since we lack a credible benchmark that can be used to make a comparison with the fundraising costs of SMILE. Yet, we know from Table 2 that from 2012 onwards the overall amount of money raised in country was at the least equal to the amount provided from the Dutch subsidy. Hence, from 2012 a kind of a break-even point has been reached. We also know from Table 2 that it is to be expected that in 2015 the own contribution of Smile will be much higher than the planned Dutch subsidy. These figures suggest that the subsidy of Wilde Ganzen seduces a more than 1: 1 increase in in-country donations, and hence from this point of view the project seems cost-effective. Therefore, we grade the efficiency question with a 8, although a "real" efficiency analysis cannot be conducted given the data available. It should also be noticed that we did not test the impact of the obtained funds on end-users for this project's main aim is to improve fundraising. Therefore, the question whether the observed results are relevant to the project beneficiaries cannot be answered.

Table 4: Valuing the programme

Statement (How much do you agree with the following statements?)	Score 1 = not at all 10 = completely
The project was well designed	8/9
The project was implemented as intended	8/9
The project reached all its objectives	8/9
The observed results are attributable to the project interventions	5

The observed results are relevant to the project beneficiaries	NA
The project was implemented efficiently	8

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Endline report – India, Smile Foundation MFS II country evaluations

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This report presents the findings of the endline of the evaluation of the organisational capacity component of the MFS II country evaluations. The focus of this report is India, Smile Foundation. The format is based on the requirements by the synthesis team and NWO/WOTRO. The endline was carried out in 2014. The baseline was carried out in 2012.

Key words: 5C (five core capabilities); attribution; baseline; causal map; change; CFA (Co-financing Organisation) endline; organisational capacity development; SPO (Southern Partner Organisation).

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The India 5C evaluation team

List of abbreviations and acronyms

5 C	Capacity development model which focuses on 5 core capabilities
AfC	Action for Children
ASSOCHAM	Associated Chambers of Commerce and Industries
Causal map	Map with cause-effect relationships. See also 'detailed causal map'.
Causal mechanisms	The combination of parts that ultimately explains an outcome. Each part of the mechanism is an individually insufficient but necessary factor in a whole mechanism, which together produce the outcome
CBO	Community Based Organisation
CDI	Centre for Development Innovation, Wageningen University and Research centre
CEO	Chief Executive Officer
CFA	Co-Financing Agency
CFC	Child for Child
CESE	Coordenadoria Ecumênica de Serviço (AfC partner in Brazil)
COO	Chief Operational Officer
CSR	Corporate Social Responsibility
Detailed causal map	Also 'model of change'. the representation of all possible explanations – causal pathways for a change/ outcome. These pathways are that of the intervention, rival pathways and pathways that combine parts of the intervention pathway with that of others. This also depicts the reciprocity of various events influencing each other and impacting the overall change. In the 5C evaluation identified key organisational capacity changes and underlying reasons for change (causal mechanisms) are traced through process tracing (for attribution question).
ECOSOC	Economic and Social Council of the UN
GE	General Electric
General causal map	Causal map with key organisational capacity changes and underlying reasons for change (causal mechanisms), based on SPO perception.
GPS	Global Positioning System
HP	Hewlett-Packard Company
HR	Human Resources
IBM	International Business Machines Corporation
IDBI	Industrial Development Bank of India
IDF	India Development Foundation
INGO	International Non-Governmental Organisation
IP	Individual Partnership
IPE	Institute of Public Enterprise
KCDF	Kenya Community Development Foundation
LIC	Life Insurance Corporation of India
M&E	Monitoring and Evaluation
MFS	Dutch co-financing system
MIS	Management Information System
NGO	Non-Government Organisation
PME	Planning, Monitoring and Evaluation
Process tracing	Theory-based approach to trace causal mechanisms
PSU	Public Sector Unit
OCA	Organisational Capacity Assessment
OD	Organisational Development
OSG	Operations Support Group
RECL	Rural Electrification Corporation Limited
SAFRG	South Asian Fundraising Group

SAIL	Steel Authority of India Limited
SPO	Southern Partner Organisation
SROI	Social Return on Investment
SVP	Social Venture Philanthropy
TCS	Tata Consultancy Services
ToC	Theory of Change
ToT	Training of Trainers
UNDP	United Nations Development Programme
UPS	United Parcel Service of North America, Inc
Wageningen UR	Wageningen University & Research centre
WG	Wilde Ganzen

1. Introduction & summary

1.1 Purpose and outline of the report

The Netherlands has a long tradition of public support for civil bi-lateral development cooperation, going back to the 1960s. The Co-Financing System (*Medefinancieringsstelsel*, or 'MFS') is its most recent expression. MFS II is the 2011-2015 grant framework for Co-Financing Agencies (CFAs), which is directed at achieving a sustainable reduction in poverty. A total of 20 consortia of Dutch CFAs have been awarded €1.9 billion in MFS II grants by the Dutch Ministry of Foreign Affairs (MoFA).

The overall aim of MFS II is to help strengthen civil society in the South as a building block for structural poverty reduction. CFAs receiving MFS II funding work through strategic partnerships with Southern Partner Organisations.

The MFS II framework stipulates that each consortium is required to carry out independent external evaluations to be able to make valid, evaluative statements about the effective use of the available funding. On behalf of Dutch consortia receiving MFS II funding, NWO-WOTRO has issued three calls for proposals. Call deals with joint MFS II evaluations of development interventions at country level. Evaluations must comprise a baseline assessment in 2012 and a follow-up assessment in 2014 and should be arranged according to three categories of priority result areas as defined by MoFA:

Achievement of Millennium Development Goals (MDGs) & themes;

Capacity development of Southern partner organisations (SPO) (5 c study);

Efforts to strengthen civil society.

This report focuses on the assessment of capacity development of southern partner organisations. This evaluation of the organisational capacity development of the SPOs is organised around four key evaluation questions:

1. What are the changes in partner organisations' capacity during the 2012-2014 period?
2. To what degree are the changes identified in partner capacity attributable to development interventions undertaken by the MFS II consortia (i.e. measuring effectiveness)?
3. Were the efforts of the MFS II consortia efficient?
4. What factors explain the findings drawn from the questions above?

The purpose of this report is to provide endline information on one of the SPOs involved in the evaluation: Smile Foundation in India. The baseline report is described in a separate document.

Chapter 2 describes general information about the Southern Partner Organisation (SPO). Here you can find general information about the SPO, the context in which the SPO operates, contracting details and background to the SPO. In chapter 3 a brief overview of the methodological approach is described. You can find a more detailed description of the methodological approach in appendix 1.Chapter 4 describes the results of the 5c endline study. It provides an overview of capacity development interventions of the SPO that have been supported by MFS II. It also describes what changes in organisational capacity have taken place since the baseline and why (evaluation question is 1 and 4). This is described as a summary of the indicators per capability as well as a general causal map that provides an overview of the key organisational capacity changes since the baseline, as experienced by the SPO. The complete overview of descriptions per indicator, and how these have changed since the baseline is described in appendix 3. The complete visual and narrative for the key organisational capacity changes that have taken place since the baseline according to the SPO staff present at the endline workshop is presented in appendix 4.

For those SPOs involved in process tracing a summary description of the causal maps for the identified organisational capacity changes in the two selected capabilities (capability to act and commit; capability to adapt and self-renew) is provided (evaluation questions 2 and 4). These causal maps describe the identified key organisational capacity changes that are possibly related to MFS II interventions in these two capabilities, and how these changes have come about. More detailed information can be found in appendix 5.

Chapter 5 presents a discussion on the findings and methodology and a conclusion on the different evaluation questions.

The overall methodology for the endline study of capacity of southern partner organisations is coordinated between the 8 countries: Bangladesh (Centre for Development Studies, University of Bath; INTRAC); DRC (Disaster Studies, Wageningen UR); Ethiopia (CDI, Wageningen UR); India (CDI, Wageningen UR: Indonesia (CDI, Wageningen UR); Liberia (CDI, Wageningen UR); Pakistan (IDS; MetaMeta); (Uganda (ETC). Specific methodological variations to the approach carried out per country where CDI is involved are also described in this document.

This report is sent to the Co-Financing Agency (CFA) and the Southern Partner Organisation (SPO) for correcting factual errors and for final validation of the report.

1.2 Brief summary of analysis and findings

Over the last two years Smile has slightly improved in its capability to act and commit. Important improvements were the strengthened second line leadership, more decentralised structure and improved fundraising capacity. In the capability to adapt and self-renew Smile also improved slightly. This was mainly due to improved internal cooperation and communication which led to better internal and external reporting, more participatory planning, better tracking of its operating environment and being more responsive to their stakeholders. Smile improved very slightly in the capability to deliver on development objectives. Smile is reaching its planned outputs better and has become more cost-effective in its resource use. The organisation improved slightly in its capability to relate. There is a strong feedback mechanism in place, they have improved their networks and relations within the organisation have also improved. Finally there was a very slight improvement in the capability to achieve coherence because the staff and director now share the same vision for the organisation.

The evaluators considered it important to also note down the SPO's perspective on the most important changes in in the organisation since the baseline. During the endline workshop the key organisational capacity changes that were brought up by Smile's staff were improved fundraising capacity and improved capacity to organise trainings for CBOs. These changes happened to overlap with the key organisational capacity changes that were selected for process tracing as they were linked to MFS II funded capacity development interventions. MFS II supported capacity development interventions have played an important role in improving the fundraising capacity of Smile, particularly its improved knowledge and skills on branding and fundraising and its brand development and positioning can be to a large extent attributed to MFS II funding. However, internal factors like hiring new fundraising staff and improved interdepartmental communication also have played an important role. MFS II supported capacity development interventions have also played an important role in improving the capacity of Smile to organize trainings for CBO, particularly in terms of enhancing the competencies of a now well-trained CBO team. The other change to which the dedicated and well-trained CBO team can be attributed is the "redesign and restructuring of the organization", which cannot be attributed to MFS II supported capacity development interventions and overall played a less important role.

2. General Information about the SPO – Smile

2.1 Context and general information about the Southern Partner Organisation (SPO)

Country	India
Consortium	Together4Change
Responsible Dutch NGO	Wilde Ganzen
Project (if applicable)	Action for Children
Southern partner organisation	Smile Foundation (Smile)

The project/partner is part of the sample for the following evaluation component(s):

Achievement of MDGs and themes	
Capacity development of Southern partner organisations	X
Efforts to strengthen civil society	

2.2 The socio-economic, cultural and political context in which the partner operates

Nearly one third of the states and union territories in India have seen an increase in the dropout rate in primary education despite an overall increase in enrolment two years after the Right to Education Act (RTE) was implemented. This comes at a time when fund allocation has been doubled. These include progressive states like Tamil Nadu and Gujarat that have seen an increase in drop out ratio from 0.1% to 1.2% and 3.9% to 4.3% respectively between 2009-2010 and 2010-2011.This dropout rate is higher amongst underprivileged children and especially, girls. Further, learning assessments show that the children who do remain in school have poor learning outcomes. Poor education outcome is directly related to lack of infrastructure, lack of trained teachers, basic amenities like drinking water, toilets and text books in schools, ill health, malnutrition, unemployment, poverty which further leads to an intergenerational poverty trap. A comprehensive approach that maintains a continuum from education of children to gainful employment by strengthening vocational training skills for income generation; and continuing education with a special focus on empowerment of girls who in turn will ensure the literacy of their children can go a long way in strengthening communities. In this context, the efforts of NGOs and Community based organizations that focus on health and education of children can enhance and engender bridging the gaps created by poor Governance. Smile Foundation tries to do so by empowering underprivileged children and youth through relevant education, innovative healthcare and market-focused livelihood programs.

The NGOs and CBOs need funding support to carry out their work but the current donor environment is not very favourable to sustain their programs. The dwindling of foreign resources brings in the need to compete more aggressively with other similar NGOs working on issues of children, as the competition becomes tougher with smaller pots of money. There has been a notable decrease in the funders base mainly with foreign funds, owing to a very volatile donor environment across the world and more so in India. Most foreign donors have been revising their grant making policies and funding

priorities, and the current trend in India shows a decline in foreign funds and conclusion of operations by certain bilateral and multilateral organizations. International posturing of successive Indian governments has been that of a developing to developed nation, building on its economic growth, and young educated middle class. However, things on the ground tell a different story. The situation speaks of new forms of poverty, deprivation, inequalities and suffering.

But every closed door opens several new windows. The new Companies Act 2014, with a very strong CSR Clause, mandates companies with an average profit of INR 50 million in the last three years, to proactively design and undertake welfare and other developmental activities. This is seen as a great opportunity for Smile as the corporate sector would be required to spend 2 % of their net profit for social development actions. Smile is devising innovative and effective strategies to tap into this potential windfall. Though the Companies Act 2014 is being seen as a great opportunity and Smile is devising innovative and effective strategies to target the same, in all their interactions with Corporate houses in the recent months they have experienced that due to the Companies Act the nature of corporate funding for CSR has changed. Companies are now more inclined towards restricted funding for projects to be implemented. In the context of AfC, Smile's challenge is to raise unrestricted funds to meet premium and own costs. In addition, the middle class in India, estimated to be 50 million people and projected to reach 600 million by 2030 represents a large and potential support base for raising funds for developmental work. The increasing middle class population and individual motivations for giving, will contribute to social change.

The myth that people do not donate in India can be understood in the context of donation to religious institutions and trusts. However, the donations for the developmental causes are quite low. Anecdotal evidence suggests that, it is due to lack of trust. Vesterlund (2003) assumes that if donors possess information about charity quality, they may be motivated to donate. This brings in the need for branding, accountability and transparency for improving credibility of the organisation.

2.3 Contracting details

When did cooperation with this partner start: 20 December 2007

What is the MFS II contracting period: 1st of January 2011-31st December 2015

Did cooperation with this partner end? No

Is there an expected collaboration after the 31st of December 2015? Yes, Wilde Ganzen will continue to collaborate with Smile. This will be done in at least two ways:

By continuing to fund part of the premium for local projects, as under the Action for Children (AfC) model. The aim is to jointly fund between 70 and 88 new projects every year during the years 2016-2020. As under AfC, the local contribution is 50 %; the percentage of the contribution from funds raised at the national level increases and the percentage of the foreign (i.e. Wilde Ganzen) contribution decreases every year. Thus, the whole AfC cycle of steadily increasing local and national fundraising for local projects will be implemented until for this aspect Smile becomes completely independent from foreign funding.

By involving Smile in the Change the Game (CtG) programme that will provide training on local fundraising and on 'mobilising support (other than financial support)' (lobby & advocacy) to CBOs and NGOs. Smile is involved in:

a. the development of the training courses
b. training for Smile staff to become better trainers themselves (which will probably lead to the establishment of a specialized trainers unit within the organisation)
c. providing actual 'classroom' trainings to groups
d. providing coaching and advice to trainees who follow one of the digital courses provided by CtG.

The speed with which activities will be developed and implemented depends on available funding. Wilde Ganzen has approximately € 450,000 per year from its own funds. CtG is prosed by the ICCO-CNV International and Wilde Ganzen consortium for the Strategic Partnership with the Dutch Ministry of Foreign Affairs. If accepted, this should allow for a quicker development of the courses at different

levels, for training more CBOs and NGOs in India, for expansion to other countries and for developing specialized courses for specific themes.

2.4 Background to the Southern Partner Organisation

History

Smile was conceived in 2002, registered as a Trust. The focus during the early years was on children and their primary health care and education. The organisation then evolved to thinking about the youth and adolescents and focused on livelihood development.

The organisation followed a SVP (Social Venture Philanthropy) model where they identified community based organisations working with children and developing their capacities.

From 2002 to 2005, they ventured into education by starting their mission education (ME) program. This program was spread across 21 states by 2010-2011. In 2005-2007, Swabhiman, the women empowerment programme, STEP (Smile Twin E-learning Programme) and Smile ON WHEELS (mobile health clinic) were launched. Thus Smile started diversifying in terms of areas of intervention and themes. Their focus however continued to be on children.

STEP programme (2007) was designed for the youth in the age group of 18-30 years as a short term skill development programme. It was meant to generate income for the youth as well as their family. The programme included a vocational training programme as well as developing soft skills. All programmes of Smile Foundation are spread across 25 states.

From 2007 onwards Smile Foundation started focusing on fund raising and sustaining its staff and offices. The corporate partnership programme came up in 2007, as did the Child for Child program. There was a team formed for retail fundraising. Smile Foundation started building institutional alliances (both national and international). The Child for Child program was a sensitisation program for the "privileged" children in schools to be aware of their counterparts in the slums.

Smile Foundation also started forming alliances with corporates around this time. Communication and brand building became important and there were specific departments (units) set up across the country for this purpose. In 2010, the movie "I am Kalam" came out, funded by Smile Foundation, and this was a milestone in their branding achievements. It was an important stage of growth in their communication strategy. Trainings to their own employees gained momentum and their ability to respond to market forces strengthened.

Smile Foundation started with two employees and a turnover of about INR 300,000 [1](€3,868). The turnover was INR 103,300,000 (€1,332,043) in 2010-11 and to about INR 150,000,000 (€1,934,236) in financial year 2011-12 , INR 159,338,591(€ 2,054,656) in 2012-2013; INR 146,393,868 (€1,887,735) in 2013-2014.

As far as funding of Smile Foundation goes, it was mainly through funds arranged by trustees that provided the funding in 2002. From 2002 to 2005-06 it was financed by the surplus fund arranged by the trustees. In 2006-07, the main funders were Population Foundation of India (PFI), German Embassy, Times Foundation, and HDFC. In 2012, they started their fund raising strategy and had about 140 corporates financing them, among which some regular funders are PFI, SAIL, Samsung, Tech Mahindra, Jindal Steel, etc. In 2014, while the funding from the regular funders is continuing, there are some new funders on board such as Herbalife, Barclays, MTS, Harley Davidson, ANZ bank etc. In addition to the corporate partnerships, Smile over the last two years has been trying to focus on individuals as well as PSUs (public sector undertakings) for funding support.

MFS II supports about 53 projects of Smile Foundation. MFS II helps in their programmes of mission education, fundraising and brand building activities, and communication. It has also helped in capacity building and training of internal staff. It also provided technical support in the form of a booklet by

[1] Exchange rate: 1 Euro=77.55 Indian Rupee as on October 13,2014.

Wilde Ganzen called “Money Maker” that helps build capacity by providing trainings to the staff. The technical support helps in online fundraising channels (restructuring online presence) and communication workshops.

Vision

(source: http://www.smilefoundationindia.org/aboutus.htm#2 08-10-2014)

As a catalyst to bring changes in the lives of millions of children, youth and women, who are not privileged, by addressing the real need at the grassroots level and also enabling the civil society across the world to engage proactively in the change process following the philosophy of Civic Driven Change and adopting the highest standard of governance and thereby emerging as a leading knowledge and technology driven, innovative and scalable international development organisation from India.

Mission

(source: http://www.smilefoundationindia.org/aboutus.htm#3 08-10-2014)

Smile Foundation is to empower underprivileged children, youth and women through relevant education, innovative healthcare and market-focused livelihood programmes. Smile Foundation is to deploy best possible methodology and technology for achieving ideal SROI (social return on investment), to practice and promote good governance. To link business competitiveness of the corporate with social development initiatives; also to sensitize privileged children, youth and citizens in general to promote Civic Driven Change.

Strategies

(source: http://www.smilefoundationindia.org/aboutus.htm#6 and #7 08-10-2014)

Smile adopts a lifecycle approach by involving children, their families and the community. Smile Foundation believes that education is both the means as well as the end to a better life: the means because it empowers an individual to earn his/her livelihood and the end because it increases one's awareness on a range of issues – from healthcare to appropriate social behaviour to understanding one's rights – and in the process help him/her evolve as a better citizen. Education is the most effective tool which helps children build a strong foundation; enabling them to free themselves from the vicious cycle of ignorance, poverty and disease.

Smile Foundation realised that Education for Children cannot be achieved without the family, particularly, unless the mother is assured of health care and empowered. Moreover, when an elder sibling is educated and relevantly skilled to be employable and begins earning, the journey of empowerment continues beyond the present generation.

Smile Foundation extended its thematic areas of intervention by supporting family health, livelihood, and women empowerment. Children, their families and the community become the target group for Smile Foundation’s activities as child education cannot be done in isolation and nothing else but education for children can bring long lasting change in the society.

Smile Foundation has evolved two working models namely, Social Venture Philanthropy (SVP) and Outreach. Depending on the necessity and circumstances, either of the models is deployed.

1. Social Venture Philanthropy (SVP) is an innovative model based on the business concept of venture capital. Under SVP, Smile Foundation not only identifies & implements its development projects through credible Community Based Organisations (CBOs) but also, handholds and builds capacities of these organisations, focusing on achieving scalability and sustainability, creating a culture of leadership and excellence and inculcating a deep sense of accountability among them.
2. Outreach - While working in the remote rural areas, Smile Foundation realized that many a times capacities of community based organisations (CBOs) were not adequate to meet the high expectations of large corporate social investors. Under the Outreach model, Smile Foundation implements the development interventions directly as it requires intensive and professional engagement for a wider and sustained outcome. Smile Foundation gets a first-hand experience in the nuances of development at the grassroots through its Outreach model and then implements the learning in its SVP Projects through its SVP Partners.

During the endline workshop, the current strategy was defined as being focused on livelihood and environment, health, networking and alliances at national and international levels.

Smile Foundation's website via the description of a work statement gives a broader scope to the organisation strategies:

1. To pursue the most critical development indices like child education, innovative healthcare, livelihood, and women empowerment to achieve large scale penetration and highest Social Return on Investment (SROI);
2. To engage SVP (Social Venture Philanthropy) model by working hand in hand with grassroots organisations, building their capacities, giving strategic directions, sharing resources and knowledge, upgrading technology with the aim to achieve scalability, accountability, sustainability and leadership;
3. To promote and practice good governance in every sphere of its activities and inculcate the same among the grassroots partners; to build trust and credibility with all stakeholders;
4. To source and implement suitable technology of relevance across its operations for optimisation of management and operation bandwidth;
5. To form alliances with the government, national and international institutions, bilateral and multilateral organisations to share resources and knowledge, and to complement and supplement the efforts of these institutions;
6. To engage the corporate sector in the welfare initiatives by linking their business competitiveness and social contributions, wherever befitting, to make the engagement sustainable;
7. To link business necessity with critical development indices in alignment with Smile Foundation agenda and expand programme coverage in the rural outreach to achieve integrated social development;
8. To sensitize the privileged citizens including opinion makers, mass media and to encourage them to participate in the civic driven change through various forms of engagement;
9. To promote and imbibe social sensibility among youth and privileged children to help them emerge as responsible citizens and also participate in Civic Driven Change;
10. To develop a management bandwidth which can not only support the broad vision of the organisation but also will strive for excellence, innovation and institution building.

3. Methodological approach and reflection

3.1 Overall methodological approach and reflection

This chapter describes the methodological design and challenges for the assessment of capacity development of Southern Partner Organisations (SPOs), also called the '5C study'. This 5C study is organised around **four key evaluation questions**:

1. What are the changes in partner organisations' capacity during the 2012-2014 period?
2. To what degree are the changes identified in partner capacity attributable to development interventions undertaken by the MFS II consortia (i.e. measuring effectiveness)?
3. Were the efforts of the MFS II consortia efficient?
4. What factors explain the findings drawn from the questions above?

It has been agreed that the question (3) around efficiency cannot be addressed for this 5C study. The methodological approach for the other three questions is described below. At the end, a methodological reflection is provided.

Note: this methodological approach is applied to 4 countries that the Centre for Development Innovation, Wageningen University and Research centre is involved in in terms of the 5C study (Ethiopia, India, Indonesia, Liberia). The overall approach has been agreed with all the 8 countries selected for this MFS II evaluation. The 5C country teams have been trained and coached on this methodological approach during the evaluation process. Details specific to the SPO are described in chapter 5.1 of the SPO report A detailed overview of the approach is described in appendix 1.

The first (changes in organisational capacity) and the fourth evaluation question are addressed together through:

- **Changes in the 5C indicators since the baseline:** standard indicators have been agreed upon for each of the five capabilities of the five capabilities framework (see appendix 2) and changes between the baseline, and the endline situation have been described. For data collection a mix of data collection methods has been used, including self-assessments by SPO staff; interviews with SPO staff and externals; document review; observation. For data analysis, the Nvivo software program for qualitative data analysis has been used. Final descriptions per indicator and per capability with corresponding scores have been provided.
- **Key organisational capacity changes – 'general causal map':** during the endline workshop a brainstorm has been facilitated to generate the key organisational capacity changes as perceived by the SPO since the baseline, with related underlying causes. For this purpose, a visual as well as a narrative causal map have been described.

In terms of the attribution question (2 and 4), **'process tracing'** is used. This is a theory-based approach that has been applied to a selected number of SPOs since it is a very intensive and costly methodology, although it provides rich information and can generate a lot of learning within the organisations. This approach was presented and agreed-upon during the synthesis workshop on 17-18 June 2013 by the 5C teams for the eight countries of the MFS II evaluation. A more detailed description of the approach was presented during the synthesis workshop in February 2014. The synthesis team, NWO-WOTRO, the country project leaders and the MFS II organisations present at the workshop have accepted this approach. It was agreed that this approach can only be used for a selected number of SPOs since it is a very intensive and costly methodology. Key organisational capacity changes/ outcomes of the SPO were identified, based on their relationship to the two selected capabilities, the capability to act and commit the capability to adapt and self-renew, and an expected relationship with CFA supported capacity development interventions (MFS II funding). It was agreed to

focus on these two capabilities, since these are the most targeted capabilities by the CFAs, as established during the baseline process.

Please find below an explanation of how the above-mentioned evaluation questions have been addressed in the 5C evaluation.

At the end of this appendix a brief methodological reflection is provided.

3.2 Assessing changes in organisational capacity and reasons for change - evaluation question 1 and 4

This section describes the data collection and analysis methodology for answering the first evaluation question: **What are the changes in partner organisations' capacity during the 2012-2014 period?** And the fourth evaluation question: **"What factors explain the findings drawn from the questions above?"**

In order to explain the changes in organisational capacity development between baseline and endline (evaluation question 1) the CDI and in-country evaluation teams needed to review the indicators and how they have changed between baseline and endline and what reasons have been provided for this. This is explained below. It has been difficult to find detailed explanations for changes in each of the separate 5c indicators, but the 'general causal map' has provided some ideas about some of the key underlying factors actors and interventions that influence the key organisational capacity changes, as perceived by the SPO staff.

The evaluators considered it important to also note down a consolidated SPO story and this would also provide more information about what the SPO considered to be important in terms of organisational capacity changes since the baseline and how they perceived these key changes to have come about. Whilst this information has not been validated with sources other than SPO staff, it was considered important to understand how the SPOs has perceived changes in the organisation since the baseline.

For those SPOs that are selected for process tracing (evaluation question 2), more in-depth information is provided for the identified key organisational capacity changes and how MFS II supported capacity development interventions as well as other actors, factors and interventions have influenced these changes. This is integrated in the next session on the evaluation question on attribution, as described below and in the appendix 1.

How information was collected and analysed for addressing evaluation question 1 and 4, in terms of description of changes in indicators per capability as well as in terms of the general causal map, based on key organisational capacity changes as perceived by the SPO staff, is further described below.

During the baseline in 2012 information has been collected on each of the 33 agreed upon indicators for organisational capacity. For each of the five capabilities of the 5C framework indicators have been developed as can be seen in Appendix 2. During this 5C baseline, a summary description has been provided for each of these indicators, based on document review and the information provided by staff, the Co-financing Agency (CFA) and other external stakeholders. Also a summary description has been provided for each capability. The results of these can be read in the baseline reports.

The description of indicators for the baseline in 2012 served as the basis for comparison during the endline in 2014. In practice this meant that largely the same categories of respondents (preferably the same respondents as during the baseline) were requested to review the descriptions per indicator and indicate whether and how the endline situation (2014) is different from the described situation in 2012[2].

[2] The same categories were used as during the baseline (except beneficiaries, other funders): staff categories including management, programme staff, project staff, monitoring and evaluation staff, field staff, administration staff; stakeholder categories including co-financing agency (CFA), consultants, partners.

Per indicator they could indicate whether there was an improvement or deterioration or no change and also describe these changes. Furthermore, per indicator the interviewee could indicate what interventions, actors and other factors explain this change compared to the baseline situation. See below the specific questions that are asked for each of the indicators. Per category of interviewees there is a different list of indicators to be looked at. For example, staff members were presented with a list of all the indicators, whilst external people, for example partners, are presented with a select number of indicators, relevant to the stakeholder.

The information on the indicators was collected in different ways:

1) **Endline workshop at the SPO - self-assessment and 'general causal map'**: similar to data collection during the baseline, different categories of staff (as much as possible the same people as during the baseline) were brought together in a workshop and requested to respond, in their staff category, to the list of questions for each of the indicators (self-assessment sheet). Prior to carrying out the self-assessments, a brainstorming sessions was facilitated to develop a 'general causal map', based on the key organisational capacity changes since the baseline as perceived by SPO staff. Whilst this general causal map is not validated with additional information, it provides a sequential narrative, based on organisational capacity changes as perceived by SPO staff;
2) **Interviews with staff members**: additional to the endline workshop, interviews were held with SPO staff, either to provide more in-depth information on the information provided on the self-assessment formats during the workshop, or as a separate interview for staff members that were not present during the endline workshop;
3) **Interviews with externals**: different formats were developed for different types of external respondents, especially the co-financing agency (CFA), but also partner agencies, and organisational development consultants where possible. These externals were interviewed, either face-to-face or by phone/Skype. The interview sheets were sent to the respondents and if they wanted, these could be filled in digitally and followed up on during the interview;
4) **Document review**: similar to the baseline in 2012, relevant documents were reviewed so as to get information on each indicator. Documents to be reviewed included progress reports, evaluation reports, training reports, etc. (see below) since the baseline in 2012, so as to identify changes in each of the indicators;
5) **Observation**: similar to what was done in 2012, also in 2014 the evaluation team had a list with observable indicators which were to be used for observation during the visit to the SPO.

Below the key steps to assess changes in indicators are described.

Key steps to assess changes in indicators are described

1. Provide the description of indicators in the relevant formats – CDI team
2. Review the descriptions per indicator – in-country team & CDI team
3. Send the formats adapted to the SPO to CFA and SPO – in-country team (formats for SPO) and CDI team (formats for CFA)
4. Collect, upload & code the documents from CFA and SPO in NVivo – CDI team
5. Organise the field visit to the SPO – in-country team
6. Interview the CFA – CDI team
7. Run the endline workshop with the SPO – in-country team
8. Interview SPO staff – in-country team
9. Fill-in observation sheets – in-country team
10. Interview externals – in-country team
11. Upload and auto-code all the formats collected by in-country team and CDI team in NVivo – CDI team
12. Provide to the overview of information per 5c indicator to in-country team – CDI team
13. Analyse data and develop a draft description of the findings per indicator and for the general questions – in-country team
14. Analyse data and develop a final description of the findings per indicator and per capability and for the general questions – CDI team
15. Analyse the information in the general causal map –in-country team and CDI-team

Note: the CDI team include the Dutch 5c country coordinator as well as the overall 5c coordinator for the four countries (Ethiopia, India, Indonesia, Liberia). The 5c country report is based on the separate SPO reports.

Please see appendix 1 for a description of the detailed process and steps.

3.3 Attributing changes in organisational capacity - evaluation question 2 and 4

This section describes the data collection and analysis methodology for answering the second evaluation question*: **To what degree are the changes identified in partner capacity attributable to (capacity) development interventions undertaken by the MFS II consortia*** **(i.e. measuring effectiveness)?** and the fourth evaluation question: **"What factors explain the findings drawn from the questions above?"**

In terms of the attribution question (2), 'process tracing' is used. This is a theory-based approach that has been applied to a selected number of SPOs since it is a very intensive and costly methodology, although it provides rich information and can generate a lot of learning within the organisations. Key organisational capacity changes/ outcomes of the SPO were identified, based on their relationship to the two selected capabilities, the capability to act and commit the capability to adapt and self-renew, and an expected relationship with CFA supported capacity development interventions (MFS II funding). It was agreed to focus on these two capabilities, since these are the most targeted capabilities by the CFAs, as established during the baseline process.

Below, the selection of SPOs for process tracing as well as the different steps involved for process tracing in the selected SPOs, are further explained.

3.3.1 Selection of SPOs for 5C process tracing

Process tracing is a very intensive methodology that is very time and resource consuming (for development and analysis of one final detailed causal map, it takes about 1-2 weeks in total, for different members of the evaluation team). It has been agreed upon during the synthesis workshop on 17-18 June 2013 that only a selected number of SPOs will take part in this process tracing for the purpose of understanding the attribution question. The selection of SPOs is based on the following criteria:

- MFS II support to the SPO has not ended before 2014 (since this would leave us with too small a time difference between intervention and outcome);
- Focus is on the 1-2 capabilities that are targeted most by CFAs in a particular country;
- Both the SPO and the CFA are targeting the same capability, and preferably aim for similar outcomes;
- Maximum one SPO per CFA per country will be included in the process tracing.

The intention was to focus on about 30-50% of the SPOs involved. Please see the tables below for a selection of SPOs per country. Per country, a first table shows the extent to which a CFA targets the five capabilities, which is used to select the capabilities to focus on. A second table presents which SPO is selected, and takes into consideration the selection criteria as mentioned above.

For the detailed results of this selection, in the four countries that CDI is involved in, please see appendix 1. The following SPOs were selected for process tracing:

Ethiopia: AMREF, ECFA, FSCE, HUNDEE (4/9)

India: BVHA, COUNT, FFID, SMILE, VTRC (5/10)

Indonesia: ASB, ECPAT, PtPPMA, YPI, YRBI (5/12)

Liberia: BSC, RHRAP (2/5).

3.3.2 Key steps in process tracing for the 5C study

In the box below you will find the key steps developed for the 5C process tracing methodology. These steps will be further explained here. Only key staff of the SPO is involved in this process: management; programme/ project staff; and monitoring and evaluation staff, and other staff that could provide information relevant to the identified outcome area/key organisational capacity change. Those SPOs selected for process tracing had a separate endline workshop, in addition to the ' general endline workshop. This workshop was carried out after the initial endline workshop and the interviews

during the field visit to the SPO. Where possible, the general and process tracing endline workshop have been held consecutively, but where possible these workshops were held at different points in time, due to the complex design of the process. Below the detailed steps for the purpose of process tracing are further explained. More information can be found in Appendix 1.

Key steps in process tracing for the 5C study

1. Identify the planned MFS II supported capacity development interventions within the selected capabilities (capability to act and commit and capability to adapt and self-renew) – CDI team

2. Identify the implemented MFS II supported capacity development interventions within the selected capabilities (capability to act and commit and capability to adapt and self-renew) – CDI team

3. Identify initial changes/ outcome areas in these two capabilities – CDI team & in-country team

4. Construct the detailed, initial causal map (theoretical model of change) – CDI team & in-country team

5. Identify types of evidence needed to verify or discard different causal relationships in the model of change – in-country teams, with support from CDI team

6. Collect data to verify or discard causal mechanisms and construct workshop based, detailed causal map (model of change) – in-country team

7. Assess the quality of data and analyse data and develop final detailed causal map (model of change) – in-country team with CDI team

8. Analyse and conclude on findings– CDI team, in collaboration with in-country team

3.3.3 Methodological reflection

Below a few methodological reflections are made by the 5C evaluation team. These can also be found in appendix 1.

Use of the 5 core capabilities framework and qualitative approach: this has proven to a be very useful framework to assess organisational capacity. The five core capabilities provide a comprehensive picture of the capacity of an organisation. The capabilities are interlinked, which was also reflected in the description of standard indicators, that have been developed for the purpose of this 5C evaluation and agreed upon for the eight countries. Using this framework with a mainly qualitative approach has provided rich information for the SPOs and CFAs, and many have indicated this was a useful learning exercise.

Using standard indicators and scores: using standard indicators is useful for comparison purposes. However, the information provided per indicator is very specific to the SPO and therefore makes comparison difficult. Whilst the description of indicators has been useful for the SPO and CFA, it is questionable to what extent indicators can be compared across SPOs since they need to be seen in context, for them to make meaning. In relation to this, one can say that scores that are provided for the indicators, are only relative and cannot show the richness of information as provided in the indicator description. Furthermore, it must be noted that organisations are continuously changing and scores are just a snapshot in time. There cannot be perfect score for this. In hindsight, having rubrics would have been more useful than scores.

General causal map: whilst this general causal map, which is based on key organisational capacity changes and related causes, as perceived by the SPO staff present at the endline workshop, has not been validated with other sources of information except SPO feedback, the 5C evaluation team considers this information important, since it provides the SPO story about how and which changes in

the organisation since the baseline, are perceived as being important, and how these changes have come about. This will provide information additional to the information that has been validated when analysing and describing the indicators as well as the information provided through process tracing (selected SPOs). This has proven to be a learning experience for many SPOs.

Using process tracing for dealing with the attribution question: this theory-based and mainly qualitative approach has been chosen to deal with the attribution question, on how the organisational capacity changes in the organisations have come about and what the relationship is with MFS II supported capacity development interventions and other factors. This has proven to be a very useful process, that provided a lot of very rich information. Many SPOs and CFAs have already indicated that they appreciated the richness of information which provided a story about how identified organisational capacity changes have come about. Whilst this process was intensive for SPOs during the process tracing workshops, many appreciated this to be a learning process that provided useful information on how the organisation can further develop itself. For the evaluation team, this has also been an intensive and time-consuming process, but since it provided rich information in a learning process, the effort was worth it, if SPOs and CFAs find this process and findings useful.

A few remarks need to be made:

- Outcome explaining process tracing is used for this purpose, but has been adapted to the situation since the issues being looked at were very complex in nature.
- Difficulty of verifying each and every single change and causal relationship:
  - Intensity of the process and problems with recall: often the process tracing workshop was done straight after the general endline workshop that has been done for all the SPOs.In some cases, the process tracing endline workshop has been done at a different point in time, which was better for staff involved in this process, since process tracing asks people to think back about changes and how these changes have come about. The word difficulties with recalling some of these changes and how they have come about. See also the next paragraph.
  - Difficulty of assessing changes in knowledge and behaviour: training questionnaire is have been developed, based on Kirkpatrick's model and were specifically tailored to identify not only the interest but also the change in knowledge and skills, behaviour as well as organisational changes as a result of a particular training. The retention ability of individuals, irrespective of their position in the organisation, is often unstable. The 5C evaluation team experienced that it was difficult for people to recall specific trainings, and what they learned from those trainings. Often a change in knowledge, skills and behaviour is a result brought about by a combination of different factors , rather than being traceable to one particular event. The detailed causal maps that have been established, also clearly pointed this. There are many factors at play that make people change their behaviour, and this is not just dependent on training but also internal/personal (motivational) factors as well as factors within the organisation, that stimulate or hinder a person to change behaviour. Understanding how behaviour change works is important when trying to really understand the extent to which behaviour has changed as a result of different factors, actors and interventions. Organisations change because people change and therefore understanding when and how these individuals change behaviour is crucial. Also attrition and change in key organisational positions can contribute considerably to the outcome.

Utilisation of the evaluation

The 5C evaluation team considers it important to also discuss issues around utility of this evaluation. We want to mention just a few.

Design – mainly externally driven and with a focus on accountability and standard indicators and approaches within a limited time frame, and limited budget: this MFS II evaluation is originally based on a design that has been decided by IOB (the independent evaluation office of the Dutch Ministry of Foreign Affairs) and to some extent MFS II organisations. The evaluators have had no influence on the overall design and sampling for the 5C study. In terms of learning, one may question whether the most useful cases have been selected in this sampling process. The focus was very much on a rigorous evaluation carried out by an independent evaluation team. Indicators had to be streamlined across countries. The 5C team was requested to collaborate with the other 5C country teams (Bangladesh,

Congo, Pakistan, Uganda) to streamline the methodological approach across the eight sampled countries. Whilst this may have its purpose in terms of synthesising results, the 5C evaluation team has also experienced the difficulty of tailoring the approach to the specific SPOs. The overall evaluation has been mainly accountability driven and was less focused on enhancing learning for improvement. Furthermore, the timeframe has been very small to compare baseline information (2012) with endline information (2014). Changes in organisational capacity may take a long, particularly if they are related to behaviour change. Furthermore, there has been limited budget to carry out the 5C evaluation. For all the four countries (Ethiopia, India, Indonesia, Liberia) that the Centre for Development Innovation, Wageningen University and Research centre has been involved in, the budget has been overspent.

However, the 5C evaluation team has designed an endline process whereby engagement of staff, e.g. in a workshop process was considered important, not only due to the need to collect data, but also to generate learning in the organisation. Furthermore, having general causal maps and detailed causal maps generated by process tracing have provided rich information that many SPOs and CFAs have already appreciated as useful in terms of the findings as well as a learning process.

Another issue that must be mentioned is that additional requests have been added to the country teams during the process of implementation: developing a country based synthesis; questions on design, implementation, and reaching objectives of MFS II funded capacity development interventions, whilst these questions were not in line with the core evaluation questions for the 5C evaluation.

Complexity and inadequate coordination and communication: many actors, both in the Netherlands, as well as in the eight selected countries, have been involved in this evaluation and their roles and responsibilities, were often unclear. For example, 19 MFS II consortia, the internal reference group, the Ministry of Foreign Affairs, Partos, the Joint Evaluation Trust, NWO-Wotro, the evaluators (Netherlands and in-country), 2 external advisory committees, and the steering committee. Not to mention the SPO's and their related partners and consultants. CDI was involved in 4 countries with a total number of 38 SPOs and related CFAs. This complexity influenced communication and coordination, as well as the extent to which learning could take place. Furthermore, there was a distance between the evaluators and the CFAs, since the approach had to be synchronised across countries, and had to adhere to strict guidelines, which were mainly externally formulated and could not be negotiated or discussed for the purpose of tailoring and learning. Feedback on the final results and report had to be provided mainly in written form. In order to enhance utilisation, a final workshop at the SPO to discuss the findings and think through the use with more people than probably the one who reads the report, would have more impact on organisational learning and development. Furthermore, feedback with the CFAs has also not been institutionalised in the evaluation process in the form of learning events. And as mentioned above, the complexity of the evaluation with many actors involved did not enhance learning and thus utilization.

5C Endline process, and in particular thoroughness of process tracing often appreciated as learning process: The SPO perspective has also brought to light a new experience and technique of self-assessment and self-corrective measures for managers. Most SPOs whether part of process tracing or not, deeply appreciated the thoroughness of the methodology and its ability to capture details with robust connectivity. This is a matter of satisfaction and learning for both evaluators and SPOs. Having a process whereby SPO staff were very much engaged in the process of self-assessment and reflection has proven for many to be a learning experience for many, and therefore have enhanced utility of the 5C evaluation.

4. Results

4.1 MFS II supported capacity development interventions

Below an overview of the different MFS II supported capacity development interventions of Smile that have taken place since 2011 are described. The information is based on the information provided by Wilde Ganzen.

Table 1
Information about MFS II supported capacity development interventions since baseline

Title of the MFS II supported capacity development intervention	Objectives	Activities	Timing and duration	Budget
Participation in international Director's Meeting, once every year (2011: in New Delhi, India; 2012: in Mombasa, Kenya; 2013: in Salvador de Bahia, Brazil).	These interventions flow from the Programme Proposal for Action for Children. It is a yearly meeting to discuss progress and issues that partners encounter to have a content related discussion between partners about fundraising, to learn together.	Market where all partners could show the materials they use for fundraising (including, flyers, informational / educational material); to recruit participants (CBOs) to learn from each other. Active participation in formulation of new programme Change the Game. Bilateral discussions of WG staff with Smile participants before and after the sessions. Recurrent discussion in Meeting on possibilities to integrate AfC in overall strategy of our partners. Improved facilitation by WG by employing a highly experienced trainer/facilitator.	13-16 September 2011 2-7 September 2012 26– 30 August 2013	For Smile alone: 2011: €3,994 2012: €13,840 2013: € 13,750
Monitoring visits by WG AfC program manager (only in 2011 and April 2014, as a consequence of pregnancy and maternity leave of the manager)	Part of the Programme Proposal for Action for Children. Monitoring in 2012 and 2013 done during workshops (in the evenings). In November 2012 the part-time coordinator visited the workshop in Kenya.	Repeatedly discussing whether and how the AfC is applicable to other programs of the organisation.	7 -10 September 2011 15-19 April 2014	2011 € 1,671 2014 € 5,000.
Yearly international exchange visit of Smile AfC staff to an AfC partner in another country. 2012 -Soul City, South Africa 2013- KCDF in Kenya	Flows from the Programme Proposal for Action for Children. The hosting/receiving organisation organises the visit. The visiting organisation writes the terms of reference (they formulate their request/ what they want to learn from the organisation the visit). This ToR goes to	Partner organisations exchange experiences and views without presence of the donor (WG)	May 2012 (3 days) 13-15 November 2013	2012: € 3,500 2013: € 3,305

	Wilde Ganzen, who then decide to fund it or not			
Year round frequent e-mail exchanges to put forward ideas and help solve problems	From the application straight forward: partners & WG have to communicate	Very frequent communications.	All year round (2011-2014)	Part of overall costs of coordination
Financial contributions to branding and marketing of Smile	This intervention was planned in the Programme Proposal for Action for Children: if you want to raise funds you have to first position yourself in your society: people have to get an idea/feeling about your organisation. The organisation has to be positioned.	Discussion stimulated by WG staff and with other partners on importance of diversification of sources of funding. Funding earmarked (but with great freedom on how to spend it within the given aim) for branding and marketing of the organisation.	Continuous	Total expenses for Brand development and fundraising for Organizational cost: 2011:€ 216,367 2012: € 218,323 2013: € 234,125 Smile's total own contribution through fundraising by corporates: 2011: € 97,763 2012: € 129,526 2013: € 153,998 Difference is funded by Wilde Ganzen (MFS II): 2011: € 118604 2012: € 88797= 40,67% 2013: € 80127 = 34 %
Funding of a 3-day capacity development workshop organised by Smile on organisational capacity and local fundraising for CBO's, in July 2013, with observation and recommendations report from WG hired Dutch consultant	Part of the linking & learning to make the lessons of the programme more widely available	Request from Wilde Ganzen to organize such a workshop (already done by Smile for CBOs participating in AfC program) for local partners of WG that do not participate in AfC. WG hiring Dutch consultant on local fundraising. WG suggested to contact Dasra. Smile organises the workshop, they did the opening, closing and a training on the 5C model translated to the CBO level. Later Wilde Ganzen based their Organisational Capacity Assessment (OCA) on this, which is used to assess on which level an organisation can get into the Change the Game programme and to identify gaps. The other trainings were given by, among others: a former director from Oxfam India who is a retired "guru" on local fundraising with his own communication advice bureau on the use of visuals; a specialist on good governance and several others. Smile hires these	July 2013	None MFS II: The total budget for this workshop was: € 9,133. The actual costs was € 8,212. Funded by extra contribution of Wilde Ganzen (outside of MFS II)

		consultants or they volunteer to give trainings Dutch consultant Veronica Uhl was also present as observer and later to give feedback to Smile		
Funding of a capacity development workshop for 100 participants organised by Smile on local fundraising and 'mobilising support (other than financial support)' (lobby & advocacy); in Bangalore, India, with observation by WG hired Dutch consultants and 1 WG staff in local fundraising and mobilising support (other than financial support). Evenings: joint evaluation (Wilde Ganzen and Smile) Evenings also: jointly preparing the new Change the Game program on local fundraising and mobilising support (other than financial support)'(Wilde Ganzen and Smile)	Part of learning and linking	Observations by WG hired Dutch consultants and 1 WG staff in local fundraising and mobilising support (other than financial support). Evenings: joint evaluation and program development of Change the Game (Wilde Ganzen and Smile) Evenings also: jointly preparing the new Change the Game program on local fundraising and mobilising support (other than financial support). (Wilde Ganzen and Smile)	27-29 February 2014 29-30 February 2014	The contribution from T4C is € 50,000. The total budget is € 55,000 of which € 5,000 will be contributed by WG outside of MFS II.

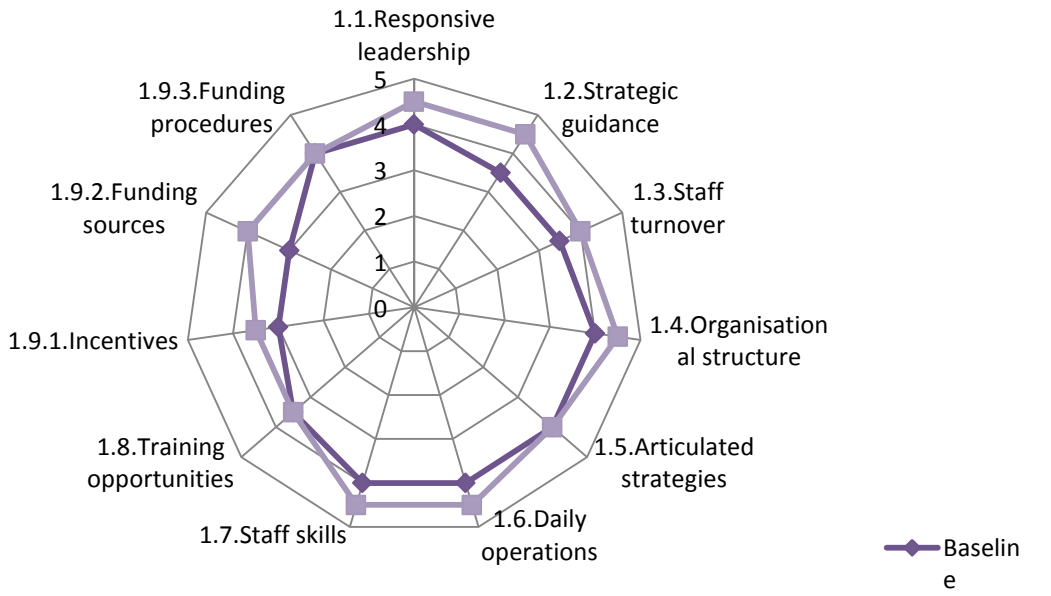
Source: 5C endline_support to capacity development sheet_CFA perspective_India_Smile_WildeGanzen_NB_interview.docx

4.2 Changes in capacity and reasons for change - evaluation question 1 and 4

Below you can find a description of the changes in each of the five core capabilities. This information is based on the analysis of the information per each of the indicators (Appendix 3). This detailed information for each of the indicators describes the current situation, and how and why it has changed since the baseline.

4.2.1 Changes in the five core capabilities

Capability to act and commit



The main change in terms of leadership was the strengthening of second line management through the appointment of a Chief Operational Officer (COO). Decisions are taken in a more participatory manner in consultation with departmental heads, the COO and the executive trustee. The induction process has been streamlined and leadership is built at all levels by exposure of staff to trainings and decentralisation. Staff turnover is lower in some departments than during baseline, this is because there is more clarity on responsibilities and objectives and there are HR retention and appreciation policies in place. Staff turnover is still higher at lower levels. Structural changes in the organogram of the organisation brought in a decentralized approach that gave autonomy to different departments which further led to interdepartmental integration. Departmental heads are in a better position to address the set of skills they need due to decentralisation and more autonomy in the departments. This is guiding middle and higher level staff recruitment and at junior level staff is trained by seniors. The gap in skills in narrative reporting and marketing that was present during baseline has been filled. Trainings have improved for middle and senior level staff, but no improvement has been observed at the junior level. Next to trainings, the freedom at work makes staff members driven and enthusiastic to work for Smile, even though financial incentives are still not at par with the market.

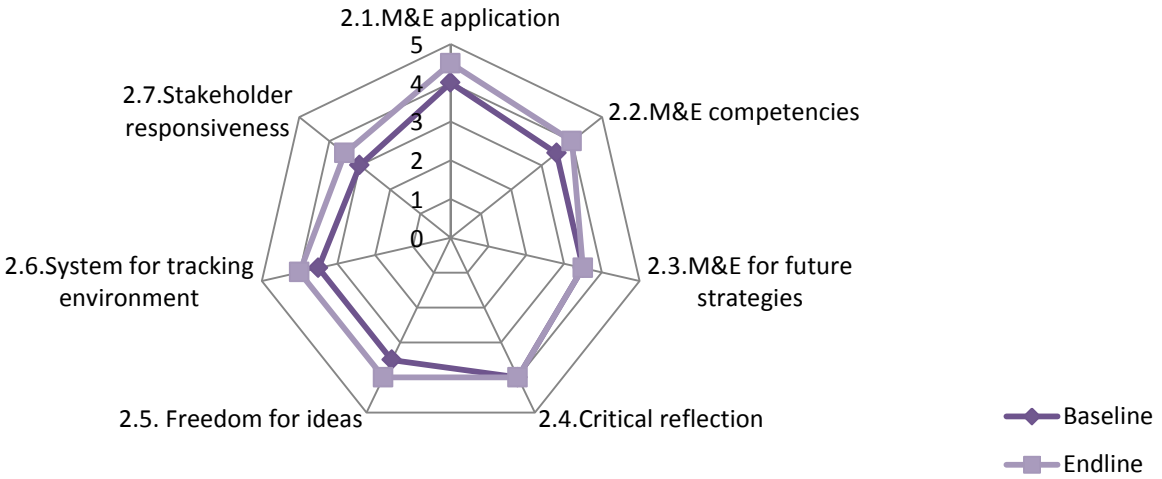
The development of programme strategies is still part of an annual planning exercise in consultation with stakeholders. For longer term programmes strategies are adjusted when needed. There are now inter-departmental weekly meetings and more specific targets in terms of focus, defined parameters, elaborate work plans, precise and specific outcomes, guide daily operations.

Smile continues to treat its donors as customers through its retention and nurturing programmes for both corporate and individual donors. New and innovative ways of fundraising have been introduced and the new alliance department for outreach project (which is donor driven and fully donor financed and targets Public Sector Units and institutional collaboration) and individual partnership department have strengthened Smile's strategy of fundraising among public sector units and individuals. Smile continues to effectively raise funds from the corporate sector. The organisation is now tapping into individual fundraising, by implementing a much needed, strong and credible brand strategy. Smile is closely following the developments of the CSR bill for new funding opportunities. While Smile is focussing a lot on fundraising the fruits of these efforts will be reaped in the coming years. The response from the donors is usually not an immediate one.

Score baseline: 3.5

Score endline: 4.0 (slight improvement)

Capability to adapt and self-renew

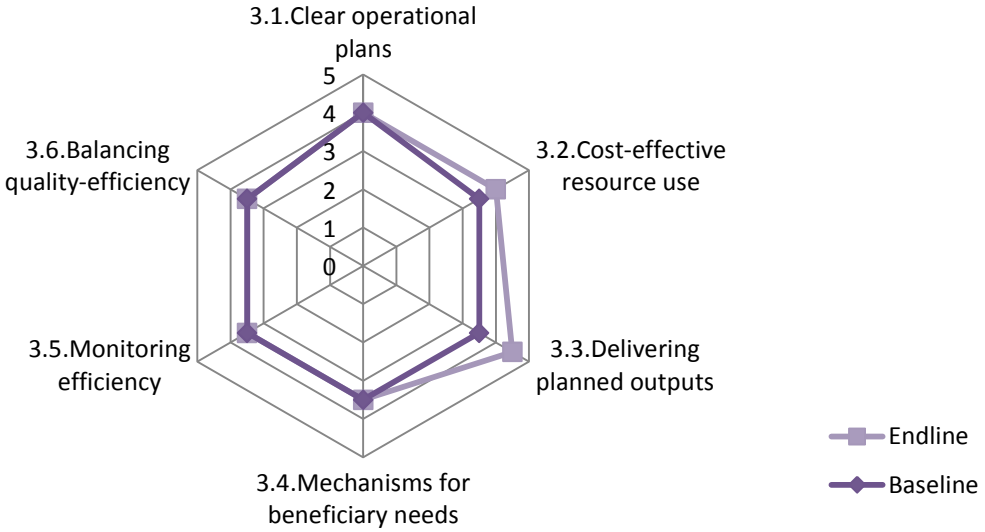


Over the last two years there have been some improvements in the way that M&E is applied. All MIS formats and systems are now compatible at the national level within departments and respective programmes by standardising the system and restructuring departments. The communication department works closely with all the divisions keeping track of their performance and achievement of targets and assessing programme outcomes and impact. The greater use of technology has enhanced this capacity further. The coordination between the regional officers and the head office in the M&E process has been streamlined and regional officers have received needed training on M&E. There has been an improvement of involving field staff in finalising future strategies looking at the M&E results. Smile receives input from its target group (mostly local NGOs) through their feedback on trainings they participated in and through regular feedback on planned interventions. This input is used to tailor the interventions to the stakeholders needs. Smile keeps in contact with its existing donors, both individual and corporate, through its donor nurturing and retention plan. The organisation is now better able to follow international trends through having a Special Consultative Status with The Economic and Social Council of United Nations. Smile staff has also received training to be in touch with general developments in its operation environment, closely following the Corporate Affairs Bill and its implications and setting up an Alliance and Institutional Partnership department. Management welcomes open ideas and takes considerable interest in the functioning of staff through engaging in weekly, monthly and annual meetings. An improvement in this regard has been that staff have more ownership over project implementation and planning has become a more participatory exercise.

Score baseline: 3.5

Score endline: 4.0 (slight improvement)

Capability to deliver on development objectives

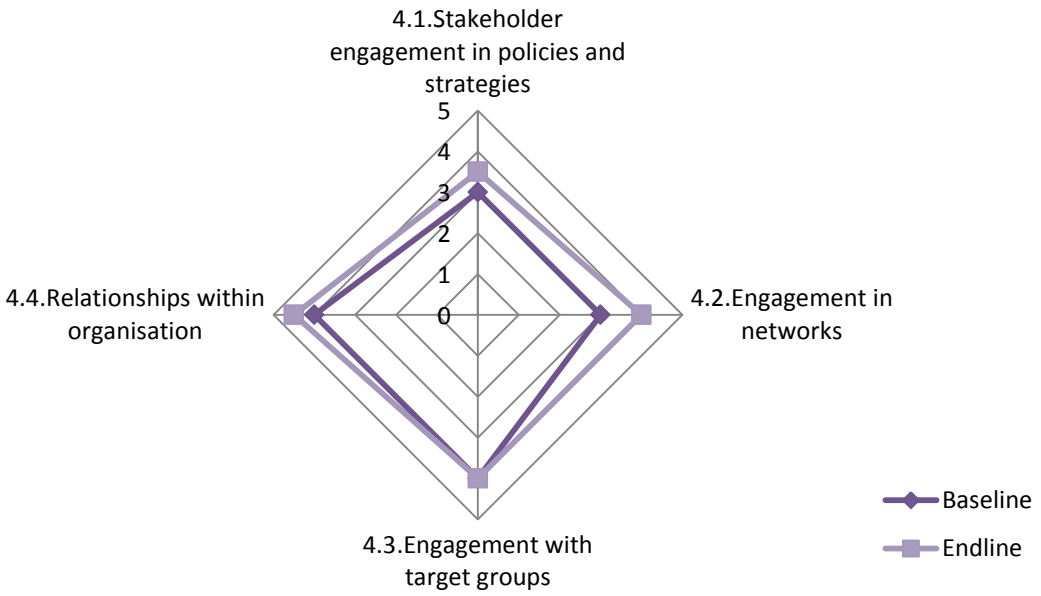


While operational plans are still in place for all projects, there is now more synergy between departments and protocols are smoothened for quick implementation. Cost-effectiveness has always been high on Smile's agenda. Several measures are taken to ensure this, including use of technology to avoid travel costs, seeing audits as part of the general system and sensitising staff on the issue. The responsibility load of regional offices is now more in line with their capacity in terms of resources. Smile continues to achieve the targets set out in the Project Implementation Plan at planning level. Training of local civic groups, Smile's partners, has been an important focus of the last period. This will also help Smile to deliver planned outputs through its partners. Better planning and presence of an operational support group has helped to improve the quality and efficiency of Smile's work. For monitoring its efficiency Smile continues to use SROI and links targets to achievements and inflows of resources to outflows. Systems to identify if services meet beneficiaries' needs are still in place. Smile now conducts baseline surveys to identify needs before starting a project and after its trainings participants are asked for feedback.

Score baseline: 3.5

Score endline: 3.8 (very slight improvement)

Capability to relate



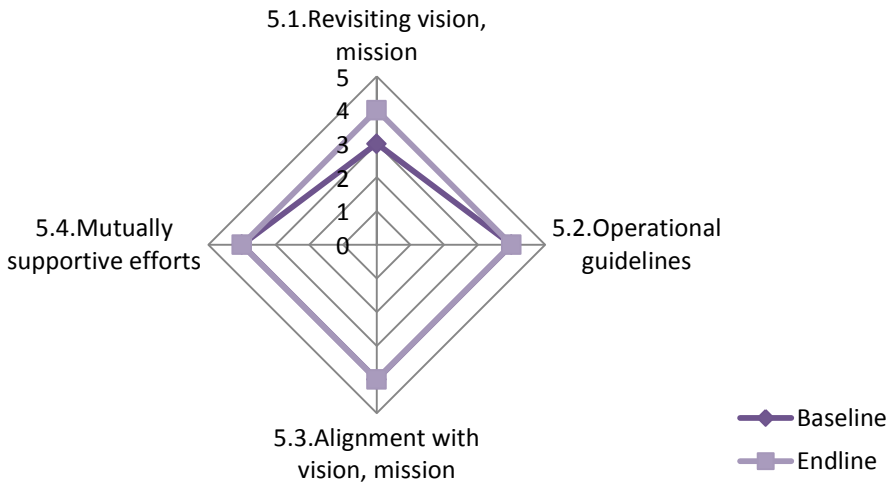
There has been some improvement in involving local groups (through workshops and trainings) and individual donors (through a regular contact and a volunteer cell) in policy and strategy development. However, this is only at the programme level. At the organisational level senior management and second line leadership make the decisions. Smile has increased its participation in relevant forums, workshops and platforms for networking and has become affiliated with a few major international bodies like the ECOSOC of the UN, UNICEF and the Indian Development Foundation of overseas Indians of the Ministry of Indian Overseas Affairs.

The quality of the monitoring visits to beneficiaries has improved. Online media, like Facebook and email, are now being used to stay connected to the beneficiaries. While Smile continues to have an open internal culture, staff do now dare to speak out more which is stimulated by both the CEO and new COO. The decentralisation of the organisational structure led to interdepartmental integration so that staff are enabled to share and learn more from other departments.

Score baseline: 3.5

Score endline: 4.0 (slight improvement)

Capability to achieve coherence



The entire organi

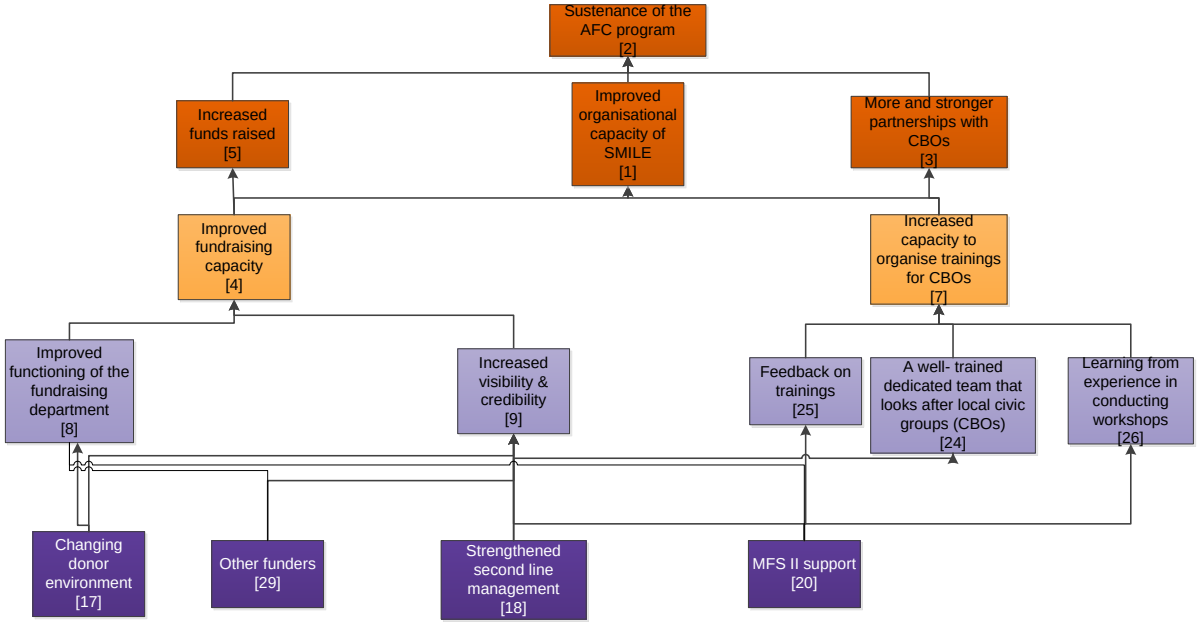
sation now works towards the same mission and vision. The visions of staff and the director grew closer together as both their visions, focus on fundraising and sensitising the community respectively, are now combined. Annual goal and work plan meetings help staff to align their work and ideas with the vision of the organisation which still is to improve the lives of under-privileged children, youth and women by adopting a Life Cycle Approach of development. All programmes are in line with this vision. All programmes of Smile are mutually supportive and cross-learning between projects is applied. Operational guidelines are in place and are updated from time to time. Standard Operational Procedures for donor retention and nurturing are strengthened.

Score baseline: 3.75

Score endline: 4.0 (very slight improvement)

4.2.2 General changes in the organisational capacity of the SPO

During the endline workshop at the SPO, a discussion was held around what were the main changes in organisational capacity development since the baseline and why these changes have taken place. The discussion was visualised in a general causal map as can be seen below. The narrative for the general causal map is also described below. It gives a more general picture of what was seen as important changes in the organisation since the baseline, and how these changes have come about , and that tells the more general story about the organisational changes in the SPO. The evaluators considered it important to also note down the SPO's story and this would also provide more information about reasons for change, which were difficult to get for the individual indicators. Also for some issues there may not have been relevant indicators available in the list of core indicators provide by the evaluation team. The detailed narrative can be found in Annex 4.



The evaluation team carried out an endline assessment at Smile from 14 to 16 May 2014. During this workshop, the team made a recap of key features of the organisation in the baseline in 2012 (such as vision, mission, strategies, clients, partnerships). This was the basis for discussing changes that had happened to the organisation since the baseline. The two main changes that happened in the organisation since the baseline, as identified by the staff during self -assessments, interviews and during the workshop were:

1. Improved fundraising capacity [4], and related to this improved visibility and credibility of Smile [9]
2. Improved capacity of Smile to organise trainings for CBOs [7]

These two changes happened to coincide with the outcome areas that were chosen for process tracing, so as to get detailed information on how these changes in organisational capacity came about. Therefore the general causal map overlaps strongly with the causal maps developed for each of these outcome areas/organisational capacity changes to be analysed during the process tracing. All the details about these changes in organisational capacity as well as the underlying factors that influenced these changes are described in the narrative and visual below.

The two main organisational capacity changes are described in the light orange boxes and some of their key consequences are noted above these cards in dark orange. Light purple boxes represent factors and aspects that influence the key organisational capacity changes (in light orange). Key underlying factors that have impacted the organisation are listed at the bottom in dark purple. The narrative describes per organisational capacity change, the contributing factors as described from the top down. The numbers in the visual correspond with the numbers in the narrative.

Improved Fundraising Capacity [4]

As a consequence of Smile's improved fundraising capacity [4], more funds were raised [5] and the overall organisational capacity of Smile was strengthened [1].

The strengthened focus on raising more funds was one of the key areas that was identified by the management keeping in line with Smile's philosophy of civic driven change to increase the domestic donor base. Improved fundraising capacity [4] was a key organisational capacity change that was mentioned by many staff during the workshop and their self-assessments. Smile's capacity to raise funds has improved mainly because of:

- The improved functioning of its fundraising department [8]: Smile has a full-fledged improved fundraising team [8] consisting of 14 staff, responsible for raising its own cost and premium from high net worth individuals and corporates. In 2014, the Individual Partnership (IP) sub-division under the resource department was strengthened.
- Improved visibility and credibility [9]: Smile's improved visibility and credibility [9] is evident from awards and recognitions received by Smile. For example Smile Foundation was conferred with the "EDUCATION EXCELLENCE AWARDS – 2013" by the Associated Chambers of Commerce and Industries (ASSOCHAM) & The Education. The award is given to a university / institute and individuals performing their best in education sector.

Improved capacity of Smile to organise trainings for CBOs [7]

As a consequence of improvement in this capacity [7] more and stronger partnerships with CBOs [3] were formed and Smile's organisational capacity improved [1].

Smile has improved its capacity to organise trainings for CBOs over the last two years [7]. This has been keeping in line with the Social Venture Philanthropy (SVP) model of Smile as well as the requirements of the contract with Wilde Ganzen. As per the agreement between Smile and Wilde Ganzen training and advising local civic groups in fundraising and advocacy for civic actions for children is one of the mentioned outputs in the Terms of Reference. Smile's improved capacity in this area was confirmed in an interview with Wilde Ganzen and can be found in the Empowering Grassroots training report of July 2013. While Smile focused on streamlining its relations with its partners in the initial years of the contract, during the last two years Smile mainly focused on capacity development of partners. The improved capacity of Smile to organise trainings [7] is due to:

- A well -trained dedicated team that looks after local civic groups (CBOs) [24]: This team seeks applications from local civic groups through physical applications and also through online mode.
- Feedback on trainings from Wilde Ganzen and participants [25] Most of the trainings that Smile organised to strengthen the capacity of the CBOs were funded by Wilde Ganzen under MFS II [20]. Smile's capacity in developing trainings for CBOs mainly improved due to the feedback they have received on two trainings given to CBOs.
- Learning from experience in conducting workshops [26]. Smile organised 7 trainings on local fundraising, with 30 people from 15 different organisations per training since the baseline, these were funded by MFS II [20] and one on local fundraising and mobilising support (other than financial support). for 100 people, while 20 of these also followed an annexed pilot workshop on mobilising support (other than financial support) (also funded by MFS II [20]).

The main underlying causes for these three key organisational changes were:

- Changing donor environment [17]: this includes end of contract with Wilde Ganzen in 2015, dwindling foreign resources and new opportunities for (local) fundraising. This underlying factor has influenced:
- The improved functioning of its fundraising department [8], as the need for new funding strategies that arose from the changing donor environment led to applying certain measures (e.g. hiring new staff) to improve the functioning of the fundraising department.
- Increased visibility and credibility [9], as the need for new funding strategies triggered trainings on branding and fundraising.
- Other funders [29] have funded trainings to improve branding and fundraising, which in turn have led to improved functioning of the fundraising department [8] and improved visibility and credibility [9].
- MFS II support [20] has been going to trainings on branding and fundraising which led to improved function of the fundraising department [8] and improved visibility and credibility [9]. MFS II support also went to the trainings that Smile gave to CBOs [26] and to the feedback provided on these trainings [25].
- Strengthened second line management [18]: has introduced more structured planning and a new organisational structure which has affected the team looking after CBOs [24] and indirectly, increased visibility and credibility [9] and improved functioning of the fundraising department [8].

4.3 Attributing changes in organisational capacity - evaluation question 2 and 4

Note: for each country about 50% of the SPOs has been chosen to be involved in process tracing, which is the main approach chosen to address evaluation question 2. For more information please also see chapter 3 on methodological approach. For each of these SPOs the focus has been on the capability to act and commit and the capability to adapt and self-renew, since these were the most commonly addressed capabilities when planning MFS II supported capacity development interventions for the SPO.

For each of the MFS II supported capacity development interventions -under these two capabilities- an outcome area has been identified, describing a particular change in terms of organisational capacity of the SPO. Process tracing has been carried out for each outcome area. The following outcome areas have been identified under the capability to act and commit and the capability to adapt and self-renew. Also the MFS II capacity development interventions that could possibly be linked to these outcome areas are described in the table below.

Table 2

Information on selected capabilities, outcome areas and MFS II supported capacity development interventions since the baseline

Capability	Outcome area	MFS II supported capacity development intervention(2)
Capability to act and commit	Improved fundraising capacity	Participation in international Director's Meeting, once every year; Yearly international exchange visit of Smile AfC staff; Financial contributions to branding and marketing of Smile
Capability to act and commit	Improved capacity to organise trainings for CBOs	Funding of a 3-day capacity development workshop; Funding of a capacity development workshop on local fundraising and mobilising support (other than financial support) (lobby & advocacy); organised by Smile on organisational capacity and local fundraising for CBO's;

The next sections will describe the results of process tracing for each of the outcome areas, and will describe to what extent these outcome areas have taken place as a result of MFS II supported capacity development interventions and/or other related factors and actors.

Improved fundraising capacity

For the complete narrative with sources and the figure that has the numbers that are referred to in this narrative see Appendix 5.

As a consequence of Smile's improved fundraising capacity [4], more funds were raised [5] and the overall organisational capacity of Smile was strengthened [1]. Smile's improved capacity to raise funds [4] has led to increased funds raised [5]. This is evident from, for example the premiums[3] raised among the middle class and the corporate sector in the year 2012 and 2013. In 2012, a total of € 86,179 was raised as a premium against the annual target of € 53,375. The increase in amount of funds raised together with the improved organisational capacity[1] and more and stronger partnerships with CBOs [3] (explained further on) in turn contributed to the sustainability of Smile's projects, especially the Action for Children (AfC) programme [2]. The strengthened focus on raising more funds was one of the key areas that was identified by the management keeping in line with Smile's philosophy of civic driven change to increase the domestic donor base**.** The fundraising department is using innovative ideas for fundraising. Improved fundraising capacity [4] was a key organisational capacity change that was mentioned by many staff during the workshop and their self-assessments. Smile's capacity to raise funds has improved mainly because of the improved functioning of its fundraising department [8] and its improved visibility and credibility [9].

[3] Premiums are funds that can be used for specific projects.

Improved functioning of the fundraising department [8]

Smile has a full-fledged improved fundraising team consisting of 14 staff, responsible for raising its own cost and premium from high net worth individuals[4] and corporates. Also each department has corporate, individual, institutional and child for child fundraising staff. The national fundraising team is based in Delhi, Mumbai and Bangalore. Every member of the Corporate Partnership department is well trained to generate resources from corporates. A restructuring of the resource department clearly highlights the intent on fundraising. In 2014, the Individual Partnership (IP) sub-division under the resource department was strengthened as is evident from the responsibility centre structure of 2014. The functioning of the fundraising department improved [8] because new fundraising staff was hired [11], knowledge and skills on fundraising and branding improved [12] and interdepartmental communication improved [13]:

- New fundraising staff was hired [11]: In order to fulfil its mandate to mobilise resources Smile recruited staff who had expertise in fundraising. As an example of new fundraising staff, a General Manager for fundraising was hired who, in his previous job, had worked on fundraising and brand promotion through event and corporate alliances.
- Improved interdepartmental communication [13] improved because of a redesign and restructuring of the organisation [23] by strengthened second line management [18]. This was an important step in a direction to further decentralize Smile's organizational structure and empower respective departmental leads to take proactive initiatives in the sustenance of the organisation. The communications department is now divided into internal and external communications divisions. While the internal department creates content (types of programs being implemented, their impact etc.) for circulation within and outside the organization the external division is responsible for public relations and media coverage, so that Smile foundation as a brand may be read out clearly in the society to further improve its visibility.
- Knowledge and skills on fundraising and branding improved [12] because of several trainings/workshops, exchange events organized by Wilde Ganzen and several in house training workshops on branding and fundraising[14]. Some of these trainings were funded by MFS II [20] some by other funders [29].

Need for new fundraising strategies [15]

Smile started hiring new fundraising staff [11] and focusing more on capacity building of staff on fundraising and branding [14] because of:

- New fundraising strategies [15] were needed because of changes in the donor environment [17]:
  - End of contract with Wilde Ganzen in 2015. As per the contract with Wilde Ganzen (WG), Smile foundation would get funds, if a yearly increasing part of the project finances were raised by Smile and other stakeholders of the project
  - Dwindling foreign resources bring in the need to compete more aggressively with other similar NGOs working on issues of children, as the competition becomes tougher with smaller pots of money. There has been a notable decrease in the funders base mainly with foreign funds, owing to a very volatile donor environment across the world and more so in India.
  - New opportunities for (local) fundraising: The new Companies Act 2014, with a very strong CSR Clause, mandates companies to proactively design and undertake welfare and other developmental activities. This is seen as a great opportunity for Smile as the corporate sector would be required to spend 2% of their net profit for social development actions. Smile is devising its own strategies to tap into this potential windfall
- Improvement of human resource development policies and practices [16] because of more structured and focused planning [17] that was introduced by a new Chief Operations Officer (COO) who was hired in January 2013. This was a strengthening of second line management [18].

4 High Net worth Individuals are those having investable assets (financial assets, excluding primary residence) of $1 million or more.

Improved visibility and credibility of the organization [9]

Smile's improved visibility and credibility [9] is evident from awards and recognitions received by Smile [Source: Smile Foundation Website]. For example Smile Foundation was conferred with the "EDUCATION EXCELLENCE AWARDS – 2013" by the Associated Chambers of Commerce and Industries (ASSOCHAM) & The Education. The award is given to a university / institute and individuals performing their best in education sector. Smile increased its visibility and credibility [9] because of brand development and brand positioning [19] and because of improved internal and external reporting [21].

- Brand development and brand positioning [19] have been key parts of the agreement between Smile and Wilde Ganzen. This has been one of the key deliverables supported by MFS II funding.
  - During the period under review (2012-14), Wilde Ganzen has supported the branding and marketing of Smile with MFS II funds [20] making up to around 35 percent of Smile's total marketing budget [28] for the Action for Children programme.
  - Brand development and brand positioning has also improved because of improved knowledge and skills on branding and fundraising [12], which was a result of training on branding and fundraising [14], which were partly funded by MFS II [20].
- Smile's credibility [9] improved because of improved internal and external reporting [21], which are part of the overall improved M&E and governance of Smile.
  - Internal reporting includes better and more timely reports because of strengthened MIS and formats and templates in place [27]. Processes, procedures and systems for this were strengthened by new second line management [18].
  - The external reporting [21] improved mainly due to the improved functioning of the communications department [22] to communicate its work and to appeal for support. Smile has focused on accurate and relevant information which has helped it to earn respect and recognition. The communications department is working better [22] because trainings [14] have been conducted for field staff on photography and case study documentation as they are the first point at the field in the middle of the action. The trainings have helped generate good quality information which is further edited and brushed-up before being used in various communication and related actions. 2013-14 has been focus year for "Capturing our Impact" which for Smile has meant – "to tell our stories better". Thus the communications department improved because of trainings [14] and a redesign and restructuring of the organization [23] by the new second line management [18].

Improved capacity of staff to train CBOs

For the complete narrative with sources and the figure that has the numbers that are referred to in this narrative see Appendix 5.

As a consequence of improvement in this capacity [7] more and stronger partnerships with CBOs [3] were formed and the overall organisational capacity of Smile improved [1].

Smile has improved its capacity to organise trainings for CBOs over the last two years [7]. This has been keeping in line with the Social Venture Philanthropy (SVP) model of Smile as well as the requirements of the contract with Wilde Ganzen. As per the agreement between Smile and Wilde Ganzen training and advising local civic groups in fundraising and advocacy for civic actions for children is one of the mentioned outputs in the Terms of Reference. In delivering this output, Smile has improved its capacity to organise trainings for CBOs. This was confirmed in an interview with Wilde Ganzen and can be found in the Empowering Grassroots training report of July 2013.

The improved capacity of Smile to organise trainings is due to:

- A well -trained dedicated team that looks after local civic groups (CBOs) [24]. This team seeks applications from local civic groups through physical applications and also through online mode. The same application goes through the scrutiny process and the final application gets selected by the team. After due diligence and field appraisal the proposal gets approved and local actions are conducted. Later the premium is matched and disbursed to the local civic groups as per the contract and the project guidelines. It is the responsibility of the programme managers and officers to build the capacities of the partners through the Training of Trainers (ToT) mode and in the last two years, a lot of focus was given on training of partners.The programme officers travelled to the project

partners, local groups and communities, met with them and supported them for conducting local actions. Further, in 2013 two capacity building workshops titled "Empowering Grassroots" were organized for NGO Partners of North and West region. The dedicated team [24] has been empowered further as a result of:

- The restructuring of the organisation [23] by strengthened second line leadership [18]
- Several trainings and exposure visits [31] have contributed to the development of an experienced team who in turn contributed to the capacity building of the CBOs. These started before the MFS II funding period under MFS-I and continued under the Action for Children Programme under MFS II. As an example an exchange visit to CESE (Brazil) was made by the staff to understand the context of the partner and learn how they implement programmes and bring about civic driven change. In the last two years: AfC (Action for Children) Directors' Meets in 2012 and 2013, in Kenya and Brazil respectively and a three day capacity building workshop was organized for all the staff of Smile Foundation: This training helped them in improving their capacities to train the CBOs as the topics of the training were later on also used in the trainings for CBOs. These trainings and exposure visits were funded under MFS II [20].

- Feedback on trainings from Wilde Ganzen and participants [25]. Most of the trainings that Smile organised to strengthen the capacity of the CBOs [26] were funded by Wilde Ganzen under MFS II [20]. Smile's capacity in developing trainings for CBOs mainly improved due to the feedback they have received on two trainings given to CBOs. Wilde Ganzen hired the consultant Veronika Uhl from Himmelblau to observe the first of these two workshops given by Smile and share her observations in a report.
  Smile received feedback from the partners that participated in the workshop. According to the training report of July 2013, participants thought that the workshop was very useful, had a good location, was very well organised, and said that income generation should also be included in the modules not just fundraising. The second workshop was observed by three Dutch consultants hired by Wilde Ganzen (including Veronika Uhl) and a staff member of Wilde Ganzen itself. In evening sessions, feedback was given.
- Learning from experience in conducting workshops [26]. Smile organised 7 trainings on local fundraising, 30 people from 15 different organisations per training since the baseline, these were funded by MFS II [20]. The Smile team has learnt from the resource persons on how to conduct training independently during the course of these workshops The topics that were covered in the trainings were effective leadership for development & strengthening, 5 c model of building organizational competencies and good governance, involving local support for sustainability, better fund utilization, meeting the expectations of donors, good fundraising practices, communicating with the stakeholders etc.

5. Discussion and conclusion

5.1 Methodological issues

As the COO was new to the organisation he felt it was necessary to have a better understanding of the 5C model framework to trace down the changes over the two years period. For this reason a pre-workshop briefing was given to the COO and staff.

The Organisation Development Consultant was interviewed which gave a good insight into Smile's new appraisal and training needs assessment system which are part of their improved HR policy and systems. The Consultant is only concerned with HR and Admin and not overall organisational development.

If one looks at the way Smile works, it would be clear that they co-fund (50% by Smile and the other half by the local organization), train, and carry out much of the ground level work with the locally based NGOs. These NGOs are not Smile's partners. Hence they were not interviewed.

In order to get detailed information on the capacity development of the staff, self-assessment forms were being filled up by the management (GM-Corporate Partnerships, Manager–HR, GM–Programmes, AGM-Communications, AGM–Finance & Accounts, National Manager–Corporate Partnerships them), Programme staff (Chief Manager – Programs, Manager – Corporate Partnership, Manager – Alliance, Chief Manager – Programs), HR/Administration staff (Communication, HR, Three Finance and Accounts manager) and field staff (Associate - Communication Placement Officer - Programme Officer - Programme Sr. Executive – Programme). Except for GM-Corporate Partnership, Associate - Communication Placement Officer - Programme Officer - Programme Sr. Executive – Programme, HR, 3 Finance and Accounts manager , Chief Manager – Programs, Manager – Corporate Partnership, Manager – Alliance, Chief Manager – Programs, the rest participated in the baseline workshop.

Self-assessment forms were filled in by two groups of management because of the nature of the programme and their designations and responsibilities they carried out. It was done to ensure that the answers are not influenced by each other's opinion. The communication department of Smile works on M&E, receiving HR/Admin consultancy support from the Organisation Development consultant. As the staff performs multiple tasks, the evaluators decided to include communication staff in the HR/Admin group.

Smile did not fill in the support to capacity development sheet but rather sent an overview of trainings, without budgets, and for some without dates and other details, even though the evaluation team requested the correct forms to be filled on a number of times.

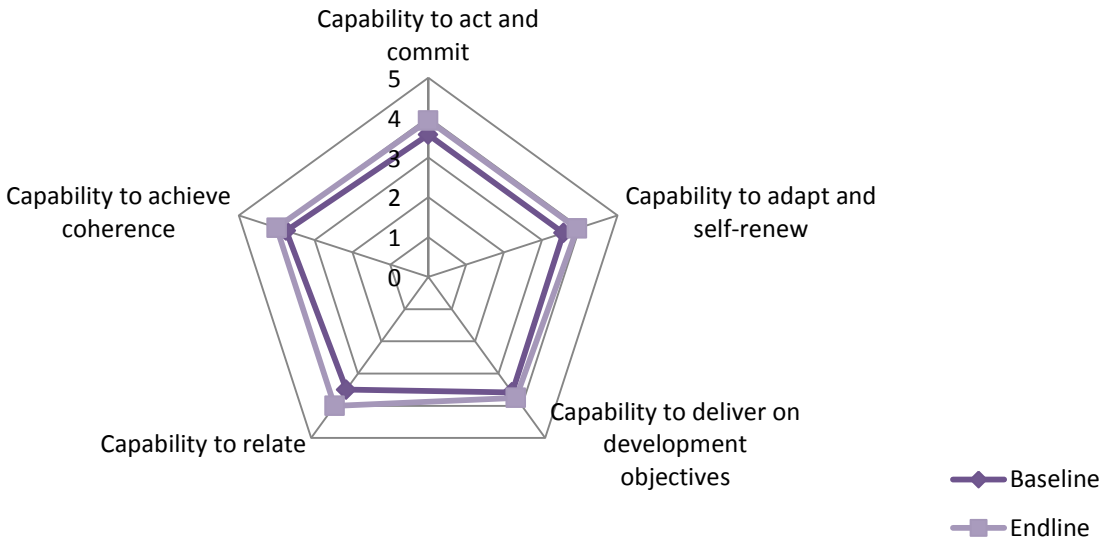
In relation to training questionnaires, Smile's staff was supposed to fill in four training (supported by MFS II) questionnaires. Despite evaluator's persistence only one questionnaire was filled by them. However, for the staff it was sometimes difficult to recall what they learnt during a specific training as they are exposed to various training programmes and exposure visits (both under MFS II programme and others). Therefore, the observed changes could be attributed to various factors beyond a specific training programme.

5.2 Changes in organisational capacity

This section aims to provide an answer to the first and fourth evaluation questions:

1. *What are the changes in partner organisations' capacity during the 2012-2014 period?*

4. What factors explain the findings drawn from the questions above?



During the baseline Smile was already one of the stronger organisations. Also in talking to the CFA it became clear that Wilde Ganzen greatly values Smile as an organisation that is taking initiative and is mostly itself responsible for the changes over the last two years.

Whilst changes took place in all of the five core capabilities, the improvements were only minor since SMILE's organisational capacity was already quite well developed during the baseline in 2012. Below the changes in each of the capabilities are further explained, by referring to the specific indicators that changed.

Over the last two years most improvements took place in the indicators under the capability to act and commit. As the second line leadership was strengthened by appointment of the Chief Operations Officer, leadership became more responsive and Smile's whole structure became more decentralised. Staff had clearer job responsibilities and a better HR system was implemented in which staff appraisal and training needs assessments started taking place. This had a positive effect on staff's incentives to work for Smile and the staff turnover at the fundraising, communications and programme department decreased and new additional fundraising staff were hired. Smile has also worked hard to improve its funding situation. With many changes in the donor environment and being involved in the Action for Children programme, they have been triggered to look for new (local) funding sources, which includes CSR and Individual Partnerships. Over the years Smile's staff has gained skills in many areas through the trainings and exposure visits provided by their donors and at their own initiative. The organisation considered it to be important that they improved their staff's capacity. This improvement was mainly observed in their capacity to organise trainings for CBOs and their capacity to raise funds. They also improved their skills in narrative reporting and marketing. Through the decentralised structure staff is now also learning from other departments within the organisation. The decentralisation also led to less dependence among staff on the management for decision making and more participatory planning. In the operational plans the targets have become more specific.

In the capability to adapt and self-renew Smile also improved slightly in various indicators. Their MIS systems are now standardised for all departments and as different departments within Smile started working more together there is now a better connection between the programme and communications department. This has led to better internal and external reporting on Smile's activities and results. Smile's competences in M&E improved as regional officers were trained in M&E and experienced programme staff is responsible for M&E. As mentioned earlier, planning has become more participatory giving more freedom for ideas of staff. Smile has become better at tracking its operating environment as they now have a department for Alliances and Institutional Partnerships that track developments in Public Sector Units. Smile also obtained a Special Consultative Status with The Economic and Social Council of United Nations and is following the developments on the CSR bill closely. There is now also a department that keeps in touch with their individual donors to be more responsive to their stakeholders.

In terms of the capability to deliver on development objectives , there is very minor improvement and this improvement particularly is in the area of delivering planned outputs. Smile's partners, on which they rely for this, have been trained and have been better able to reach planned outputs. Also, Smile itself has reached all the planned outputs (and sometimes even more) in the AfC programme. They have also become more cost-effective in their resource use as the responsibilities of the regional officers now fit better with the funding they have available and Smile is making use of technology to drive down costs.

In the capability to relate Smile has also somewhat improved. They now have a stronger feedback mechanism to get input from the CBOs they train and guide, and from their corporate and individual donors. They have improved on their networks, as they are now part of a CSR hub, which is very important for funding opportunities, and have also started engaging in more international networks. Internally the relations within the organisation have improved as staff is taking more responsibilities and speaking out more. The establishment of the Operations Support Group, the decentralisation of decision making and the support of a HR consultant in the staff appraisal system have all contributed to stronger internal relations within Smile.

Finally, Smile has slightly improved in its capability to achieve coherence as staff and the director are now closer together in their vision for the organisation as they now both understand that a focus on fundraising and sensitising the community are both needed for the sustainability of Smile.

During the endline workshop some key organisational capacity changes were brought up by Smile's staff: improved fundraising capacity and improved capacity to organise trainings for CBOs. The evaluators considered it important to also note down the SPO's story and this would also provide more information about reasons for change, which were difficult to get for the individual indicators. Also for some issues there may not have been relevant indicators available in the list of core indicators provide by the evaluation team. These changes happened to overlap with the key changes that were selected to process tracing. The changing donor environment was one of the most important underlying changes for the improved fundraising capacity. Dwindling foreign funding but also new opportunities like the CSR Bill have led to the need to diversify funding strategies, which has influenced Smile in organising its communication and fundraising departments but also in identifying the need for trainings. The MFS II funding of Wilde Ganzen (that combined a deliberate dwindling of foreign funding with investments in Smile's branding and marketing) also played an important role in both the key changes. This will further be explained below in 5.3.

5.3 Attributing changes in organisational capacity development to MFS II

This section aims to provide an answer to the second and fourth evaluation questions:

2. *To what degree are the changes identified in partner capacity attributable to development interventions undertaken by the MFS II consortia (i.e. measuring effectiveness)?*
4. *What factors explain the findings drawn from the questions above?*

To address the question of attribution it was agreed that for all the countries in the 5C study, the focus would be on the capability to act and commit and the capability to adapt and self-renew, with a focus on MFS II supported organisational capacity development interventions that were possibly related to these capabilities. 'Process tracing' was used to get more detailed information about the changes in these capabilities that were possibly related to the specific MFS II capacity development interventions.

During the baseline there were a few interventions planned under the capability to adapt and self-renew. These were: participation in director's meetings to exchange challenges and successes, monitoring visits by Wilde Ganzen and continuous email exchange between Smile and Wilde Ganzen to solve problems. There were however only minor changes observed in Smile's capability to adapt and self-renew and these changes were not linked to MFS II interventions based on document review and according to discussions with the SPO and CFA. As from the beginning there was no observable link between these MFS II and Smile's improved capability to adapt and self-renew, these interventions and changes were not further looked into during 'process tracing.'

The organisational capacity changes that were focused on were:

- improved fundraising capacity;
- improved capacity to organise trainings for CBOs.

Both of these organisational change areas fall in the capability to act and commit. The organisational capacity change areas that were chosen are based on document review as well as discussions with the SPO and CFA. Each of these organisational capacity changes is further discussed below.

The following issues are discussed for the MFS II funded activities that are related to the above mentioned organisational capacity changes:

a. Design: the extent to which the MFS II supported capacity development intervention was well-designed. (Key criteria: relevance to the SPO; SMART objectives)
b. Implementation: the extent to which the MFS II supported capacity development was implemented as designed (key criteria: design, according to plans during the baseline);
c. Reaching objectives: the extent to which the MFS II capacity development intervention reached all its objectives (key criteria: immediate and long-term objectives, as formulated during the baseline);
d. the extent to which the observed results are attributable to the identified MFS II supported capacity development intervention (reference made to detailed causal map, based on 'process tracing').

Please note that whilst (d) addresses the evaluation question related to attribution (evaluation question 2), the other three issues (a, b and c) have been added by the synthesis team as additional reporting requirements. This was done when fieldwork for the endline process had already started, and therefore inadequate information is available on this. Then again, this wasn't the purpose of this 5c evaluation.

Improved fundraising capacity.
The following MFS II capacity development interventions were mentioned by Wilde Ganzen and were linked to the key organisational capacity "improved fundraising capacity":

1. Participation in international Director's Meeting, once every year;
2. Yearly international exchange visit of Smile AfC staff;
3. Financial contributions to branding and marketing of Smile

Participation in international Director's Meeting, once every year
Design
The immediate effect of this intervention that was formulated during the baseline was the same as for the other MFS II funded capacity development interventions: "to exchange successes and challenges among the AfC partners and to contribute to efficient and effective involvement of AfC staff, especially through the international contacts." Wilde Ganzen specified that with "AfC partners" they mean CESE in Brazil, Smile in India, Soul City Institute in South Africa and KCDF in Kenya. With "AfC staff" they mean "those of the staff of each AfC partner actively involved with the implementation of the AfC programme in their country." With "international contacts" Wilde Ganzen means for Smile, contact with the three other AfC partners mentioned in previously. The long term effect that was formulated was: "fully India- financed AfC programme for Smile by 2020, independent from foreign aid." By "fully India financed" Wilde Ganzen meant that in 2020 the planned number of new local projects [to be found in the monitoring protocol of the application] would be funded completely by a combination of local funding (raised by the CBOs and other beneficiary organisations of Smile) and contribution from Smile itself. The number of projects was set, the amount of money involved was set, the percentage of independence (100 %) was set and the time was set (2020).

These effects were relevant for Smile, as during the baseline workshop discussions the organisation formulated the condition "established fund raising ability" in order to achieve their goal for the next five years: "improved capacity to achieve international presence and sustainability." Working on international contacts to in the end secure financing for the AfC programme of Smile, is in line with these objectives.

These expected effects were to some extent formulated in a SMART way (specific, measurable, achievable, relevant and time-bound). The long term effect is specific (number of projects etc. was set), measurable (100 % independence and amount of money set), achievable (probably), relevant (as explained above) and time bound (by 2020). The immediate effect is not very specific: what is understood by efficient and effective involvement? It is also not measurable nor time-bound. Then again, the evaluation team did not ask the CFA for SMART objectives specifically, but rather asked about the expected or observed immediate and long term effects of the interventions.

Implementation
Yearly Director's meetings were planned during the baseline and these have also been implemented. Each year multiple staff of Smile participated, as was anticipated. Detailed plans on the content of these meetings are lacking, but detailed minutes of the meetings are in place.

Reaching objectives
The focus of this evaluation has been the role of the MFS II funded capacity development interventions in the key organisational capacity changes that were identified, and explain in a detailed causal map. The Director's Meetings came up in the map and narrative on the organisational capacity change 'improved fundraising capacity'. In this regard we can conclude that these meetings were useful as there were in-depth discussions around fundraising and that this was an excellent platform for sharing experiences which led to improved knowledge and skills on branding and fundraising.

With regard to the immediate and long-term objectives that were formulated during the baseline, though not the focus of this evaluation, we observe and the CFA confirms that the immediate objective of "to exchange successes and challenges among the AfC partners and to contribute to efficient and effective involvement of AfC staff, especially through the international contacts" has been achieved. Smile has had exchanges of successes and challenges with the other AfC partners: KCF, Soul City and CESE during the Director's Meetings, as can be seen in the minutes of these meetings. According to the CFA and the SPO, the staff of Smile who have been involved in AfC (mostly the CEO, COO, the AfC coordinator, the coordinator of programs, and the Head of Finance) were all very efficiently and effectively involved and the Directors Meetings have certainly helped in this. The CFA also states that it helped that Smile was very consistent in sending the same people every year, which was efficient (no loss of time because they couldn't grasp all the subjects under discussion) and effective (staff of Smile for instance always gave a quick and good follow up to actions agreed at the Directors Meeting, more so than any of the other partners or even Wilde Ganzen itself). The long term objective has not yet been reached, as it was set for 2020.

Yearly international exchange visit of Smile AfC staff
Design
The immediate objective of this intervention that was formulated during the baseline was the same as the other MFS II funded capacity development interventions: "to exchange successes and challenges among the AfC partners and to contribute to efficient and effective involvement of AfC staff, especially through the international contacts." The long term effect that was formulated was: "fully India-financed AfC programme for Smile by 2020, independent from foreign aid." For the full explanation of the objectives see "*Participation in international Director's Meeting"* above.

The immediate and long term effects of this intervention are the same as for the previous intervention, they are relevant for Smile but partly formulated in a SMART way. Then again, the evaluation team did not ask the CFA for SMART objectives specifically, but rather asked about the expected or observed immediate and long term effects of the interventions.

Implementation
During the baseline it was unclear to which partner the exchange visits would be and when, this is because Smile itself takes the initiative and hands in a proposal for a visit to Wilde Ganzen, which they can then decide to fund.

Reaching objectives
The focus of this evaluation has been the role of the MFS II funded capacity development interventions in the key organisational capacity changes that were identified, and for which a detailed causal map has been developed. The exchange visits came up in the map and narrative on the organisational capacity change ' improved fundraising capacity'. In this regard we can conclude that these exchange visits enhanced Smile's knowledge on brand communication strategies, fundraising ideas, donor retention strategies and high value institutional fundraising which led to improved knowledge and skills on branding and fundraising.

Though not the focus of this evaluation, we can provide an indication of the extent to which the objectives as formulated during the baseline and endline have been achieved, The immediate objective was "to exchange successes and challenges among the AfC partners and to contribute to efficient and effective involvement of AfC staff, especially through the international contacts." Both the CFA and the SPO feel that this immediate objective has been achieved, as the exchange visits helped to increase the motivation of AfC staff of Smile for the programme and for working with Smile. These visits, according to the CFA also led to improvements in the areas studied during each exchange visit, although such improvements can hardly ever be attributed to one exchange visit only. Exchange visits can either help trigger a new process or new ideas, or strengthen an ongoing process. Finally the exchange visits helped in finding practical solutions (those used by the other AfC partners) to concrete bottlenecks encountered during the implementation of AfC (e.g. what to do if a local beneficiary organisation does not raise their 50 % of the funding for the local project?). The long term objective has not yet been reached, as it was set for 2020.

Financial contributions to branding and marketing of Smile
Design
During the baseline the following intervention was mentioned "the AfC program includes (financial) means to develop further in-country fundraising capacity, in order to make the program gradually independent from foreign involvement." These financial means were in this case used as a branding and marketing budget that was 35 percent of Smile's total marketing budget, used at their own discretion. Together with the interventions mentioned above the immediate effect of this intervention would also be: "to exchange successes and challenges among the AfC partners and to contribute to efficient and effective involvement of AfC staff, especially through the international contacts." The long term effect that was formulated was: "fully India- financed AfC programme for Smile by 2020, independent from foreign aid." These objectives have been further explained under "*Participation in international Director's Meeting, once every year."* During the endline Wilde Ganzen mentioned that an immediate objective of this intervention was to position Smile in society to be able to raise more funds. A longer term effect that the CFA identified was: a more diversified funding base, continued expansion of volume of aid raised domestically and provided by Smile to CBOs and NGOs, Smile part of top 10 or even top 5 of biggest development NGOs in India.

These effects, both those formulated during the baseline and endline were again very relevant for Smile. During the baseline workshop discussions the organisation formulated the condition "established fund raising ability" in order to achieve their goal for the next five years: "improved capacity to achieve international presence and sustainability." Working on branding and marketing to increase visibility to in the end secure financing for the AfC programme of Smile, is in line with these objectives.

The objectives or effects of this interventions as formulated during the baseline were to some extent formulated in a SMART way. The immediate objective formulated during the endline was not very specific and how do you measure whether your organisation has positioned itself? The longer term objectives are also not very specific, measurable (except for Smile in top 5 or 10 and 'continued expansion of volume of aid raised domestically and provided by Smile to CBOs and NGOs') and time-bound. Then again, the evaluation team did not ask the CFA for SMART objectives specifically, but rather asked about the expected or observed immediate and long term effects of the interventions.

Implementation
Smile could use the funding for marketing and branding of their organisation as they seemed fit, and so they did. These funds are for example being used for Smile's TV show on a national channel in which children from the target group of Smile play a role: they explain their problems, sing and dance. This has helped in making Smile more known. It is not known for which specific other branding and marketing activities this budget has been used.

Reaching objectives
The focus of this evaluation has been the role of the MFS II funded capacity development interventions in the key organisational capacity changes that were identified, and which are further explained in the detailed causal map. The financial contributions to branding and marketing of Smile came up in the map and narrative on the organisational capacity change ' improved fundraising capacity'. In this regard we can conclude that the financial contributions of Wilde Ganzen led to brand development and positioning of Smile.

Though not the focus of this evaluation, we can provide an indication of the extent to which the objectives as formulated during the baseline and endline, have been achieved. The immediate objective as formulated during the baseline "to exchange successes and challenges among the AfC partners […]" does not seem to be achieved. The CFA confirms that this was not the immediate objective of this intervention. Rather it was, as formulated during the endline, "to position Smile in society to be able to raise more funds", has according to the CFA been reached as the number of people having heard of Smile has increased over the years and the number of corporates that donate has also grown. The overall income of Smile has gradually grown too.

Attribution of observed results to MFS II interventions
The improved fundraising capacity of Smile, which was one of the two key organisational changes over the last two years can to some extent be attributed to MFS II organisational capacity development support. Fundraising capacity improved because of an improved functioning of the fundraising department and increased visibility and credibility (see also section 4.3). The improved functioning of the fundraising department resulted from internal organisational factors like hiring new staff and improving interdepartmental communication, but was also due to improved knowledge on branding and fundraising acquired at several trainings and meetings on branding and fundraising. This is where MFS II support to organisational capacity development of Smile played a role, especially the director's meetings and yearly exchange visits The Director's meetings made the need to diversify the donor base very clear and also the idea to work on fundraising from individual donors was discussed here, while Smile had been trying to work on that for a while. However, the improved knowledge on branding and fundraising was also due to at least three other trainings funded by other funders (Institute of Rural Management Anand (in 2011), Quantum Leap Performance Solutions Bangalore (in 2011) and South Asian Fundraising Group (1st Quarter of 2012)). In addition to the above-mentioned MFS II capacity development interventions that were planned for during the baseline, the improved knowledge on branding and fundraising was also due to two other important trainings that were not mentioned during the baseline by the CFA but that were funded by MFSII. One of these trainings was on fundraising from PSU's which played a role in improving knowledge and skills on fundraising from other sources. The other one was a three day workshop for all staff on on Fundraising, Leadership, Program Management & Governance, Brand Development and Media Advocacy, with a special session for the national fundraising team of Smile on new ways of fundraising for raising premium and organizational cost. This last training led to more efficiency in Smile's fundraising. The hiring of new fundraising staff and in improved interdepartmental integration cannot directly be attributed to MFS II capacity development interventions, but an underlying change in terms of dwindling donor funding, including from Wilde Ganzen (the contract end in 2015, while until September 2014 it was not known whether there would be a new contract) has played an important role in the organisation to strengthen their fundraising capacity.
The fundraising capacity of Smile also improved because of increased visibility and credibility of Smile. This was mainly due to developing and positioning its brand as well as to improved internal and external reporting. This brand development and positioning was partly a result of the contribution of Wilde Ganzen to Smile's marketing budget (around 35 %) and to the knowledge and skills on branding

they acquired through trainings funded by MFS II and other funders as mentioned above. The improved internal and external reporting cannot be attributed to MFS II capacity development interventions that took place after the baseline in 2012.

While Smile's fundraising capacity improved and also the funds raised for their projects increased, they still struggle to raise funds for their own administrative costs. This is something that all NGOs deal with, and the MFS II interventions to strengthen the fundraising capacity of Smile still have to come into effect in terms of raising adequate funds .

The drive to improve the fundraising capacity can also be attributed to a more underlying factor that the overall foreign funding is dwindling, including the fact that the contract with Wilde Ganzen is nearing its end and until September 2014 it was not yet known whether WG could continue funding Smile after 2015.This dwindling of foreign funding and the CSR Bill, led to a need for new funding strategies which had an effect on most of the initiatives Smile has taken to improve its fundraising capacity, including: hiring new staff and sending staff to trainings on branding and fundraising.

All in all, MFS II supported capacity development interventions have played an important role in improving the fundraising capacity of Smile, particularly its improved knowledge and skills on branding and fundraising can be greatly attributed to MFS II funding and its brand development and positioning.

Among the two underlying factors that have led to Smile's improved fundraising capacity, namely improved functioning of the fundraising department and, increased visibility and credibility, the first one has played a more important role. This change, improved functioning of the fundraising department, was due to new fundraising staff, improved interdepartmental communication and improved knowledge and skills on branding and fundraising. While MFS II has played a big role in improving the knowledge and skills, the internal changes of hiring new fundraising staff and improving the communication between the fundraising, programme and communication departments has played an even more important role.

Improved capacity to organise trainings for CBOs
The following MFS II funded capacity development interventions were mentioned by Wilde Ganzen and were linked to the key organisational capacity "Improved capacity to organise trainings for CBOs":

1. Funding of a 3-day capacity development workshop organised by Smile on organisational capacity and local fundraising for CBO's, in July 2013, with observation and recommendations report from a by WG hired Dutch consultant.
2. Funding of a capacity development workshop for 100 participants organised by Smile on local fundraising and mobilising support (other than financial support) (lobby & advocacy), in January 2014, with observations by WG hired Dutch consultants and 1 WG staff.

3-day capacity development workshop in July 2013 on organisational capacity and local fundraising for CBOs with observations and feedback from WG hired Dutch consultant
Design
This specific intervention was not planned during the baseline by the CFA. The training report mentions the following objectives: to identify strengths and points for improvement for the training and to share these with Smile Foundation, to discuss with Smile Foundation lessons learnt and how to use them for the development of the training programme in India, to share lessons learnt and possible use for the programmes in the other countries with Wild Geese. The long term effect the CFA mentions in the endline support to capacity development sheet is: "income generation by using training capacity and methodologies developed for offering training to partner organisations of other donors."

These objectives were relevant for Smile as improved sustainability of their organisation is their goal for the next years. Providing these trainings to CBOs can be a source of income, but the topics they train the CBOs in include local fundraising, so that in the end the CBOs become more capable in local fundraising which aids the sustainability of Smile as an organisation. The model behind the AfC programme and the rationale behind the Social Venture Philanthropy philosophy of Smile is that they provide funding for CBOs but that the organisations themselves also have to come up with part of the

funding through local fundraising. Improving the training programme is therefore a very relevant objective for Smile

The objectives of this training given by Smile with feedback from Wilde Ganzen hired consultants were not formulated in a SMART way. Then again, the evaluation team did not ask the CFA for SMART objectives specifically, but rather asked about the expected or observed immediate and long term effects of the interventions.

Implementation
This intervention was not planned for during the baseline and details about the specific design cannot be provided, since this wasn't the focus of the evaluation. However, the training itself did take place in July 2013 and from the training report it can be concluded that the training was implemented as designed. It dealt with the following topics: local fundraising for sustainability, project management, communication and brand building for sustainability, effective leadership for organizational development & strengthening, good governance for organizational development & strengthening, and building organizational competences – 5 c model.

Reaching objectives
The focus of this evaluation has been the role of the MFS II funded capacity development interventions in the key organisational capacity changes that were identified, as explained in the detailed causal map. The 3-day capacity development workshop in July 2013 of Smile came up in the map and narrative on the organisational capacity change: improved capacity to organise trainings for CBOs. In this regard we can conclude that the feedback that Smile received from Wilde Ganzen hired consultants helped to improve Smile's capacity to develop trainings for CBOs.

Though not the focus of this evaluation, we can provide an indication of the extent to which the objectives as formulated during the baseline and endline, have been achieved. The immediate objectives were "to identify strengths and points for improvement for the training and to share these with Smile Foundation, to discuss with Smile Foundation lessons learnt and how to use them for the development of the training programme in India, to share lessons learnt and possible use for the programmes in the other countries with Wild Geese." According to the CFA and the SPO the training methodology improved and Smile increased their network with the Indian capacity building organisation Dasra. Therefore this immediate objective has been achieved to some extent. However, the CFA also states that this workshop has to be seen as one in a series of workshops. The workshop in January 2014 was the next step. The long term objective of generating income by offering these types of trainings to partner organisations has not yet been reached. To achieve this long term objective MDF consultants are constructing Training of Trainers Courses. After the Train the Trainers Courses have been developed and given to Smile staff, and Smile has created a Trainers Pool or Unit, the organisation can start offering trainings and generate income. Though not a stated aim of the AfC programme, income generation from capacity building workshop can be a possible outcome of the new programme according to Smile.

Capacity development workshop for organised by Smile on local fundraising and mobilising support (other than financial support) (lobby & advocacy) for CBOs, in January 2014, with observations by WG hired Dutch consultants and 1 WG staff.
Design
This specific intervention was not planned for during the baseline by the CFA. Details about the specific design cannot be provided, since this wasn't the focus of the evaluation. Objectives of this interventions could not be found in the minutes of the evening sessions in which the feedback was given by the consultants and WG staff member. The long term effect the CFA expects, as mentioned in the endline support to capacity development sheet, is: ability to develop own programmes on mobilising support (other than financial support).

The long term expected effect is relevant for Smile as improved sustainability of their organisation is their goal for the next years and as Smile may become involved in the Change the Game programme of Wilde Ganzen that they are developing now and in this way secure some funding for the future. As mobilising support (other than financial support) is part of this new programme, Smile's ability to

develop their own programmes on mobilising support (other than financial support) will help Smile to not only participate in the Change the Game programme but also approach new donors for funding.

The expected effect was not formulated in a SMART way (specific, measurable, achievable, relevant and time-bound). Then again, the evaluation team did not ask the CFA for SMART objectives specifically, but rather asked about the observed immediate and expected long term effects of the interventions.

Implementation

This intervention was not planned during the baseline and details about the specific design cannot be provided, since this wasn't the focus of the evaluation. Therefore, no judgement can be made on whether this intervention was implemented as designed. However, the training itself did take place in January 2014. It dealt with the following topics: local fundraising, mobilising support (other than financial support) and lobby & advocacy for CBOs.

Reaching objectives

The focus of this evaluation has been the role of the MFS II funded capacity development interventions in the key organisational capacity changes that were identified, as explained in the detailed causal map. The 3-day capacity development workshop in January 2014 of Smile came up in the map and narrative on the organisational capacity change: improved capacity to organise trainings for CBOs. In this regard we can conclude that the feedback that Smile received from Wilde Ganzen hired consultants helped to improve Smile's capacity to develop trainings for CBOs.

Though not the focus of this evaluation, we can provide an indication of the extent to which the objectives as formulated during the baseline and endline, have been achieved. The immediate effects of this workshop that the CFA observed were: a request to the AfC programme to facilitate the participation of Smile staff to follow a Train the Trainers course at MDF; decreased fear of working with (local) government, willingness to participate also in the "Mobilising Support" part of the new Change the Game programme. According to the CFA, Smile became convinced that mobilising support by CBOs versus local government was feasible, when Smile staff is properly trained in this to train the CBOs. The training of MDF will be given in the spring of 2015 to all relevant Smile staff as indicated by Smile (around 8 persons preferably). The long term objective of Smile developing their own programmes on mobilising support has not yet been reached, as the manner in which to take this forward is still under discussion and development.

Attribution of observed results to MFS II funded capacity development interventions

The increased capacity to organise trainings for CBOs, which was the second key organisational capacity change that happened over the last two years can to a large extent be attributed to MFS II organisational capacity development support by Wilde Ganzen. This capacity improved because of a well-trained dedicated team that looks after the CBOs, feedback on trainings that Smile organised and learning from experience in conducting workshops (see also section 4.3). The well-trained dedicated team working with CBOs resulted on the one hand from an internal organisational factor: the redesign and restructuring of the organisation, but on the other hand was also an effect of trainings and exposure visits for this team that were funded by MFS II, feedback on trainings from consultants hired by Wilde Ganzen and learning from experience in conducting workshops that were funded by MFS II.

Under the trainings and exposure visits supported by MFS II, the Director's Meetings that were mentioned under the previous capacity change also played a role. This meeting set the tone for innovations on empowering grassroots and brand building. Smile's CBO team after the 2013 meeting, started improving the quality of the capacity building programme to empower the grassroots. Another training that falls under this is the three day capacity building workshop hat was organised for all Smile's staff, which was not planned for during the baseline but was funded by MFS II (Wilde Ganzen). This training helped the CBO team to train the CBOs as they could use the topics discussed during this workshop in the trainings they organised for CBOs. As far as the evaluation team could gather from information provided by Smile and Wilde Ganzen, there were no trainings on the same topics that were funded by other funders.

MFS II also played a role in the feedback provided on trainings which both directly and indirectly through the CBO team had an effect on Smile's increased capacity to organise trainings for CBOs. The

first training Smile received feedback on is the "Empowering Grassroots Capacity Building training" for CBOs in July 2013. This is the first MFS II capacity development intervention mentioned above under this capacity change. MFS II funding played a role in this feedback as Wilde Ganzen facilitated the feedback on the trainings from its own consultant and the participants. There was a second training in January 2014, which was a consequence of the July 2013 workshop to pilot a workshop on mobilising support (other than financial support). This is the second MFS II intervention mentioned under this capacity. Smile also received feedback from participants, the WG consultants and a WG staff member, and staff from the AfC partner organisation from Brazil on this trainings. This has helped Smile improve its capacity to organised trainings for CBOs and has also strengthened the CBO team. As far as the evaluation team could gather from information provided by Smile and Wilde Ganzen, there were no other funders that have provided this type of feedback to Smile.

Another factor to which a strengthened CBO team for Smile's increased capacity to organise trainings for CBOs can partly be attributed, included simply the learning from experience in conducting and organising these workshops. The two workshops above were part of a series of 7 workshops that Smile has organised since the baseline, that were all funded by MFS II.

All in all, MFS II supported capacity development interventions have played an important role in improving the capacity of Smile to organize trainings for CBO, particularly in terms of enhancing the competencies of a now well-trained CBO team. This can largely be attributed to MFS II funded training, consultant feedback on their training and facilitation and the experience that Smile gained in organizing these trainings. The only other change that led to a dedicated and well-trained CBO team is the "redesign and restructuring of the organization", which cannot be attributed to MFS II supported capacity development interventions. This change has played a less important role in the improvement in the CBO team, therefore more weight is given to the changes that can be attributed to MFS II supported capacity interventions, namely trainings, consultant feedback and the experience Smile got through giving trainings funded by MFS II.

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AfC Narrative Reporting 2013 SMILE delivered 20140210.doc
Annual Plan 2012 Smile.docx
Appendix 32 Outline Proposal Action for Children - Alliantie Together for change.pdf
Contract Smile.pdf
Empowering Grassroots_jul2013_draft.docx
Media Coverage Report - Empowering Grassroots.pdf
Minutes of evening sessions Change the Game meeting Bangalore, India, January 2014.docx
Minutes evening meetings Kisumu 2013.pdf
Minutes of AfC meeting Mombasa 17-10-2012.docx
Monitoring visit Smile by Esther Haalstra.doc
Monitoringvisit WildeGanzen at Smile April 2014.doc
Narrative -annual report AFC Smile 2011 (f).docx
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Quarterly Financial Reporting AfC Q4_2012 SMILE delivered 20130205 Updated - financial monitoring.pdf
Quarterly Financial Reporting AfC Q4_2012 SMILE delivered 20130205 Updated - fundraising results.docx
Quarterly Financial Reporting AfC Q4_2012 SMILE delivered 20130205 Updated - fundraising results.pdf
Quarterly Financial Reporting AfC Q4_2012 SMILE delivered 20130205 Updated.xls
Report on Exchange Learning Visit with KCDF by Smile.doc
Smile exchange with Soul city.doc
SMILE Financial report-Q4 2011 aangeleverd 20120206 met 3 maands gem koers.pdf
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Smile Foundation-Narrative 2012.doc
Smile's exchange with Cese.docx
Summary of T4C 5C Smile 2013.docx
WG Quarterly Financial Reporting AfC Q4_2013 SMILE delivered 20140210 FINAL fundraising results.docx
WG Quarterly Financial Reporting AfC Q4_2013 SMILE delivered 20140210 FINAL.pdf
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120116 T4C 5C Smile 2013 delivered 20140210 .xls
120116 T4C 5C Smile 2013 delivered 20140210.docx
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AFC Directors Meet 2011 (final).doc
Copy of Staff Training (Robert Bhatra's conflicted copy 2014-05-09).xls
Copy of Staff Training.xls
Evaluation -Final Report Smile Foundation 2010.doc
Organogram.docx
Outline AfC Narrative Reporting 2013-1st Quarter.doc
Outline AfC Narrative Reporting 2014.doc
Outline Narrative -annual report AFC (f).docx
Project information doc_IPER.docx
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Quarterly Financial Reporting AfC Q2_2012 SMILE 1(1).xls
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REPORTING SCHEDULE.doc
Smile Foundation-Narrative 2012.doc
Smile Staff Training 2012-2013.doc
Summary of documents & ppts related to fundraising & communication.docx
Thank you cards.docx
WG Quarterly Financial Reporting AfC Q4_2013 SMILE - fundraising results.pdf
WG Quarterly Financial Reporting AfC Q4_2013 SMILE.pdf

WG Quarterly Financial Reporting AfC Q4_2013 SMILE.xls
WILDE GANZEN Anti fraud and Sanction policy.docx
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Hospitality Biz India __ CSR_ Practice What You Preach.pdf
HR PPT Goals Work Plan 2014.pdf
IP-2014.pdf
Presentation - Content & Creative.pdf
Sandip. Comm. 21052014.pdf
STeP_2012 (operational guidelines).pdf
techecomm_2014.pdf
Thank you and Spot the hero card.jpg
The New Indian Express.jpg
Corporate Partnerships.ppt
External Communication 2014 - 2015.ppt
IP-2014.ppt
Presentation - Content & Creative.ppt
Sandip. Comm. 21052014.ppt
techecomm_2014.ppt
HR PPT Goals Work Plan 2014.pptx
afc contract2011-15.doc
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Outline Annual Plan AFC programme 2013.doc
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Empowering Grassroots_jul2013_draft.docx
Minutes of evening sessions Change the Game meeting Bangalore, India, January 2014.docx
Minutes of AfC meeting Mombasa 17-10-2012.docx
Report workshop March 3-7 2014.docx
Smile's exchange with Cese.docx
Vijay Karnataka.docx
Contract Smile.pdf
Corporate Partnerships.pdf
External Communication 2014 - 2015.pdf

Fieldwork data:
Appendix K_5c endline workshop_key changes and factors_SPO perspective_India_SMILE.docx
5c endline observation sheet - observations by in-country evaluators during the endline capacity assessment at the SPO_SMILE.docx
5c endline self-assessment India Smile - Program staff.docx
5c endline self-assessment sheet_Group II management_India_SMILE.docx
5c endline self-assessment sheet_Group II management_India_SMILE_NB.docx
5 C Endline Assessment - Group - I - management - Smile - India.doc
5C Endline Assessment - India Smile - field staff.docx
5C endline self-assesment India Smile -HRM and admin.docx
5c endline_questionnaire_training_participant_perspective_India_Smile_name_SMILE_Satnam Singh (Chief Manager - Programmes participant.docx
5c endline_questionnaire_training_participant_perspective_India_Smile_namep_SMILE_Bipasha Patnaik(Chief Manager - Programmes) participant.docx
5c endline_questionnaire_training_participant_perspective_India_Smile_namep_SMILE_Kavita Tiwari (Resource Mobilization) participant.docx
ATTENDANCE SHEET for SMIEL 14-16 May Workshop.docx

5C endline_support to capacity development sheet_CFA perspective_India_SMILE_WildeGanzen_NB_ interview.docx
final 5c endline_assessment sheet_Dutch co-financing organisations_India_SMILE_WildeGanzen _NB_interview.docx

List of Respondents

Smile staff:

SL.NO	NAME	DESIGNATION	14th May	15th May	16th May
1.	Vikram Singh Verma	COO	Present	Present	Present
2.	Sandip Nayak	AGM (Fund raising and communication)	Present	Present	Present
3.	Pratap Roy	AGM (Finance)	Present	Present	Present
4.	Swatantra Gupta	National Manager (Corporate partenership)	Present	Present	Present
5.	Puja Trisal	GM - Programmes	Present	Present	Present
6.	Hema Malhotra	Manager (HR)	Present	Present	Present
7.	Rajeev Sharma	GM - Corporate Partnerships	Present	Present	Present
8.	Satnam Singh	Chief Manager - Programmes	Present	Present	Present
9.	Bipasha Patnaik	Chief Manager - Programmes (STeP)	Present	Present	Present
10.	Joieta Rajput	Manager – Corporate Partnership	Present	Present	Present
11.	Kavita Tiwari	Manager - Alliance	Present	Present	Present
12.	Sonia Tohan	Finance & Accounts	Present	Present	Present
13.	K.M. Srivastava	Finance & Accounts	Present	Present	Present
14.	Prashant Mishra	Finance & Accounts	Present	Present	Present
15.	Swagata Sengupta	HR	Present	Present	Present
16.	Ashok Mohapatra	AM – TECH & DIGITAL COMMUNICATION	Present	Present	Present
17.	Prashant Kumar	Placement Officer - Programme	Present	Present	Present
18.	Vivek	Sr. Executive - Programme	Present	Present	Present
19.	Uttam Dutta	Officer - Programme	Present	Present	Present
20.	Akanksha Rawat	Associate - Communication	Present	Present	Present

CFA

Robert Wiggers, Deputy director; Manager of programs and strategic policy at Wilde Ganzen. Interviewed on 3 April 2014.

Others

Ira Das, OD Consultant, providing support in mentoring and staff appraisal. Interviewed on 20 May 2014.

Appendix 1 Methodological approach & reflection

1. Introduction

This appendix describes the methodological design and challenges for the assessment of capacity development of Southern Partner Organisations (SPOs), also called the '5C study'. This 5C study is organised around four key evaluation questions:

1. What are the changes in partner organisations' capacity during the 2012-2014 period?
2. To what degree are the changes identified in partner capacity attributable to development interventions undertaken by the MFS II consortia (i.e. measuring effectiveness)?
3. Were the efforts of the MFS II consortia efficient?
4. What factors explain the findings drawn from the questions above?

It has been agreed that the question (3) around efficiency cannot be addressed for this 5C study. The methodological approach for the other three questions is described below. At the end, a methodological reflection is provided.

In terms of the attribution question (2), 'process tracing' is used. This is a theory-based approach that has been applied to a selected number of SPOs since it is a very intensive and costly methodology, although it provides rich information and can generate a lot of learning within the organisations. This approach was presented and agreed-upon during the synthesis workshop on 17-18 June 2013 by the 5C teams for the eight countries of the MFS II evaluation. A more detailed description of the approach was presented during the synthesis workshop in February 2014. The synthesis team, NWO-WOTRO, the country project leaders and the MFS II organisations present at the workshop have accepted this approach. It was agreed that this approach can only be used for a selected number of SPOs since it is a very intensive and costly methodology. Key organisational capacity changes/ outcomes of the SPO were identified, based on their relationship to the two selected capabilities, the capability to act and commit the capability to adapt and self-renew, and an expected relationship with CFA supported capacity development interventions (MFS II funding). It was agreed to focus on these two capabilities, since these are the most targeted capabilities by the CFAs, as established during the baseline process.

Please find below an explanation of how the above-mentioned evaluation questions have been addressed in the 5C evaluation.

Note: the methodological approach is applied to 4 countries that the Centre for Development Innovation, Wageningen University and Research centre is involved in in terms of the 5C study (Ethiopia, India, Indonesia, Liberia). The overall approach has been agreed with all the 8 countries selected for this MFS II evaluation. The 5C country teams have been trained and coached on this methodological approach during the evaluation process. Details specific to the SPO are described in chapter 5.1 of the SPO report. At the end of this appendix a brief methodological reflection is provided.

2. Changes in partner organisation's capacity – evaluation question 1

This section describes the data collection and analysis methodology for answering the first evaluation question: **What are the changes in partner organisations' capacity during the 2012-2014 period?**

This question was mainly addressed by reviewing changes in 5c indicators, but additionally a 'general causal map' based on the SPO perspective on key organisational capacity changes since the baseline

has been developed. Each of these is further explained below. The development of the general causal map is integrated in the steps for the endline workshop, as mentioned below.

During the baseline in 2012 information has been collected on each of the 33 agreed upon indicators for organisational capacity. For each of the five capabilities of the 5C framework indicators have been developed as can be seen in Appendix 2. During this 5C baseline, a summary description has been provided for each of these indicators, based on document review and the information provided by staff, the Co-financing Agency (CFA) and other external stakeholders. Also a summary description has been provided for each capability. The results of these can be read in the baseline reports.

The description of indicators for the baseline in 2012 served as the basis for comparison during the endline in 2014. In practice this meant that largely the same categories of respondents (preferably the same respondents as during the baseline) were requested to review the descriptions per indicator and indicate whether and how the endline situation (2014) is different from the described situation in 2012.[5] Per indicator they could indicate whether there was an improvement or deterioration or no change and also describe these changes. Furthermore, per indicator the interviewee could indicate what interventions, actors and other factors explain this change compared to the baseline situation. See below the specific questions that are asked for each of the indicators. Per category of interviewees there is a different list of indicators to be looked at. For example, staff members were presented with a list of all the indicators, whilst external people, for example partners, are presented with a select number of indicators, relevant to the stakeholder.

The information on the indicators was collected in different ways:

6) **Endline workshop at the SPO - self-assessment and 'general causal map'**: similar to data collection during the baseline, different categories of staff (as much as possible the same people as during the baseline) were brought together in a workshop and requested to respond, in their staff category, to the list of questions for each of the indicators (self-assessment sheet). Prior to carrying out the self-assessments, a brainstorming sessions was facilitated to develop a 'general causal map', based on the key organisational capacity changes since the baseline as perceived by SPO staff. Whilst this general causal map is not validated with additional information, it provides a sequential narrative, based on organisational capacity changes as perceived by SPO staff;
7) **Interviews with staff members**: additional to the endline workshop, interviews were held with SPO staff, either to provide more in-depth information on the information provided on the self-assessment formats during the workshop, or as a separate interview for staff members that were not present during the endline workshop;
8) **Interviews with externals**: different formats were developed for different types of external respondents, especially the co-financing agency (CFA), but also partner agencies, and organisational development consultants where possible. These externals were interviewed, either face-to-face or by phone/Skype. The interview sheets were sent to the respondents and if they wanted, these could be filled in digitally and followed up on during the interview;
9) **Document review**: similar to the baseline in 2012, relevant documents were reviewed so as to get information on each indicator. Documents to be reviewed included progress reports, evaluation reports, training reports, etc. (see below) since the baseline in 2012, so as to identify changes in each of the indicators;
10) **Observation**: similar to what was done in 2012, also in 2014 the evaluation team had a list with observable indicators which were to be used for observation during the visit to the SPO.

Below the key steps to assess changes in indicators are described.

Key steps to assess changes in indicators are described

16. Provide the description of indicators in the relevant formats – CDI team
17. Review the descriptions per indicator – in-country team & CDI team

[5] The same categories were used as during the baseline (except beneficiaries, other funders): staff categories including management, programme staff, project staff, monitoring and evaluation staff, field staff, administration staff; stakeholder categories including co-financing agency (CFA), consultants, partners.

18. Send the formats adapted to the SPO to CFA and SPO – in-country team (formats for SPO) and CDI team (formats for CFA)
19. Collect, upload & code the documents from CFA and SPO in NVivo – CDI team
20. Organise the field visit to the SPO – in-country team
21. Interview the CFA – CDI team
22. Run the endline workshop with the SPO – in-country team
23. Interview SPO staff – in-country team
24. Fill-in observation sheets – in-country team
25. Interview externals – in-country team
26. Upload and auto-code all the formats collected by in-country team and CDI team in NVivo – CDI team
27. Provide to the overview of information per 5c indicator to in-country team – CDI team
28. Analyse data and develop a draft description of the findings per indicator and for the general questions – in-country team
29. Analyse data and develop a final description of the findings per indicator and per capability and for the general questions – CDI team
30. Analyse the information in the general causal map –in-country team and CDI-team

Note: the CDI team include the Dutch 5c country coordinator as well as the overall 5c coordinator for the four countries (Ethiopia, India, Indonesia, Liberia). The 5c country report is based on the separate SPO reports.

Below each of these steps is further explained.

*Step 1. Provide the **description of indicators** in the relevant formats – CDI team*

- These formats were to be used when collecting data from SPO staff, CFA, partners, and consultants. For each of these respondents different formats have been developed, based on the list of 5C indicators, similar to the procedure that was used during the baseline assessment. The CDI team needed to add the 2012 baseline description of each indicator. The idea was that each respondent would be requested to review each description per indicator, and indicate whether the current situation is different from the baseline situation, how this situation has changed, and what the reasons for the changes in indicators are. At the end of each format, a more general question is added that addresses how the organisation has changed its capacity since the baseline, and what possible reasons for change exist. Please see below the questions asked for each indicator as well as the more general questions at the end of the list of indicators.

General questions about key changes in the capacity of the SPO

What do you consider to be the key changes in terms of how the organisation/ SPO has developed its capacity since the baseline (2012)?

What do you consider to be the main explanatory reasons (interventions, actors or factors) for these changes?

List of questions to be asked for each of the 5C indicators (The entry point is the the description of each indicator as in the 2012 baseline report):

1. *How has the situation of this indicator changed compared to the situation during the baseline in 2012? Please tick one of the following scores:*
   - -2 = Considerable deterioration
   - -1 = A slight deterioration
   - 0 = No change occurred, the situation is the same as in 2012
   - +1 = Slight improvement
   - +2 = Considerable improvement
2. *Please describe what exactly has changed since the baseline in 2012*
3. *What interventions, actors and other factors explain this change compared to the baseline situation in 2012? Please tick and describe what interventions, actors or factors influenced this indicator, and how. You can tick and describe more than one choice.*
   - Intervention, actor or factor at the level of or by **SPO**: ..... .
   - Intervention, actor or factor at the level of or by the **Dutch CFA (MFS II funding)**: .... .
   - Intervention, actor or factor at the level of or by the **other funders**: ..... .
   - **Other** interventions, actors or factors: ..... .

○ Don't know.

Step 2. ***Review*** *the descriptions per indicator – in-country team & CDI team*

Before the in-country team and the CDI team started collecting data in the field, it was important that they reviewed the description for each indicator as described in the baseline reports, and also added to the endline formats for review by respondents. These descriptions are based on document review, observation, interviews with SPO staff, CFA staff and external respondents during the baseline. It was important to explain this to respondents before they filled in the formats.

Step 3. ***Send the formats*** *adapted to the SPO to CFA and SPO – in-country team (formats for SPO) and CDI team (formats for CFA)*

The CDI team was responsible for collecting data from the CFA:

- 5C Endline assessment Dutch co-financing organisation;
- 5C Endline support to capacity sheet – CFA perspective.

The in-country team was responsible for collecting data from the SPO and from external respondents (except CFA). The following formats were sent before the fieldwork started:

- 5C Endline support to capacity sheet – SPO perspective.
- 5C Endline interview guides for externals: partners; OD consultants.

Step 4. ***Collect, upload & code the documents*** *from CFA and SPO in NVivo – CDI team*

The CDI team, in collaboration with the in-country team, collected the following documents from SPOs and CFAs:

- Project documents: project proposal, budget, contract (Note that for some SPOs there is a contract for the full MFS II period 2011-2015; for others there is a yearly or 2-yearly contract. All new contracts since the baseline in 2012 will need to be collected);
- Technical and financial progress reports since the baseline in 2012;.
- Mid-term evaluation reports;
- End of project-evaluation reports (by the SPO itself or by external evaluators);
- Contract intake forms (assessments of the SPO by the CFA) or organisational assessment scans made by the CFA that cover the 2011-2014 period;
- Consultant reports on specific inputs provided to the SPO in terms of organisational capacity development;
- Training reports (for the SPO; for alliance partners, including the SPO);
- Organisational scans/ assessments, carried out by the CFA or by the Alliance Assessments;
- Monitoring protocol reports, especially for the 5C study carried out by the MFS II Alliances;
- Annual progress reports of the CFA and of the Alliance in relation to capacity development of the SPOs in the particular country;
- Specific reports that are related to capacity development of SPOs in a particular country.

The following documents (since the baseline in 2012) were requested from SPO:

- Annual progress reports;
- Annual financial reports and audit reports;
- Organisational structure vision and mission since the baseline in 2012;
- Strategic plans;
- Business plans;
- Project/ programme planning documents;
- Annual work plan and budgets;
- Operational manuals;
- Organisational and policy documents: finance, human resource development, etc.;
- Monitoring and evaluation strategy and implementation plans;

- Evaluation reports;
- Staff training reports;
- Organisational capacity reports from development consultants.

The CDI team will coded these documents in NVivo (qualitative data analysis software program) against the 5C indicators.

Step 5. ***Prepare and organise the field visit*** *to the SPO – in-country team*

Meanwhile the in-country team prepared and organised the logistics for the field visit to the SPO:

- **General endline workshop** consisted about one day for the self-assessments (about ½ to ¾ of the day) and brainstorm (about 1 to 2 hours) on key organisational capacity changes since the baseline and underlying interventions, factors and actors ('general causal map'), see also explanation below. This was done with the five categories of key staff: managers; project/ programme staff; monitoring and evaluation staff; admin & HRM staff; field staff. Note: for SPOs involved in process tracing an additional 1 to 1½ day workshop (managers; program/project staff; monitoring and evaluation staff) was necessary. See also step 7;
- **Interviews with SPO staff** (roughly one day);
- **Interviews with external respondents** such as partners and organisational development consultants depending on their proximity to the SPO. These interviews coulc be scheduled after the endline workshop and interviews with SPO staff.

General causal map

During the 5C endline process, a 'general causal map' has been developed, based on key organisational capacity changes and underlying causes for these changes, as perceived by the SPO. The general causal map describes cause-effect relationships, and is described both as a visual as well as a narrative.

As much as possible the same people that were involved in the baseline were also involved in the endline workshop and interviews.

Step 6. ***Interview the CFA*** *– CDI team*

The CDI team was responsible for sending the sheets/ formats to the CFA and for doing a follow-up interview on the basis of the information provided so as to clarify or deepen the information provided. This relates to:

- 5C Endline assessment Dutch co-financing organisation;
- 5C Endline support to capacity sheet - CFA perspective.

Step 7. ***Run the endline workshop*** *with the SPO – in-country team*

This included running the endline workshop, including facilitation of the development of the general causal map, self-assessments, interviews and observations. Particularly for those SPOs that were selected for process tracing all the relevant information needed to be analysed prior to the field visit, so as to develop an initial causal map. Please see Step 6 and also the next section on process tracing (evaluation question two).

An endline workshop with the SPO was intended to:

- Explain the purpose of the fieldwork;
- Carry out in the self-assessments by SPO staff subgroups (unless these have already been filled prior to the field visits) - this may take some 3 hours.
- Facilitate a brainstorm on key organisational capacity changes since the baseline in 2012 and underlying interventions, factors and actors.

***Purpose of the fieldwork*:** to collect data that help to provide information on what changes took place in terms of organisational capacity development of the SPO as well as reasons for these changes. The baseline that was carried out in 2012 was to be used as a point of reference.

Brainstorm on key organisational capacity changes and influencing factors: a brainstorm was facilitated on key organisational capacity changes since the baseline in 2012. In order to kick start the discussion, staff were reminded of the key findings related to the historical time line carried out in the baseline (vision, mission, strategies, funding, staff). This was then used to generate a discussion on key changes that happened in the organisation since the baseline (on cards). Then cards were selected that were related to organisational capacity changes, and organised. Then a 'general causal map' was developed, based on these key organisational capacity changes and underlying reasons for change as experienced by the SPO staff. This was documented as a visual and narrative.This general causal map was to get the story of the SPO on what they perceived as key organisational capacity changes in the organisation since the baseline, in addition to the specific details provided per indicator.

***Self-assessments*:** respondents worked in the respective staff function groups: management; programme/ project staff; monitoring and evaluation staff; admin and HRM staff; field staff. Staff were assisted where necessary so that they could really understand what it was they were being asked to do as well as what the descriptions under each indicator meant.

Note: for those SPOs selected for process tracing an additional endline workshop was held to facilitate the development of detailed causal maps for each of the identified organisational change/ outcome areas that fall under the capability to act and commit, and under the capability to adapt and self-renew, and that are likely related to capacity development interventions by the CFA. See also the next section on process tracing (evaluation question two). It was up to the in-country team whether this workshop was held straight after the initial endline workshop or after the workshop and the follow-up interviews. It could also be held as a separate workshop at another time.

Step 8. ***Interview SPO staff*** *– in-country team*

After the endline workshop (developing the general causal map and carrying out self-assessments in subgroups), interviews were held with SPO staff (subgroups) to follow up on the information that was provided in the self-assessment sheets, and to interview staff that had not yet provided any information.

Step 9. ***Fill-in observation sheets*** *– in-country team*

During the visit at the SPO, the in-country team had to fill in two sheets based on their observation:

- 5C Endline observation sheet;
- 5C Endline observable indicators.

Step 10. ***Interview externals*** *– in-country team & CDI team*

The in-country team also needed to interview the partners of the SPO as well as organisational capacity development consultants that have provided support to the SPO. The CDI team interviewed the CFA.

Step 11. ***Upload and auto-code all the formats*** *collected by in-country team and CDI team – CDI team*

The CDI team was responsible for uploading and auto-coding (in Nvivo) of the documents that were collected by the in-country team and by the CDI team.

Step 12. Provide the ***overview of information*** *per 5C indicator to in-country team – CDI team*

After the analysis in NVivo, the CDI team provided a copy of all the information generated per indicator to the in-country team for initial analysis.

Step 13. ***Analyse the data and develop a draft description*** *of the findings per indicator and for the general questions – in-country team*

The in-country team provided a draft description of the findings per indicator, based on the information generated per indicator. The information generated under the general questions were linked to the general causal map or detailed process tracing related causal map.

Step 14. ***Analyse the data and finalize the description*** *of the findings per indicator, per capability and general – CDI team*

The CDI team was responsible for checking the analysis by the in-country team with the Nvivo generated data and to make suggestions for improvement and ask questions for clarification to which the in-country team responded. The CDI team then finalised the analysis and provided final descriptions and scores per indicator and also summarize these per capability and calculated the summary capability scores based on the average of all indicators by capability.

Step 15. ***Analyse the information*** *in the general causal map –in-country team & CDI team*

The general causal map based on key organisational capacity changes as perceived by the SPO staff present at the workshop, was further detailed by in-country team and CDI team, and based on the notes made during the workshop and where necessary additional follow up with the SPO. The visual and narrative was finalized after feedback by the SPO. During analysis of the general causal map relationships with MFS II support for capacity development and other factors and actors were identified. All the information has been reviewed by the SPO and CFA.

3. Attributing changes in partner organisation's capacity – evaluation question 2

This section describes the data collection and analysis methodology for answering the second evaluation question: ***To what degree are the changes identified in partner capacity attributable to (capacity) development interventions undertaken by the MFS II consortia (i.e. measuring effectiveness)?***

In terms of the attribution question (2), 'process tracing' is used. This is a theory-based approach that has been applied to a selected number of SPOs since it is a very intensive and costly methodology, although it provides rich information and can generate a lot of learning within the organisations. Key organisational capacity changes/ outcomes of the SPO were identified, based on their relationship to the two selected capabilities, the capability to act and commit the capability to adapt and self-renew, and an expected relationship with CFA supported capacity development interventions (MFS II funding). It was agreed to focus on these two capabilities, since these are the most targeted capabilities by the CFAs, as established during the baseline process. The box below provides some background information on process tracing.

Background information on process tracing

The essence of process tracing research is that scholars want to go beyond merely identifying correlations between independent variables (Xs) and outcomes (Ys). Process tracing in social science is commonly defined by its addition to trace causal mechanisms (Bennett, 2008a, 2008b; Checkle, 2008; George & Bennett, 2005). A causal mechanism can be defined as "a complex system which produces an outcome by the interaction of a number of parts" (Glennan, 1996, p. 52). Process tracing involves "attempts to identify the intervening causal process – the causal chain and causal mechanism – between an independent variable (or variables) and the outcome of the dependent variable" (George & Bennett, 2005, pp. 206-207).

Process tracing can be differentiated into three variants within social science: theory testing, theory building, and explaining outcome process tracing (Beach & Pedersen, 2013).

Theory testing process tracing uses a theory from the existing literature and then tests whether evidence shows that each part of hypothesised causal mechanism is present in a given case, enabling within case inferences about whether the mechanism functioned as expected in the case and whether the mechanism as a whole was present. No claims can be made however, about whether the mechanism was the only cause of the outcome.

Theory building process tracing seeks to build generalizable theoretical explanations from empirical evidence, inferring that a more general causal mechanism exists from the fact of a particular case.

Finally, explaining outcome process tracing attempts to craft a minimally sufficient explanation of a puzzling outcome in a specific historical case. Here the aim is not to build or test more general theories but to craft a (minimally) sufficient explanation of the outcome of the case where the ambitions are more case centric than theory oriented.

Explaining outcome process tracing is the most suitable type of process tracing for analysing the causal mechanisms for selected key organisational capacity changes of the SPOs. This type of process tracing can be thought of as a single outcome study defined as seeking the causes of the specific outcome in a single case (Gerring, 2006; in: Beach & Pedersen, 2013). Here the ambition is to craft a minimally sufficient explanation of a particular outcome, with sufficiency defined as an explanation that accounts for all of the important aspects of an outcome with no redundant parts being present (Mackie, 1965).

Explaining outcome process tracing is an iterative research strategy that aims to trace the complex conglomerate of systematic and case specific causal mechanisms that produced the outcome in question. The explanation cannot be detached from the particular case. Explaining outcome process tracing refers to case studies whose primary ambition is to explain particular historical outcomes, although the findings of the case can also speak to other potential cases of the phenomenon. Explaining outcome process tracing is an iterative research process in which 'theories' are tested to see whether they can provide a minimally sufficient explanation of the outcome. Minimal sufficiency is defined as an explanation that accounts for an outcome, with no redundant parts. In most explaining outcome studies, existing theorisation cannot provide a sufficient explanation, resulting in a second stage in which existing theories are re-conceptualised in light of the evidence gathered in the preceding empirical analysis. The conceptualisation phase in explaining outcome process tracing is therefore an iterative research process, with initial mechanisms re-conceptualised and tested until the result is a theorised mechanism that provides a minimally sufficient explanation of the particular outcome.

Below a description is provided of how SPOs are selected for process tracing, and a description is provided on how this process tracing is to be carried out. Note that this description of process tracing provides not only information on the extent to which the changes in organisational development can be attributed to MFS II (evaluation question 2), but also provides information on other contributing factors and actors (evaluation question 4). Furthermore, it must be noted that the evaluation team has developed an adapted form of 'explaining outcome process tracing', since the data collection and analysis was an iterative process of research so as to establish the most realistic explanation for a particular outcome/ organisational capacity change. Below selection of SPOs for process tracing as well as the different steps involved for process tracing in the selected SPOs, are further explained.

Selection of SPOs for 5C process tracing

Process tracing is a very intensive methodology that is very time and resource consuming (for development and analysis of one final detailed causal map, it takes about 1-2 weeks in total, for

different members of the evaluation team). It has been agreed upon during the synthesis workshop on 17-18 June 2013 that only a selected number of SPOs will take part in this process tracing for the purpose of understanding the attribution question. The selection of SPOs is based on the following criteria:

- MFS II support to the SPO has not ended before 2014 (since this would leave us with too small a time difference between intervention and outcome);
- Focus is on the 1-2 capabilities that are targeted most by CFAs in a particular country;
- Both the SPO and the CFA are targeting the same capability, and preferably aim for similar outcomes;
- Maximum one SPO per CFA per country will be included in the process tracing.

The intention was to focus on about 30-50% of the SPOs involved. Please see the tables below for a selection of SPOs per country. Per country, a first table shows the extent to which a CFA targets the five capabilities, which is used to select the capabilities to focus on. A second table presents which SPO is selected, and takes into consideration the selection criteria as mentioned above.

ETHIOPIA

For Ethiopia the capabilities that are mostly targeted by CFAs are the capability to act and commit and the capability to adapt and self-renew. See also the table below.

Table 1

The extent to which the Dutch NGO explicitly targets the following capabilities – Ethiopia

Capability to:	AMREF	CARE	ECFA	FSCE	HOA-REC	HUNDEE	NVEA	OSRA	TTCA
Act and commit	5	4	5	5	5	3	4	4	3
Deliver on development objectives	2	1	1	1	2	1	1	2	1
Adapt and self-renew	4	2	3	4	2	5	3	3	3
Relate	3	1	2	2	3	2	1	3	1
Achieve coherence	2	2	1	1	1	1	1	1	1

Note: Number 1 stands for not targeted, 5 for intensively targeted. These scores are relative scores for the interventions by the CFA to strengthen the capacity of the SPO. The scores are relative to each other, a higher score means that this capability gets more attention by the CFA compared to other capabilities.

Source: country baseline report, Ethiopia.

Below you can see the table describing when the contract with the SPO is to be ended, and whether both SPO and the CFA expect to focus on these two selected capabilities (with MFS II funding). Based on the above-mentioned selection criteria the following SPOs are selected for process tracing: AMREF, ECFA, FSCE, HUNDEE. In fact, six SPOs would be suitable for process tracing. We just selected the first one per CFA following the criteria of not including more than one SPO per CFA for process tracing

Table 2

SPOs selected for process tracing – Ethiopia

Ethiopia – SPOs	End of contract	Focus on capability to act and commit– by SPO	Focus on capability to act and commit – by CFA	Focus on capability to adapt and self-renew –by SPO	Focus on capability to adapt and self-renew – by CFA	CFA	Selected for process tracing
AMREF	Dec 2015	Yes	Yes	Yes	Yes	AMREF NL	Yes
CARE	Dec 31, 2015	Partly	Yes	Yes	Yes – slightly	CARE Netherlands	No - not fully matching
ECFA	Jan 2015	Yes	Yes	Yes	Yes	Child Helpline International	Yes
FSCE	Dec 2015	Yes	Yes	Yes	Yes	Stichting Kinderpostzegels Netherlands (SKN); Note: no info from Defence for Children – ECPAT Netherlands	Yes
HOA-REC	Sustainable Energy project (ICCO Alliance): 2014 Innovative WASH (WASH Alliance): Dec 2015	Yes	Yes	Yes	Yes - slightly	ICCO	No - not fully matching
HUNDEE	Dec 2014	Yes	Yes	Yes	Yes	ICCO & IICD	Yes
NVEA	Dec 2015 (both)	Yes	Yes	Yes	Yes	Edukans Foundation (under two consortia); Stichting Kinderpostzegels Netherlands (SKN)	Suitable but SKN already involved for process tracing FSCE
OSRA	C4C Alliance project (farmers marketing): December 2014 ICCO Alliance project (zero grazing: 2014 (2nd phase)	Yes	Yes	Yes	Yes	ICCO & IICD	Suitable but ICCO & IICD already involved for process tracing - HUNDEE
TTCA	June 2015	Partly	Yes	No	Yes	Edukans Foundation	No - not fully matching

INDIA

For India the capability that is mostly targeted by CFAs is the capability to act and commit. The next one in line is the capability to adapt and self-renew. See also the table below in which a higher score means that the specific capability is more intensively targeted.

Table 3

The extent to which the Dutch NGO explicitly targets the following capabilities – India[6]

Capability to:	BVHA	COUNT	DRISTI	FFID	Jana Vikas	Samarthak Samiti	SMILE	SDS	VTRC
Act and commit	5	3	4	4	4	4	4	3	5
Deliver on development objectives	1	5	1	1	1	1	1	2	1
Adapt and self-renew	2	2	1	3	1	1	4	1	4
Relate	3	1	1	1	1	1	2	1	2
Achieve coherence	1	1	1	4	1	1	1	1	2

Note: Number 1 stands for not targeted, 5 for intensively targeted. These scores are relative scores for the interventions by the CFA to strengthen the capacity of the SPO. The scores are relative to each other, a higher score means that this capability gets more attention by the CFA compared to other capabilities.

Source: country baseline report, India.

Below you can see a table describing when the contract with the SPO is to be ended and whether SPO and the CFA both expect to focus on these two selected capabilities (with MFS II funding). Based on the above-mentioned selection criteria the following SPOs are selected for process tracing: BVHA, COUNT, FFID, SMILE and VTRC. Except for SMILE (capability to act and commit only), for the other SPOs the focus for process tracing can be on the capability to act and commit and on the capability to adapt and self-renew.

Table 4

SPOs selected for process tracing – India

India – SPOs	End of contract	Focus on capability to act and commit– by SPO	Focus on capability to act and commit – by CFA	Focus on capability to adapt and self-renew –by SPO	Focus on capability to adapt and self-renew – by CFA	CFA	Selected for process tracing
BVHA	2014	Yes	Yes	Yes	Yes	Simavi	Yes; both capabilities
COUNT	2015	Yes	Yes	Yes	Yes	Woord en Daad	Yes; both capabilities
DRISTI	31-03-2012	Yes	Yes	No	no	Hivos	No - closed in 2012
FFID	30-09-2014	Yes	Yes	Yes	Yes	ICCO	Yes

[6] RGVN, NEDSF and Women's Rights Forum (WRF) could not be reached timely during the baseline due to security reasons. WRF could not be reached at all. Therefore these SPOs are not included in Table 1.

India – SPOs	End of contract	Focus on capability to act and commit– by SPO	Focus on capability to act and commit – by CFA	Focus on capability to adapt and self-renew –by SPO	Focus on capability to adapt and self-renew – by CFA	CFA	Selected for process tracing
Jana Vikas	2013	Yes	Yes	Yes	No	Cordaid	No - contract is and the by now; not fully matching focus
NEDSF							No – delayed baseline
RGVN							No - delayed baseline
Samarthak Samiti (SDS)	2013 possibly longer	Yes	Yes	Yes	No	Hivos	No - not certain of end date and not fully matching focus
Shivi Development Society (SDS)	Dec 2013 intention 2014	Yes	Yes	Yes	No	Cordaid	No - not fully matching focus
Smile	2015	Yes	Yes	Yes	Yes	Wilde Ganzen	Yes; first capability only
VTRC	2015	Yes	Yes	Yes	Yes	Stichting Red een Kind	Yes; both capabilities

INDONESIA

For Indonesia the capabilities that are most frequently targeted by CFAs are the capability to act and commit and the capability to adapt and self-renew. See also the table below.

Table 5

The extent to which the Dutch NGO explicitly targets the following capabilities – Indonesia

Capability to:	ASB	Daya kologi	ECPAT	GSS	Lem baga Kita	Pt. PPMA	Rifka Annisa	WIIP	Yad upa	Yayasan Kelola	YPI	YRBI
Act and commit	4	4	4	5	4	4	5	3	3	2	5	4
Deliver on development objectives	1	1	1	2	2	1	2	1	1	1	1	1
Adapt and self-renew	3	1	2	4	2	3	4	4	1	1	4	3
Relate	1	1	2	3	3	2	1	2	2	2	3	2
Achieve coherence	1	1	1	2	1	1	2	2	1	1	2	1

Note: Number 1 stands for not targeted, 5 for intensively targeted. These scores are relative scores for the interventions by the CFA to strengthen the capacity of the SPO. The scores are relative to each other, a higher score means that this capability gets more attention by the CFA compared to other capabilities.

Source: country baseline report, Indonesia.

The table below describes when the contract with the SPO is to be ended and whether both SPO and the CFA expect to focus on these two selected capabilities (MFS II funding). Based on the above-mentioned selection criteria the following SPOs are selected for process tracing: ASB, ECPAT, Pt.PPMA, YPI, YRBI.

Table 6

SPOs selected for process tracing – Indonesia

Indonesia – SPOs	End of contract	Focus on capability to act and commit– by SPO	Focus on capability to act and commit – by CFA	Focus on capability to adapt and self-renew – by SPO	Focus on capability to adapt and self-renew – by CFA	CFA	Selected for process tracing
ASB	February 2012; extension Feb,1, 2013 – June,30, 2016	Yes	Yes	Yes	Yes	Hivos	Yes
Dayakologi	2013; no extension	Yes	Yes	Yes	No	Cordaid	No: contract ended early and not matching enough
ECPAT	August 2013; Extension Dec 2014	Yes	Yes	Yes, a bit	Yes	Free Press Unlimited - Mensen met een Missie	Yes
GSS	31 December 2012; no extension	Yes	Yes	Yes, a bit	Yes	Free Press Unlimited - Mensen met een Missie	No: contract ended early
Lembaga Kita	31 December 2012; no extension	Yes	Yes	No	Yes	Free Press Unlimited - Mensen met een Missie	No - contract ended early
Pt.PPMA	May 2015	Yes	Yes	No	Yes	IUCN	Yes, capability to act and commit only
Rifka Annisa	Dec, 31 2015	No	Yes	No	Yes	Rutgers WPF	No - no match between expectations CFA and SPO
WIIP	Dec 2015	Yes	Not MFS II	Yes	Not MFS II	Red Cross	No - Capacity development interventions are not MFS II financed. Only some overhead is MFS II

Indonesia – SPOs	End of contract	Focus on capability to act and commit– by SPO	Focus on capability to act and commit – by CFA	Focus on capability to adapt and self-renew – by SPO	Focus on capability to adapt and self-renew – by CFA	CFA	Selected for process tracing
Yayasan Kelola	Dec 30, 2013; extension of contract being processed for two years (2014-2015)	Yes	Not really	Yes	Not really	Hivos	No - no specific capacity development interventions planned by Hivos
YPI	Dec 31, 2015	Yes	Yes	Yes	Yes	Rutgers WPF	Yes
YRBI	Oct, 30, 2013; YRBI end of contract from 31st Oct 2013 to 31st Dec 2013. Contract extension proposal is being proposed to MFS II, no decision yet.	Yes	Yes	Yes	Yes	ICCO	Yes
Yadupa	Under negotiation during baseline; new contract 2013 until now	Yes	Nothing committed	Yes	Nothing committed	IUCN	No, since nothing was committed by CFA

LIBERIA

For Liberia the situation is arbitrary which capabilities are targeted most CFA's. Whilst the capability to act and commit is targeted more often than the other capabilities, this is only so for two of the SPOs. The capability to adapt and self-renew and the capability to relate are almost equally targeted for the five SPOs, be it not intensively. Since the capability to act and commit and the capability to adapt and self-renew are the most targeted capabilities in Ethiopia, India and Indonesia, we choose to focus on these two capabilities for Liberia as well. This would help the synthesis team in the further analysis of these capabilities related to process tracing. See also the table below.

Table 7

The extent to which the Dutch NGO explicitly targets the following capabilities – Liberia

Capability to:	BSC	DEN-L	NAWOCOL	REFOUND	RHRAP
Act and commit	5	1	1	1	3
Deliver on development objectives	3	1	1	1	1
Adapt and self-renew	2	2	2	2	2
Relate	1	2	2	2	2
Achieve coherence	1	1	1	1	1

Note: Number 1 stands for not targeted, 5 for intensively targeted. These scores are relative scores for the interventions by the CFA to strengthen the capacity of the SPO. The scores are relative to each other, a higher score means that this capability gets more attention by the CFA compared to other capabilities.

Source: country baseline report, Liberia.

Below you can see the table describing when the contract with the SPO is to be ended, and whether both SPO and the CFA expect to focus on these two selected capabilities (with MFS II funding). Also, for two of the five SPOs capability to act and commit is targeted more intensively compared to the other capabilities. Based on the above-mentioned selection criteria the following SPOs are selected for process tracing: BSC and RHRAP.

Table 8

SPOs selected for process tracing – Liberia

Liberia – SPOs	End of contract	Focus on capability to act and commit– by SPO	Focus on capability to act and commit – by CFA	Focus on capability to adapt and self-renew – by SPO	Focus on capability to adapt and self-renew – by CFA	CFA	Selected for process tracing
BSC	Dec 31, 2015	Yes	Yes	Yes	Yes	SPARK	Yes
DEN-L	2014	No	No	Unknown	A little	ICCO	No – not matching enough
NAWOCOL	2014	Yes	No	No	A little	ICCO	No – not matching enough
REFOUND	At least until 2013 (2015?)	Yes	No	Yes	A little	ICCO	No – not matching enough
RHRAP	At least until 2013 (2014?)	Yes	Yes	Yes	Yes	ICCO	Yes

Key steps in process tracing for the 5C study

In the box below you will find the key steps developed for the 5C process tracing methodology. These steps will be further explained here. Only key staff of the SPO is involved in this process: management; programme/ project staff; and monitoring and evaluation staff, and other staff that could provide information relevant to the identified outcome area/key organisational capacity change. Those SPOs selected for process tracing had a separate endline workshop, in addition to the ' general endline workshop. This workshop was carried out after the initial endline workshop and the interviews during the field visit to the SPO. Where possible, the general and process tracing endline workshop have been held consecutively, but where possible these workshops were held at different points in time, due to the complex design of the process. Below the detailed steps for the purpose of process tracing are further explained.

Key steps in process tracing for the 5C study

1. Identify the planned MFS II supported capacity development interventions within the selected capabilities (capability to act and commit and capability to adapt and self-renew) – CDI team
2. Identify the implemented MFS II supported capacity development interventions within the selected capabilities (capability to act and commit and capability to adapt and self-renew) – CDI team
3. Identify initial changes/ outcome areas in these two capabilities – CDI team & in-country team
4. Construct the detailed, initial causal map (theoretical model of change) – CDI team & in-country team
5. Identify types of evidence needed to verify or discard different causal relationships in the model of change – in-country teams, with support from CDI team
6. Collect data to verify or discard causal mechanisms and construct workshop based, detailed causal map (model of change) – in-country team
7. Assess the quality of data and analyse data and develop final detailed causal map (model of change) – in-country team with CDI team
8. Analyse and conclude on findings– CDI team, in collaboration with in-country team

Some definitions of the terminology used for this MFS II 5c evaluation

Based upon the different interpretations and connotations the use of the term causal mechanism we use the following terminology for the remainder of this paper:

A **detailed causal map** (or **model of change)** = the representation of all possible explanations – causal pathways for a change/ outcome. These pathways are that of the intervention, rival pathways and pathways that combine parts of the intervention pathway with that of others. This also depicts the reciprocity of various events influencing each other and impacting the overall change.

A **causal mechanism** = is the combination of parts that ultimately explains an outcome. Each part of the mechanism is an individually insufficient but necessary factor in a whole mechanism, which together produce the outcome (Beach and Pedersen, 2013, p. 176).

Part or **cause** = one actor with its attributes carrying out activities/ producing outputs that lead to change in other parts. The final part or cause is the change/ outcome.

Attributes of the actor = specificities of the actor that increase his chance to introduce change or not such as its position in its institutional environment.

*Step 1. Identify the **planned MFS II supported capacity development interventions** within the selected capabilities (capability to act and commit and capability to adapt and self-renew) – CDI team*

Chapter 4.1 and 4.2 in the baseline report were reviewed. Capacity development interventions as planned by the CFA for the capability to act and commit and for the capability to adapt and self-renew were described and details inserted in the summary format. This provided an overview of the capacity development activities that were originally planned by the CFA for these two capabilities and assisted in focusing on relevant outcomes that are possibly related to the planned interventions.

*Step 2. Identify the **implemented capacity development interventions** within the selected capabilities (capability to act and commit and capability to adapt and self-renew) – CDI team*

The input from the CFA was reviewed in terms of what capacity development interventions have taken place in the MFS II period. This information was be found in the 'Support to capacity development sheet - endline - CFA perspective' for the SPO, based on details provided by the CFA and further discussed during an interview by the CDI team.

The CFA was asked to describe all the MFS II supported capacity development interventions of the SPO that took place during the period 2011 up to now. The CDI team reviewed this information, not only the interventions but also the observed changes as well as the expected long-term changes, and

then linked these interventions to relevant outcomes in one of the capabilities (capability to act and commit; and capability to adapt and self-renew).

*Step 3. Identify **initial changes/ outcome areas** in these two capabilities – by CDI team & in-country team*

The CDI team was responsible for coding documents received from SPO and CFA in NVivo on the following:

- 5C Indicators: this was to identify the changes that took place between baseline and endline. This information was coded in Nvivo.
- Information related to the capacity development interventions implemented by the CFA (with MFS II funding) (see also Step 2) to strengthen the capacity of the SPO. For example, the training on financial management of the SPO staff could be related to any information on financial management of the SPO. This information was coded in Nvivo.

In addition, the response by the CFA to the changes in 5C indicators format, was auto-coded.

The in-country team was responsible for timely collection of information from the SPO (before the fieldwork starts). This set of information dealt with:

- MFS II supported capacity development interventions during the MFS II period (2011 until now).
- Overview of all trainings provided in relation to a particular outcome areas/organisational capacity change since the baseline.
- For each of the identified MFS II supported trainings, training questionnaires have been developed to assess these trainings in terms of the participants, interests, knowledge and skills gained, behaviour change and changes in the organisation (based on Kirkpatrick's model), one format for training participants and one for their managers. These training questionnaires were sent prior to the field visit.
- Changes expected by SPO on a long-term basis ('Support to capacity development sheet - endline - SPO perspective').

For the selection of change/ outcome areas the following criteria were important:

- The change/ outcome area is in one of the two capabilities selected for process tracing: capability to act and commit or the capability to adapt and self-renew. This was the first criteria to select upon.
- There was a likely link between the key organisational capacity change/ outcome area and the MFS II supported capacity development interventions. This also was an important criteria. This would need to be demonstrated through one or more of the following situations:
  - In the 2012 theory of change on organisational capacity development of the SPO a link was indicated between the outcome area and MFS II support;
  - During the baseline the CFA indicated a link between the planned MFS II support to organisational development and the expected short-term or long-term results in one of the selected capabilities;
  - During the endline the CFA indicated a link between the implemented MFS II capacity development interventions and observed short-term changes and expected long-term changes in the organisational capacity of the SPO in one of the selected capabilities;
  - During the endline the SPO indicated a link between the implemented MFS II capacity development interventions and observed short-term changes and expected long-term changes in the organisational capacity of the SPO in one of the selected capabilities.

Reviewing the information obtained as described in Step 1, 2, and 3 provided the basis for selecting key organisational capacity change/ outcome areas to focus on for process tracing. These areas were to be formulated as broader outcome areas, such as 'improved financial management', 'improved monitoring and evaluation' or 'improved staff competencies'.

Note: the outcome areas were to be formulated as intermediates changes. For example: an improved monitoring and evaluation system, or enhanced knowledge and skills to educate the target group on

climate change. Key outcome areas were also verified - based on document review as well as discussions with the SPO during the endline.

*Step 4. Construct the **detailed, initial causal map** (theoretical model of change) – CDI & in-country team*

A detailed initial causal map was developed by the CDI team, in collaboration with the in-country team. This was based on document review, including information provided by the CFA and SPO on MFS II supported capacity development interventions and their immediate and long-term objectives as well as observed changes. Also, the training questionnaires were reviewed before developing the initial causal map. This detailed initial causal map was to be provided by the CDI team with a visual and related narrative with related references. This initial causal map served as a reference point for further reflection with the SPO during the process tracing endline workshop, where relationships needed to be verified or new relationships established so that the second (workshop-based), detailed causal map could be developed, after which further verification was needed to come up with the final, concluding detailed causal map.

It's important to note that organisational change area/ outcome areas could be both positive and negative.

For each of the selected outcomes the team needed to make explicit the theoretical model of change. This meant finding out about the range of different actors, factors, actions, and events etc. that have contributed to a particular outcome in terms of organisational capacity of the SPO.

A model of change of good quality includes:

- The causal pathways that relate the intervention to the realised change/ outcome;
- Rival explanations for the same change/ outcome;
- Assumptions that clarify relations between different components or parts;
- Case specific and/or context specific factors or risks that might influence the causal pathway, such as for instance the socio-cultural-economic context, or a natural disaster;
- Specific attributes of the actors e.g. CFA and other funders.

A model of change (within the 5C study called a 'detailed causal map') is a complex system which produces intermediate and long-term outcomes by the interaction of other parts. It consists of parts or causes that often consist of one actor with its attributes that is implementing activities leading to change in other parts (Beach & Pedersen, 2013). A helpful way of constructing the model of change is to think in terms of actors carrying out activities that lead to other actors changing their behaviour. The model of change can be explained as a range of activities carried out by different *actors* (including the CFA and SPO under evaluation) that will ultimately lead to an outcome. Besides this, there are also '*structural*' elements, which are to be interpreted as external factors (such as economic conjuncture); and *attributes* of the actor (does the actor have the legitimacy to ask for change or not, what is its position in the sector) that should be looked at (Beach & Pedersen, 2013). In fact Beach and Pedersen, make a fine point about the subjectivity of the actor in a dynamic context. This means, in qualitative methodologies, capturing the changes in the actor, acted upon area or person/organisation, in a non sequential and non temporal format. Things which were done recently could have corrected behavioural outcomes of an organisation and at the same ime there could be processes which incrementally pushed for the same change over a period of time. Beach and Pedersen espouse this methodology because it captures change in a dynamic fashion as against the methodology of logical framework. For the MFS II evaluation it was important to make a distinction between those paths in the model of change that are the result of MFS II and rival pathways.
The construction of the model of change started with the identified key organisational capacity change/ outcome, followed by an inventory of all possible subcomponents that possibly have caused the change/ outcome in the MFS II period (2011-up to now, or since the baseline). The figure below presents an imaginary example of a model of change. The different colours indicate the different types of support to capacity development of the SPO by different actors, thereby indicating different pathways of change, leading to the key changes/ outcomes in terms of capacity development (which in this case indicates the ability to adapt and self-renew).

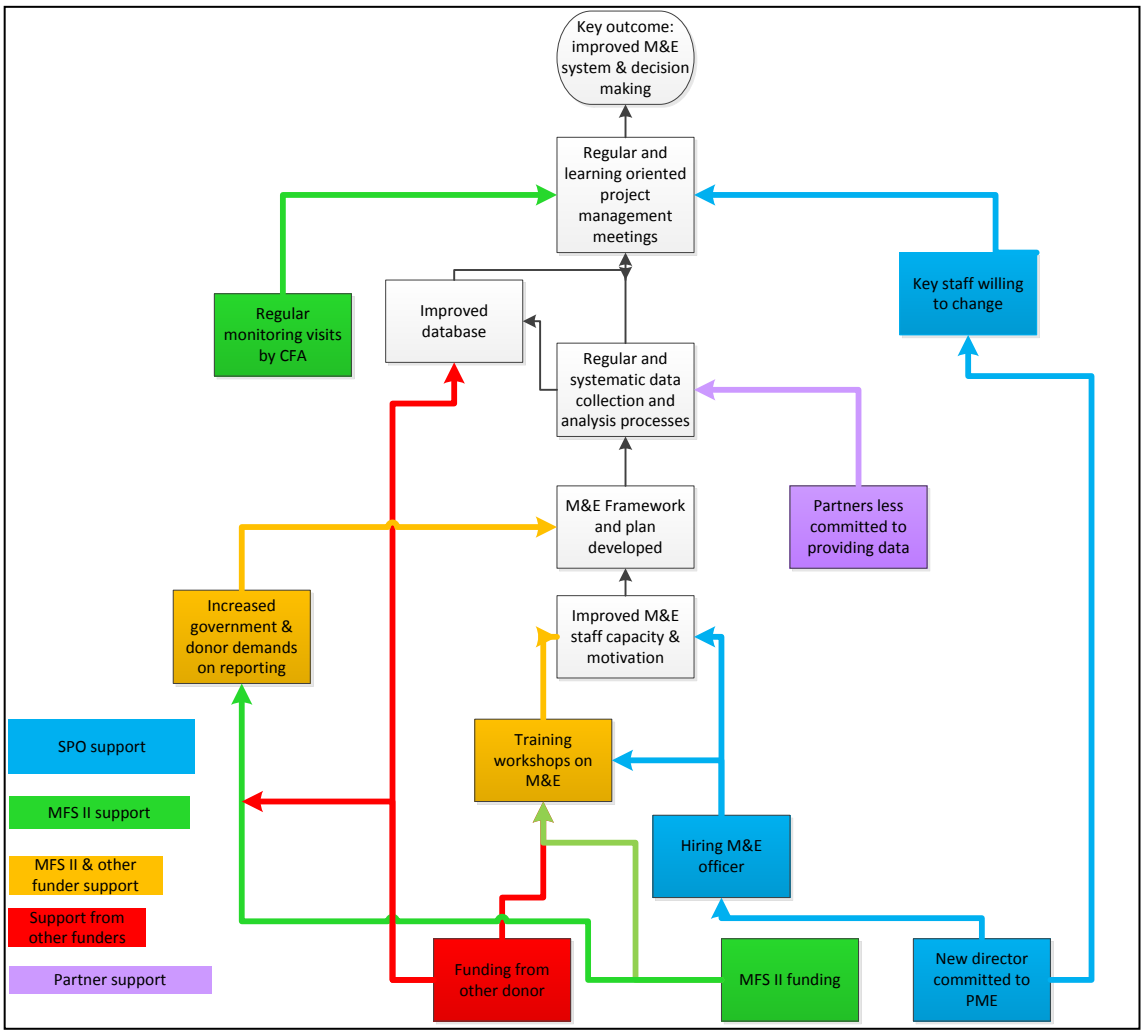


Figure 1 *An imaginary example of a model of change*

Step 5. Identify ***types of evidence*** *needed to verify or discard different causal relationships in the model of change – in-country teams with support from CDI team*

Once the causal mechanism at theoretical level were defined, empirical evidence was collected so as to verify or discard the different parts of this theoretical model of change, confirm or reject whether subcomponents have taken place, and to find evidence that confirm or reject the causal relations between the subcomponents.

A key question that we needed to ask ourselves was, *"What information do we need in order to confirm or reject that one subcomponent leads to another, that X causes Y?"*. The evaluation team needed to agree on what information was needed that provides empirical manifestations for each part of the model of change.

There are four distinguishable types of evidence that are relevant in process tracing analysis: *pattern, sequence, trace, and account*. Please see the box below for descriptions of these types of evidence.

The evaluation team needed to agree on the types of evidence that was needed to verify or discard the manifestation of a particular part of the causal mechanism. Each one or a combination of these different types of evidence could be used to confirm or reject the different parts of the model of change. This is what is meant by robustness of evidence gathering. Since causality as a concept can bend in many ways, our methodology, provides a near scientific model for accepting and rejecting a particular type of evidence, ignoring its face value.

Types of evidence to be used in process tracing

Pattern evidence relates to predictions of statistical patterns in the evidence. For example, in testing a mechanism of racial discrimination in a case dealing with employment, statistical patterns of employment would be relevant for testing this part of the mechanism.

Sequence evidence deals with the temporal and spatial chronology of events predicted by a hypothesised causal mechanism. For example, a test of the hypothesis could involve expectations of the timing of events where we might predict that if the hypothesis is valid, we should see that the event B took place after event A took place. However, if we found that event B took place before event A took place, the test would suggest that our confidence in the validity of this part of the mechanism should be reduced (disconfirmation/ falsification).

Trace evidence is evidence whose mere existence provides proof that a part of a hypothesised mechanism exists. For example, the existence of the minutes of a meeting, if authentic ones, provide strong proof that the meeting took place.

Account evidence deals with the content of empirical material, such as meeting minutes that detail what was discussed or an oral account of what took place in the meeting.

Source: Beach and Pedersen, 2013

Below you can find a table that provides guidelines on what to look for when identifying types of evidence that can confirm or reject causal relationships between different parts/ subcomponents of the model of change. It also provides one example of a part of a causal pathway and what type of information to look for.

Table 9

Format for identifying types of evidence for different causal relationships in the model of change (example included)

Part of the model of change	Key questions	Type of evidence needed	Source of information
Describe relationship between the subcomponents of the model of change	Describe questions you would like to answer a so as to find out whether the components in the relationship took place, when they took place, who was involved, and whether they are related	Describe the information that we need in order to answer these questions. Which type of evidence can we use in order to reject or confirm that subcomponent X causes subcomponent Y? Can we find this information by means of : Pattern evidence; Sequence evidence; Trace evidence; Account evidence?	Describe where you can find this information
Example: Training workshops on M&E provided by MFS II funding and other sources of funding	Example: What type of training workshops on M&E took place? Who was trained? When did the training take place? Who funded the training? Was the funding of training provided before the training took place? How much money was available for the training?	Example: Trace evidence: on types of training delivered, who was trained, when the training took place, budget for the training Sequence evidence on timing of funding and timing of training Content evidence: what the training was about	Example: Training report SPO Progress reports interviews with the CFA and SPO staff Financial reports SPO and CFA

Please note that for practical reasons, the 5C evaluation team decided that it was easier to integrate the specific questions in the narrative of the initial causal map. These questions would need to be addressed by the in country team during the process tracing workshop so as to discover, verify or

discard particular causal mechanisms in the detailed, initial causal map. Different types of evidence was asked for in these questions.

Step 6. ***Collect data*** *to verify or discard causal mechanisms and develop workshop-based, detailed causal map – in-country team*

Once it was decided by the in-country and CDI evaluation teams what information was to be collected during the interaction with the SPO, data collection took place. The initial causal maps served as a basis for discussions during the endline workshop with a particular focus on process tracing for the identified organisational capacity changes. But it was considered to be very important to understand from the perspective of the SPO how they understood the identified key organisational capacity change/outcome area has come about. A new detailed, workshop-based causal map was developed that included the information provided by SPO staff as well as based on initial document review as described in the initial detailed causal map. This information was further analysed and verified with other relevant information so as to develop a final causal map, which is described in the next step.

Step 7. ***Assess the quality*** *of data and* ***analyse data****, and develop the* ***final detailed causal map*** *(model of change) – in-country team and CDI team*

Quality assurance of the data collected and the evidence it provides for rejecting or confirming parts of causal explanations are a major concern for many authors specialised in contribution analysis and process-tracing. Stern et al. (2012), Beach and Pedersen (2013), Lemire, Nielsen and Dybdal (2012), Mayne (2012) and Delahais and Toulemonde (2012) all emphasise the need to make attribution/ contribution claims that are based on pieces of evidence that are rigorous, traceable, and credible. These pieces of evidence should be as explicit as possible in proving that *subcomponent X causes subcomponent Y* and ruling out other explanations. Several tools are proposed to check the nature and the quality of data needed. One option is, Delahais and Toulemonde's Evidence Analysis Database, which we have adapted for our purpose.

Delahais and Toulemonde (2012) propose an Evidence Analysis Database that takes into consideration three criteria:

Confirming/ rejecting a causal relation (yes/no);
Type of causal mechanism: intended contribution/ other contribution/ condition leading to intended contribution/ intended condition to other contribution/ feedback loop;
Strength of evidence: strong/ rather strong/ rather weak/ weak.

We have adapted their criteria to our purpose. The in-country team, in collaboration with the CDI team, used the criteria in assessing whether causal relationships in the causal map, were strong enough. This has been more of an iterative process trying to find additional evidence for the established relationships through additional document review or contacting the CFA and SPO as well as getting their feedback on the final detailed causal map that was established. Whilst the form below has not been used exactly in the manner depicted, it has been used indirectly when trying to validate the information in the detailed causal map. After that, the final detailed causal map is established both as a visual as well as a narrative, with related references for the established causal relations.

Example format for the adapted evidence analysis database (example included) **Description of causal relation**	**Confirming/ rejecting a causal relation (yes/no)**	**Type of information providing the background to the confirmation or rejection of the causal relation**	**Strength of evidence: strong/ rather strong/ rather weak/ weak**	**Explanation for why the evidence is (rather) strong or (rather) weak, and therefore the causal relation is confirmed/ rejected**
e.g. Training staff in M&E leads to enhanced M&E knowledge, skills and practice	e.g. Confirmed	e.g. Training reports confirmed that staff are trained in M&E and that knowledge and skills increased as a result of the training		

Step 8. ***Analyse and conclude*** *on findings– in-country team and CDI team*

The final detailed causal map was described as a visual and narrative and this was then analysed in terms of the evaluation question two and evaluation question four: *"To what degree are the changes identified in partner capacity attributable to development interventions undertaken by the MFS II consortia (i.e. measuring effectiveness)?"* and *"What factors explain the findings drawn from the questions above?"* It was analysed to what extent the identified key organisational capacity change can be attributed to MFS II supported capacity development interventions as well as to other related factors, interventions and actors.

4. Explaining factors – evaluation question 4

This paragraph describes the data collection and analysis methodology for answering the fourth evaluation question: **"What factors explain the findings drawn from the questions above?"**

In order to explain the changes in organisational capacity development between baseline and endline (evaluation question 1) the CDI and in-country evaluation teams needed to review the indicators and how they have changed between baseline and endline and what reasons have been provided for this. This has been explained in the first section of this appendix. It has been difficult to find detailed explanations for changes in each of the separate 5c indicators, but the 'general causal map' has provided some ideas about some of the key underlying factors actors and interventions that influence the key organisational capacity changes, as perceived by the SPO staff.

For those SPOs that are selected for process tracing (evaluation question 2), more in-depth information was procured for the identified key organisational capacity changes and how MFS II supported capacity development interventions as well as other actors, factors and interventions have influenced these changes. This is integrated in the process of process tracing as described in the section above.

5. Methodological reflection

Below a few methodological reflections are made by the 5C evaluation team.

Use of the 5 core capabilities framework and qualitative approach: this has proven to a be very useful framework to assess organisational capacity. The five core capabilities provide a comprehensive picture of the capacity of an organisation. The capabilities are interlinked, which was also reflected in the description of standard indicators, that have been developed for the purpose of this 5C evaluation

and agreed upon for the eight countries. Using this framework with a mainly qualitative approach has provided rich information for the SPOs and CFAs, and many have indicated this was a useful learning exercise.

Using standard indicators and scores: using standard indicators is useful for comparison purposes. However, the information provided per indicator is very specific to the SPO and therefore makes comparison difficult. Whilst the description of indicators has been useful for the SPO and CFA, it is questionable to what extent indicators can be compared across SPOs since they need to be seen in context, for them to make meaning. In relation to this, one can say that scores that are provided for the indicators, are only relative and cannot show the richness of information as provided in the indicator description. Furthermore, it must be noted that organisations are continuously changing and scores are just a snapshot in time. There cannot be perfect score for this. In hindsight, having rubrics would have been more useful than scores.

General causal map: whilst this general causal map, which is based on key organisational capacity changes and related causes, as perceived by the SPO staff present at the endline workshop, has not been validated with other sources of information except SPO feedback, the 5C evaluation team considers this information important, since it provides the SPO story about how and which changes in the organisation since the baseline, are perceived as being important, and how these changes have come about. This will provide information additional to the information that has been validated when analysing and describing the indicators as well as the information provided through process tracing (selected SPOs). This has proven to be a learning experience for many SPOs.

Using process tracing for dealing with the attribution question: this theory-based and mainly qualitative approach has been chosen to deal with the attribution question, on how the organisational capacity changes in the organisations have come about and what the relationship is with MFS II supported capacity development interventions and other factors. This has proven to be a very useful process, that provided a lot of very rich information. Many SPOs and CFAs have already indicated that they appreciated the richness of information which provided a story about how identified organisational capacity changes have come about. Whilst this process was intensive for SPOs during the process tracing workshops, many appreciated this to be a learning process that provided useful information on how the organisation can further develop itself. For the evaluation team, this has also been an intensive and time-consuming process, but since it provided rich information in a learning process, the effort was worth it, if SPOs and CFAs find this process and findings useful.

A few remarks need to be made:

- Outcome explaining process tracing is used for this purpose, but has been adapted to the situation since the issues being looked at were very complex in nature.
- Difficulty of verifying each and every single change and causal relationship:
- Intensity of the process and problems with recall: often the process tracing workshop was done straight after the general endline workshop that has been done for all the SPOs.In some cases, the process tracing endline workshop has been done at a different point in time, which was better for staff involved in this process, since process tracing asks people to think back about changes and how these changes have come about. The word difficulties with recalling some of these changes and how they have come about. See also the next paragraph.
- Difficulty of assessing changes in knowledge and behaviour: training questionnaire is have been developed, based on Kirkpatrick's model and were specifically tailored to identify not only the interest but also the change in knowledge and skills, behaviour as well as organisational changes as a result of a particular training. The retention ability of individuals, irrespective of their position in the organisation, is often unstable. The 5C evaluation team experienced that it was difficult for people to recall specific trainings, and what they learned from those trainings. Often a change in knowledge, skills and behaviour is a result brought about by a combination of different factors , rather than being traceable to one particular event. The detailed causal maps that have been established, also clearly pointed this. There are many factors at play that make people change their behaviour, and this is not just dependent on training but also internal/personal (motivational) factors as well as factors within the organisation, that stimulate or hinder a person to change behaviour. Understanding how behaviour change works is important when trying to really understand the extent to which behaviour has changed as a result of different factors, actors and interventions. Organisations change because people

change and therefore understanding when and how these individuals change behaviour is crucial. Also attrition and change in key organisational positions can contribute considerably to the outcome.

Utilisation of the evaluation

The 5C evaluation team considers it important to also discuss issues around utility of this evaluation. We want to mention just a few.

Design – mainly externally driven and with a focus on accountability and standard indicators and approaches within a limited time frame, and limited budget: this MFS II evaluation is originally based on a design that has been decided by IOB (the independent evaluation office of the Dutch Ministry of Foreign Affairs) and to some extent MFS II organisations. The evaluators have had no influence on the overall design and sampling for the 5C study. In terms of learning, one may question whether the most useful cases have been selected in this sampling process. The focus was very much on a rigorous evaluation carried out by an independent evaluation team. Indicators had to be streamlined across countries. The 5C team was requested to collaborate with the other 5C country teams (Bangladesh, Congo, Pakistan, Uganda) to streamline the methodological approach across the eight sampled countries. Whilst this may have its purpose in terms of synthesising results, the 5C evaluation team has also experienced the difficulty of tailoring the approach to the specific SPOs. The overall evaluation has been mainly accountability driven and was less focused on enhancing learning for improvement. Furthermore, the timeframe has been very small to compare baseline information (2012) with endline information (2014). Changes in organisational capacity may take a long, particularly if they are related to behaviour change. Furthermore, there has been limited budget to carry out the 5C evaluation. For all the four countries (Ethiopia, India, Indonesia, Liberia) that the Centre for Development Innovation, Wageningen University and Research centre has been involved in, the budget has been overspent.

However, the 5C evaluation team has designed an endline process whereby engagement of staff, e.g. in a workshop process was considered important, not only due to the need to collect data, but also to generate learning in the organisation. Furthermore, having general causal maps and detailed causal maps generated by process tracing have provided rich information that many SPOs and CFAs have already appreciated as useful in terms of the findings as well as a learning process.

Another issue that must be mentioned is that additional requests have been added to the country teams during the process of implementation: developing a country based synthesis; questions on design, implementation, and reaching objectives of MFS II funded capacity development interventions, whilst these questions were not in line with the core evaluation questions for the 5C evaluation.

Complexity and inadequate coordination and communication: many actors, both in the Netherlands, as well as in the eight selected countries, have been involved in this evaluation and their roles and responsibilities, were often unclear. For example, 19 MFS II consortia, the internal reference group, the Ministry of Foreign Affairs, Partos, the Joint Evaluation Trust, NWO-Wotro, the evaluators (Netherlands and in-country), 2 external advisory committees, and the steering committee. Not to mention the SPO's and their related partners and consultants. CDI was involved in 4 countries with a total number of 38 SPOs and related CFAs. This complexity influenced communication and coordination, as well as the extent to which learning could take place. Furthermore, there was a distance between the evaluators and the CFAs, since the approach had to be synchronised across countries, and had to adhere to strict guidelines, which were mainly externally formulated and could not be negotiated or discussed for the purpose of tailoring and learning. Feedback on the final results and report had to be provided mainly in written form. In order to enhance utilisation, a final workshop at the SPO to discuss the findings and think through the use with more people than probably the one who reads the report, would have more impact on organisational learning and development. Furthermore, feedback with the CFAs has also not been institutionalised in the evaluation process in the form of learning events. And as mentioned above, the complexity of the evaluation with many actors involved did not enhance learning and thus utilization.

5C Endline process, and in particular thoroughness of process tracing often appreciated as learning process: The SPO perspective has also brought to light a new experience and technique of self-assessment and self-corrective measures for managers. Most SPOs whether part of process tracing or not, deeply appreciated the thoroughness of the methodology and its ability to capture details with robust connectivity. This is a matter of satisfaction and learning for both evaluators and SPOs. Having a process whereby SPO staff were very much engaged in the process of self-assessment and reflection has proven for many to be a learning experience for many, and therefore have enhanced utility of the 5C evaluation.

Appendix 2 Background information on the five core capabilities framework

The 5 capabilities (5C) framework was to be used as a framework for the evaluation of capacity development of Southern Partner Organisations (SPOs) of the MFS II consortia. The 5C framework is based on a five-year research program on 'Capacity, change and performance' that was carried out by the European Centre for Development Policy Management (ECDPM). The research included an extensive review of the literature and sixteen case studies. The 5C framework has also been applied in an IOB evaluation using 26 case studies in 14 countries, and in the baseline carried out per organisation by the MFS II organisations for the purpose of the monitoring protocol.

The 5C framework is structured to understand and analyse (changes in) the capacity of an organization to deliver (social) value to its constituents. This introduction briefly describes the 5C framework, mainly based on the most recent document on the 5C framework (Keijzer et al., 2011).

The 5C framework sees capacity as an **outcome** of an **open system**. An organisation or collaborative association (for instance a network) is seen as a system interacting with wider society. The most critical practical issue is to ensure that relevant stakeholders share a common way of thinking about capacity and its core constituents or capabilities. Decisive for an organisation's capacity is the context in which the organisation operates. This means that **understanding context issues** is crucial. The use of the 5C framework requires a multi-stakeholder approach because shared values and results orientation are important to facilitate the capacity development process. The 5C framework therefore needs to **accommodate the different visions** of stakeholders and conceive different strategies for raising capacity and improving performance in a given situation.

The 5C framework defines capacity as '**producing social value'** and identifies five core capabilities that together result in that overall capacity. Capacity, capabilities and competences are seen as follows:

Capacity is referred to as the overall ability of an organisation or system to create value for others;

Capabilities are the collective ability of a group or a system to do something either inside or outside the system. The collective ability involved may be technical, logistical, managerial or generative (i.e. the ability to earn legitimacy, to adapt, to create meaning, etc.);

Competencies are the energies, skills and abilities of individuals.

Fundamental to developing capacity are inputs such as human, material and financial resources, technology, and information. To the degree that they are developed and successfully integrated, capabilities contribute to the overall capacity or ability of an organisation or system to create value for others. A single capability is not sufficient to create capacity. All are needed and are strongly interrelated and overlapping. Thus, to achieve its development goals, the 5C framework says that every organisation or system must have **five basic capabilities:**

- The capability to act and commit;
- The capability to deliver on development objectives;
- The capability to adapt and self-renew;
- The capability to relate (to external stakeholders);
- The capability to achieve coherence.

In order to have a common framework for evaluation, the five capabilities have been reformulated in outcome domains and for each outcome domain performance indicators have been developed.

There is some overlap between the five core capabilities but together the five capabilities result in a certain level of capacity. Influencing one capability may have an effect on one or more of the other capabilities. In each situation, the level of any of the five capabilities will vary. Each capability can become stronger or weaker over time.

Appendix 3 Changes in organisational capacity of the SPO - 5C indicators

Below you will find a description for each of the indicators under each of the capabilities, what the situation is as assessed during the endline, how this has changed since the baseline and what are the reasons for change.

Below you will find a description for each of the indicators under each of the capabilities, what the situation is as assessed during the endline, how this has changed since the baseline and what are the reasons for change.

Capability to act and commit

Level of Effective Leadership

1.1.Responsive leadership: 'Leadership is responsive, inspiring, and sensitive'
This is about leadership within the organisation (operational, strategic). If there is a larger body then you may also want to refer to leadership at a higher level but not located at the local organisation.

The leadership of the organisation still remains visionary, charismatic, effective, cooperative and inspiring, participating in meetings on a regular basis and gives due importance to the viewpoint of individuals. The main improvement since the baseline has been the inclusion of a new position of the Chief Operating Officer (COO). The COO understands the complexities and issues pertaining to the day to day functioning of each department. He interacts positively with staff and departmental heads report to him, which gives the Executive Trustee time to focus on planning and strategizing while not having to worry about day-to-day operations. Before reaching at any conclusion or final decision, the management gives due respect to the viewpoints of concerned people by adopting a more inclusive and consultative approach. The Executive Trustee consults the COO and Departmental heads before making a decision. Programmatic level decisions are taken quickly and effectively. The following areas are the ones in which the organisation has improved since the baseline.

- Increase in participatory decision making approach;
- Developing second cadre of leadership;
- Decentralisation of responsibilities at various levels, e.g. departmental heads have more decision making power;
- The younger, middle management staff have grown in experience, self-confidence and trust;
- Synchronisation of all departments for achieving the common goal.

Smile has developed a strong review mechanism, with frequent discussions held with the management on organisational growth. Exposure to trainings and sessions at various levels has also been given specific priority. In addition to this, various HR related initiatives have been undertaken to increase productivity. The most important factor has been the flexibility in decision making that has been given at all levels.

Score baseline: 4

Score endline: 4.5 (slight improvement)

1.2.Strategic guidance: 'Leaders provide appropriate strategic guidance (strategic leader and operational leader)'
This is about the extent to which the leader(s) provide strategic directions

Leadership still provides good strategic directions, as leadership is visionary and in touch with trends in the sector, and leaders have a strong and common vision on the strategy of the organisation and

programmes. During the baseline there was a high degree of dependence of staff members on senior management for important decisions. In this regard, the appointment of the COO in January 2013 has been a welcome move. Departmental Heads have also proactively started taking ownership of their responsibilities.

Based on the nature of the work, decision making has now been delegated at various levels. The COO plays a proactive role. The Departmental Heads are also given independence to make their own decisions as long as they are in line with the Annual Goal & Work Plans which have been worked out in consultation with the Management. The Departmental Heads ensure to keep management informed about all the operational aspects.

Many operational decisions are taken as per the job responsibility of the employees. Also, lot of operational activities are already decided in monthly, quarterly and annual plans which helps to take decisions faster. In case there are any deviations in the works plan or any strategic decisions required to be taken, appropriate steps are taken in consultation with departmental heads, the COO and the executive trustee.

To illustrate the specific steps that have been undertaken since the baseline:

- Induction has been streamlined for all new staff which includes detailed interaction with all department and divisions, but also practical induction like field visits etc. The same has been strengthened through an effective induction docket.
- Building leaderships at all levels by exposure of all the staff members into regular cross exchange programmes. Sufficient independence is given to every single member in execution of their roles and responsibilities.
- Standard operating processes have been developed for all the departments at various levels and are a part of the induction process.
- Decision making has been decentralized to the second level of leadership.

Score baseline: 3.5

Score endline: 4.5 (improvement)

1.3.Staff turnover: 'Staff turnover is relatively low'
This is about staff turnover.

Since 2012 there has been a considerable improvement in the situation of staff turnover at all the levels. Generally, the fundraising department experiences huge attrition but since the last two years the fundraising unit had a negligible turnover. Other departments like programme or communication had a very low attrition rate except for people that left due to personal reasons like marriage etc.

One of the reasons of curbing this attrition is that in Smile each department has a clear objective and there seems to be no confusion unlike a few years back. All the departments have a clear thought process and working methodology with the right kind of expectations.

Also, Smile's positive environment has motivated people to stick to the organisation and undoubtedly people at the leadership positions have played an important role to nurture their subordinates.

Positive steps that have been taken which have resulted in reduction of staff turnover are:

- There has also been an improvement in the increments which had a positive impact on staff turnover.
- New initiatives by HR for retention and appreciation of employees, and stress management workshops for employees;
- HR initiatives like 'Spot the Hero' and 'Thank You' cards to build mutual appreciation among the employees, encouragement and appreciation of employees at all levels (at times, whole staff meetings are called to laud a particularly commendable employee);
- Trainings for professional enhancement of employees – a motivational factor.

However, staff turnover remains high at lower levels due to low salary structure.

Score baseline: 3.5

Score endline: 4.0 (slight improvement)

Level of realistic strategic planning

1.4.Organisational structure: 'Existence of clear organisational structure reflecting the objectives of the organisation'
Observable indicator: Staff have copy of org structure and understand this

A new Chief Operations Officer (COO) was hired in January 2013 with a view to give this position more independence to deal with the day to day running of Smile's operations, while the founder trustee could focus more on strategic and patronage issues to Smile. This was an important step in a direction to further decentralize Smile's organisational structure. The COO also started in this role with a profile which was significantly different than the previous incumbent in the same position. Among other immediate tasks undertaken by the new COO, was review of the roles and responsibilities of the staff, their capacities and their workloads. This was followed by a consultation and discussion with the board and department heads which resulted in the revamp and restructuring of the organogram and a revision of job profiles. The overstrained departmental heads are now supported by junior staff. This reduced the burden on the senior staff's time to allow them to work on improvements of the existing processes and identification of newer issues. This also enabled staff to share and learn from other departments within the organisation. The revamped structure brought in a decentralized and consultative approach that gave autonomy to different departments which further led to Interdepartmental integration.

Structural changes in the organogram have been undertaken with a focus on strengthening second line leadership and providing autonomy to departments, sub-departments and thematic teams. Assessment of all staff, their roles and responsibilities, their capacities, workloads; revision of job profiles has also been accomplished.

Score baseline: 4.0

Score endline:4.5 (slight improvement)

1.5.Articulated strategies: 'Strategies are articulated and based on good situation analysis and adequate M&E'
Observable indicator: strategies are well articulated. Situation analysis and monitoring and evaluation are used to inform strategies.

At Smile Foundation, the development of the programme strategy is still part of an annual planning exercise in consultation with stakeholders. The strategies are reviewed every year by the concerned programme team and then shared with senior leadership for a discussion. For some of the long term missions it was observed that strategies are followed for a block period of 2 to 3 years with necessary improvements each year. This is also illustrated by Smile's narrative report of 2012. It regards the annual plan of 2013 as still relevant, but indicates that sometimes due to some unforeseen reasons, there is always a possibility of shuffling the activities as defined in the plan. The Smile team believes that this does not affect the quantitative targets and ultimately Smile's past experience and meticulous planning helps achieve all its qualitative targets as well.

Score baseline: 4.0

Score endline: 4.0 (no change)

Level of translation of strategy into operations

1.6.Daily operations: 'Day-to-day operations are in line with strategic plans'
This is about the extent to which day-to-day operations are aligned with strategic plans.

Management has been taking keen interest in the planning and operations of each department. Strategic discussions are planned and for the last two years, the yearly goals, vision and work plans have been discussed in presence of all departments, to develop mutual understanding for better day to day operations.

Some of the notable changes since the baseline are:

- The planning exercise is being done in the beginning of the Fiscal Year in consultation with stakeholders. The viewpoints shared by them are thoroughly analysed;

- The inter-departmental weekly meetings and monthly review with the management help to be focused on planning day to day operations to achieve the Yearly Goals;
- While the processes have remained the same, the targets have become specific in terms of focus, defined parameters, elaborate work plans, precise and specific outcomes;
- The entire work approach has become quality oriented as Smile constantly tries to benchmark its work with the best in the sector.

Score baseline: 4.0

Score endline: 4.5 (slight improvement)

Level of Staff Capacity and Motivation

1.7.Staff skills: 'Staff have necessary skills to do their work'
This is about whether staff have the skills necessary to do their work and what skills they might they need.

Structural changes in the organogram have been undertaken with a focus on strengthening second line leadership and providing autonomy to departments, sub-departments and thematic teams. Assessment of all staff, their roles and responsibilities, their capacities, workloads; revision of job profiles has also been accomplished.

This reduced the burden on the senior staff's time to allow them to work on improvements of the existing processes and identification of newer issues. This also enabled staff to share and learn from other departments within the organisation. The revamped structure brought in a decentralized and consultative approach that gave autonomy to different departments which further led to Interdepartmental integration. Thus, departmental heads are in a better position to address the set of skills they would need to deliver on the key performance indicators set for their departments.

The staff recruitments at middle and higher level are done through a stringent recruitment process thus resulted into recruitments with required skill sets. At the junior level recruitments are focused majorly on new, young staff with limited skill sets. During their tenure with the organisation they are trained through continuous hand-holding by respective seniors. Such staff after acquiring required skill set move for better opportunities.

Further customized trainings and exposure programme make the staff have the necessary skills to deliver on their roles. Compared to the baseline the gap of staff's skills in narrative reporting and marketing has been filled.

Score baseline: 4.0

Score endline: 4.5 (slight improvement)

1.8.Training opportunities: 'Appropriate training opportunities are offered to staff'
This is about whether staff at the SPO are offered appropriate training opportunities

During the last two years Smile significantly focused on trainings and the level of training has been increased for middle and senior level staff. But no improvement has been observed at the junior level except inter-department handholding by respective reporting managers.

In order to develop the capacities of second level leadership, a series of workshops, training programmes and exposure visits have been organized focused on thematic areas, personality development, team work and coordination and specific skill sets, like fundraising. In-house trainings also contributed significantly towards development of the organisation.

Smile has a focussed approach to capacity building which includes recruiting people with appropriate skill sets, needs assessment of training by the OD consultant followed by training-in house, inviting resource persons and sending staff on exposure visits. The fundraising, programme, communication and governance team have all received specialised training in their area during the last 2 years. For field and lower level staff, in-house workshops are being conducted regularly primarily focusing on their monitoring, management and communication skill.

Some of the trainings and exposure programmes provided since the baseline include:

- Individual Fundraising Workshop

- Fundraising from Public Sector Units
- Specialized Training on MIS, reporting, monitoring and evaluation to Regional Officers/Project Managers. Also, a detailed discussion was organized as how to overcome challenges/concerns faced by managers and alternatives for addressing the same. Further, the roles and responsibilities of Project Managers/Regional Officers were discussed on community involvement including media, corporate houses, middle class etc. for civic driven change and fundraising.
- Capacity Building Workshop on Fundraising, Leadership, Program Management & Governance, Brand Development and Media Advocacy for all Smile Staff in National Conference
- Exchange Visit to Soul City Institute (South Africa)
- Face- to-Face fundraising workshop

Score baseline: 3.5

Score endline: 3.5 (no change)

1.9.1.Incentives: 'Appropriate incentives are in place to sustain staff motivation'
This is about what makes people want to work here. Incentives could be financial, freedom at work, training opportunities, etc.

The drive of staff members can be observed by their enthusiasm and the seriousness to complete all tasks even if this requires more time. Staff is proud of the quality of products and services delivered by them.

Though the financial incentives are not at par with the market, the organisation is trying to incentivise performers. The appraisal system plays an important role in identifying performers. Financial incentives are in place for only the fundraising teams, though other teams get recognized through various staff retention initiatives like thank you cards, "Spot the hero" and awards or certificates during organisational meets like the National Conference. There is immense freedom to work and grab opportunities. This is also felt as incentives by the staff.

Since there has been some considerable growth in resource raising, the organisation is taking care to the best of ability to fulfil the monetary requirements of the team members. Other than monetary benefits, incentives through skills enhancement is also an aspect that has been actively worked out and received well by the staff.

Score baseline: 3.0

Score endline: 3.5 (slight improvement)

Level of Financial Resource Security

1.9.2.Funding sources: 'Funding from multiple sources covering different time periods'
This is about how diversified the SPOs funding sources are over time, and how the level of funding is changing over time.

Smile continues to effectively raise funds for premiums and for organisational costs, mainly from the corporate sector. Smile's corporate fundraising approach has emerged to be more structured and strategic as more qualified and experienced professional staff are at the helm of affairs. There is an increased number of big corporate donors and a better reporting system in place for donors. New donors like Union Bank, LIC, RECL, Hyatt, Harley Davidson have been roped in because of an effective communication strategy, specific and specialized communication material for acquisition, retention of corporate and individual donors, receiving timely trainings for all fundraising teams and having credible organizations as Smile's supporters has led to trust by other corporate and PSUs.

The fundraising staff of Smile consists of 14 people for the corporate team and Smile would like to increase the team for individual fundraising based in Delhi, Mumbai and Bangalore. Every department has corporate, individual, institutional and child for child fundraising staff.

During the baseline it was observed that Smile should strengthen its individual donor partnerships. Smile is currently preparing to set up a new programme for individual fundraising. From their research they found that one of the main challenges is the competition with INGOs who can invest vast amounts in building their social and fundraising programmes. With limited resources available, developing a strong and profitable individual giving programme poses a challenge to Smile. Therefore,

Smile plans to organize focus groups with donors regularly as a low-investment way of doing qualitative research to understand the needs and interests of donors to set up programmes to appeal the individuals for giving. The current network of corporate high-level individuals can be a powerful entry point to set up a medium and a major donor programme in the near future. Smile will try to create linkages between the individual giving with corporate giving programmes.

A well thought-out aggressive branding strategy is in place. Branding Smile aggressively results in attention from multiple sources of potential funding. A number of celebrity events, campaigns, interviews and interactions with distinguished personalities were held in 2013. These activities got covered in national and regional newspapers, radio and TV giving wide branding as well as advocacy for the cause that Smile Foundation is involved in. Due to brand penetration a lot of international organisations are showing interest in partnering with Smile. The communications department is now divided into internal and external communications divisions. While the internal department creates content (types of programs being implemented, their impact etc.) for circulation for both within and outside the organization the external division is responsible for public relations and media coverage. They realized that in order to tap resources from individuals it is important to focus on brand building as individuals before donating check the credibility and branding of organizations. Further, CSR being at a nascent stage, the Government and Corporate are yet to grasp the full implications of developmental work and thus, sometimes there is a clash with Smile's own organisational interests. However, Smile is trying its level best to contribute towards changing the prevailing situation.

Smile has been able to increase the diversity of its funders since the baseline. They are now receiving funds from 170 corporates, compared to 140 during the baseline. The corporates and Public Sector Units (PSUs) they receive funds from include: Barclays, British Council, Bank of America, Caterpillar, Capgemini, GAIL, GE, Ginni Filaments Ltd., HP, HDFC, HSBC, IBM - Daksh, IDBI Bank, Indian Institute of Foreign Trade, International Management Institute, Lotus Herbals, Microsoft, Sandwood Infratech, SAIL, Suzlon Energy, TARGET, Tata Chemicals Limited, TCS, The Grand Hotels, Times Foundation, UPS, Verint, Graphic Prints and Air France KLM etc. Smile also receives funds from individual partners, through charity sale amongst high end luxury brands like TODS and Ethos, etc.

Score baseline: 3.0

Score endline: 4.0 (improvement)

1.9.3.Funding procedures: 'Clear procedures for exploring new funding opportunities'
This is about whether there are clear procedures for getting new funding and staff are aware of these procedures.

The resource mobilization unit consists of four departments: corporate partnership, individual partnership, alliances and child for child. In the corporate department the funds raised are mostly programme level funds for either education, empowering women, healthcare or livelihoods. The new alliances department is for outreach projects, which is donor driven and fully donor financed and targets Public Sector Units and institutional collaboration. Donors are still treated as customers through donor retention and nurturing programmes for both corporate and individual donors. There was no attrition in the corporate partnership team and because of regular internal and external trainings, the momentum of fundraising from the team is good. Furthermore, the individual partnership department has started performing and some encouraging results are also seen. Trainings were given for fundraising staff on e.g. fundraising from public sector units and on face to face fundraising.

The following funding procedures are in place :

CSR Bill – The new CSR Bill which got approved by the Parliament (and will be effective from April 2014) is a great opportunity for Smile Foundation as corporate organisations would be required to spend 2 percent of their net profit for social development.

Ramp for Champs – Over the last few years Smile's celebrity fashion show for the cause has become a new property which is getting acceptance in major cities of India.

Brand Association – In the recent past Smile has experienced that because of being able to communicate well about the good work Smile is doing, many of the reputed brands are looking forward to get associated and for Smile definitely it's an opportunity.

Art Shows - The fundraising team in the recent past partnered with Hyatt to organize a multi city Art Exhibition-cum-sale. Smile did a lot of research and realized that India has a big Art market and Art could be one more interesting aspect to raise own cost or premium.

Luxury Brands - Another new area which Smile identified to raise own cost or premium is luxury brands. Smile has been successful in doing events like charity sale amongst high end luxury brands like TODS and Ethos and now they are trying to build a strategy to continuously engage luxury brands for such associations.

Celebrity Cultivation -There has been a slight improvement in celebrity's mind-set when it comes to charity. Now celebrities are (though few of them) at least trying to connect with a cause as they think it may positively impact their brand image in the society.

Mass Media Campaign - Also, mass media campaigns are gradually becoming popular amongst TV channels and it seems in coming times Smile will get an opportunity to scale up its Choone Do Aasman campaign and it may become one of the major sources of raising own cost and premium.

A challenge at the moment is the economic slowdown. Corporates have become more selective when it comes to investing for a cause. This in turn is restricting Smile to set up quality projects as even institutional funds are no longer readily available.

Score baseline: 4.0

Score endline: 4.0 (no change)

Summary of capability to act and commit
The main change in terms of leadership was the strengthening of second line management through the appointment of a Chief Operational Officer (COO). Decisions are taken in a more participatory manner in consultation with departmental heads, the COO and the executive trustee. The induction process has been streamlined and leadership is built at all levels by exposure of staff to trainings and decentralisation. Staff turnover is lower in some departments than during baseline, this is because there is more clarity on responsibilities and objectives and there are HR retention and appreciation policies in place. Staff turnover is still higher at lower levels. Structural changes in the organogram of the organisation brought in a decentralized approach that gave autonomy to different departments which further led to interdepartmental integration. Departmental heads are in a better position to address the set of skills they need due to decentralisation and more autonomy in the departments. This is guiding middle and higher level staff recruitment and at junior level staff is trained by seniors. The gap in skills in narrative reporting and marketing that was present during baseline has been filled. Trainings have improved for middle and senior level staff, but no improvement has been observed at the junior level. Next to trainings, the freedom at work makes staff members driven and enthusiastic to work for Smile, even though financial incentives are still not at par with the market.

The development of programme strategies is still part of an annual planning exercise in consultation with stakeholders. For longer term programmes strategies are adjusted when needed. There are now inter-departmental weekly meetings and more specific targets in terms of focus, defined parameters, elaborate work plans, precise and specific outcomes, guide daily operations.

Smile continues to treat its donors as customers through its retention and nurturing programmes. Donors are still treated as customers through donor retention and nurturing programmes for both corporate and individual donors. New and innovative ways of fundraising have been introduced and the new alliance department for outreach project (which is donor driven and fully donor financed and targets Public Sector Units and institutional collaboration) and individual partnership department have strengthened Smile's strategy of fundraising among public sector units and individuals. Smile continues to effectively raise funds from the corporate sector. The organisation is now tapping into individual fundraising, by implementing a much needed, strong and credible brand strategy. Smile is closely following the developments of the CSR bill for new funding opportunities. While Smile is focussing a lot on fundraising the fruits of these efforts will be reaped in the coming years. The response from the donors is usually not an immediate one.

Score baseline: 3.5

Score endline: 4.0 (slight improvement)

Capability to adapt and self-renew

Level of effective application of M&E

2.1.M&E application: 'M&E is effectively applied to assess activities, outputs and outcomes'
This is about what the monitoring and evaluation of the SPO looks at, what type of information they get at and at what level (individual, project, organisational).

As a principle, Smile has put M&E as part of its operations system. All MIS formats and systems have been made compatible at the national level within departments and respective programmes. To achieve and maintain this, regular capacity workshops have been organized covering grassroots partners of all the regions wherein need and the method of proper reporting has been stressed and it has led to improvement in this regard. The human resources within the organisation have been restructured thereby giving focused attention towards MIS requirements. Furthermore, experienced staff with M&E skills has been recruited and MIS systems have been standardized. The regional officers now send detailed monthly plans to the head office detailing actions of the tour plan and the purpose of visit. After thorough discussion with the Responsibility Centre Heads and Chief Manager Programmes, the monitoring visit plans are authorized. Monthly monitoring visit reports are shared with the head office regularly. The observations from head office are shared with the regional officer and partner on the ground. During the next visit the regional officers keep a check on feedback given to the partner. The Project Implementation Plan is in place to check the achievements against the targets on a regular basis. The communications department has been working more closely with all the programmes, as well as assessing programme outcomes and impact. It is their responsibility to communicate programme achievements and impact both within and outside the organisation.

The following systems have strengthened the existing system:

- Innovations like online web based appraisal system
- Number of site visits has increased to keep a thorough check on the monitoring aspects
- Analyses of the outcomes are done on a regular basis
- Started the feedback process to the partner and implementing staff
- Streamlined and timely MIS
- Focus on improvements in quality
- Quantifiable & results oriented system
- GPS in all Smile on Wheels

However, issues regarding the availability of technology in remote areas are still a constraint.

Score baseline: 4.0

Score endline: 4.5 (slight improvement)

2.2.M&E competencies: 'Individual competencies for performing M&E functions are in place'
This is about whether the SPO has a trained M&E person; whether other staff have basic understanding of M&E; and whether they know what information to collect, how to process the information, how to make use of the information so as to improve activities etc.

During the baseline a need for training staff to improve the quality of M&E was indicated, and workshops on M&E are a part of Smile's capacity building programme. In 2012 and 2014 regional officers were trained on maintenance of MIS, reporting, the purpose, processes and principles of M&E in the context of evaluating the impact of the projects/ programmes, and on different tools and techniques for quantitative data gathering and qualitative reporting. Furthermore, experienced management staff at the head office level continuously helps regional officers and guides them on proper M&E. There is no dedicated M&E person. Each programme has in built M&E and it is the responsibility of the programme head to take care of the M&E. However, the use of technology has made it easier to monitor and track programme activities.

Score baseline: 3.5

Score endline: 4.0 (slight improvement)

Level of strategic use of M&E

2.3.M&E for future strategies: 'M&E is effectively applied to assess the effects of delivered products and services (outcomes) for future strategies'
This is about what type of information is used by the SPO to make decisions; whether the information comes from the monitoring and evaluation; and whether M&E info influences strategic planning.

There is an improvement in the involvement of the field staff, especially regional officers and project coordinators during the planning of the future strategy. They contributed actively in terms of which indicators to include in the M&E framework. In the past, Smile has identified the shortfalls of regional and project coordinators, and other key field staff have been involved in strategy development and training on M&E. The plans for the each year are now developed through a participatory process involving all the staff members including field staff. Each division head is supposed to make a presentation on the previous year's achievements as well as plan for the coming year. This is usually done in presence of all the division heads and there is an open discussion for understanding the reasons for non-achievement of targets and planning for the future. A good example on how a better monitoring system leads to future strategies would be - Grading of STeP centres. In this case, performance grading was planned for Mission Education which formed the basis for arriving at decisions. Data is used to analyse trends and arrive at informed strategic decisions.

Score baseline: 3.5

Score endline: 3.5 (no change)

Level of openness to strategic learning

2.4.Critical reflection: 'Management stimulates frequent critical reflection meetings that also deal with learning from mistakes'
This is about whether staff talk formally about what is happening in their programmes; and, if so, how regular these meetings are; and whether staff are comfortable raising issues that are problematic.

The management still takes considerable interest in functioning of all departments, and monthly meetings are regularly held for reviews. A more participatory way of working is being encouraged by the management.

Some of the steps are:

- Annual Review – Hits & Misses
- Creation of an Operations Support Group (OSG) was constituted to further enhance the process of decision making in case of any exigency. The OSG is constituted by senior members of the program division, finance and resource mobilization department
- Monthly Review Meetings
- Setting up of Key Performance Indicators to be able to track their progress and identify reasons for poor achievement

Smile has continued to carry on it's the standard operating procedures.

Score baseline: 4.0

Score endline: 4.0 (no change)

2.5. Freedom for ideas: 'Staff feel free to come up with ideas for implementation of objectives
This is about whether staff feel that ideas they bring for implementation of the programme are welcomed and used.

Freedom for ideas has been improved as the planning exercises have become more participatory in nature and even during implementation freedom is given in terms of operating the programme but the reporting manager is kept in the loop.

Management welcomes open ideas and considers them through weekly, monthly and annual meetings. Staff can go to the executive trustee whenever they wish. Monthly meetings of all departments are held with the executive trustee. The empowerment approach towards staff by the organisation plays an important role towards coming up with good, new ideas by lots of people. The improvement is entirely due to the managers and staff of Smile itself, and most probably can be attributed to a good

return on investment in human resource development. Younger staff have been trained, have grown more knowledgeable and experienced and thus can be (and are) entrusted with more space to improvise or do things in the way they know will produce the best results.

Score baseline: 3.5

Score endline: 4.0 (slight improvement)

Level of context awareness

2.6.System for tracking environment: 'The organisation has a system for being in touch with general trends and developments in its operating environment'
This is about whether the SPO knows what is happening in its environment and whether it will affect the organisation.

Smile continues to follow a regular process of market intelligence and research, learning from the external environment. Smile also motivates employees of various departments to participate at the relevant forums and platforms so as to understand the current trends in the market which helps the organisation to align with the changing environment. While during the baseline there was a lack of linking with the government, now a new department named "Alliances and Institutional Partnership" has been set up that focusses on high value projects from Public Sector Units (PSUs) and gets in touch with like-minded institutions for financial and/or technical support.

Apart from being a member of a government based NGO advisory platform (already at the time of the baseline survey) Smile now has obtained a Special Consultative Status with The Economic and Social Council of United Nations, allowing it to follow international trends more closely. Through exchange visits and meetings with partner organisations in the AfC programme and the Together for Change alliance, Smile keeps track of the developments in the changing donor environment.

At baseline the need for more external training of staff at every level to track the environment was flagged, according to Wilde Ganzen's information such training has been provided.

Since the baseline Smile has engaged in the following initiatives:

- Following the Corporate Affairs Bill and its implications with NGOs
- Benchmarking with best in the sector
- Departmental Heads with the support of management keep track of the changes.

Score baseline: 3.5

Score endline: 4.0 (slight improvement)

2.7.Stakeholder responsiveness: 'The organisation is open and responsive to their stakeholders and the general public'
This is about what mechanisms the SPO has to get input from its stakeholders, and what they do with that input.

At Smile different departments continue to take care of stakeholder ties. The programme department is in touch with the field staff and the target group. They organised a series of 7 trainings on local fundraising for local civic groups. These have brought together an average of 30 people of 15 stakeholder organisations at a time plus 100 people at the last training in Bangalore (January 2014). The trainings are participative and all trainings are evaluated. This allows for stakeholder feedback at the beneficiary level, in addition to the mechanisms that already existed. Smile has become more responsive to various critical stakeholders, like local NGOs. The inputs that are received during capacity building workshops, meetings or planned interventions at the operational level, are used to tailor the interventions to provide maximum satisfaction to critical stakeholders. Other stakeholders like parents, teachers, health workers and other community members are now involved more frequently, for example through parent teacher meetings and village education committees.

While during the baseline there was no organised structure for keeping in touch with individual donors, Smile now has a donor servicing department for individual donors. There is now regular correspondence with individual donors as Smile has an action plan for nurturing and retaining both corporate and individual donors. This is being made more robust. Corporate Partnership events like

Ramp for Champs, Charity Dinner etc. give a platform to interact with existing supporters. Also educating them about various initiatives and impact report by the end of the financial year has been implemented.

Score baseline: 3.0

Score endline: 3.5 (slight improvement)

Summary of capability to adapt and self-renew
Over the last two years there have been some improvements in the way that M&E is applied. All MIS formats and systems are now compatible at the national level within departments and respective programmes by standardising the system and restructuring departments. The communication department works closely with all the divisions keeping track of their performance and achievement of targets and assessing programme outcomes and impact. The greater use of technology has enhanced this capacity further. The coordination between the regional officers and the head office in the M&E process has been streamlined and regional officers have received needed training on M&E. There has been an improvement of involving field staff in finalising future strategies looking at the M&E results. Smile receives input from its target group (mostly local NGOs) through their feedback on trainings they participated in and through regular feedback on planned interventions. This input is used to tailor the interventions to the stakeholders needs. Smile keeps in contact with its existing donors, both individual and corporate, through its donor nurturing and retention plan. The organisation is now better able to follow international trends through its Special Consultative Status with The Economic and Social Council of United Nations. Smile staff has also received training to be in touch with general developments in its operation environment, closely following the Corporate Affairs Bill and its implications and setting up an Alliance and Institutional Partnership department. Management welcomes open ideas and takes considerable interest in the functioning of staff through engaging in weekly, monthly and annual meetings. An improvement in this regard has been that staff have more ownership over project implementation and planning has become a more participatory exercise.

Score baseline: 3.5

Score endline: 4.0 (slight improvement)

Capability to deliver on development objectives

Extent to which organisation delivers on planned products and services

3.1.Clear operational plans: 'Organisation has clear operational plans for carrying out projects which all staff fully understand'
This is about whether each project has an operational work plan and budget, and whether staff use it in their day-to-day operations.

Smile still has operational plans for each project and weekly team meetings help to understand progress and discuss weekly plans to conduct scheduled activities. As far as systems are concerned, they were already there, however, now more focus has been given on quality enhancement. Two important improvements since the baseline are that protocols have been smoothened to quicken the implementation and that there is more synergy between the departments which is useful since programmes involve considerable inputs from the different departments.

Score baseline: 4.0

Score endline: 4.0 (no change)

3.2.Cost-effective resource use: 'Operations are based on cost-effective use of its resources'
This is about whether the SPO has the resources to do the work, and whether resources are used cost-effectively.

With the establishment of second level of leadership, the role and responsibility of each and every officer has been clearly demarcated. This helps in better programme and financial planning. With various systems in place the coordination between head office and regional officers has increased. While during the baseline the regional officers had too much responsibilities given the amount of funds

available to them, the project responsibility has now shifted from regional officers to head office. According to Wilde Ganzen's information there has also been an improvement in the funding base of several regional offices.

All projects are operating in a direct implementation mode. Under each project, monthly review of available and utilized funds helps in cost-effectiveness and proper utilization of resources. For any fundraising activity that Smile organises, they look into possibilities to get sponsors in terms of funding or free materials, services and the like, in order to keep costs as low as possible. Given Smile's culture, with senior management having a corporate background, financial considerations including cost-effectiveness have always been high on Smile's agenda.

Strengths of the current system are:

- Maximum use of technology e.g. Video Conferencing, to avoid travel costs;
- Online MIS for data compilation to address the issue of overhead costs;
- Audits as part of the general system, rather than looking at audits as only donor requirements;
- Staff is regularly sensitised on the optimum utilization of resources.

Score baseline: 3.5

Score endline: 4.0 (slight improvement)

3.3.Delivering planned outputs: 'Extent to which planned outputs are delivered'
This is about whether the SPO is able to carry out the operational plans.

Over the last two years, Smile Foundation has continued to achieve all its targets pertaining to local actions, fundraising for premium and Smile's own administrative expenses in the AfC programme according to its annual reports of 2012 and 2013. In the area of healthcare, the organisation was conferred with the 'Healthcare Leadership Award 2012' instituted by the Knowledge Resource Development & Welfare Group.

Further, apart from meeting the targets for local actions and raising funds, a lot of emphasis has been given to training and advising Local Civic Groups (Smile's partners) in fundraising, advocacy and proper programme management for Civic Actions for children. With regards to training and advising the Local Civic Groups, Smile delivered upon all its planned outputs and gave even two more trainings than planned: in July 2013 and January 2014. By the end of 2012, the training programmes also started showing results as staff and partners started feeling more confident in carrying out developmental projects. During the baseline its was flagged that the extent to which Smile could deliver planned outputs depended for a great deal on Smile's partners. With training and increased confidence of the partners, this issue is worked on. Apart from this, a number of brand building activities (big & small) were also conducted in 2012-2013.

The Project Implementation Plan chalked out at planning level gives a clear indication of targets to be achieved as per the agreed timelines with the donor. It helps in the execution and also helps achieve focus on the deliverables that Smile committed to the donor. Any changes in the timeline pertaining to deliverables are being communicated to the donor in advance.

Score baseline: 3.5

Score endline: 4.5 (improvement)

Extent to which delivered products and services are relevant for target population in terms of the effect they have

3.4.Mechanisms for beneficiary needs: 'The organisation has mechanisms in place to verify that services meet beneficiary needs'
This is about how the SPO knows that their services are meeting beneficiary needs

Before initiating new projects baseline surveys are carried out to identify the needs of the community. These surveys are done through external agencies as well as by in-house staff. During the implementation period regular feedback is taken from the community both in verbal and written

format. At the end of a training given by Smile, participants are asked to provide feedback, both collectively and individually.

MIS has become an important tool for project management. There has been a better coordination between field staff, local civic group and the head office.

Theoretically, with the rapid growth of Smile into new geographical areas, it might become more difficult to verify to what extent beneficiary needs are met. However, the systems (like the beneficiary management system) are still in place.

Score baseline: 3.5

Score endline: 3.5 (no change)

Level of work efficiency

3.5 Monitoring efficiency: 'The organisation monitors its efficiency by linking outputs and related inputs (input-output ratio's)'
This is about how the SPO knows they are efficient or not in their work.

These systems were already there, but the organisation is trying to make it more efficient. Smile Foundation has a four-tier audit and evaluation mechanism to ensure impact of investment and complete transparency and accountability in utilisation of funds. This four-tier audit mechanism reviews programmes and projects, internal operations, compliance of statutory norms and conducts an external evaluation for the impact and outcome of various development programmes. Newer systems have been brought into place to match the market standards. The auditing, evaluation & monitoring systems have been strengthened with knowledge from various auditing agencies, consultants and trainings. Social Return on Investment (SROI) is still used as a tool for measuring results. Input-output ratios are not calculated as such but in the MIS achievements are compared to targets and inflow and related outflows of resources are also monitored.

Score baseline: 3.5

Score endline: 3.5 (no change)

3.6.Balancing quality-efficiency: 'The organisation aims at balancing efficiency requirements with the quality of its work'
This is about how the SPO ensures quality work with the resources available

Smile integrated all the departments to ensure team work and optimum results. Qualified staff are motivated to use resources in an optimal way and follow operational guidelines. Resolution of issues, exchange of ideas, better planning and presence of an operational support group has helped to improve the quality and enhancing the efficiency of work. Overall, the business-like approach of Smile and the many good guidelines and procedures in place guarantee that sufficient attention is paid to achieve the balance between quality and efficiency. With the opening of new regional offices, with sometimes less experienced staff, at some places the balancing may be less than at headquarters or in 'older' regional offices.

During the baseline efficiency was sometimes compromised because of dependence of Smile on partner organizations, and also resource constraints prevented Smile from taking steps to improve conditions at regional level of operations. However, partners have now received more training in programme management and the balance between responsibilities and resources at the regional level has improved.

Smile's efficiency is ensured through:

- Communication materials;
- Donor reporting;
- Bench marking against other organisations that do work similar to Smile. This comparison stimulates them to improve their performance.

Score baseline: 3.5

Score endline: 3.5 (no change)

Summary of capability to deliver on development objectives
While operational plans are still in place for all projects, there is now more synergy between departments and protocols are smoothened for quick implementation. Cost-effectiveness has always been high on Smile's agenda. Several measures are taken to ensure this, including use of technology to avoid travel costs, seeing audits as part of the general system and sensitising staff on the issue. The responsibility load of regional offices is now more in line with their capacity in terms of resources. Smile continues to achieve the targets set out in the Project Implementation Plan at planning level. Training of local civic groups, Smile's partners, has been an important focus of the last period. This will also help Smile to deliver planned outputs through its partners. Better planning and presence of an operational support group has helped to improve the quality and efficiency of Smile's work. For monitoring its efficiency Smile continues to use SROI and links targets to achievements and inflows of resources to outflows. Systems to identify if services meet beneficiaries' needs are still in place. Smile now conducts baseline surveys to identify needs before starting a project and after its trainings participants are asked for feedback.

Score baseline: 3.5

Score endline: 3.75 (very slight change)

Capability to relate

Level of involving external parties in internal policy/strategy development

4.1.Stakeholder engagement in policies and strategies: 'The organisation maintains relations/ collaboration/alliances with its stakeholders for the benefit of the organisation'
This is about whether the SPO engages external groups in developing their policies and strategies, and how.

There have been processes and systems in place, but in the last couple of years a strong feedback mechanism from the local civic groups, corporate donors and individuals was introduced which has helped the organisation in improving the quality of its strategic planning and policies. Inputs from the partners are taken into consideration in consultation with management. During the baseline a need to increase involvement of local groups and individuals and donors in policy and strategy development, was flagged, as much focus was on corporate donors. In this regard the following improvements took place:

- Regularly being in touch with individual supporters has been a prime agenda and is implemented;
- In-kind contributions of individuals are facilitated through a volunteering cell;
- Corporate and institutional supporters continue to be nurtured, but a strong nurturing process has to be brought in place;
- "Empowering Grassroots" workshops were held in Mumbai, Bangalore and Delhi for grassroots NGOs: the aims were to provide the participants with a common platform to share their learning, success, achievements, challenges and difficulties and to also plan together for strengthening the partnership in future;
- Feedback and inputs from the participants (local civic groups: grantees from Smile's AfC programme and other programmes) during the training in January 2014 on local fundraising and mobilising support (other than financial support) were used to improve the content and approach of future trainings.

For programme implementation strategies, the needs of stakeholders, including the corporate donors, NGO partners and the community are considered, but on the organisational level policies and strategies are decided on by the senior management and second level leadership.

Score baseline: 3.0

Score endline: 3.5 (slight improvement)

Level of engagement of organisation in networks, alliances and collaborative efforts

4.2.Engagement in networks: 'Extent to which the organisation has relationships with existing networks/alliances/partnerships'
This is about what networks/alliances/partnerships the SPO engages with and why; with they are local or international; and what they do together, and how do they do it.

Smile is conducting regular capacity building workshops for its local partners, invites donors and involves celebrities in many campaigns. There has been increased participation of the organisation in the relevant forums, workshops and platforms for networking. The alliances department has been dedicated the work of presenting the organisation in such forums. An advocacy cell will be established. The networking with the local grass-root partners has increased many folds due to periodic empowering and capacity building workshops. Many events have been organised to network, nurture and strengthen the partnership with the existing donors such as donor meet, sending regular updates on the organisation development, festive greetings etc. Smile is investing in its network because they believe that in order to grow as a reputed brand, they have to make their presence in the relevant forums and also nurture the existing partnerships for the sustainability of the organisation.

Smile continues to engage in meetings and exchange visits with other Action for Children partners. The Foundation is also part of, through the AfC programme, of the Together for Change alliance, which also organises exchange events.

Smile has started an informal cooperation with Dasra, a highly professional Social Change promoting organisation coming from the corporate sector. Dasra has shared all their extensive and highly professional training materials with Smile and Wilde Ganzen free of charge. Smile staff are invited to participate in Dasra trainings. Smile has also become a part of 'National CSR Hub' of Tata Institute of Social Sciences. This means all the Public Sector Companies of India may consider Smile for implementation of big CSR projects. Smile indicated that in general, there is little collaboration and skill-sharing with other Indian NGOs, because of the highly competitive fundraising environment.

Since the baseline, Smile has started to participate and affiliate itself to a few major international bodies. Smile has been awarded a special consultative status with the Economic and Social Council (ECOSOC) of the UN. Furthermore, Smile's Director-Development was invited by UNICEF in a forum to discuss changing trends in giving culture (the tendency to donate among individuals). In the last quarter of 2013, the organisation worked closely with UNDP during a natural calamity (flood) in the North of India. Based on that linkage Smile Foundation started working with an Indian nationalized bank towards implementing a health based rehabilitation model in the flood affected areas. Finally, Smile started collaboration with the Indian Development Foundation of overseas Indians of the Ministry of Indian Overseas Affairs, and international due diligence agencies such as Charities Aid Foundation, United Way Worldwide and Guidestar.

Score baseline: 3.0

Score endline: 4.0 (improvement)

Extent to which organisation is actively engaging with target groups

4.3.Engagement with target groups: 'The organisation performs frequent visits to their target groups/ beneficiaries in their living environment'
This is about how and when the SPO meets with target groups.

A successful beneficiary management system is still operational within Smile Foundation, which helps tracking the progress and development of all the beneficiaries in its two major national level programmes. There has been improvement in the quality of monitoring visits. Smile staff handhold the local partners in terms of fundraising, brand development and project management. There are now quarterly tour planners in place to keep a complete note on each and every movement of the regional officers. With involvement of second cadre of leadership the programme operations have been smooth and a complete check is being kept in terms of programme deliverables and output. Beneficiaries are familiar with Smile's programme officers as well as in direct contact with them. Online media is now a transparent way to keep in touch with beneficiaries, e.g. through Facebook and email.

Score baseline: 4.0

Score endline: 4.0 (no change)

Level of effective relationships within the organisation

4.4.Relationships within organisation: 'Organisational structure and culture facilitates open internal contacts, communication, and decision-making'
How do staff at the SPO communicate internally? Are people free to talk to whomever they need to talk to? When and at what forum? What are the internal mechanisms for sharing information and building relationships?

Wilde Ganzen staff has experienced and heard from staff that Smile has an open internal culture that is quite uncommon in India. At the same time, while staff tended to look to their CEO for the final word before, they are now taking more responsibility of their own, daring to speak out more, also if the CEO is present. Wilde Ganzen observed that this is because both the CEO and new COO stimulate people to speak up, come with ideas and take responsibility. Within the organisation there is an openness for suggestions and necessary changes are brought about after coming to a consensus. During the national conference which is an annual event for all Smile staff they learn from other Smile staff working in other states by sharing their experiences. Apart from regular practice of internal contacts, communication and decision making, Smile gives more focus to a friendly environment to make learning more effective. Some of other steps taken in this regard are:

- An Operations Support Group was constituted by senior members of the programme division, finance and resource mobilisation departments to further enhance the process of decision making in case of any exigency;
- Decentralisation and consultative approach: gave autonomy to different departments, led to interdepartmental integration so that staff are enabled to share and learn from other departments;
- Staff's one to one interaction with external HR Consultant.

Score baseline: 4.0

Score endline: 4.5 (slight improvement)

Summary of capability to relate
There has been some improvement in involving local groups (through workshops and trainings) and individual donors (through a regular contact and a volunteer cell) in policy and strategy development. However, this is only at the programme level. At the organisational level senior management and second line leadership make the decisions. Smile has increased its participation in relevant forums, workshops and platforms for networking and has become affiliated with a few major international bodies like the ECOSOC of the UN, UNICEF and the Indian Development Foundation of overseas Indians of the Ministry of Indian Overseas Affairs.

The quality of the monitoring visits to beneficiaries has improved. Online media, like Facebook and email, are now being used to stay connected to the beneficiaries. While Smile continues to have an open internal culture, staff do now dare to speak out more which is stimulated by both the CEO and new COO. The decentralisation of the organisational structure led to interdepartmental integration so that staff are enabled to share and learn more from other departments.

Score baseline: 3.5

Score endline: 4.0 (slight improvement)

Capability to achieve coherence

Existence of mechanisms for coherence

5.1.Revisiting vision, mission: 'Vision, mission and strategies regularly discussed in the organisation'
This is about whether there is a vision, mission and strategies; how often staff discuss/revise vision, mission and strategies; and who is involved in this.

There have been many internal discussion platforms wherein management has shared their vision and mission with the employees. In such discussions many queries were resolved and at present the entire organisation works towards the same mission and vision. Staff and the director grew closer together as both their visions (fundraising and sensitising the community) are now combined. The director is now perfectly aware that the funding base needs to be broadened (whereas before he heavily leaned on companies alone and his personal network of owners of large companies to cover any deficits that might occur). Smile has definitely decided that they want to belong to the top 10 or top 5 fundraising organisations, but at the same time, sensitizing society will also remain a core element of Smile's approach.

To align the mission and vision of the organisation there is the annual goal and work plan meeting in which the focus is to address the life cycle approach i.e. children, their families and their communities. This workshop helps the employees in all the departments to align their work and ideas with the vision of organisation as Smile is and would remain a programme oriented organisation and improved fundraising would help execute these programmes. Thus, it is the cycle in which Smile implements its programme, sensitises the society and communicates with its stakeholders which helps in fundraising.

There have been multiple levels of interaction between the management and the staff. The emphasis has been to develop the organisation as a respected and trusted entity. Thus, every department works for the same mission. Since regular discussions and get-togethers have happened within the organisation at various levels and collectively for building coherence within the teams, the agenda of discussion usually comprises of vision of the organisation and ways to achieve it. While usually new team members take time to understand the long term vision, seniors also make it a point to spread the same philosophy across all levels.

Score baseline: 3.0

Score endline: 4.0 (improvement)

5.2.Operational guidelines: 'Operational guidelines (technical, admin, HRM) are in place and used and supported by the management'
This is about whether there are operational guidelines, which operational guidelines exist; and how they are used.

As the organisation is growing and new donors are partnering, there has been a need of better operational processes to enhance donor retention and nurturing. Standard Operational Procedures are now in place for this area. Although other processes and systems were already in place, the organisation has made a lot of quality improvement from time to time and has reviewed operational guidelines, and donor management system guidelines.

Score baseline: 4.0

Score endline: 4.0 (no change)

Level of coherence of various efforts of organisation

5.3.Alignment with vision, mission: 'Projects, strategies and associated operations are in line with the vision and mission of the organisation'
This is about whether the operations and strategies are line with the vision/mission of the SPO.

In order to bring an alignment to the vision and mission of Smile Foundation, an annual goal and work plan meeting is conducted every year. Goals and work plans ensure to keep the teams focussed. The exercise helps the employees of all the departments and divisions to align their work and ideas with the vision of organisation, which still is to improve the lives of under-privileged children, youth and women. The idea of the 'Life Cycle Approach' of development, i.e. children, their families and the community is established in such exercises. Social Venture Philanthropy is used as a key intervention to enhance the capacities of communities. This strategy is very similar to the model (local fundraising, brand enhancement, training of local civic groups and overall sustainability) used in Action for Children programme and continues to be used in Smile's other programmes as well. All their programmes are in line with the vision of the organisation.

Score baseline: 4.0

Score endline: 4.0 (no change)

5.4.Mutually supportive efforts: 'The portfolio of project (activities) provides opportunities for mutually supportive efforts'
This is about whether the efforts in one project complement/support efforts in other projects.

The avenues have been created for cross-learning between all the projects. The success and learnings of one programme is replicated in the other programmes. The training instruments and training workshops developed under the Action for Children programme continue to be used for training beneficiary organisations from other programmes of Smile as well. All the programmes are mutually supportive as all link to Smile's full life cycle approach to improving the lives of children, their families and their communities: education, health, livelihoods, girl-child and women empowerment.

Score baseline: 4.0

Score endline: 4.0 (no change)

Summary of capability to achieve coherence
The entire organisation now works towards the same mission and vision. The visions of staff and the director grew closer together as both their visions, focus on fundraising and sensitising the community respectively, are now combined. Annual goal and work plan meetings help staff to align their work and ideas with the vision of the organisation which still is to improve the lives of under-privileged children, youth and women by adopting a Life Cycle Approach of development. All programmes are in line with this vision. All programmes of Smile are mutually supportive and cross-learning between projects is applied. Operational guidelines are in place and are updated from time to time. Standard Operational Procedures for donor retention and nurturing are strengthened.

Score baseline: 3.75

Score endline: 4.0 (very slight change)

Appendix 4 Results - key changes in organisational capacity - general causal map

As the changes in organisational capacity in the general causal map and the detailed causal maps overlap completely, please refer to Appendix 5 for the detailed narrative and map.

Appendix 5 Results - attribution of changes in organisational capacity - detailed causal maps

The evaluation team carried out an endline assessment at Smile from 14 to 16 May 2014. During this workshop, the team made a recap of key features of the organisation in the baseline in 2012 (such as vision, mission, strategies, clients, partnerships). This was the basis for discussing changes that had happened to the organisation since the baseline. The two main changes that happened in the organisation since the baseline, as identified by the staff during self -assessments, interviews and during the workshop were:

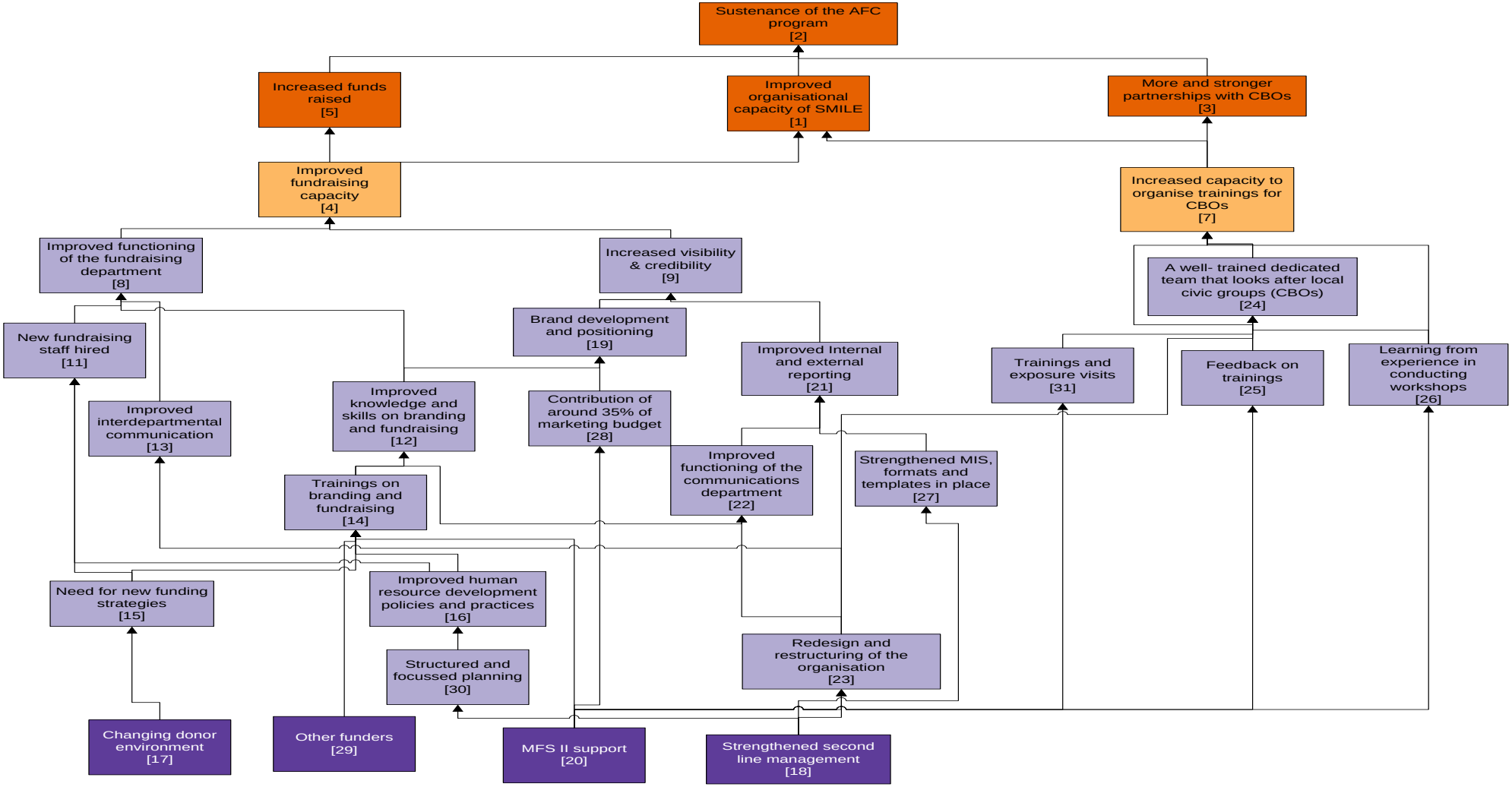
- Improved fundraising capacity, and related to this improved visibility and credibility of Smile;
- Improved capacity of Smile to organise trainings for CBOs.

These two changes happened to coincide with the outcome areas that were chosen for process tracing, so as to get detailed information on how these changes in organisational capacity came about. Therefore the general causal map overlaps strongly with the causal maps developed for each of these outcome areas/organisational capacity changes to be analysed during the process tracing. All the details about these changes in organisational capacity as well as the underlying factors that influenced these changes are described in the narrative and visual below.

During the course of the last two years, 2012 - 2014 (the period under focus for this evaluation), Smile Foundation (Smile) has undertaken several initiatives to improve its organizational capacity to bring about sustainability. This goal has mandated Smile to further improve its funding situation in order to continue its ongoing programmes, nurture community level partners as well as adopt a focused approach to capacity building. The focus has been more on the area of strengthening internal capacities for fundraising and setting forth an integrated approach to draw on expertise internally available and if lacking, fill in the gap with outsourced resource persons. There are two key underlying factors that have strongly influenced these changes in organisational capacity:

1. Strengthened senior management;
2. Changes in the donor environment.

The two main organisational capacity changes are described in the light orange boxes and some of their key consequences are noted above these cards in dark orange. Light purple boxes represent factors and aspects that influence the key organisational capacity changes (in light orange). Key underlying factors that have impacted the organisation are listed at the bottom in dark purple. The narrative describes per organisational capacity change, the contributing factors as described from the top down. The numbers in the visual correspond with the numbers in the narrative.


Sustenance of the AFC program [2]
Increased funds raised [5]
Improved organisational capacity of SMILE [1]
More and stronger partnerships with CBOs [3]
Improved fundraising capacity [4]
Increased capacity to organise trainings for CBOs [7]
Improved functioning of the fundraising department [8]
Increased visibility & credibility [9]
A well- trained dedicated team that looks after local civic groups (CBOs) [24]
New fundraising staff hired [11]
Brand development and positioning [19]
Improved Internal and external reporting [21]
Trainings and exposure visits [31]
Feedback on trainings [25]
Learning from experience in conducting workshops [26]
Improved interdepartmental communication [13]
Improved knowledge and skills on branding and fundraising [12]
Contribution of around 35% of marketing budget [28]
Improved functioning of the communications department [22]
Strengthened MIS, formats and templates in place [27]
Trainings on branding and fundraising [14]
Need for new funding strategies [15]
Improved human resource development policies and practices [16]
Redesign and restructuring of the organisation [23]
Structured and focussed planning [30]
Changing donor environment [17]
Other funders [29]
MFS II support [20]
Strengthened second line management [18]

Improved Fundraising Capacity

As a consequence of Smile's improved fundraising capacity [4], more funds were raised [5] and the overall organisational capacity of Smile was strengthened [1]. Smile's improved capacity to raise funds [4] has led to increased funds raised [5] [Source: Endline Assessment CFA]. This is evident from, for example the premiums raised among the middle class and the corporate sector in the year 2012 and 2013. In 2012, a total of € 86,179 was raised as a premium against the annual target of € 53,375. Towards this premium, a major contribution was made by Prestige Group, CGI, National Small Industries Corporation Ltd. and Zeetex and Concern India Foundation [Source: Smile Foundation-Narrative 2012]. In 2013, a total of € 82,804 was raised as a premium against the annual target of € 78,785. Major contributions were made by corporate like TODS, Ericson, Tuskar Harley Davidson, ZAFCO, Tata Motors, LIC, United Way of Mumbai and Philips [Source: AfC Narrative Reporting 2013 Smile delivered 20140210]. The increase in amount of funds raised together with the improved organisational capacity[1] and more and stronger partnerships with CBOs [3] (explained further on) in turn contributed to the sustainability of Smile's projects, especially the Action for Children (AfC) programme [2].

The strengthened focus on raising more funds was one of the key areas that was identified by the management keeping in line with Smile's philosophy of civic driven change to increase the domestic donor base [Source: Interview with COO]. The fundraising department is using innovative ideas for fundraising, some examples:

- 'Ramp for Champs' is one of the many innovative initiatives that Smile Foundation has undertaken to raise resources for the education of underprivileged girls by organizing fashion shows and raising resources through the corporate sector [Source: AfC Narrative Reporting 2013 Smile delivered 20140210].

- 'Serve with Smile Week' is an innovative concept initiated by Smile Foundation to raise funds for the nutrition of the underprivileged children. The aim of the campaign was "Nutrition for Better Literacy". The target audiences of this campaign were the restaurant owners and the regular restaurant goers, who could empathize with the underprivileged children, who did not even get a proper meal in a day. This campaign touched the lives and hearts of 35 lakh (3.5 million) people through various media initiatives, from print media to social media [Source: Smile Foundation-Narrative 2012].

- CSR Bill – The new CSR Bill which got approved by the Parliament (and will be effective from April 2014) is a great opportunity for Smile Foundation to raise funds as corporate organisations would be required to spend 2 percent of their net profit for social development [Source: Outline AfC Narrative Reporting 2014].

- Brand Association – In the recent past Smile has experienced that because of being able to communicate well about the good work Smile is doing, many of the reputed brands are looking forward to get associated and for Smile definitely it's an opportunity [Source: Outline AfC Narrative Reporting 2014].

- Art Shows - The fundraising team in the recent past partnered with Hyatt to organize a multi city Art Exhibition-cum-sale. Smile did a lot of research and realized that India has a big Art market and Art could be one more interesting aspect to raise own cost or premium [Source: Outline AfC Narrative Reporting 2014].

- Luxury Brands - Another new area which Smile identified to raise own cost or premium is luxury brands. Smile has been successful in doing events like charity sale amongst high end luxury brands like TODS and Ethos and now they are trying to build a strategy to continuously engage luxury brands for such associations [Source: Outline AfC Narrative Reporting 2014].

- Celebrity Cultivation -There has been a slight improvement in celebrity's mind-set when it comes to charity. Now celebrities are (though few of them) at least trying to connect with a cause as

they think it may positively impact their brand image in the society [Source: Outline AfC Narrative Reporting 2014].

- Mass Media Campaign - Also, mass media campaigns are gradually becoming popular amongst TV channels and it seems in coming times Smile will get an opportunity to scale up its Choone Do Aasman campaign and it may become one of the major sources of raising own cost and premium [Source: Outline AfC Narrative Reporting 2014].

Improved fundraising capacity [4] was a key organisational capacity change that was mentioned by many staff during the workshop and their self-assessments. Smile's capacity to raise funds has improved mainly because of the improved functioning of its fundraising department [8] [Source: AfC Narrative 2012, Outline AP AfC Prog 2013] and its improved visibility and credibility [9] [Source: Smile Foundation Website].

Improved functioning of the fundraising department [8]

Smile has a full-fledged improved fundraising team [8] consisting of 14 staff, responsible for raising its own cost and premium from high net worth individuals[7] and corporates. Also each department has corporate, individual, institutional and child for child fundraising staff. They use various modes of fundraising namely, the pay roll giving program, corporate contribution to a project, fundraising from cause related marketing, fundraising from events, direct mailing and e-direct mailing activities, general donations etc. [Source: Outline Annual Plan AFC programme 2013, Monitoringvisit WildeGanzen at Smile April 2014]. The national fundraising team is based in Delhi, Mumbai and Bangalore. The organisation would like to increase the team strength to focus on individual fundraising based in Delhi, Mumbai and Bangalore. Every member of the Corporate Partnership department is well trained to generate resources from corporates. Similarly, the direct mailing and direct e-mailing activities are done from Delhi but it is being planned to extend this team to other cities so that more individuals can be approached [Source: Evaluation Workshop May 2014, IP-2014, COO Interview, Outline Annual Plan AFC programme 2014 (3) Final delivered 30092013, Monitoringvisit WildeGanzen at Smile April 2014]. A restructuring of the resource department clearly highlights the intent on fundraising. In 2014, the Individual Partnership (IP) sub-division under the resource department was strengthened as is evident from the responsibility centre structure of 2014 [Source: HR PPT Goals Work plan 2014] which shows innovative approaches to connect with existing and potential donors. These initiatives include direct mailing, online resources, IP donor servicing and nurturing new donors. These were brought in to further strengthen fundraising from individuals [Source: IP-2014, Corporate Partnerships, Presentation - Content & Creative]. Further, Smile is preparing to set up a new programme for individual fundraising. From their research they found that one of the main challenges is the competition with Indian NGOs who can invest vast amounts in building their social and fundraising programmes. With limited resources available, developing a strong and profitable individual giving programme poses a challenge to Smile. The current network of corporate high-level individuals can be a powerful entry point to set up a medium and a major donor programme in the near future. Smile will try to create linkages between the individual giving with corporate giving programmes [Source: Monitoringvisit WildeGanzen at Smile April 2014].

The functioning of the fundraising department improved [8] because new fundraising staff was hired [11], knowledge and skills on fundraising and branding improved [12] and interdepartmental communication improved [13].

- **New fundraising staff was hired [11]**
  In order to fulfil its mandate to mobilise resources Smile recruited staff who had expertise in fundraising. As an example of new fundraising staff, a General Manager for fundraising was hired who, in his previous job, had worked on fundraising and brand promotion through event and corporate alliances [Source: Minutes of AfC meeting Mombasa 17-10-2012]. The responsibility of Manager of Alliances and Institutional Partnerships was given to someone who had worked on CSR

7 High Net worth Individuals are those having investable assets (financial assets, excluding primary residence) of $1 million or more.

in her previous job. Finally, a Manager for Corporate Partnerships was recruited who had nine years of experience in the corporate sector and in resource mobilisation [Source: Discussions during workshops].

- **Improved interdepartmental communication [13]** improved because of a redesign and restructuring of the organisation [23] by strengthened second line management [18]. This was an important step in a direction to further decentralize Smile's organizational structure and empower respective departmental leads to take proactive initiatives in the sustenance of the organisation. The overstrained departmental heads are now supported by junior staff. This restructuring has reduced the burden on the senior staff and has given them sufficient time to work on improvements of the existing processes. The communications department is now divided into internal and external communications divisions. While the internal department creates content (types of programs being implemented, their impact etc.) for circulation within and outside the organization the external division is responsible for public relations and media coverage, so that Smile foundation as a brand may be read out clearly in the society to further improve its visibility. Senior staff from the fundraising department also had more time to identify newer contextual issues and sharing with and learning from other organisations helped them acquire new ideas to develop better proposals for resource mobilisation. The new Chief Operations Officer (COO) reviewed the roles and responsibilities of the staff, their capacities and their workloads and chalked out the path forward for each departmental head and created a mechanism for coordination and cross accountability for each head [Source: Evaluation workshop May 2014, COO Interview, Endline workshop]. This enabled staff to share and learn from other departments within the organisation which further improved the functioning of the fundraising department. The revamped structure brought in a decentralized and consultative approach that gave autonomy to different departments which further led to improved interdepartmental communication. An Operations Support Group (OSG) [Source: Evaluation Workshop, May 2014, COO interview] was constituted to further enhance the process of decision making in case of any exigency. The OSG is constituted by senior members of the program division, finance and resource mobilization department. In case of any exigency they call for a meeting of all the departments and try to solve the issue at hand together. Since all the departments are present, action can be taken immediately to resolve the issues. OSG also creates a platform where all the senior members of different departments meet to exchange ideas and take actions quickly. It has improved/streamlined the competence and compliance of the organisation for better operation of the programmes. No minutes of the meetings are kept by Smile as they consider it an informal forum to solve issues of the organization [Source: Evaluation Workshop, May 2014].
- **Knowledge and skills on fundraising and branding improved [12]** because of several trainings/workshops, exchange events organized by Wilde Ganzen and several in house training workshops on branding and fundraising[14]. Some of these trainings were funded by MFS II [20] some by other funders [29]. Details of the trainings/workshops and exchange visits that had an impact on fundraising and branding are as follows:
  - In 2011[8]:

    Everybody Wins: Negotiating Skills for Managers: This training lead to a better coordination with the program and fundraising team and was expected to help in donor retention and converting occasional donors to loyal donors [Source: 5C endline_support to capacity development sheet_SPO perspective_India_Smile]. This training was funded by the Institute of Rural Management Anand, Gujarat.

    ABC Leadership - Building High Performance Teams: This training improved the knowledge of the participants on fundraising [Source: 5C endline_support to capacity development sheet_SPO perspective_India_Smile]. This training was funded by Quantum Leap Performance Solutions Bangalore - A professional training and corporate coaching company.
  - In 2012, 2013:

    Exchange Visit to Soul City Institute (South Africa): A two member team went to Soul City Institute in South Africa for an exchange program in the month of May 2012. The National Director-CFC and the Assistant Manager, Communications stayed at Soul City Institute and enhanced their knowledge on Soul City's brand communication strategies and

[8] Though the period of evaluation is between 2012-2014 , we cannot disregard the trainings that were given in the year 2011 as the impact of these trainings would have been visible only in the subsequent years.

activities and helped them make an effort to implement them suitably in communication for brand building of Smile Foundation in the future [Source: Smile Foundation-Narrative 2012; Smile exchange with Soul City]. This exchange visit was funded by MFS II.

Exchange visit to Kenya: In November, 2013, three staff members from the fundraising background visited KCDF (Kenyan partner under AfC programme) for an exchange visit of 3 days. The idea behind this exchange was to create a networking platform among the four international AfC partners to share each other's experience, build the capacity of fundraising staff towards better brand integration for fundraising and also to learn about donor retention strategy, unique fundraising ideas like Charity Golf etc. [Source: AfC Narrative Reporting 2013 Smile delivered 20140210, Report on Exchange Learning Visit with KCDF by Smile]. As per the report submitted by the participants from Smile this was a good learning experience that enhanced their understanding on the programme implemented by their partner in Kenya as well as their unique fundraising ideas, asset development methods, donor retention strategies, networking strategies, high value institutional fundraising etc.[Source Report on Exchange Learning Visit with KCDF by Smile]. This exchange visit was funded by MFS II.

AfC (Action for Children) Directors' Meet: Two different meetings were organised in 2012 & 2013, in Kenya and Brazil respectively. Important issues discussed were – challenges of fund-raising, continuation of support beyond 2015, and furthering cause related marketing. The meeting of 2013 set the tone for innovations on empowering the grassroots, and brand building. [Source: AFC Directors Meet 2013- Brazil, AfC Narrative Reporting 2013 Smile delivered 20140210, Minutes of AfC meeting Mombasa 17-10-2012, 5c endline _questionnaire _training_participant_perspective _India_Smile_namep_Smile_Kavita Tiwari (Resource Mobilization) participant]. The take home action points after the Kenya meeting was the need to diversify donor base as well as to focus on individual donors [Source: Minutes of AfC meeting Mombasa 17-10-2012,pg 24]. An evaluation of the Directors' Meeting 2013 by the partners including Smile revealed the meeting was very useful as there were in depth discussions around fundraising and that this was an excellent platform for sharing experiences [Source: AFC Directors Meet 2013- Brazil]. These Directors' Meets were funded by MFS II.

A three day capacity building workshop was organized for all the staff of Smile Foundation: There was a pan India participation of staff from all the regions. The workshop was focused on Fundraising, Leadership, Program Management & Governance, Brand Development and Media Advocacy. This helped in improving efficiency in fundraising [Source: 5C endline_support to capacity development sheet_SPO perspective_India_Smile]. The MFS II funds supported the expenses of the AfC program staff to attend this conference [Source: Discussions during workshop]. Further, a special session was organized for the National Fundraising Team of Smile Foundation. The team was exposed to new ways of fundraising for raising premium and organizational cost [Source: AfC Narrative Reporting 2013 Smile delivered 20140210].

Training on Fundraising from Public Sector Units: Earlier in the 3rd quarter of 2012 in-house regional training of Corporate Partnership team (fundraising team) was conducted in Mumbai funded by MFS II. The objective was to build the understanding of fundraising from Public Sector Units (PSU) in India, so that it enhances the capacities of fundraising team to raise significant amount for premium and organization cost. PSUs as per the direction of Government of India have to invest some percentage of their profits for social development [Source: Smile Foundation-Narrative 2012, 5C endline_support to capacity development sheet_SPO perspective_India_Smile.]

Face- to- Face fundraising workshop: In the 1st quarter of 2012, the Individual Partnership divisions along with other marketing professionals of Smile Foundation were participated to Face to Face Fundraising training session organized by South Asian Fundraising Group (SAFRG). The aim was to help the participants learn the important skill and tips which requires on field while approaching a new donor [Source: Smile Foundation-Narrative 2012, 5C endline_support to capacity development sheet_SPO perspective_India_Smile].

Smile started hiring new fundraising staff [11] and focusing more on capacity building of staff on fundraising and branding [14] because of: a need for new fundraising strategies [15] [Source: Outline

AfC Narrative Reporting 2013-1st Quarter] and improvement of human resource development policies and practices [16] [Source: interview with the COO, HR PPT Goals Work Plan 2014, Thank you and Spot the hero card, Evaluation Workshop, May 2014, 5 C Endline Assessment - Group - I - management - Smile - India]. New fundraising strategies [15] were needed because of changes in the donor environment [17]:

- **End of contract with Wilde Ganzen in 2015.** As per the contract with Wilde Ganzen (WG), Smile foundation would get funds, if an ever increasing part of the project finances were raised by Smile and other stakeholders of the project [Source: Contract for Together for Change Programme, 2011-15]]. In 2011, out of a total project cost, 62% was borne by WG and the remaining 38% percent was raised by Smile, however towards the end of 2015 only 26% of the total project cost will be given by WG and the remaining 74% will have to be raised by Smile. Also, WG in a number of communications has hinted at the reduction or uncertainty of a next phase of funding after MFS II [Source: Minutes of AfC Directors Meet, Kenya, September 2012]. Clear indications have been given that Smile should look to diversify its donor base.
- **Dwindling foreign resources** bring in the need to compete more aggressively with other similar NGOs working on issues of children, as the competition becomes tougher with smaller pots of money. There has been a notable decrease in the funders base mainly with foreign funds, owing to a very volatile donor environment across the world and more so in India. [Source: http://cprindia.org/Spring_2014_IDCR_Report_the_State_of_Indian_Development_Cooperation.pdf]. Most foreign donors have been revising their grant making policies and funding priorities, and the current trend in India shows a decline in foreign funds and conclusion of operations by certain bilateral and multilateral organisations. International posturing of successive Indian governments has been that of a developing to developed nation, building on its economic growth, and a young, educated, and expanding middle class. Also the challenge at the moment is the economic slowdown. Corporates have become more selective when it comes to investing for a cause. This in turn is restricting Smile to set up quality projects as even institutional funds are no longer readily available [Source: Outline AfC Narrative Reporting 2014]. However, things on the ground tell a different story. The situation speaks of new forms of poverty, deprivation, inequalities and suffering. That said, aid has not been more than a trickle, with aid policies of the developing world reorganized with respect to India [Source: Smile Foundation-Narrative 2012].
- **New opportunities for (local) fundraising:** Every closed door opens several new windows. The new Companies Act 2014, with a very strong CSR Clause, mandates companies to proactively design and undertake welfare and other developmental activities. This is seen as a great opportunity for Smile as the corporate sector would be required to spend 2% of their net profit for social development actions. Smile is devising its own strategies to tap into this potential windfall [Source: AFC Narrative Reporting 2013 Smile, COO Interview, Hospitality Biz India __ CSR_ Practice What You Preach].

Smile is and has been operating in a highly competitive funding environment. This space has become increasingly competitive with new players both in the NGOs community in India, and the corporate sectors. As explained in more detail above, there has been a notable decrease in the funders base mainly with foreign funds, owing to a very volatile donor environment across the world and more so in India. Smile's mission is to increase its domestic donor base, which has therefore prompted the organization to look at its internal structure, the necessary skills sets and strategies to successfully diversify its funding base. In addition to increasing its fundraising capacity, Smile decided to focus on three key areas: Communication, Visibility and Branding [Source: Evaluation Workshop May 2014, AfC Narrative Reporting 2013 Smile delivered 20140210], see also below.

The improvement of human resource development policies and practices [16] consisted of:

- **An improved appraisal system**: An OD consultant, who has been more of an accompanying mentor in the past was involved in the appraisal process [Source: interview with the COO] and reported to the senior management the training needs of Smile's staff, their strengths and weaknesses, and ability to deliver in time. This in turn led to a better match between training needs and selection of participants. [Source: HR PPT Goals Work Plan 2014].

- **Better staff retention initiatives**: Besides training opportunities, a series of new initiatives such as 'Spot the Hero', 'Thank you cards', and open acknowledgement of the efforts of staff at national meetings, further added to the motivation of the staff and their retention [Source: Thank you and Spot the hero card, Evaluation Workshop, May 2014].
- **Hiring new skilled staff**: Several new positions were created and recruited against. At the same time Smile proactively looked at professional skill sets to hire new staff against vacant positions. [Source: Evaluation Workshop, May 2014]. The idea was two pronged: first, to have clear cut accountability demarcations of responsibilities; and second, to plug the identified gaps in skill sets so that dependence on outside resource is reduced.

Human resource development policies improved [16] because of more structured an focused planning [30] that was introduced by a new Chief Operations Officer (COO) who was hired in January 2013 [Source: Interview with Founder Trustee] with a view to give this position more independence to deal with day to day running of Smile's operations, while the founder trustee could focus more on strategic and patronage issues to Smile [Source: Outline Narrative Reporting, AfC Narrative Reporting, 2013-1st Quarter], as well as strategic visibility, credibility and fundraising issues pertaining to the organisation. This was a strengthening of second line management [Source: Interview with Founder Trustee] [18].

Improved visibility and credibility of the organization

Smile increased its visibility and credibility [9] because of brand development and brand positioning [19] and because of improved internal and external reporting [21]. Smile's improved visibility and credibility [9] is evident from awards and recognitions received by Smile [Source: Smile Foundation Website]. For example Smile Foundation was conferred with the "EDUCATION EXCELLENCE AWARDS – 2013" by the Associated Chambers of Commerce and Industries (ASSOCHAM) & The Education. The award is given to a university / institute and individuals performing their best in education sector. Smile Foundation was also awarded the Corporate Excellence Award for NGO Excellence by the Institute of Public Enterprise (IPE); a Hyderabad based non-profit educational society, endorsed by World CSR Day and Asian Confederation of Business. The IPE Corporate Excellence Awards recognize and honor companies as well as individuals who, through their corporate practices, have helped to raise India's corporate disclosure standards and corporate governance. The Awards seek to identify and celebrate those companies that have had a positive impact on our environment and society as well as their business. Smile Foundation has been awarded the GE Healthcare - Modern Medicare Excellence Awards for its phenomenal work in healthcare. The 'NGO of the Year' award was given to Smile Foundation from among five nominations, in recognition of its phenomenal work supporting medical causes and offering various services within the healthcare industry. This award is instituted by GE Healthcare, a division of the global giant General Electric, which is into manufacturing and marketing of specialized hospital and pharmaceutical equipment. The objective of this award is to recognize real heroes in healthcare areas, especially related to hospitals, individual doctors and other NGO organizations which have contributed to the society in a large way. All these awards proof that Smile Foundations has improved its visibility and credibility as an organization [9] [Source: Smile Foundation Website].

Brand development and brand positioning [19] have been key parts of the agreement between Smile and Wilde Ganzen [Source: Contract for Together for Change Programme, 2011-15]. This has been one of the key deliverables supported by MFS II funding [28] [20]. During the period under review (2012-14), Smile has improved its visibility through the following brand development and brand positioning activities:

- Live streaming of target children's interviews;
- Use of radio and television;
- New branding activities, like celebrity engagement and endorsements, new corporate engagements and collaborative events, media campaigns, motorbike rallies, participation in film festival on children's films, art shows, short film on impact of Smile's programme, online media work for public relations; The film 'I am Kalam' was mainly used for branding of Smile. It was

shown to many groups, which created visibility [Source: Minutes of AfC meeting Mombasa 17-10-2012].

- Brand development and fund raising from middle class and corporates;
- Branding in digital space including website improvement and social media like Facebook and YouTube.

[Source: techecomm_2014, Sandip. Comm. 21052014, External Communication 2014 – 2015, IP-2014]

Wilde Ganzen has supported the branding and marketing of Smile with MFS II funds [20] [Source: [Interview with COO, Contract for Together for Change Programme, 2011-15] making up to around 35 percent of Smile's total marketing budget [28] for the Action for Children programme. The funding was earmarked but with a high amount of freedom on how to spend it within the given aim. Brand development and brand positioning [19] has also improved because of improved knowledge and skills on branding and fundraising [12], which was a result of training on branding and fundraising [14], which were partly funded by MFS II [20] [Source: Interview with COO; Contract for Together for Change Programme, 2011-15], see also the explanation on this above.

Smile's credibility [9] improved because of improved internal and external reporting [21], which are part of the overall improved M&E and governance of Smile. Internal reporting includes better and more timely reports because of strengthened MIS and formats and templates in place [27]. Processes, procedures and systems for this were strengthened by new second line management [18]. The external reporting [21] improved mainly due to the improved functioning of the communications department [22].

The communications department has been redesigned with a clear brief of improving internal communications, linking and learning, external communication, communication on programme achievements and impact. Over the last two years the communications department has changed its ways of working to maximize the impact of communications on the organisation [22]. Internally the department has been working more closely with programmes, as well as engaging target groups with programmes and programme impact. Target groups are defined as journalists, policy makers, educationists and parents of young children. Communications is an area that is still evolving, especially for charities, and non-governmental organizations. With competition to have an edge over rivals and/or bidders for the same pot of money rising, Smile has started engaging with PR Agencies, creative agencies and events management firms to communicate its work and to appeal for support. Smile has focused on accurate and relevant information which has helped it to earn respect and recognition. At times Smile has used customized communication for a target audience and selected stakeholders by outsourcing new material with concept and control remaining with Smile [Source: AfC Narrative Reporting 2013 Smile delivered 20140210, External Communication 2014 – 2015, IP-2014].

As is evident in the self-assessment sheet for field staff that new donors like Union Bank, LIC, RECL, Hyatt, Harley Davidson etc., have roped in and testimony to all organizations engaged in fundraising, a vibrant communication strategy, specific and specialized communication material for acquisition, retention of corporate and individual donors, receiving timely trainings for all fundraising teams along with aggressive branding further enhance the chance of garnering more resources. In a fast changing world, Smile decided to look at the key functions of communications, visibility and branding in greater detail. All three functions are intermeshed together, with the focus on visibility and funds generation. During the endline workshop at Smile, this was explained in detail by the Smile team and the concerned departmental heads and their team members [Source: Evaluation Workshop May 2014, AfC Narrative Reporting 2013 Smile delivered 20140210, 5C Endline Assessment - India Smile - field staff].

The communications department is working better [22] because trainings have been conducted for field staff on photography and case study documentation as they are the first point at the field in the middle of the action [Source: learnings from IP sessions, Report workshop March 3-7, Evaluation Workshop May 2014]. The trainings have helped generate good quality information which is further edited and brushed-up before being used in various communication and related actions. 2013-14 has been focus year for "Capturing our Impact" which for Smile has meant – "to tell our stories better".

Thus the communications department improved because of trainings [14] and a redesign and restructuring of the organization [23] by the new second line management [18]. This restructuring included clarification of roles and responsibilities and a more decentralised and consultative approach.

This restructuring also led to a division of the communications department into internal and external divisions. While creative/content management and technology was brought under the internal communications division; media advocacy and a new sub-division called "Celebrities and Events integration" for brand development was brought under the external communications division. This is evident from a comparison between its current [Source: HR PPT Goals Work plan 2014] and 2012 organograms [Source: STeP_2012 (operational guidelines)].

Improved capacity of Smile to organise trainings for CBOs

Smile has improved its capacity to organise trainings for CBOs over the last two years [7]. This has been keeping in line with the Social Venture Philanthropy (SVP) model of Smile as well as the requirements of the contract with Wilde Ganzen. Smile Foundation is guided by the philosophy of Social Venture Philanthropy, in which they identify handholds and build capacities of genuine grassroots NGOs to achieve accountability, sustainability, scalability and leadership. Smile provides seed money for launch of new projects, expansion of old projects, and also emphasizes regular counseling, better productivity, efficiency enhancement, capacity building of grassroots NGO's, communication and a process of Good Governance.

As per the agreement between Smile and Wilde Ganzen training and advising local civic groups in fundraising and advocacy for civic actions for children is one of the mentioned outputs in the Terms of Reference [Source: Contract for Together for Change Programme, 2011-15]. In delivering this output, Smile has improved its capacity to organise trainings for CBOs. This was confirmed in an interview with Wilde Ganzen and can be found in the Empowering Grassroots training report of July 2013. While Smile focused on streamlining its relations with its partners in the initial years of the contract, during the last two years Smile mainly focused on capacity development of partners [Source: Evaluation Workshop May 2014, The new India express, Empowering Grassroots_jul2013_draft].

In partnership with Wilde Ganzen and taking learnings from India and similar economies in the world, such as Brazil, Kenya and South Africa, Smile Foundation has built capacities of 500 grassroots NGOs in last two years under 'Empowering Grassroots' programme [Source: Media Coverage Report - Empowering Grassroots].

Smile Foundation, held a three day workshop between 27th and 29th January 2014 in Bangalore through their initiative "Empowering Grassroots" – capacity building of community based organizations, which received a tremendous response from national and international grassroots NGOs. The aim of this initiative was to enable and equip community based organizations (CBOs) to achieve sustainability by aligning themselves with the CSR mandate under the Companies Acts 2013 and the growing middle class in India with high net worth individuals, in the wake of foreign institutional funding slowing down. The outcome of this workshop was that CBOs were instilled with the need to achieve sustainability through credible delivery, whilst at the same time they were exposed to various tools that they could use to scale up their management, operational and governance bandwidth to establish credibility transparency and accountability so as to facilitate resource mobilization and thus achieve sustainability.

As a consequence of improvement in this capacity [7] more and stronger partnerships with CBOs [3] were formed [Source: Outline AfC Narrative Reporting 2014, p.1]

The improved capacity of Smile to organise trainings is due to:

- **A well -trained dedicated team that looks after local civic groups (CBOs) [24]**

  This team seeks applications from local civic groups through physical applications and also through online mode. The same application goes through the scrutiny process and the final application gets selected by the team. After due diligence and field appraisal the proposal gets approved and local actions are conducted. Later the premium is matched and disbursed to the local civic groups as per the contract and the project guidelines. The same team reviews the

projects from time to time [Source: Outline Annual Plan AFC programme 2013, PLAN FOR 14-15, 5c endline_questionnaire_training_participant_perspective_India_Smile_namep_Smile_Programmes participant]. It is the responsibility of the programme managers and officers to build the capacities of the partners through the Training of Trainers (ToT) mode and in the last two years, a lot of focus was given on training of partners.

The programme officers travelled to the project partners, local groups and communities, met with them and supported them for conducting local actions. In addition to the visits, follow up and handholding during the local actions events, Smile helped them with advocacy tools (movies, clips, campaigns etc.) and also by conducting fundraising activities at local level. Further, in 2013 two capacity building workshop titled "Empowering Grassroots" were organized for NGO Partners of North and West region. The objective of these workshops was to enhance the knowledge & skills of grassroots organizations towards sustainability and to give insights as how the grassroot NGOs can develop credibility, strengthen their organizational capabilities & build their competencies. The workshop also aimed at providing the participants with a common platform to share their learning's, success, achievements, challenges and difficulties and to also plan together for strengthening the partnership in future [Source: Outline AfC Narrative Reporting 2014].

The dedicated team [24] has been empowered further as a result of the restructuring of the organisation [23] by strengthened second line leadership [Source: 5c endline self-assessment India Smile - Program staff, 5c endline interview guide_OD consultants_selected indicators_Smile].

Several trainings and exposure visits [30] funded by MFS II [20] have contributed to the development of an experienced team who in turn contributed to the capacity building of the CBOs. These started much earlier than the MFS II funding period as a part of the activity under the Action for Children Programme under MFS I and are bearing fruit now. As an example an exchange visit to CESE (Brazil) was made by the staff to understand the context of the partner and learn how they implement programmes and bring about civic driven change. The focus was also to understand the best practices around fundraising for empowering grassroots which could be replicated back home as one of the components of training of CBOs [Source: Smile's exchange with Cese].

Trainings in the last two years are as follows:

- **AfC (Action for Children) Directors' Meet:** Two different meetings were organised in 2012 and 2013, in Kenya and Brazil respectively. Important issues discussed were – challenges of fundraising, continuation of support beyond 2015, and furthering cause related marketing. The meeting of 2013 set the tone for innovations on empowering the grassroots, and brand building. After the Directors' Meet of 2013 innovative fundraising campaigns and events like Marathon, ART Show were carried out by the organisation. The program managers and officers of Smile's CBO team provided handholding support to the partner NGOs and CBOs in organizing fundraising events and helped with advocacy tools (movies, clips, campaigns etc.), for raising fund and brand building. Further, the director's meet also set the tone for the organisation to improve the quality of empowering grassroots on capacity building programme for partner NGOs and CBOs, innovative ideas in fund raising [Source: AFC Directors Meet 2013- Brazil, AfC Narrative Reporting 2013 Smile delivered 20140210, Minutes of AfC meeting Mombasa 17-10-2012, 5c endline _questionnaire _training_participant_perspective _India_Smile_namep_Smile_ (Resource Mobilization) participant]. The take home action points after the Kenya meeting was the need to diversify donor base as well as to focus on individual donors [Source: Minutes of AfC meeting Mombasa 17-10-2012,pg 24]. An evaluation of the Directors' Meeting 2013 by the partners including Smile revealed the meeting was very useful as there were in depth discussions around fundraising and that this was an excellent

platform for sharing experiences [Source: AFC Directors Meet 2013- Brazil]. These Directors' Meets were funded by MFS II.

- **A three day capacity building workshop was organized for all the staff of Smile Foundation:** There was a pan India participation of staff from all the regions. The workshop was focused on Fundraising, Leadership, Program Management & Governance, Brand Development and Media Advocacy. This training helped them in improving their capacities to train the CBOs as the topics of the training were later on also used in the trainings for CBOs[Source: 5C endline_support to capacity development sheet_SPO perspective_India_Smile, AfC Narrative Reporting 2013 Smile delivered 20140210].

The improved capacity of Smile to organise trainings is also due to:

- Feedback on trainings from Wilde Ganzen and participants [25]. Most of the trainings that Smile organised to strengthen the capacity of the CBOs [26] were funded by Wilde Ganzen under MFS II [20]. Smile's capacity in developing trainings for CBOs mainly improved due to the feedback they have received on two trainings given to CBOs. Wilde Ganzen hired the consultant Veronika Uhl from Himmelblau to observe the workshop given by Smile in July 2013 and share her observations in a report and the other consultant – Train the Trainers trainer Ewoud Plate of MDF - to conduct a pilot workshop on mobilising support (other than financial support)in January 2014.
- The first training Smile staff received feedback on in the period 2012-2014 was the "Empowering Grassroots Capacity Building training" for CBOs from 10-12 July 2013 in Delhi. This training has been mentioned in interviews by the second Management group and Wilde Ganzen [Source: 5c endline self-assessment sheet_Group II management_India_Smile, AfC Narrative Reporting 2013 Smile delivered 20140210, Outline Annual Plan AFC programme 2014 (3) Final delivered 30092013]. Wilde Ganzen facilitated the feedback on the trainings [25] from its own consultants and the participants (partner CBOs). The feedback was that:
  - The training had been very well organized by Smile.
  - Smile succeeded very well in engaging experienced and competent trainers that connected to the grassroots context.
  - The training was developed on the basis of the specific needs of the CBO's.
  - Smile has developed a very good database of professional resource persons for different topics, also according to the training report of July 2013; and therefore has the capacity to design, conduct and organize these kinds of trainings with the support of external experts.
  - In general the feedback was very positive with some suggestions on the selection of topics that should have been relevant for the target audience.

  The second training that Smile received feedback on was the "Empowering Grassroots Capacity Building workshop" in Bangalore, 27th-29th of January 2014 [Source: 5c end line self-assessment sheet_Group II management_India_Smile, AfC Narrative Reporting 2013 Smile delivered 20140210, Outline Annual Plan AFC programme 2014 (3) Final delivered 30092013]. Detailed information on the feedback given can be found in the minutes that were made during the evening sessions, where Veronika Uhl, Wilde Ganzen and staff from partner organisations CESE and KCDF provided feedback to Smile [Source: Minutes of evening sessions Change the Game meeting Bangalore, India, January 2014,Media Coverage Report - Empowering Grassroots]. The feedback was that:
  - The title and objective of the meeting itself was very attractive and meaningful for the capacity building of the partners.
  - Organizational Capacity Assessment (OCA) was discussed. On the basis of Kenya exchange visit learning the staff prepared a draft introducing 5C model for OCA. Feedback was given for further improvement.
  - The organisation could very well bring the participants through experiential learning within a short period.
  - The training helped the NGOs/CBOs to be motivated and capacitated on mobilising support (other than financial support) issues.
  - The training methodology was well prepared to address the objective.
  - The feedback was helpful for further improvement. It was suggested that more research on national issues would have been helpful to present a clear picture while explaining the future change the game program.

Smile received feedback from the partners that participated in the workshop. According to the training report of July 2013, participants thought that the workshop was very useful, had a good location, was very well organised, and said that income generation should also be included in the modules not just fundraising [Source: AfC Narrative Reporting 2013 Smile delivered 20140210].

- Learning from experience in conducting workshops [26]. Smile organised 7 trainings on local fundraising, 30 people from 15 different organisations per training since the baseline, these were funded by MFS II [20] [Source: 5 C End line Assessment - Group - I - management - Smile – India]. The Smile team has learnt from the resource persons on how to conduct training independently during the course of these workshops [Source: Smile Foundation Narrative, 2012]. The topics that were covered in the trainings were effective leadership for development & strengthening, 5 c model of building organizational competencies and good governance, involving local support for sustainability, better fund utilization, meeting the expectations of donors, good fundraising practices, communicating with the stakeholders etc. [Source: http://www.smilefoundationindia.org/empowering-grassroots.htm]

An improved capacity to organise trainings for CBOs has led to the staff becoming more confident in conducting training sessions with the CBOs. The 2012 Outline Reporting Narrative mentions that "the training programs for CBOs start showing results, staff & partners feel more confident in carrying out developmental projects" [Source: Smile Foundation-Narrative 2012].

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Final Report MFS II Joint Evaluations

Country	India
Consortium	Red een Kind
Responsible Dutch NGO	Red een Kind
Project (if applicable)	VTRC Edu Gate
Southern partner organisation	Vocational Training and Rehabilitation Centre

The project/partner is part of the sample for the following evaluation component(s):

Achievement of MDGs and themes	X
Capacity development of Southern partner organisations	X
Efforts to strengthen civil society	

1. Introduction

This report presents the findings of a project funded and supported by Red een Kind and implemented by the Vocational Training and Rehabilitation Centre (VTRC) in rural parts of Madurai and Dindigul districts in Tamil Nadu, India. The project, titled EDU-GATE, is motivated by the relatively poor quality of school education in the state in spite of high levels of access and enrollment. The main aim of the project is to enhance the educational attainment of children from marginalized communities by providing direct educational support through tuition centres and by strengthening parent-teacher associations so that they may demand better quality education. The report begins by setting out the context (Section 2) and providing a description of the project (Section 3). This is followed by a discussion of the sampling strategy (Section 4) and the data (Section 5). Estimates are presented in Section 6 and the final section contains concluding remarks.

2. Context

The project under review is implemented by Vocational Training and Rehabilitation Centre (VTRC), in rural parts of Madurai and Dindigul districts of Tamil Nadu, a south Indian state. VTRC is an NGO which has since its inception in 1986 been involved in child development activities.

Tamil Nadu is amongst India's richest state (ranked third in terms of per capita GDP), one of the largest recipients of foreign direct investment (ranked second in the country) and also one of the most urbanized states in the country (48.5 per cent in 2011, ranked third). The state has a population of 72 million of which 20 per cent are classified as scheduled caste. The state is also ranked second in terms of its social infrastructure, and according to the 2011 Census, male literacy rate is 87 per cent while female literacy rate is about 74 per cent.

Turning to the project districts, according to the 2011 Census Madurai district has a population of three million, a 60 per cent urbanization rate and literacy rates in rural areas are 77 and 64 per cent for males and females respectively. Dindigul district has a population of 2.1 million, a 35 per cent urbanization rate and literacy rates in rural areas are 82 per cent and 63 per cent for males and female respectively. Both districts record a low child (age 0-6) sex ratio (female to male), a marker of son preference/daughter aversion, of 939 (Madurai) and 942 (Dindigul) in the 2011 Census as against the state child sex ratio of 946. While the primary occupation in the rural areas of both districts is agriculture (rice) both districts boast substantial industrial development. For instance, Madurai is promoted as a second-tier city for information technology (after Chennai) and Dindigul has a major textile industry.

With regard to education, the policy of the State is that every habitation with a population of 300 and above should have a primary school within a distance of 1 km. As per the 1995-96 Policy Note of the Education Department, 87.8 per cent of the habitations in Tamil Nadu and 96.8 of the population had access to primary education. Hence, while access and enrollment is close to 100 per cent, for various reasons the quality of education is a source of concern. According to the Annual Survey of Education Report (ASER), 2011, a report based on responses from over 26,000 students across 29 districts in Tamil Nadu, only about 32 per cent of the students in class 5 could read a simple story in Tamil. Among class 4 students, only 41 per cent could perform subtraction of two-digit numbers, while the curriculum expects them to be able to multiply and divide. Due to concerns about the quality of education and despite the availability of free lunch in government schools, it is quite common for parents even in rural areas to send their children to private schools. This is harder for parents from marginalized communities (schedule caste/tribe, migrant families).

To address quality concerns, the Right to Free and Compulsory Education Act (RTE) introduced in 2010 makes education a fundamental right of every child between the ages of 6 and 14 and specifies minimum norms in elementary schools. Even before the enactment of this legislation, the government of Tamil Nadu implemented several measures to attract children to school and retain them. Some of these measures include: free supply of textbooks, uniforms for all children from class 1 to 12, provision of three eggs per week along with a regular noon meal for all children from class 1 to 8.

Recently, in 2010-2011, the government of Tamil Nadu made a radical shift in pedagogy with the introduction of Activity Based Learning System (ABLS) in primary schools. Although rigorous training is offered to government school teachers, they still need to cope with this new method of teaching. In addition, new infrastructure and teaching aids are being provided to primary schools for effective implementation of the program. While the state clearly recognizes the importance of education, since a majority of parents in the project catchment area are not well educated, it is difficult for them to facilitate the educational development of their children. In this environment, VTRC's EDU-GATE project works to enhance the educational attainment of children from marginalized communities by providing direct educational support through its tuition centres and by strengthening parent teacher associations (PTAs) to demand better quality education.

3. Project description

a. Project duration and budget

The current project started on June 18, 2010 and is expected to end in June 2015. The concept of EDU-GATE was started in MFSI in 2007. The total project budget is Euro 285,900.

b. Project objectives, activities, theory of change

The aim of the project is to enhance access to (quality) education amongst children of marginalised communities living in two districts of Tamil Nadu. The project aims to do this by setting up 100 tuition centres for children in the primary school going age group (6-12 years), by training tuition teachers, by strengthening the functioning of parent-teacher assocations, and by encouraging PTA and village educational development committees (VEDC) to lobby the government and ensure access to government (educational) schemes for tution centre children. The tuition centres aim to provide after-school support including homework assitance or other additional teaching. It also aims to instil in them good habits and values and to create higher educational aspirations. A stylized result chain, which shows the manner in which EDU-GATE expects to accomplish its objectives is provided below.

Stylized result chain

Input

Financial and technical resources from ReK to VTRC

Activities

Children from marginalised groups are enrolled in tuition centres; tuition teachers are trained; parents are encouraged to participate in parent-teacher associations and play an active role in village educational development committees to ensure quality of education

Expected output

3000 children enrolled in tuition centres
100 teachers receive training
15 Parent Teacher Associations trained and strengthened
8 Village Education Development Committees trained to lobby
Textbooks are available for all students and teachers

Attribution gap

Impact

Objective 1/indicator:
Impact on education related outcomes: Class performance, test scores, attendance, retention in school, homework completed on time, educational aspirations
Objective 2/indicator:
Impact on non-education related outcomes: good values and habits

4. Analytical approach and methods

The aim of the evaluation is to identify the effects of the project EDU-GATE on the cognitive and non-cognitive development of children who attend the tuition centres. This includes indicators such as test scores, and formation of habits and values. In June 2012, the project had opened 90 tuition centres with an enrolment of 1,896 children.

We could not gather baseline data as the project had already started and hence we cannot provide a before-after analysis. The analysis focuses on comparing cognitive and non-cognitive outcomes for children living in treatment and control villages at two points of time—that is, in 2012 and two years later in 2014. The evaluation based on the 2014 data may be thought of as an assessment of the sustainability of the intervention. In the first instance we examine whether outcomes differ across children living in treated and control villages and in the second instance we examine whether these differences, if any, still persist.

To identify a control group there were two possibilities (i) the initial idea was to use a pipeline comparison design and to compare children who receive tuition with children who have indicated an interest in tuition but cannot obtain access due to capacity constraints. However, based on the field visit it turned out that there were no constraints as the tuition centres do not turn away any child and indeed all children in the age group 6-12 years in the village where the tuition centres are located attend the centres. As an alternative approach (ii) we obtained a list of villages in each of the three blocks where VTRC operates which do not yet have a centre but at the same time satisfy the conditions that VTRC uses to determine tuition centre location. These conditions are—a relatively small village (about 150 households), the presence of marginalized groups, and the availability of a tuition teacher in the same village. Since these villages have the same observed characteristics and children in these villages also attend government schools the idea was to use these villages and children studying in such schools to create a control group.

While children in category (ii) may live in a village with similar characteristics and attend the same school type as those who live in the "tuition centre villages" they may not be comparable to children living in a different village and attending a different school. To enhance comparability we gathered two rounds of data on children, households, teachers, and schools located in the "tuition centre villages" and the "potential tuition centre villages" and used OLS and propensity score matching to obtain a comparable control group and subsequently examine differences in cognitive skills, non-cognitive skills and moral development which may be attributed to the intervention. The surveys covered about 300 children who receive the intervention and 300 who do not. Power calculations based on a small effect size suggest that the sample has adequate power (0.8).

Based on power calculations we worked with a balanced sample of 300 children in the treatment group and 300 in the control group, split equally across class 2 and class 4. While we could survey children in classes 1 to 5, we have picked classes 2 and 4 due to practical reasons. If we worked with all five classes (i) Tests would have to be prepared for each class (ii) Teachers of all classes would have to be surveyed (iii) Sample of 300 students would be spread thin across all classes. Keeping these considerations in mind we worked with two classes—one from the lower end and the other towards the upper end of primary schooling. For the control, we worked with 10 villages in each of the three blocks in districts Madurai and Dindigul in which the project operates and which satisfy the conditions that VTRC uses to determine location. In these villages we surveyed children, randomly drawn from classes 2 and 4 in 2012 who are attending government schools. Families of the children and teachers were also surveyed and information on the school and teachers were gathered.

There are several limitations. (i) As indicated above the evaluation does not have a "real baseline" as the evaluation is being conducted after the project has been launched and this may make it difficult to identify a clear project effect. (ii) There are no children in the villages where the tuition centres have been set up who are **not** in the tuition centre. The initial idea was to use a pipeline comparison design but this was not possible as all children in a village have access to such centres. This implies that the control group comes from a different village as compared to those who are in the treatment group. While steps were taken to ensure comparability (as discussed above) it is possible that comparing children who live in different villages makes it difficult to obtain a valid control group.

5. Data

a. Household and child survey data

Two rounds of data have been collected. The first of these was collected in 2012 and the second round of data in 2014. Several survey instruments were developed. These included a household questionnaire, designed to gather information on the socio-economic background of children and their households. This questionnaire also included modules to capture educational aspirations, and scenario-based questions to capture attitudes towards cheating, stealing, tolerance; a school and teacher questionnaire to gather information on school facilities, school attendance of children and their grades; Math and Tamil tests for classes 2 and 4 in 2012 and for classes 4 and 6 in 2014.[1] These

[1] To develop the cognitive test instrument of the questionnaire we drew upon Tamil and Mathematics text books for classes 1 (administered to students in class II) and class 3 (administered to students in class IV) used in government schools in Tamil Nadu – see http://www.textbooksonline.tn.nic.in/

tests were administered by the evaluating team. To capture the non-cognitive development of children we developed questions based on the kind of habits that VTRC tuition teachers attempt to instil and we also used the teacher response version of a well-known instrument called the strengths and difficulties questionnaire developed by Robert Goodman – for details see http://www.sdqinfo.com/a0.html.

Based on power calculations and financial constraints a sample size of 600 children - 300 treated and 300 controls was targeted. In 2012 there were 90 tuition centres, 30 in each of the three blocks—Alanganallur, Natham and Madurai East in two districts, Madurai and Dindigul. For the evaluation, the treatment group consists of ten tuition centres from each block from which 300 children—150 each in classes 2 and 4 — were surveyed. That is, 50 children each from classes II and IV respectively were surveyed in each of the three blocks. Ten control villages were selected in each block. From each of these villages, five students each from classes 2 and 4 (10 students per school per village) were surveyed. These five students each from 2 and 4 were picked randomly from the attendance register (every 2nd or 5th student depending on class strength). For both treatment and control, children were first administered tests to assess cognitive and non-cognitive performance. Subsequently, the households to which the children belong were identified and parents and children were surveyed. Teachers of classes 2 and 4 to which the children belonged were also surveyed. The surveys gathered information on a range of child, parental, household characteristics which may have a bearing on the outcomes of interest. In addition, information on the school, class room conditions and teaching methods that are likely to affect learning outcomes were also gathered. For the follow-up survey in 2014 the same children who had been interviewed in 2012 were re-tested. To obtain cognitive test scores instruments designed to test material taught in classes 4 and 6 were used. To gather all other information in 2014 we used the same survey as had been used in 2012.

Descriptive statistics, based on the first round of survey, for the entire sample as well as for the treatment and control groups are provided in Table 1. In terms of the various socio-economic characteristics - household monthly expenditure and education of the household head are statistically not different between the treatment and control groups. However, children attending VTRC tuition centres are more likely to live in dwellings with *katcha* (not permanent) floors, roofs and walls and their parents are more likely to be self-employed in agriculture or working as agricultural labourers. In contrast, parents of children who do not attend such centres are more likely to be engaged in non-agricultural occupations. Differences in demographic characteristics, while at times statistically different, are not substantial. The religious composition of the two groups is very similar (all Hindu). The control group has a higher proportion of scheduled tribe households but a similar proportion of scheduled caste households and those identifying themselves as other backward

classes as in the treatment group. There are no statistically significant differences in the age and gender composition of children across the two groups. Overall, while there are some differences in the various traits listed in Table 1, the main message emerging from the comparison is that the sampling strategy appears to have delivered a treatment and a control group that is not very different from each other on the basis of observed traits.

b. Other sources of data/ information

In June 2012, the evaluation team visited VTRC. The main aims were to meet core project staff, obtain a better understanding of the project and to gather relevant documents. The team examined annual progress reports and annual plans and conducted several rounds of discussions. Meetings took place with staff of EDU-GATE staff including Professor Raju (Director Community Initiative, EDU-GATE and Health Care Programs), Mr. James Christopher, (Coordinator, Centre for AIDS Rehabilitation and Education Network) Mr. Muthupandian (Field Coordinator), Dr Karthikeyan, (Consultant, VTRC, specialist in HIV medicine and psychiatry) and Mr. Paulus Samuel the director of VTRC. We also interacted with tuition teachers, students attending the tuition centres, parents (mostly mothers), field supervisors, school teachers and the school management committee. We undertook field visits to the following tuition centres:

1. Melamettupatti Union Primary School (Classes 1 to 5) and the Tuition Centre, Village Melamettupatti in Natham block of Dindigul district, Tamil Nadu. At the centre we interviewed the school teacher and tuition teacher, conducted a group discussion with mothers of children from the school who attend VTRC's tuition centre and observed the tuition in progress. We also interacted with the children asking them questions from their textbooks as well as those related to general knowledge.
2. Tuition Centre, Village Vilampatti in Natham block, Dindigul district, Tamil Nadu. We observed a tuition session in this village as well as looked at the attendance register and teacher's diary.
3. Sri Manthaisumy Primary School (Govt. aided private school), Village Vulachikulam, Madurai East block, Madurai. We interacted with children, parents, members of the VEDC and conducted a focus group discussion with school teachers.
4. Vavidaimaruthoor, Madurai district, Alanganalur block. We interacted extensively with field staff across different projects of VTRC including EDU-GATE as well with field supervisors of EDU-GATE.

6. Estimates and Discussion

Tables 2a and 2b contains estimates of residing in a village with a VTRC tuition centre on parental participation. Estimates are provided for both 2012 (Table 2a) and 2014 (Table 2b). The first three columns contain means or proportions while the last three columns of the tables contain three

different sets of estimates. Column 4 contains OLS estimates without any control variables, column 5 contains OLS estimates after controlling for a range of traits including child age, gender and pre-primary school attendance, socio-economic and demographic characteristics including religion and caste and district fixed-effects. Column 6 provides estimates based on propensity score matching (PSM). Tables 3a and 3b provide OLS and PSM estimates of attending a VTRC centre on cognitive and non-cognitive outcomes, respectively, for 2012. Tables 4a and 4b provide the same estimates, but based on data from 2014. There are some differences across the OLS and PSM estimates and while these are pointed out, for the most part the discussion focuses on the OLS estimates as these are based on controlling for a much larger range of traits as compared to the PSM estimates.[2]

a. Effect of attending a VTRC centre – parental participation

Tables 2a and 2b contains estimates of the effect of living in a village with a VTRC centre on parental participation in village educational committees. In 2012, parents were far more likely to be members of an educational committee with 40 per cent of parents belonging to a village educational committee, however, by 2014 this had dropped to about 14 per cent. Across the two groups there is some evidence that, in 2014, parents in villages where VTRC operates are about 2 to 5 percentage points more likely to belong to an educational committee. However, participation as measured by the number of meetings attended per year is slightly higher amongst parents living in non-VTRC villages.

b. Effect of attending a VTRC tuition centre - education related outcomes

The first 4 rows of Table 3a provide estimates of the effect of attending a VTRC centre on cognitive achievement in Tamil and Mathematics. The estimates show that in class 2 children attending a VTRC centre tend to score less as compared to the control group. For instance, class 2 VTRC tuition centre attendees score about 5-6 per centage points less in Tamil and about 7 to 10 percentage points less in Mathematics. However, in the higher grade, that is class 6 there is no difference in Tamil test scores while in Mathematics the tuition centre attendees score between 3 to 4 percentage points more. A literal interpretation of these estimates is that being a VTRC attendee has a negative effect on achievement for children in class 2 and a positive effect in class 4. An alternative interpretation given the somewhat weaker socio-economic background of children attending VTRC centres and the inability to control for unobserved traits of children, is that children from a weaker socio-economic background join VTRC centres and while they tend to perform worse than non-VTRC attendees in the early years of primary school, by grade 4 they have caught up. This interpretation is also supported

[2] PSM requires knowledge of factors that determine entry into VTRC centres– that is, information on the economic conditions of the child's household at the time that the child entered the VTRC centre. However, we only have information on the current situation. This limitation suggests that it is prudent to focus on the OLS estimates as we can control for a number of variables that may have a bearing on the outcomes.

by the patterns that we observe in estimates based on the 2014 data (see Table 4a). For instance, in 2012, children in grade 2 scored 7 to 10 percentage points less than their non-VTRC counterparts. However, in 2014, when they are in class 4 their test scores are no different from their counterparts in non-VTRC villages. For those who were in class 4 in 2012 we found no difference between treatment and control group and we find the same pattern in class 6. At the very least the estimates suggest that even if children who join VTRC centres display lower levels of cognitive achievement initially , by the time they are in an upper grade (class 4) they are performing as well as their non-VTRC colleagues.

The remainder of Table 3a examines differences on a range of education related outcomes including interest in studies, whether they do homework regularly, educational aspirations and attitudes dues towards cheating in examinations. There are no statistically significant differences across the two groups in terms of educational aspirations. About 34 per cent of both groups of children are interested in engineering and medicine while the rest aspire to earn BA/MA degrees. Attitudes towards cheating are also not statistically different across groups and about 45 per cent of children indicate that they do not consider it appropriate to cheat on an exam in order to pass. The differences that do emerge relate to the regularity with which homework is done and interest in studies. According to parents, children attending VTRC centres are 7 percentage points more likely to do their homework regularly. However, they are slightly less likely (2 percentage points) to be interested in their studies. However, these differences do not seem to persist and in 2014. We find that the two groups of children are statistically the same in terms of all these educational related outcomes.

c. Effect of attending a VTRC tuition centre - non-education related outcomes

According to parents, the estimates reported in column 5 of Table 2b show that at least in 2012, children attending VTRC centres are less likely (8.4 percentage points) to be rated as well-organized as compared to their counterparts. However, in 2014 it is the reverse and those attending the centres are 10 percentage points more likely to be rated as organized. It is possible that this change is a longer-term effect of attending the VTRC centres. The survey included two vignettes designed to capture attitudes and responses to stealing and humane/cruel behaviour. In both years and for both outcomes there are no statistically significant differences between the two groups with regard to attitudes towards stealing and behaving humanely. With regard to habits such as using foul language and wasting food, in 2012, children attending such centres are 8.5 and 12 percentage points less likely to agree that it is fine to use foul language or to waste food. However, the effect is not stable and in 2014 the pattern is the opposite with children who do not attend such centres more likely to indicate that they do not think it fine to use foul language and waste food. The reasons for the

change are not clear and may have to do with changes in the teaching personnel or the increasing influence of peers but literally they indicate that the effect of the tuition centre on such outcomes is not stable.

The teacher version of the strengths and difficulties instrument was used to assess differences between VTRC-centre attendees (treatment) and non-attendees (control) with regard to five non-cognitive aspects. Based on the estimates in Column 5 of Table 3b there do not seem to be clear differences between the two sets of children. For four of the attributes the differences are not statistically significant and for one of them, hyperactivity/inattention the VTRC students are worse off. While the effects are not statistically significant, along all the dimensions teachers indicate that VTRC students experience greater emotional and conduct problems and are less likely to get along with peers and are also less social. However, in 2014 the picture is quite different. Although, once again, for the most part the results are not statistically significant the estimates tend to suggest that VTRC attendees experience less problems as compared to non-attendees. Given the methodology that is available it is hard to pin down whether this is a causal long-term VTRC effect, however, what is clear is that after having attended the VTRC centre for two years there is little to separate the two groups in terms of their non-cognitive strengths and difficulties.

d. Efficiency of the project

The project has a five-year budget of Euro 285,900. This translates into an annual budget of Euro 57,180 for about 2000 children or Euro 28.6 per child per year or about Euro 2.38 per child per month. Depending on the exchange rate this translates into a sum of Rupees 166 to 200 per month per child for two hours spent at a tuition centre for about 5 to 6 days per week. These funds are intended to meet among other costs, scheme administration costs, the costs of the teacher, the salary and transport costs of the supervisor of the tuition centres and the costs of teaching materials. Clarity is still needed on the exact distribution of the expenditures. Notwithstanding this lack of clarity, available information from the Government of Tamil Nadu reveals that in Dindigul and Madurai districts the annual tuition fees which may be charged by private schools (over the period 2013-2016) for children in class 2 ranges between Rupees 6000 to 8000 and in class 4 between Rupees 7000 and 9000. While there may be other fees that private schools charge, compared to these tuition fees the annual per child cost of Rupees 1992 to 2400 for a child attending a VTRC tuition centre may not seem all that efficient.[3] An alternative way of looking at the costs versus the scheme effect is from the perspective of parents. The data suggest that in two years the initial 5 percentage point gap in Mathematics and Tamil tests score may be bridged by spending about Rupees 4000 to 5000 (about 4 percent of household expenditure over two years).

[3] http://www.tn.gov.in/miscellaneous/fees.html

While it is hard to gauge the efficiency of the centres it does seem that the centres are effective in terms of enhancing the cognitive and non-cognitive performance (strengths and difficulties) of children. However, there does not seem to be any difference in terms of habits and values between the two sets of children.

7. Concluding remarks

The paper assessed the impact of a project implemented by VTRC (Vocational Training and Rehabilitation Centre) and funded by Red een Kind. The project aims to to enhance the educational attainment of children from marginalized communities by providing direct educational support through tuition centres and by strengthening parent-teacher associations so that they may demand better quality education. The aim of the evaluation was to identify the effects of the project EDU-GATE on the cognitive and non-cognitive development of children who attend the tuition centres. This includes indicators such as test scores, and formation of habits and values. The paper presented the findings of the evaluation of the effects of attending a VTRC tuition centre on the cognitive and non-cognitive development of children which included outcomes such as educational aspirations, ethical values and habits.

The main findings are that attending a VTRC tuition centre for a longer period contributes to the improvement of cognitive skills compared to children who do not attend it. The estimates presented in the paper indicate that initially upon enrolment children in the VTRC centre do not fare well in school compared to non-VTRC children, their performance improves with the length of time and is as good as their non-VTRC counterparts. There does not seem to be a difference between children attending VTRC tuition centre and non-attendees in being organised or in doing homework regularly as well as in non-cognitive skills such as ethical values. Participation of parents in parent-teacher associations (PTAs) is not significantly different in VTRC operating villages than in villages where they do not have a tuition centre. The extent to which one can imbue the findings with a causal interpretation is circumscribed by the lack of baseline data. To enhance the credibility of the impact evaluation, baseline data and several rounds of follow-up data on the same children needs to be collected.

Based on the statistical analysis, the field work that was conducted and the information gathered from the existing reports it seems that the project does help bridge the initial gap in cognitive performance and non-cognitive attributes between attendees and non-attendees. While determining efficiency is difficult, as compared to the tuition fees that need to be paid in private schools the project does not seem particularly efficient. It does however seem to be well-conceived and suitable for the environment in which it is located. In a context where fee paying after school tuitions are becoming universal, VTRC's EDU-GATE focuses on children who cannot afford such services. VTRC

works to support educational attainment among children from economically and socially marginalised communities whose parents are not well educated or have the time and thus cannot support or supervise them in their school work. Tuition teachers are locally recruited from the villages themselves. The VTRC tuition centres also provide a space for children to spend their time after school reducing parents' anxiety about their safety and whereabouts.[4]

[4] For instance, interactions with mothers during field visits revealed that most parents are illiterate or have low education and are not in a position to supervise their children's work; most mothers spend their time working for wages and taking care of domestic chores while fathers are not always around physically or otherwise. Mothers felt that after school they did not have to worry about their children's whereabouts as they knew they were studying at the VTRC centres.

Table 1
Descriptive Statistics – Means and testing for differences in means (2012)

Variable	Total	Treatment	Control	$\overline{X_t} = \overline{X_c}$ p-values
Socio-economic characteristics				
Consumption (monthly expenditure in Rs.)	4056	4060	4052	0.963
Illiterate, household head (%)	15.7	17.0	14.4	0.379
Primary education, completed, household head (%)	17.0	16.6	17.4	0.814
Upper primary education, completed, household head (%)	25.7	26.6	24.7	0.592
Secondary education, completed, household head (%)	24.5	23.0	26.1	0.381
Senior secondary, completed, household head (%)	12.2	11.3	13.0	0.523
House type, floor is *katcha* (%)	14.0	18.0	10.0	0.001
House type, roof is *katcha* (%)	14.2	19.0	9.4	0.001
House type, wall is *katcha* (%)	15.7	21.0	10.4	0.004
Agricultural labour (%)	36.4	41.3	31.4	0.012
Non-agricultural labour (%)	52.3	48.0	56.5	0.037
Self-employed in agriculture (%)	31.3	37.0	25.4	0.003
Demographic characteristics				
Age of household head	36.32	36.89	35.76	0.003
Number of males in household	2.135	2.186	2.083	0.125
Number of females in household	2.343	2.363	2.323	0.631
Household size	4.496	4.566	4.426	0.060
Infrastructure				
Primary source of energy for cooking – firewood (%)	80.9	84.0	77.9	0.058
Primary source of energy for cooking – LPG (%)	18.5	15.3	21.7	0.044
Primary source of lighting – electricity (%)	97.3	96.6	97.9	0.314
Type of toilet – open defecation (%)	96.3	96.3	96.3	0.987
Religion (%)				
Hindu	96.9	97.0	96.9	0.994
Caste (%)				
Scheduled tribe	3.00	0.00	6.02	0.000
Scheduled caste	18.8	18.0	19.7	0.588
Other backward classes	76.9	79.6	74.2	0.116
Child characteristics				
Age	7.52	7.52	7.53	0.905
Male (%)	44.2	42.6	45.7	0.472
Attended private pre-primary school (%)	1.16	1.50	0.60	0.288
N	577-600	281-300	296-300	

Table 2a

Means and effect of attending a VTRC tuition centre on parental participation using the first round survey (2012)

Variable	Total	Treatment	Control	Treatment effect [a] (p-value)	Treatment effect [b] (p-value)	Treatment effect [c] (std. err.)
	(1)	(2)	(3)	(4)	(5)	(6)
Member of any education committee (%)	39.7	42.2	37.2	0.049	0.007	0.052
				(0.215)	(0.859)	(0.049)
Number of education committee meetings attended in the last one year	3.08	3.23	2.92	0.313	0.242	0.144
				(0.223)	(0.297)	(0.298)
Number of PTA meetings attended in the last one year	2.67	2.61	2.74	-0.134	-0.091	-0.17
				(0.117)	(0.272)	(0.099)
N	542-594	296	298	542-594	500-538	497-528

Notes: [a] No control variables - OLS; [b] Control variables include a range of variables to control for socio-economic differences across households, demographic characteristics, religion and caste (see Table 1) - OLS. [c] Estimates based on 5 nearest neighbors, propensity score matching.

Table 2b

Means and effect of attending a VTRC tuition centre on parental participation using the first round survey (2014)

Variable	Total	Treatment	Control	Treatment effect [a] (p-value)	Treatment effect [b] (p-value)	Treatment effect [c] (std. err.)
	(1)	(2)	(3)	(4)	(5)	(6)
Member of any education committee (%)	14.5	17.0	12.0	0.05	0.001	0.023
				(0.082)	(0.966)	(0.039)
Number of education committee meetings attended in the last one year	2.24	2.38	2.31	-0.132	0.079	-0.148
				(0.372)	(0.530)	(0.181)
Number of PTA meetings attended in the last one year	2.17	2.07	2.27	-0.206	-0.056	-0.11
				(0.001)	(0.356)	(0.072)
N	387-600	196-300	191-300	387-600	277-476	286-447

Notes: [a] No control variables - OLS; [b] Control variables include a range of variables to control for socio-economic differences across households, demographic characteristics, religion and caste (see Table 1) - OLS. [c] Estimates based on 5 nearest neighbors, propensity score matching.

Table 3a
Means and effect of attending a VTRC tuition centre using the first round survey (2012)

Variable	Total (1)	Treatment (2)	Control (3)	Treatment effect [a] (p-value) (4)	Treatment effect [b] (p-value) (5)	Treatment effect [c] (std. err.) (6)
Education related outcomes						
Tamil test scores – class 2 (%), N = 273; T=136, C=137	54.4	51.9	56.8	-4.85	-6.01	-4.40
				(0.078)	(0.038)	(3.26)
Mathematics test scores - class 2 (%), N =275; T =137, C = 138	72.1	68.2	76.1	-7.91	-10.73	-5.52
				(0.005)	(0.000)	(3.33)
Tamil test scores - class 4 (%), N= 301; T = 152, C = 149	50.6	49.6	51.6	-2.07	1.519	0.475
				(0.408)	(0.561)	(3.06)
Mathematics test scores - class 4 (%), N = 300, T = 153, C = 147	28.6	30.1	27.0	3.12	4.358	4.335
				(0.094)	(0.028)	(2.149)
Does child like to go to school – parental response (%)	87.8	87.0	88.7	-0.016	-0.049	-0.033
				(0.533)	(0.083)	(0.030)
Child does homework regularly – parental response (%)	73.5	77.0	69.9	0.071	0.051	0.054
				(0.049)	(0.190)	(0.044)
Aspires to reach secondary school – child response (%)	8.02	6.02	10.03	-0.040	-0.045	-0.071
				(0.071)	(0.067)	(0.028)
Aspires to complete BA/BSc degree – child response (%)	27.1	28.4	25.7	0.027	0.038	0.033
				(0.463)	(0.325)	(0.043)
Aspires to complete MA/MSc degree – child response (%)	17.9	18.1	17.7	0.003	0.006	0.031
				(0.915)	(0.857)	(0.037)
Aspires to complete B.Tech (engineering) – child response (%)	19.6	20.4	18.7	0.016	0.010	0.037
				(0.607)	(0.765)	(0.039)
Aspires to complete MBBS (medical degree) – child response (%)	14.2	13.7	14.7	-0.010	-0.028	-0.019
				(0.726)	(0.343)	(0.034)
Aspires to be in IT/computer science field	10.9	11.3	10.4	0.010	0.036	0.129
				(0.694)	(0.190)	(0.031)
It is **not** ok to cheat in an exam to pass – child response (%)	44.6	46.6	42.4	0.042	-0.000	-0.014
				(0.303)	(0.996)	(0.048)
N [d]	598-600	300	298	598-600	542-543	533-534

Notes: [a] No control variables - OLS; [b] Control variables include a range of variables to control for socio-economic differences across households, demographic characteristics, religion and caste (see Table 1) - OLS. [c] Estimates based on 5 nearest neighbors, propensity score matching. [d] Number of observations except for test scores.

Table 3b: Means and effect of attending a VTRC tuition centre using the first round survey (2012)

Variable **Non-education related outcomes – values, habits**	**Total** (1)	**Treatment** (2)	**Control** (3)	**Treatment effect** [a] (p-value) (4)	**Treatment effect** [b] (p-value) (5)	**Treatment effect** [c] (std. err.) (6)
Child is well-organized – parental response (%)	47.9	47.4	48.3	-0.009	-0.084	-0.062
				(0.824)	(0.052)	(0.048)
Your friend asks you to join him/her to steal – child response (%)						
Decline and mind my own business	73.1	72.6	73.6	0.010	0.005	0.015
				(0.61)	(0.752)	(0.019)
Decline and persuade him/her against it	22.4	22.4	22.4	0.000	0.015	-0.036
You see someone throwing stones at a dog – child response (%)				(1.00)	(0.690)	(0.041)
Ignore it	36.5	36.0	36.9	-0.009	0.014	0.023
				(0.817)	(0.730)	(0.046)
Shoo the dog	47.2	51.3	42.9	0.084	0.052	0.028
				(0.040)	(0.204)	(0.048)
Join and throw stones	13.0	9.33	16.7	-0.074	-0.066	-0.041
				(0.007)	(0.026)	(0.033)
The use of foul language displays strength/cool factor – child response (%)						
Strongly disagree	39.4	43.7	35.1	0.085	0.071	0.032
				(0.032)	(0.078)	(0.047)
It is ok to waste food – child response (%)						
Strongly disagree	48.1	54.0	42.1	0.118	0.083	0.061
				(0.004)	(0.056)	(0.048)
Strengths and difficulties module – teacher version						
Emotional problems (a higher score indicates greater problems)	2.98	2.94	3.04	-0.098	0.327	0.176
				(0.625)	(0.118)	(0.238)
Conduct problems (a higher score indicates greater problems)	2.67	2.47	2.86	-0.389	0.093	-0.023
				(0.057)	(0.652)	(0.243)
Hyperactivity/inattention (a higher score indicates greater problems)	3.72	3.83	3.62	0.210	0.419	0.364
				(0.176)	(0.012)	(0.180)
Problems with peers (a higher score indicates greater problems)	3.24	3.17	3.32	-0.145	0.204	0.153
				(0.348)	(0.196)	(0.182)
Prosocial behavior (a higher score indicates child is more social)	6.88	6.89	6.88	0.009	-0.300	-0.403
				(0.960)	(0.148)	(0.234)
N	598-600	300	298	589-600	533-543	525-534

Notes: [a] No control variables - OLS; [b] Control variables include a range of variables to control for socio-economic differences across households, demographic characteristics, religion and caste (see Table 1) - OLS. [c] Estimates based on 5 nearest neighbors, propensity score matching.

Table 4a
Means and effect of attending a VTRC tuition centre using the second round survey (2014)

Variable	Total (1)	Treatment (2)	Control (3)	Treatment effect [a] (p-value) (4)	Treatment effect [b] (p-value) (5)
Education related outcomes					
Tamil test scores – class 4 (%), N = 341; T=157, C=184	61.0	62.3	59.9	2.35	0.625
				(0.122)	(0.743)
Mathematics test scores - class 4 (%), N =327; T =147, C = 180	52.6	53.8	51.5	2.27	-1.24
				(0.158)	(0.525)
Tamil test scores - class 6 (%), N= 266; T = 135, C = 131	41.6	41.2	42.0	-0.738	-0.338
				(0.724)	(0.895)
Mathematics test scores - class 6 (%), N = 250, T = 125, C = 125	24.3	24.4	24.1	0.294	-0.645
				(0.880)	(0.799)
Does child like to go to school – parental response (%)	97.5	97.0	98.0	-0.01	0.002
				(0.434)	(0.765)
Child does homework regularly – parental response (%)	91.8	91.0	92.6	-0.016	-0.012
				(0.457)	(0.627)
Aspires to reach secondary school – child response (%)	15.2	18.6	11.6	0.070	0.086
				(0.017)	(0.013)
Aspires to complete BA/BSc degree – child response (%)	15.0	13.6	16.3	-0.026	-0.016
				(0.361)	(0.625)
Aspires to complete MA/MSc degree – child response (%)	20.5	23.6	17.3	0.063	0.049
				(0.055)	(0.202)
Aspires to complete B.Tech (engineering) – child response (%)	16.0	14.6	17.3	-0.026	0.020
				(0.374)	(0.591)
Aspires to complete MBBS (medical degree) – child response (%)	16.2	16.0	16.3	-0.003	-0.032
				(0.912)	(0.385)
Aspires to be in IT/computer science field	0.02	0.02	0.02	0.000	0.003
				(1.000)	(0.836)
It is **not** ok to cheat in an exam to pass – child response (%)	79.2	79.6	78.6	0.010	-0.003
				(0.763)	(0.945)
N[c]	600	300	300	600	426

Notes: [a] No control variables - OLS; [b] Control variables include a range of variables to control for socio-economic differences across households, demographic characteristics, religion and caste (see Table 1) - OLS. [c] Number of observations except for test scores.

Table 4b: Means and effect of attending a VTRC tuition centre using the second round survey (2014)

Variable **Non-education related outcomes – values, habits**	**Total** (1)	**Treatment** (2)	**Control** (3)	**Treatment effect** [a] (p-value) (4)	**Treatment effect** [b] (p-value) (5)
Child is well-organized – parental response (%)	57.3	62.3	52.3	0.100	0.053
				(0.013)	(0.253)
Your friend asks you to join him/her to steal – child response (%)					
Decline and mind my own business	58.5	56.6	60.3	-0.036	0.021
				(0.363)	(0.645)
Decline and persuade him/her against it	27.3	29.3	25.3	0.040	0.027
You see someone throwing stones at a dog – child response (%)				(0.272)	(0.488)
Ignore it	64.3	63.0	65.6	-0.026	-0.062
				(0.496)	(0.189)
Shoo the dog	22.6	22.3	23.0	-0.007	0.027
				(0.846)	(0.508)
Join and throw stones	7.2	8.67	5.67	0.030	0.025
				(0.155)	(0.353)
The use of foul language displays strength/cool factor – child response (%)					
Strongly disagree	88.6	86.3	91.0	-0.047	-0.019
				(0.072)	(0.549)
It is ok to waste food – child response (%)					
Strongly disagree	69.0	64.3	73.6	-0.093	-0.072
				(0.013)	(0.068)
Strengths and difficulties module – teacher version					
Emotional problems (a higher score indicates greater problems)	3.83	3.70	3.96	-0.257	-0.676
				(0.279)	(0.013)
Conduct problems (a higher score indicates greater problems)	3.54	3.55	3.52	0.033	-0.428
				(0.873)	(0.084)
Hyperactivity/inattention (a higher score indicates greater problems)	4.57	4.36	4.78	-0.420	-0.507
				(0.006)	(0.005)
Problems with peers (a higher score indicates greater problems)	3.84	3.94	3.74	0.203	0.102
				(0.209)	(0.597)
Prosocial behavior (a higher score indicates child is more social)	5.82	5.77	5.85	-0.086	-0.165
				(0.639)	(0.461)
N	600	300	300	579-600	426

Notes: [a] No control variables - OLS; [b] Control variables include a range of variables to control for socio-economic differences across households, demographic characteristics, religion and caste (see Table 1) - OLS.

Table 5

Statement (How much do you agree with the following statements?)	Score 1 = not at all 10 = completely
The project was well designed	8
The project was implemented as designed	6
The project reached all its objectives	6
The observed results are attributable to the project interventions	6
The observed results are relevant to the project beneficiaries	8
The project was implemented efficiently	6

Endline report – India, VTRC
MFS II country evaluations

Capacity of Southern Partner Organisations (5C) component

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This report presents the findings of the endline of the evaluation of the organisational capacity component of the MFS II country evaluations. The focus of this report is India, VTRC. The format is based on the requirements by the synthesis team and NWO/WOTRO. The endline was carried out in 2014. The baseline was carried out in 2012.

Key words: 5C (five core capabilities); attribution; baseline; causal map; change; CFA (Co-financing Organisation) endline; organisational capacity development; SPO (Southern Partner Organisation).

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The India 5C evaluation team

List of abbreviations and acronyms

5 C	Capacity development model which focuses on 5 core capabilities
APMEL	Advanced Planning, Monitoring, Evaluation and Learning
Causal map	Map with cause-effect relationships. See also 'detailed causal map'.
Causal mechanisms	The combination of parts that ultimately explains an outcome. Each part of the mechanism is an individually insufficient but necessary factor in a whole mechanism, which together produce the outcome
CDI	Centre for Development Innovation, Wageningen University & Research centre
CFA	Co-Financing Agency
CHE	Community Health Education
COUNT	Christian Outreach Uplifting New Tribes
Detailed causal map	Also 'model of change'. the representation of all possible explanations – causal pathways for a change/ outcome. These pathways are that of the intervention, rival pathways and pathways that combine parts of the intervention pathway with that of others. This also depicts the reciprocity of various events influencing each other and impacting the overall change. In the 5C evaluation identified key organisational capacity changes and underlying reasons for change (causal mechanisms) are traced through process tracing (for attribution question).
EHA	Emmanuel Hospital Association
EU	European Union
General causal map	Causal map with key organisational capacity changes and underlying reasons for change (causal mechanisms), based on SPO perception.
HACI	Help a Child India (REK's country partner in India)
HBA	Health Bridge Alliance
HIV	Human Immunodeficiency Virus
HIV/AIDS	Human Immunodeficiency Virus/ Acquired Immune Deficiency Syndrome
HR	Human Resources
ICDS	Integrated Child Development Services
IDF	India Development Foundation
IEC	Information, Education, Communication
M&E	Monitoring and Evaluation
MFS	Dutch co-financing system
MIS	Management Information System
NGO	Non-Governmental Organisation
OD	Organisational Development
PHC	Primary Health Centre
PICD	Participatory Integrated Child Development
PME	Planning, Monitoring and Evaluation
PMEL	Planning, Monitoring, Evaluation and Learning
Process tracing	Theory-based approach to trace causal mechanisms
ProCoDe	Programmatic Approach, Co-responsibility and Decentralisation
PTA	Parent Teacher Association
REK	Red een Kind
SHG	Self Help Group
SMC	School Management Committee
SMS	Short Message Service
SPO	Southern Partner Organisation
SRH	Sexual and Reproductive Health

TEAR	Transformation Empowerment Advocacy Relief Australia
TLM	The Leprosy Mission Trust India
ToC	Theory of Change
USA	United States of America
USAID	United States Agency for International Development
VEC	Village Education Committee
VTRC	Vocational Training and Rehabilitation Centre
W&D	Woord en Daad
Wageningen UR	Wageningen University & Research centre

1 Introduction & summary

1.1 Purpose and outline of the report

The Netherlands has a long tradition of public support for civil bi-lateral development cooperation, going back to the 1960s. The Co-Financing System (*Medefinancieringsstelsel*, or 'MFS') is its most recent expression. MFS II is the 2011-2015 grant framework for Co-Financing Agencies (CFAs), which is directed at achieving a sustainable reduction in poverty. A total of 20 consortia of Dutch CFAs have been awarded €1.9 billion in MFS II grants by the Dutch Ministry of Foreign Affairs (MoFA).

The overall aim of MFS II is to help strengthen civil society in the South as a building block for structural poverty reduction. CFAs receiving MFS II funding work through strategic partnerships with Southern Partner Organisations.

The MFS II framework stipulates that each consortium is required to carry out independent external evaluations to be able to make valid, evaluative statements about the effective use of the available funding. On behalf of Dutch consortia receiving MFS II funding, NWO-WOTRO has issued three calls for proposals. Call deals with joint MFS II evaluations of development interventions at country level. Evaluations must comprise a baseline assessment in 2012 and a follow-up assessment in 2014 and should be arranged according to three categories of priority result areas as defined by MoFA:

- Achievement of Millennium Development Goals (MDGs) & themes;
- Capacity development of Southern partner organisations (SPO) (5 c study);
- Efforts to strengthen civil society.
-

This report focuses on the assessment of capacity development of southern partner organisations. This evaluation of the organisational capacity development of the SPOs is organised around **four key evaluation questions**:

What are the changes in partner organisations' capacity during the 2012-2014 period?
To what degree are the changes identified in partner capacity attributable to development interventions undertaken by the MFS II consortia (i.e. measuring effectiveness)?
Were the efforts of the MFS II consortia efficient?
What factors explain the findings drawn from the questions above?

The purpose of this report is to provide endline information on one of the SPOs involved in the evaluation: VTRC in India. The baseline report is described in a separate document.

Chapter 2 describes general information about the Southern Partner Organisation (SPO). Here you can find general information about the SPO, the context in which the SPO operates, contracting details and background to the SPO. In chapter 3 a brief overview of the methodological approach is described. You can find a more detailed description of the methodological approach in appendix 1.Chapter 4 describes the results of the 5c endline study. It provides an overview of capacity development interventions of the SPO that have been supported by MFS II. It also describes what changes in organisational capacity have taken place since the baseline and why (evaluation question is 1 and 4). This is described as a summary of the indicators per capability as well as a general causal map that provides an overview of the key organisational capacity changes since the baseline, as experienced by the SPO. The complete overview of descriptions per indicator, and how these have changed since the baseline is described in appendix 3. The complete visual and narrative for the key organisational capacity changes that have taken place since the baseline according to the SPO staff present at the endline workshop is presented in appendix 4.

For those SPOs involved in process tracing a summary description of the causal maps for the identified organisational capacity changes in the two selected capabilities (capability to act and commit; capability to adapt and self-renew) is provided (evaluation questions 2 and 4). These causal maps describe the identified key organisational capacity changes that are possibly related to MFS II

interventions in these two capabilities, and how these changes have come about. More detailed information can be found in appendix 5.

Chapter 5 presents a discussion on the findings and methodology and a conclusion on the different evaluation questions.

The overall methodology for the endline study of capacity of southern partner organisations is coordinated between the 8 countries: Bangladesh (Centre for Development Studies, University of Bath; INTRAC); DRC (Disaster Studies, Wageningen UR); Ethiopia (CDI, Wageningen UR); India (CDI, Wageningen UR: Indonesia (CDI, Wageningen UR); Liberia (CDI, Wageningen UR); Pakistan (IDS; MetaMeta); (Uganda (ETC). Specific methodological variations to the approach carried out per country where CDI is involved are also described in this document.

This report is sent to the Co-Financing Agency (CFA) and the Southern Partner Organisation (SPO) for correcting factual errors and for final validation of the report.

1.2 Brief summary of analysis and findings

Over the last two years VTRC has slightly improved in its capability to act and commit. This was mainly due to a more democratic approach of the leader, an organisational structure that is now in place, a more participatory planning process, improved staff skills and improved procedures to look for funding opportunities. In the capability to adapt and self-renew VTRC also improved slightly. The main improvements in this capability were more critical reflection, more freedom for ideas, improved analytical skills of staff in PME, and improved link with field staff, improved responsiveness to stakeholders and M&E findings being used more strategically. VTRC improved very slightly in the capability to deliver on development objectives as they now have certain efficiency monitoring systems in place that relate to their improved M&E capacity. The organisation improved slightly in its capability to relate because VTRC is involving government departments and community leaders in its strategic planning, they increased their networks and internally the second line leadership is given more responsibilities. Finally there was a very slight improvement in the capability to achieve coherence because there were some strategic changes made in the CARE network programme and they improved their operational guidelines.

The evaluators considered it important to also note down the SPO's perspective on the most important changes in in the organisation since the baseline. During the endline workshop the key organisational capacity changes that were brought up by VTRC's staff were: improved competency of staff in Edugate Programme, improved capacity of staff to deliver SRH and HIV/AIDS programme and improved PME. These changes happened to overlap with the key changes that were selected to process tracing. As Red een Kind is the main funder of VTRC, their funding for trainings and support to the organisation have led to most of the organisational capacity changes in VTRC. The improved competency of staff in the Edugate programme was due to improved knowledge and skills of the staff on participatory approach and child rights; and improved knowledge and skills of the tuition teachers. Both these organisational capacity changes can be fully attributed to MFS II supported capacity development interventions. The improved capacity of the staff to deliver the SRH and HIV/AIDS programme was due to increased awareness and knowledge on SRH and HIV/AIDS among VTRC staff and because of the development of IEC material and L&A curriculum. These organisational capacity changes can be attributed by MFS II funded capacity development interventions and by VTRC's participation in the Health Bridge Alliance (HBA) (also MFS II funded but not a capacity development intervention). Improved PME can also be almost entirely attributed to MFS II funded capacity development interventions. Being a member of HBA and going to their meetings was also an important influence on improved PME(also funded by MFS II but not a capacity development intervention).

2 General Information about the SPO – VTRC

2.1 General information about the Southern Partner Organisation (SPO)

Country	India
Consortium	Woord en Daad Red een Kind
Responsible Dutch NGO	Stichting Red een Kind
Project (if applicable)	EduGate CARE Network
Southern partner organisation	Vocational Training and Rehabilitation Centre

The project/partner is part of the sample for the following evaluation component(s):

Achievement of MDGs and themes	X
Capacity development of Southern partner organisations	X
Efforts to strengthen civil society	

2.2 The socio-economic, cultural and political context in which the partner operates

Vocational Training and Rehabilitation Centre (VTRC) works in four districts of Tamil Nadu, e.g., Madurai, Salem, Dindigul, Dharmapuri, among the vulnerable poor children and women to provide them health care, protection and support and reduce their vulnerability by creating awareness as well as, advocating the protection of children and women's rights so that they are empowered and get opportunities to reach their full potential. It receives MFS II funds for two programmes: CARE Network (health programme) and EDUGATE (Education programme)

Tamil Nadu is one of the better governed states in the Sothern part of India. The state came into existence after the bifurcation of the colonial Madras Province and some small princely states into Tamil Nadu and Andhra Pradesh. It spreads over 50,216 sq. miles (2011 census) which constitutes 3.96% of total area of the county and is the eleventh largest state in India. Tamil Nadu with a population of 72 million (2011 census) is the sixth most populous state in India[1]. About 51.60% people (2011 census) live in rural area and the rest in the urban area; 80.09% (2011 census) people are literate, while male literacy stands at 86.77% and female at 73.14 (2011 census)[2].

There is still a sizeable population of children in the school going age group of 6-13 years which is out of school either enrolled or dropped out before completing V/VIII standard owing to various socio-economic problems, however, over the years there has been slight improvement in enrolment and

[1] http://www.tn.gov.in/tamilnadustate
[2] http://www.census.tn.nic.in/PCA_data_highlights/chapter3_literacy_rate.pdf

decrease in dropout of students in both primary and upper primary schools. The enrolment rate at the primary level has increased from 99.29% in 2005-2006 to 99.69% in 2012-2013, and it has gone down at the upper primary level from 98.25% in 2005-2006 to 98% in 2012-2013. The dropout rates indicate slight improvement which is at primary level gone down from 1.91% in 2005-2006 to 0.93% in 2012-13 and at upper primary level gone down from 4.08% in 2005-2006 to 1.70% in 2012-13. The state level achievement survey (SLAS) report on the learning level of children in Tamil and English show an increase. Between 2012 and 2014 the survey indicates that children in standard III who scored above 50% in Tamil improved from 61% (2012) to 84% (2014) and in English from 44% (2012) to 72% (2014). Standard VIII student improved in Tamil from 61% (2012) to 72% (2014) and in English from 39% (2012) to 43% (2014)[3].

Since 2011-12 the government of Tamil Nadu has been constantly making efforts to improve the standard of education/school, impart free and compulsory education to all children and provide welfare schemes to reduce the dropout rate. It has ensured continuation of all the welfare schemes till 2014-15 while adding to the already announced schemes, such as, the number of uniform for children has increased from 2 sets in 2011-12 to 4 sets in 2012-13, supply of educational kit (consisting of school bag, geometry box, crayons/ colour pencils and atlases) to the primary students, supply of bi-cycles, free bus passes, financial assistance for the students who lost their bread winning parents (father or mother). The Vision 2023 of the government of Tamil Nadu aims to achieve universal secondary education and more than 50% enrolment in higher education (comprising of vocational and college education). The theme of the vision 2023 is "Tamil Nadu will be known as the innovation hub and knowledge capital of India, on the strength of world class institutions in various fields and the best human talent". To achieve this, it has planned for 100% of all children in primary and upper primary level, eradicate gender bias in education while ensuring quality education, to lay emphasis on girls education by providing support measures like transport, escort facilities, guidance and counselling, to ensure quality inclusive education to every child with special need (CWSN) irrespective of kind, category and degree of the disability, etc [4].

Despite government schemes and provisions to widen the scope of education for all the poor and marginal communities, most of them lack access to quality education. This could be due to lack of awareness or inaccessibility of government schemes and provisions, poverty and other social challenges. In this context, VTRC's efforts to contribute to the provision of inclusive education as defined by the Government and to enhance the quality of education among the children of marginalised communities by mobilizing and strengthening civil societies is promising.

Health

The Government of Tamil Nadu is committed and looking forward to build a healthy society by ensuring quality healthcare (preventive and curative care) to all segments of the society through hospitals, dispensaries and institutions. Tamil Nadu ranks second[5]. in the country on indicators related to primary healthcare infrastructure and reproductive and child health care. The sex-ratio stands at 995 female per 1000 male (2011 census) which is above the national average of 940[6]. Total fertility rate (TFR) is 1.7% while India stands at 2.6%. The Infant Mortality Rate (IMR) of the state is 21 per 1000 live births (as per sample registration system 2012); Maternal mortality rate (MMR) has declined from 134 in 2001-03 to 90 per hundred thousand (as per sample registration system 2010-12) and in 2013-14 this has further gone down to 68 per hundred thousand (as per the state health management system survey data)[7]. Female child mortality and under 5 child mortality in Tamil Nadu is relatively low but female child mortality continued to exceed male mortality. The data available with the National rural health mission shows that neonatal mortality constitutes 65% and above, though 99% of deliveries occur at health institutions (both Government and Private). This is perhaps due to poor infrastructure in remote areas and facilities in the hospitals and lack of neonatal child care knowledge

[3] Policy Note 2014-2015 Minister for School Education [accessed from: http://cms.tn.gov.in/sites/default/files/documents/sedu_e_pn_2014_15.pdf]
[4] Vision 2023 [accessed from: http://www.spc.tn.gov.in//pdfs/TN_Vision_2023.pdf]
[5] Kerala being the best and Pondicherry ranks second together with Tamil Nadu.
[6] http://www.census.tn.nic.in/PCA_data_highlights/chapter3_literacy_rate.pdf
[7] http://cms.tn.gov.in/sites/default/files/documents/health_e_pn_2014_15.pdf

among mothers. Over the years there has been a steady decline in MMR and IMR rate due to improved government provisions and awareness campaign with the help of NGOs and civil society organisations. [8] In 'Vision 2023' of the government the focus has been on continuing the strengthening of neonatal care services at all the Government Institutions and follow up of neonates by improving Home Based Care for early identification of high risk for appropriate referral services.
HIV/AIDS prevalence rate has declined from 0.37% in 2010 to 0.25% in 2012-13 with the involvement and effective leadership of multi-stakeholders such as, the government, civil society, bilateral and multilateral donors and NGOs etc. The establishment of anti-retroviral therapy centres like, ART centres, ICTCs (Integrated Counselling and Testing Centres) to detect and carry out counselling programmes with patients, further contributed in the decline of the HIV/AIDS prevalence rate in the state[9]. Since 2009 the affected children have been provided financial assistance for education, medical treatment and nutrition under the Tamil Nadu Trust for Children Affected by AIDS (TNTCAA) [10]. As per the data released in 2013 by Ministry of Health and Family Welfare, government of India, 90% of HIV infected pregnant women in India are concentrated in 13 high HIV prevalence states which includes Tamil Nadu[11].

HIV/AIDS as a theme, according to universal trends is being merged with reproductive and child health and specifically with sexual and reproductive health for better eradication. Now it is looked upon as part of sexual health. Traditionally HIV services have focused on women, leaving the boys and men with minimal services.

Though health indicators such as infant mortality, maternal mortality, child mortality and HIV/AIDS prevalence are beginning to display a decline but lack of awareness among the poor and marginal communities and inaccessibility of the government schemes and programmes continue to be a concern. However, the government's effort, vision and commitment to create a healthy society by providing health care for all and its desire to support NGOs and other civil society's organisations to deliver the health services looks forward to a healthy society. Henceforth, VTRC works in complementary to the efforts of the government to improve health in sexual reproductive health and HIV/AIDS by making health care delivery system in sexual reproductive health and HIV accessible and available through a process of cooperation, strengthening and lobbying with the state health management systems. It also focuses on the prevention of HIV and SRH through increasing the intensity and the coverage of sexuality education through the development and capacitation of change agents.

2.3 Contracting details

When did cooperation with this partner start: 1987

What is the MFS II contracting period: 1st of January 2011 – 31st of December 2015 for both the Edugate and the CARE Network project.

Did cooperation with this partner end: No

If yes, when did it finish: NA

What is the reason for ending the cooperation with this partner: NA

Is there expected cooperation with this partner after 31st of December 2015: No.

[8] http://www.nrhmtn.gov.in/pip/pip12_13.pdf
[9] Vision 2023 [accessed from: http://www.spc.tn.gov.in//pdfs/TN_Vision_2023.pdf]
[10] http://www.thehindu.com/news/national/tamil-nadu/tamil-nadu-puts-up-good-fight-against-hiv/article4151467.ece
[11] http://naco.gov.in/upload/NACP%20-%20IV/18022014%20BSD/National%20Strategic%20Plan%20PPTCT.pdf

2.4 Background to the Southern Partner Organisation

History

Vocational Training and Rehabilitation Centre (VTRC) works among the poor and marginalised children and women in Tamil Nadu to provide care, protection, support and reduce the vulnerability. In the early 80s, a group of like-minded individuals came together to address a major concern of poor and underprivileged children, often orphaned, or abandoned. Steps taken by the State Government to address the issue was hardly enough. There were neither many organizations nor formal groups which took this issue on a priority basis. In most cases it was parents who killed the girl child for dowry and poverty. In 1980's this part of Madurai practised female foeticide. Babies were killed at birth. VTRC was registered on 31st December, 1986 under the Tamil Nadu Societies, Registration Act No. 181 of 1986. The vision of VTRC is – "Little one can become a mighty nation". VTRC's mission has been to provide support to vulnerable children, being child centred and child focused.

Between 1986 and 1988, VTRC continued to address and support the rehabilitation of orphaned, abandoned children, often girls, and in most cases new born babies. During this period 195 children were saved, of which 32 children joined their families later. Children were rescued from hospitals, dustbins and other unheard of places. In certain cases girl children were rescued from hospitals who were admitted as a result of poisoning. In terms of programmes, children's rescue program (girl children, children born outside wedlock), child sponsored programme, children homes, were started in Madurai. In 1988 Peniel Baby Home was established in Madurai with 40 children. The home cares for the babies and rehabilitates them until they become self-sufficient or until they get married. During this period, VTRC also faced the challenge of having specialized child care professionals within their team as the needs of these children were diverse. About 20 specialised child care staff was appointed to strengthen the VTRC team.

During the period 1989-93, VTRC moved its focus to families. A "family need based" programme was launched. This addressed 150 sponsored children with an additional 100 children who joined from outside. Between 1994 and 1997, VTRC revised its strategy from inpatients care to home based care. As a result in 1995 Centre for Aids Rehabilitation and Education (CARE) was established to care for HIV/AIDS infected and affected population in and around Madurai irrespective of caste, religion or creed. To create awareness and counsel parents volunteers were recruited and were sent to villages. VTRC also included in its strategy addressing issues of sexual health, specifically HIV/AIDS. The National Highway 7 stretch, towards south of Madurai, was identified as an area to design interventions. Here a significant number of truck drivers were found to have been infected owing to high risk sexual behaviour. Targeted interventions were designed mainly in Madurai and adjoining 5 districts around Madurai. As a mark of sensitivity, an inclusive HR policy, VTRC recruited 4 HIV positive staff. A centre for Anti-Retroviral Therapy was started in Madurai. Earlier it was only counselling support to which testing facility was added. Through this facility 97 cases with opportunistic infections were registered. A strategy for neighbourhood camps was initiated. Cluster of patients living in a particular Taluk (hamlet) were addressed and they also received nutritional supplement as well as treatment for minor infections. A support group was formed to facilitate these neighbourhood camps which were subsequently held through camps in churches. Schools and colleges were engaged to help in setting up neighbourhood camps.

The next important year was 2000; as VTRC moved on to include commercial sex workers and their children in their interventions. This was a result of working closely on HIV/AIDS. The interventions included facilitation of job opportunities for them so that they did not have to go back to sex work and alternate sources of livelihood are made available. VTRC also worked with some groups in Chennai, the state capital of Tamil Nadu.

During 2004-06, mass media campaigns were organized at the invitation of the District Administration. Multimedia campaigns covering all Development departments like education, revenue and health was carried out to have a large scale awareness around high risk sexual behaviour and the possibilities of certain vulnerable groups contracting HIV/A and providing some kind of guidance. Mass screening of truck drivers were carried out, and alternative ways of engaging with them, primarily

using videos and other educational materials were adopted. Christian business families started supporting these initiatives. Initially churches were not ready to accept the HIV issue which subsequently became a matter of serious concern.

In 2006 MFS-I started funding for HIV/AIDS prevention and Edugate programme. In 2008 CARE Network was established together with three like-minded Faith Based Organisations (Bethel Agricultural Fellowship, Vocational Bible School, Bal Vikas Kendra) for better intervention and prevention of HIV/AIDS with special focus to women and children. During 2008-10 period it reaches out to 7000 patients in about 2000 villages through its various outreach care and support programs. In 2011 Health Bridge Alliance was formed in India among the CFA funded organisations consisting of six partners (The Leprosy Mission Trust India, Emmanuel Hospitals Association, Help a Child of India, Christian Outreach Uplifting New Tribes, CARE Network and Word and Deed India) to give the health programme a wider impact and better sustainability. The alliance focuses on MDG GOALS 4 & 5 and works through a process of together sharing and planning. The second phase of MFS support started in 2011 for the Edugate and CARE Network programme and will end in 2015. VTRC changed its strategy to make health care delivery system in sexual reproductive health and HIV accessible and available through a process of cooperation, strengthening and lobbying with the state health systems.

During 2006-2010 VTRC expanded its educational institute from high school to college. In 2007 it established Peniel Rural College of Education which is another educational unit of Vocational Training and Rehabilitation Centre. Teacher education and pre-service teacher training are introduced in this college. The college was recognized by the National Council of Technical Education. In 2014 it has established an Industrial school for the dropout students for to promote skill development and livelihood. In the period 2006-2010 it had 33 staff and in 2014 it grew to 118 staff on the payroll of VTRC. The budget went down from Euro 92,17 in 2011 to Euro 81,068 in 2012 and in 2014 it is Euro 85,108.80 in the CARE Network project. In the Edugate project the budget went up from Euro 42,098 in 2011 to Euro 47,497 in 2012 and in 2013 it is 48,794 Euro.

To improve the quality of education of children among the marginalised communities and increase the retention rate in the schools VTRC started the Edugate programme in 2007. To achieve this objective it conducts 90 tuition centres through 90 teachers in three districts of Tamil Nadu. Over the years it has strengthened Parents Teachers Association (PTA) for better parenting at home and creates a favourable atmosphere for the children to study and also contribute in the School Management Committee (SME) to improve the standard of education in schools. Since 2014 the organisation started participatory approach in the Edugate programme to involve community (parents of tuition children) in the planning process. Over the period VTRC has been trying to develop strategy and successfully implant it for better sustainability.

Vision

The Little one shall become a mighty nation.

Mission

Our Mission is to provide care, support and reducing the vulnerability of children/women to loss of parents/husbands and alleviating the impact of the parent's/Husbands death or desertion. Our organization believes in advocating the protection of children & women's rights, to help meet their basic needs and to expand their opportunities to reach their full potential.
We are committed to ensure special protection for the infants from female infanticide and respond in emergencies to serve the children & women in co-ordination with our funding partners in times of natural calamities and disasters.

In everything we do the most disadvantaged children and their families in greatest need have priority.

Providing support to vulnerable children, being child centred and child focused.

Strategies

VTRC implements two programmes such as the Edugate programme, CARE Network programme. In the Edugate programme it works through the tuition centres run by tuition teachers to enhance the quality of education of the children of marginalized communities by mobilizing and strengthening civil societies. The children who study in various government schools join/encouraged to join the tuition centres and are provided basic education along with awareness on government schemes/provision, sexual well-being education, HIV/AIDS. They are encouraged with Picnics/heritage walk to further build their personality, spirit of cooperation and knowledge. Children parliaments are streamlined and conducted to lobby for the educational needs of the target area. Parents Teachers Meetings (PTA) and School Management committees (SMC) are capacitated for to improve the quality of education and access to government education schemes. The Participatory approach methodology is followed (since 2014) to involve the community in needs identification and planning to improve the quality of education in the target areas. In the recent past (since 2014) it has established industrial school for the school dropouts aiming at skill building and provide certificate for to improve sustainability.

In the CARE Network programme the focus is to make health care delivery system in sexual reproductive health and HIV accessible and available through a process of cooperation, strengthening and lobbying with the state health systems. The Edugate and the CARE Network programme was converged by taking up health related issues in the tuition centres for creating better awareness among community on health issues and widening the scope for addressing the issues. This programme runs through the change agents and tuition teachers who are capacitated to prevent HIV and SRH through increase intensity and convergence of sexuality education.

3 Methodological approach and reflection

3.1 Overall methodological approach and reflection

This chapter describes the methodological design and challenges for the assessment of capacity development of Southern Partner Organisations (SPOs), also called the '5C study'. This 5C study is organised around **four key evaluation questions**:

1. What are the changes in partner organisations' capacity during the 2012-2014 period?
2. To what degree are the changes identified in partner capacity attributable to development interventions undertaken by the MFS II consortia (i.e. measuring effectiveness)?
3. Were the efforts of the MFS II consortia efficient?
4. What factors explain the findings drawn from the questions above?

It has been agreed that the question (3) around efficiency cannot be addressed for this 5C study. The methodological approach for the other three questions is described below. At the end, a methodological reflection is provided.

Note: this methodological approach is applied to 4 countries that the Centre for Development Innovation, Wageningen University and Research centre is involved in in terms of the 5C study (Ethiopia, India, Indonesia, Liberia). The overall approach has been agreed with all the 8 countries selected for this MFS II evaluation. The 5C country teams have been trained and coached on this methodological approach during the evaluation process. Details specific to the SPO are described in chapter 5.1 of the SPO report A detailed overview of the approach is described in appendix 1.

The first (changes in organisational capacity) and the fourth evaluation question are addressed together through:

- **Changes in the 5C indicators since the baseline:** standard indicators have been agreed upon for each of the five capabilities of the five capabilities framework (see appendix 2) and changes between the baseline, and the endline situation have been described. For data collection a mix of data collection methods has been used, including self-assessments by SPO staff; interviews with SPO staff and externals; document review; observation. For data analysis, the Nvivo software program for qualitative data analysis has been used. Final descriptions per indicator and per capability with corresponding scores have been provided.
- **Key organisational capacity changes – 'general causal map':** during the endline workshop a brainstorm has been facilitated to generate the key organisational capacity changes as perceived by the SPO since the baseline, with related underlying causes. For this purpose, a visual as well as a narrative causal map have been described.

In terms of the attribution question (2 and 4), **'process tracing'** is used. This is a theory-based approach that has been applied to a selected number of SPOs since it is a very intensive and costly methodology, although it provides rich information and can generate a lot of learning within the organisations. This approach was presented and agreed-upon during the synthesis workshop on 17-18 June 2013 by the 5C teams for the eight countries of the MFS II evaluation. A more detailed description of the approach was presented during the synthesis workshop in February 2014. The synthesis team, NWO-WOTRO, the country project leaders and the MFS II organisations present at the workshop have accepted this approach. It was agreed that this approach can only be used for a selected number of SPOs since it is a very intensive and costly methodology. Key organisational capacity changes/ outcomes of the SPO were identified, based on their relationship to the two selected capabilities, the capability to act and commit the capability to adapt and self-renew, and an expected relationship with CFA supported capacity development interventions (MFS II funding). It was agreed to focus on these two capabilities, since these are the most targeted capabilities by the CFAs, as established during the baseline process.

Please find below an explanation of how the above-mentioned evaluation questions have been addressed in the 5C evaluation.

At the end of this appendix a brief methodological reflection is provided.

3.2 Assessing changes in organisational capacity and reasons for change - evaluation question 1 and 4

This section describes the data collection and analysis methodology for answering the first evaluation question: **What are the changes in partner organisations' capacity during the 2012-2014 period?** And the fourth evaluation question: **"What factors explain the findings drawn from the questions above?"**

In order to explain the changes in organisational capacity development between baseline and endline (evaluation question 1) the CDI and in-country evaluation teams needed to review the indicators and how they have changed between baseline and endline and what reasons have been provided for this. This is explained below. It has been difficult to find detailed explanations for changes in each of the separate 5c indicators, but the 'general causal map' has provided some ideas about some of the key underlying factors actors and interventions that influence the key organisational capacity changes, as perceived by the SPO staff.

The evaluators considered it important to also note down a consolidated SPO story and this would also provide more information about what the SPO considered to be important in terms of organisational capacity changes since the baseline and how they perceived these key changes to have come about. Whilst this information has not been validated with sources other than SPO staff, it was considered important to understand how the SPOs has perceived changes in the organisation since the baseline.

For those SPOs that are selected for process tracing (evaluation question 2), more in-depth information is provided for the identified key organisational capacity changes and how MFS II supported capacity development interventions as well as other actors, factors and interventions have influenced these changes. This is integrated in the next session on the evaluation question on attribution, as described below and in the appendix 1.

How information was collected and analysed for addressing evaluation question 1 and 4, in terms of description of changes in indicators per capability as well as in terms of the general causal map, based on key organisational capacity changes as perceived by the SPO staff, is further described below.

During the baseline in 2012 information has been collected on each of the 33 agreed upon indicators for organisational capacity. For each of the five capabilities of the 5C framework indicators have been developed as can be seen in Appendix 2. During this 5C baseline, a summary description has been provided for each of these indicators, based on document review and the information provided by staff, the Co-financing Agency (CFA) and other external stakeholders. Also a summary description has been provided for each capability. The results of these can be read in the baseline reports.

The description of indicators for the baseline in 2012 served as the basis for comparison during the endline in 2014. In practice this meant that largely the same categories of respondents (preferably the same respondents as during the baseline) were requested to review the descriptions per indicator and indicate whether and how the endline situation (2014) is different from the described situation in 2012[12].

Per indicator they could indicate whether there was an improvement or deterioration or no change and also describe these changes. Furthermore, per indicator the interviewee could indicate what interventions, actors and other factors explain this change compared to the baseline situation. See

[12] The same categories were used as during the baseline (except beneficiaries, other funders): staff categories including management, programme staff, project staff, monitoring and evaluation staff, field staff, administration staff; stakeholder categories including co-financing agency (CFA), consultants, partners.

below the specific questions that are asked for each of the indicators. Per category of interviewees there is a different list of indicators to be looked at. For example, staff members were presented with a list of all the indicators, whilst external people, for example partners, are presented with a select number of indicators, relevant to the stakeholder.

The information on the indicators was collected in different ways:

1. **Endline workshop at the SPO - self-assessment and 'general causal map'**: similar to data collection during the baseline, different categories of staff (as much as possible the same people as during the baseline) were brought together in a workshop and requested to respond, in their staff category, to the list of questions for each of the indicators (self-assessment sheet). Prior to carrying out the self-assessments, a brainstorming sessions was facilitated to develop a 'general causal map', based on the key organisational capacity changes since the baseline as perceived by SPO staff. Whilst this general causal map is not validated with additional information, it provides a sequential narrative, based on organisational capacity changes as perceived by SPO staff;
2. **Interviews with staff members**: additional to the endline workshop, interviews were held with SPO staff, either to provide more in-depth information on the information provided on the self-assessment formats during the workshop, or as a separate interview for staff members that were not present during the endline workshop;
3. **Interviews with externals**: different formats were developed for different types of external respondents, especially the co-financing agency (CFA), but also partner agencies, and organisational development consultants where possible. These externals were interviewed, either face-to-face or by phone/Skype. The interview sheets were sent to the respondents and if they wanted, these could be filled in digitally and followed up on during the interview;
4. **Document review**: similar to the baseline in 2012, relevant documents were reviewed so as to get information on each indicator. Documents to be reviewed included progress reports, evaluation reports, training reports, etc. (see below) since the baseline in 2012, so as to identify changes in each of the indicators;
5. **Observation**: similar to what was done in 2012, also in 2014 the evaluation team had a list with observable indicators which were to be used for observation during the visit to the SPO.

Below the key steps to assess changes in indicators are described.

Key steps to assess changes in indicators are described

1. Provide the description of indicators in the relevant formats – CDI team
2. Review the descriptions per indicator – in-country team & CDI team
3. Send the formats adapted to the SPO to CFA and SPO – in-country team (formats for SPO) and CDI team (formats for CFA)
4. Collect, upload & code the documents from CFA and SPO in NVivo – CDI team
5. Organise the field visit to the SPO – in-country team
6. Interview the CFA – CDI team
7. Run the endline workshop with the SPO – in-country team
8. Interview SPO staff – in-country team
9. Fill-in observation sheets – in-country team
10. Interview externals – in-country team
11. Upload and auto-code all the formats collected by in-country team and CDI team in NVivo – CDI team
12. Provide to the overview of information per 5c indicator to in-country team – CDI team
13. Analyse data and develop a draft description of the findings per indicator and for the general questions – in-country team
14. Analyse data and develop a final description of the findings per indicator and per capability and for the general questions – CDI team
15. Analyse the information in the general causal map –in-country team and CDI-team

Note: the CDI team include the Dutch 5c country coordinator as well as the overall 5c coordinator for the four countries (Ethiopia, India, Indonesia, Liberia). The 5c country report is based on the separate SPO reports.

Please see appendix 1 for a description of the detailed process and steps.

3.3 Attributing changes in organisational capacity - evaluation question 2 and 4

This section describes the data collection and analysis methodology for answering the second evaluation question*: **To what degree are the changes identified in partner capacity attributable to (capacity) development interventions undertaken by the MFS II consortia*** **(i.e. measuring effectiveness)?** and the fourth evaluation question: **"What factors explain the findings drawn from the questions above?"**

In terms of the attribution question (2), 'process tracing' is used. This is a theory-based approach that has been applied to a selected number of SPOs since it is a very intensive and costly methodology, although it provides rich information and can generate a lot of learning within the organisations. Key organisational capacity changes/ outcomes of the SPO were identified, based on their relationship to the two selected capabilities, the capability to act and commit the capability to adapt and self-renew, and an expected relationship with CFA supported capacity development interventions (MFS II funding). It was agreed to focus on these two capabilities, since these are the most targeted capabilities by the CFAs, as established during the baseline process.

Below, the selection of SPOs for process tracing as well as the different steps involved for process tracing in the selected SPOs, are further explained.

3.3.1 Selection of SPOs for 5C process tracing

Process tracing is a very intensive methodology that is very time and resource consuming (for development and analysis of one final detailed causal map, it takes about 1-2 weeks in total, for different members of the evaluation team). It has been agreed upon during the synthesis workshop on 17-18 June 2013 that only a selected number of SPOs will take part in this process tracing for the purpose of understanding the attribution question. The selection of SPOs is based on the following criteria:

- MFS II support to the SPO has not ended before 2014 (since this would leave us with too small a time difference between intervention and outcome);
- Focus is on the 1-2 capabilities that are targeted most by CFAs in a particular country;
- Both the SPO and the CFA are targeting the same capability, and preferably aim for similar outcomes;
- Maximum one SPO per CFA per country will be included in the process tracing.

The intention was to focus on about 30-50% of the SPOs involved. Please see the tables below for a selection of SPOs per country. Per country, a first table shows the extent to which a CFA targets the five capabilities, which is used to select the capabilities to focus on. A second table presents which SPO is selected, and takes into consideration the selection criteria as mentioned above.

For the detailed results of this selection, in the four countries that CDI is involved in, please see appendix 1. The following SPOs were selected for process tracing:

Ethiopia: AMREF, ECFA, FSCE, HUNDEE (4/9)

India: BVHA, COUNT, FFID, SMILE, VTRC (5/10)

Indonesia: ASB, ECPAT, PtPPMA, YPI, YRBI (5/12)

Liberia: BSC, RHRAP (2/5).

3.3.2 Key steps in process tracing for the 5C study

In the box below you will find the key steps developed for the 5C process tracing methodology. These steps will be further explained here. Only key staff of the SPO is involved in this process: management; programme/ project staff; and monitoring and evaluation staff, and other staff that could provide information relevant to the identified outcome area/key organisational capacity change. Those SPOs selected for process tracing had a separate endline workshop, in addition to the ' general endline workshop. This workshop was carried out after the initial endline workshop and the interviews

during the field visit to the SPO. Where possible, the general and process tracing endline workshop have been held consecutively, but where possible these workshops were held at different points in time, due to the complex design of the process. Below the detailed steps for the purpose of process tracing are further explained. More information can be found in Appendix 1.

Key steps in process tracing for the 5C study

1. Identify the planned MFS II supported capacity development interventions within the selected capabilities (capability to act and commit and capability to adapt and self-renew) – CDI team
2. Identify the implemented MFS II supported capacity development interventions within the selected capabilities (capability to act and commit and capability to adapt and self-renew) – CDI team
3. Identify initial changes/ outcome areas in these two capabilities – CDI team & in-country team
4. Construct the detailed, initial causal map (theoretical model of change) – CDI team & in-country team
5. Identify types of evidence needed to verify or discard different causal relationships in the model of change – in-country teams, with support from CDI team
6. Collect data to verify or discard causal mechanisms and construct workshop based, detailed causal map (model of change) – in-country team
7. Assess the quality of data and analyse data and develop final detailed causal map (model of change) – in-country team with CDI team
8. Analyse and conclude on findings– CDI team, in collaboration with in-country team

3.3.3 Methodological reflection

Below a few methodological reflections are made by the 5C evaluation team. These can also be found in appendix 1.

Use of the 5 core capabilities framework and qualitative approach: this has proven to a be very useful framework to assess organisational capacity. The five core capabilities provide a comprehensive picture of the capacity of an organisation. The capabilities are interlinked, which was also reflected in the description of standard indicators, that have been developed for the purpose of this 5C evaluation and agreed upon for the eight countries. Using this framework with a mainly qualitative approach has provided rich information for the SPOs and CFAs, and many have indicated this was a useful learning exercise.

Using standard indicators and scores: using standard indicators is useful for comparison purposes. However, the information provided per indicator is very specific to the SPO and therefore makes comparison difficult. Whilst the description of indicators has been useful for the SPO and CFA, it is questionable to what extent indicators can be compared across SPOs since they need to be seen in context, for them to make meaning. In relation to this, one can say that scores that are provided for the indicators, are only relative and cannot show the richness of information as provided in the indicator description. Furthermore, it must be noted that organisations are continuously changing and scores are just a snapshot in time. There cannot be perfect score for this. In hindsight, having rubrics would have been more useful than scores.

General causal map: whilst this general causal map, which is based on key organisational capacity changes and related causes, as perceived by the SPO staff present at the endline workshop, has not been validated with other sources of information except SPO feedback, the 5C evaluation team considers this information important, since it provides the SPO story about how and which changes in the organisation since the baseline, are perceived as being important, and how these changes have come about. This will provide information additional to the information that has been validated when analysing and describing the indicators as well as the information provided through process tracing (selected SPOs). This has proven to be a learning experience for many SPOs.

Using process tracing for dealing with the attribution question: this theory-based and mainly qualitative approach has been chosen to deal with the attribution question, on how the organisational capacity changes in the organisations have come about and what the relationship is with MFS II supported capacity development interventions and other factors. This has proven to be a very useful process, that provided a lot of very rich information. Many SPOs and CFAs have already indicated that

they appreciated the richness of information which provided a story about how identified organisational capacity changes have come about. Whilst this process was intensive for SPOs during the process tracing workshops, many appreciated this to be a learning process that provided useful information on how the organisation can further develop itself. For the evaluation team, this has also been an intensive and time-consuming process, but since it provided rich information in a learning process, the effort was worth it, if SPOs and CFAs find this process and findings useful.

A few remarks need to be made:

- Outcome explaining process tracing is used for this purpose, but has been adapted to the situation since the issues being looked at were very complex in nature.
- Difficulty of verifying each and every single change and causal relationship:
  - Intensity of the process and problems with recall: often the process tracing workshop was done straight after the general endline workshop that has been done for all the SPOs.In some cases, the process tracing endline workshop has been done at a different point in time, which was better for staff involved in this process, since process tracing asks people to think back about changes and how these changes have come about. The word difficulties with recalling some of these changes and how they have come about. See also the next paragraph.
  - Difficulty of assessing changes in knowledge and behaviour: training questionnaire is have been developed, based on Kirkpatrick's model and were specifically tailored to identify not only the interest but also the change in knowledge and skills, behaviour as well as organisational changes as a result of a particular training. The retention ability of individuals, irrespective of their position in the organisation, is often unstable. The 5C evaluation team experienced that it was difficult for people to recall specific trainings, and what they learned from those trainings. Often a change in knowledge, skills and behaviour is a result brought about by a combination of different factors , rather than being traceable to one particular event. The detailed causal maps that have been established, also clearly pointed this. There are many factors at play that make people change their behaviour, and this is not just dependent on training but also internal/personal (motivational) factors as well as factors within the organisation, that stimulate or hinder a person to change behaviour. Understanding how behaviour change works is important when trying to really understand the extent to which behaviour has changed as a result of different factors, actors and interventions. Organisations change because people change and therefore understanding when and how these individuals change behaviour is crucial. Also attrition and change in key organisational positions can contribute considerably to the outcome.

Utilisation of the evaluation

The 5C evaluation team considers it important to also discuss issues around utility of this evaluation. We want to mention just a few.

Design – mainly externally driven and with a focus on accountability and standard indicators and approaches within a limited time frame, and limited budget: this MFS II evaluation is originally based on a design that has been decided by IOB (the independent evaluation office of the Dutch Ministry of Foreign Affairs) and to some extent MFS II organisations. The evaluators have had no influence on the overall design and sampling for the 5C study. In terms of learning, one may question whether the most useful cases have been selected in this sampling process. The focus was very much on a rigorous evaluation carried out by an independent evaluation team. Indicators had to be streamlined across countries. The 5C team was requested to collaborate with the other 5C country teams (Bangladesh, Congo, Pakistan, Uganda) to streamline the methodological approach across the eight sampled countries. Whilst this may have its purpose in terms of synthesising results, the 5C evaluation team has also experienced the difficulty of tailoring the approach to the specific SPOs. The overall evaluation has been mainly accountability driven and was less focused on enhancing learning for improvement. Furthermore, the timeframe has been very small to compare baseline information (2012) with endline information (2014). Changes in organisational capacity may take a long, particularly if they are related to behaviour change. Furthermore, there has been limited budget to carry out the 5C evaluation. For all the four countries (Ethiopia, India, Indonesia, Liberia) that the Centre for Development Innovation, Wageningen University and Research centre has been involved in, the budget has been overspent.

However, the 5C evaluation team has designed an endline process whereby engagement of staff, e.g. in a workshop process was considered important, not only due to the need to collect data, but also to generate learning in the organisation. Furthermore, having general causal maps and detailed causal maps generated by process tracing have provided rich information that many SPOs and CFAs have already appreciated as useful in terms of the findings as well as a learning process.

Another issue that must be mentioned is that additional requests have been added to the country teams during the process of implementation: developing a country based synthesis; questions on design, implementation, and reaching objectives of MFS II funded capacity development interventions, whilst these questions were not in line with the core evaluation questions for the 5C evaluation.

Complexity and inadequate coordination and communication: many actors, both in the Netherlands, as well as in the eight selected countries, have been involved in this evaluation and their roles and responsibilities, were often unclear. For example, 19 MFS II consortia, the internal reference group, the Ministry of Foreign Affairs, Partos, the Joint Evaluation Trust, NWO-Wotro, the evaluators (Netherlands and in-country), 2 external advisory committees, and the steering committee. Not to mention the SPO's and their related partners and consultants. CDI was involved in 4 countries with a total number of 38 SPOs and related CFAs. This complexity influenced communication and coordination, as well as the extent to which learning could take place. Furthermore, there was a distance between the evaluators and the CFAs, since the approach had to be synchronised across countries, and had to adhere to strict guidelines, which were mainly externally formulated and could not be negotiated or discussed for the purpose of tailoring and learning. Feedback on the final results and report had to be provided mainly in written form. In order to enhance utilisation, a final workshop at the SPO to discuss the findings and think through the use with more people than probably the one who reads the report, would have more impact on organisational learning and development. Furthermore, feedback with the CFAs has also not been institutionalised in the evaluation process in the form of learning events. And as mentioned above, the complexity of the evaluation with many actors involved did not enhance learning and thus utilization.

5C Endline process, and in particular thoroughness of process tracing often appreciated as learning process: The SPO perspective has also brought to light a new experience and technique of self-assessment and self-corrective measures for managers. Most SPOs whether part of process tracing or not, deeply appreciated the thoroughness of the methodology and its ability to capture details with robust connectivity. This is a matter of satisfaction and learning for both evaluators and SPOs. Having a process whereby SPO staff were very much engaged in the process of self-assessment and reflection has proven for many to be a learning experience for many, and therefore have enhanced utility of the 5C evaluation.

4 Results

4.1 MFS II supported capacity development interventions

Below an overview of the different MFS II supported capacity development interventions of VTRC that have taken place since 2011 are described. The information is based on the information provided by Red een Kind.

Table 1
Information about MFS II supported capacity development interventions since baseline

Title of the MFS II supported capacity development intervention	Objectives	Activities	Timing and duration	Budget
Training on Theory of Change (facilitated by ICCO)	It was part of the alliance: face to face meetings, REK + other ICCO PRISMA alliance members providing technical support to VTRC	All the staff of VTRC (including animators) learned about ToC as discussions took place with staff that did not participate in the training. Draft ToC for the CARE network is already made. It helped in a better way of planning. The ToC has not been finalised, it is an evolving document and it was also a learning experiment.	16-19 April 2012	The participants expense was around Rs. 80,000.00
Training on Participatory Integrated Child Development (PICD) approach by Red een Kind in Bangladesh	There was a need to from institution based (e.g. orphanage) development to child centred development. It is a diagnostic tool to enter the community and to do this in a participatory way.	The project coordinators of the Edugate and CARE network programme participated and learned about this community-based approach, which is a more sustainable child-friendly approach (within families, not institutions).	5 day workshop in April 2012	INR 38,314
Behaviour Change Communication workshop facilitated by ICCO for the CARE Network project	It was part of the Health Bridge Alliance program	Issues raised: how to link the ToC of the CARE Network to the plan for 2013, handholding as urgent need (transitional period where logframes are still used but ToC is coming up). Discussion on behavioural change framework & exercises in the context of SRH and HIV. Half yearly reports were discussed – handed in by the end of the meeting (7 sept). Discussion on lobby and advocacy, should HBA join the Jeevika movement?	5-7 September 2012	Rs. 36,283
Advanced PMEL training in Nepal	To improve PMEL system	The CARE network coordinator gained skills in reporting and systematic analysis of data.	11-17 September 2013	500 Euros (Under MFS II) 340 Euros from Woord en Daad NL

Trainings for tuition teachers on disability, lesson plans, child psychology, teaching methodology, quality education	Training programmes to Tuition teachers to enhance their skills on quality of basic education and teaching methodology.	Trainings	2011: one 1 day training in June, one 3 day training in July, one 1 day training in September, one 3 day training in October, two 1 day trainings and 1 two day training in November, one 2 day training in December	June 2011: 173.98 Euros July-Sept 2011: 468.57 Euros Oct-Dec 2011: 1947.60 Euros
			2012: one 1 day training in February, two 1 day trainings in March, two 1 day trainings in April, one 1 day training in June, 1 one day training in August, two 1 day trainings in September, one 1 day training in December	Feb-March 2012: 314.28 Euros April-June 2012: 935.47 Euros Aug – Sept 2012: 607.12 Euros Dec 2012: 564.05 Euros
			2013: one 1 day training in February, one 3 day training in May, one 1 day training in June, one 1 day training in July, one 1 day training in October, two 1 day trainings in December	February 2013: 500.11 Euros May- June 2013: 845.31 Euros July 2013: 162.69 Euros October – December 2013: 1483.60 Euros
			2014: two 1 day trainings in February, one 1 day training in March, one 1 day training in April, one 1 day training in June and one 1 day training in July	2014 1757.55 Euros

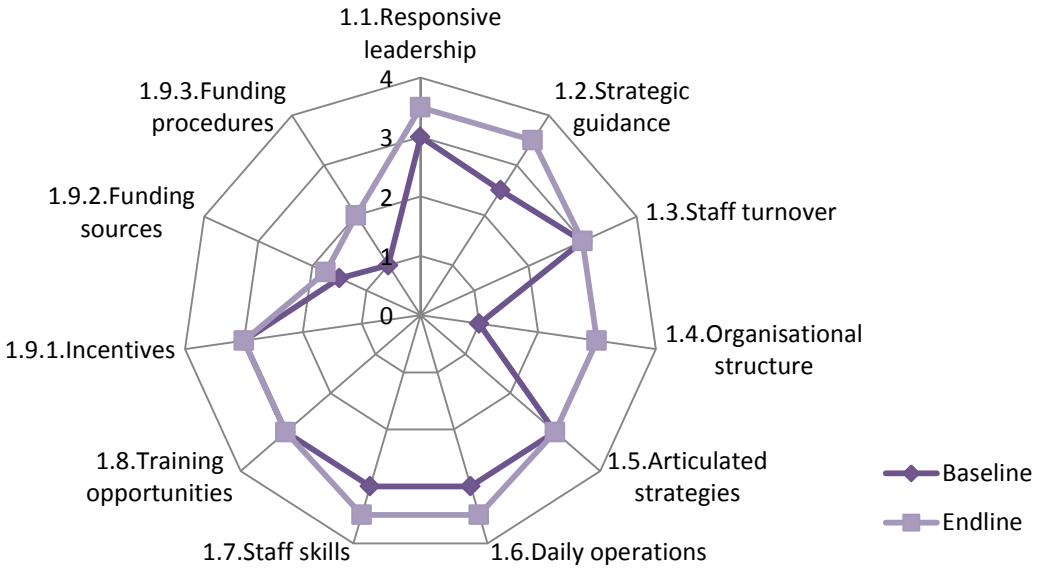
Source: 5C endline_support to capacity development sheet_CFA perspective_India_VTRC

4.2 Changes in capacity and reasons for change - evaluation question 1 and 4

Below you can find a description of the changes in each of the five core capabilities. This information is based on the analysis of the information per each of the indicators. This detailed information for each of the indicators describes the current situation, and how and why it has changed since the baseline. See also annex 3.

4.2.1 Changes in the five core capabilities

Capability to act and commit



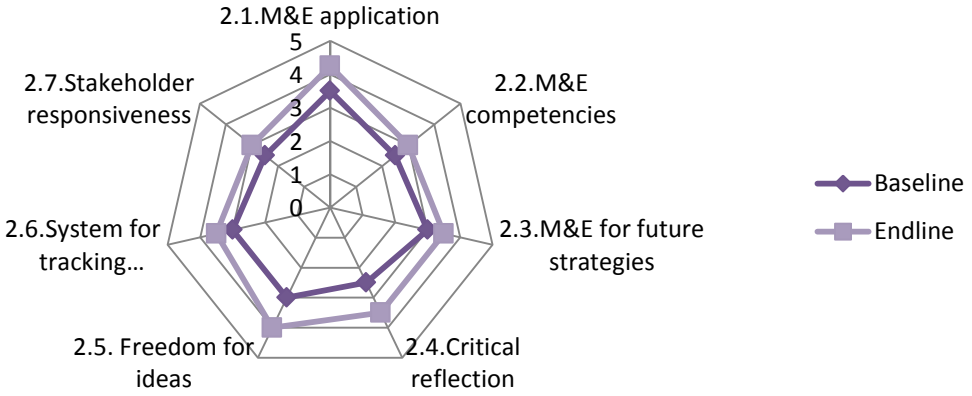
The Executive Director continues to be responsive, democratic, and strategic .The second line leadership is gradually emerging as staff at the programme coordinator level is taking up more responsibility and ownership of projects. Senior management has defined and divided the responsibilities in a good manner and have become more democratic in their approach towards other staff including field level staff. The leader continues to give strategic guidance but with better coordination between the chairman, director and the Care Network coordinator. The operationalization of the strategic plans improved through their dissemination down to the field worker level. While there continues to be no turnover at the head office level, there is a higher turnover at the field level, where staff leave for better opportunities or for personal reasons. Despite this, the organisation continues to encourage the field level staff to go to trainings to improve their future prospects and competency. In case of tuition teachers leaving the Edugate programme, VTRC has a backup list of teachers that can step in on short notice. There was considerable improvement in the organisational structure, which has now been constituted. Roles and responsibilities in written form are clear to all staff and the Human Resource handbook that is available to staff gives details of this administrative structure. VTRC continues to have well-articulated strategies for both the CARE Network and the Edugate programme which are developed on the basis of proper situational/contextual analysis. The day-to-day operations continue to be in line with the strategic plans. Staff are now better able to execute the plans as they are more involved in the planning process. According to the CFA there remains to be a minor gap in what is planned and what is understood by programme staff. Compared to the baseline, staff skills in communicating, computer skills, lobbying and in teaching increased. VTRC staff continue to have access to various trainings both at national and international level after needs assessment of the staff to send them to appropriate trainings. Some of the MFS II funded trainings in the last two years include: Advanced Planning, Monitoring, Evaluation and Learning training, Behaviours Change Communication training, Theory of Change training and a Participatory Integrated Community Development training. Within its Edugate and CARE Network programmes VTRC also organised trainings for its field staff to increase their awareness on e.g. disability and HIV/Aids. In the last two years the biggest strength of VTRC remains their motivated team that wants to serve their communities and work for their wellbeing, though the salary is not very attractive. Staff undergo continuous training which also motivates staff to assume challenging responsibilities. External factors, like transport costs, continue to have an effect on staff turnover. While currently VTRC continues to rely mainly on funding from Red een Kind (Dutch funder), the MFS II funding ending in 2015 has triggered them to have a more clear funding strategy to look into new funding opportunities. This is done through further collaboration with the Health Bridge Alliance, the director's network to access EU funding and until June 2014 VTRC has received support from TEAR Australia. VTRC has improved its funding procedures: proposal writing capacity has improved and a proposal was sent to USAID together with the HBA. The Advanced Planning, Monitoring, Evaluation and Learning (APMEL) training

in Nepal in September 2013 might have helped in better showcasing their work through improved data collection, report and case study writing skills.

Score baseline: 2.5

Score endline: 3.0 (slight improvement)

Capability to adapt and self-renew

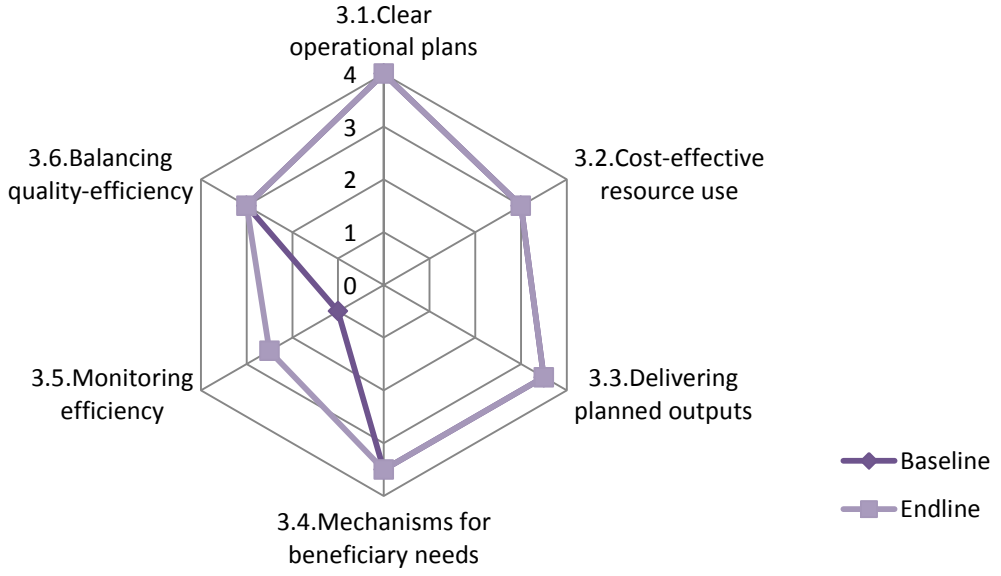


VTRC continues to review the progress of the programmes on a weekly, monthly, quarterly and annual basis. Indicators are set for activities, outputs and outcomes. New formats and a more participatory approach have been incorporated into the existing M&E system as a result of APMEL workshop. The organisation started using the Organisation-scan (O-scan) to assess and monitor the programme over time. The project coordinators are able to find and address the gaps emerging from the review. The monitoring and evaluation system is now well practiced through a bottom up approach, collecting of data is now happening systematically and is used for reporting, operational and strategic decision making. Staff competencies in M&E have improved through training of the programme coordinators who in turn trained the field staff. Field staff are now providing input for fine-tuning of M&E formats. The organisation continues, however, to depend on the OD consultant to assist in M&E. While data collection is happening more systematically data is mainly used for reporting and operational decision making, not yet for strategic decision making. VTRC is using findings from M&E in its annual plans: e.g. findings from a outcome study in 2013 were used to adapt the annual plan for 2014. VTRC continues to have weekly, monthly, quarterly and annual meetings to review their programmes. Staff feel comfortable to raise problematic issues in their programmes during these meetings. Since the baseline more field staff are engaged in these processes. VTRC continues to plan in a participatory way and staff is free to come up with ideas. During the endline workshop second line leaders were quite active and gave space to other staff in sharing their views. The field staff was much more confident and had a clear understanding of what they want to achieve. VTRC still has a system for keeping itself up to date on the changing local, national and global context and developments through sharing, learning and linking itself with like-minded NGOs, the HBA and exposure visits at local and international level. Since the baseline, VTRC improved in tracking government policies and schemes available for the community. VTRC continues to be open and responsive to engage stakeholders in its planning process and in the last two year they have strengthened their engagement with external stakeholders. For example, VTRC receives input from parents, PHCs, schools, Integrated Child Development Services (ICDS), Panchayaths, SHGs, the child welfare committee and HBA partners.

Score baseline: 2.9

Score endline: 3.5 (slight improvement)

Capability to deliver on development objectives



VTRC continues to have day-to-day operational plans and budgets for each project which the staff fully understand as they are part of the planning process. Operational plans have improved due to an improved monitoring and information system. VTRC continues to use its resources cost-effectively by planning the use of resources as per the budget already approved. Some costs are reduced by using the tuition centres for cluster meetings and linking up with the government to help the community access their schemes (instead of VTRC providing these services themselves). In the last two years planned outputs were delivered except for external reasons which are beyond the control of the organisation (e.g. sometimes, delay occurs due to the delayed fund availability from donors). Outputs are planned, monitored and evaluated. Delivery of outputs is ensured through staff meetings; the clear job responsibilities, performance management system; and field staff planning their activities day by day. VTRC continues to be an organisation that is rooted in the community and starts it planning based on the community's needs. VTRC receives input on whether their services meet beneficiary needs through: parent meetings, stakeholder cluster meetings, Parent Teacher Association meetings, outcome studies, evaluations and satisfaction surveys. There is still no formal mechanism to calculate input-output ratios. However, while during the baseline it was not clear how efficiency was being monitored, now VTRC has a performance monitoring plan, an Organisation-scan (O-scan) that was done in 2011 and in 2013 and a performance appraisal format to monitor staff output.

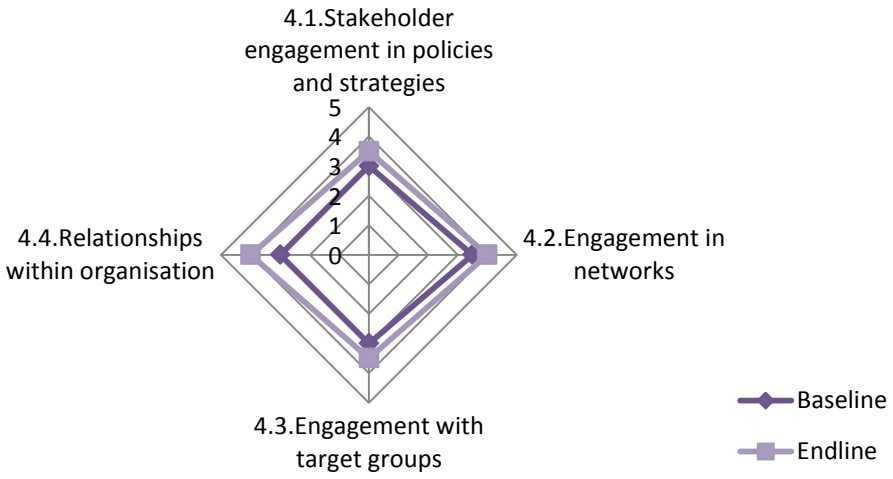
VTRC still balances quality, which is one of its key values, with the efficiency by optimally utilising the common resources and sharing.

Score baseline: 3.0

Score endline: 3.25 (very slight improvement)

Capability to relate

In the last two years VTRC has strengthened its relationship with government line department

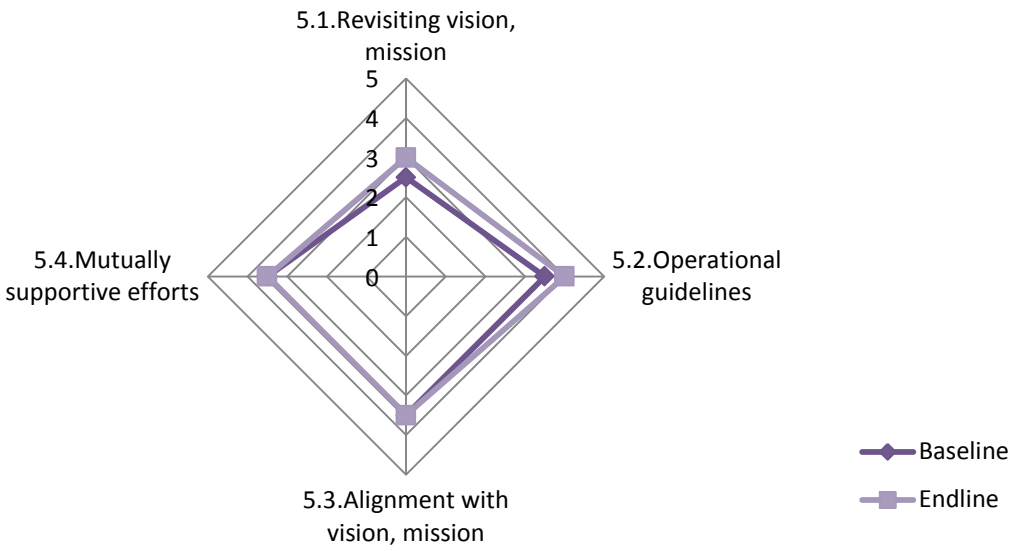


functionaries and community leaders who are engaged in the strategic planning process. Examples include improved report with the PHCs, hospitals and government of Tamil Nadu. VTRC continues to engage community leaders, parents and partners in the HBA in development of their strategies. VTRC continues to be good in networking and linking with key community people. The CARE network still brings most of the national and international links through its involvement in the Health Bridge Alliance. The Edugate programme still needs stronger linkages, while locally relations with Parent Teacher Association (PTA), Village Education Committee (VEC) and School Management Committee (SMC) have been strengthened. VTRC continues to work with staff that is from the same target communities which enables them to have close engagement with the target groups. The community is now more proactively involved in planning, implementing and jointly monitoring the programme. Field staff visit the target groups through self-help group meetings, parent meetings, house visits, village parliaments and medical camps. The staff continues to meet in review meetings to share their views and make strategic plans. There is an open and democratic structure. Trust relationships and better communication between the second line leadership and the chairman have been strengthened. The chairman entrusted the entire workshop process in the hands of second line leadership.

Score baseline: 3.1

Score endline: 3.8 (slight improvement)

Capability to achieve coherence



Representative and managerial staff continues to revisit the vision and mission of the organisation at least once in a year. Apart from this, all staff are now involved in their own project vision and mission exercise. VTRC has made a strategic change in the CARE Network programme to help the target population access government schemes and services instead of VTRC focussing on providing these services itself. VTRC continues to have the following operational guidelines and policies in place: HRM/ staff recruitment policy, finance policy, work place policy, Edugate recruitment policy, guidelines for stock control and maintenance, child protection policy, standard operating procedures, HIV policy, leave policy and travel policy. Over the last two years staff have gained a better understanding of the operational guidelines, the finance policy has been revised and a performance management system policy was introduced. VTRC continues to keep its projects, strategies and operations in line with the vision and mission of the organisation. The projects and programmes that VTRC implement continue to be mutually supportive. For example, the mother and child care project is integrated with the Edugate programme and informative materials from the health project are also used in the tuition centres.

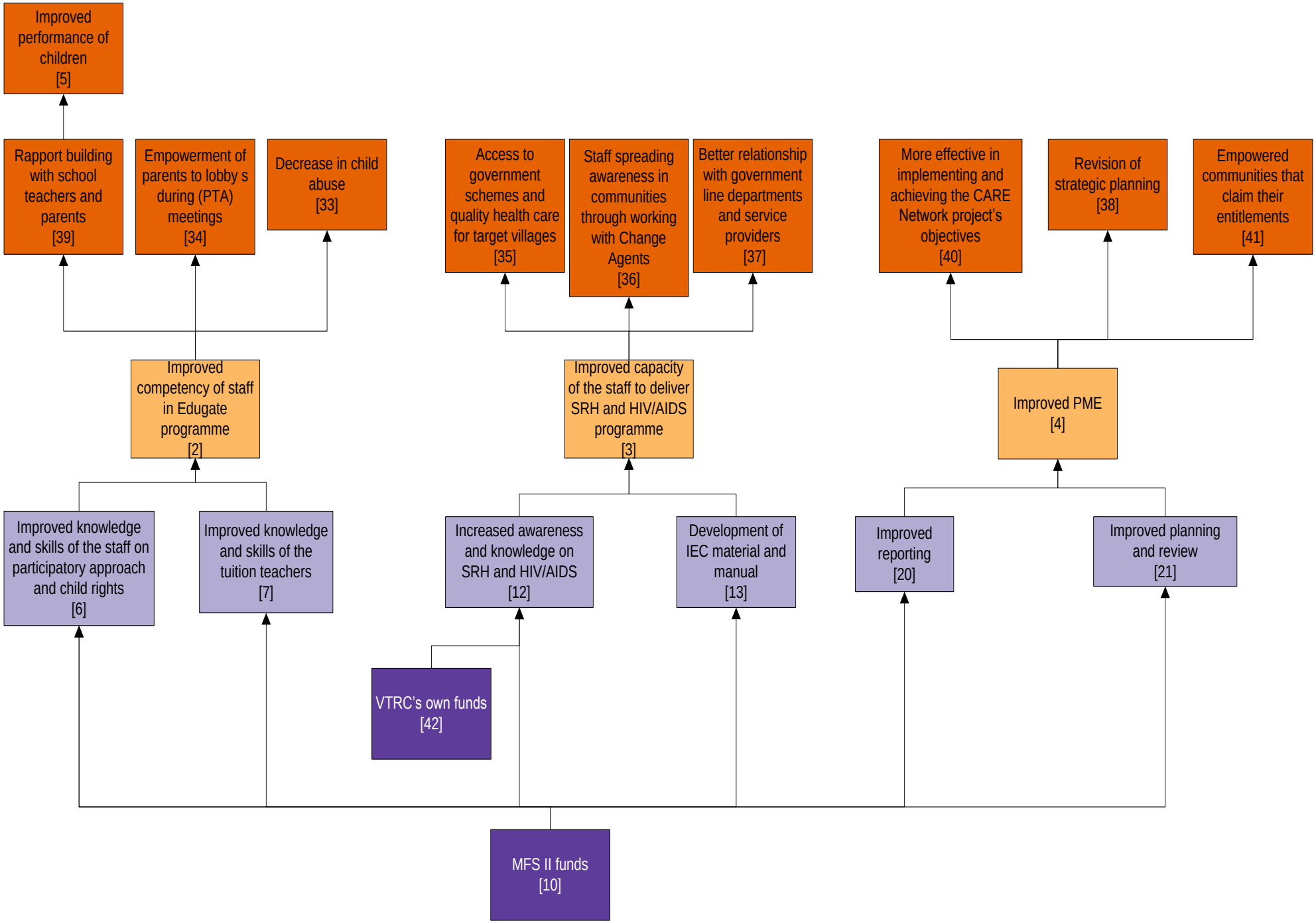
Score baseline: 3.3
Score endline: 3.5 (very slight improvement)

4.2.2 General changes in the organisational capacity of the SPO

During the endline workshop at the SPO from 5 to 7 August 2014, a discussion was held around what were the main changes in organisational capacity since the baseline and why these changes have taken place. The discussion was visualised in a general causal map as can be seen below. The narrative for the general causal map is also described below. It gives a more general picture of what was seen as important changes in the organisation since the baseline, and how these changes have come about , and that tells the more general story about the organisational changes in the SPO. The evaluators considered it important to also note down the SPO's story and this would also provide more information about reasons for change, which were difficult to get for the individual indicators. Also for some issues there may not have been relevant indicators available in the list of core indicators provide by the evaluation team. The detailed narrative can be found in Annex 4.

- The three main changes that happened in the organisation since the baseline were:
- Improved competences of staff in the Edugate programme [2];
- Improved capacity of staff to deliver SRH and HIV/AIDS programme [3];
- Improved Planning, Monitoring and Evaluation (PME) [4]

According to staff present at the endline workshop, the three main changes mentioned above are expected to lead to VTRC being more sustainable as an organisation. They happened to coincide with the outcome areas that were identified for process tracing, so as to get detailed information on how these changes in organisational capacity came about. Therefore the general causal map overlaps strongly with the causal maps developed for each of these outcome areas/organisational capacity changes to be analysed to during the process tracing. All the details about these changes in organisational capacity as well as the underlying factors that influenced these changes are described in the narrative and visual below. These three key organisational capacity changes will be discussed in more detail in the related detailed causal maps, which were a result of process tracing. The three main organisational capacity changes are described in the light orange boxes and the key expected consequences are noted above these cards in dark orange. Light purple boxes represent factors and aspects that influence the key organisational capacity changes (in light orange). Key underlying factors that have impacted the three key organisational capacity changes are listed at the bottom in dark purple. The narrative below describes each key organisational capacity change, and the contributing factors are described from the top to bottom. The numbers in the visual correspond with the numbers in the narrative.


Improved performance of children [5]
Rapport building with school teachers and parents [39]
Empowerment of parents to lobby s during (PTA) meetings [34]
Decrease in child abuse [33]
Access to government schemes and quality health care for target villages [35]
Staff spreading awareness in communities through working with Change Agents [36]
Better relationship with government line departments and service providers [37]
More effective in implementing and achieving the CARE Network project's objectives [40]
Revision of strategic planning [38]
Empowered communities that claim their entitlements [41]
Improved competency of staff in Edugate programme [2]
Improved capacity of the staff to deliver SRH and HIV/AIDS programme [3]
Improved PME [4]
Improved knowledge and skills of the staff on participatory approach and child rights [6]
Improved knowledge and skills of the tuition teachers [7]
Increased awareness and knowledge on SRH and HIV/AIDS [12]
Development of IEC material and manual [13]
Improved reporting [20]
Improved planning and review [21]
VTRC's own funds [42]
MFS II funds [10]

1. **Improved competency of staff in Edugate Programme [2]** is expected to contribute to**:**

- *Rapport building with school teachers and parents [39].* Especially the Workshop on Participatory Integrated Child Development (PICD) workshop improved the skill and capacity of the CARE Network and Edugate coordinators to adapt new strategies for participatory approach in the community during interactions and programs. This rapport building [39] helped to improve the performance of children [5].
- *Empowerment of parents to lobby for their own needs and issues during Parent Teacher Association (PTA) meeting [34]:* The Edugate staff created awareness among the parents on child rights and encouraged them to attend the PTA meetings at school and voice their concern.
- *Decrease in child abuse [33].* Staff knowledge and skills on child rights have improved, which is evident in the fact that the CARE Network coordinator of VTRC indicated that the staff with improved knowledge and skills in child rights could now empower the children and parents on child rights. According to the CARE Network coordinator of VTRC this has resulted in a decrease of child abuse.

Improved competency of staff in the Edugate Programme [2] was due to:

- *Improved knowledge and skills of the staff on participatory approach and child rights [6]:* The Participatory approach is a methodology to enter the community and involve them in needs identification and planning. The participatory approach has been initiated in July 2014 in the Edugate programme. Staff knowledge and skills on child rights have improved, which is evident in the fact that the CARE Network coordinator of VTRC indicated that the staff with improved knowledge and skills in child rights could now empower the children and parents on child rights
- *Improved knowledge and skills of the tuition teachers [7]:* Over the last two years the tuition teachers have improved in their skills and knowledge to apply different teaching methods, provide appropriate and useful information through innovative teaching (e.g. one tuition teacher collects information through web search and teaches the children), and develop lesson plans.

Improved capacity of staff to deliver SRH and HIV/AIDS programme [3]. This organisational capacity change has contributed to the following changes:

- *Access to government schemes and quality health care for target villages [35]:* "With the overall improvement in the capacity of the staff to articulate SRH and HIV issues, the beneficiaries in the target villages were able to secure quality health care and access to various government schemes much more easily during this year."
- *Staff spreading awareness in communities through working with Change Agents [36]:* "The animators and supervisors were capacitated on SRH and HIV issues and they have been taking them forward to the community through Change Agents"
- *VTRC developing better relationships with government line departments and service providers [37]:* "The staff articulated/communicated SRH and HIV issues among different stakeholders much better. Better relationship with the service providers in the government sector facilitated better service delivery to the beneficiaries of the project."

The staff have improved in their capacity in delivering the SRH and HIV/AIDS programme and to train animators, this is evident in the report of Review of Partners' outcomes. This report indicates that the animators trained by the CARE network are able to engage intensively with the target group, leverage the presence of the government facilities and programmes, strengthen existing groups (and create new groups. Improved capacity of staff to deliver SRH and HIV/AIDS programme was due to:

- *Increased awareness and knowledge on SRH and HIV/AIDS [12].* Over the years the staff has improved their awareness and knowledge on SRH and HIV/AIDS, to identify issues to lobby, better articulation etc., because of several MFS II supported capacity building trainings.
- *Development of IEC materials and lobby and advocacy curriculum [13].* The development of IEC materials and curriculum has also supported the capacity of VTRC staff to deliver SRH and HIV/AIDS programme. VTRC developed IEC materials on SRH/HIV such as pamphlets and booklets for awareness campaigns in ANCs, PNCs and youth meetings and in the school.

Improved PME [4]. Improved PME has contributed to:

- Revision of strategic planning [38]: e.g. the target group (beneficiaries) was changed;
- More effective in implementing and achieving the objectives of the CARE Network project [40];
- Improved PME, and especially the planning part has led to the communities with which VTRC works becoming better mobilised, informed and empowered which resulted in claiming their entitlements in terms of quality health services from the government [41].
-

Strategic planning and better reporting improved the capacity of the organisation to be more effective in implementing and achieving the CARE Network project's objectives:

- *Improved reporting [20]:* There is significant change in the reporting in the last two years. The reporting has been strengthened with beautiful case studies, success stories, photos etc. The reports are now more structured, well informed and the queries and indicators are better answered.
- *Improved planning and review[21]:* There is improved planning according to Woord en Daad. When comparing the 2011 and 2014 annual plans for the CARE Network programme it is evident that there is significant improvement in the planning process in terms of defining objectives, indicators and outcomes.

The main underlying causes for these three key organisational changes were:

- *MFS II funds [10]:* Red een Kind remains to be the main donor of VTRC and has in that sense contributed to most of the organisational capacity changes over the last two years. Through workshops and trainings ranging from planning (through ToCs, participatory integrated child development approached) and M&E to more specific programme related topics like lesson plans, disability and becoming part of the Health Bridge Alliance to strengthen their knowledge and networks on SRH and HIV/Aids, MFS II has supported the overall organisational capacity of VTRC.
- *VTRC own funds [42]:* there has been one training on SRH and prevention of HIV, that has led Increased awareness and knowledge on SRH and HIV/AIDS [12].

4.3 Attributing changes in organisational capacity development - evaluation question 2 and 4

Note: for each country about 50% of the SPOs has been chosen to be involved in process tracing, which is the main approach chosen to address evaluation question 2. For more information please also see chapter 3 on methodological approach. For each of these SPOs the focus has been on the capability to act and commit and the capability to adapt and self-renew, since these were the most commonly addressed capabilities when planning MFS II supported capacity development interventions for the SPO.

For each of the MFS II supported capacity development interventions -under these two capabilities- an outcome area has been identified, describing a particular change in terms of organisational capacity of the SPO. Process tracing has been carried out for each outcome area. The following outcome areas have been identified under the capability to act and commit and the capability to adapt and self-renew. Also the MFS II capacity development interventions that could possibly be linked to these outcome areas are described in the table below.

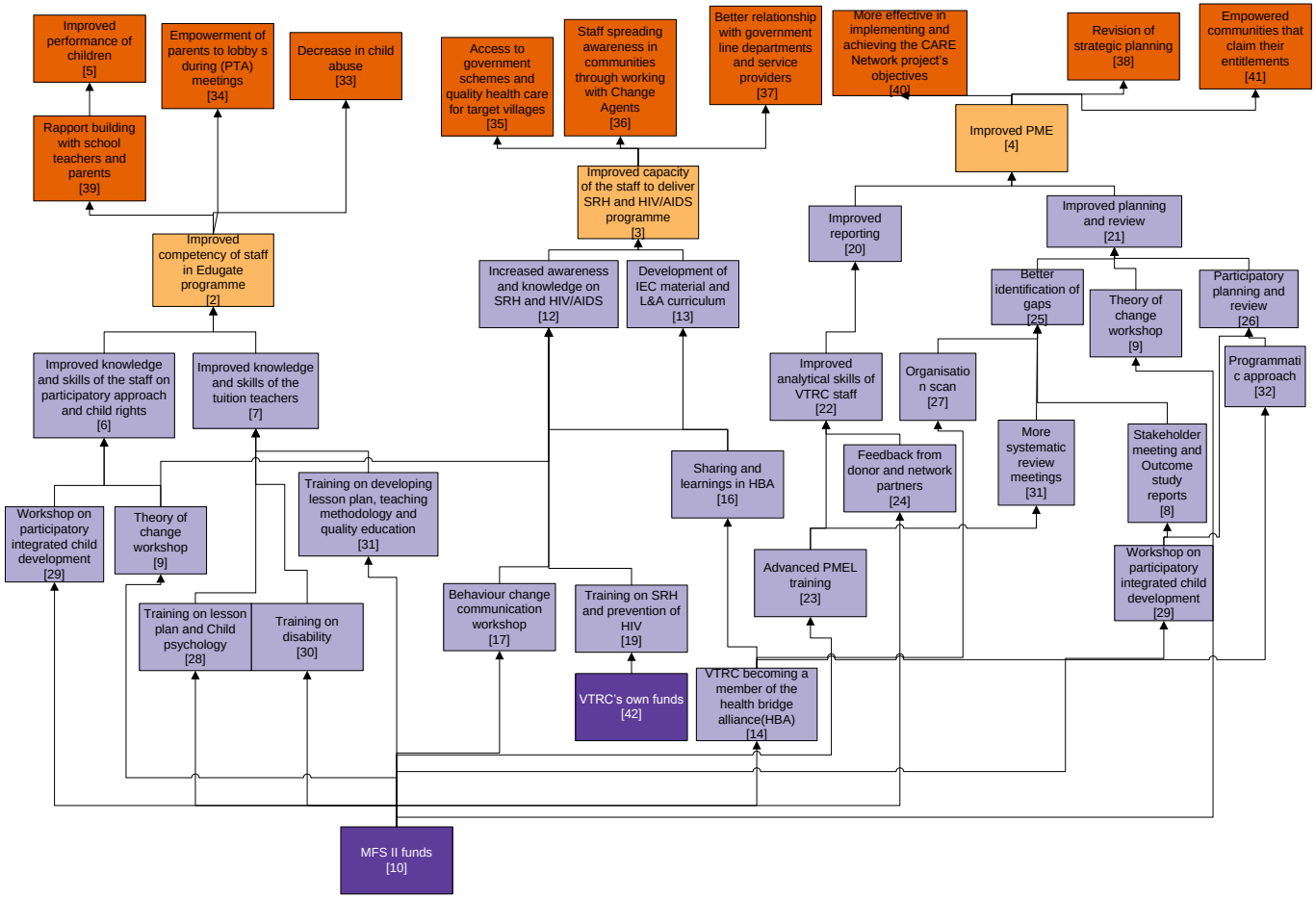
Table 2

Information on selected capabilities, outcome areas and MFS II supported capacity development interventions since the baseline

Capability	Outcome area	MFS II supported capacity development intervention(2)
Capability to act and commit	Improved competences of staff in the Edugate programme	Workshop on Participatory Integrated Child Development, Theory of Change workshop, trainings for tuition teachers on lesson plans, child psychology, disability, teaching methodology and quality education
	Improved capacity of staff to deliver SRH and HIV/AIDS programme	Theory of Change workshop, Behaviour Change Communication workshop
Capability to adapt and self-renew	Improved PME	Advanced PMEL training, Theory of Change workshop, Workshop on Participatory Integrated Child Development.

The next sections will describe the results of process tracing for each of the outcome areas, and will describe to what extent these outcome areas have taken place as a result of MFS II supported capacity development interventions and/or other related factors and actors.

All key organisational capacity changes that were identified during the general map exercise happen to coincide with the outcome areas selected for process tracing. Each of these three areas is described more in detail below, and a full description of these changes and how they have come about is provided in Appendix 5. In the descriptions the numbers refer to the visual which includes all organisational capacity changes and can be found below.


Improved performance of children [5]
Empowerment of parents to lobby s during (PTA) meetings [34]
Decrease in child abuse [33]
Access to government schemes and quality health care for target villages [35]
Staff spreading awareness in communities through working with Change Agents [36]
Better relationship with government line departments and service providers [37]
More effective in implementing and achieving the CARE Network project's objectives [40]
Revision of strategic planning [38]
Empowered communities that claim their entitlements [41]
Rapport building with school teachers and parents [39]
Improved PME [4]
Improved capacity of the staff to deliver SRH and HIV/AIDS programme [3]
Improved reporting [20]
Improved planning and review [21]
Improved competency of staff in Edugate programme [2]
Increased awareness and knowledge on SRH and HIV/AIDS [12]
Development of IEC material and L&A curriculum [13]
Better identification of gaps [25]
Theory of change workshop [9]
Participatory planning and review [26]
Improved knowledge and skills of the staff on participatory approach and child rights [6]
Improved knowledge and skills of the tuition teachers [7]
Improved analytical skills of VTRC staff [22]
Organisation scan [27]
Programmatic approach [32]
Sharing and learnings in HBA [16]
Feedback from donor and network partners [24]
More systematic review meetings [31]
Stakeholder meeting and Outcome study reports [8]
Training on developing lesson plan, teaching methodology and quality education [31]
Workshop on participatory integrated child development [29]
Theory of change workshop [9]
Advanced PMEL training [23]
Workshop on participatory integrated child development [29]
Behaviour change communication workshop [17]
Training on SRH and prevention of HIV [19]
Training on lesson plan and Child psychology [28]
Training on disability [30]
VTRC's own funds [42]
VTRC becoming a member of the health bridge alliance(HBA) [14]
MFS II funds [10]

4.3.1 Improved competences of staff in the Edugate programme

Improved competency of staff in Edugate Programme [2] is expected to contribute to:

- *Rapport building with school teachers and parents [39].* Especially the Workshop on Participatory Integrated Child Development (PICD) workshop improved the skill and capacity of the CARE Network and Edugate coordinators to adapt new strategies for participatory approach in the community during interactions and programs. This rapport building [39] helped to improve the performance of children [5], as is explained below:
- "the children in the tuition centres put up an improved performance due to the initiative of the tuition teachers who personally visit the parents and help creating a favourable environment for the children to read at home and also to regularly attend the school"
- *Empowerment of parents to lobby for their own needs and issues during Parent Teacher Association (PTA) meeting [34]:* The Edugate staff created awareness among the parents on child rights and encouraged them to attend the PTA meetings at school and voice their concern.
- *Decrease in child abuse [33*]. Staff knowledge and skills on child rights have improved, which is evident in the fact that the CARE Network coordinator of VTRC indicated that the staff with improved knowledge and skills in child rights could now empower the children and parents on child rights. According to the CARE Network coordinator of VTRC this has resulted in a decrease of child abuse.

Improved competency of staff in the Edugate Programme [2] was due to improved knowledge and skills of the staff on participatory approach and child rights [6] and improved knowledge and skill of the tuition teachers [7]. Each of these organisational capacity change areas are described below.

Improved knowledge and skills of the staff on participatory approach and child rights [6]
The Participatory approach is a methodology to enter the community and to do this in a participatory way. In this process the community is involved in needs identification and planning. The participatory approach has been initiated in July 2014 in the Edugate programme. This approach has resulted in the active involvement of the community members in planning and monitoring the function of the tuition centers and providing inputs and feedback. Staff knowledge and skills on child rights have improved, which is evident in the fact that the CARE Network coordinator of VTRC indicated that the staff with improved knowledge and skills in child rights could now empower the children and parents on child rights. Knowledge and skills of the staff on participatory approach and child rights [6] improved because of the following capacity building trainings for the staff:

- *Workshop on Participatory Integrated Child Development (PICD) [29]:* PICD workshop was organised in April 2012 in Bangladesh by REK and Word & Deed. The aim was to train the participants on the need to go from an institution-based approach to a community-based approach, which is a more sustainable child-friendly approach (within families, not institutions). Different tools were demonstrated to help the participants learn to work in a participatory process with the community to move from institution based (e.g. orphanage) development to child centered development. This workshop was funded by MFS II [10].
- *Theory of Change workshop [9]:* Theory of Change workshop for CARE network was organised on 16-19 April 2012 at Dhaka by ICCO. Though the workshop was held prior to the baseline, the outcome could be seen in the improved capacity of the staff over the last two years. The aim of the workshop was to help the partners have deeper understanding of Theory of Change and its practice, participatory approach (making sure that the parents participate in a mutual learning activity), civil society strengthening, etc. It helped the staff to adapt the participatory approach more attentively to involve the parents in identifying the needs and issues related to children education. This workshop was funded by MFS II [10].

Improved knowledge and skills of the tuition teachers [7]
Over the last two years the tuition teachers have improved in their skills and knowledge to apply different teaching methods, provide appropriate and useful information through innovative teaching (e.g. one tuition teacher collects information through web search and teaches the children), and develop lesson plans. They also improved their skills in organising classes on a multi class multi-level setting, child psychology, monitoring and evaluating the performance of children. Tuition teachers improved their knowledge and skills because of various in-house trainings:

- *Training on Lesson plan and Child psychology [28]:*
  Three days training on lesson plan and child psychology for tuition teachers and staff was organised by VTRC on May 2013. This workshop was funded by MFS II [10].

- *Training on disability [30]:*
  Four days training program for tuition teachers and other staff was organised by VTRC on December 2013 supported by MFS II. The other staff that is referred to here, is teaching staff of VTRC that work at Peniel Nursery and Primary school, Peniel High and Higher Secondary school, Peniel Rural College of Education and Infants home. A total of 90 tuition teachers and 7 project staff members of VTRC participated in the training programs. This workshop was funded by MFS II [10].

- *Training on developing lesson plan, teaching methodology and quality education [31]:* This training programme was organised by VTRC for tuition teachers and supervisors in February, May and August of 2012 with the support from MFS II. The aim was to help them develop lesson plans and apply different innovative methods in teaching. This workshop was funded by MFS II [10].

4.3.2 Improved capacity of staff to deliver SRH and HIV/AIDS programme

Another key organisational capacity change that was identified was *the improved capacity of staff to deliver SRH and HIV/AIDS programme [3]*. This organisational capacity change has contributed to the following changes:

- *Access to government schemes and quality health care for target villages [35]:* "With the overall improvement in the capacity of the staff to articulate SRH and HIV issues, the beneficiaries in the target villages were able to secure quality health care and access to various government schemes much more easily during this year."
- *Staff spreading awareness in communities through working with Change Agents [36]:* "The animators and supervisors were capacitated on SRH and HIV issues and they have been taking them forward to the community through Change Agents"
- *VTRC developing better relationships with government line departments and service providers [37]:* "The staff articulated/communicated SRH and HIV issues among different stakeholders much better. Better relationship with the service providers in the government sector facilitated better service delivery to the beneficiaries of the project. Further the staff created better awareness among the school and college going students on SRH and HIV/AIDS issues."

The staff have improved in their capacity in delivering the SRH and HIV/AIDS programme. The improved capacity of VTRC staff to train animators is evident in the report of Review of Partners' outcomes. This report indicates that the animators trained by the CARE network are able to engage intensively with the target group, leverage the presence of the government facilities and programmes (ANC/PNC, schools, SHG support, PLHA support), strengthen existing groups (the ANC/PNC groups, SHG groups) and create new groups (Youth Girls and Youth Boys), and earned the credibility, behaviour change among the youths and adolescents in the communities and trust of the target groups. Improved capacity of staff to deliver SRH and HIV/AIDS programme was due to increased awareness and knowledge on SRH and HIV/AIDS [12] and development of IEC material and lobby and advocacy curriculum for SRH and HIV/AIDS [13]. Each of these areas are further described below.

- *Increased awareness and knowledge on SRH and HIV/AIDS [12].* Over the years the staff has improved their awareness and knowledge on SRH and HIV/AIDS, to identify issues to lobby, better articulation etc., because of several MFS II supported capacity building trainings. This resulted in the communities improve their knowledge and awareness on various health related issues and able to lobby to government for their needs. Increased awareness and knowledge on SRH and HIV/AIDS [12] was due to was due to training of the staff on SRH and HIV/AIDS during the ToC workshop [9], Behaviour Change Communication workshop [17] and a training on SRH and HIV prevention [19]; and sharing and learning at Health Brigade Alliance [16]. The following are some of the external and in-house trainings:
  - *Theory of Change workshop [9]:* Theory of Change workshop for CARE network was organised in 16-19 April 2012 at Dhaka by ICCO. Though the workshop was held prior to the baseline, the outcome could be seen in the improved capacity of the staff over the last two years. The

workshop also helped VTRC get a deeper understanding of the aims of ICCO Alliance Basic health and HIV/AIDS programme, rights based approach to empower the women to better avail reproductive health rights. Further it improved the knowledge on behaviour change measures that '*Health problems are often a result of individual behaviour of the people at risk and behaviours of people around them (environment), so changing individual behaviour and changing behaviour of the people around them is a possible solution*' which VTRC adapted in its strategic plan. This workshop was funded by MFS II [10].

- *Behaviour Change Communication workshop [17]:* Three days Behaviour change communication workshop was organised in 5-7 September 2012 in Hyderabad by Health Bridge Alliance – India (ICCO – PRISMA Alliance). It aimed at capacitating the participants on behaviour change framework, formulate/discuss lobby and advocacy strategy for the Health Bridge Alliance, etc. It helped VTRC staff improve their knowledge on the determinants of behavioural change communication like risk perception, attitude, social influence and self- efficacy, etc. This workshop was funded by MFS II [10].
- *Training on SRH and prevention of HIV [19]:* Two days training programme was organised by VTRC for the animators and staff in April 25-26, 2013 at Bethel Community Development Project, Thoppur. The training was funded with VTRC own funds. The objective of the training was to improve the knowledge, approach, attitude of the staff on promotion of SRH and effective HIV prevention. This resulted in the change agents gain knowledge on HIV related symptoms, anti-retroviral therapy, prevention methods, use of herbal medicines to treat HIV/AIDS, etc.

- *Sharing and learning at Health Brigade Alliance (HBA) [16].* The health Bridge Alliance was formed in 2011 consisting of six partners (The Leprosy Mission Trust India, Emmanuel Hospitals Association, Help a Child of India, Christian Outreach Uplifting New Tribes, CARE Network and Word and Deed India). At the beginning of MFS II [10] the donor suggested that Indian partners form a Programmatic Collaboration to give the programme a wider impact and better sustainability of the programme. Thus, six partners, facilitated by an international coordinator from Red een Kind, joined the coalition and developed a 5 year country plan for the years 2011 to 2015. The multi stakeholder process based on joint analysis, shared vision and objectives and capacity building trainings facilitated VTRC to improve the capacity of the staff and in strategic planning. The following are some of the HBA sharing and learning meetings:
  - **Health Bridge Alliance meeting 5th September 2012** Secunderabad, Hyderabad: The objective was to review the April 2012 Theory of Change and Behavioural Change workshop at Bangladesh, sharing and learning on SRHR issues, how to fine-tune and prepare expert guidance for the ToC. The behaviour change framework was thoroughly discussed. This discussion resulted in VTRC actively promoting and encouraging positive behaviour change among the community by disseminating information regarding the entitlements available for enhanced Reproductive and Child Health (RCH) indicators. It helps promote awareness on various health issues, immunisation, ANC/ PNC, HIV etc.
  - **Health Bridge Alliance meeting 19-21 November 2012, Madurai**: The objective was to review the progress of 2012 program and prepare the action plan for 2013 which included context analysis, Theory of Change, Lobby and Advocacy plan.
  - **Health Brigade Alliance meeting at Chennai in August 2103**. The aim was to discuss/learn/plan on various health related issues, on gender issues having the greatest impact on the health and well-being of households of India. Furthermore there was discussion on Theory of Change, Gender and Right based approach etc.

- *Development of IEC materials and lobby and advocacy curriculum [13].* Apart from increased knowledge and skills on SRH and HIV/AIDS the development of IEC materials and curriculum has also supported the capacity of VTRC staff to deliver SRH and HIV/AIDS programme. VTRC developed IEC materials on SRH/HIV such as pamphlets and booklets for awareness campaigns in ANCs, PNCs and youth meetings and in the school. The materials are largely developed in the areas of sexual well-being, nutrition, environment, hygiene, SRH, HIV/AIDS, etc. Visualization of the messages in these IEC materials capacitated/facilitated the staff to better translate the awareness campaign. Sharing and learning within the HBA [16] contributed to the development of IEC material and manual on SRH and HIV/AIDS [13].

4.3.3 Improved PME

Improved PME [4] has contributed to revision of strategic planning [38]. Some of the revisions in strategy [38] were as follows:

- The target group (beneficiaries) was changed from 13 -30yrs to 15- 45yrs of age, in order to have a smaller, feasible target population to show tangible results.
- Instead of merely focusing on antenatal care and post natal care in training and mentoring interest groups and change agents, it was decided to give more focus on attitude, social influence and self-efficacy to increase the intention of behaviour change towards sexual being and access services in government facilities.
- Instead of empowering only women, it was also decided to motivate men to function as active partners in restoring family, societal roles and responsibilities.
- VTRC Included lobby and advocacy in the area of child protection in line with the alliance Lobby & Advocacy plan.

Improved PME has also contributed to being more effective in implementing and achieving the objectives of the CARE Network project [40]. Improved PME, and especially the planning part has led to the communities with which VTRC works becoming better mobilised, informed and empowered which resulted in claiming their entitlements in terms of quality health services from the government [41].

Since the baseline in 2012, the staff has improved their capacity in communication/articulation, developing new initiatives etc., because of several MFS II supported capacity building trainings. ICCO in its feedback also stated that skills of the staff in report writing, communication/articulating, conceptualising the idea of community development etc. has improved. Improved planning, monitoring and evaluation (PME) [4] is another key organisational capacity change that took place since the baseline in 2012. This is mainly related to improved reporting [20] and improved planning [21]. Each of these changes are further explained below.

- *Improved reporting [20]*
  There is significant change in the reporting in the last two years. The reporting has been strengthened with beautiful case studies, success stories, photos etc. The reports are now more structured, well informed and the queries and indicators are better answered. The staff has improved their capacity in communication/articulation, in report writing. Better reporting was due to:
  - *Improved analytical skills [22]*:
    The staff improved their skill and are conscious in collecting information from the field and analysing it. The analytical skills of the staff improved primarily due to the Advanced PMEL training in Nepal [23] which was funded by MFS II [10].
    - *Advanced PMEL Training [23].* Ten days PMEL training program was organised at Nepal by REK and the Woord en Daad alliance on 11-17 September 2013. The CARE Network coordinator of VTRC attended this training. The objective of the training was to train PME skills, data analysis skill, ToC as basis for a good M&E system, research design, using excel for quantitative data analysis and case studies preparation. It resulted in having more insight on PMEL developing smart indicators and TOC, better report writing
    - *Feedback from donor and network partners [24]:*
      Help a Child India (HACI) is the country partner for Red een Kind (REK) who supports VTRC through monitoring and evaluating its health project and providing feedback on reports which is supported by MFS II [10]. HACI conducts a midterm evaluation of the CARE Network for REK. REK through HACI contributed in developing formats, questionnaires and guidance for the evaluation study. There were separate questionnaires for the community, government representatives and CARE representatives. Through this evaluation HACI analyses each outcome indicator and gives remarks on each indicator to VTRC.

- *Improved planning and review[21]*
  There is improved planning according to Woord en Daad. When comparing the 2011 and 2014 annual plans for the CARE Network programme it is evident that there is significant improvement in

the planning process in terms of defining objectives, indicators and outcomes. VTRC started using participatory approach in planning the Edugate programme since July 2014. As the community is now involved in the planning process, their needs are better identified and planned for. Improved Planning [21] was due to better identification of gaps [25], the theory of change workshop [9] and participatory planning [26]. These are further described below.

- *Better identification of gaps [25].* Gaps in planning are better identified through:
  - *Organisation-scan (O-scan) [27]:* This is a monitoring tool developed by ICCO for its alliance partners to monitor and assess the development of partner organisations (vision & strategy, internal organization, projects and programs and linking & learning). The results of this O-scan report are submitted bi-yearly to the HBA country coordinator as a requirement for MFS funding This facilitated the organization to find gaps particularly in the CARE Network programme and use it for better planning as a process of organizational development.
  - *More systematic review meetings [31]*
    A monthly review meeting is conducted for the both the Edugate and CARE Network programme at the end of every month in which activity planning for the next month is carried out with all the staff members. The reports are not only reviewed but gaps are identified, challenges are discussed and strategies are planned in alignment with the vision of the organisation with an aim to address the gaps and challenges. Following a systematic approach, gaps were better identified. The improved review meetings are primarily the outcome of the Advance PML training on September 2013 in Dhaka [23]. Peer review was also used to review the programme. The review was carried out at different levels: the change agents and the cluster supervisors meet on a weekly basis to review the reports and plan accordingly. Then the programme manager and the cluster supervisors meet on a monthly basis to further discuss and plan on the basis of the weekly findings and [Source: CARE Network - Health - Annual Activity Report – 2013]. VTRC starting using this system because they became a member of the HBA [14].
  - *Stakeholder meeting and Outcome study reports [8]*
    This year (2014) VTRC conducted stakeholder meeting in the villages to involve the parents in the review and planning process. The participants were mostly the parents of the tuition children. These meetings facilitate the identification of needs of the parents for better planning the Edugate programme. This was the outcome of Participatory Integrated Child Development (PICD) workshop on April 2012 in Bangladesh [29].
  - It is evident in the assessment sheet CFA perspective that yearly monitoring of VTRC is carried out by country partner Help A Child India (HACI) for REK. As per this VTRC conducted outcome study in October 2013 involving HACI. Five days assessment was carried out at the organization and field level to assess the progress of the project and its impact. It is evident in the outcome study report 2013 that the observations and recommendation were shared with the staff.
- Capacitated by the *Theory of Change (ToC) workshop on April 2012 in Bangladesh [9]*.
  VTRC developed a strategic plan 2014-15 for the CARE Network programme, based on the ToC concept to empower communities accessing quality health care services for SRH and HIV prevention in 150 villages of Madurai & Salem Districts (Tamil Nadu state). Various pathways are developed on the ToC concept for better achievement of goals in the CARE network programme. Further, using the ToC has helped in planning a process of cooperation, strengthening and lobbying with the state health systems for better implementation. Also there is a peer review and results framework that keeps them on track.
- *Participatory planning and review [26]*
  Over the last two years VTRC has streamlined its review and planning meetings by adopting a bottom up approach in planning. According to this process the change agents and tuition teachers get feedback from the communities and together with cluster supervisors meet respectively to review and monitor the programme on a weekly basis. Since 2014 it has adapted a participatory approach process in the Edugate programme where even the communities are actively involved in the planning process after the Participatory Integrated Child Development workshop [29]. They also monitor the functioning of the tuition centres and provide input. It is evident from the fact that on the 20th of July 2014 a stakeholder meeting was held with parents to discuss the annual plan of the Edugate project, based on these discussions a summer camp was included in the new annual plan 2014 so that the children learn through play way method of instruction, through games and cultural activities for the holistic development of children. Participatory planning was also due to VTRC taking the programmatic approach [32].

- *Programmatic approach [32]*
  The organisation has been trying to work with the Programmatic Approach as capacitated by ICCO and her Dutch partners in the Health Brigade Alliance [14]. It is a process that leads to multiple stakeholders working together based on a joint analysis of a problematic, shared vision and purpose and clear perspective on the results of the cooperation. In such a process all actors do different things, work at various levels and use their own strengths for the common purpose, as well as share some activities and in particular share, plan and participate in the linking and learning and lobby and advocacy processes.

5 Discussion and conclusion

5.1 Methodological issues

VTRC was well versed with the 5C model, with the endline workshop being attended by management (Director–Communitive Initiative, Care Network Coordinator), programme staff (6 Supervisors, coordinator), HR/Admin (Accountant-Edugate programme, Accountant-Health programme), field staff (3 change agents, 3 tuition teachers) except for 4 supervisors, 3 change agents, 3 tuition teachers, who were also part of the baseline evaluation. Due to prior commitments the director of the organisation was not able to participate in the endline workshop. Evaluators interviewed him after the workshop. His eagerness to improve the quality and organisational strength was indicative of his responsive and involved managerial commitment.

Evaluators interviewed the Organisational Development (OD) consultant (who supports VTRC on a part time basis) which gave insight into the organisational structure, PME system and distribution of roles and responsibility. This was corroborated by the discussions held with the field and managerial staff. Since the baseline, VTRC is mostly working with national level alliance partners. No partners were interviewed as VTRC had already requested during the baseline workshop not to name the network partners they work with, or highlight their bit of work among the communities. This was a conscious decision by VTRC.

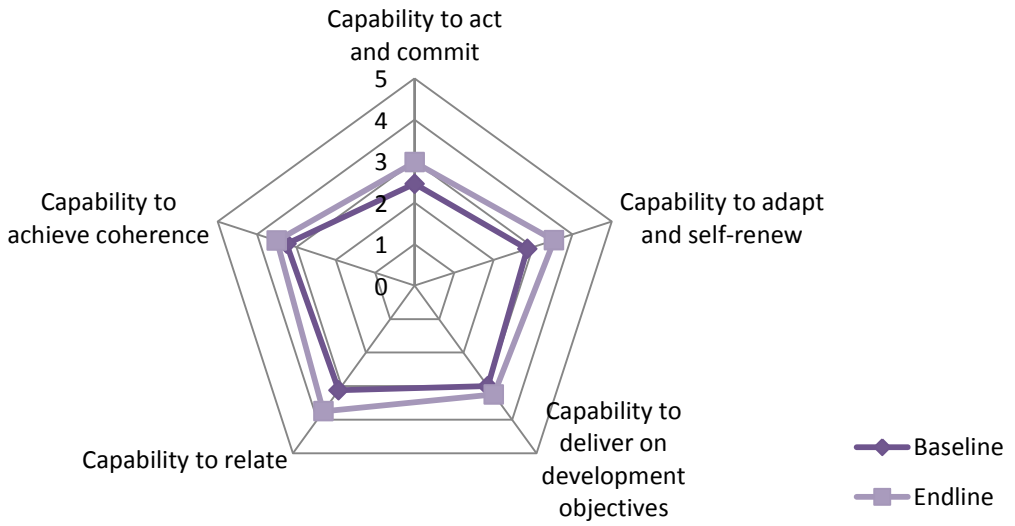
In relation to process tracing, training questionnaires were filled in for all the trainings and events under MFS II supported funding. However, for the staff it was sometimes difficult to recall what they learnt during a specific training as they are exposed to various training programmes and exposure visits (both under MFS II programme and others). Therefore, the observed changes could be attributed to various factors beyond a specific training programme. However, the training questionnaires formed the basis of distinguishing the changes which resulted from a particular training over others. It provided details such as who participated in the training and the consequent changes, ability of the participant to influence other staff, application of training etc. The CARE Network Coordinator of VTRC participated in various training programmes with MFS II support and he filled in all the training questionnaires. Though the tuition teachers and change agents received trainings with MFS II support, they did not fill training questionnaires due to language barrier. (The issue was that they could only communicate in Tamil and the evaluators had to depend on the VTRC staff for translation. Though it may seem reliable, but from an evaluator's perspective it was not admissible). Due to language barrier, the field staff faced difficulty in filling up the self-assessment forms.

In terms of process tracing, there was a difference between the initial causal map (based on initial document review) and the causal map developed during the workshop. In the end, the causal map developed at the workshop was complemented by information from document review. But the participation level and the level of engagement showed amply that the staff was well aware of the programme mandate and had ample freedom to voice their needs and receive training, in order to strengthen their work. The VTRC executive was responsive and had taken the baseline report suggestions seriously to amend certain points of lacunae in their organisational structure.

5.2 Changes in organisational capacity

This section aims to provide an answer to the first and fourth evaluation questions:

1. *What are the changes in partner organisations' capacity during the 2012-2014 period?*
4. *What factors explain the findings drawn from the questions above?*



Whilst changes took place in all five core capabilities, the improvements were only minor. Below the changes in each of the capabilities are further explained, by referring to the specific indicators that changed.

Over the last two years many improvements took place in the indicators under the capability to act and commit. Second line leadership has been strengthened, the director of VTRC trusts him with going to strategic meetings and also has become more democratic in its management approach, so that field staff are now speaking up more and becoming more articulate. This was mainly because of leadership becoming more mature and allowing for a more democratic approach. There was more coordination between the chairman, the director and second line leadership and results based management made it easier to provide strategic guidance as tracking of performance improved. There is now an organisational structure in place, which was lacking during the baseline. Staff now have clear roles and responsibilities and staff now also have a HR handbook which they can use as a reference for administrative regulations, while during the baseline VTRC did not have a clear organizational structure. VTRC has become more participatory in its planning and operations, involving more field staff and having more regular review meetings. Staff have improved their skills in a variety of areas: education, SRH and HIV/AIDS, planning, reporting, M&E, communication and technological skills. When senior staff go to a training, they in turn train the junior staff. While currently VTRC continues to rely mainly on funding from Red een Kind (Dutch funder), the MFS II funding ending in 2015 and changes in the overall donor environment have triggered VTRC to improve its funding procedures. VTRC staff have improved their proposal writing skills and being part of the Health Bridge Alliance (HBA) has allowed them to send in some grant applications. They also write better reports which contributes to the visibility. To make their programmes more sustainable they have taken the initiative to link their target groups to relevant government schemes.

Under the capability to adapt and self-renew VTRC improved on all indicators. As mentioned above field staff found it easier to speak up and became more engaged in critical reflection. There was more freedom for ideas as second line leadership gave more space for this. There were also slight improvements in VTRC tracking its operating environment and being responsive to its stakeholders, which all had to do with their more participatory approach. The Advanced PMEL workshop helped staff to develop new formats and employ new methodologies, especially in involving the community in a participatory way. Field staff now meet more regularly for review meetings with their supervisors for critical reflection. Field staff has become more confident and share more of their ideas. The

organisational scan by ICCO has been used to identify gaps and improve planning. Staff improved their analytical skills in monitoring, data collection and gap identification, the trainings sponsored by REK, the feedback from HACI and the input from the field staff have contributed to this. VTRC is using M&E findings more strategically, e.g. findings from an outcome study in 2013 were used in the Annual Plan for 2014. VTRC has been working more with government line departments to get updates on relevant schemes. Also the engagement with external stakeholders, e.g. parents has increased through for instance meetings with them to fine-tune the annual plan.

In the capability to deliver on development outcomes VTRC remained mostly stable. VTRC did improve in monitoring its efficiency, while there is still no formal mechanism to calculate input-output ratios, as their deliverables are things as "changed behaviour" , they now have certain systems in place that relate to their improved M&E capacity.

In the capability to relate VTRC has somewhat improved. Through its more participatory approach VTRC is now involving government departments and community leaders more in its strategic planning. The HBA has also been a source of input for its planning. VTRC increased its network with the government, for example with PHCs, hospitals and the state government of Tamil Nadu. Regarding internal relations, the second line leadership is given more responsibilities and senior management has become more democratic.

Finally, VTRC has very slightly improved in its capability to achieve coherence as they made some strategic changes in the CARE Network programme to link their target groups to government schemes, they put in place a performance management system policy and have revised their financial policy.

During the endline workshop some key organisational capacity changes were brought up by VTRC'S staff: Improved competency of staff in the Edugate Programme, improved capacity of staff to deliver SRH and HIV/AIDS programme and improved PME. These changes happened to overlap with the key changes that were selected for process tracing. As Red een Kind is the main funder of VTRC, their funding for trainings and support to the organisation have led to most of the organisational capacity changes in VTRC. How the MFS II funding was linked to the three identified key organisational capacity changes will be further be explained below in 5.3.

5.3 Attributing changes in organisational capacity to MFS II

This section aims to provide an answer to the second and fourth evaluation questions:

2. *To what degree are the changes identified in partner capacity attributable to development interventions undertaken by the MFS II consortia (i.e. measuring effectiveness)?*
4. *What factors explain the findings drawn from the questions above?*

To address the question of attribution it was agreed that for all the countries in the 5C study, the focus would be on the capability to act and commit and the capability to adapt and self-renew, with a focus on MFS II supported organisational capacity development interventions that were possibly related to these capabilities. 'Process tracing' was used to get more detailed information about the changes in these capabilities that were possibly related to the specific MFS II capacity development interventions. The organisational capacity changes that were focused on were:

- Improved competences of staff in the Edugate programme;
- Improved capacity of staff to deliver SRH and HIV/AIDS programme; and
- Improved Planning, Monitoring and Evaluation (PME).

The first two organisational capacity changes fall under the capability to act and commit. The last one (PME) falls under the capability to adapt and self-renew. The organisational capacity change areas that were chosen are based on document review as well as discussions with the SPO and CFA.
Each of these organisational capacity changes is further discussed below.

The following issues are discussed for the MFS II funded activities that are related to the above mentioned organisational capacity changes:

a. Design: the extent to which the MFS II supported capacity development intervention was well-designed. (Key criteria: relevance to the SPO; SMART objectives)
b. Implementation: the extent to which the MFS II supported capacity development was implemented as designed (key criteria: design, according to plans during the baseline);
c. Reaching objectives: the extent to which the MFS II capacity development intervention reached all its objectives (key criteria: immediate and long-term objectives, as formulated during the baseline);
d. the extent to which the observed results are attributable to the identified MFS II supported capacity development intervention (reference made to detailed causal map, based on 'process tracing').

Please note that whilst (d) addresses the evaluation question related to attribution (evaluation question 2), the other three issues (a, b and c) have been added by the synthesis team as additional reporting requirements. This was done when fieldwork for the endline process had already started, and therefore inadequate information is available on this. Then again, this wasn't the purpose of this 5c evaluation.

Improved competences of staff in the Edugate programme

The following MFS II capacity development interventions supported by Red een Kind were linked to the key organisational capacity change "improved competences of staff in the Edugate programme":

1. Training on Theory of Change, 16-19 April 2012 (planned during the baseline);
2. Training on Participatory Integrated Child Development (PICD), 5 day workshop in April 2012 (planned during the baseline);
3. Trainings for tuition teachers on disability, lesson plans, child psychology, teaching methodology, quality education (2012-2014) (not planned during the baseline, but details provided during the endline).

The immediate and long term objectives of all the interventions that will be discussed under this key organisational capacity change were not formulated in a SMART way (specific, measurable, achievable, relevant and time-bound). Then again, the evaluation team did not ask the CFA for SMART objectives specifically during the baseline, but rather asked about the expected or observed immediate and long term effects of the interventions.

Training on Theory of Change (ToC), 16-19 April 2012

Design

This intervention was planned during the baseline and had already taken place when the baseline workshop was conducted in November 2012. It is included here as well as in the causal maps and narratives because the effects of this training were observed during the endline and it came up during document review, workshop, interviews and self-assessments. The immediate objective of this training was that all the staff (including animators) learn about ToC, as discussions with staff that did not go to the training would take place and they would be consulted to finalise a Theory of Change for the CARE Network health project. The long term objective was to have a ToC, set goals at community or field level, have a more realistic programme, and to know the underlying assumptions to formulate pathways and indicators in the ToC.

During the baseline workshop VTRC formulated a number of conditions that needed to be in place in order for them to be able to "empower the community in quality child care" (their goal). Many conditions concern involving the community. The long term objective of setting goals at community level to have a more realistic programme is therefore very relevant for VTRC to e.g. work towards meeting the condition "involvement of community in programmes."

Implementation

This intervention was planned for and had already taken place prior to the baseline workshop. The CARE network coordinator, who is also the spokesperson for all projects, attended this training that took place in Dhaka, Bangladesh from 16-19 April 2012. As far as the evaluation team knows, it was implemented as designed, however, details about the specific design cannot be provided, since this wasn't the focus of the evaluation.

Reaching objectives
The focus of this evaluation has been the role of the MFS II funded capacity development interventions in the key organisational capacity changes that were identified, as explained in the detailed causal map. The ToC workshop came up in the map and narrative on the organisational capacity change 'improved competences of staff in the Edugate programme'. In this regard we can conclude that this workshop contributed to improved knowledge and skills of the staff on participatory approach and child rights, as the staff gained a deeper understanding of the participatory approach through this TOC workshop and how to involve parents.

Though not the focus of this evaluation, we can provide an indication of the extent to which the objectives as formulated during the baseline, have been achieved. The immediate objective 'all the staff learn about ToC' has been achieved to some extent as HACI (partner of REK who supports VTRC in India) observed that being involved in the ToC training, helped in a better way of planning. The ToC still is not yet finalised, it is an evolving document. According to VTRC the immediate objective of "staff learning about ToC" has been partially achieved and is in process. The long term objective of having a ToC is not yet reached.

Training on Participatory Integrated Child Development (PICD), 5 day workshop in April 2012
Design
This intervention was planned during the baseline and had already taken place when the baseline workshop was conducted in November 2012, but the outcome could be seen in the improved capacity of staff of the last two years. The immediate objective of this training was for VTRC to move from an institution-based approach to a community-based approach, which would be more child-friendly (within families, not institutions). The long term objective was for VTRC to adopt the PICD techniques to initiate community development programmes.

During the baseline workshop VTRC formulated a number of conditions that are needed to be in place in order for them to be able to "empower the community in quality child care" (their goal). Many conditions concern involving the community. The objectives of moving towards a more community-based approach towards child-care and education is very relevant for VTRC to e.g. work towards meeting the condition "involvement of community in programmes."

Implementation
This intervention was planned for and had already taken place prior to the baseline workshop. The CARE network coordinator and the Edugate coordinator attended this training that took place in Dhaka, Bangladesh for 5 days, after the Theory of Change workshop in April 2012. As far as the evaluation team knows, it was implemented as designed, however, details about the specific design cannot be provided, since this wasn't the focus of the evaluation.

Reaching objectives
The focus of this evaluation has been the role of the MFS II funded capacity development interventions in the key organisational capacity changes that were identified, as explained in the detailed causal map. The PICD workshop came up in the map and narrative on the organisational capacity change 'improved competences of staff in the Edugate programme'. In this regard we can conclude that this workshop contributed to improved knowledge and skills of the staff on participatory approach and child rights, as different tools were demonstrated to help participants learn to work in a participatory process with the community to move from institution based (e.g. orphanage) development to child centered development.

Though not the focus of this evaluation, we can provide an indication of the extent to which the objectives as formulated during the baseline, have been achieved. The immediate objective 'VTRC to move from an institution-based approach to a community-based approach, which would be more child-friendly' seems to have been reached to some extent. While HACI (partner of REK who supports VTRC in India) is not aware of VTRC using this approach in any new projects, from VTRC reports we can, however, conclude that an exercise of the participatory approach has been done with the community in the Salem and Madurai district.

Trainings for tuition teachers on disability, lesson plans, child psychology, teaching methodology, quality education (2012-2014).
Design
These trainings were not planned for during the baseline by the CFA. Details about the specific design cannot be provided, since this wasn't the focus of the evaluation. These trainings were described in a general way by the CFA (in this case HACI representing REK in India) as on the job training for field

staff. The immediate objective of these trainings, according to the CFA, was to improve the capacity of staff in preparing the community towards sustainability. The long term objective was formulated as "the community addresses their issues by themselves."

Working with the community and making them more self-reliant fits well with the goal that VTRC formulated during the baseline to "empower the community in quality child care." The immediate and long term objectives link to the conditions that VTRC formulated to achieve this goal: involvement of community in programmes, improved community awareness on rights of children and making government schemes/facilities accessible to the community. The formulated objectives, although not very specific, were therefore relevant for VTRC.

Implementation
This intervention was not planned for during the baseline and details about the specific design cannot be provided, since this wasn't the focus of the evaluation. Therefore, no judgement can be made on whether this intervention was implemented as designed. However, the following trainings for tuition teachers and supervisors took place:

- 2012: one 1 day training in February on lesson plan and teaching methodology, two 1 day trainings in March on child rights and; leadership and personality, two 1 day trainings in April on disability, one 1 day training in June on the MDGs, 1 one day training in August on quality education, two 1 day trainings in September on disability and PRA, one 1 day training in December on prospective and retrospectives.
- 2013: one 1 day training in February on local resource mobilisation, one 3 day training in May on lesson plan and child psychology, one 1 day training in June on handling multiclass, one 1 day training in July on project objective and goal, one 1 day training in October on motivation, trainings in December on disability and rapport building with the community.
- 2014: two 1 day trainings in February on teaching methodologies, goals, objectives and the role of the tuition teacher, one 1 day training in March on learning skills, one 1 day training in April on low vision and slow learners, one 1 day training in June on impediments to academic achievements and one 1 day training in July on 3R,(Reading, Writing, Arithmetic) and handling multi class technique.

Reaching objectives
The focus of this evaluation has been the role of the MFS II funded capacity development interventions in the key organisational capacity changes that were identified, as explained in the detailed causal map. Some of the trainings for tuition teachers came up in the map and narrative on the organisational capacity change 'improved competences of staff in the Edugate programme': training on lesson plan and child psychology in May 2013, training on disability in December 2013 and training on developing lesson plan, teaching methodology and quality education in February, May and August of 2012. We can conclude that these trainings contributed to improved skills and knowledge of tuition teachers to apply different teaching methods, provide appropriate and useful information through innovative teaching and develop lesson plans.

Though not the focus of this evaluation, we can provide an indication of the extent to which the objectives as formulated during the endline, have been achieved. The immediate objective was 'to improve the capacity of staff in preparing the community towards sustainability,' has been achieved according to the CFA. The long term objective 'the community addresses their issues by themselves' has not yet been achieved. According to the CFA, the community being prepared for sustainability will be established only after the inputs are withdrawn. According to VTRC the tuition teachers have been preparing the community towards sustainability and the teachers will continue to run the centres with community support beyond 2015.

Attribution of observed results to MFS II capacity development interventions
The improved competency of staff in the Edugate programme was due to improved knowledge and skills of the staff on participatory approach and child rights; and improved knowledge and skills of the tuition teachers (see 4.3.1). Both these organisational capacity changes can be fully attributed to MFS II supported capacity development interventions. The improvement on participatory approach and child rights can be attributed to the workshop on PICD and the ToC workshop (both funded by MFS II and discussed above).
For example the ToC workshop helped staff in the Edugate programme to more attentively involve parents and set up School Management Committees to lobby for target children to ensure their right to access government schemes. The improved skills and knowledge of the tuition teachers can be attributed to the trainings they received in February, May and August of 2012 on developing lesson

plans, teaching methodology and quality education. In particular, a three day training on lesson plan and child psychology in May 2013 and a four day training programme on disability in December 2013 further developed the skills and knowledge of the tuition teachers on the respective topics. Since REK remains to be the main funder of VTRC and the Edugate programme is completely funded by REK under MFS II, the improvement in the competency of staff in the Edugate programme can be fully attributed to MFS II funded capacity building interventions.

Improved capacity of staff to deliver SRH and HIV/AIDS programme
The following MFS II capacity development interventions are linked to the key organisational capacity change "improved capacity of staff to deliver SRH and HIV/AIDS programme" (please also see section 4.3):

1. Behaviour Change Communication workshop facilitated by ICCO for the CARE Network project, 5-7 September 2012 (planned during the baseline);
2. Training on Theory of Change, 16-19 April 2012 (planned during the baseline)
3. Participation in Health Bridge Alliance (including going to meetings) (not planned during baseline, not mentioned as a capacity development intervention supported by REK in the endline, but funded by MFS II).

The MFS II capacity development intervention 'ToC workshop' is linked to the key organisational capacity change "improved capacity of staff to deliver SRH and HIV/AIDS programme" has been described under the previous key change (improved competence of staff in the Edugate programme), and only the "reaching objectives" part will be described. The capacity development interventions for which no objectives have been provided during baseline or endline will only be discussed when addressing the attribution question (in this case: participation in HBA).

The immediate and long term objectives of all the interventions (BCC and ToC workshop) that will be discussed under this key organisational capacity change were not formulated in a SMART way (specific, measurable, achievable, relevant and time-bound). Then again, the evaluation team did not ask the CFA for SMART objectives specifically during the baseline, but rather asked about the expected or observed immediate and long term effects of the interventions.

Behaviour Change Communication (BCC) workshop facilitated by ICCO for the CARE Network project, 5-7 September 2012
Design
This intervention was planned during the baseline and had already taken place when the baseline workshop was conducted in November 2012, but the outcome could be seen in the improved capacity of staff of the last two years. The immediate objective of this training was for VTRC to have a more planned approach and to have a different way of tracking results. The long term objective was formulated as "behaviour changes, violence reduced, changes in the communities for a better life."

During the baseline VTRC expressed the need to develop an automated management information system (MIS). In order to do so they felt they needed to work on capturing benefits and outcomes to make links between plans, programmes and achievements on the ground. The immediate objective is therefore very relevant for VTRC. The long term objective is related to VTRC's mission to provide care, support and reduce the vulnerability of children and women. The objectives are therefore relevant for VTRC.

Implementation
This intervention was planned for and had already taken place prior to the baseline workshop. The CARE network coordinator attended this training that took place from 5-7 September 2012 in Hyderabad. As far as the evaluation team knows, it was implemented as designed, however, details about the specific design cannot be provided, since this wasn't the focus of the evaluation.

Reaching objectives
The focus of this evaluation has been the role of the MFS II funded capacity development interventions in the key organisational capacity changes that were identified, as explained in the detailed causal map. The BCC workshop came up in the map and narrative on the organisational capacity change 'improved capacity of staff to deliver SRH and HIV/AIDS programme.' We can conclude that this workshop contributed to more awareness and knowledge among VTRC staff on SRH and HIV/AIDS, as it helped staff to improve their knowledge on the determinants of behavioural change communication

like risk perception, attitude, social influence and self- efficacy which could be applied in their SRH and HIV/AIDS programme.
Though not the focus of this evaluation, we can provide an indication of the extent to which the objectives as formulated during the baseline, have been achieved. The immediate objective 'VTRC to have a more planned approach and to have a different way of tracking results' has been achieved to some extent. While HACI (partner of REK who supports VTRC in India) did not really observe any immediate effects of this training, there was some fine-tuning of the indicators which were incorporated into the 2013 Annual plan for the CARE Network project.

Training on Theory of Change (ToC), 16-19 April 2012
Reaching objectives
The focus of this evaluation has been the role of the MFS II funded capacity development interventions in the key organisational capacity changes that were identified, as explained in the detailed causal map. The ToC workshop came up in the map and narrative on the organisational capacity change 'improved capacity of staff to deliver SRH and HIV/AIDS programme.' In this regard we can conclude that this workshop contributed to awareness and knowledge on SRH and HIV/AIDS among VTRC staff, specifically on behaviour change measures that VTRC has later used in its strategic plan for this CARE Network project.

Though not the focus of this evaluation, under the organisational capacity change "improved competences of staff in the Edugate programme" it has already been discussed to what extent the objectives that were formulated during the endline have been achieved.

Attribution of observed results to MFS II capacity development interventions

The improved capacity of the staff to deliver the SRH and HIV/AIDS programme was due to increased awareness and knowledge on SRH and HIV/AIDS among VTRC staff and because of the development of IEC material and L&A curriculum (see 4.3.2). The increased awareness can be attributed to trainings of staff in SRH and HIV/AIDS and sharing and learnings in the Health Bridge Alliance (participation in alliance and meetings MFS II funded). One of the trainings was a training on SRH and prevention of HIV which was funded by VTRC's own funds on 25-26 April 2013. The change agents (field level staff) gained more knowledge on HIV related symptoms and prevention methods. The other trainings were funded by MFS II and included the ToC training and the Behaviour Change communication (BCC) workshop (both mentioned above). The ToC training helped the CARE network coordinator of VTRC to understand the pathways toward achieving the goal of empowering communities to access quality health care services for SRH and HIV prevention. Furthermore it improved his knowledge on behaviour change measures which was taken up in VTRC's strategic plan. The BCC workshop helped VTRC staff to improve their knowledge on determinants of behavioural change like risk perception, attitude and social influence, which was very relevant for the SRH and HIV/AIDS programme as most of the outcomes concern behavioural change. The sharing and learning within the HBA happened during 3 meetings on 5 September 2012, 19-21 November 2012 and in August 2013, and was possible because VTRC became a member of this alliance through its MFS II funded SRH and HIV/AIDS CARE Network programme. While not directly an MFS II funded intervention of REK, these meetings were funded by MFS II. Most of the change in the increased awareness and knowledge on SRH and HIV/AIDS among VTRC staff can therefore be attributed to MFS II funded capacity development interventions. As for the Development of IEC material and L&A curriculum this can also be attributed to the HBA meetings. During these meetings VTRC and other partners in the alliance were urged to create awareness and lobby on health related issues and trained in developing a lobby and advocacy curriculum on the topic of SRH and HIV/AIDS. All in all, besides from the one training that was funded by VTRC's own funds, the improved capacity of staff to deliver the SRH and HIV/AIDS programme can mainly be attributed to MFS II funded capacity development interventions, and partly to becoming a member of the Health Bridge Alliance, which was also stimulated by being involved in the MFS II funded SRH and HIV/AIDS CARE Network programme.

Improved Planning, Monitoring and Evaluation (PME).
The following MFS II capacity development intervention supported by Red een Kind is linked to the key organisational capacity change "improved Planning, Monitoring and Evaluation (PME)" mainly for the CARE network (SRH and HIV/AIDS) programme and the Edugate programme (please also see section 4.3):

1. Advanced PMEL training in Nepal, 11-17 September 2013 (not planned during the baseline, but details provided during the endline);
2. HACI provides feedback on project progress, quarterly reports and the PME system and through Midterm evaluation of the CARE Network project (not planned during the baseline, no details provided during the endline);
3. Outcome study conducted by HACI for the Edugate programme (not planned during the baseline, no details provided during the endline)
4. Participation in Health Bridge Alliance (including going to meetings) (not planned during baseline, not mentioned as a capacity development intervention supported by REK in the endline, but funded by MFS II).
5. Training on Theory of Change, 16-19 April 2012 (planned during the baseline);
6. Training on Participatory Integrated Child Development (PICD), 5 day workshop in April 2012 (planned during the baseline);

Below the interventions will be discussed that were either planned during the baseline or not planned during the baseline, but details on the intervention were provided during the endline. The capacity development interventions for which no objectives have been provided during baseline or endline will only be discussed when addressing the attribution question (in this case: Feedback from HACI, outcome study by HACI, participation in HBA). The ToC and PICD workshop also came up under other key organisational capacity changes, for these two workshops only the "reaching objectives" part will be described.

The immediate and long term objectives of all the interventions (APMEL, ToC and PICD workshops) that will be discussed under this key organisational capacity change were not formulated in a SMART way (specific, measurable, achievable, relevant and time-bound). Then again, the evaluation team did not ask the CFA for SMART objectives specifically during the baseline, but rather asked about the expected or observed immediate and long term effects of the interventions.

Advanced PMEL (APMEL) training in Nepal, 11-17 September 2013

Design

This intervention was not planned for by the CFA during the baseline. The immediate effect that was formulated by the CFA during the endline was: "to improve on the PMEL systems that are being implemented in the project." The long term objective was articulated as: "to enable effective decision making based on organised data and information that is relevant and timely."

During the baseline VTRC expressed the need to develop an automated management information system (MIS). In order to do so they felt they needed to work on capturing benefits and outcomes to make links between plans, programmes and achievements on the ground. Furthermore, they wanted to train staff on collecting, organising information and using it in programme strategy development. The immediate and long term objective are therefore very relevant for VTRC.

Implementation

This intervention was not planned for by the CFA during the baseline and details about the specific design cannot be provided, since this wasn't the focus of the evaluation. Therefore, no judgement can be made on whether this intervention was implemented as designed. However, from the document review, self-assessments and workshop we can conclude that this training took place from 11-17 September 2013 in Nepal. The CARE Network coordinator of VTRC attended this training.

Reaching objectives

The focus of this evaluation has been the role of the MFS II funded capacity development interventions in the key organisational capacity changes that were identified, as explained in the detailed causal map. The APMEL training came up in the map and narrative on the organisational capacity change 'improved Planning, Monitoring and Evaluation (PME).' We can conclude that this training contributed to improved analytical skills of VTRC staff which in turn led to improved reporting. The training also contributed to a more systematic review system which led to better gap identification which in turn led to improved planning and review.

Though not the focus of this evaluation, we can provide an indication of the extent to which the objectives as formulated during the baseline, have been achieved. The short term objective "to improve on the PMEL systems that are being implemented in the project," has been reached to some extent. The CFA has observed that the CARE network coordinator gained skills in reporting and

systematic analysis of data. The reports of VTRC have gotten better after this training as they now include e.g. success stories. The CARE network coordinator indicated that it helped him to develop smart indicators and in report writing. The long term objective "to enable effective decision making based on organised data and information that is relevant and timely," is in development as VTRC slightly improved its strategic use of M&E.

Training on Theory of Change (ToC), 16-19 April 2012

Reaching objectives

The focus of this evaluation has been the role of the MFS II funded capacity development interventions in the key organisational capacity changes that were identified, as explained in the detailed causal map. The ToC workshop came up in the map and narrative on the organisational capacity change 'improved PME.' In this regard we can conclude that this workshop contributed to improved planning and review because the ToC has helped in planning a process of cooperation, strengthening and lobbying with the state health systems for better implementation.

Though not the focus of this evaluation, under the organisational capacity change "improved competences of staff in the Edugate programme" it has already been discussed to what extent the objectives that were formulated during the endline have been achieved.

Training on Participatory Integrated Child Development (PICD), 5 day workshop in April 2012

Reaching objectives

The focus of this evaluation has been the role of the MFS II funded capacity development interventions in the key organisational capacity changes that were identified, as explained in the detailed causal map. The PICD workshop came up in the map and narrative on the organisational capacity change 'improved PME.' In this regard we can conclude that this workshop contributed to on the one hand organising stakeholder meetings for better gap identification and on the other hand participatory planning and review which together led to improved planning and review.

Though not the focus of this evaluation, under the organisational capacity change "improved competences of staff in the Edugate programme" it has already been discussed to what extent the objectives that were formulated during the endline have been achieved.

Attribution of observed results to MFS II capacity development interventions

The improved planning monitoring and evaluation of VTRC was due to improved reporting and improved planning and review (also see 4.3.3). Improved reporting can be attributed to improved analytical skills of VTRC staff which can partly be attributed to the Advanced PMEL training (funded by MFS II) and partly to the feedback from the donor (REK, MFS II) and network partners in the HBA (MFS II funded participation). REK through HACI provides feedback on project progress and the PME system. They have done so by conducting a midterm evaluation of the CARE Network project, providing direct feedback when visiting the projects, providing feedback on quarterly reports and indicators that are used. This support from HACI is funded under MFS II. The improved reporting can thus be fully attributed to MFS II funded capacity development interventions.

The improved planning and review can be attributed to better identification of gaps in planning, the ToC workshop and participatory planning and review. The better identification of gaps took place because of an organisation scan that is done bi-yearly for the HBA partners. VTRC is part of the HBA because of their MFS II funded SRH and HIV/AIDS CARE Network programme and its participation and in the alliance and attendance to meetings is funded by MFS II. Gaps were also better identified because of more systematic review meetings which was primarily a result of the MFS II funded APMEL training and a peer review system that was implemented after becoming a member of the HBA. Finally the gaps in planning were better identified because of an outcome study conducted by HACI for the Edugate programme and because of organising stakeholder meetings with e.g. parents to get their input for the annual plans. The outcome study was funded by MFS II and the stakeholder meetings were a result of the Participatory Integrated Child Development (PICD) workshop that VTRC staff attended in April 2012 in Bangladesh (funded by MFS II). Planning also improved because of participatory planning and review, which can be attributed to the PICD workshop (funded by MFS II) and to the programmatic approach that VTRC was trained in as a member of the HBA. This programmatic approach is a process where multiple stakeholders work together based on a joint analysis of a problematic, shared vision and purpose and a clear perspective of on the results of the cooperation. In sum, the improved planning and review can be almost entirely attributed to MFS II funded capacity development interventions.

In conclusion, as REK (under MFS II) was the main funder of VTRC and has especially supported the organisation in terms of their PME, all the improvements in terms of PME, especially reporting and planning, can to a large extent be attributed to MFS II funded capacity development interventions, in particular trainings (advanced PMEL; PICD; ToC); feedback from HACI and (MFS II) network partners; and the outcome study and being a member of the Health Bridge Alliance and taking part in their meetings. This alliance is led by ICCO, but VTRC is a member because they work on the CARE Network project that is funded under MFS II by REK.

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List of documents available

Copy of Annual training-13.xlsx
Annual training-13.xlsx
Training report.doc
VTRC - Edugate - Annual training calandar - 2012.doc
VTRC - Edugate - Annual Training Details - 2011.xls
Advanced PMEL training Report APC Nepal.docx
Report APC Nepal.docx

Bangladesh meeting ToC & BC April 2012.docx
RE_ follow up skype interview.pdf
Minutes F2F - April 16-19th 2012-Dhaka.doc
Sept. 2012 BCCMinutes -HBA Hyderabad.docx
Annual report Edugate - 2012.doc
Copy of Edugate trg budget break up.xlsx
0. APC - Introduction.pdf
1. APC - Module 1 - Planning.pdf
2. APC - Module 2 - Collection.pdf
3. APC - Module 3 - Analysis.pdf
4. APC - Module 4 - Reflection.pdf
5. APC - Module 5 - Use.pdf
6. APC - Conclusion.pdf
checked - VTRC 5C_febr 2014.docx
VTRC_gv - 5C_baseline_report_India_VTRC_17012013_CK.pdf
3. Monitoringsprotocol 2013.xlsx
4.1 Outcome studies.docx
ICCO PROGRESS REPORT 2013_30 APRIL_PART2_ANNEXES.2.pdf
ICCO PROGRESS REPORT 2013_30 APRIL_PART2_ANNEXES.3.pdf
ICCO PROGRESS REPORT 2013_30 APRIL_PART2_ANNEXES.pdf
ICCO PROGRESS REPORT 2013_30APRIL_PART1_NARRATIVE.pdf
Brief BuZa ICCO-Allianatie Jaarverslag 2013.pdf
Knowledge assessment CA CARE.docx
CNET - Annual Plan 2012.rar
VTRC - Edugate - Annual training calandar - 2012.doc
VTRC - Edugate - Annual Training Details - 2011.xls
Annual report Edugate - 2012.doc
Annual training-13.xlsx
CARE Network Annual Plan - 2011.doc
Logframe2011-CARENETWORK.doc
CARE Network Activity Report - 2011.doc
CARE Network Annual Plan - 2011 (Existing Format).doc
CARE Network - Logframe - 2012.doc
CARE Network Narative Annual Report - 2012.doc
Health Program - Activity Visuals - 2012.docx
Monitoring_framework_carenetwork.xls
Report - Herbal & Resource Centre.doc
CARE Network - Annual Finance Report - 2012.xlsx
CARE Network Budget & Cash Flow - 2014.xls
CARE Network - Overview_Sheet_Results_Framework_Nov_2013.xls
Health - Monitoring Details - Madurai & Dindigul District Clusters.xls
Health Monitoring Sheet - Salem & Dharmapuri District Clusters.xls
Health Care Field Report - Salem & Dharmapuri District Clusters.xls
Theory of Change - Flow - CARE Network - Updated - December 2013.xls
ANC & PNC Details - Salem & Dharmapuri District Clusters.xlsx
ANC & PNCs Details - Madurai & Dindigul District Clusters.xlsx
Health Care Field Report - Madurai & Dindigul District Clusters.xlsx
CARE Network - Annual Plan 2013.doc
CARE Network - Health - Annual Activity Report - 2013.doc
Theory of change - narrative - CARE network - Updated - December 2013.doc
CARE Network - Logframe - 2013.docx
CARE Network - Logframe - 2014 - Updated.docx
CARE Network - Activity Visuals - 2013.pdf
CARE Network - Annual Finance Report - 2013.xls
CARE Network Budget - Health 2014.xls
CARE Network - Logframe - 2014 (Revised & Final).doc
CARE Network - Policy Info Sheet - VTRC -2013- 2014.doc

CARE Network - Annual Plan - Health - 2014.doc
CARE Network Budget - Health 2014.xls
CARE - Outcome study 2013 Knowledge assessment questionaire CA.docx
CARE- Review of Partners Outcomes 2013 by HBA.docx
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Edu gate proposal-2012.docx
EDUGATE ANNUAL AGREEMENT 2012.doc
2012-budget.xlsx
Annual report - 13.doc
Log frame for Edu gate-2013.docx
VTRC Tuition Centre budget-2013.xlsx
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Activities photos-2013.doc
Annual finance report-2013.xls
Annual Plan - 2013.doc
Result frame work-2014.doc
Annual Plan - 2014.doc
Log frame for Edu gate-2014.docx
VTRC - Edugate - Annual Training Details - 2011.docx
VTRC - Edugate - Annual Training Details - 2011.xls
VTRC - Edugate - Annual Training Details - 2013.docx
VTRC - Edugate - Annual Training Details - 2013.xlsx
VTRC - Edugate - Annual training calandar - 2012.doc
2011, 2012, 2013 - Health Training Details.xlsx

Fieldwork data:

5C endline_support to capacity development sheet_SPO perspective_India_VTRC(3) - updated - 24 03 2014.docx
5c endline_assessment sheet_Dutch co-financing organisations_India_VTRC_RedeenKind_NB.docx
5C endline_support to capacity development sheet_CFA perspective_India_VTRC_RedeenKind_NB.docx
5c endline interview guide_OD consultants_selected indicators_VTRC.docx
5c endline self-assessment sheet_management_India_VTRC.docx
5c endline self-assessment sheet_programme staff_India_VTRC.docx
5c endline self-assessment sheet_admin HRM staff_India_VTRC.docx
5c endline self-assessment sheet_field staff_India_VTRC 1.docx
5c endline_questionnaire_training_participant_perspective_India_VTRC_PICDworkshop2012_Christopher.docx
5c endline_questionnaire_training_participant_perspective_India_VTRC_ToCworskhop2012_Christopher.docx
5c endline_questionnaire_training_participant_perspective_India_VTRC_APMELtraining2013_Christopher.docx
5c endline_questionnaire_training_participant_perspective_India_VTRC_BCCworskhop2012_Christopher.docx
Annex K_5c endline workshop_key changes and factors_SPO perspective_country_name SPO VTRC.docx
ATTENDANCE SHEET for VTRC 5-7 AUG Workshop.docx
5c endline observation sheet - observations by in-country evaluators during the endline capacity assessment at the SPO_VTRC.docx

List of Respondents

VTRC staff:

NAME	DESIGNATION	5th August	6th August	7th August
Prof. Raju	Program Manager	Present	Present	Present
Mr. S. Muthupandi	Program Coordinator	Present	Present	Present
Mr. James Christopher	CARE Network - Coordinator	Present	Present	Present
Mrs. Mangalam	Accountant - Health Program	Present	Present	Not selected for PT
Mrs. Packiathai	Accountant - Educate Program	Present	Present	Not selected for PT
Mrs. Vijaya	Health Program - Supervisors	Present	Present	Not selected for PT
Mrs. Selvi	Health Program - Supervisors	Present	Present	Not selected for PT
Mrs. Narasingavalli	Health Program - Supervisors	Present	Present	Not selected for PT
Mr. Elango	Health Program - Supervisors (Part Time)	Present	Present	Not selected for PT
Mr. Sambavarthy	Health Program - Supervisors (Part Time)	Present	Present	Not selected for PT
Mr. Elayaraj	Health Program - Supervisors (Part Time)	Present	Present	Not selected for PT
Mrs. Murugeswari	Health Program - Change Agents	Present	Present	Not selected for PT
Mrs. Praveena	Health Program - Change Agents	Present	Present	Not selected for PT
Mrs. Chinnammal	Health Program - Change Agents	Present	Present	Not selected for PT
Ms. Bhuvaneshwari	Educate Program - Tuition Teacher (Part Time)	Present	Present	Not selected for PT
Ms. Chinnaponnu	Educate Program - Tuition Teacher (Part Time)	Present	Present	Not selected for PT
Miss Vasanthi	Educate Program - Tuition Teacher (Part Time)	Present	Present	Not selected for PT

CFA:

Christy Solomon, Program Manager at Help a Child India (representing Red een Kind in India). Interviewed on 27 March 2014.

Other:

Dr. Kartikeyan, OD Consultant. Interviewed on 7 August 2014.

Appendix 1 Methodological approach & reflection

Introduction

This appendix describes the methodological design and challenges for the assessment of capacity development of Southern Partner Organisations (SPOs), also called the '5C study'. This 5C study is organised around four key evaluation questions:

1. What are the changes in partner organisations' capacity during the 2012-2014 period?
2. To what degree are the changes identified in partner capacity attributable to development interventions undertaken by the MFS II consortia (i.e. measuring effectiveness)?
3. Were the efforts of the MFS II consortia efficient?
4. What factors explain the findings drawn from the questions above?

It has been agreed that the question (3) around efficiency cannot be addressed for this 5C study. The methodological approach for the other three questions is described below. At the end, a methodological reflection is provided.

In terms of the attribution question (2), 'process tracing' is used. This is a theory-based approach that has been applied to a selected number of SPOs since it is a very intensive and costly methodology, although it provides rich information and can generate a lot of learning within the organisations. This approach was presented and agreed-upon during the synthesis workshop on 17-18 June 2013 by the 5C teams for the eight countries of the MFS II evaluation. A more detailed description of the approach was presented during the synthesis workshop in February 2014. The synthesis team, NWO-WOTRO, the country project leaders and the MFS II organisations present at the workshop have accepted this approach. It was agreed that this approach can only be used for a selected number of SPOs since it is a very intensive and costly methodology. Key organisational capacity changes/ outcomes of the SPO were identified, based on their relationship to the two selected capabilities, the capability to act and commit the capability to adapt and self-renew, and an expected relationship with CFA supported capacity development interventions (MFS II funding). It was agreed to focus on these two capabilities, since these are the most targeted capabilities by the CFAs, as established during the baseline process.

Please find below an explanation of how the above-mentioned evaluation questions have been addressed in the 5C evaluation.

Note: the methodological approach is applied to 4 countries that the Centre for Development Innovation, Wageningen University and Research centre is involved in in terms of the 5C study (Ethiopia, India, Indonesia, Liberia). The overall approach has been agreed with all the 8 countries selected for this MFS II evaluation. The 5C country teams have been trained and coached on this methodological approach during the evaluation process. Details specific to the SPO are described in chapter 5.1 of the SPO report. At the end of this appendix a brief methodological reflection is provided.

Changes in partner organisation's capacity – evaluation question 1

This section describes the data collection and analysis methodology for answering the first evaluation question: **What are the changes in partner organisations' capacity during the 2012-2014 period?**

This question was mainly addressed by reviewing changes in 5c indicators, but additionally a 'general causal map' based on the SPO perspective on key organisational capacity changes since the baseline has been developed. Each of these is further explained below. The development of the general causal map is integrated in the steps for the endline workshop, as mentioned below.

During the baseline in 2012 information has been collected on each of the 33 agreed upon indicators for organisational capacity. For each of the five capabilities of the 5C framework indicators have been developed as can be seen in Appendix 2. During this 5C baseline, a summary description has been provided for each of these indicators, based on document review and the information provided by staff, the Co-financing Agency (CFA) and other external stakeholders. Also a summary description has been provided for each capability. The results of these can be read in the baseline reports.

The description of indicators for the baseline in 2012 served as the basis for comparison during the endline in 2014. In practice this meant that largely the same categories of respondents (preferably the same respondents as during the baseline) were requested to review the descriptions per indicator and indicate whether and how the endline situation (2014) is different from the described situation in 2012.[13] Per indicator they could indicate whether there was an improvement or deterioration or no change and also describe these changes. Furthermore, per indicator the interviewee could indicate what interventions, actors and other factors explain this change compared to the baseline situation. See below the specific questions that are asked for each of the indicators. Per category of interviewees there is a different list of indicators to be looked at. For example, staff members were presented with a list of all the indicators, whilst external people, for example partners, are presented with a select number of indicators, relevant to the stakeholder.

The information on the indicators was collected in different ways:

1. **Endline workshop at the SPO - self-assessment and 'general causal map'**: similar to data collection during the baseline, different categories of staff (as much as possible the same people as during the baseline) were brought together in a workshop and requested to respond, in their staff category, to the list of questions for each of the indicators (self-assessment sheet). Prior to carrying out the self-assessments, a brainstorming sessions was facilitated to develop a 'general causal map', based on the key organisational capacity changes since the baseline as perceived by SPO staff. Whilst this general causal map is not validated with additional information, it provides a sequential narrative, based on organisational capacity changes as perceived by SPO staff;
2. **Interviews with staff members**: additional to the endline workshop, interviews were held with SPO staff, either to provide more in-depth information on the information provided on the self-assessment formats during the workshop, or as a separate interview for staff members that were not present during the endline workshop;
3. **Interviews with externals**: different formats were developed for different types of external respondents, especially the co-financing agency (CFA), but also partner agencies, and organisational development consultants where possible. These externals were interviewed, either face-to-face or by phone/Skype. The interview sheets were sent to the respondents and if they wanted, these could be filled in digitally and followed up on during the interview;
4. **Document review**: similar to the baseline in 2012, relevant documents were reviewed so as to get information on each indicator. Documents to be reviewed included progress reports, evaluation reports, training reports, etc. (see below) since the baseline in 2012, so as to identify changes in each of the indicators;
5. **Observation**: similar to what was done in 2012, also in 2014 the evaluation team had a list with observable indicators which were to be used for observation during the visit to the SPO.

[13] The same categories were used as during the baseline (except beneficiaries, other funders): staff categories including management, programme staff, project staff, monitoring and evaluation staff, field staff, administration staff; stakeholder categories including co-financing agency (CFA), consultants, partners.

Below the key steps to assess changes in indicators are described.

Key steps to assess changes in indicators are described

1. Provide the description of indicators in the relevant formats – CDI team
2. Review the descriptions per indicator – in-country team & CDI team
3. Send the formats adapted to the SPO to CFA and SPO – in-country team (formats for SPO) and CDI team (formats for CFA)
4. Collect, upload & code the documents from CFA and SPO in NVivo – CDI team
5. Organise the field visit to the SPO – in-country team
6. Interview the CFA – CDI team
7. Run the endline workshop with the SPO – in-country team
8. Interview SPO staff – in-country team
9. Fill-in observation sheets – in-country team
10. Interview externals – in-country team
11. Upload and auto-code all the formats collected by in-country team and CDI team in NVivo – CDI team
12. Provide to the overview of information per 5c indicator to in-country team – CDI team
13. Analyse data and develop a draft description of the findings per indicator and for the general questions – in-country team
14. Analyse data and develop a final description of the findings per indicator and per capability and for the general questions – CDI team
15. Analyse the information in the general causal map –in-country team and CDI-team

Note: the CDI team include the Dutch 5c country coordinator as well as the overall 5c coordinator for the four countries (Ethiopia, India, Indonesia, Liberia). The 5c country report is based on the separate SPO reports.

Below each of these steps is further explained.

*Step 1. Provide the **description of indicators** in the relevant formats – CDI team*

- These formats were to be used when collecting data from SPO staff, CFA, partners, and consultants. For each of these respondents different formats have been developed, based on the list of 5C indicators, similar to the procedure that was used during the baseline assessment. The CDI team needed to add the 2012 baseline description of each indicator. The idea was that each respondent would be requested to review each description per indicator, and indicate whether the current situation is different from the baseline situation, how this situation has changed, and what the reasons for the changes in indicators are. At the end of each format, a more general question is added that addresses how the organisation has changed its capacity since the baseline, and what possible reasons for change exist. Please see below the questions asked for each indicator as well as the more general questions at the end of the list of indicators.

General questions about key changes in the capacity of the SPO

What do you consider to be the key changes in terms of how the organisation/ SPO has developed its capacity since the baseline (2012)?

What do you consider to be the main explanatory reasons (interventions, actors or factors) for these changes?

List of questions to be asked for each of the 5C indicators (The entry point is the the description of each indicator as in the 2012 baseline report):

1. *How has the situation of this indicator changed compared to the situation during the baseline in 2012? Please tick one of the following scores:*
   - -2 = Considerable deterioration
   - -1 = A slight deterioration
   - 0 = No change occurred, the situation is the same as in 2012
   - +1 = Slight improvement
   - +2 = Considerable improvement
2. *Please describe what exactly has changed since the baseline in 2012*

3. *What interventions, actors and other factors explain this change compared to the baseline situation in 2012? Please tick and describe what interventions, actors or factors influenced this indicator, and how. You can tick and describe more than one choice.*
   - Intervention, actor or factor at the level of or by **SPO**: ..... .
   - Intervention, actor or factor at the level of or by the **Dutch CFA (MFS II funding)**: .... .
   - Intervention, actor or factor at the level of or by the **other funders**: ..... .
   - **Other** interventions, actors or factors: ..... .
   - Don't know.

Step 2. ***Review*** *the descriptions per indicator – in-country team & CDI team*

Before the in-country team and the CDI team started collecting data in the field, it was important that they reviewed the description for each indicator as described in the baseline reports, and also added to the endline formats for review by respondents. These descriptions are based on document review, observation, interviews with SPO staff, CFA staff and external respondents during the baseline. It was important to explain this to respondents before they filled in the formats.

Step 3. ***Send the formats*** *adapted to the SPO to CFA and SPO – in-country team (formats for SPO) and CDI team (formats for CFA)*

The CDI team was responsible for collecting data from the CFA:

- 5C Endline assessment Dutch co-financing organisation;
- 5C Endline support to capacity sheet – CFA perspective.

The in-country team was responsible for collecting data from the SPO and from external respondents (except CFA). The following formats were sent before the fieldwork started:

- 5C Endline support to capacity sheet – SPO perspective.
- 5C Endline interview guides for externals: partners; OD consultants.

Step 4. ***Collect, upload & code the documents*** *from CFA and SPO in NVivo – CDI team*

The CDI team, in collaboration with the in-country team, collected the following documents from SPOs and CFAs:

- Project documents: project proposal, budget, contract (Note that for some SPOs there is a contract for the full MFS II period 2011-2015; for others there is a yearly or 2-yearly contract. All new contracts since the baseline in 2012 will need to be collected);
- Technical and financial progress reports since the baseline in 2012;.
- Mid-term evaluation reports;
- End of project-evaluation reports (by the SPO itself or by external evaluators);
- Contract intake forms (assessments of the SPO by the CFA) or organisational assessment scans made by the CFA that cover the 2011-2014 period;
- Consultant reports on specific inputs provided to the SPO in terms of organisational capacity development;
- Training reports (for the SPO; for alliance partners, including the SPO);
- Organisational scans/ assessments, carried out by the CFA or by the Alliance Assessments;
- Monitoring protocol reports, especially for the 5C study carried out by the MFS II Alliances;
- Annual progress reports of the CFA and of the Alliance in relation to capacity development of the SPOs in the particular country;
- Specific reports that are related to capacity development of SPOs in a particular country.

The following documents (since the baseline in 2012) were requested from SPO:

- Annual progress reports;
- Annual financial reports and audit reports;
- Organisational structure vision and mission since the baseline in 2012;
- Strategic plans;

- Business plans;
- Project/ programme planning documents;
- Annual work plan and budgets;
- Operational manuals;
- Organisational and policy documents: finance, human resource development, etc.;
- Monitoring and evaluation strategy and implementation plans;
- Evaluation reports;
- Staff training reports;
- Organisational capacity reports from development consultants.

The CDI team will coded these documents in NVivo (qualitative data analysis software program) against the 5C indicators.

Step 5. ***Prepare and organise the field visit*** *to the SPO – in-country team*

Meanwhile the in-country team prepared and organised the logistics for the field visit to the SPO:

- **General endline workshop** consisted about one day for the self-assessments (about ½ to ¾ of the day) and brainstorm (about 1 to 2 hours) on key organisational capacity changes since the baseline and underlying interventions, factors and actors ('general causal map'), see also explanation below. This was done with the five categories of key staff: managers; project/ programme staff; monitoring and evaluation staff; admin & HRM staff; field staff. Note: for SPOs involved in process tracing an additional 1 to 1½ day workshop (managers; program/project staff; monitoring and evaluation staff) was necessary. See also step 7;
- **Interviews with SPO staff** (roughly one day);
- **Interviews with external respondents** such as partners and organisational development consultants depending on their proximity to the SPO. These interviews coulc be scheduled after the endline workshop and interviews with SPO staff.

General causal map

During the 5C endline process, a 'general causal map' has been developed, based on key organisational capacity changes and underlying causes for these changes, as perceived by the SPO. The general causal map describes cause-effect relationships, and is described both as a visual as well as a narrative.

As much as possible the same people that were involved in the baseline were also involved in the endline workshop and interviews.

Step 6. ***Interview the CFA*** *– CDI team*

The CDI team was responsible for sending the sheets/ formats to the CFA and for doing a follow-up interview on the basis of the information provided so as to clarify or deepen the information provided. This relates to:

- 5C Endline assessment Dutch co-financing organisation;
- 5C Endline support to capacity sheet - CFA perspective.

Step 7. ***Run the endline workshop*** *with the SPO – in-country team*

This included running the endline workshop, including facilitation of the development of the general causal map, self-assessments, interviews and observations. Particularly for those SPOs that were selected for process tracing all the relevant information needed to be analysed prior to the field visit, so as to develop an initial causal map. Please see Step 6 and also the next section on process tracing (evaluation question two).

An endline workshop with the SPO was intended to:

- Explain the purpose of the fieldwork;
- Carry out in the self-assessments by SPO staff subgroups (unless these have already been filled prior to the field visits) - this may take some 3 hours.
- Facilitate a brainstorm on key organisational capacity changes since the baseline in 2012 and underlying interventions, factors and actors.

***Purpose of the fieldwork*:** to collect data that help to provide information on what changes took place in terms of organisational capacity development of the SPO as well as reasons for these changes. The baseline that was carried out in 2012 was to be used as a point of reference.

Brainstorm on key organisational capacity changes and influencing factors: a brainstorm was facilitated on key organisational capacity changes since the baseline in 2012. In order to kick start the discussion, staff were reminded of the key findings related to the historical time line carried out in the baseline (vision, mission, strategies, funding, staff). This was then used to generate a discussion on key changes that happened in the organisation since the baseline (on cards). Then cards were selected that were related to organisational capacity changes, and organised. Then a 'general causal map' was developed, based on these key organisational capacity changes and underlying reasons for change as experienced by the SPO staff. This was documented as a visual and narrative.This general causal map was to get the story of the SPO on what they perceived as key organisational capacity changes in the organisation since the baseline, in addition to the specific details provided per indicator.

***Self-assessments*:** respondents worked in the respective staff function groups: management; programme/ project staff; monitoring and evaluation staff; admin and HRM staff; field staff. Staff were assisted where necessary so that they could really understand what it was they were being asked to do as well as what the descriptions under each indicator meant.

Note: for those SPOs selected for process tracing an additional endline workshop was held to facilitate the development of detailed causal maps for each of the identified organisational change/ outcome areas that fall under the capability to act and commit, and under the capability to adapt and self-renew, and that are likely related to capacity development interventions by the CFA. See also the next section on process tracing (evaluation question two). It was up to the in-country team whether this workshop was held straight after the initial endline workshop or after the workshop and the follow-up interviews. It could also be held as a separate workshop at another time.

Step 8. ***Interview SPO staff*** *– in-country team*

After the endline workshop (developing the general causal map and carrying out self-assessments in subgroups), interviews were held with SPO staff (subgroups) to follow up on the information that was provided in the self-assessment sheets, and to interview staff that had not yet provided any information.

Step 9. ***Fill-in observation sheets*** *– in-country team*

During the visit at the SPO, the in-country team had to fill in two sheets based on their observation:

- 5C Endline observation sheet;
- 5C Endline observable indicators.

Step 10. ***Interview externals*** *– in-country team & CDI team*

The in-country team also needed to interview the partners of the SPO as well as organisational capacity development consultants that have provided support to the SPO. The CDI team interviewed the CFA.

Step 11. ***Upload and auto-code all the formats*** *collected by in-country team and CDI team – CDI team*

The CDI team was responsible for uploading and auto-coding (in Nvivo) of the documents that were collected by the in-country team and by the CDI team.

Step 12. Provide the ***overview of information*** *per 5C indicator to in-country team – CDI team*

After the analysis in NVivo, the CDI team provided a copy of all the information generated per indicator to the in-country team for initial analysis.

Step 13. ***Analyse the data and develop a draft description*** *of the findings per indicator and for the general questions – in-country team*

The in-country team provided a draft description of the findings per indicator, based on the information generated per indicator. The information generated under the general questions were linked to the general causal map or detailed process tracing related causal map.

Step 14. ***Analyse the data and finalize the description*** *of the findings per indicator, per capability and general – CDI team*

The CDI team was responsible for checking the analysis by the in-country team with the Nvivo generated data and to make suggestions for improvement and ask questions for clarification to which the in-country team responded. The CDI team then finalised the analysis and provided final descriptions and scores per indicator and also summarize these per capability and calculated the summary capability scores based on the average of all indicators by capability.

Step 15. ***Analyse the information*** *in the general causal map –in-country team & CDI team*

The general causal map based on key organisational capacity changes as perceived by the SPO staff present at the workshop, was further detailed by in-country team and CDI team, and based on the notes made during the workshop and where necessary additional follow up with the SPO. The visual and narrative was finalized after feedback by the SPO. During analysis of the general causal map relationships with MFS II support for capacity development and other factors and actors were identified. All the information has been reviewed by the SPO and CFA.

Attributing changes in partner organisation's capacity – evaluation question 2

This section describes the data collection and analysis methodology for answering the second evaluation question: ***To what degree are the changes identified in partner capacity attributable to (capacity) development interventions undertaken by the MFS II consortia (i.e. measuring effectiveness)?***

In terms of the attribution question (2), 'process tracing' is used. This is a theory-based approach that has been applied to a selected number of SPOs since it is a very intensive and costly methodology, although it provides rich information and can generate a lot of learning within the organisations. Key organisational capacity changes/ outcomes of the SPO were identified, based on their relationship to the two selected capabilities, the capability to act and commit the capability to adapt and self-renew, and an expected relationship with CFA supported capacity development interventions (MFS II funding). It was agreed to focus on these two capabilities, since these are the most targeted capabilities by the CFAs, as established during the baseline process. The box below provides some background information on process tracing.

Background information on process tracing

The essence of process tracing research is that scholars want to go beyond merely identifying correlations between independent variables (Xs) and outcomes (Ys). Process tracing in social science is commonly defined by its addition to trace causal mechanisms (Bennett, 2008a, 2008b; Checkle, 2008; George & Bennett, 2005). A causal mechanism can be defined as "a complex system which produces an outcome by the interaction of a number of parts" (Glennan, 1996, p. 52). Process tracing involves "attempts to identify the intervening causal process – the causal chain and causal mechanism – between an independent variable (or variables) and the outcome of the dependent variable" (George & Bennett, 2005, pp. 206-207).

Process tracing can be differentiated into three variants within social science: theory testing, theory building, and explaining outcome process tracing (Beach & Pedersen, 2013).

Theory testing process tracing uses a theory from the existing literature and then tests whether evidence shows that each part of hypothesised causal mechanism is present in a given case, enabling within case inferences about whether the mechanism functioned as expected in the case and whether the mechanism as a whole was present. No claims can be made however, about whether the mechanism was the only cause of the outcome.

Theory building process tracing seeks to build generalizable theoretical explanations from empirical evidence, inferring that a more general causal mechanism exists from the fact of a particular case.

Finally, explaining outcome process tracing attempts to craft a minimally sufficient explanation of a puzzling outcome in a specific historical case. Here the aim is not to build or test more general theories but to craft a (minimally) sufficient explanation of the outcome of the case where the ambitions are more case centric than theory oriented.

Explaining outcome process tracing is the most suitable type of process tracing for analysing the causal mechanisms for selected key organisational capacity changes of the SPOs. This type of process tracing can be thought of as a single outcome study defined as seeking the causes of the specific outcome in a single case (Gerring, 2006; in: Beach & Pedersen, 2013). Here the ambition is to craft a minimally sufficient explanation of a particular outcome, with sufficiency defined as an explanation that accounts for all of the important aspects of an outcome with no redundant parts being present (Mackie, 1965).

Explaining outcome process tracing is an iterative research strategy that aims to trace the complex conglomerate of systematic and case specific causal mechanisms that produced the outcome in question. The explanation cannot be detached from the particular case. Explaining outcome process tracing refers to case studies whose primary ambition is to explain particular historical outcomes, although the findings of the case can also speak to other potential cases of the phenomenon. Explaining outcome process tracing is an iterative research process in which 'theories' are tested to see whether they can provide a minimally sufficient explanation of the outcome. Minimal sufficiency is defined as an explanation that accounts for an outcome, with no redundant parts. In most explaining outcome studies, existing theorisation cannot provide a sufficient explanation, resulting in a second stage in which existing theories are re-conceptualised in light of the evidence gathered in the preceding empirical analysis. The conceptualisation phase in explaining outcome process tracing is therefore an iterative research process, with initial mechanisms re-conceptualised and tested until the result is a theorised mechanism that provides a minimally sufficient explanation of the particular outcome.

Below a description is provided of how SPOs are selected for process tracing, and a description is provided on how this process tracing is to be carried out. Note that this description of process tracing provides not only information on the extent to which the changes in organisational development can be attributed to MFS II (evaluation question 2), but also provides information on other contributing factors and actors (evaluation question 4). Furthermore, it must be noted that the evaluation team has developed an adapted form of 'explaining outcome process tracing', since the data collection and analysis was an iterative process of research so as to establish the most realistic explanation for a particular outcome/ organisational capacity change. Below selection of SPOs for process tracing as well as the different steps involved for process tracing in the selected SPOs, are further explained.

Selection of SPOs for 5C process tracing

Process tracing is a very intensive methodology that is very time and resource consuming (for development and analysis of one final detailed causal map, it takes about 1-2 weeks in total, for different members of the evaluation team). It has been agreed upon during the synthesis workshop on 17-18 June 2013 that only a selected number of SPOs will take part in this process tracing for the purpose of understanding the attribution question. The selection of SPOs is based on the following criteria:

- MFS II support to the SPO has not ended before 2014 (since this would leave us with too small a time difference between intervention and outcome);
- Focus is on the 1-2 capabilities that are targeted most by CFAs in a particular country;
- Both the SPO and the CFA are targeting the same capability, and preferably aim for similar outcomes;
- Maximum one SPO per CFA per country will be included in the process tracing.

The intention was to focus on about 30-50% of the SPOs involved. Please see the tables below for a selection of SPOs per country. Per country, a first table shows the extent to which a CFA targets the five capabilities, which is used to select the capabilities to focus on. A second table presents which SPO is selected, and takes into consideration the selection criteria as mentioned above.

ETHIOPIA

For Ethiopia the capabilities that are mostly targeted by CFAs are the capability to act and commit and the capability to adapt and self-renew. See also the table below.

Table 1

The extent to which the Dutch NGO explicitly targets the following capabilities – Ethiopia

Capability to:	AMREF	CARE	ECFA	FSCE	HOA-REC	HUNDEE	NVEA	OSRA	TTCA
Act and commit	5	4	5	5	5	3	4	4	3
Deliver on development objectives	2	1	1	1	2	1	1	2	1
Adapt and self-renew	4	2	3	4	2	5	3	3	3
Relate	3	1	2	2	3	2	1	3	1
Achieve coherence	2	2	1	1	1	1	1	1	1

Note: Number 1 stands for not targeted, 5 for intensively targeted. These scores are relative scores for the interventions by the CFA to strengthen the capacity of the SPO. The scores are relative to each other, a higher score means that this capability gets more attention by the CFA compared to other capabilities.

Source: country baseline report, Ethiopia.

Below you can see the table describing when the contract with the SPO is to be ended, and whether both SPO and the CFA expect to focus on these two selected capabilities (with MFS II funding). Based on the above-mentioned selection criteria the following SPOs are selected for process tracing: AMREF, ECFA, FSCE, HUNDEE. In fact, six SPOs would be suitable for process tracing. We just selected the first one per CFA following the criteria of not including more than one SPO per CFA for process tracing

Table 2

SPOs selected for process tracing – Ethiopia

Ethiopia – SPOs	End of contract	Focus on capability to act and commit– by SPO	Focus on capability to act and commit – by CFA	Focus on capability to adapt and self-renew – by SPO	Focus on capability to adapt and self-renew – by CFA	CFA	Selected for process tracing
AMREF	Dec 2015	Yes	Yes	Yes	Yes	AMREF NL	Yes
CARE	Dec 31, 2015	Partly	Yes	Yes	Yes – slightly	CARE Netherlands	No - not fully matching
ECFA	Jan 2015	Yes	Yes	Yes	Yes	Child Helpline International	Yes
FSCE	Dec 2015	Yes	Yes	Yes	Yes	Stichting Kinderpostzegels Netherlands (SKN); Note: no info from Defence for Children – ECPAT Netherlands	Yes
HOA-REC	Sustainable Energy project (ICCO Alliance): 2014 Innovative WASH (WASH Alliance): Dec 2015	Yes	Yes	Yes	Yes - slightly	ICCO	No - not fully matching
HUNDEE	Dec 2014	Yes	Yes	Yes	Yes	ICCO & IICD	Yes
NVEA	Dec 2015 (both)	Yes	Yes	Yes	Yes	Edukans Foundation (under two consortia); Stichting Kinderpostzegels Netherlands (SKN)	Suitable but SKN already involved for process tracing FSCE
OSRA	C4C Alliance project (farmers marketing): December 2014 ICCO Alliance project (zero grazing: 2014 (2nd phase)	Yes	Yes	Yes	Yes	ICCO & IICD	Suitable but ICCO & IICD already involved for process tracing - HUNDEE
TTCA	June 2015	Partly	Yes	No	Yes	Edukans Foundation	No - not fully matching

INDIA

For India the capability that is mostly targeted by CFAs is the capability to act and commit. The next one in line is the capability to adapt and self-renew. See also the table below in which a higher score means that the specific capability is more intensively targeted.

Table 3

The extent to which the Dutch NGO explicitly targets the following capabilities – India[14]

Capability to:	BVHA	COUNT	DRISTI	FFID	Jana Vikas	Samarthak Samiti	SMILE	SDS	VTRC
Act and commit	5	3	4	4	4	4	4	3	5
Deliver on development objectives	1	5	1	1	1	1	1	2	1
Adapt and self-renew	2	2	1	3	1	1	4	1	4
Relate	3	1	1	1	1	1	2	1	2
Achieve coherence	1	1	1	4	1	1	1	1	2

Note: Number 1 stands for not targeted, 5 for intensively targeted. These scores are relative scores for the interventions by the CFA to strengthen the capacity of the SPO. The scores are relative to each other, a higher score means that this capability gets more attention by the CFA compared to other capabilities.

Source: country baseline report, India.

Below you can see a table describing when the contract with the SPO is to be ended and whether SPO and the CFA both expect to focus on these two selected capabilities (with MFS II funding). Based on the above-mentioned selection criteria the following SPOs are selected for process tracing: BVHA, COUNT, FFID, SMILE and VTRC. Except for SMILE (capability to act and commit only), for the other SPOs the focus for process tracing can be on the capability to act and commit and on the capability to adapt and self-renew.

Table 4

SPOs selected for process tracing – India

India – SPOs	End of contract	Focus on capability to act and commit– by SPO	Focus on capability to act and commit – by CFA	Focus on capability to adapt and self-renew –by SPO	Focus on capability to adapt and self-renew – by CFA	CFA	Selected for process tracing
BVHA	2014	Yes	Yes	Yes	Yes	Simavi	Yes; both capabilities
COUNT	2015	Yes	Yes	Yes	Yes	Woord en Daad	Yes; both capabilities
DRISTI	31-03-2012	Yes	Yes	No	no	Hivos	No - closed in 2012
FFID	30-09-2014	Yes	Yes	Yes	Yes	ICCO	Yes

14 RGVN, NEDSF and Women's Rights Forum (WRF) could not be reached timely during the baseline due to security reasons. WRF could not be reached at all. Therefore these SPOs are not included in Table 1.

India – SPOs	End of contract	Focus on capability to act and commit– by SPO	Focus on capability to act and commit – by CFA	Focus on capability to adapt and self-renew –by SPO	Focus on capability to adapt and self-renew – by CFA	CFA	Selected for process tracing
Jana Vikas	2013	Yes	Yes	Yes	No	Cordaid	No - contract is and the by now; not fully matching focus
NEDSF							No – delayed baseline
RGVN							No - delayed baseline
Samarthak Samiti (SDS)	2013 possibly longer	Yes	Yes	Yes	No	Hivos	No - not certain of end date and not fully matching focus
Shivi Development Society (SDS)	Dec 2013 intention 2014	Yes	Yes	Yes	No	Cordaid	No - not fully matching focus
Smile	2015	Yes	Yes	Yes	Yes	Wilde Ganzen	Yes; first capability only
VTRC	2015	Yes	Yes	Yes	Yes	Stichting Red een Kind	Yes; both capabilities

INDONESIA

For Indonesia the capabilities that are most frequently targeted by CFAs are the capability to act and commit and the capability to adapt and self-renew. See also the table below.

Table 5

The extent to which the Dutch NGO explicitly targets the following capabilities – Indonesia

Capability to:	ASB	Daya kologi	ECPAT	GSS	Lem baga Kita	Pt. PPMA	Rifka Annisa	WIIP	Yad upa	Yayasan Kelola	YPI	YRBI
Act and commit	4	4	4	5	4	4	5	3	3	2	5	4
Deliver on development objectives	1	1	1	2	2	1	2	1	1	1	1	1
Adapt and self-renew	3	1	2	4	2	3	4	4	1	1	4	3
Relate	1	1	2	3	3	2	1	2	2	2	3	2
Achieve coherence	1	1	1	2	1	1	2	2	1	1	2	1

Note: Number 1 stands for not targeted, 5 for intensively targeted. These scores are relative scores for the interventions by the CFA to strengthen the capacity of the SPO. The scores are relative to each other, a higher score means that this capability gets more attention by the CFA compared to other capabilities.

Source: country baseline report, Indonesia.

The table below describes when the contract with the SPO is to be ended and whether both SPO and the CFA expect to focus on these two selected capabilities (MFS II funding). Based on the above-mentioned selection criteria the following SPOs are selected for process tracing: ASB, ECPAT, Pt.PPMA, YPI, YRBI.

Table 6

SPOs selected for process tracing – Indonesia

Indonesia – SPOs	End of contract	Focus on capability to act and commit– by SPO	Focus on capability to act and commit – by CFA	Focus on capability to adapt and self-renew – by SPO	Focus on capability to adapt and self-renew – by CFA	CFA	Selected for process tracing
ASB	February 2012; extension Feb,1, 2013 – June,30, 2016	Yes	Yes	Yes	Yes	Hivos	Yes
Dayakologi	2013; no extension	Yes	Yes	Yes	No	Cordaid	No: contract ended early and not matching enough
ECPAT	August 2013; Extension Dec 2014	Yes	Yes	Yes, a bit	Yes	Free Press Unlimited - Mensen met een Missie	Yes
GSS	31 December 2012; no extension	Yes	Yes	Yes, a bit	Yes	Free Press Unlimited - Mensen met een Missie	No: contract ended early
Lembaga Kita	31 December 2012; no extension	Yes	Yes	No	Yes	Free Press Unlimited - Mensen met een Missie	No - contract ended early
Pt.PPMA	May 2015	Yes	Yes	No	Yes	IUCN	Yes, capability to act and commit only
Rifka Annisa	Dec, 31 2015	No	Yes	No	Yes	Rutgers WPF	No - no match between expectations CFA and SPO
WIIP	Dec 2015	Yes	Not MFS II	Yes	Not MFS II	Red Cross	No - Capacity development interventions are not MFS II financed. Only some overhead is MFS II

Indonesia – SPOs	End of contract	Focus on capability to act and commit– by SPO	Focus on capability to act and commit – by CFA	Focus on capability to adapt and self-renew – by SPO	Focus on capability to adapt and self-renew – by CFA	CFA	Selected for process tracing
Yayasan Kelola	Dec 30, 2013; extension of contract being processed for two years (2014-2015)	Yes	Not really	Yes	Not really	Hivos	No - no specific capacity development interventions planned by Hivos
YPI	Dec 31, 2015	Yes	Yes	Yes	Yes	Rutgers WPF	Yes
YRBI	Oct, 30, 2013; YRBI end of contract from 31st Oct 2013 to 31st Dec 2013. Contract extension proposal is being proposed to MFS II, no decision yet.	Yes	Yes	Yes	Yes	ICCO	Yes
Yadupa	Under negotiation during baseline; new contract 2013 until now	Yes	Nothing committed	Yes	Nothing committed	IUCN	No, since nothing was committed by CFA

LIBERIA

For Liberia the situation is arbitrary which capabilities are targeted most CFA's. Whilst the capability to act and commit is targeted more often than the other capabilities, this is only so for two of the SPOs. The capability to adapt and self-renew and the capability to relate are almost equally targeted for the five SPOs, be it not intensively. Since the capability to act and commit and the capability to adapt and self-renew are the most targeted capabilities in Ethiopia, India and Indonesia, we choose to focus on these two capabilities for Liberia as well. This would help the synthesis team in the further analysis of these capabilities related to process tracing. See also the table below.

Table 7

The extent to which the Dutch NGO explicitly targets the following capabilities – Liberia

Capability to:	BSC	DEN-L	NAWOCOL	REFOUND	RHRAP
Act and commit	5	1	1	1	3
Deliver on development objectives	3	1	1	1	1
Adapt and self-renew	2	2	2	2	2
Relate	1	2	2	2	2
Achieve coherence	1	1	1	1	1

Note: Number 1 stands for not targeted, 5 for intensively targeted. These scores are relative scores for the interventions by the CFA to strengthen the capacity of the SPO. The scores are relative to each other, a higher score means that this capability gets more attention by the CFA compared to other capabilities.

Source: country baseline report, Liberia.

Below you can see the table describing when the contract with the SPO is to be ended, and whether both SPO and the CFA expect to focus on these two selected capabilities (with MFS II funding). Also, for two of the five SPOs capability to act and commit is targeted more intensively compared to the other capabilities. Based on the above-mentioned selection criteria the following SPOs are selected for process tracing: BSC and RHRAP.

Table 8

SPOs selected for process tracing – Liberia

Liberia – SPOs	End of contract	Focus on capability to act and commit– by SPO	Focus on capability to act and commit – by CFA	Focus on capability to adapt and self-renew –by SPO	Focus on capability to adapt and self-renew – by CFA	CFA	Selected for process tracing
BSC	Dec 31, 2015	Yes	Yes	Yes	Yes	SPARK	Yes
DEN-L	2014	No	No	Unknown	A little	ICCO	No – not matching enough
NAWOCOL	2014	Yes	No	No	A little	ICCO	No – not matching enough
REFOUND	At least until 2013 (2015?)	Yes	No	Yes	A little	ICCO	No – not matching enough
RHRAP	At least until 2013 (2014?)	Yes	Yes	Yes	Yes	ICCO	Yes

Key steps in process tracing for the 5C study

In the box below you will find the key steps developed for the 5C process tracing methodology. These steps will be further explained here. Only key staff of the SPO is involved in this process: management; programme/ project staff; and monitoring and evaluation staff, and other staff that could provide information relevant to the identified outcome area/key organisational capacity change. Those SPOs selected for process tracing had a separate endline workshop, in addition to the ' general endline workshop. This workshop was carried out after the initial endline workshop and the interviews during the field visit to the SPO. Where possible, the general and process tracing endline workshop have been held consecutively, but where possible these workshops were held at different points in time, due to the complex design of the process. Below the detailed steps for the purpose of process tracing are further explained.

Key steps in process tracing for the 5C study

1. Identify the planned MFS II supported capacity development interventions within the selected capabilities (capability to act and commit and capability to adapt and self-renew) – CDI team
2. Identify the implemented MFS II supported capacity development interventions within the selected capabilities (capability to act and commit and capability to adapt and self-renew) – CDI team
3. Identify initial changes/ outcome areas in these two capabilities – CDI team & in-country team
4. Construct the detailed, initial causal map (theoretical model of change) – CDI team & in-country team
5. Identify types of evidence needed to verify or discard different causal relationships in the model of change – in-country teams, with support from CDI team
6. Collect data to verify or discard causal mechanisms and construct workshop based, detailed causal map (model of change) – in-country team
7. Assess the quality of data and analyse data and develop final detailed causal map (model of change) – in-country team with CDI team
8. Analyse and conclude on findings– CDI team, in collaboration with in-country team

Some definitions of the terminology used for this MFS II 5c evaluation

Based upon the different interpretations and connotations the use of the term causal mechanism we use the following terminology for the remainder of this paper:

A **detailed causal map** (or **model of change)** = the representation of all possible explanations – causal pathways for a change/ outcome. These pathways are that of the intervention, rival pathways and pathways that combine parts of the intervention pathway with that of others. This also depicts the reciprocity of various events influencing each other and impacting the overall change.

A **causal mechanism** = is the combination of parts that ultimately explains an outcome. Each part of the mechanism is an individually insufficient but necessary factor in a whole mechanism, which together produce the outcome (Beach and Pedersen, 2013, p. 176).

Part or **cause** = one actor with its attributes carrying out activities/ producing outputs that lead to change in other parts. The final part or cause is the change/ outcome.

Attributes of the actor = specificities of the actor that increase his chance to introduce change or not such as its position in its institutional environment.

*Step 1. Identify the **planned MFS II supported capacity development interventions** within the selected capabilities (capability to act and commit and capability to adapt and self-renew) – CDI team*

Chapter 4.1 and 4.2 in the baseline report were reviewed. Capacity development interventions as planned by the CFA for the capability to act and commit and for the capability to adapt and self-renew were described and details inserted in the summary format. This provided an overview of the capacity development activities that were originally planned by the CFA for these two capabilities and assisted in focusing on relevant outcomes that are possibly related to the planned interventions.

*Step 2. Identify the **implemented capacity development interventions** within the selected capabilities (capability to act and commit and capability to adapt and self-renew) – CDI team*

The input from the CFA was reviewed in terms of what capacity development interventions have taken place in the MFS II period. This information was be found in the 'Support to capacity development sheet - endline - CFA perspective' for the SPO, based on details provided by the CFA and further discussed during an interview by the CDI team.

The CFA was asked to describe all the MFS II supported capacity development interventions of the SPO that took place during the period 2011 up to now. The CDI team reviewed this information, not only the interventions but also the observed changes as well as the expected long-term changes, and

then linked these interventions to relevant outcomes in one of the capabilities (capability to act and commit; and capability to adapt and self-renew).

*Step 3. Identify **initial changes/ outcome areas** in these two capabilities – by CDI team & in-country team*

The CDI team was responsible for coding documents received from SPO and CFA in NVivo on the following:

- 5C Indicators: this was to identify the changes that took place between baseline and endline. This information was coded in Nvivo.
- Information related to the capacity development interventions implemented by the CFA (with MFS II funding) (see also Step 2) to strengthen the capacity of the SPO. For example, the training on financial management of the SPO staff could be related to any information on financial management of the SPO. This information was coded in Nvivo.

In addition, the response by the CFA to the changes in 5C indicators format, was auto-coded.

The in-country team was responsible for timely collection of information from the SPO (before the fieldwork starts). This set of information dealt with:

- MFS II supported capacity development interventions during the MFS II period (2011 until now).
- Overview of all trainings provided in relation to a particular outcome areas/organisational capacity change since the baseline.
- For each of the identified MFS II supported trainings, training questionnaires have been developed to assess these trainings in terms of the participants, interests, knowledge and skills gained, behaviour change and changes in the organisation (based on Kirkpatrick's model), one format for training participants and one for their managers. These training questionnaires were sent prior to the field visit.
- Changes expected by SPO on a long-term basis ('Support to capacity development sheet - endline - SPO perspective').

For the selection of change/ outcome areas the following criteria were important:

- The change/ outcome area is in one of the two capabilities selected for process tracing: capability to act and commit or the capability to adapt and self-renew. This was the first criteria to select upon.
- There was a likely link between the key organisational capacity change/ outcome area and the MFS II supported capacity development interventions. This also was an important criteria. This would need to be demonstrated through one or more of the following situations:
  - In the 2012 theory of change on organisational capacity development of the SPO a link was indicated between the outcome area and MFS II support;
  - During the baseline the CFA indicated a link between the planned MFS II support to organisational development and the expected short-term or long-term results in one of the selected capabilities;
  - During the endline the CFA indicated a link between the implemented MFS II capacity development interventions and observed short-term changes and expected long-term changes in the organisational capacity of the SPO in one of the selected capabilities;
  - During the endline the SPO indicated a link between the implemented MFS II capacity development interventions and observed short-term changes and expected long-term changes in the organisational capacity of the SPO in one of the selected capabilities.

Reviewing the information obtained as described in Step 1, 2, and 3 provided the basis for selecting key organisational capacity change/ outcome areas to focus on for process tracing. These areas were to be formulated as broader outcome areas, such as 'improved financial management', 'improved monitoring and evaluation' or 'improved staff competencies'.

Note: the outcome areas were to be formulated as intermediates changes. For example: an improved monitoring and evaluation system, or enhanced knowledge and skills to educate the target group on

climate change. Key outcome areas were also verified - based on document review as well as discussions with the SPO during the endline.

*Step 4. Construct the **detailed, initial causal map** (theoretical model of change) – CDI & in-country team*

A detailed initial causal map was developed by the CDI team, in collaboration with the in-country team. This was based on document review, including information provided by the CFA and SPO on MFS II supported capacity development interventions and their immediate and long-term objectives as well as observed changes. Also, the training questionnaires were reviewed before developing the initial causal map. This detailed initial causal map was to be provided by the CDI team with a visual and related narrative with related references. This initial causal map served as a reference point for further reflection with the SPO during the process tracing endline workshop, where relationships needed to be verified or new relationships established so that the second (workshop-based), detailed causal map could be developed, after which further verification was needed to come up with the final, concluding detailed causal map.

It's important to note that organisational change area/ outcome areas could be both positive and negative.

For each of the selected outcomes the team needed to make explicit the theoretical model of change. This meant finding out about the range of different actors, factors, actions, and events etc. that have contributed to a particular outcome in terms of organisational capacity of the SPO.

A model of change of good quality includes:

- The causal pathways that relate the intervention to the realised change/ outcome;
- Rival explanations for the same change/ outcome;
- Assumptions that clarify relations between different components or parts;
- Case specific and/or context specific factors or risks that might influence the causal pathway, such as for instance the socio-cultural-economic context, or a natural disaster;
- Specific attributes of the actors e.g. CFA and other funders.

A model of change (within the 5C study called a 'detailed causal map') is a complex system which produces intermediate and long-term outcomes by the interaction of other parts. It consists of parts or causes that often consist of one actor with its attributes that is implementing activities leading to change in other parts (Beach & Pedersen, 2013). A helpful way of constructing the model of change is to think in terms of actors carrying out activities that lead to other actors changing their behaviour. The model of change can be explained as a range of activities carried out by different *actors* (including the CFA and SPO under evaluation) that will ultimately lead to an outcome. Besides this, there are also '*structural*' elements, which are to be interpreted as external factors (such as economic conjuncture); and *attributes* of the actor (does the actor have the legitimacy to ask for change or not, what is its position in the sector) that should be looked at (Beach & Pedersen, 2013). In fact Beach and Pedersen, make a fine point about the subjectivity of the actor in a dynamic context. This means, in qualitative methodologies, capturing the changes in the actor, acted upon area or person/organisation, in a non sequential and non temporal format. Things which were done recently could have corrected behavioural outcomes of an organisation and at the same ime there could be processes which incrementally pushed for the same change over a period of time. Beach and Pedersen espouse this methodology because it captures change in a dynamic fashion as against the methodology of logical framework. For the MFS II evaluation it was important to make a distinction between those paths in the model of change that are the result of MFS II and rival pathways.
The construction of the model of change started with the identified key organisational capacity change/ outcome, followed by an inventory of all possible subcomponents that possibly have caused the change/ outcome in the MFS II period (2011-up to now, or since the baseline). The figure below presents an imaginary example of a model of change. The different colours indicate the different types of support to capacity development of the SPO by different actors, thereby indicating different pathways of change, leading to the key changes/ outcomes in terms of capacity development (which in this case indicates the ability to adapt and self-renew).

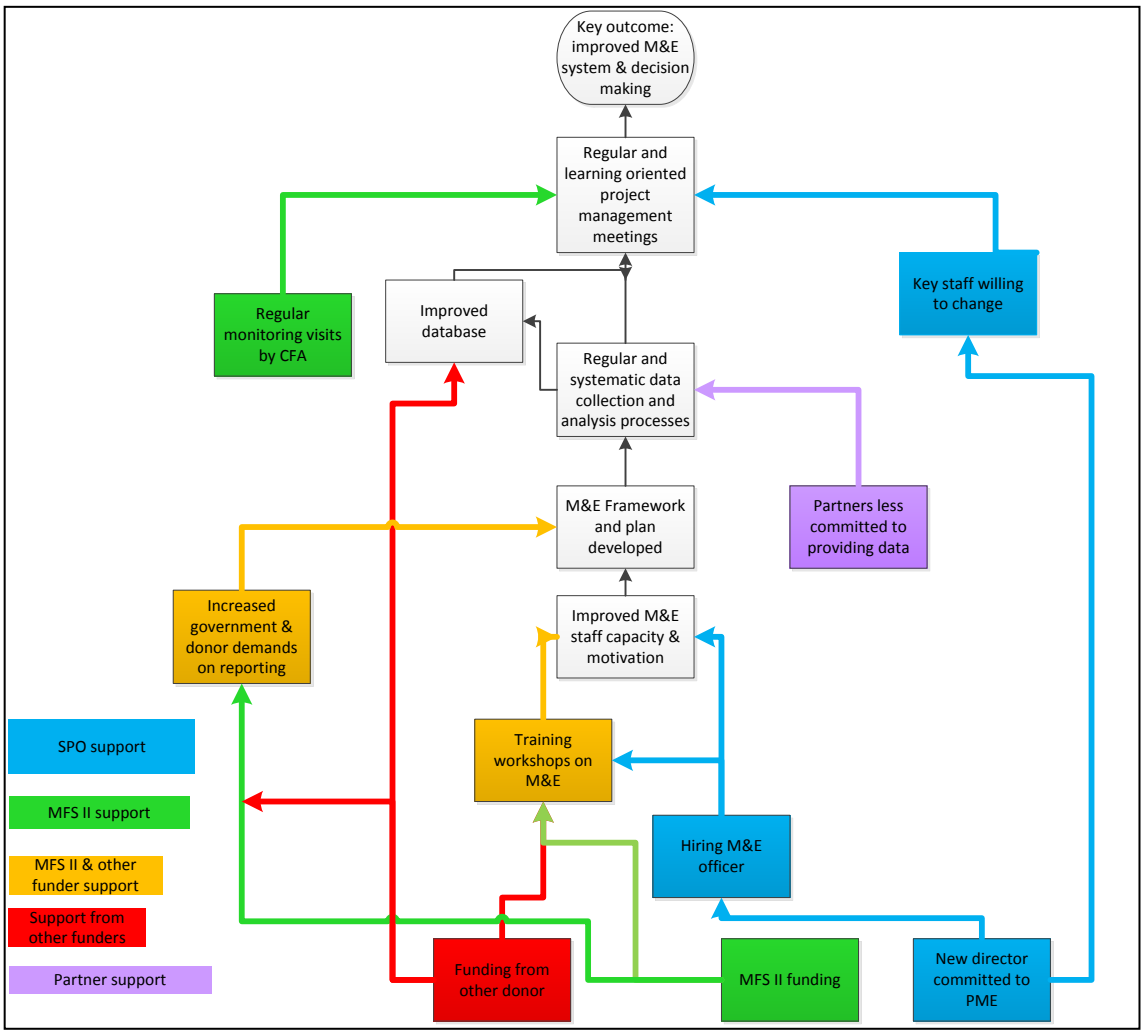


Figure 1 *An imaginary example of a model of change*

Step 5. Identify ***types of evidence*** *needed to verify or discard different causal relationships in the model of change – in-country teams with support from CDI team*

Once the causal mechanism at theoretical level were defined, empirical evidence was collected so as to verify or discard the different parts of this theoretical model of change, confirm or reject whether subcomponents have taken place, and to find evidence that confirm or reject the causal relations between the subcomponents.

A key question that we needed to ask ourselves was, *"What information do we need in order to confirm or reject that one subcomponent leads to another, that X causes Y?"*. The evaluation team needed to agree on what information was needed that provides empirical manifestations for each part of the model of change.

There are four distinguishable types of evidence that are relevant in process tracing analysis: *pattern, sequence, trace, and account*. Please see the box below for descriptions of these types of evidence.

The evaluation team needed to agree on the types of evidence that was needed to verify or discard the manifestation of a particular part of the causal mechanism. Each one or a combination of these different types of evidence could be used to confirm or reject the different parts of the model of change. This is what is meant by robustness of evidence gathering. Since causality as a concept can bend in many ways, our methodology, provides a near scientific model for accepting and rejecting a particular type of evidence, ignoring its face value.

Types of evidence to be used in process tracing

Pattern evidence relates to predictions of statistical patterns in the evidence. For example, in testing a mechanism of racial discrimination in a case dealing with employment, statistical patterns of employment would be relevant for testing this part of the mechanism.

Sequence evidence deals with the temporal and spatial chronology of events predicted by a hypothesised causal mechanism. For example, a test of the hypothesis could involve expectations of the timing of events where we might predict that if the hypothesis is valid, we should see that the event B took place after event A took place. However, if we found that event B took place before event A took place, the test would suggest that our confidence in the validity of this part of the mechanism should be reduced (disconfirmation/ falsification).

Trace evidence is evidence whose mere existence provides proof that a part of a hypothesised mechanism exists. For example, the existence of the minutes of a meeting, if authentic ones, provide strong proof that the meeting took place.

Account evidence deals with the content of empirical material, such as meeting minutes that detail what was discussed or an oral account of what took place in the meeting.

Source: Beach and Pedersen, 2013

Below you can find a table that provides guidelines on what to look for when identifying types of evidence that can confirm or reject causal relationships between different parts/ subcomponents of the model of change. It also provides one example of a part of a causal pathway and what type of information to look for.

Table 9

Format for identifying types of evidence for different causal relationships in the model of change (example included)

Part of the model of change	Key questions	Type of evidence needed	Source of information
Describe relationship between the subcomponents of the model of change	Describe questions you would like to answer a so as to find out whether the components in the relationship took place, when they took place, who was involved, and whether they are related	Describe the information that we need in order to answer these questions. Which type of evidence can we use in order to reject or confirm that subcomponent X causes subcomponent Y? Can we find this information by means of : Pattern evidence; Sequence evidence; Trace evidence; Account evidence?	Describe where you can find this information
Example: Training workshops on M&E provided by MFS II funding and other sources of funding	Example: What type of training workshops on M&E took place? Who was trained? When did the training take place? Who funded the training? Was the funding of training provided before the training took place? How much money was available for the training?	Example: Trace evidence: on types of training delivered, who was trained, when the training took place, budget for the training Sequence evidence on timing of funding and timing of training Content evidence: what the training was about	Example: Training report SPO Progress reports interviews with the CFA and SPO staff Financial reports SPO and CFA

Please note that for practical reasons, the 5C evaluation team decided that it was easier to integrate the specific questions in the narrative of the initial causal map. These questions would need to be addressed by the in country team during the process tracing workshop so as to discover, verify or discard particular causal mechanisms in the detailed, initial causal map. Different types of evidence was asked for in these questions.

Step 6. ***Collect data*** *to verify or discard causal mechanisms and develop workshop-based, detailed causal map – in-country team*

Once it was decided by the in-country and CDI evaluation teams what information was to be collected during the interaction with the SPO, data collection took place. The initial causal maps served as a basis for discussions during the endline workshop with a particular focus on process tracing for the identified organisational capacity changes. But it was considered to be very important to understand from the perspective of the SPO how they understood the identified key organisational capacity change/outcome area has come about. A new detailed, workshop-based causal map was developed that included the information provided by SPO staff as well as based on initial document review as described in the initial detailed causal map. This information was further analysed and verified with other relevant information so as to develop a final causal map, which is described in the next step.

Step 7. ***Assess the quality*** *of data and* ***analyse data****, and develop the* ***final detailed causal map*** *(model of change) – in-country team and CDI team*

Quality assurance of the data collected and the evidence it provides for rejecting or confirming parts of causal explanations are a major concern for many authors specialised in contribution analysis and process-tracing. Stern et al. (2012), Beach and Pedersen (2013), Lemire, Nielsen and Dybdal (2012), Mayne (2012) and Delahais and Toulemonde (2012) all emphasise the need to make attribution/ contribution claims that are based on pieces of evidence that are rigorous, traceable, and credible. These pieces of evidence should be as explicit as possible in proving that *subcomponent X causes subcomponent Y* and ruling out other explanations. Several tools are proposed to check the nature and the quality of data needed. One option is, Delahais and Toulemonde's Evidence Analysis Database, which we have adapted for our purpose.

Delahais and Toulemonde (2012) propose an Evidence Analysis Database that takes into consideration three criteria:

Confirming/ rejecting a causal relation (yes/no);
Type of causal mechanism: intended contribution/ other contribution/ condition leading to intended contribution/ intended condition to other contribution/ feedback loop;
Strength of evidence: strong/ rather strong/ rather weak/ weak.

We have adapted their criteria to our purpose. The in-country team, in collaboration with the CDI team, used the criteria in assessing whether causal relationships in the causal map, were strong enough. This has been more of an iterative process trying to find additional evidence for the established relationships through additional document review or contacting the CFA and SPO as well as getting their feedback on the final detailed causal map that was established. Whilst the form below has not been used exactly in the manner depicted, it has been used indirectly when trying to validate the information in the detailed causal map. After that, the final detailed causal map is established both as a visual as well as a narrative, with related references for the established causal relations.

Example format for the adapted evidence analysis database (example included) **Description of causal relation**	**Confirming/ rejecting a causal relation (yes/no)**	**Type of information providing the background to the confirmation or rejection of the causal relation**	**Strength of evidence: strong/ rather strong/ rather weak/ weak**	**Explanation for why the evidence is (rather) strong or (rather) weak, and therefore the causal relation is confirmed/ rejected**
e.g. Training staff in M&E leads to enhanced M&E knowledge, skills and practice	e.g. Confirmed	e.g. Training reports confirmed that staff are trained in M&E and that knowledge and skills increased as a result of the training		

Step 8. ***Analyse and conclude*** *on findings– in-country team and CDI team*

The final detailed causal map was described as a visual and narrative and this was then analysed in terms of the evaluation question two and evaluation question four: *"To what degree are the changes identified in partner capacity attributable to development interventions undertaken by the MFS II consortia (i.e. measuring effectiveness)?"* and *"What factors explain the findings drawn from the questions above?"* It was analysed to what extent the identified key organisational capacity change can be attributed to MFS II supported capacity development interventions as well as to other related factors, interventions and actors.

Explaining factors – evaluation question 4

This paragraph describes the data collection and analysis methodology for answering the fourth evaluation question: **"What factors explain the findings drawn from the questions above?"**

In order to explain the changes in organisational capacity development between baseline and endline (evaluation question 1) the CDI and in-country evaluation teams needed to review the indicators and how they have changed between baseline and endline and what reasons have been provided for this. This has been explained in the first section of this appendix. It has been difficult to find detailed explanations for changes in each of the separate 5c indicators, but the 'general causal map' has provided some ideas about some of the key underlying factors actors and interventions that influence the key organisational capacity changes, as perceived by the SPO staff.

For those SPOs that are selected for process tracing (evaluation question 2), more in-depth information was procured for the identified key organisational capacity changes and how MFS II supported capacity development interventions as well as other actors, factors and interventions have influenced these changes. This is integrated in the process of process tracing as described in the section above.

Methodological reflection

Below a few methodological reflections are made by the 5C evaluation team.

Use of the 5 core capabilities framework and qualitative approach: this has proven to a be very useful framework to assess organisational capacity. The five core capabilities provide a comprehensive picture of the capacity of an organisation. The capabilities are interlinked, which was also reflected in the description of standard indicators, that have been developed for the purpose of this 5C evaluation

and agreed upon for the eight countries. Using this framework with a mainly qualitative approach has provided rich information for the SPOs and CFAs, and many have indicated this was a useful learning exercise.

Using standard indicators and scores: using standard indicators is useful for comparison purposes. However, the information provided per indicator is very specific to the SPO and therefore makes comparison difficult. Whilst the description of indicators has been useful for the SPO and CFA, it is questionable to what extent indicators can be compared across SPOs since they need to be seen in context, for them to make meaning. In relation to this, one can say that scores that are provided for the indicators, are only relative and cannot show the richness of information as provided in the indicator description. Furthermore, it must be noted that organisations are continuously changing and scores are just a snapshot in time. There cannot be perfect score for this. In hindsight, having rubrics would have been more useful than scores.

General causal map: whilst this general causal map, which is based on key organisational capacity changes and related causes, as perceived by the SPO staff present at the endline workshop, has not been validated with other sources of information except SPO feedback, the 5C evaluation team considers this information important, since it provides the SPO story about how and which changes in the organisation since the baseline, are perceived as being important, and how these changes have come about. This will provide information additional to the information that has been validated when analysing and describing the indicators as well as the information provided through process tracing (selected SPOs). This has proven to be a learning experience for many SPOs.

Using process tracing for dealing with the attribution question: this theory-based and mainly qualitative approach has been chosen to deal with the attribution question, on how the organisational capacity changes in the organisations have come about and what the relationship is with MFS II supported capacity development interventions and other factors. This has proven to be a very useful process, that provided a lot of very rich information. Many SPOs and CFAs have already indicated that they appreciated the richness of information which provided a story about how identified organisational capacity changes have come about. Whilst this process was intensive for SPOs during the process tracing workshops, many appreciated this to be a learning process that provided useful information on how the organisation can further develop itself. For the evaluation team, this has also been an intensive and time-consuming process, but since it provided rich information in a learning process, the effort was worth it, if SPOs and CFAs find this process and findings useful.

A few remarks need to be made:

- Outcome explaining process tracing is used for this purpose, but has been adapted to the situation since the issues being looked at were very complex in nature.
- Difficulty of verifying each and every single change and causal relationship:
- Intensity of the process and problems with recall: often the process tracing workshop was done straight after the general endline workshop that has been done for all the SPOs.In some cases, the process tracing endline workshop has been done at a different point in time, which was better for staff involved in this process, since process tracing asks people to think back about changes and how these changes have come about. The word difficulties with recalling some of these changes and how they have come about. See also the next paragraph.
- Difficulty of assessing changes in knowledge and behaviour: training questionnaire is have been developed, based on Kirkpatrick's model and were specifically tailored to identify not only the interest but also the change in knowledge and skills, behaviour as well as organisational changes as a result of a particular training. The retention ability of individuals, irrespective of their position in the organisation, is often unstable. The 5C evaluation team experienced that it was difficult for people to recall specific trainings, and what they learned from those trainings. Often a change in knowledge, skills and behaviour is a result brought about by a combination of different factors , rather than being traceable to one particular event. The detailed causal maps that have been established, also clearly pointed this. There are many factors at play that make people change their behaviour, and this is not just dependent on training but also internal/personal (motivational) factors as well as factors within the organisation, that stimulate or hinder a person to change behaviour. Understanding how behaviour change works is important when trying to really understand the extent to which behaviour has changed as a result of different factors, actors and interventions. Organisations change because people

change and therefore understanding when and how these individuals change behaviour is crucial. Also attrition and change in key organisational positions can contribute considerably to the outcome.

Utilisation of the evaluation

The 5C evaluation team considers it important to also discuss issues around utility of this evaluation. We want to mention just a few.

Design – mainly externally driven and with a focus on accountability and standard indicators and approaches within a limited time frame, and limited budget: this MFS II evaluation is originally based on a design that has been decided by IOB (the independent evaluation office of the Dutch Ministry of Foreign Affairs) and to some extent MFS II organisations. The evaluators have had no influence on the overall design and sampling for the 5C study. In terms of learning, one may question whether the most useful cases have been selected in this sampling process. The focus was very much on a rigorous evaluation carried out by an independent evaluation team. Indicators had to be streamlined across countries. The 5C team was requested to collaborate with the other 5C country teams (Bangladesh, Congo, Pakistan, Uganda) to streamline the methodological approach across the eight sampled countries. Whilst this may have its purpose in terms of synthesising results, the 5C evaluation team has also experienced the difficulty of tailoring the approach to the specific SPOs. The overall evaluation has been mainly accountability driven and was less focused on enhancing learning for improvement. Furthermore, the timeframe has been very small to compare baseline information (2012) with endline information (2014). Changes in organisational capacity may take a long, particularly if they are related to behaviour change. Furthermore, there has been limited budget to carry out the 5C evaluation. For all the four countries (Ethiopia, India, Indonesia, Liberia) that the Centre for Development Innovation, Wageningen University and Research centre has been involved in, the budget has been overspent.

However, the 5C evaluation team has designed an endline process whereby engagement of staff, e.g. in a workshop process was considered important, not only due to the need to collect data, but also to generate learning in the organisation. Furthermore, having general causal maps and detailed causal maps generated by process tracing have provided rich information that many SPOs and CFAs have already appreciated as useful in terms of the findings as well as a learning process.

Another issue that must be mentioned is that additional requests have been added to the country teams during the process of implementation: developing a country based synthesis; questions on design, implementation, and reaching objectives of MFS II funded capacity development interventions, whilst these questions were not in line with the core evaluation questions for the 5C evaluation.

Complexity and inadequate coordination and communication: many actors, both in the Netherlands, as well as in the eight selected countries, have been involved in this evaluation and their roles and responsibilities, were often unclear. For example, 19 MFS II consortia, the internal reference group, the Ministry of Foreign Affairs, Partos, the Joint Evaluation Trust, NWO-Wotro, the evaluators (Netherlands and in-country), 2 external advisory committees, and the steering committee. Not to mention the SPO's and their related partners and consultants. CDI was involved in 4 countries with a total number of 38 SPOs and related CFAs. This complexity influenced communication and coordination, as well as the extent to which learning could take place. Furthermore, there was a distance between the evaluators and the CFAs, since the approach had to be synchronised across countries, and had to adhere to strict guidelines, which were mainly externally formulated and could not be negotiated or discussed for the purpose of tailoring and learning. Feedback on the final results and report had to be provided mainly in written form. In order to enhance utilisation, a final workshop at the SPO to discuss the findings and think through the use with more people than probably the one who reads the report, would have more impact on organisational learning and development. Furthermore, feedback with the CFAs has also not been institutionalised in the evaluation process in the form of learning events. And as mentioned above, the complexity of the evaluation with many actors involved did not enhance learning and thus utilization.

5C Endline process, and in particular thoroughness of process tracing often appreciated as learning process: The SPO perspective has also brought to light a new experience and technique of self-assessment and self-corrective measures for managers. Most SPOs whether part of process tracing or not, deeply appreciated the thoroughness of the methodology and its ability to capture details with robust connectivity. This is a matter of satisfaction and learning for both evaluators and SPOs. Having a process whereby SPO staff were very much engaged in the process of self-assessment and reflection has proven for many to be a learning experience for many, and therefore have enhanced utility of the 5C evaluation.

Appendix 2 Background information on the five core capabilities framework

The 5 capabilities (5C) framework was to be used as a framework for the evaluation of capacity development of Southern Partner Organisations (SPOs) of the MFS II consortia. The 5C framework is based on a five-year research program on 'Capacity, change and performance' that was carried out by the European Centre for Development Policy Management (ECDPM). The research included an extensive review of the literature and sixteen case studies. The 5C framework has also been applied in an IOB evaluation using 26 case studies in 14 countries, and in the baseline carried out per organisation by the MFS II organisations for the purpose of the monitoring protocol.

The 5C framework is structured to understand and analyse (changes in) the capacity of an organization to deliver (social) value to its constituents. This introduction briefly describes the 5C framework, mainly based on the most recent document on the 5C framework (Keijzer et al., 2011).

The 5C framework sees capacity as an **outcome** of an **open system**. An organisation or collaborative association (for instance a network) is seen as a system interacting with wider society. The most critical practical issue is to ensure that relevant stakeholders share a common way of thinking about capacity and its core constituents or capabilities. Decisive for an organisation's capacity is the context in which the organisation operates. This means that **understanding context issues** is crucial. The use of the 5C framework requires a multi-stakeholder approach because shared values and results orientation are important to facilitate the capacity development process. The 5C framework therefore needs to **accommodate the different visions** of stakeholders and conceive different strategies for raising capacity and improving performance in a given situation.

The 5C framework defines capacity as '**producing social value'** and identifies five core capabilities that together result in that overall capacity. Capacity, capabilities and competences are seen as follows:

Capacity is referred to as the overall ability of an organisation or system to create value for others;

Capabilities are the collective ability of a group or a system to do something either inside or outside the system. The collective ability involved may be technical, logistical, managerial or generative (i.e. the ability to earn legitimacy, to adapt, to create meaning, etc.);

Competencies are the energies, skills and abilities of individuals.

Fundamental to developing capacity are inputs such as human, material and financial resources, technology, and information. To the degree that they are developed and successfully integrated, capabilities contribute to the overall capacity or ability of an organisation or system to create value for others. A single capability is not sufficient to create capacity. All are needed and are strongly interrelated and overlapping. Thus, to achieve its development goals, the 5C framework says that every organisation or system must have **five basic capabilities:**

- The capability to act and commit;
- The capability to deliver on development objectives;
- The capability to adapt and self-renew;
- The capability to relate (to external stakeholders);
- The capability to achieve coherence.
-

In order to have a common framework for evaluation, the five capabilities have been reformulated in outcome domains and for each outcome domain performance indicators have been developed.

There is some overlap between the five core capabilities but together the five capabilities result in a certain level of capacity. Influencing one capability may have an effect on one or more of the other capabilities. In each situation, the level of any of the five capabilities will vary. Each capability can become stronger or weaker over time.

Appendix 3 Changes in organisational capacity of the SPO - 5C indicators

Below you will find a description for each of the indicators under each of the capabilities, what the situation is as assessed during the endline, how this has changed since the baseline and what are the reasons for change.

Capability to act and commit

1.1.Responsive leadership: 'Leadership is responsive, inspiring, and sensitive'

This is about leadership within the organisation (operational, strategic). If there is a larger body then you may also want to refer to leadership at a higher level but not located at the local organisation.

The Executive Director continues to be responsive, democratic, and strategic .The second line leadership is gradually emerging and staff at the programme coordinator level is taking up more responsibility and ownership of projects. Second line leadership also represents the organisation in donor meetings and trainings. In fact the director entrusted the entire workshop process in the hands of second line leadership and allowed them to interact freely with the evaluators.

Senior management has defined and divided the responsibilities in a good manner. The chairman transforms the vision into plans, the director is able to motivate the staff and the CARE Network coordinator ensures the implementation of the programmes. Further, the evaluators observed that senior management has attained a level of maturity where they have become more democratic in their approach towards other staff including field level staff. This has resulted in the field staff to be quite articulate and active. Staff now have better access to the leaders to help them fine-tune the weekly and monthly plans.

Score baseline: 3.0

Score endline: 3.5 (slight improvement)

1.2.Strategic guidance: 'Leaders provide appropriate strategic guidance (strategic leader and operational leader)'

This is about the extent to which the leader(s) provide strategic directions

The leader continues to give strategic guidance but with better coordination between the chairman, director and the CARE Network coordinator. There is further improvement in terms of the operationalization of the strategic plan through dissemination of the strategic plan down to the field worker level. The director meets project heads at regular intervals to review the progress of the programmes in terms of their objectives. The programme coordinators meet the project staff for reporting and planning. The management has developed a results based measurement framework for the tracking of programmes which makes it easier for the leader to provide strategic guidance.

The leader provides opportunities for second line leaders to participate actively in international and alliance level meetings. The CARE Network coordinator is sent to strategic meetings that concern VTRC's sustainability and continuity as they are seeking alternate sources of funding to support the needs of the organisation.

Score baseline: 2.5

Score endline: 3.5 (improvement)

1.3.Staff turnover: 'Staff turnover is relatively low'

This is about staff turnover.

There has been no change in this indicator. While there continues to be no turnover at the head office level (management and coordinator level) there is a higher turnover, around 40-50%, at the field level (tuition teachers, animators and change agents). The field level staff leave for better opportunities (getting government jobs) or for personal reasons (getting married or family migration). Despite this, the organisation continues to encourage the field level staff to undergo capacity development trainings to improve their future prospects and competency with the aim that the ethics of the organisation spread to wherever they go. To ensure that all field level staff have the competencies to do their work, intermediate training sessions are organised when new staff join the organisation. The organisation has taken steps to ensure that in the event of tuition teachers leaving the Edugate programme, there is a backup list of teachers they can contact to join the organisation on short notice.

Score baseline: 3.0

Score endline: 3.0 (no change)

1.4.Organisational structure: 'Existence of clear organisational structure reflecting the objectives of the organisation'

Observable indicator: Staff have copy of org structure and understand this

During baseline it was observed that the organisation didn't have a clear organizational structure. Over the last two years VTRC has constituted its organizational structure and the roles and responsibilities are very clear to the staff down to the field level. The chairman is the reporting head for both the Edugate and CARE Network programme, while there is a director and a coordinator for CARE Network and the Edugate programme. There are cluster supervisors under each project coordinator who in turn are assisted by animators, change agents and tuition teachers. Further there is a HR/administration head for each programme. The Organisational Development consultant continues to provide M&E support to the organisation. Earlier the focus was more towards education but now VTRC works on both education and health. There are clear job descriptions and responsibilities for the staff in a written form. The Human Resource handbook for the employees is available which gives details of the administrative structure.

Score baseline: 1.0

Score endline: 3.0 (considerable improvement)

1.5.Articulated strategies: 'Strategies are articulated and based on good situation analysis and adequate M&E'

Observable indicator: strategies are well articulated. Situation analysis and monitoring and evaluation are used to inform strategies.

VTRC continues to have well-articulated strategies for both the CARE Network and the Edugate programme which are developed on the basis of proper situational/contextual analysis and M&E to identify and address issues.

Some examples of how VTRC has re-articulated its strategies based on situational analysis and M&E findings are described below.

- This year VTRC has identified, articulated and adapted new strategies and approach for its CARE Network programme for better achievement of its objectives. Earlier the strategy was to provide services to the target population whereas the new strategy is to help the target population access government schemes and services by linking them with officials of the line departments. Basically it means making the health care delivery system on sexual reproductive health and HIV accessible and available through a process of cooperation, strengthening and lobbying with the state health systems. Based on the current context and lessons learned from outcome studies conducted during September 2013, the following strategy changes were made in the CARE Network project:

- The target group (beneficiaries) is changed to 13 -30yrs from 15 to 45 years of age, in order to have a smaller, feasible target population to show tangible results.
- Instead of merely focusing on antenatal and postnatal care in training and mentoring for interest groups and change agents, it is decided to give more focus on attitude, social influence and self-efficacy to increase the intention of behaviour change towards sexual wellbeing.
- Instead of empowering only women, it is decided to motivate men to function as active partners in restoring family, societal roles and responsibilities.
- Included lobby and advocacy in the area of child protection in line with alliance L&A plan.
- In its Edugate programme VTRC also articulated its strategies based on the context analysis.
- They noticed a higher dropout rate among children from HIV affected and migrant labourer families, as they do not receive the parental support needed for completing their classwork and are often needed to generate sufficient income. This led to VTRC integrating the Edugate and CARE Network programme for better achievement and sustainability of both programmes.
- Dropouts rates were also higher under physically and mentally challenged children. In the plan for 2013 in addition to external mainstreaming of disability, internal mainstreaming of disability among staff was included.
- Based on a stakeholders meeting at the project office to elicit views to fine-tune the annual plan of 2014 with parents of tuition children and tuition teachers, a summer camp was included in the annual plan and budget for 2014.

Score baseline: 3.0

Score endline: 3.0 (no change)

1.6.Daily operations: 'Day-to-day operations are in line with strategic plans'

This is about the extent to which day-to-day operations are aligned with strategic plans.

The day-to-day operations continue to be in line with the strategic plans. The ability of the staff to plan and execute those plans on a day to day basis has improved. The annual planning process starts in the month of September and the field coordinators represent the field staff in the planning process. The leader of VTRC has initiated this more participatory planning process in which due emphasis is given to the inputs of the field staff. Monthly meetings are held with the staff and their inputs are sought for the planning process. The monthly meetings are held in 6 clusters. The change agents and tuition teachers (the field staff) get feedback from the communities and meet on a weekly basis to review and make plans. The review findings and weekly planning are then reviewed and discussed with the programme managers and cluster supervisors. The improvement in the review and planning system helped in the improvement of the day-to-day operation of the programme. According to the CFA, there is however, still a minor gap between what is planned and what is understood by programme staff to be implemented. Sharing and learning at Health Bridge Alliance and MFS II capacity building trainings further contributed in VTRC's skills in strategic and operational planning for better sustainability.

Score baseline: 3.0

Score endline: 3.5 (slight improvement)

1.7.Staff skills: 'Staff have necessary skills to do their work'

This is about whether staff have the skills necessary to do their work and what skills they might they need.

Over the last two years the skills of staff have significantly improved through trainings and exposure visits. They improved their skill and knowledge in Planning, Monitoring, Evaluation and Learning (PMEL), Sexual and Reproductive Health (SRH), HIV/AIDS, community health education (CHE), rights based approach, behavioural change communication, and theory of change. Staff skills also improved in focussed data collection, data analysis, report writing, case study writing and use of technology. VTRC is planning to change from logframe to theory of change framework for planning the annual strategy.

The senior management underwent training in financial management, vision casting, advanced PMEL and related training. In turn they train the junior/field level staff. The CFA has indicated that the field staff in general has improved in their confidence to deliver the outputs. Also the evaluators observed that the field staff has improved their communication skills. Though some field level staff could not speak English they expressed their views confidently in their local language. During baseline the field staff needed continuous handholding but now they act independently based on the monthly work plan. Further their confidence helped the staff to do lobby at the block and district level.

During the baseline a gap in the capacity of teachers and computer skills was flagged. Over the last two years tuition teachers in the Edugate programme have improved their skills in: innovative use of technology in creating tools and enhancing student's capabilities (e.g. collecting information, downloading teaching methodologies, using SMS and e-mail), making lesson plans, teaching students, counselling parents, organising classes in multi-class and multi-level settings, child psychology and in monitoring and evaluating the performance of children.

In the CARE Network programme, staff gained adequate knowledge on SRH and HIV/AIDS over the last two years. This helped them to clearly communicate to the target audience and disseminate information on health issues, government schemes and entitlements through SHGs in the community. Staff have also improved in lobbying in the PHCs. Skills improved because of trainings funded by MFS II and were further facilitated by the government providing laptops, cheap internet facilities and better communication with the PHCs staff.

Score baseline: 3.0

Score endline: 3.5 (slight improvement).

1.8.Training opportunities: 'Appropriate training opportunities are offered to staff'

This is about whether staff at the SPO are offered appropriate training opportunities

VTRC staff continue to undergo various trainings and exposure visits both at national and international level which contributed in their capacity building as well as of the organisation. The organisation continues to do a needs assessment of the staff to give appropriate trainings. During the last two years the following training opportunities were offered to the staff:

- Workshop on Participatory Integrated Child Development (PICD) workshop was organised on April 2012 in Bangladesh by REK and Woord en Daad. The aim was to train staff on the need to go from institution based (e.g. orphanage) development to child centred development. It is a diagnostic tool to enter the community and to do this in a participatory way. This resulted in the ability to adapt new strategies for participatory approaches in the community during interactions and programs.
- Theory of Change workshop for CARE network was organised in April 2012 in Dhaka, Bangladesh by ICCO. Its aim was to help the partners gain a deeper understanding of Theory of Change and its practice, programmatic approach inputs, civil society strengthening, institutional change, rights based approach & gender, initiate and measure behaviour change, Programmatic Approach, Co-responsibility and Decentralisation (ProCoDe) agenda etc. It helped VTRC to develop a draft Theory of Change for the Health Brigade Alliance, to incorporate a rights based approach in their programmes, and it also helped specifically in measuring outcomes concerning behavioural change. Further it empowered the staff to converge the Edugate and the CARE Network programme by taking up health related issues in the tuition centres for better implementation and achievement of the programmes. Programmatic approach helped VTRC along with other HBA alliance partners to find out common problematic area. Though all partners do different things, work at various levels but use their own strengths for the common purpose, as well as share some activities and participate in the linking and learning process. This improves the visibility of their work at country and international level and further help in joint approach for funding.
- Trainings on developing lesson plans, teaching methodology and quality education training were organised by VTRC for its tuition teachers and supervisors in 2012 with the support from MFS II. It aimed to help them develop lesson plans and apply different innovative methods in teaching. It resulted in teachers being able to provide appropriate and useful information through innovative teaching and creating a resource hub for accessing information when needed.

- Behaviour Change Communication workshop was organised in September 2012 in Hyderabad by Health Bridge Alliance – India (ICCO – PRISMA Alliance). It was aimed at reviewing the Bangladesh meeting on Behaviour change and preparing a Behaviour change framework in the context of SRH and HIV/AIDS for Indian alliance partners. This helped the alliance partners to fine-tune the indicators to measure behaviour change.
- Advanced PMEL training program was organised in Nepal by REK and the Woord en Daad alliance from 11 till 17 September 2013. The objective of the training was to train in PME skills, data analysis skills, Theory of Change as basis for a good M&E system, research design, using excel for quantitative data analysis and preparation of case studies. It resulted in having more insight on PMEL, developing smart indicators and better report writing.
- Trainings on lesson plans and child psychology for tuition teachers and staff in May 2013 were organised by VTRC. The faculty of Peniel College of Education was involved to impart on the teaching methodology suited to the tuition centres, child psychology, handling children with multi grade and multilevel situations, preparation and implementation of lesson plan, conducting academic assessment and evaluation etc.
- Training on SRH and prevention of HIV was organised by VTRC for the animators and staff on April 25-26, 2013 at the Bethel Community Development Project, Thoppur. The objective of the training was to improve the knowledge, attitude and presence of the field staff on promotion of SRH and effective HIV prevention.
- In 2012 and 2013 trainings were given on disability for Edugate staff. Staff awareness increased on disability in order to empower the community to access relevant government schemes and services.
- Mr. Yenco from Malaysia conducted 4days capacity building programs on personality and Christian perspective of development in 2013.
- Mr. Garden Brown from USA facilitated a 5 day training programs on Community Health Education (CHE) for project staff of VTRC in 2013.

Score baseline: 3.0

Score endline: 3.0 (no change)

1.9.1.Incentives: 'Appropriate incentives are in place to sustain staff motivation'

This is about what makes people want to work here. Incentives could be financial, freedom at work, training opportunities, etc.

In the last two years there has been no major change in this indicator. The biggest strength of VTRC is that they have a motivated team of people who want to serve their communities and work for their wellbeing. The people are honest and committed. The staff belongs to the target communities and though the salary is not very attractive, they get great satisfaction in serving and empowering their community. Staff undergo continuous training and exposure visits and gain rich experience from organising community development programmes. This also motivates staff to undertake and assume challenging responsibilities.

Score baseline: 3.0

Score endline: 3.0 (no change)

1.9.2.Funding sources: 'Funding from multiple sources covering different time periods'

This is about how diversified the SPOs funding sources are over time, and how the level of funding is changing over time.

While currently VTRC continues to rely mainly on funding from Red een Kind (Dutch funder), the MFS II funding ending in 2015 and changes in the overall donor environment have triggered VTRC to nurture new funding opportunities:
- TEAR Australia has been supporting VTRC's projects up to June 2014.
- The leader has tried to associate with like-minded organisations both at national and international level to leverage new funders. Grant applications through various alliances have been prepared and submitted to access EU funding, because of the director's network and enterprising attitude.

- VTRC has linked up its target groups to access government schemes and provisions for better sustainability of its CARE Network programme.
- In the last two years VTRC has strengthened convergence with Health Bridge Alliance (HBA) to explore new areas of funding opportunities and write proposals together to approach new funders. All partners within the alliance work with the Programmatic Approach, Co-responsibility and Decentralisation (ProCoDe) agenda, which they were trained in by ICCO in April 2012. This agenda stands for promotion of cooperation between actors in the global south, designing programmes closer to the context through regional offices, looking at the thematic knowledge of each partner to define their niche and approaching new donors. For example, in the last two years VTRC along with other HBA members initiated a joint proposal for a SRH programme to USAID which is in the pipeline. After 2015 the focus of the HBA will be: strategic programme development, knowledge and skills sharing and resource mobilization.

Score baseline: 1.5

Score endline: 1.75 (very slight improvement)

1.9.3.Funding procedures: 'Clear procedures for exploring new funding opportunities'

This is about whether there are clear procedures for getting new funding and staff are aware of these procedures.

Over the last two years there has been a slight improvement in the funding procedures. One of the main procedures to reach out to the new funders is ProCoDe agenda (as mentioned above) through the HBA alliance which they were trained in by ICCO and its Dutch partners. New funding opportunities are explored and a new proposal on SRH was developed as a co-applicant in the HBA and sent to USAID. Other opportunities are also being explored in health related aspects. VTRC staff have improved their capacity for developing proposals and doing necessary documentation work for raising funds. A training in proposal writing helped in this. The Advanced Planning, Monitoring, Evaluation and Learning (APMEL) training in Nepal in September 2013 aimed at training the participants to create a concrete and coherent system for results based measurement, to write thought provoking and effective reports and case studies and to improve qualitative and quantitative data collection. This might have also helped in visibility and better showcasing of VTRC's work for fundraising.

Score baseline: 1.0

Score endline: 2.0 (improvement)

Summary of capability to act and commit

The Executive Director continues to be responsive, democratic, and strategic .The second line leadership is gradually emerging as staff at the programme coordinator level is taking up more responsibility and ownership of projects. Senior management has defined and divided the responsibilities in a good manner and have become more democratic in their approach towards other staff including field level staff. The leader continues to give strategic guidance but with better coordination between the chairman, director and the Care Network coordinator. The operationalization of the strategic plans improved through their dissemination down to the field worker level. While there continues to be no turnover at the head office level, there is a higher turnover at the field level, where staff leave for better opportunities or for personal reasons. Despite this, the organisation continues to encourage the field level staff to go to trainings to improve their future prospects and competency. In case of tuition teachers leaving the Edugate programme, VTRC has a backup list of teachers that can step in on short notice. There was considerable improvement in the organisational structure, which has now been constituted. Roles and responsibilities in written form are clear to all staff and the Human Resource handbook that is available to staff gives details of this administrative structure. VTRC continues to have well-articulated strategies for both the CARE Network and the Edugate programme which are developed on the basis of proper situational/contextual analysis. The day-to-day operations continue to be in line with the strategic plans. Staff are now better able to execute the plans as they

are more involved in the planning process. According to the CFA there remains to be a minor gap in what is planned and what is understood by programme staff. Compared to the baseline, staff skills in communicating, computer skills, lobbying and in teaching increased. VTRC staff continue to have access to various trainings both at national and international level after needs assessment of the staff to send them to appropriate trainings. Some of the MFS II funded trainings in the last two years include: Advanced Planning, Monitoring, Evaluation and Learning training, Behaviours Change Communication training, Theory of Change training and a Participatory Integrated Community Development training. Within its Edugate and CARE Network programmes VTRC also organised trainings for its field staff to increase their awareness on e.g. disability and HIV/AIDS. In the last two years the biggest strength of VTRC remains their motivated team that wants to serve their communities and work for their wellbeing, though the salary is not very attractive. Staff undergo continuous training which also motivates staff to assume challenging responsibilities. External factors, like transport costs, continue to have an effect on staff turnover. While currently VTRC continues to rely mainly on funding from Red een Kind (Dutch funder), the MFS II funding ending in 2015 has triggered them to have a more clear funding strategy to look into new funding opportunities. This is done through further collaboration with the Health Bridge Alliance, the director's network to access EU funding and until June 2014 VTRC has received support from TEAR Australia. VTRC has improved its funding procedures: proposal writing capacity has improved and a proposal was sent to USAID together with the HBA. The Advanced Planning, Monitoring, Evaluation and Learning (APMEL) training in Nepal in September 2013 might have helped in better showcasing their work through improved data collection, report and case study writing skills.

Score baseline: 2.5

Score endline: 3.0 (slight improvement)

Capability to adapt and self-renew

2.1.M&E application: 'M&E is effectively applied to assess activities, outputs and outcomes'

This is about what the monitoring and evaluation of the SPO looks at, what type of information they get at and at what level (individual, project, organisational).

There is improvement in this indicator. While VTRC continues to review the progress of the programmes on a weekly, monthly, quarterly and annual basis, now indicators are set for activities, outputs and outcomes to monitor and evaluate the programme. In the last two years new formats and a methodology have been incorporated into the existing M&E system as a result of APMEL workshop. New methods and approaches are adopted to have effective review and monitoring. A participatory approach has been adopted where there is a bottom up approach for better monitoring and evaluation of the program. The community is directly involved in the process by giving feedback and input on the tuition centres and the health programme in the monthly meetings. The tuition teachers, change agents and supervisors meet weekly to review and monitor the programme. The reports are then reviewed and monitored by the supervisors and programme managers on a monthly basis. Every month a general staff meeting is organised to monitor the programmes and review the reports where the director also participates. The project coordinator monitors the budget and the planned cash flow as per the plan of action. He reports any deviation in the plan of action to the project manager who is consulted in a review meeting to take necessary actions.

In the last two years the organisation started using the Organisation-scan (O-scan). This facilitated the organization to find gaps particularly in the CARE Network programme and use it for better planning as a process of organizational development. Peer review and results framework system was also used to review the programme. The review was carried out at different levels: the change agents and the cluster supervisors meet on a weekly basis to review the reports and plan accordingly. Then the programme manager and the cluster supervisors meet on a monthly basis to further discuss and plan on the basis of the weekly findings. Performance monitoring plan tool is used particularly in the Edugate programme through a participatory approach to monitor and evaluate the programme. In this tool appropriate indicators are set to assess the enrolment and daily attendance of the students and their progress/performance in the school which further helps in assessing the performance of the teachers. The reports are reviewed on a weekly basis by the tuition teachers and supervisors, weekly

reports are then reviewed by the supervisors and coordinators on a monthly basis, monthly reports are then reviewed on a quarterly and half yearly basis by the coordinator and project manager. On the basis of the outcome of the review meetings actions are taken/planned for better management and implementation of the programme to improve the efficiency of the work.

During baseline the monitoring system was present in theory but not in practice. This has improved over the last two years. The endline evaluation team observed that the monitoring and evaluation system is well practiced through a bottom up approach. Collecting of data is now happening systematically and data is mainly used for reporting and operational and strategic decision making.

Score baseline: 3.5

Score endline: 4.25 (improvement)

2.2.M&E competencies: 'Individual competencies for performing M&E functions are in place'

This is about whether the SPO has a trained M&E person; whether other staff have basic understanding of M&E; and whether they know what information to collect, how to process the information, how to make use of the information so as to improve activities etc.

VTRC continues to depend on the OD consultant to assist in the M&E. However, since the baseline in 2012 the staff has improved their knowledge and analytical skill in monitoring, quality and structured data collection and analysis, gap identification. Staff are aware of what data is needed to be collected from the field for further planning and addressing the gaps. Specific formats are in place to capture data. The staff are trained to use the monitoring formats. The programme coordinators for Edugate and the CARE Network improved their competency in M&E and report writing through various capacity building trainings organised by the Red een Kind and continuous feedback from HACI (Red een Kind's country partner who supports VTRC in monitoring and evaluating). Further the field level staff also improved their competency in M&E as the skill and knowledge is transferred through various in-house trainings. This is evident as input from the field staff has been used for fine-tuning the M&E formats.
Score baseline: 2.5

Score endline: 3.0 (slight improvement)

2.3.M&E for future strategies: 'M&E is effectively applied to assess the effects of delivered products and services (outcomes) for future strategies'

This is about what type of information is used by the SPO to make decisions; whether the information comes from the monitoring and evaluation; and whether M&E info influences strategic planning.

There is slight improvement in this indicator. The organisation continues to receive feedback and support from Help a Child India (MFS II organisation) and an OD consultant for strategic planning. In the last two years staff have improved their skills in analysing data and incorporating it in the future strategic planning. For example, the findings, learning and suggestions of an outcome study in 2013 were analysed and incorporated in the annual activities plan for 2014. This is also evident in the strategic change in the CARE Network programme. After proper situational analysis the management made strategic changes for the target group, in their approach and organizational set up for better implementation and sustainability of the programme. Data collection is happening more systematically and data is used for reporting and operational and strategic decision making.

Score baseline: 3.0

Score endline: 3.5 (slight improvement)

2.4.Critical reflection: 'Management stimulates frequent critical reflection meetings that also deal with learning from mistakes'

This is about whether staff talk formally about what is happening in their programs; and, if so, how regular these meetings are; and whether staff are comfortable raising issues that are problematic.

VTRC continues to have weekly, monthly, quarterly and annual meetings to review the programmes to find gaps and take measures to address them. A general meeting has been organised every month since the baseline for all the staff and the chairman. This provides a platform for all the staff to participate in the reflection process. Staff are comfortable to raise problematic issues and can talk about the happenings in their programmes during these meetings. Since the baseline more field staff are engaged in regular reflection. Change agents meet their supervisors weekly and tuition teachers monthly. They also communicate with each other by phone. Through adopting a new participatory approach even the community members are finding gaps in the programmes and giving inputs in the meetings organized with them in the tuition centre. There are proper minutes of the meetings which are further used for strategic planning.

Score baseline: 2.5

Score endline: 3.5 (improvement)

2.5. Freedom for ideas: 'Staff feel free to come up with ideas for implementation of objectives

This is about whether staff feel that ideas they bring for implementation of the program are welcomed and used.

VTRC continues to plan in a participatory way and staff is free to come up with ideas. The evaluators observed during the endline workshop that the second line leaders were quite active and gave space to other staff in sharing their ideas and views. The field staff was much more confident since the baseline while sharing their views in the workshop and had clear understanding of what they wanted to achieve. The field staff gives inputs for fine-tuning the formats.

Score baseline: 3.0

Score endline: 4.0 (improvement)

2.6.System for tracking environment: 'The organisation has a system for being in touch with general trends and developments in its operating environment'

This is about whether the SPO knows what is happening in its environment and whether it will affect the organization.

VTRC still has a system of tracking the environment they are operating in. VTRC has a system for keeping itself up to date on the changing local, national and global context and developments through sharing, learning and linking itself with like-minded NGOs, the HBA and exposure visits at local and international level. Since the baseline, VTRC improved in that they now work more closely with government line departments for updated information in new schemes and policies available for the community. For instance, following the information of the Government's Secretary of Education, VTRC found out that the government has the obligation to provide two basic drinking water facilities and a toilet in all schools. Another example comes from the CARE Network programme. VTRC found that rapid urbanisation and sudden economic developments led to job craving which further led to migration of male population to job enticing areas in a large number. This has put people in a vulnerable situation causing a threat to the sexual wellbeing of the community as most of them got infected with HIV/AIDS. In relation to this VTRC has changed its strategy to address sexual reproductive health by making health care delivery system in SRH and HIV accessible and available through a process of cooperation, strengthening and lobbying with the state health systems. In the Edugate programme VTRC initiated an industrial training centre for the drop out students of the target community following the information, that VTRC gathered through a baseline survey for this programme while visiting the villages and schools, that poverty is one of the reasons for dropout and that people from the target communities have experience and skill but without certificate and formal technical degree they are debarred from opportunities.

Score baseline: 3.0

Score endline: 3.5 (slight improvement)

2.7.Stakeholder responsiveness: 'The organisation is open and responsive to their stakeholders and the general public'

This is about what mechanisms the SPO has to get input from its stakeholders, and what they do with that input.

VTRC continues to be open and responsive to engage stakeholders in its planning process while the last two year they have strengthened their engagement with external stakeholders. For example, a stakeholders meet was organised on July 2013 at the project office with the tuition students' parents to elicit their views to fine tune the annual plan of 2014. They wanted a summer camp for children to be included in the annual plan and budget of 2014 and this was incorporated. Field staff get feedback from parents through monthly parent-teacher-meetings at the tuition teachers and house visits. Relationships with PHCs, schools, ICDSs, Panchayaths, SHGs and the child welfare committee have improved for receiving their input. Various consultation meetings of stakeholders on various lobby issues with regard to health care were held in 2014 at different clusters. In the Health Bridge Alliance the partners meet once or twice a year to share and discuss health related issues and together develop strategies to address the issues and also develops proposals together to approach new donors.

Score baseline: 2.5

Score endline: 3.0 (slight improvement).

Summary of capability to adapt and self-renew

VTRC continues to review the progress of the programmes on a weekly, monthly, quarterly and annual basis. Indicators are set for activities, outputs and outcomes. New formats and a more participatory approach have been incorporated into the existing M&E system as a result of APMEL workshop. The organisation started using the Organisation-scan (O-scan) to assess and monitor the programme over time. The project coordinators are able to find and address the gaps emerging from the review. The monitoring and evaluation system is now well practiced through a bottom up approach, collecting of data is now happening systematically and is used for reporting, operational and strategic decision making. Staff competencies in M&E have improved through training of the programme coordinators who in turn trained the field staff. Field staff are now providing input for fine-tuning of M&E formats. The organisation continues, however, to depend on the OD consultant to assist in M&E. While data collection is happening more systematically data is mainly used for reporting and operational decision making, not yet for strategic decision making. VTRC is using findings from M&E in its annual plans: e.g. findings from a outcome study in 2013 were used to adapt the annual plan for 2014. VTRC continues to have weekly, monthly, quarterly and annual meetings to review their programmes. Staff feel comfortable to raise problematic issues in their programmes during these meetings. Since the baseline more field staff are engaged in these processes. VTRC continues to plan in a participatory way and staff is free to come up with ideas. During the endline workshop second line leaders were quite active and gave space to other staff in sharing their views. The field staff was much more confident and had a clear understanding of what they want to achieve. VTRC still has a system for keeping itself up to date on the changing local, national and global context and developments through sharing, learning and linking itself with like-minded NGOs, the HBA and exposure visits at local and international level. Since the baseline, VTRC improved in tracking government policies and schemes available for the community. VTRC continues to be open and responsive to engage stakeholders in its planning process and in the last two year they have strengthened their engagement with external stakeholders. For example, VTRC receives input from parents, PHCs, schools, ICDSs, Panchayaths, SHGs, the child welfare committee and HBA partners.

Score baseline: 2.9

Score endline: 3.5 (slight improvement)

Capability to deliver on development objectives

3.1.Clear operational plans: 'Organisation has clear operational plans for carrying out projects which all staff fully understand'

This is about whether each project has an operational work plan and budget, and whether staff use it in their day-to-day operations.

VTRC continues to have day-to-day operational plans and budgets for each project which the staff fully understand as they are part of the planning process. Projects have detailed work plans for the year. The activity and budget plan are briefed to the project staff and are further broken down to quarterly basis. The monthly planning and review are also done based on the approved budget and planned activities. Reports are generated on a monthly basis internally and on a quarterly basis to the donor. During the above process, all categories of staff are involved at different levels and it is an insurance that all are aware of the information. Over the period the operational plans have improved due to an improved monitoring and information system where appropriate data is collected, analysed and documented. This information is used in the planning process. This was basically the outcome of capacity building trainings for example: Advanced Planning, Monitoring, Evaluation and Learning training helped improve in results based measurement and data analysis.
Score baseline: 4.0

Score endline: 4.0 (no change)

3.2.Cost-effective resource use: 'Operations are based on cost-effective use of its resources'

This is about whether the SPO has the resources to do the work, and whether resources are used cost-effectively.

VTRC continues to use its resources cost-effectively by planning the use of resources as per the budget already approved. By converging the Edugate and CARE Network project they use the tuition centres as a location for the resource centre and cluster meetings. The organisation is changing its strategy from being a service provider to also improve access of the target population to access government schemes by raising awareness of the communities and establishing relations with the government officials. Also better linking up with the government line departments helps them to use government institutes for their cluster meetings and government provisions for health care project. For example: Sanitary napkins and vitamin tablets are distributed from the PHCs to adolescent girls. All these further contribute in cost-cutting effort of the organisation.

Score baseline: 3.0

Score endline: 3.0 (no change)

3.3.Delivering planned outputs: 'Extent to which planned outputs are delivered'

This is about whether the SPO is able to carry out the operational plans.

In the last two years planned outputs were delivered except for external reasons which are beyond the control of the organisation (e.g. sometimes, delay occurs due to the delayed fund availability from donors). Outputs are planned, monitored and evaluated for each project in the annual activity plans. M&E of outputs is done in weekly, monthly, quarterly and annual meetings. Delivery of outputs is ensured through these meetings; the updated HR handbook with clear job responsibility for each staff and a performance management system; and field staff planning their activities day by day. The activity reports for 2012, 2013 and 2014 show that all of the planned targets for the annual indicators were reached, e.g. number of village in which awareness campaigns on SRH & HIV were held, number of girls child retained till class VIII, number of meetings with government official for relationship building and linkages, number of capacity building for the staff, number of PTA meetings, etc.

Score baseline: 3.5

Score endline: 3.5 (no change)

3.4.Mechanisms for beneficiary needs: 'The organisation has mechanisms in place to verify that services meet beneficiary needs'

This is about how the SPO knows that their services are meeting beneficiary needs

VTRC continues to be an organisation that is rooted in the community and starts it planning based on the community's needs. There are regular parent meetings in the tuition centres. There are also stakeholder meetings in the clusters and the Parent Teachers Association (PTA) meets twice in a year. These meetings help VTRC understand whether their services meet the beneficiaries needs. The outcome study and evaluation report of HACI have indicated that VTRC has made the desired impact in the lives of the community. The projects themselves have mechanisms like feedback meetings and satisfaction surveys to get input from the community to assess whether their needs are being met.

Score baseline: 3.5

Score endline: 3.5 (no change)

3.5.Monitoring efficiency: 'The organisation monitors its efficiency by linking outputs and related inputs (input-output ratio's)'

This is about how the SPO knows they are efficient or not in their work.

There is still no formal mechanism to calculate input-output ratios. Their deliverables are things as "changed behaviour" which is hard to do a cost-benefit analysis on. However, while during the baseline it was not clear how efficiency was being monitored, now there are certain systems in place. VTRC has a performance monitoring plan that is used for planning, managing and documenting data collection. Through weekly and monthly review of outputs of the projects, efficiency is measured. The Organisation-scan (O-scan) was done in 2011 and again in 2013. By comparing the scores of 2011 and 2013 they observe the effectiveness and efficiency of the CARE Network programme implementation. Performance monitoring plan tool was used through a participatory approach to assess the performance of the students and teachers which helped in monitoring the effectiveness of the Edugate programme. The organisation has a performance appraisal format to monitor staff output and outcome and the efficiency is linked with deliverables. There is no under- or overspending and record keeping for expenditure is well structured and organised.

Score baseline: 1.0

Score endline: 2.5 (considerable improvement)

3.6.Balancing quality-efficiency: 'The organisation aims at balancing efficiency requirements with the quality of its work'

This is about how the SPO ensures quality work with the resources available

There has been no change in this indicator. VTRC as an organization still has quality as one of its key values. The organisation balances the quality of its programme implementation with the efficiency of managing their operations. They do this by optimally utilising the common resources by sharing, learning and periodically reviewing the utilisation of resources.

Score baseline: 3.0

Score endline: 3.0 (no change)

Summary of capability to deliver on development objectives

VTRC continues to have day-to-day operational plans and budgets for each project which the staff fully understand as they are part of the planning process. Operational plans have improved due to an improved monitoring and information system. VTRC continues to use its resources cost-effectively by planning the use of resources as per the budget already approved. Some costs are reduced by using the tuition centres for cluster meetings and linking up with the government to help the community access their schemes (instead of VTRC providing these services themselves). In the last two years

planned outputs were delivered except for external reasons which are beyond the control of the organisation (e.g. sometimes, delay occurs due to the delayed fund availability from donors). Outputs are planned, monitored and evaluated. Delivery of outputs is ensured through staff meetings; the clear job responsibilities, performance management system; and field staff planning their activities day by day. VTRC continues to be an organisation that is rooted in the community and starts it planning based on the community's needs. VTRC receives input on whether their services meet beneficiary needs through: parent meetings, stakeholder cluster meetings, Parent Teacher Association meetings, outcome studies, evaluations and satisfaction surveys. There is still no formal mechanism to calculate input-output ratios. However, while during the baseline it was not clear how efficiency was being monitored, now VTRC has a performance monitoring plan, an organisation-scan (O-scan) that was done in 2011 and in 2013 and a performance appraisal format to monitor staff output.
VTRC still balances quality, which is one of its key values, with the efficiency by optimally utilising the common resources and sharing.

Score baseline: 3.0

Score endline: 3.25 (very slight improvement)

Capability to relate

4.1.Stakeholder engagement in policies and strategies: 'The organisation maintains relations/ collaboration/alliances with its stakeholders for the benefit of the organisation'

This is about whether the SPO engages external groups in developing their policies and strategies, and how.

There is slight improvement in this indicator. In the last two years VTRC has strengthened its relationship with government line department functionaries and community leaders who are engaged in the strategic planning process. Government teachers are for example seen as a stakeholder, so VTRC works with them to ensure access of their target group to government school facilities. The organisation has also established good rapport with government machineries like PHCs, hospitals and the government of Tamil Nadu. The VTRC coordinator is now one of the resource persons for the Tamil Nadu government on the child protection policy, which in turn has benefitted the organisation. The change in strategy to use participatory integrated approach for community development facilitated the involvement of community leaders in policy and strategy meetings for their input. Parents Teachers Association (PTA) meetings are organised twice a year to review and monitor the programme. In the cluster level meetings the cluster supervisors, change agents and community leaders meet on a weekly basis to review and make strategic plans. This indicates the involvement of community leaders in planning. The government functionaries such as doctors are engaged in evaluation of the health project to get feedback. The Health Bridge Alliance (HBA) sharing and learning meetings continue to provide strategic guidance and feedback to its alliance members while planning the health care projects.

Score baseline: 3.0

Score endline: 3.5 (slight improvement)

4.2.Engagement in networks: 'Extent to which the organization has relationships with existing networks/alliances/partnerships'

This is about what networks/alliances/partnerships the SPO engages with and why; with they are local or international; and what they do together, and how do they do it.

VTRC continues to be good in networking and linking with key community people, such as panchayat leaders, ward counsellors and gram sabhas. The CARE network still brings most of the national and international links through its involvement in the Health Bridge Alliance through which they meet partners, including ICCO Alliance partners like Edukans, Prisma, KerkinActie, Share People, ZZG, Oikocredit and Yente; and other partners like TLM, W&D, COUNT and EHA. While efforts are being taken to strengthen linkages for the Edugate project with NGOs for lobby and advocacy, these have

not materialised yet. The relationship with Parent Teacher Association (PTA), Village Education Committee (VEC) and School Management Committee (SMC) has been strengthened which resulted in getting better input and lobby for the better implementation of the Edugate programme. In the last two years, VTRC has improved its engagement with the government. The organisation has established good rapport with government machineries like PHCs, hospitals and the government of Tamil Nadu. The VTRC coordinator is now one of the resource persons for the Tamil Nadu government on the child protection policy, which in turn has benefitted the organisation paving way for engaging other government officials.

Score baseline: 3.5

Score endline: 4.0 (slight improvement)

4.3.Engagement with target groups: 'The organisation performs frequent visits to their target groups/ beneficiaries in their living environment'

This is about how and when the SPO meets with target groups.

Since baseline there is a slight improvement in this indicator. VTRC continues to work with staff that is from the same target communities which enables them to have close engagement with the target groups. Now the community is involved more proactively in planning and implementing the programme through community engagement in joint monitoring. Various vision casting meetings were organised for the communities in different clusters where the community leaders participated and discussed on various health related issues. In the Grama sabhas (village parliament) tuition teachers, students and community leaders came together to discuss issues like quality education and government education schemes in their villages. Medical camps are organised with the help of government functionaries with a focus on needs assessment of children and adults with disability, creating awareness on SRH and HIV/AIDS related issues in the target villages. The change-agents have formed Self-Help Groups and Youth groups and they meet on a weekly basis. The tuition teachers meet the parents in the tuition centres and in their respective houses on a monthly basis.

Score baseline: 3.0

Score endline: 3.5 (slight improvement)

4.4.Relationships within organisation: 'Organisational structure and culture facilitates open internal contacts, communication, and decision-making'

How do staff at the SPO communicate internally? Are people free to talk to whomever they need to talk to? When and at what forum? What are the internal mechanisms for sharing information and building relationships?

The staff meets together in the review and monitor meetings to share their views and make strategic plans. The tuition teachers and change agents meet the coordinators in the monthly meeting and cluster meetings respectively. The coordinators and the project manager meet during quarterly review and planning meetings. During the monthly general meeting all the staff including the chairman meet to share their views and discuss on strategic issues. There is an open and democratic structure in operation which helps all the staff communicate freely, share views and participate in decision making. The organisation has adapted a participatory approach in planning and to further strengthen the internal and external. Trust relationships and better communication between the second line leadership and the chairman have been strengthened. This is evident from the fact that the chairman entrusted the entire workshop process in the hands of second line leadership and other administrative matters while he was away for a workshop.

Score baseline: 3.0

Score endline: 4.0 (improvement)

Summary of capability to relate

In the last two years VTRC has strengthened its relationship with government line department functionaries and community leaders who are engaged in the strategic planning process. Examples include improved report with the PHCs, hospitals and government of Tamil Nadu. VTRC continues to engage community leaders, parents and partners in the HBA in development of their strategies. VTRC continues to be good in networking and linking with key community people. The CARE network still brings most of the national and international links through its involvement in the Health Bridge Alliance. The Edugate programme still needs stronger linkages, while locally relations with Parent Teacher Association (PTA), Village Education Committee (VEC) and School Management Committee (SMC) have been strengthened. VTRC continues to work with staff that is from the same target communities which enables them to have close engagement with the target groups. The community is now more proactively involved in planning, implementing and jointly monitoring the programme. Field staff visit the target groups through self-help group meetings, parent meetings, house visits, village parliaments and medical camps. The staff continues to meet in review meetings to share their views and make strategic plans. There is an open and democratic structure. Trust relationships and better communication between the second line leadership and the chairman have been strengthened. The chairman entrusted the entire workshop process in the hands of second line leadership.

Score baseline: 3.1

Score endline: 3.8(slight improvement)

Capability to achieve coherence

5.1.Revisiting vision, mission: 'Vision, mission and strategies regularly discussed in the organisation'

This is about whether there is a vision, mission and strategies; how often staff discuss/revise vision, mission and strategies; and who is involved in this.

Representative and managerial staff continues to revisit the vision and mission of the organisation at least once in a year. Apart from this, all staff are now involved in their own project vision and mission exercise. (Field) staff are briefed on the vision and mission annually. There has, however, been no change in the vision and mission of the organisation. VTRC has made a strategic change in the CARE Network programme for better sustainability of the project. The new strategy is to help the target population access government schemes and services by linking them with officials of the line departments, instead of VTRC focussing on providing these services itself. Basically it means making health care delivery system in sexual reproductive health and HIV accessible and available through a process of cooperation, strengthening and lobbying with the state health systems.

Score baseline: 2.5

Score endline: 3.0 (slight improvement)

5.2.Operational guidelines: 'Operational guidelines (technical, admin, HRM) are in place and used and supported by the management'

This is about whether there are operational guidelines, which operational guidelines exist; and how they are used.

VTRC continues to have the following operational guidelines and policies in place: HRM/ staff recruitment policy, finance policy, work place policy, Edugate recruitment policy, guidelines for stock control and maintenance, child protection policy, standard operating procedures, HIV policy, leave policy and travel policy.

Since the baseline in 2012 VTRC has fine-tuned its policies for better performance of the organisation:

- Performance Management System Policy was introduced to improve the formal employee performance appraisal system. Key result areas have been set to assess the performance. On a quarterly and annually basis.

- Finance policy was revised in 2013. It is evident from the endline evaluation workshop discussion and by comparing the 2012 finance policy with 2014 finance policy. To strengthen it the objectives were revised and new clauses were incorporated, such as, that staff have to adhere to the financial procedures outlined in the policy documents and that financial reporting and monitoring are done periodically. There is clarity of roles and responsibility for unit heads, accountants, and junior assistants. Guidelines were developed for the internal control system and different financial forms and formats were developed for transparency in accountancy.

In comparison with the baseline staff now have a better understanding of the operational guideline.

Score baseline: 3.5

Score endline: 4.0 (slight improvement)

5.3.Alignment with vision, mission: 'Projects, strategies and associated operations are in line with the vision and mission of the organisation'

This is about whether the operations and strategies are line with the vision/mission of the SPO.

VTRC continues to keep its projects; strategies and operations in line with the vision and mission of the organisation. The new strategy that was developed in 2014 continues to be in line with its mission and vision.

Score baseline: 3.5
Score endline: 3.5 (no change)

5.4.Mutually supportive efforts: 'The portfolio of project (activities) provides opportunities for mutually supportive efforts'

This is about whether the efforts in one project complement/support efforts in other projects.

The projects and programmes that VTRC implement continue to be mutually supportive. For example the organisation's mother and child care project is integrated with the Edugate programme. Also the health care project is linked with the Edugate project and is implemented in the same clusters. All the health care programmes addressed in the community involve the tuition teachers, the children and their parents. In this way the programme on SRH and HIV issues also reaches the beneficiaries of tuition centres. For children who are above 10 years, sexual wellbeing education is given as per the module developed by the health care project. Similarly the Information, Education, Communication (IEC) materials are being used to educate and sensitize the staff and children of the tuition centres project.

Score baseline: 3.5

Score endline: 3.5 (no change)

Summary of capability to achieve coherence

Representative and managerial staff continues to revisit the vision and mission of the organisation at least once in a year. Apart from this, all staff are now involved in their own project vision and mission exercise. VTRC has made a strategic change in the CARE Network programme to help the target population access government schemes and services instead of VTRC focussing on providing these services itself. VTRC continues to have the following operational guidelines and policies in place: HRM/ staff recruitment policy, finance policy, work place policy, Edugate recruitment policy, guidelines for stock control and maintenance, child protection policy, standard operating procedures, HIV policy, leave policy and travel policy. Over the last two years staff have gained a better understanding of the operational guidelines, the finance policy has been revised and a performance management system policy was introduced. VTRC continues to keep its projects, strategies and operations in line with the vision and mission of the organisation. The projects and programmes that VTRC implement continue to be mutually supportive. For example, the mother and child care project is integrated with the

Edugate programme and informative materials from the health project are also used in the tuition centres.

Score baseline: 3.3

Score endline:3.5 (very slight improvement)

Appendix 4 Results - key changes in organisational capacity - general causal map

As the changes in organisational capacity in the general causal map and the detailed causal maps overlap completely, please refer to Appendix 5 for the detailed narrative and map.

Appendix 5 Results - attribution of changes in organisational capacity - detailed causal maps

During the endline process, key organisational capacity changes have been identified in the following capabilities: capability to act and commit; capability to adapt and self-renew. These two capabilities have been chosen for the purpose of process tracing since these are the two capabilities that have most frequently been targeted by the CFAs. The organisational capacity changes that have been identified are based on a potential link with MFS II supported capacity development activities in these two capabilities, and on a variety of sources (secondary data as well as endline workshop data). The process tracing methodology has been adapted to the purpose of this evaluation and to investigate closely the underlying causes for these identified organisational capacity changes, and the extent to which these changes can be attributed to MFS II supported organisational capacity strengthening activities .

The evaluation team carried out an end line assessment at VTRC from 5 to 7 August 2014. During this workshop, the team made a recap of key features of the organisation in the baseline in 2012 (such as vision, mission, strategies, clients, partnerships). This was the basis for discussing changes that had happened to the organisation since the baseline. The three main changes that happened in the organisation since the baseline were:

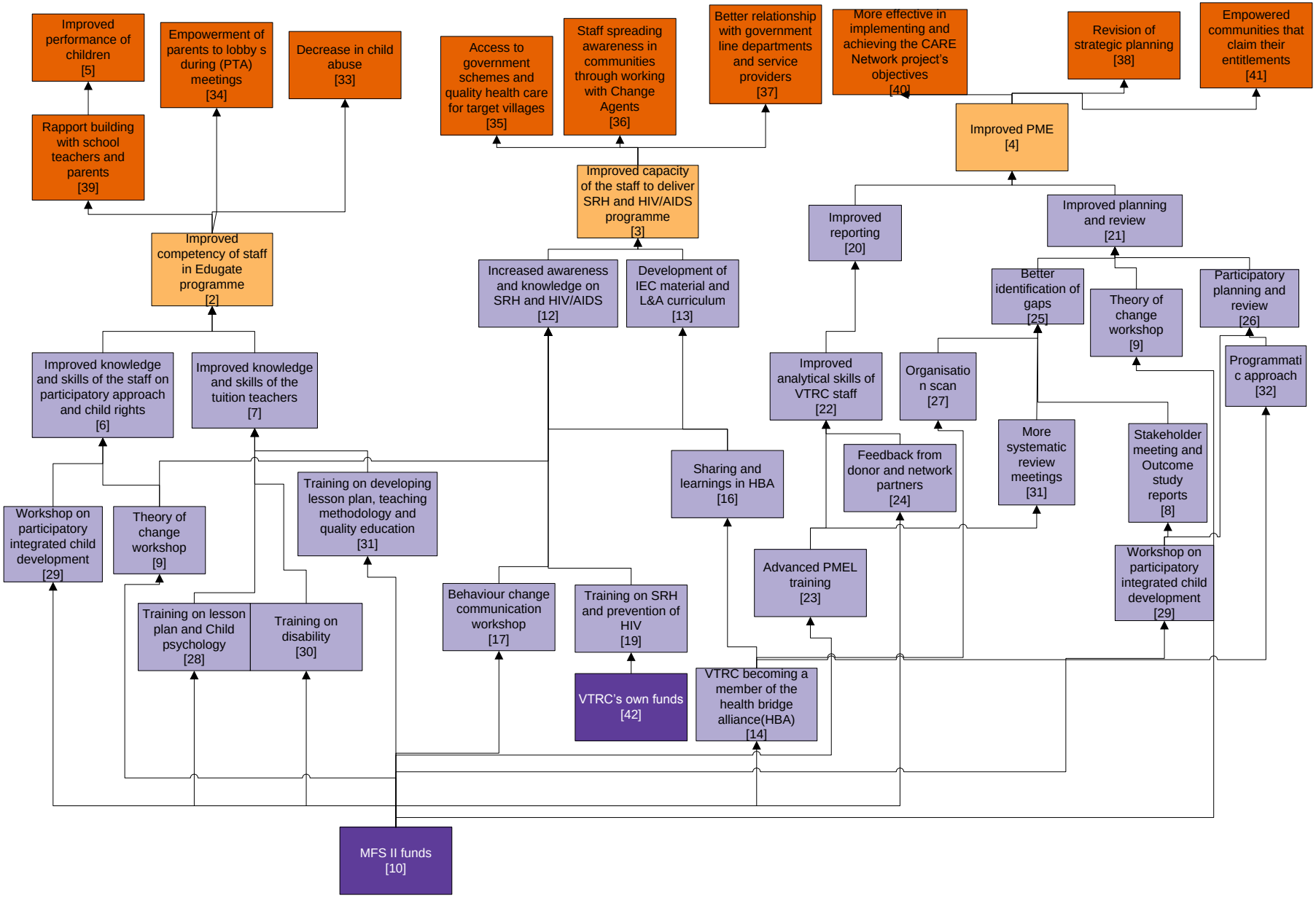
1. Improved competences of staff in the Edugate programme [2];
2. Improved capacity of staff to deliver SRH and HIV/AIDS programme [3]; and
3. Improved Planning, Monitoring and Evaluation (PME) [4]

Since its inception VTRC has been committed to care, protect and uplift orphan, destitute and poor children/women to help meet their basic needs and to expand their opportunities to reach their full potential. It began with caring for the orphans and advocating the protection of children and women's rights, then gradually shifted its focus towards building a healthy, prosperous, value based and child caring society in alignment with its vision 'The little one shall become a mighty nation'. There has been constant effort by the organisation to improve its capacity to be sustainable in achieving its goals. VTRC becoming the partner member of Health Bridge Alliance (MFS II funded) further strengthened the organisation's ability to achieve goals [Source: CARE Network Annual Plan - 2011 (Existing Format), gv - 5C_baseline_report_India_VTRC_17012013_CK, VTRC Historical timeline table & narrative, 5c endline interview guide_OD consultants_selected indicators_VTRC].

Successive governments' changing policies for the NGOs, local contextual issues and VTRC's commitment to strengthen its target community further caused the organisation to improve its capacity to be sustainable. According to staff present at the endline workshop, the three main changes mentioned above are expected to lead to VTRC being more sustainable as an organisation. They happened to coincide with the outcome areas that were identified for process tracing, so as to get detailed information on how these changes in organisational capacity came about. Therefore the general causal map overlaps strongly with the causal maps developed for each of these outcome areas/organisational capacity changes to be analysed to during the process tracing. All the details about these changes in organisational capacity as well as the underlying factors that influenced these changes are described in the narrative and visual below.

These three key organisational capacity changes will be discussed in more detail in the related detailed causal maps, which were a result of process tracing. The three main organisational capacity changes are described in the light orange boxes and the key expected consequences are noted above these cards in dark orange. Light purple boxes represent factors and aspects that influence the key

organisational capacity changes (in light orange). Key underlying factors that have impacted the three key organisational capacity changes are listed at the bottom in dark purple. The narrative below describes each key organisational capacity change, and the contributing factors are described from the top to bottom. The numbers in the visual correspond with the numbers in the narrative.


Improved performance of children [5]
Empowerment of parents to lobby s during (PTA) meetings [34]
Decrease in child abuse [33]
Access to government schemes and quality health care for target villages [35]
Staff spreading awareness in communities through working with Change Agents [36]
Better relationship with government line departments and service providers [37]
More effective in implementing and achieving the CARE Network project's objectives [40]
Revision of strategic planning [38]
Empowered communities that claim their entitlements [41]
Rapport building with school teachers and parents [39]
Improved PME [4]
Improved capacity of the staff to deliver SRH and HIV/AIDS programme [3]
Improved reporting [20]
Improved planning and review [21]
Improved competency of staff in Edugate programme [2]
Increased awareness and knowledge on SRH and HIV/AIDS [12]
Development of IEC material and L&A curriculum [13]
Better identification of gaps [25]
Theory of change workshop [9]
Participatory planning and review [26]
Improved knowledge and skills of the staff on participatory approach and child rights [6]
Improved knowledge and skills of the tuition teachers [7]
Improved analytical skills of VTRC staff [22]
Organisation scan [27]
Programmatic approach [32]
More systematic review meetings [31]
Stakeholder meeting and Outcome study reports [8]
Feedback from donor and network partners [24]
Sharing and learnings in HBA [16]
Training on developing lesson plan, teaching methodology and quality education [31]
Workshop on participatory integrated child development [29]
Theory of change workshop [9]
Advanced PMEL training [23]
Workshop on participatory integrated child development [29]
Training on lesson plan and Child psychology [28]
Training on disability [30]
Behaviour change communication workshop [17]
Training on SRH and prevention of HIV [19]
VTRC's own funds [42]
VTRC becoming a member of the health bridge alliance(HBA) [14]
MFS II funds [10]

Capability to act and commit - outcome area 'Improved competency of staff in Edugate Programme'

Improved competency of staff in Edugate Programme [2] is expected to contributed to:

- Rapport building with school teachers and parents [39]. Especially the Workshop on Participatory Integrated Child Development (PICD) workshop improved the skill and capacity of the CARE Network and Edugate coordinators to adapt new strategies for participatory approach in the community during interactions and programs. An exercise of the participatory approach was done with the community in Salem and Madurai district. It further helped the staff in rapport building with other stakeholders like school teachers and parents and members of School Management Committee [Source: 5c endline _ questionnaire _ training _ participant _ perspective _ India_VTRC_PICDworkshop2012, 5C endline_support to capacity development sheet_CFA perspective_India_VTRC_RedeenKind_NB, CARE Network Evaluation Report, Annual report – 13]. This rapport building [39] helped to improve the performance of children [5], as is explained below:
  - Improved performance of children [5]: "the children in the tuition centres put up an improved performance due to the initiative of the tuition teachers who personally visit the parents and help creating a favourable environment for the children to read at home and also to regularly attend the school" [Source: Annual report Edugate 2013 p.4]. Due to personal effort of the tuition teachers the children improved their performance in the school, increased their attendance and girl children were retained in school till class VIII. The school teachers gave thank you cards to the tuition teachers for their effort and also invited them to educate the children on various social and health related issues in the school [Source: 5C endline_support to capacity development sheet_SPO perspective_India_VTRC(3) - updated - 24 03 2014, Annual report – 13, 5c endline self-assessment sheet_field staff_India_VTRC 1, Endline evaluation workshop 2014 VTRC].The dropout of children in the situation centres is almost negligible in the target locations. The fact that Children parliaments are becoming a good lobby instrument could be seen from them identifying social issues and trying to solve these social issues through the local government [Source: Annual report – 13].
  - Empowerment of parents to lobby for their own needs and issues during Parent Teacher Association (PTA) meeting [34]: The Edugate staff created awareness among the parents on child rights and encouraged them to attend the PTA meetings at school and voice their concern. As is evident in the annual report 2013 of the Edugate programme the parents demanded proper maintenance of toilets and also demanded the administration to initiate an English medium section in the school as parent lack the money to send their children to private schools were English is taught. [Source: Annual report – 13, 5C endline_support to capacity development sheet_SPO perspective_India_VTRC(3) - updated - 24 03 2014].
  - Decrease in child abuse [33]. Staff knowledge and skills on child rights have improved, which is evident in the fact that the CARE Network coordinator of VTRC indicated that the staff with improved knowledge and skills in child rights could now empower the children and parents on child rights. According to the CARE Network coordinator of VTRC this has resulted in a decrease of child abuse [Source: 5C endline_support to capacity development sheet_SPO perspective_India_VTRC(3) - updated - 24 03 2014].

Improved competency of staff in the Edugate Programme [2] was due to improved knowledge and skills of the staff on participatory approach and child rights [6] and improved knowledge and skill of the tuition teachers [7]. Each of these organisational capacity change areas are described below.

Improved knowledge and skills of the staff on participatory approach and child rights [6]

The Participatory approach is a methodology to enter the community and to do this in a participatory way. In this process the community is involved in needs identification and planning. The participatory approach has been initiated in July 2014 in the Edugate programme. This approach has resulted in the active involvement of the community members in planning and monitoring the function of the tuition centers and providing inputs and feedback. For example, on the 20th of July 2014 a stakeholder meeting was held with parents to discuss the annual plan of the Edugate project. Based on these discussions a summer camp was suggested by parents and planned in the new annual plan [Source:

Annual Plan - 2014 Edu Gate]. VTRC indicated that they adopted the participatory approach in identifying and addressing issues through an active participation of the community [Source: 5C endline_support to capacity development sheet_SPO perspective_India_VTRC(3) - updated - 24 03 2014].

Staff knowledge and skills on child rights have improved, which is evident in the fact that the CARE Network coordinator of VTRC indicated that the staff with improved knowledge and skills in child rights could now empower the children and parents on child rights. According to the CARE Network coordinator of VTRC this has resulted in a decrease of child abuse [Source: 5C endline_support to capacity development sheet_SPO perspective_India_VTRC(3) - updated - 24 03 2014]. During parents-teachers-association (PTA) meeting in the tuition centres the teachers, animators and project supervisors impressed upon the parents the need for better parenting, with a specific focus on the girl child, avoidance child rights violations, vigilance on incidence of sex abuse and trafficking of children [Source: Annual report – 13, Annual report final – 270112]. Knowledge and skills of the staff on participatory approach and child rights [6] improved because of the following capacity building trainings for the staff:

- Workshop on Participatory Integrated Child Development (PICD) [29]: PICD workshop was organised in April 2012 in Bangladesh by REK and Word & Deed. The aim was to train the participants on the need to go from an institution-based approach to a community-based approach, which is a more sustainable child-friendly approach (within families, not institutions). Different tools were demonstrated to help the participants learn to work in a participatory process with the community to move from institution based (e.g. orphanage) development to child centered development. This workshop improved the skill and capacity of the CARE Network and Edugate coordinators to adapt new strategies for participatory approach in the community during interactions and programs. An exercise of the participatory approach was done with the community in Salem and Madurai district [Source: 5c endline _ questionnaire _ training _ participant _ perspective _ India_VTRC_PICDworkshop2012, 5C endline_support to capacity development sheet_CFA perspective_India_VTRC_RedeenKind_NB, CARE Network Evaluation Report, Annual report – 13]. This workshop was funded by MFS II [10].
- Theory of Change workshop [9]: Theory of Change workshop for CARE network was organised on 16-19 April 2012 at Dhaka by ICCO. Though the workshop was held prior to the baseline, the outcome could be seen in the improved capacity of the staff over the last two years. The aim of the workshop was to help the partners have deeper understanding of Theory of Change and its practice, participatory approach (making sure that the parents participate in a mutual learning activity), civil society strengthening, etc. It helped the staff to adapt the participatory approach more attentively to involve the parents in identifying the needs and issues related to children education. This resulted in the involvement of project supervisors in the Parent Teacher Association meetings both at tuition centers and schools which was earlier only attended by tuition teachers. It also taught the staff to strengthen civil society such as School Management Committee (SMC)15 to lobby for the target children to ensure access to government schemes and programmes [Source: Source: Annual report – 13, 5C endline_support to capacity development sheet_CFA perspective_India_VTRC_RedeenKind_NB). This workshop was funded by MFS II [10].

Improved knowledge and skills of the tuition teachers [7]

Over the last two years the tuition teachers have improved in their skills and knowledge to apply different teaching methods, provide appropriate and useful information through innovative teaching (e.g. one tuition teacher collects information through web search and teaches the children), and develop lesson plans. They also improved their skills in organising classes on a multi class multi-level setting, child psychology, monitoring and evaluating the performance of children [Source: Endline Evaluation workshop 2014 VTRC, Annual report – 13]. Improved skills and knowledge of the staff led to better performance of the children in the schools which resulted rapport building with stakeholders like school teachers, parents and members of School Management Committee [5] [Source: 5C

[15] SMCs are cabinet like groups, democratic in character, vested with powers to formulate school development plans, budget items, incur expenditure and become collectively responsible and accountable.

endline_support to capacity development sheet_SPO perspective_India_VTRC(3) - updated - 24 03 2014, Annual report – 13]. It is evident from the increased number of children enrolled in the primary, secondary and high school level in 2012 and 2013 compared to 2011 that the tuition teachers have improved their knowledge and skills in teaching the students and communicating with the parents on child rights, gender, hygiene etc. In 2013 a total of 72 Parent Teacher Association (PTA) meetings were organised by the tuition teachers, where they emphasized better parenting at home. During PTA meetings at school, members of the PTA are voicing their concern. For example the members of PTA voiced their concern to the school administration to initiate sections in the schools that teach in English as they were unable to send their children to private schools which collect exorbitant fees. They also called for maintenance of the toilets in the school as children often complained of poor maintenance [Source: Annual report – 13, Annual report Edugate 2013 p.4, Endline Evaluation workshop 2014 VTRC]. Tuition teachers improved their knowledge and skills because of various in-house trainings:

- Training on Lesson plan and Child psychology [28]:
  Three days training on lesson plan and child psychology for tuition teachers and staff was organised by VTRC on May 2013. The faculties of Peniel College of Education were involved to impart on the teaching methodology suited to the tuition centres, handling children with multi grade and multilevel situations, preparation and implementation of lesson plan, conducting academic assessment and evaluation, handling slow learners and children with learning difficulties, liaison and rapport building with parents and other stake holders, and child psychology. This resulted in the tuition teachers to develop better lesson plans, provide useful information to the students, better management of children, educating the parents to create conducive environment for children to study, etc. It also capacitated them to ask feedback from the school teachers on the performance of the children to identify academically weak children and provide special attention [Source: VTRC - Edugate - Annual Training Details – 2013, 5C endline_support to capacity development sheet_SPO perspective_India_VTRC(3) - updated - 24 03 2014, Annual report – 13]. This workshop was funded by MFS II [10].
- Training on disability [30]:
  Four days training program for tuition teachers and other staff was organised by VTRC on December 2013 supported by MFS II. The other staff that is referred to here, is teaching staff of VTRC that work at Peniel Nursery and Primary school, Peniel High and Higher Secondary school, Peniel Rural College of Education and Infants home. Among these three trainings two were for VTRC staff working in community development programs and one for working in academic institutions. The program was facilitated by Mr. Stephen of Integrated Rural Community Development Society (IRCDS) in Thiruvallur and the Head Master of Bethshan Special school, Madurai. A total of 90 tuition teachers and 7 project staff members of VTRC participated in the training programs. The facilitators presented a graphic picture and account of the disability in India and the concept of inclusive education being implemented towards mainstreaming disability. While elaborating on the different types of disability and the various government schemes now available for persons with disability, they felt the strong need for every institution having a disability policy, making all buildings accessible to children with disability. They presented several case stories to highlight the plight of the disabled in their fight for rights and privileges and how society was growing insensitive to the needs and aspirations of people with disability. Besides answering the queries of participants, they also distributed a few copies of the manual containing government circulars/orders on disability. As VTRC is privileged in running academic institutions and big community outreach programs, this training not only improved the knowledge of the staff on disability but also generated responsibility to sensitize the community towards mainstreaming disability and making its work places disability friendly Staff improved their knowledge to create awareness on disability and empowered the community to access government schemes and services [Source: Annual report – 13, 5C endline_support to capacity development sheet_SPO perspective_India_VTRC(3) - updated - 24 03 2014]. This workshop was funded by MFS II [10].
- Training on developing lesson plan, teaching methodology and quality education [31]: This training programme was organised by VTRC for tuition teachers and supervisors in February, May and August of 2012 with the support from MFS II. The aim was to help them develop lesson plans and apply different innovative methods in teaching. It capacitated the tuition teachers to provide appropriate and useful information through innovative teaching [Source: VTRC - Edugate - Annual training calandar – 2012, Annual report Edugate – 2012]. This workshop was funded by MFS II [10].

Capability to act and commit - outcome area 'Improved capacity of staff to deliver SRH and HIV/AIDS programme [3].'

Another key organisational capacity change that was identified was the improved capacity of staff to deliver SRH and HIV/AIDS programme [3] [Source: 5C endline_support to capacity development sheet_SPO perspective_India_VTRC(3) - updated - 24 03 2014]. This organisational capacity change has contributed to the following changes:

- Access to government schemes and quality health care for target villages [35]: "With the overall improvement in the capacity of the staff to articulate SRH and HIV issues, the beneficiaries in the target villages were able to secure quality health care and access to various government schemes much more easily during this year." [Source: CARE Network Narrative Annual Report – 2012]. The adolescent girls received government provisions like napkins, iron tablets, vitamin powder etc., which improved in their health status [Source: Case Studies].
- Staff spreading awareness in communities through working with Change Agents [36]: "The animators and supervisors were capacitated on SRH and HIV issues and they have been taking them forward to the community through Change Agents" [Source: CARE Network Narrative Annual Report – 2012]. There is increase in the number of registration of the ANC/PNC women. 100% hospital delivery in 2013 as targeted in 2013 annual plan [Source: CARE Network Evaluation Report].
- VTRC developing better relationships with government line departments and service providers [37]: "The staff articulated/communicated SRH and HIV issues among different stakeholders much better. Better relationship with the service providers in the government sector facilitated better service delivery to the beneficiaries of the project. Further the staff created better awareness among the school and college going students on SRH and HIV/AIDS issues." (Source: CARE Network Narative Annual Report – 2012). Looking at the distinct improvement in the behaviour and knowledge of the students on child rights, personal hygiene, HIV and AIDS, sexual violence and child abuse etc., several schools in the project area demanded VTRC intervention for the education of the students on sexual wellbeing and HIV. The SHGs could access government facilities such as managerial and leadership training, skills development training etc., under the government livelihood mission programme [Source: Endlien Evaluation Workshop 2014 VTRC, CARE Network Evaluation Report, CARE Network - Health - Annual Activity Report - 2013.doc, CARE- Review of Partners Outcomes]. Government functionaries began to assist and support regularly in reaching out, motivating and educating pregnant women and young mothers and responded to the need of the ANC/PNC women (more acutely felt by first-time pregnant women staying with in-laws) for encouragement and support on regular ANC care, nutrition, convincing family and husbands on issues etc. [Source: CARE Network Evaluation Report].

The staff have improved in their capacity in delivering the SRH and HIV/AIDS programme [Source: 5C endline_support to capacity development sheet_SPO perspective_India_VTRC(3) - updated - 24 03 2014]. The improved capacity of VTRC staff to train animators is evident in the report of Review of Partners' outcomes. This report indicates that the animators trained by the CARE network are able to engage intensively with the target group, leverage the presence of the government facilities and programmes (ANC/PNC, schools, SHG support, PLHA support), strengthen existing groups (the ANC/PNC groups, SHG groups) and create new groups only (Youth Girls and Youth Boys), and earned the credibility, behaviour change among the youths and adolescents in the communities and trust of the target groups [Source: CARE- Review of Partners Outcomes].

Improved capacity of staff to deliver SRH and HIV/AIDS programme was due to:

- Increased awareness and knowledge on SRH and HIV/AIDS [12]
- Development of IEC material and lobby and advocacy curriculum for SRH and HIV/AIDS [13]

Each of these areas are further described below.

Increased awareness and knowledge on SRH and HIV/AIDS [12].

Over the years the staff has improved their awareness and knowledge on SRH and HIV/AIDS, to identify issues to lobby, better articulation etc., because of several MFS II supported capacity building trainings. This resulted in the communities improve their knowledge and awareness on various health related issues and able to lobby to government for their needs. Further VTRC's intervention escalates the action and result [Source: 5C endline_support to capacity development sheet_CFA perspective _ India _ VTRC_RedeenKind_NB, 5c endline interview guide_OD consultants_selected indicators_VTRC, 5c endline self-assessment sheet_management_India_VTRC, 5C endline_support to capacity development sheet_SPO perspective_India_VTRC(3) - updated - 24 03 2014, CARE Network - Half yearly Activity Report - 2014]. Increased awareness and knowledge on SRH and HIV/AIDS [12] was due to due to Training of the staff on SRH and HIV/AIDS, during the ToC workshop [9], Behaviour Change Communication workshop [17] and Training on SRH and prevention of HIV [19]; and sharing and learning at Health Brigade Alliance [16]. The following are some of the external and in-house trainings:

- Theory of Change workshop [9]:Theory of Change workshop for CARE network was organised in 16-19 April 2012 at Dhaka by ICCO. Though the workshop was held prior to the baseline, the outcome could be seen in the improved capacity of the staff over the last two years. The aim of the workshop was to help the partners have deeper understanding of Theory of Change and its practice, the difference between log-frame and Theory of Change, programmatic approach, behaviour change, ICCO Alliance Basic Health and HIV/AIDS program, rights based approach and gender, etc. It helped VTRC develop a strategic plan 2014-15 for CARE Network programme on the basis of Theory of Change. Clear pathways are planned to reach the goal to empower communities accessing quality health care services for SRH and HIV prevention in 150 villages of Madurai & Salem Districts (Tamilnadu state) [Source: Theory of change - narrative - CARE network - Updated - December 2013, 5c endline_ questionnaire _training _participant_perspective _ India_VTRC_ToCworkshop2012]. The workshop also helped VTRC get a deeper understanding of the aims of ICCO Alliance Basic health and HIV/AIDS programme, rights based approach to empower the women to better avail reproductive health rights. Further it improved the knowledge on behaviour change measures that '*Health problems are often a result of individual behaviour of the people at risk and behaviours of people around them (environment), so changing individual behaviour and changing behaviour of the people around them is a possible solution*' which VTRC adapted in its strategic plan [Source: Theory of change - narrative - CARE network - Updated - December 2013, 5C endline_support to capacity development sheet_CFA perspective_India_VTRC_RedeenKind_NB, 5c endline_ questionnaire _training _participant_perspective _ India_VTRC_ToCworskhop2012].
- It also capacitated the staff to converge the Edugate and the CARE Network programme to take up health related issues in the tuition centers for better implementation and achievement of the programmes [Source: Endline Evaluation Workshop 2014 VTRC]. This workshop was funded by MFS II [10].
- Behaviour Change Communication workshop [17]: Three days Behaviour change communication workshop was organised in 5-7 September 2012 in Hyderabad by Health Bridge Alliance – India (ICCO – PRISMA Alliance). It aimed at capacitating the participants on behaviour change framework, formulate/discuss lobby and advocacy strategy for the Health Bridge Alliance, etc. It helped VTRC staff improve their knowledge on the determinants of behavioural change communication like risk perception, attitude, social influence and self- efficacy, etc. [Source: 5c endline self-assessment sheet_management_India_VTRC, 5c endline_questionnaire_training_participant_perspective_India_VTRC_BCCworskhop2012, Minutes - HBA Hyderabad Sept 2012]. This workshop was funded by MFS II [10].
- Training on SRH and prevention of HIV [19]: Two days training programme was organised by VTRC for the animators and staff in April 25-26, 2013 at Bethel Community Development Project, Thoppur. The training was funded with VTRC's own funds [42]. The objective of the training was to improve the knowledge, approach, attitude of the staff on promotion of SRH and effective HIV prevention. This resulted in the change agents gain knowledge on HIV related symptoms, anti-retroviral therapy, prevention methods, use of herbal medicines to treat HIV/AIDS, etc. [Source:

2011, 2012, 2013 - Health Training Details.xlsx, Staff capacity building programme minutes report Apr'13 (1)].

- *Sharing and learning at Health Brigade Alliance (HBA) [16].* The health Bridge Alliance was formed in 2011 consisting of six partners (The Leprosy Mission Trust India, Emmanuel Hospitals Association, Help a Child of India, Christian Outreach Uplifting New Tribes, CARE Network and Word and Deed India). [Source: VTRC Historical timeline table & narrative, Health Bridge Alliance - Evaluation Report - Draft Version, CARE Network Evaluation Report]. During MFS I period (2006-2010) these six organisations were individually implementing health related projects for poor and vulnerable sections of India as part of a global health programme supported with funds from the Dutch government that Prisma accessed through ICCO cooperation and made available to partners of Prisma and their Indian counterparts. At the beginning of MFS II the donor suggested that Indian partners form a Programmatic Collaboration to give the programme a wider impact and better sustainability of the programme. Thus, six partners, facilitated by an international coordinator from Red een Kind, joined the coalition and developed a 5 year country plan for the years 2011 to 2015. The multi stakeholder process based on joint analysis, shared vision and objectives and capacity building trainings facilitated VTRC to improve the capacity of the staff and in strategic planning. [Source: Health Bridge Alliance - Evaluation Report - Draft Version, CARE Network Evaluation Report, CARE Network - Program Activity Narrative Report - 1st Quarter 2014]. The following are some of the HBA sharing and learning meetings:
  - **Health Bridge Alliance meeting 5th September 2012** Secunderabad, Hyderabad [Source: Minutes -HBA Hyderabad Sept 2012, CARE- Review of Partners Outcomes]: It was organised by Word & Deed India and Mr. Christopher & Dr. Shanti Davidar of VTRC participated in the meeting. The objective was to review the April 2012 Theory of Change and Behavioural Change workshop at Bangladesh, sharing and learning on SRHR issues, how to fine-tune and prepare expert guidance for the ToC. The behaviour change framework was thoroughly discussed. This discussion resulted in VTRC actively promoting and encouraging positive behaviour change among the community by disseminating information regarding the entitlements available for enhanced Reproductive and Child Health (RCH) indicators. It helps promote awareness on various health issues, immunisation, ANC/ PNC, HIV etc. It is in the process of promoting positive values among the younger people which is expected to show long term results. It is evident that more and more people are aware of the causes of HIV and Sexual Transmitted Disease and are openly talking about it and seeking help. This is also evident from the increased number of youths who have gone for HIV testing during the current year. Also key SRHR and HIV/AIDS issues in India are discussed and strategy developed how to address the issues, e.g. complementing the public health movement by providing evidence showing lack of access to government services [Source: CARE- Review of Partners Outcomes].
  - **Health Bridge Alliance meeting 19-21 November 2012, Madurai** [Source: Madurai Minutes-HBA – 2012]: The objective was to review the progress of 2012 program and prepare the action plan for 2013 which included context analysis, Theory of Change, Lobby and Advocacy plan. Also the alliance partners reviewed the India Health Alliance Country Plan for 2011-2015 and the Lobby and Advocacy Plan for each Partner. The alliance partners were supported in developing / identifying tools for Behavior Change.
  - **Health Brigade Alliance meeting at Chennai in August 2103** [Source: HBA Meet August 2013 - Chennai - Minutes of the Meeting]. The aim was to discuss/learn/plan on various health related issues, on gender issues having the greatest impact on the health and well-being of households of India. Furthermore there was discussion on Theory of Change, Gender and Right based approach etc. Also Lobby and Advocacy plans were discussed and action points were drafted up to November 2013 for each partner organisation and for the alliance as a whole.

Development of IEC materials and lobby and advocacy curriculum [13].

Apart from increased knowledge and skills on SRH and HIV/AIDS the development of IEC materials and curriculum has also supported the capacity of VTRC staff to deliver SRH and HIV/AIDS programme. VTRC developed IEC materials on SRH/HIV such as pamphlets and booklets for awareness campaigns in ANCs, PNCs and youth meetings and in the school. The materials are largely developed in the areas of sexual well-being, nutrition, environment, hygiene, SRH, HIV/AIDS, etc. [Source: CARE Network - Half yearly Activity Report – 2014, CARE Network - Health - Annual Activity Report – 2013]. Visualization of the messages in these IEC materials capacitated/facilitated the staff to better translate the awareness campaign [Source: Endline Evaluation workshop VTRC 2014]. This resulted in improvement not only in knowledge and perceptions about SRH/HIV but change in attitude, behavior and response across the target population. It is evident from the project evaluation by Dr. Vijay Aruldoss from 20th May to 29th May 2014 that the IEC materials on SRH/HIV were developed and were largely used in the awareness campaigns and programs organised in the target villages [Source: CARE Network Evaluation Report, CARE Network - Half yearly Activity Report – 2014, CARE Network - Health - Annual Activity Report – 2013]. Apart from IEC materials, the Health Bridge Alliance partners developed a Lobby and Advocacy curriculum in 2013. The aim of this curriculum is to capacitate the partners in skills and knowledge about designing a campaign for awareness and lobbying, identifying milestones, developing linkages/alliances with civil society, government officials, academicians and international NGOs, how to make your voice heard to your issues. As a result the individual alliance partners are expected to create awareness and lobby on various health related issues such as sexual reproductive health, HIV/AIDS, child abuse, malnutrition, etc., at the local, district and state level and the Health Bridge Alliance at the national level. The objective of VTRC is also to create awareness on SRH, HIV/AIDS, child rights, etc., and lobby for the needs of the community by adapting a participatory approach (this was discussed above). This curriculum capacitates the staff to develop better a strategy for awareness and lobby. [Source: Advocacy and Lobbying workshop Curriculum 2013, L&A Plan Alliance PI33 Options, Endline Evaluation workshop 2014 VTRC]. So sharing and learning within the HBA [16] contributed to the development of IEC material and manual on SRH and HIV/AIDS [13].

Capability to adapt and self-renew - outcome area 'Improved PME [4]'

Improved PME has contributed to revision of strategic planning [38] [Source: Endline evaluation workshop of VTRC; CARE - 2014 annual strategy changes, 5c endline self-assessment sheet_management_India_VTRC] Some of the revisions in strategy [38] were as follows:

- The target group (beneficiaries) was changed from 13 -30yrs to 15- 45yrs of age, in order to have a smaller, feasible target population to show tangible results.
- Instead of merely focusing on antenatal care and post natal care in training and mentoring interest groups and change agents, it was decided to give more focus on attitude, social influence and self-efficacy to increase the intention of behaviour change towards sexual being and access services in government facilities.
- Instead of empowering only women, it was also decided to motivate men to function as active partners in restoring family, societal roles and responsibilities.
- VTRC Included lobby and advocacy in the area of child protection in line with the alliance Lobby & Advocacy plan.

Improved PME has also contributed to being more effective in implementing and achieving the objectives of the CARE Network project [40] [Source: Health Bridge Alliance - Evaluation Report - Draft Version, 2014]. Improved PME, and especially the planning part has led to the communities with which VTRC works becoming better mobilised, informed and empowered which resulted in claiming their entitlements in terms of quality health services from the government [41] [Source: Health Bridge Alliance - Evaluation Report - Draft Version, Endline evaluation workshop of VTRC, 5c endline self-assessment sheet_management_India_VTRC, Theory of change - narrative - CARE network - Updated - December 2013].

Improved planning, monitoring and evaluation (PME) [4]: Strategic planning and better reporting improved the capacity of the organisation to be more effective in implementing and achieving the CARE Network project's objectives [Source: Health Bridge Alliance - Evaluation Report - Draft Version, 2014]. Since the baseline in 2012, the staff has improved their capacity in communication/articulation, developing new initiatives etc., because of several MFS II supported capacity building trainings. ICCO in its feedback also stated that skills of the staff in report writing, communication/articulating, conceptualising the idea of community development etc. has improved [Source: 5C endline_support to capacity development sheet_CFA perspective_India_VTRC_RedeenKind_NB, 5c endline interview guide_OD consultants_selected indicators_VTRC, 5c endline self-assessment sheet_management_India_VTRC, 5C endline_support to capacity development sheet_SPO perspective_India_VTRC(3) - updated - 24 03 2014].

Improved planning, monitoring and evaluation (PME) [4] is another key organisational capacity change that took place since the baseline in 2012. This is mainly related to improved reporting [20] and improved planning [21]. Each of these changes are further explained below.

Improved reporting [20]

There is significant change in the reporting in the last two years. The reporting has been strengthened with beautiful case studies, success stories, photos etc. The reports are now more structured, well informed and the queries and indicators are better answered. The staff has improved their capacity in communication/articulation, in report writing[Source: 5c endline interview guide_OD consultants_selected indicators_VTRC, 5C endline_support to capacity development sheet_CFA perspective_India_VTRC_RedeenKind_NB]. Better reporting was due to improved analytical skills [22] and feedback from donor and network partners [24], as described below.

- *Improved analytical skills [22]:*
  The staff improved their skill and are conscious in collecting information from the field and analysing it. The analytical skills of the staff improved primarily due to the Advanced PMEL training in Nepal [23] which was funded by MFS II [10] [Source: 5c endline interview guide_OD consultants_selected indicators_VTRC, 5C endline_support to capacity development sheet_CFA perspective_India_VTRC_RedeenKind_NB].
- Advanced PMEL Training[23]. Ten days PMEL training program was organised at Nepal by REK and the Woord en Daad alliance on 11-17 September 2013. The CARE Network coordinator of VTRC attended this training. The objective of the training was to train PME skills, data analysis skill, ToC as basis for a good M&E system, research design, using excel for quantitative data analysis and case studies preparation. It resulted in having more insight on PMEL developing smart indicators and TOC, better report writing [Source: Advanced PMEL training Report APC Nepal, 5c endline _ questionnaire _training _participant _perspective _ India_VTRC_APMEL training2013, 5c endline self-assessment sheet _ management _ India_VTRC].
- Feedback from donor and network partners [24]:
  Help a Child India (HACI) is the country partner for Red een Kind (REK) who supports VTRC through monitoring and evaluating its health project and providing feedback on reports which is supported by MFS II [10]. HACI conducts a midterm evaluation of the CARE Network for REK. REK through HACI contributed in developing formats, questionnaires and guidance for the evaluation study. There were separate questionnaires for the community, government representatives and CARE representatives. Through this evaluation HACI analyses each outcome indicator and gives remarks on each indicator to VTRC. It gives direct feedback when visiting the projects and through phone, skype, email with CARE Network coordinator. VTRC also receives feedback on its quarterly reports from HACI. This has all helped to improve VTRC's staff's, especially the CARE Network coordinator, analytical skills so that they deliver better reports [Source: 5C endline_support to capacity development sheet_CFA perspective_India_VTRC_RedeenKind, 5c endline_assessment sheet_Dutch co-financing organisations_India_VTRC_RedeenKind, CARE- Review of Partners Outcomes, CARE Network Evaluation Report].

Improved planning and review[21]

There is improved planning according to Woord en Daad. When comparing the 2011 and 2014 annual plans for the CARE Network programme it is evident that there is significant improvement in the planning process in terms of defining objectives, indicators and outcomes [Source: 5C endline_support to capacity development sheet_CFA perspective_India_VTRC_RedeenKind, CARE Network - Annual Plan - Health – 2014, CARE Network Annual Plan - 2011 (Existing Format)]. VTRC started using participatory approach in planning the Edugate programme since July 2014. As the community is now involved in the planning process, their needs are better identified and planned for. In the CARE Network programme the strategy has been changed to focus on 15-35 age groups, to give more focus on attitude, social influence and self-efficacy to increase the intention of behaviour change towards sexual being and accessing services in government facilities. Furthermore the CARE Network programme is focused on empowering and motivating both men and women to function as active partners in restoring family, societal roles and responsibilities, etc. for better implementation of the programme. Improved Planning [21] was due to better identification of gaps [25] and participatory planning [26] and the theory of change workshop [9]. These are further described below.

- Capacitated by the Theory of Change (ToC) workshop on April 2012 in Bangladesh [9] [Source: Theory of change - narrative - CARE network - Updated - December 2013, 5C endline_support to capacity development sheet_CFA perspective_India_VTRC_RedeenKind_NB, 5c endline_ questionnaire _training _participant_perspective _ India_VTRC_ToCworskhop2012]. VTRC developed a strategic plan 2014-15 for the CARE Network programme, based on the ToC concept to empower communities accessing quality health care services for SRH and HIV prevention in 150 villages of Madurai & Salem Districts (Tamilnadu state). Various pathways are developed on the ToC concept for better achievement of goals in the CARE network programme. Further, using the ToC has helped in planning a process of cooperation, strengthening and lobbying with the state health systems for better implementation. Also there is a peer review and results framework that keeps them on track.

- Better identification of gaps [25]. Gaps in planning are better identified through:
  - Organisation-scan (O-scan) [27]: This is a monitoring tool developed by ICCO for its alliance partners to monitor and assess the development of partner organisations (vision & strategy, internal organization, projects and programs and linking & learning). The results of this O-scan report are submitted bi-yearly to the HBA country coordinator as a requirement for MFS funding [Source: http://www.iccokia.org/southernafrica/assets/ File/icco_alliance_annual_report_2010_-_lowres.pdf, HBA Meeting minutes Dahka April 2012]. This facilitated the organization to find gaps particularly in the CARE Network programme and use it for better planning as a process of organizational development.
  - More systematic review meetings [31]
    A monthly review meeting is conducted for the both the Edugate and CARE Network programme at the end of every month in which activity planning for the next month is carried out with all the staff members. The reports are not only reviewed but gaps are identified, challenges are discussed and strategies are planned in alignment with the vision of the organisation with an aim to address the gaps and challenges. Following a systematic approach, gaps were better identified. The improved review meetings are primarily the outcome of the Advance PML training on September 2013 in Dhaka [23]. This is evident in the theory of change narrative for CARE network 2013, that identified gaps in existing government and non-government programs which helped in better planning for SRHR programme implementation [Source: Health Bridge Alliance - Evaluation Report - Draft Version, CARE Network Evaluation Report, 5c endline self-assessment sheet_management_India_VTRC, Theory of change - narrative - CARE network - Updated - December 2013, CARE Network - Health - Annual Activity Report – 2013, Advanced PMEL training Report APC Nepal]. Peer review was also used to review the programme. The review was carried out at different levels: the change agents and the cluster supervisors meet on a weekly basis to review the reports and plan accordingly. Then the programme manager and the cluster supervisors meet on a monthly basis to further discuss and plan on the basis of the weekly findings and [Source: CARE Network - Health - Annual Activity Report – 2013]. VTRC starting using this system because they became a member of the HBA [14].

- Stakeholder meeting and Outcome study reports [8]
  This year (2014) VTRC conducted stakeholder meeting in the villages to involve the parents in the review and planning process. The participants were mostly the parents of the tuition children. These meetings facilitate the identificationof needs of the parents for better planning the Edugate programme. E.g. in the July 2014 stakeholder meeting the parents suggested about the summer camp for children to be included in the annual plan and budget of 2014, and consequently it was incorporated in the annual plan 2014. This was the outcome of Participatory Integrated Child Development (PICD) workshop on April 2012 in Bangladesh [29] [Source: Annual Plan - 2014 Edu Gate], funded by MFS II [10].
- It is evident in the assessment sheet CFA perspective that yearly monitoring of VTRC is carried out by country partner Help A Child India (HACI) for REK. As per this VTRC conducted outcome study in October 2013 involving HACI. Five days assessment was carried out at the organization and field level to assess the progress of the project and its impact. It is evident in the outcome study report 2013 that the observations and recommendation were shared with the staff [Source: Outcome study Report - VTRC - Educate Program]. ICCO also gives donor perspective feedback on quarterly reports and during the annual visit to the organisation. This further facilitated the staff to identify the gaps and review the strategic plan [Source: 5C endline_support to capacity development sheet_CFA perspective_India_VTRC_RedeenKind_NB, Edugate – Annual Report – 13].
- Participatory planning and review [26]
  Over the last two years VTRC has streamlined its review and planning meetings by adopting a bottom up approach in planning. According to this process the change agents and tuition teachers get feedback from the communities and together with cluster supervisors meet respectively to review and monitor the programme on a weekly basis. The reports and feedback are then reviewed and monitored by the supervisors and programme managers on a monthly basis and make strategic/operational plans. Every month a general staff meeting is organised where the director also participates to monitor the programmes and review the reports and plans [Source: CARE Network Evaluation Report, 5c endline self-assessment sheet_management_India_VTRC]. Since 2014 it has adapted a participatory approach process in the Edugate programme where even the communities are actively involved in the planning process after the Participatory Integrated Child Development workshop [29]. They also monitor the functioning of the tuition centres and provide input. It is evident from the fact that on the 20th of July 2014 a stakeholder meeting was held with parents to discuss the annual plan of the Edugate project, based on these discussions a summer camp was included in the new annual plan 2014 so that the children learn through play way method of instruction, through games and cultural activities for the holistic development of children [Source: 5c endline self-assessment sheet_management_India_VTRC, 5C endline_support to capacity development sheet_CFA perspective_India_VTRC_RedeenKind_NB, Annual Plan – 2014]. Participatory planning was due to VTRC taking the programmatic approach [32].
- Programmatic approach [32]
  The organisation has been trying to work with the Programmatic Approach as capacitated by ICCO and her Dutch partners in the Health Brigade Alliance [14]. It is a process that leads to multiple stakeholders working together based on a joint analysis of a problematic, shared vision and purpose and clear perspective on the results of the cooperation. In such a process all actors do different things, work at various levels and use their own strengths for the common purpose, as well as share some activities and in particular share, plan and participate in the linking and learning and lobby and advocacy processes [Source: Health Bridge Alliance - Evaluation Report - Draft Version, HBA Meeting minutes August 2013 Chennai].

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The Centre for Development Innovation works on processes of innovation and change in the areas of food and nutrition security, adaptive agriculture, sustainable markets, ecosystem governance, and conflict, disaster and reconstruction. It is an interdisciplinary and internationally focused unit of Wageningen UR within the Social Sciences Group. Our work fosters collaboration between citizens, governments, businesses, NGOs, and the scientific community. Our worldwide network of partners and clients links with us to help facilitate innovation, create capacities for change and broker knowledge.

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CECOEDECON end line report

MFS II country evaluations, Civil Society component

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This report describes the findings of the end line assessment of the Centre for Community Economics and Development Consultants Society (CECOEDECON), partner of ICCO.

The evaluation was commissioned by NWO-WOTRO, the Netherlands Organisation for Scientific Research in the Netherlands and is part of the programmatic evaluation of the Co-Financing System - MFS II financed by the Dutch Government, whose overall aim is to strengthen civil society in the South as a building block for structural poverty reduction. Apart from assessing impact on MDGs, the evaluation also assesses the contribution of the Dutch Co-Funding Agencies to strengthen the capacities of their Southern Partners, as well as the contribution of these partners towards building a vibrant civil society arena.

This report assesses CECOEDECON's contribution towards strengthening Civil Society in India and it used the CIVICUS analytical framework. It is a follow-up of a baseline study conducted in 2012. Key questions that are being answered comprise changes in the five CIVICUS dimensions to which CECOEDECON contributed; the nature of its contribution; the relevance of the contribution made and an identification of factors that explain CECOEDECON's role in civil society strengthening.

Keywords: Civil Society, CIVICUS, theory based evaluation, process-tracing

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List of abbreviations and acronyms

ASHA	Alliance for Sustainable & Holistic Agriculture
CBO	Community Based Organisation
CDC	Civic Driven Change
CCDU	Communication and Capacity Development Unit
CDI	Centre for Development Innovation, Wageningen UR
CDHR	Centre for Dalit Human Rights
CEC	Centre for Environment Concerns
CECOEDECON	Centre for Community Economics and Development Consultants Society
CFAs	Co-Financing Agencies
CFO	Co-Financing Organisation
CS	Civil Society
CSC	Community Score Cards
CSO	Civil Society Organisation
DCNC	Development Coordination Network Committee
FCRA	Foreign Contribution Regulation Act
FTN – Asia	Food, Trade and Nutrition Coalition- Asia
GDP	Gross Domestic Product
ICDS	Integrated Child Development Scheme
IDF	India Development Foundation
INC	Indian National Congress
JP	JalPrahari
KSS	Kisan Seva Samiti
KSSM	Kisan Seva Samiti Mahasangh
MoFA	Ministry of Foreign Affairs
MFS	Dutch co-financing system
MLA	Member of Legislative Assembly
MNREGA	Mahatma Gandhi National Rural Employment Guarantee Act
MoU	Memorandum of Understanding
NABARD	National Bank for Agriculture and Rural Development
NGO	Non Governmental Organisation
NREGA	National Rural Employment Guarantee Act
NRHM	National Rural Health Mission
NSWC	National Social Watch Coalition
PAIRVI	Public Advocacy Initiatives for Rights and Values in India
PCPNDT	Pre-Conception and Pre-Natal Diagnostic Techniques
PHED	Public Health Engineering Department),
PIIRD	Participatory Initiative for Integrated Rural Development
PME	Planning Monitoring and Evaluation
PPP	Public Private Partnership
PRI	Panchayat Raj Institution
RTI	Right To Information Act
SANSAD	South Asian Network for Social and Agricultural Development
SAP	South Asia Partnership - India
SDM	Sub District Magistrate
SPO	Southern Partner Organisation
SROI	Social Return on Investments
SSB	Soil Seed Banks
SSI	Semi-structured Interview
SUSTAINET	Sustainable Agriculture Information Network
SVM	Sahariya Vikas Manch
SWARAJ	Social Work Academy for Research and Action Jaipur

ToC	Theory of Change
UNCCF	United Nations Framework Convention on Climate Change
UNCTAD	United Nations Conference on Trade and Development
VANI	Voluntary Action Network India
VDC	Village Development Committees
Wageningen UR	Wageningen University & Research centre
WASH	Water Sanitation and Health
WNTA	Wada Na Todo Abhiyan
WSF	World Social Forum
YPO	Yearly Plans of Operations

1 Introduction

This report presents the civil society end line findings of CECOEDECON in India which is a partner of ICCO under the ICCO Alliance. It is a follow-up to the baseline assessment that was carried out in 2012. According to the information provided during the baseline study CECOEDECON is working on MDG 1 – private sector and agriculture.

These findings are part of the overall evaluation of the joint MFS II evaluations to account for results of MFS II-funded or –co-funded development interventions implemented by Dutch CFAs and/or their Southern Partner Organisations (SPO) and to contribute to the improvement of future development interventions. The civil society evaluation uses the CIVICUS framework and seeks to answer the following questions:

- What are the changes in civil society in the 2012-2014 period, with particular focus on the relevant MDGs & themes in the selected country?
- To what degree are the changes identified attributable to the development interventions of the Southern partners of the MFS II consortia (i.e. measuring effectiveness)?
- What is the relevance of these changes?
- What factors explain the findings drawn from the questions above?

The CIVICUS framework that comprises five dimensions (civic engagement, level of organization, practice of values, perception of impact and contexts influencing agency by civil society in general) has been used to orient the evaluation methodology.

Changes in the civil society arena of the SPO

In the 2012 – 2014 period, the two most important changes that took place in the civil society arena of CECOEDECON are related to 'Civic Engagement' and 'Level of Organisation'. Most important changes observed with regards civic engagement relates to the fact that all Village Development Committees (VDCs), Kisan Seva Samiti (KSS) at block level and their apex body KSSMS at state level have taken a more leading role for their future. Evidence provided for this consists of the fact that they drafted their Vision Document and that they prepared a People's Manifesto together with CECOEDECON and Sanjha Manch in view of the 2013 state and the 2014 general elections: 39 of these demands were included in the manifestoes of the two leading national parties. At the same time some evidence has been collected that shows that KSS and VDCs' have improved their services to their constituents and that they increasingly take the lead in ensuring that entitlements of their communities are made available to them.

With regards to 'level of organisation', CECOEDECON managed to diversify its financial resources with funding coming from new international donors, government and private sector. The VDCs and the KSS increasingly take up grassroots mobilisation to negotiations with ministers and obtained an increased understanding of different micro and macro level issues.

These findings were obtained through an analysis of documents, a workshop and follow-up interviews with the SPO, and interviews with external resources persons working in civil society organisations that receive support from the SPO; other civil society organisations with whom the SPO is collaborating; public or private sector agents and; external resource persons capable of overlooking the MDG or theme on which the SPO is concentrating.

Attribution - Contribution analysis

Based upon an analysis of the projects and programmes financed by the Dutch CFAs a selection was made of SPOs to be included in an in-depth process tracing trajectory and those to be included for a quick contribution assessment. CECOEDECON was amongst those SPOs selected for in-depth-process tracing.

Because of the integrated nature of the SPO programme, only one combined outcome has been looked at: KSSs (five KSSs in Jaipur, Baran, Tonk districts of Rajasthan) are capable to influence public sector policies and practices. The evaluation team looked at the extent to which these KSSs were able to

“function as key implementing, coordinating, monitoring and evaluating institutions for government schemes and policies […] at community level”, were strengthening Panchayati Raj Institutions and became independent enough to bring about a collective Farmers’ Movement as stated in the PIIRD V programme proposal. In practice, many results were achieved but with a different degree of involvement of the KSSs. Two examples of policy changes have been looked at: 1) Field trials for Genetically Modified seeds that were stopped by the previous Rajasthan government were publicly reconfirmed in May 2014 by the new Government; 2) On May 6 three procurement centres for Bengal gram (chickpea) and mustard where inaugurated in Chaksu, Phagi and Malpura blocks that would guarantee Minimum Support Prices (MSP). When the government put up a limit that only two sacks would be procured per farmer whereas they had harvested dozens of sacs, the government was again pressurised after which it declared to take four sacs per person on May 13, 2014.

With the information available it is hardly possible to conclude upon the extent to which these KSSs are capable of functioning independently from CECOEDECON and to what extent their organisational capacity has increased since the 2012 baseline study. We observe however that in both cases KSSs are capable to represent the needs of their constituencies and to react upon their demands, as well as to mobilise them when action is needed; that KSSs are able to engage with government administrations and elected bodies, and that they know their rights, at least when MSPs are concerned. We also observe that KSSs are still dependent upon CECOEDECON in financial and material terms and occasionally also in technical terms. Another observation with regards to the information obtained is that the boundaries between CECOEDECON, KSSMs and KSSs and VDCs are blurred.

The outcomes achieved are to be seen as the result of a *causal package*, consisting of CECOEDECON and KSSM with its constituents, as well as their more than 25 year lasting relationship. Within this causal package, either CECOEDECON takes the initiative or KSSM and its constituents.

Other actors and factors that are important in achieving the outcomes but in themselves do not explain the outcome (necessary but not sufficient) consist of CECOEDECON’s huge network at both Rajasthan state and national level.

Relevance

Interviews with staff of CECOEDECON, with external resource person, with the liaison officer of ICCO, as well as contextual information helped to assess the relevance of CECOEDECON’s interventions in terms of; its Theory of Change (ToC) for Civil Society as designed during the baseline study; the context in which CECOEDECON is operating, and; the Civil Society policies of ICCO.

The interventions of CECOEDECON are relevant in relation to its Theory of Changes constructed in 2012. These interventions support the empowerment of people and support them in claiming their rights and fulfilling their responsibilities. As such, they also align with CECOEDECON’s overall goal which is ‘Empowerment of people that is inclusive’, however progress being made to the achievement of this goal is still scarce and anecdotal.

With regards to the context in which CECOEDECON is operating, its interventions and outcomes achieved are relevant because they have contributed towards the empowerment of community-based organisations such as the VDCs, KSSs and KSSMS; they have brought together influential people/sections like academicians, ex bureaucrats, media, opinion makers, farmer organisations etc. with regards to the issue of GM field trials in the state. Moreover, farmers are more aware of their rights and have joint CECOEDECON in its lobby and advocacy efforts to halt the introduction and the use of GM seeds in the state.

With regards to the Civil Society policies of ICCO, the organisation’s interventions are relevant because they contribute to ICCO’s Food and Nutrition Security Program which aims to strengthen civil society by improving local sustainable food and nutrition systems and supporting communities to claim their right to food.

Explaining factors

The information related to factors that explain the above findings was collected at the same time as the data were gathered for the previous questions. The evaluation team looked at internal factors within CECOEDECON, the external context in which it operates and the relations between CECOEDECON and ICCO.

Internal factors within the SPO that explain the findings are: its dedicated staff, although it has been difficult to retain younger staff; the organisational structure which includes representatives of the target groups in the Executive Committee; the credibility of the executive leadership and the maturity of the organisation which has a huge network.

The most important external factor that explains the findings is the political situation that CECPOEDECON used as a conducive environment to bring about changes.

The most important factors that explain the findings with regards to the relation between CECOEDECON and ICCO consist of the long lasting relationship between the two organisations that was based upon respect and trust.

The following chapter briefly describes the political context, the civil society context and the relevant background with regards to the MDG/theme CECOEDECON is working on. Chapter three provides background information on the partner organisation, the relation of its MFS II interventions with the CIVICUS framework and specific information on the contract with ICCO. An evaluation methodology has been developed for the evaluation of the Civil Society component which can be found in appendix 2 of the country report; however, deviations from this methodology, the choices made with regards to the selection of the outcomes for contribution analysis, as well as difficulties encountered during data collection are to be found in chapter 4. The answers to each of the evaluation questions are being presented in chapter 5, followed by a discussion on the general project design in relation to CS development; an assessment of what elements of the project design may possibly work in other contexts or be implemented by other organisations in chapter 6. Conclusions are presented in chapter 7.

2 Context

This paragraph briefly describes the context CECOEDECON is working in. A description of the Civil Society Context assessed according to the CIVICUS framework is provided in appendix 3 of the country report for Civil Society.

2.1 Political context

Rajasthan is the largest state in India in terms of area, but in terms of population it is the eighth. At the time of the baseline in 2012, the Indian National Congress was in power in the state. Following the 2013 state elections, the right-wing Bharatiya Janata Party (BJP), came to power. In the 2014 general elections, the BJP won a majority and also formed the government at the centre. With the BJP in power at the centre and the state, there was a likelihood of greater cohesion in policies. However the central government and that of Rajasthan differ in opinion and approaches regarding Genetically Modified Organisms; the centre has been giving indications towards a greater push for GM crops and field trials, which is in contrast to the Rajasthan government's stand that has banned field trials for GM crops[1].

Agriculture is the biggest sector in terms of employment (approximately 61% of the workforce is engaged in it, as per the 2011 census data), though it contributes only for 19.60% to the state's GDP and is plagued by a low growth rate. One of the reasons for this is that more than half of the area under cultivation in Rajasthan is rain fed and farmers can only harvest a single crop in a year. Furthermore, this situation is exacerbated by recurrent droughts and a precarious ground water situation. However, despite these disadvantages, Rajasthan still represents a big agricultural input market and it is for this reason that seed companies with GM seeds want to penetrate the state's market to sell seeds to farmers.

2.2 Civil Society context issues with regards to the MDG

Among the most important changes with regard to the civil society context in Rajasthan, since 2012 have been – poverty reduction and the change in government, which could impact the fight against GM crops field trials[2].

Poverty in Rajasthan has seen drastic reduction over past couple of years. According to the IMF (International Monetary Fund), during 2009-10 and 2011-12, the average decline in Rajasthan's poverty head count rate was 5.05 per cent, which was the third highest among 16 big states of India[3]. The decline in the poverty head count rate has been linked to the welfare schemes introduced by the Congress-led state government of 1998 and 2008. The trend of introducing new welfare schemes and supporting the existing ones by Congress party's rival, the BJP when it came to power in 2003-2008 helped in its continued and effective implementation[4].

The GM companies tried hard to enter the agriculture market of Rajasthan, through various means. However, while the previous Union Minister for Environment and Forests banned the commercial

[1] *Refer*, http://timesofindia.indiatimes.com/india/Govt-may-ignore-RSS-pressure-and-back-GM-crop-field-trials/articleshow/45313236.cms
[2] Refer Section 2.1- Political Context of this report.
[3] *Refer*, http://www.imf.org/external/pubs/ft/wp/2014/wp1463.pdf
[4] *Refer*, http://www.business-standard.com/article/economy-policy/how-rajasthan-reduced-poverty-113080600021_1.html

release of BT brinjal[5], the Congress-led state government went a step further and burnt the ongoing field trials of GM crops in the state. The BJP government, which came to power in the state in 2013, has continued with the policies of the previous government, and the incumbent agriculture minister of Rajasthan has declared that his government will not start the field trials of GM crops.

The gains made by the civil society through stopping the GM field trials and bringing the farmers' agenda to the forefront in Rajasthan, now seem to be threatened by the newly elected BJP government at the centre which has given indications that the GM field trials might be restarted. This, along with its drive to attract big industry funds, is seen by many as clashing directly with the farmer's agenda in the state. The Prime Minister, Narendra Modi, since his stint as the Gujarat Chief Minister, is considered to be pro-business and predisposed towards the interests of industrial houses. Since, the party came to power in early 2014, it has quickly passed environment clearances for "polluting industries" like the POSCO project in Odisha. This was in spite of massive protests surrounding these projects[6]. This is an indication that the rights of the poor, tribal groups and farmers might play second fiddle to his "development drive".

The outgoing Congress government announced a number of welfare schemes before and during the elections, e.g. revision of minimum wages, increase in scholarships, free health care services and free medicine for the poor, relaxation in eligibility for pensions etc. Since proper and timely implementation of these welfare schemes needed massive applications and outreach, NGOs were roped towards facilitating this and thus, the interaction between the government and NGOs working on these themes improved over this period.

Rajasthan is considered as one of the driest states in the country. This year, almost 21 out of 33 districts received less than 70 per cent rainfall than they were supposed to, creating fears of a possible drought, and crop failure.

In terms of climate change policies, India still holds to the "common but differentiated responsibilities (CBDR)" approach vis-à-vis the developed countries. India in the context of CBDR believes that, since the developed countries are more responsible for climate change, should therefore, carry more responsibility in reducing their current carbon footprint. The Kyoto Protocol has been extended to 2020 with 192 participant states, including India[7].

The **Bt brinjal** is a suite of transgenic brinjals (also known as an eggplant or aubergine) created by inserting a crystal protein gene (*Cry1Ac*) from the soil bacterium *Bacillus thuringiensis* into the genome of various brinjal cultivars. The insertion of the gene, along with other genetic elements such as promoters, terminators and an antibiotic resistance marker gene into the brinjal plant is accomplished using *Agrobacterium*-mediated genetic transformation.

[6] *Refer, http://www.moneycontrol.com/news/economy/modis-pro-business-approach-to-hurt-environment-poor_1168775.html*

[7] *Refer, http://edition.cnn.com/2013/07/26/world/kyoto-protocol-fast-facts/* [8] http://www.CECOEDECON.org.in/boardmembers.html 25-11-2014

3 CECOEDECON and its contribution to civil society/policy changes

3.1 Background of CECOEDECON

The Centre for Community Economics and Development Consultants Society (CECOEDECON) was founded by a small group of young, committed social workers to provide immediate relief to the victims of devastating floods in Jaipur district in 1982. CECOEDECON has since then evolved into a civil society organization pursuing integrated participatory development and advocating human rights.

The organization has an authentic and informed perspective of micro-macro dynamics. The criterion for undertaking interventions is that they should lead to community self-reliance and empowerment. Thus, its work centres on the unfulfilled needs and ignored rights of partner communities.

Since its inception, the organization has tried and tested various approaches to development, emphasizing different strategies, while working at the local, state, national and international level. Through the long experiences and learning's the organization gradually shifted from a project approach to a programme approach to rural development in 2000. It was believed that this more holistic approach to rural development serves to integrate various components to address the issues of poor and marginalized community and further build community empowerment. The shift represented a significant step towards incorporating the Rights Based Approach in to the organization's programmes. CECOEDECON's 29 years of development work has contributed significantly to the capacity building of its partner community, civil society and NGO's.

The organisation stimulates the formation and strengthening of CBOs by relying on branch / block offices. Each branch office serves around 100 villages, which are in turn split into 5 clusters of 20 villages each to raise the effectiveness of the interventions. Branch offices work very closely with Village Development Committees (VDC) and are the primary source of information to CECOEDECON on the progress being made by them. At this moment CECOEDECON has 15 branch offices.

Both VDCs, youth and women committees are federated at block level in Kisan Seva Samiti (KSS), which in their turn are federated in one apex body at state level, which is the Kisan Seva Samiti Mahasangh (KSSM).

Vision: "To achieve such development which is socially acceptable, economically viable, environmentally sound, effective in impact and addressing the needs and issues of the under privileged and marginalized people."

Mission: "To enhance the capacities of marginalised communities and other partners, by engaging in multiple strategies at different levels, so that they are able to take action independently to secure their rights for long term well-being"

Strategies: CECOEDECON adopts a number of strategies that have been developed over a period of time, based on past experiences, lessons learned from various reviews/ reflections and from the new challenges emerging in the external environment. It makes a difference in Core Organisational and Core Development strategies.

CECOEDECON has 172 staff of which 31 are female (figures 2009). At present, four of the nine board members are female[8]. Its organizational structure accords a very significant place for the multi-disciplinary Executive Committee (EC), which is an integral part of entire structure. The EC also includes representatives from satellite institutions and Kisan Seva Samiti (KSS). Since the 'Board Retreat' in 2007, the EC members play an important role not only in providing direction and policy

[8] http://www.CECOEDECON.org.in/boardmembers.html 25-11-2014

guidelines but also in actively participating in the regular project/programs. It authorizes the Secretary to lead, direct, manage, and be accountable for overall operations of CECOEDECON. It also appoints a 'Director' who is responsible for programme direction, planning monitoring, training, liaising and resource mobilization.

3.2 MFS II interventions related to Civil Society

The fifth Participatory Initiative for Integrated Rural Development (PIIRDP) covers five blocks (namely Chaksu, Niwai, Phagi, Malpura and Shahbad) of the Tonk, Baran and Jaipur districts of Rajasthan. It has three thematic areas: Livelihood Security (through farm and off farm/non-farm income), Economic Justice (Trade negotiations, Land acquisitions, Climate change, GMOs and Biodiversity) and Basic Rights (Children Rights, Health rights, gender, social security). In addition to these three thematic areas, CECOEDECON also works on its own organisational development and on institutional development. This last topic includes the strengthening of village institutions such as Panchayats, VDCs, women and youth groups and a civil society building component including democratic rights and establishing dialogues with other CSOs on governance and accountability issues.

With the new contract signed for the April 2012 – March 2014 period, ICCO's contribution to PIIRD programme is only 14%. This has been detailed in the contract agreement covering the period April 2012-March 2014.

Within the thematic area on livelihood security and financed by ICCO, only the forming of farmers clubs can be related to civil society building (level of organisation). The target was 15 farmer clubs formed (unclear whether it relates to the overall period of implementation or to a milestone per year).

Within the thematic area on economic justice, ICCO only supports activities under the specific objective 2 "To generate awareness among community members on the climate change related issues, lobby for implementation of actions for climate change at all levels." These are all related to the CIVICUS dimension on perception of impact / policy influence.

Within the thematic area on basic rights, ICCO funded activities specifically linked to the girls (specific objective 3: "To undertake interventions for adolescent girls to enhance their self-esteem and empower them with life skills") and connected to the CIVICUS dimensions civic engagement and perception of impact.

With regards to the component on organisational and institutional development, ICCO supports activities that strengthen the capacities of communities to undertake Planning Monitoring and Evaluation actions (and therefore to ask their partners to be accountable), and that strengthen the lobby and advocacy capacities of the apex institution which is the Kisan Seva Samiti Mahasangh (KSSM) at state level. These are related to CIVICUS dimension on perception of impact. ICCO also supports activities that are aimed at building a stronger civil society linking CSOs across states. These can be linked to CIVICUS dimension on perception of impact but also on level of organisation.

3.3 Basic information

Table 1
SPO basic information.

Subject	Details			
Name of SPO	CECOEDECON			
Consortium and CFA	ICCO Alliance (ICCO)			
Project name	Participatory Initiatives for Integrated Rural Development (PIIRD) – phase V			
MDG/theme on which the CS evaluation focusses	MDG 1			
Start date of cooperation between the CFA and the SPO	2000			
Contracts signed in the MFS II period	Period	# months	Total budget	Estimation of % for Civil Society
	April 2012-March 2014	24 months	97,314.32 €	57%

Source: project documents

4 Data collection and analytical approach

4.1 Adjustments made in the methodology of the evaluation

Fourteen staff attended the first day of the workshop, of which five persons were field staff, one programme manager, five members of executive leadership and three members from the HR and administration departments. 11 respondents attended the detailed interview session on the claimed outcomes on the second day of the workshop. Even though only the availability of the executive leadership and programme manager had been requested, the field staff was also present for these interviews which was appreciated by the evaluators. This was because CECOEDECON leadership felt that the staff members from the field who had been workshop participants on the first day had years of on-ground experience, and that their information base, knowledge and perceptions would enrich the evaluation of the organisation's achievements and drawbacks over the past two years. The discussion that ensued saw equal and enthusiastic participation by all levels of CECOEDECON. The responses to most queries were an amalgam of information and views that came from across the organisation's hierarchies.

After several discussions between the evaluation team members and to give full consideration to the integrated nature of the work CECOEDECON does, it was decided to develop only one model of change focusing on strengthening intermediate organisations.

4.2 Difficulties encountered during data collection

Most of the external resource persons interviewed during the first phase of the end-line evaluation process were in some way or the other linked to the organisation (members of Intermediate Organisations like KSSs, VDCs etc), except two (a development academic and a female representative of a Panchayat Raj Institution - PRI)). Consequently, a new set of external resource persons had to be identified for interviews towards filling up information gaps and soliciting objective opinions; for example, representatives of large networks like Wada Na Toda, GM Free Coalition of India were approached.

With regards external resource people, finding a respondent from the state government willing to be interviewed was very challenging which is understandable given that bureaucratic protocol forbids unauthorised and impromptu communication. Persistent efforts, however, saw one block level official agreeing to provide the evaluators with his feedback on CECOEDECON, this on assurance of anonymity.

Since not many substantially significant NGOs exist in the areas in which CECOEDECON is working with MFS II funding, seeking rival opinions or explanations was difficult. The gap in evidence was filled, to some extent, by researching for newspaper coverage and printed reports, as also conducting corroborating interviews.

The nature the activities CECOEDCON engages in is very varied—ranging from technical-issue-driven themes like GM crops and climate change to administrative and brick and mortar concerns like the setting up of procurement centres for lentil or grain- making it challenging for the evaluators to ascertain the organisation's role in the outcomes it claimed were its achievements. In fact, for some outcomes CECOEDECON had led the change, in others it had been an able collaborator with other change agents. To distinguish and define this varying degree of CECOEDECON's role in the outcomes was demanding. Moreover the limited contribution of ICCO to the overall programme made asserting the contribution of MFS II to strengthen civil society difficult.

4.3 Identification of two outcomes for in-depth process tracing

During the plenary session of the workshop, the CECOEDECON staff listed more than a dozen outcomes under both the pre-selected Civil Society Strategic Outcomes for contribution analysis (Civic Engagement and Strengthening Intermediate Organisations). The workshop proceedings, however, led the evaluators to realise that evidence for a number of claimed outcomes was insubstantial; these outcomes were therefore eliminated as subjects for further study. Four outcomes—namely, 'preparation of vision document', 'opening of Minimum Support Price (MSP) procurement centres', 'campaign against GM seeds' and 'preparation of the People's Manifesto'—were identified for detailed process tracing.

Later at the documentation stage, according to the methodology's initial intent, the four outcomes were organised under the two pre-selected CSSOs. Barring 'preparation of the People's Manifesto', the three remaining outcomes were seen as suitable to be studied with regard to CECOEDECON's efforts at strengthening its Intermediate Organisations, the KSS and VDCs. This even as, the preparation of a People's Manifestos for state assembly and national elections showed up as the only outcome (in terms of evidence to confirm or reject it) that was the consequence of CECOEDECON's efforts to increase civic engagement. Pursuing this single outcome for in-depth study seemed to add very little incremental value to the evaluation, and hence it was excluded as a subject for further investigation.

The impact outcome chosen is: KSSs (five KSSs in Jaipur, Baran, Tonk districts of Rajasthan) are capable to influence public sector policies and practices. As stated in CECOEDECON PIIRD V*th* phase 2012-2015 proposal, "the upcoming phase [Vth phase] is about consolidation of the KSS as key *implementing*, *coordinating*, *monitoring* and *evaluating* institution for government schemes and policies […] at the community level." In terms of capacity, the evaluation team broke these aspects along various lines:

1. KSSs are recognised as a body to represent the needs of their constituencies;
2. KSSs are able to follow and monitor the changes (linked to government schemes and policies) influencing the lives of their constituencies;
3. KSSs are able to generate the appropriate resources needed for their actions;
4. KSSs are able to mobilise their constituencies when needed;
5. KSSs are able to relate with other CSOs and actors in Rajasthan;
6. KSSs are able to relate with government and political parties.

The degree of achievement of these aspects varies greatly.

We are focussing upon the KSSs as middle level organisational institutions between VDCs and the KSSMS. While the selected members of VDCs form the KSS, members of KSSs collectively form the KSSMS. Hence, analysing capacities of the KSSs give us the advantage to cover CBOs like VDCs and the KSSMS also, in an indirect manner.

This outcome relates to ICCO's contribution to strengthen the capacities of communities to undertake Planning Monitoring and Evaluation actions (and therefore to ask their partners to be accountable), and that strengthen the lobby and advocacy capacities of the apex institution which is the Kisan Seva Samiti Mahasangh (KSSM) at state level.

5 Results

5.1 Results obtained in relation to intervention logic

Based on the input-output-outcome analysis prepared in May 2014, we can conclude that in general, CECOEDECON has reached the targets set in the contact with ICCO. The following outputs have been realised for each of the themes.

Livelihood security
From the 10 agricultural models planned to be implemented during the contract period, all have been achieved but it is not clear exactly when. With regards farmers clubs, the 2013-2014 report mentions that 15 farmers clubs out of 15 planned were formed. The 2012-2013 report mentions that 75 out of the 75 planned courses for the farmer clubs were done. In March 2014, 19 out of the 20 planned were achieved. The 2013-2014 report states that a study on the impacts of water harvesting structures was carried out in Chaksu and Niwai Blocks where more than 20 Water Harvesting Structures were covered. The link with climate adaptation is not clearly made in the report.

Economic justice
As planned, CECOEDECON attended the UNFCCC meetings in 2013 and in 2014 with a team of delegates. They also participated in National Consultation meetings such as a pre-COP consultation. Nevertheless, the outcome of the participation in these meetings, which was meant to negotiate the inclusion of perspectives of small and marginal farmers in the climate change agenda, is not clear. Considering the mobilization on adequate regulatory mechanism for GMOs (linked to BRAI bill), 2 planned events have been achieved in urban areas but only 33% of the awareness generation activities were done, reaching 330 participants. There is no specification about this deviation. By March 2014, 80% of the planned awareness generation activities on the theme were achieved in rural areas, reaching 1540 participants. Three planned advocacy meetings with media were held (the last one being a press-conference) and by March 2014 the issue had been discussed with different stakeholders during meetings on people's manifesto as well as in all 5 blocks during several sub-group meetings (such as KSS, Youth groups etc.). Capacity building of biodiversity committees did not take place because these committees were not set up by the government as agreed. To overcome this issue it was decided to work on awareness generation of community members regarding the formation of Biodiversity Management Committees. A People's Biodiversity Register was also prepared.

Basic rights
By March 2013, one girl camp was held with less participants than envisioned in the proposal (36 instead of the 50 planned). These girls did receive five courses on life skills. By March 2014 another camp was held with 69 participants, which was more than envisioned. However, they only received 3 sessions on life skills. What is surprising is that the life skills courses were conducted in 3 different places (Shahbad, Newai and Phagi). They had respectively 59, 42 and 10 participants, which add up to more than the number of participants of the camp. The activities seem to have achieved their goal as described in the 2012-2013 report.

Organisation and institutional development
Two exercises on Community Score Cards (CSC) were done: one in the village Gaundhi of Phagi block in June 2012 on the Public Distribution System with a follow up in October 2012 and another one in January 2013 in Suratrampura village on School Management Committees, also with a follow up. Over the project period and as planned, two trainings in monitoring tools were implemented (it is not clear whether these are different than the 2 CSC exercises) and one on resource mobilization for staff. In terms of mobilization and advocacy for alliance building, influencing stakeholders and authorities on issues of overlooked rights at various level of governance; 8000 copies of the newsletter 'AWAJ' of KSSM were meant to be disseminated. Although the newsletter is mentioned to be an important publication for the project, the reports do not specify how many copies were disseminated.

As stated in the 2013-2014 report, the consolidated charter of demands (people's manifesto) was submitted to all the political parties and their manifesto committees in a published form. It followed five regional consultations that fed into a national consultation.

The planned study on status of civil society organizations in India has been implemented. The evaluators used some of the results in the description of the general socio-economical context of India.

5.2 Changes in civil society in the 2012-2014 period

5.2.1 Civic engagement

Civic engagement describes the formal and informal activities and participation undertaken by individuals to advance shared interests at different levels. Participation within civil society is multi-faceted and encompasses socially-based and politically-based forms of engagement.

With regards to civic engagement, the end-line process showed a slight improvement of the already high score given during the baseline process.

For the last thirty years, CECOEDECON has been working on the creation of Village Development Committees (VDCs) and other CBOs at village level, then started to organise these into a representative structure at block level (5 KSS created in three districts), called the Kisan Sewa Samitis (KSSs) and in a later stage an apex body, named Kisan Sewa Samiti Mahasangh (KSSMS) was created at state level that now represents the above mentioned categories in society. In these structures the representation of women at a 50 percent is mandatory and the total number of members was also decided upon in early stages and did not expand. Since the 2012 assessment, and also before that, CECOEDECON's intervention zone has not expanded to other blocks and districts.

Since the 2012 baseline, these CBOs improved the quality of their services to their constituents: for example, the KSSs are now more independent, and manage to take the lead in ensuring that entitlements of their communities are made available to them[9].

All VDCs, KSS and their apex body the KSSMS came together to brainstorm and chart out future plans for themselves in a series of meetings held in the CECOEDECON office, which resulted in an indigenously documented mandate and a way-forward strategy in February 2013, titled the Vision Document, which shows that these CBOs are taking more of a leading role for their future.

Also, like during the baseline, CECOEDECON continues to work with the Sahariya tribe through the CBO, Sahariya Vikas Manch (SVM), to secure their rights through broad-based interventions including education, agriculture, natural resource management, securing land rights. The organisation started to work with the Nat community in Kotkhawada village of the Chaksu block to address chronic poverty and illiteracy of Nat girls and women who are caught into prostitution since 2012.

As observed during the baseline assessment the VDCs, KSS and KSSM play a central role in the planning, monitoring and evaluation of programme activities.

More than during the baseline, CECOEDECON is working on forging and nurturing links with legislatures, parliamentarians and PRI (Panchayati Raj Institution) members, as a means to show the VDCs and the KSS the values of working and interacting with these elected representatives. In view of the 2013 state assembly and of the 2014 general elections, CECOEDECON, together with the KSSMS, and the CSO-coalition Sanjha Manch prepared People's Manifestos which included demands raised by these organisations and presented it before national political parties, like BJP and the Congress: Thirty nine of these demands were included in the election manifestoes of the two leading national political parties, BJP and the Congress.

[9] CECOEDECON staff

Also, CECOEDECON with the KSSs and Public Advocacy Initiatives for Rights and Values in India (PAIRVI), organised five block level consultations with PRI members on Panchayati Raj related issues where around 300 participants, including the media, participated.

Score baseline 2012 on an absolute scale from 0-3: 3

Score end line 2014, relative change on a scale of -2 → +2 1

5.2.2 Level of organization

This dimension assesses the organisational development, complexity and sophistication of civil society, by looking at the relationships among the actors within the civil society arena. In general, we can conclude that CECOEDECON has made slight improvements with regards this dimension between 2012 and 2014, with considerable improvements being made in the composition of its financial resources.

CECOEDECON is still or even more connected to local, national and international networks on the issues of food security, sustainable agriculture, environment, farmer's rights etc. Since the baseline it engaged in some new relations such as the South Asian Network for Social and Agricultural Development (SANSAD), the National Social Watch Coalition (NSWC) or the Centre for Environment Concerns (CEC). Its most intensive collaboration remains with the VDCs, KSSs and KSSMS. In the past period the capacities of these CBOs have again been strengthened and collaboration intensified beyond routine, including other CSOs, when KSSM elaborated its Vision Document; when the People's Manifesto was drafted and campaigned for; when the campaign against the GM field trials continued and; when the Minimum Price Support procurement centres were created by local governments. Like they had during the baseline, CECOEDECON personnel named the VDCs, KSSs and KSSMS as the best defendants of the marginalised.

Increasingly CBOs take up grassroots mobilisation to negotiations with ministers with an increased understanding of different micro and macro level issues. The field staff credited the Sahariya Vikas Manch (SVM) as having capably defended the interests of its community, this with support from the Ekta Parishad.

After ending its partnership with ICCO, CECOEDECON has been able to diversify the composition of its resource base by identifying new international donors, obtaining different supports from the government and private sector foundations, as well as through income generating activities such as renting the office location. Increasingly food and beverage costs during protests and rallies are borne by villagers themselves[10].

Score baseline 2012 on an absolute scale from 0-3: 3

Score end line 2014, relative change on a scale of -2 → +2 1

5.2.3 Practice of Values

Practice of Values refers to the internal practice of values within the civil society arena. Important values that CIVICUS looks at such as transparency, democratic decision making, taking into account diversity that are deemed crucial to gauge not only progressiveness but also the extent to which civil society's practices are coherent with their ideals. The situation with regards this dimension described during the baseline remains unchanged at the time of the end line.

Though none of the structures in place are remarkably different from the time of the baseline, CECOEDECON's executive leadership and programme managers felt that downward accountability within the organisation had improved over the past two years, and attributed such positive change to the board becoming more systematic and its members taking a more active part in the organisation's projects. The field staff and HR and Accounts staff, meanwhile, observed no change in downward accountability. The composition of social organs has not changed either since the baseline. Like in 2012, CECOEDECON continues to be audited annually by external auditors as per statutory requirement. It conducts internal audits twice in a year. The executive leadership said that over the

[10] KSS members

past two years efforts have been made towards enhancing transparency, accuracy and refined information regarding accounts. CECOEDECON's Financial Manual is updated regularly, even as its internal financial systems are rigorously monitored by the programme staff. Financial statements are shared by the accounts unit with the programme staff on a monthly basis for accuracy and proper follow up.

Score baseline 2012 on an absolute scale from 0-3:	**3**
Score end line 2014, relative change on a scale of -2 → +2	**0**

5.2.4 Perception of Impact

Civil Society arena–changes

In the 2012 -2014 period the following moderate improvements were observed in the civil society arena to which CECOEDECON seemingly has contributed.

In the first place the VDC, KSSs, KSSMS and the CBO SVM that supports the Sahariya people are increasingly capable to identify their own needs and organise appropriate action. They are increasingly aware on how to access welfare schemes and other public schemes. A major achievement is that the KSSMS and its members have drafted their own 'Vision Document" that presents their strengths and weaknesses as a community support structure and strategies for the future.

Some KSSs have shown to be capable to lobby the local governments with regards to the establishment of minimum support price procurement centres, meant to source agricultural harvests at a minimum price when market prices are very low; conduct crop risk and damage assessments that helped to lobby the government to obtain compensation when harvests are destroyed by climate conditions such as the 2014 hail storm, and; obtain drinking water facilities in 2013, that the KSSs had been lobbying for since 2010.

On two occasions and after a training provided by CECOEDECON, KSSs and public service deliverers have been using the community scorecard tool to assess the quality of services delivered. A first experience targeting the Public Service Delivery System in general [11] showed improvements within the first three months of the assessment and the second one, focussing on school management quality did however not lead to considerable improvements.

CECOEDECON continues to support SVM in defending the rights of the Sahariya people with regards to reclaiming their land; access to education; recognition of their Scheduled Tribe rights to special reservations to be respected for jobs in the public sector.

Despite these improvements since the baseline and based upon 30 years of support, the CBOs still state that they are technically and financially dependent upon CECOEDECON.

Collaboration with and influencing the public and private sector

Apart from these more or less independent activities, the VDCs, KSSs, KSSMS and SVM have joined many of the initiatives taken by CECOEDECON with regards to the ongoing campaign to sustain the ban of GM crops and field trials in Rajasthan state; the Rights to Service Act; the effective implementation of the Pre-Conception and Pre-Natal Diagnostic Techniques Act to stop female foeticide and the like.

Together with the above mentioned organisations, CECOEDECON grasped the opportunity of both the 2013 state elections and the national elections in 2014 to draft a People's Manifesto based upon several meetings organised at block level and state level. Thirty nine demands of this manifesto were included in the election manifestoes of the two leading national political parties, BJP and the Congress in 2014.

CECOEDECON, as during the baseline in 2012, has continued working with government agencies to ensure that their target groups get access to a number of welfare and development schemes such as the National Bank for Agriculture and Rural Development (NABARD) financial support. Example of

[11] PDS in the country facilitates the supply of food grains and distribution of essential commodities to a large number of poor people through a network of Fair Price Shops at a subsidized price on a recurring basis. *Refer*, http://epds.nic.in/

these include its support given for paperwork to be done by both the state agency and its target groups when the eligibility criteria for pension were enlarged; support given to the government in its annual campaign to boost school enrolment; assistance to Directorate of Soil and Water Conservation (DSWC) with its watershed evaluation; organisation of training for government officials; work with the public health sector for appropriate drinking water facilities.

No changes are to be observed with regards to collaboration with and influencing the private sector: CECOEDECON continues to receive funding from a range of private sector organisations but no evidence exists that it is working towards influencing their Corporate Social Responsibility policies and practices.

Score baseline 2012 on an absolute scale from 0-3: 2

Score end line 2014, relative change on a scale of -2 → +2 1

5.2.5 Civil Society Environment

The social, political and economic environment in which civil society operates affects its room for manoeuvre. The civil society context has been described in chapter 3. In this section we describe how CECOEDECON is coping with that context.

The factors affecting negatively CECOEDECON's work have remained the same since the baseline: a) fund crunch; b) reduction in monetary support from international donors; c) changes in the Foreign Contribution (Regulation) Act 2010 (FCRA 2010)[12] which made getting foreign funding difficult; c) drought and attempts of the government to cut on relief work; d) resistance from the community and doctors when opposing female foeticide and child marriage.

To counteract financial constraints, the organisation has been successfully looking to diversify its funding base but in practice it was not enough and according to staff CECOEDECON is being pushed to change its approach from programme-base to project-base[13].

In the 2012–2014 period, the new centre-right government further imposed more conditions on NGO and foreign funders under the FCRA as a means to restrict internationally-funded non-governmental activities on sensible issues as GM crops.

A positive change in the context relates to changed government rules to direct diversion of CSR funds from philanthropic activities to the development sector, which has helped generate new funding sources for CECOEDECON.

Score baseline 2012 on an absolute scale from 0-3: 2

Score end line 2014, relative change on a scale of -2 → +2 1

5.3 To what degree are the changes attributable to the Southern partners?

Based upon an analysis of all projects and programmes financed by the Dutch NGOs in India, Indonesia and Ethiopia, four orientations strategic for civil society development were identified as a focus for answering the attribution/contribution questions: Ensuring that more people from more diverse background are engaging in civil society activities; ensuring that the organisations that receive support from the SPO are capable of playing their role in civil society–intermediate organisations; strengthening the relations with other organisations in civil society to undertake joint activities, and; influencing policies and practices of public or private sector organisations. For India the focus is on enhancing civic engagement and strengthening intermediate organisations.

[12] FCRA 2010, an act to regulate the acceptance and utilisation of foreign contribution by certain persons or associations. *Refer*, http://indianexpress.com/article/india/india-others/only-11-of-22-ngos-in-ib-report-are-fcra-compliant-none-filed-13-14-statement/99/

[13] When asked, the field staff could not elaborate more on this issue. Nevertheless it clearly shows a concern.

As described in paragraph 4.3 for CECOEDECON only one strategic orientation was maintained (intermediate organisations) after concluding that the organisations over the past years has worked with the same number of VDCs, KSS, KSSM and VSM, with the same number of persons of which 50 % are women. However within this one strategic orientation, the evaluators looked at the extent to which the KSS are capable to represent the needs of their constituencies (civic engagement).

5.3.1 Strengthening Community Based Organisations

The PIIRD V project document states that KSS should be able to function as key implementing, coordinating, monitoring and evaluating institution' for government schemes and policies such as MNERGA, Right to Education, Right to information, food security and social security schemes, mid-day meal, ICDS, disaster management, trade issues and issues related to credit etc. at the community level. They will be strengthening the Panchayati Raj Institutions. Apart from this they should be able to become independent functioning units that can work to bring about a collective Farmers' Movement on different issues of marginalized.

The workshop with CECOEDECON revealed that since the baseline many outcomes were achieved with regards to policy influencing in which the VDCs, KSS and KSSM were involved at different degrees, such as the drafting of the Vision Document, authored by the KSSM in a very participatory process; continuous efforts to stop GM seed field trials by the Government; ensuring that farmers can benefit from the government's policy on MSP and lobbying before state elections in 2013 and national elections in 2014; and many other outcomes.

Based upon this the following impact outcome was chosen to assess the capacity of the KSS: KSSs (five KSSs in Jaipur, Baran, Tonk districts of Rajasthan) are capable to influence public sector policies and practices. However CECOEDECON does not keep records that systematically monitor how KSS and VDCs are performing.

We used two outcomes of policy influencing to find out what role the KSS played in these. The first relates to the fact that GM crops are banned in Rajasthan and that GM field trials have also stopped, but that these decisions needed to be confirmed after the 2013 elections when the Congress Government was replaced by that of a right wing BJP Government. The second relates to continued efforts of CECOEDECON and KSS and KSSM to guarantee minimum support prices (MSP) to agricultural harvests when open market prices are too low for small farmers to cover the costs. Since 2012 this led to two outcomes achieved:

Examples used

1. *Field trials for GM seeds stopped by the previous Rajasthan government and publicly reconfirmed in May 2014 by the new Government*. Efforts to stall the promotion of GM (Genetically Modified) crops in the state have been going on since a very long time. CECOEDECON and the KSS are part of a larger group (GM Free Coalition) that works on this issue across the country. Because of a series of efforts, the field trials of GM crops were stopped in the state during previous government's tenure in March 2012 (before the baseline assessment). However in the light of the 2013 state elections, networking with mainstream political parties to make Rajasthan a GM free state were continued as a means to prevent that a new government would reverse the anti-GM campaigns' success. In May 2014 the new minister of agriculture re-confirmed in a newspaper interview that his BJP government would not restart such field trials.
2. *On May 6 three procurement centres for Bengal gram (chickpea) and mustard where inaugurated in Chaksu, Phagi and Malpura blocks that would guarantee MSPs. When the government put up a limit that only two sacks would be procured per farmer whereas they had harvested dozens of sacs, the government was again pressurised after which it declared to take four sacs per person on May 13, 2014.* MSPs are one of the long term issues related to agriculture that has been the focus of the work of CBOs as KSS and KSSMS. As a rule, if the market price of a crop is below MSP rate, then the government procures it at the MSP rate to ensure income security and thus ensures financial stability for the farmers.
   In 2014, there has been a bumper crop of chickpea in Jaipur and Tonk districts and the open market price dropped below the MSP rate without procurement centres being opened in these districts. In April-May 2014, farmers approached their KSSs and together with KSSM and CECOEDECON the government was lobbied.

For both examples we identified three rival pathways, the first assuming that VDCs, KSS and KSSM were capable to achieve these outcomes on their own; the second assuming that they still needed assistance from CECOEDECON and the third that other actors and factor explain the outcomes related to the May 2014 declaration regarding GMOs in the agricultural sector and that of the procurement centres opened.

Field trials for GM seeds stopped by the previous Rajasthan government and publicly reconfirmed in May 2014 by the new Government

Pathway one: KSS, KSSM alone managed to obtain this declaration of May 2014.

Information that *confirms* this pathway:

- The members of the KSSs and KSSMS met with the former and the new agricultural minister after assembly elections and convinced him to keep the field trials stalled in the state, a declaration of which was published in a newspaper[14,15];
- Two respondents however state that the KSS and KSSM are capable of operating in an independent way but do not provide clear examples[16]. KSS members state that they now only ask support from CECOEDECON for 'those things where we are not able to understand something, otherwise most of the interventions-needs assessments etc. we do at our own."

From a 2011 campaign that resulted in the cancellation of a Memorandum of Understanding between the State of Rajasthan and seed company Monsanto we observe that VDCs, KSS and Farmers organizations of the three of the 33 districts and the 5 blocks where CECOEDECON is intervening, have been able to submit memorandums to the Chief Minister of Agriculture in 2011 in which they raised their concerns about a MoU signed between Monsanto and the State of Rajasthan.

CECOEDECON at the time, making use of the Right to Information Act ad found out that the MoU violated the law. Additional lobbying with representatives from the legislature and parliamentarians, use of media and rallying were other strategies used at the state level. The CBOs were also able to sensitize the departments concerned at their own local government levels, rallied and sensitized Members of Legislative Assembly and the Media. In consequence 46 Gram Panchayats passed a resolution that they would not use GM seeds in their area. The initiative for this campaign was however taken by CECOEDECON and implemented together with KSSM the KSS and VDC, together with a platform of 150 organisations (NGOs, media, CBOs, academics) called Sanjha Manch[17]. Apart from this, CECOEDECON's role was perceived to be crucial in terms of providing scientific knowledge to their CBOs and other farmer organisations; seeking expert advice when needed (finding out that the MoU was breaching the laws in place); mobilizing people and providing key facilities necessary to meet and functioning as a key resource centre[18].

[14] Interview with KSSMS and News clipping
[15] Interview with KSSM representative
[16] Interview with academic and with KSS member
[17] CECOEDECON. 2012. Movement against MOUs between the Government of Rajasthan and private seed companies Success story of an initiative taken by Kisan Sewa Samiti and Sanjha Manch
[18] Sanjha Manch

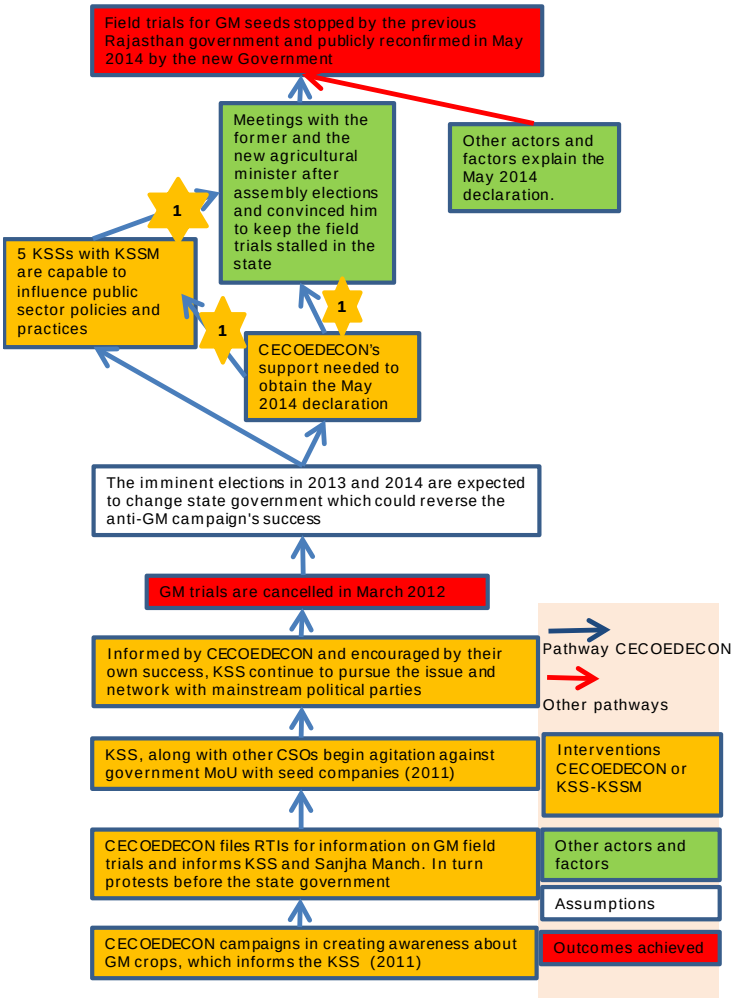

Figure 1: *Pathways that possibly explain outcomes and conclusions about the nature of the relations between pathways and the outcome, Capacity of KSS to stop GM trials in 2014*

After this campaign KSSs created the awareness and mobilised communities on the issue of "No to GM Food" and the harmful effects of GM crops to facilitate the shift to organic farming. This contributed towards the Agriculture Minister of India signing the petition to ensure access to safe food and promotion of organic farming. Also the KSSMS, along with other farmers' unions like Bhartiya Kisan Sangh, Bharatiya Kisan Union etc. met the Chief Minister of the state to convince him to stop the GM field trials. The CM ordered the trials to be stopped in 2013, which was reported in newspapers[19].

These previous experiences suggest that KSSM and the KSS do know the issues at stake when addressing GMOs as well as know how to campaign successfully, which is supportive of the pathway that they themselves were capable to convince the new Minister to reconfirm the ban upon GM seeds.

Information that *rejects* this pathway:

- A CECOEDECON staff member acknowledges the risk that VDCs, KSSs and KSSMS are dependent upon skilled professionals for technical inputs and assistance in identifying current as well as emerging issues and states that such assistance was being and is being provided by the SPO. This is being confirmed by others who say that the 'second or third rung leadership' has not yet been developed, making it difficult for CECOEDECON to withdraw[20] and KSSM and KSS members who state that they are being financially and materially supported, although they are increasingly trying to overcome this dependency.

[19] Interview with KSSMS
[20] Another academic and another resource person.

Pathway two: CECOEDECON's support needed to obtain the May 2014 declaration

Apart from the fact that CECOEDECON informed and advised KSSM to meet the former Chief Minister Ashok Gehlot and the current agriculture minister Prabhulal Saini, more information confirms their contribution. After the previous government has declared a ban on GM seeds in March 2012 and had stopped GM field trials in 2013, a CECOEDECON staffer explains that they maintained steady communication with the new agriculture minister from BJP, even before the assembly elections, on the issue in 2013. Before the elections the minister agreed to these ideas and committed to continue the ban on GM seeds when his party would come to power. CECOEDECON met him after the elections and asked him to keep his promise which was confirmed by a public statement in a newspaper interview[21].

Pathway three: other actors and factors explain the May 2014 declaration.

A respondent from GM Free Coalition acknowledged that CECOEDECON contributed a lot on the GMO issue in Rajasthan, but there were other organisations and individuals also, like Right to Food Campaign, NCPRI, Aruna Roy etc. who also worked on the issue and that collective pressure led to the change. Further he said that political will was also important as the Congress government of Rajasthan took a firm stand on this (despite pressure from their own party led central government). This statement however refers to the previous government in place in Rajasthan and not to the recent declaration by the new government.

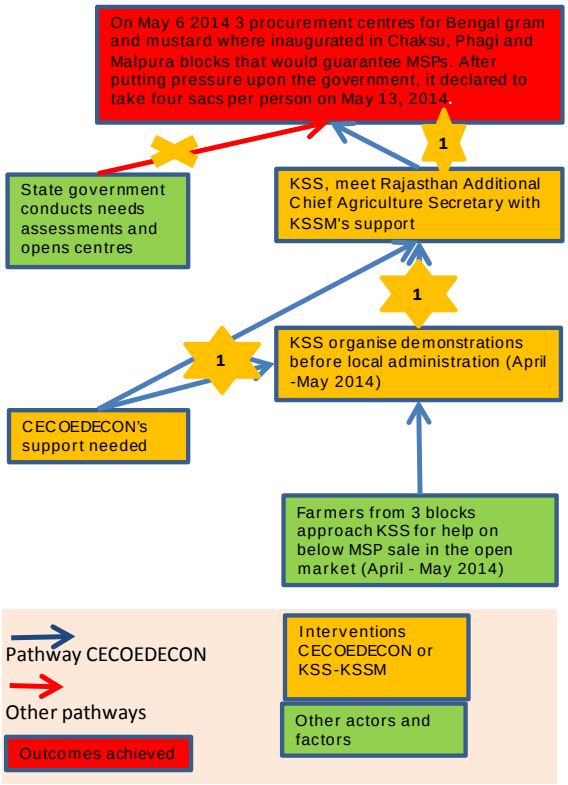

Figure 2: *Pathways that possibly explain outcomes and conclusions about the nature of the relations between pathways and the outcome, Capacity of KSS to obtain 3 procurement centres*

On May 6 2014 three procurement centres for Bengal gram (chickpea) and mustard where inaugurated in Chaksu, Phagi and Malpura blocks that would guarantee MSPs. After putting pressure upon the government, it declared to take four sacs per person on May 13, 2014.

Pathway one: KSS, KSSM alone successfully lobbied for the procurement centres

[21] Interview with CECOEDECON staff

Information that *confirms* this pathway:

- After the three centres were already opened for chickpea and mustard, farmers observed that they could only obtain the MSP for two sacks, whereas they had dozens of sacks to sell. The KSS mobilized themselves and sent a memorandum to the Chief Minister with support of KSSM, after which the government increased the limit tot four sacks[22];
- KSSM assessed the returns on investment by farmers for chickpea and concluded these were too law, after which they met with the agricultural secretary of Rajasthan who than accepted the opening of the centres[23];
- Two respondents state in very general terms that the KSS and KSSM are capable of operating in an independent way[24]. KSS members state that they now only ask support from CECOEDECON for 'those things where we are not able to understand something, otherwise most of the interventions-needs assessments etc. we do at our own."

CECOEDECON, the KSS and KSSM have been working for a long time on the issue of MSP. In 2012-2013 for example they have organized meetings with small and marginal farmers to discuss amongst others the MSP. In each of the five blocks memorandums were developed to draw attention of the state on these issues and also VDCs mobilized farmers in their respective villages. After organizing a big Dharana and rally on the issue of MSP state government took a positive decision of increasing Rs. 100 on the MSP of wheat and also declared to open more than 60 buying centers for Bazra[25]. This would suggest that KSS and VDCs know their rights by now and can ask for the opening of MSP procurement centres.

Information that *rejects* this pathway in favour of support provided by CECOEDECON:

- When observing that chickpea was sold below the MSP in the open market in 2014, farmers demanded interventions after which KSS, KSSM with support of CECOEDECON demonstrated before the administration, resulting in the opening of the three procurement centres[26];
- Some respondents say that KSS and KSSM are not yet capable of operating independently from CECOEDECON because the 'second or third rung leadership' has not yet been developed, making it difficult for CECOEDECON to withdraw[27]. At the same time KSSM and KSS members state that they are being financially and materially supported, although they are increasingly trying to overcome this dependency.

Information that *rejects* both the involvement of the KSS and that of CECOEDECON:

One resource person from the government states that the government should be credited for the opening of the procurement centres and was unaware of CECOEDECON having worked on the MSPs or that any protests were organized by people. According to him a meeting with the MLA of his area had been enough to open the centres.

Discussion and conclusion

With the information available it is hardly possible to conclude upon the extent to which the KSSM, the KSS and the VDC are capable of functioning independently from CECOEDECON and to what extent their organisational capacity has increased since the 2012 baseline study. We observe however that in both cases KSS are capable to represent the needs of their constituencies and to react upon their demands, as well as to mobilise them when action is needed; that KSS are able to engage with government administrations and elected bodies ranging from local government to state government and can draft memorandums if necessary, and; that they know their rights, at least when MSPs are concerned. We also observe that KSS and KSSMS are still dependent upon CECOEDECON in financial and material terms and occasionally also in technical terms. Another observation with regards to the information obtained is that the boundaries between CECOEDECON and the KSSMS with its constituents are blurred.

[22] Interview with CECOEDECON staff
[23] KSSM interview
[24] Interview with academic and with KSS member
[25] CECOEDECON: Important highlights of 2012-13
[26] CECOEDECON staff
[27] Another academic and another resource person.

The outcomes are to be seen as the result of a *causal package*, consisting of CECOEDECON and KSSM with its constituents, as well as their more than 25 year lasting relationship. In this causal package CECOEDECON acts as a resource centre; provides financial and material support; raises the awareness and provides information to grass root organisations on their rights to state schemes and on their livelihood conditions, and; provides technical support on both content and ways to lobby governments.

KSSM and its constituents on the other side also provide CECOEDECON its legitimacy to lobby and advocate the government, to support the government in the implementation of its schemes and to advise the government. Within this causal package, either CECOEDECON takes the initiative or KSSM and its constituents.

Other actors and factors that are important in achieving the outcomes but in themselves do not explain the outcome (necessary but not sufficient) consist of CECOEDECON's huge network at both Rajasthan state and national level.

5.4 What is the relevance of these changes?

5.4.1 Relevance of the changes in relation to the Theory of Change of 2012

As described in the 2012 theory of change, CECOEDECON's overall goal is 'Empowerment of people that is inclusive'. This goal will be reached if people are aware of their rights and responsibilities. This also entails understanding of one's rights in relation to its needs, being able to negotiate one's rights and to influence policies. The other side of the coin consists of people knowing and respecting their duties as citizens. Important conditions necessary to make people aware of their rights and responsibilities are the following: 1) People, households being economically sustainable, experiencing social dignity and experiencing equal opportunities; 2) Gender equality; 3) Favourable schemes and policies for development and strong government institutions for implementation 4) International context and positive policy framework are also necessary for people's empowerment 5) Networks are necessary to ensure that people, communities, NGOs, governments and private companies work together towards shared concerns and causes, and; 6) Access to justice is compulsory for empowerment and needs to be quick, fair and inexpensive.

As shown earlier, PIIRD V was implemented as planned (at least the ICCO funded part that we analysed) and PIIRD aligned with the ToC developed in 2012. A number of outcomes related to women issues have been mentioned during the workshop with CECOEDECON staff but this perspective put in light in the ToC was not further checked (ICCO only supported the girls camps). Condition 6 related to access to justice was not checked either.

The outcomes achieved are well aligned with the ToC drawn out in 2012. The interventions in, both the ToC and MoC, remain the same which include trainings, mobilisation of community, workshops, documentation, campaign, advocacy, networking and meetings. The outcome selected during process tracing ('KSSs have the capacity to influence public policies and practices) with the examples chosen (influence on GMO policies, influence on MSP practice) is relevant to achieve the first condition in the 2012 ToC which is about economical sustainability (condition 1) and for the achievement of the third condition with regards to favourable schemes and policies. The gender condition seems to have been achieved, given the mandatory 50 % representation of women in all CBOs that work with CECOEDECON, though this was not assessed by the evaluation team. With regards to condition 5 we observe that the networks between CDVs, KSS, the KSSM and CECOEDECON have been strengthened, but that networking with private sector did not materialise, whereas collaboration and influencing government has improved and hence contributes to the overall goal of the 2012 ToC.

No interventions contributed towards achieving the sixth condition which is about access to justice and that of an enabling international context and policy environment.

In the past two years, CECOEDECON has also started to focus on social and environmental stability along with economic sustainability, both topics that were not very outspoken in the 2012 ToC.

CECOEDECON's interventions are in line with its very encompassing 2012 theory of change, but evidence that its overall goal 'people empowered' had been achieved is still scarce and anecdotal.

5.4.2 Relevance of the changes in relation to the context in which the SPO is operating

CECOEDECON has contributed towards the empowerment of community-based organisations such as the VDCs, KSSs and KSSMS. The ownership amongst these organisations has increased and they are better able to identify, raise and find ways to address their issues/concerns, making them more confident in knowing and claiming their rights. Also, they are said to maintain a monitoring mechanism to check their progress at various levels (no evidence found). CECOEDECON has also been successful in bringing together influential people/sections like academicians, ex bureaucrats, media, opinion makers, farmer organisations etc. with regards the issue of GM field trials in the state.

Through its work, CECOEDECON has made the farmers more aware of their rights and in turn the changes brought to by CECOEDECON are relevant for the community at large. Although this has not been studied into details, it was mentioned by several interviewees that the changes have particularly benefited women who have been empowered through activities such as SHG formation and have gained increased political participation through interventions such as Special Gram Sabha for women.

It is essential to mention that CECOEDECON has been working in the same area for a long time and that achievements at the level of these communities are more difficult to pin point to the last 2 years. A testimony beyond the MFS II period that highlights the impact of CECOEDECON towards building a vibrant civil society, mostly at community level is as follows: "I am uneducated, but because of the interaction with CECOEDECON I have learnt a lot. When I first came in touch with the organization, one CECOEDECON official told me about the importance of education, and asked me to educate my children. I did the same and now one of my girls is a teacher, another boy is a Rojgaar Sahayak Secretary, one daughter is working in the Swachch Pariyojna and one boy is in class twelve"[28].

In Rajasthan, agriculture is the biggest sector in terms of employment but the sector is plagued by a low growth rate. One of the reasons for this is that more than half of the area under cultivation is rain fed and has one harvesting season. Rajasthan represents a big input market for seed companies that promote the use of GM seeds, which will make farmers dependent upon these companies. CECOEDECON has concentrated on the arrival of GM seeds for many years and it was successful in stopping their introduction in the state, despite the new right wing political party in power since 2013.

5.4.3 Relevance of the changes in relation to the policies of the MFS II alliance and the CFA

ICCO has three core strategies: policy influencing, civil society and poverty alleviation. These three strategies are adapted into each programme. CECOEDECON falls into ICCO's Food and Nutrition Security Program. This programme aims to strengthen civil society by improving local sustainable food systems and supporting communities to claim their right to food. It is about how civil society –SPOs and target groups - is strengthened and capacitated though addressing their own issues, whether it is economic justice, WASH or other livelihood issues. It is also about how they get mobilised, raise their voice, and express their needs in relevant platforms. ICCO's policies are further defined at country level. The achievements of CECOEDECON and its work with the CBOs definitely align with ICCO's Civil Society policy.

It is worth mentioning that ICCO is only funding the girls' camps activity in the PIIRD Vth programme as an activity linked to gender issues. This is surprising knowing the interest ICCO has always shown to advancing the rights of women worldwide.

[28] SVM and KSSM member

5.5 Explaining factors

5.5.1 Internal factors

CECOEDECON's chief executive Sharad Joshi was one among a small group of young social workers who founded the organisation by providing immediate relief to the victims of devastating floods in Jaipur district in 1982. The organisation has since evolved from its modest beginnings as a relief agency into an NGO pursuing integrated participatory development and advocating human rights. CECOEDECON's criterion for undertaking interventions is that they should lead to community self-reliance and empowerment. And this principle has been incorporated into CECOEDECON's internal structure as well, which attributes a very significant place for the Executive Committee (EC), which comprises members of the KSSs. The EC plays an important role in providing direction and policy guidelines, as also in actively participating in the organisations' projects/programmes.

To instil yet more relevant externalities within its internal systems, CECOEDECON's document " Planning Assessment—Way Forward", states that the organisation analyses the context in which it works at four levels: (i) global, (ii) national, (iii) state (iv) local. It takes into account the interrelatedness of issues at all these levels and integrates macro issues into its grassroots work and vice versa.

CECOEDECON seems to have a high staff retention rate. As evidenced during the baseline and the end line evaluation workshops, most of participant staff members, including those from the field, have spent long years in the organisation, some around three decades. This makes for rich experience and long-lasting relationships at the ground level, in turn helping consolidate the organisation's reputation among target communities, as well as the other actors and networks in the state's development sector. The organisation's influence—in the state, nationally and internationally—is derived, in fact, from this connect and standing it enjoys with the target communities on the ground: As also from Sharad Joshi's personal credibility and contacts within the sector, including policymakers, bureaucrats, other NGOs.

CECOEDECON, however, did mention a staffing issue that it is contending with of late. Though its older staff remains loyal to the organisation's cause, the rising expectations of the new generation of development sector professionals was making new recruitment and retention of professional recruits a challenge.

CECOEDECON is considered as a large and mature organisation that has reached significant results at community level (example given with the mass mobilisation around the food security bill which was passed in 2013) and has been able to spread out without losing out of sight its focus on poverty alleviation and direct support to communities.

It has however not adjusted significantly with regards to its changing environment. One of the issues concerns its funding strategies and its ongoing dependence upon foreign aid. A second observation from the evaluation team is that an exit strategy with regards to supporting VDC and KSS for more than 25 years is missing, which enables those CBOs to evolve beyond the support given by CECOEDECON. At the same time such relations also represent an important asset for the organisation which nearly has become a network beyond generations.

These aspects make both the SPO and its CBOs more vulnerable.

5.5.2 External factors

CECOEDECON continues to be relevant to, and derive relevance from, its externalities.

The organisation works at ensuring that the VDCs, the KSS and KSSM remain connected with the larger issues at stake by ensuring their interface with the world outside. Therefore it coaches these CBOs to understand the value of interacting with to interact with elected representatives. The VDCs, KSSs and KSSMS interact with local government organisations whenever need arises, like they did to ensure that a parallel system of girdawari (crop loss assessment) was set up for deciding about the appropriate compensation for farmers whose crops were lost due to heavy hail storms in 2014. The CBOs are also connected to other CSOs and networks. To cite an instance, the KSSs interacted with other organisations during the national consultation on agriculture issues such as farmers' suicides in

December 2013, while preparing the People's Manifesto and with Sanjha Manch in their struggle against GM field trials in the state. The People's Manifesto, in fact, is an example of how CECOEDECON used the election year 2014 to engage itself, and its CBOs, with different sections of society and political parties towards bringing forth farmers' concerns while enlisting mainstream electoral concerns. The Annual Report PIIRD (April 2013 to March 2014) states that CECOEDECON organised a series of media workshops at the block level, which helped it and its CBOs to establish linkages with local media.

5.5.3 Relation CFA-SPO

ICCO has been supporting CECOEDECON for almost 30 years which shows the mutual trust and respect the two organisations have with each other. Before MFS funding ICCO provided core funding to the SPO. In 2013, it was decided to end the relationship not because of targets not reached but because ICCO has changed its strategy. This decision was properly informed and shared. Together they discussed how to make the shift as smoothly as possible. With the information the evaluation team has at hand there are not prominent factors with regards the relation between ICCO and CECOEDECON that could explain the findings.

6 Discussion

6.1 Design of the intervention

CECOEDECON has been working with the VDCs, the KSS for more than 25 years. In the last ten years it has shifted from a project approach to a more holistic and programme approach as well as creating the KSSM as the apex for the CBOs. Despite these many years of collaboration, speaking from a donor and a project driven perspective which seeks results within two to five years only, we conclude that CECOEDECON's design failed in creating CBOs that can operate independently from CECOEDECON. From a longer term and movement building perspective we observe that CECOEDECON has become successful in creating a movement that by now is capable to represent its constituencies that are capable to orient CECOEDECON's interventions because it is represented in the SPO's Executive Committee as well as through the issues that emerge from grass roots to state level. CECOEDECON has thus become part of the movement in which it plays the role of resource centre and coach.

In this sense it is not possible to address the question of replicability as a new project because after 30 years all the persons in the VDCs, the KSS, the KSSM and CECOEDECON staff have become members of one big family that, we hope, will continue with the next generation.

Key questions that we ask ourselves with regards to the design and that remain without an answer are:

- Why did CECOEDECON decide to limit its interventions to three districts out of 33 districts in the State of Rajasthan?
- We conclude that this intervention zone, together with other actors working at state level was enough to achieve policy outcomes and changes in practice at state level and in the districts concerned. However could more have been achieved at state level if CECOEDECON would have expanded its interventions to more blocks in the three districts or to other districts?

6.2 Replication of the intervention

As mentioned earlier, CECOEDECON has been working in the same areas for almost 30 years. Through this constant presence it was able to bring true changes to the communities. Over the years, the staff which is dedicated to the organisation (let us keep in mind that the Executive Director has been involved since the beginning of the organisation), has been able to create not only deep relationships with the communities but also links with the government. These characteristics are very specific to CECOEDECON and it seems very unlikely that another organisation is able to replicate this way of working, even in similar communities. It is also important to mention that the context has drastically changed in the last 30 years and that the (foreign) aid funds which were at that time available are shrinking making it even more challenging to replicate this way of working.

With regards replicating in another state, it is important to note that in the last 2 years and even longer, Rajasthan has benefited from a stable environment (witnessing state and central elections bringing a political party more in favour of industries into power). This has not been the same in other states (North East suffers ethnical conflicts, Odisha is very poor, etc.) which would make the replication of CECOEDECON's model quite challenging.

7 Conclusion

This chapter presents the conclusions for each of the evaluation question as well as concludes on the design of the interventions.

Changes in the civil society arena of the SPO

In the 2012 – 2014 period, the two most important changes that took place in the civil society arena of CECOEDECON are related to 'Civic Engagement' and 'Level of Organisation'. Most important changes observed with regards civic engagement relates to the fact that all Village Development Committees (VDCs), Kisan Seva Samiti (KSS) at block level and their apex body KSSMS at state level have taken a more leading role for their future. Evidence provided for this consists of the fact that they drafted their Vision Document and that they prepared a People's Manifesto together with CECOEDECON and Sanjha Manch in view of the 2013 state and the 2014 general elections: 39 of these demands were included in the manifestoes of the two leading national parties. At the same time some evidence has been collected that shows that KSS and VDCs' have improved their services to their constituents and that they increasingly take the lead in ensuring that entitlements of their communities are made available to them.

With regards to 'level of organisation', CECOEDECON managed to diversify its financial resources with funding coming from new international donors, government and private sector. The VDCs and the KSS increasingly take up grassroots mobilisation to negotiations with ministers and obtained an increased understanding of different micro and macro level issues.

Contribution analysis

Because of the integrated nature of the SPO programme, only one combined outcome has been looked at: KSSs (five KSSs in Jaipur, Baran, Tonk districts of Rajasthan) are capable to influence public sector policies and practices. The evaluation team looked at the extent to which these KSSs were able to "function as key implementing, coordinating, monitoring and evaluating institutions for government schemes and policies […] at community level", were strengthening Panchayati Raj Institutions and became independent enough to bring about a collective Farmers' Movement as stated in the PIIRD V programme proposal. In practice, many results were achieved but with a different degree of involvement of the KSSs. Two examples of policy changes have been looked at: 1) Field trials for Genetically Modified seeds that were stopped by the previous Rajasthan government were publicly reconfirmed in May 2014 by the new Government; 2) On May 6 three procurement centres for Bengal gram (chickpea) and mustard where inaugurated in Chaksu, Phagi and Malpura blocks that would guarantee Minimum Support Prices (MSP). When the government put up a limit that only two sacks would be procured per farmer whereas they had harvested dozens of sacs, the government was again pressurised after which it declared to take four sacs per person on May 13, 2014.

With the information available it is hardly possible to conclude upon the extent to which these KSSs are capable of functioning independently from CECOEDECON and to what extent their organisational capacity has increased since the 2012 baseline study. We observe however that in both cases KSSs are capable to represent the needs of their constituencies and to react upon their demands, as well as to mobilise them when action is needed; that KSSs are able to engage with government administrations and elected bodies, and that they know their rights, at least when MSPs are concerned. We also observe that KSSs are still dependent upon CECOEDECON in financial and material terms and occasionally also in technical terms. Another observation with regards to the information obtained is that the boundaries between CECOEDECON, KSSMs and KSSs and VDCs are blurred.

The outcomes achieved are to be seen as the result of a *causal package*, consisting of CECOEDECON and KSSM with its constituents, as well as their more than 25 year lasting relationship. Within this causal package, either CECOEDECON takes the initiative or KSSM and its constituents.

Other actors and factors that are important in achieving the outcomes but in themselves do not explain the outcome (necessary but not sufficient) consist of CECOEDECON's huge network at both Rajasthan state and national level.

Relevance

The interventions of CECOEDECON are relevant in relation to its Theory of Changes constructed in 2012. These interventions support the empowerment of people and support them in claiming their rights and fulfilling their responsibilities. As such, they also align with CECOEDECON's overall goal which is 'Empowerment of people that is inclusive', however progress being made to the achievement of this goal is still scarce and anecdotal.

With regards to the context in which CECOEDECON is operating, its interventions and outcomes achieved are relevant because they have contributed towards the empowerment of community-based organisations such as the VDCs, KSSs and KSSMS; they have brought together influential people/sections like academicians, ex bureaucrats, media, opinion makers, farmer organisations etc. with regards to the issue of GM field trials in the state. Moreover, farmers are more aware of their rights and have joint CECOEDECON in its lobby and advocacy efforts to halt the introduction and the use of GM seeds in the state.

With regards to the Civil Society policies of ICCO, the organisation's interventions are relevant because they contribute to ICCO's Food and Nutrition Security Program which aims to strengthen civil society by improving local sustainable food and nutrition systems and supporting communities to claim their right to food.

Explaining factors

Internal factors within the SPO that explain the findings are: its dedicated staff, although it has been difficult to retain younger staff; the organisational structure which includes representatives of the target groups in the Executive Committee; the credibility of the executive leadership and the maturity of the organisation which has a huge network.

The most important external factor that explains the findings is the political situation that CECPOEDECON used as a conducive environment to bring about changes.

The most important factors that explain the findings with regards to the relation between CECOEDECON and ICCO consist of the long lasting relationship between the two organisations that was based upon respect and trust.

Design

The outcomes achieved are the result of long-lasting relations between CECOEDECON, VDCs, KSS and later the KSSM, as well as with the respective governments of the place. The outcomes are to be seen as the investments of more than 30 years, with the presence of a charismatic leader, dedicated staff and a stable political environment.

Similar long term investments would be needed to replicate CECOEDECON's intervention strategy in other places or by other organisations.

Table 2

Summary of findings.

When looking at the MFS II interventions of this SPO to strengthen civil society and/or policy influencing, how much do you agree with the following statements?	Score
The CS interventions were well designed	7
The CS interventions were implemented as designed	8
The CS interventions reached their objectives	6
The observed outcomes are attributable to the CS interventions	7
The observed CS outcomes are relevant to the beneficiaries of the SPO	8

Score between 1 to 10, with 1 being "not at all" and 10 being "completely".

References and resource persons

Documents	
Documents by SPO	
Title	*Year*
The Vision Document	February 2013
News Clippings on Protest against GM Field Trials	May 2014
Booklet on Movement against MoUs between the government of Rajasthan and Private Seed Companies	2011
News Clipping on Opening of Procurement Centres	May 2014
News clipping from Awaj Magazine to stop GM field Trials	2011
110815 CECOEDECON Draft Report - Planning Assessment - Way forward	2011
Report on Regional Consultation	?
Progress Report of Activities CECOEDECON 2012	2012
PIIRD Vth Phase Proposal (2012-2015)	2012
Phase IV- Completion Report- (April 2009 to March 2012)	2012
PEOPLES' MANIFESTO 2013	2013
NGO study	?
Important highlights of 2012-13	2013
Case_Study_-_crop destruction	2013
Case Study-Babulal	2013
case study Vaccination	2013
case study LS	2013
case study- Aakodiya	2013
Audited Statement April 12 to March 13	2013
Annual Report PIIRD (April 2013 to March 2014)	2014
Annual Report April 2012 to March 2013	2013
Annual Project Update CECOEDECON	2013
Documents by ICCO (Alliance)	
Title	*Year*
ICCO Alliance Progress Report 2011	2012
ICCO Alliance Progress Report 2012 - Narrative part	2013
ICCO PROGRESS REPORT 2013_FINAL-1may_PART1_NARRATIVE	2014
ICCO PROGRESS REPORT 2013_FINAL-1may_PART2_ANNEXES	2014
ICCO beleidsbrochure (proef4)	2014
MIC's2011-2prefinal pp version02-05FINAL	2014
ReportPoliticalSpace(def)	?
Other documents	

CECOEDECON, ?, *Status of grass root level NGOs in Rajasthan*

CECOEDECON, 2011, *Movement against MOUs between the Government of Rajasthan and private seed companies Success story of an initiative taken by Kisan Sewa Samiti and Sanjha Manch*

Mati J.M., Silva F., Anderson T., April 2010, *Assessing and Strengthening Civil Society Worldwide; An updated programme description of the CIVICUS Civil Society Index: Phase 2008 to 2010.*, CIVICUS

Social Watch, 2012, *Social and Economic Rights Fulfillment Index (SERF), A new Human Rights approach*

Heritage, 2014, *Economic Freedom of India*

Rahul Anand, Volodymyr Tulin, and Naresh Kumar, April 2014, *India: Defining and Explaining Inclusive Growth and Poverty Reduction*, IMF Working Paper WP/14/63

Webpages

Author	*Title*	*Webpage link*	*Date consulted*
Find the Best	India Corruption Information	http://country-corruption.findthebest.com/l/98/India	August 2014
Find for Peace (FFP)	Country data and trends for India in 2014	http://ffp.statesindex.org/2014-india	August 2014
Freedom House	Freedom scores India	https://freedomhouse.org/report/freedom-world/2014/india-0#.VGCiRvlwtcQ	August 2014
World Values Survey	India information	http://www.worldvaluessurvey.org/WVSContents.jsp	November 2014
Vision of Humanity	Global Peace Index for India	http://www.visionofhumanity.org/#page/indexes/global-peace-index/2014/IND/OVER	November 2014
FMSF	Foreign Contribution Regulation Act of NGOs	http://www.fcraforngos.org/	September 2014
The Times of India	Lens on foreign funds to NGOs featuring on IB report	http://timesofindia.indiatimes.com/india/Lens-on-foreign-funds-to-NGOs-featuring-on-IB-report/articleshow/37801293.cms	September 2014
The Times of India	Govt may ignore RSS pressure and back GM-crop field trials	*http://timesofindia.indiatimes.com/india/Govt-may-ignore-RSS-pressure-and-back-GM-crop-field-trials/articleshow/45313236.cms*	November 2014
Business Standard	how Rajasthan reduced poverty	http://www.business-standard.com/article/economy-policy/how-rajasthan-reduced-poverty-113080600021_1.html	November 2014
CNN	Kyoto Protocol Fast Facts	http://edition.cnn.com/2013/07/26/world/kyoto-protocol-fast-facts/	November 2014
Reuters	Modi's pro-business approach to hurt environment, poor	http://www.moneycontrol.com/news/economy/modis-pro-business-approach-to-hurt-environment-poor_1168775.html	November 2014

Resource persons consulted

For confidentiality reasons, the names and details of the respondents have been removed.

Organisation	Function in the Organisation	Relationship with SPO
Kisan Seva Samiti (KSS)	President, KSS, Niwai	Receives support to work with target group/households
Kisan Seva Samiti (KSS)	Secretary, Kalyan Kisan Seva Samiti, Malpura	Receives support to work with target group/households
Kisan Seva Samiti (KSS)	President KSS Chaksu	Receives support to work with target group/households
Kisan Seva Samiti (KSS)	President KSS Malpura	Receives support to work with target group/households
Kisan Seva Samiti Maha Sangh (KSSMS)	Secretary, KSSMS	Receives support to work with target group/households
Sahariya Vikas Manch (SVM)	Member, SVM and Executive Committee	Receives support to work with target group/households
Institute of Development Studies (IDS(	Associate Professor	Not applicable
Women Panchayati Raj Institution Representative	Sarpanch (1995, 2010) Balmukundpura alias Bansra VDC-KSS and Mahila Federation Member, Chaksu Block, Jaipur	Receives support to work with target group/households
ICCO COOPERATION	Program Manager - India Office South & Central Asia Regional Office	Contact person SPO-CFA
Convener (GM Free Coalition of India)		
SDM		
Sanjha Manch		
Coordinator, WNTA		
CECOEDECON	Director	
CECOEDECON	Director	
CECOEDECON	Co-Director	
CECOEDECON	Deputy Director	
CECOEDECON	Deputy Director	
CECOEDECON	Program Manager	
CECOEDECON	HR, Administration and Accounts	
CECOEDECON	HR, Administration and Accounts	
CECOEDECON	HR, Administration and Accounts	
CECOEDECON	Branch Incharge, Chaksu Block (Jaipur)	
CECOEDECON	Branch Incharge, Malpura (Tonk)	
CECOEDECON	Program Coordinator	
CECOEDECON	Branch Incharge, Niwai Block (Tonk)	
CECOEDECON	Brac h Incharge, Shahabad Block (Baran)	

Appendix 1 Civil Society Scores

This table presents the appreciation of the evaluation team regarding changes occurred for each indicator between 2012 and 2014 on a scale of -2 to + 2

Dimension		Indicators	Question	Change
Civic engagement	1	Needs of marginalised groups	How does your organisation take the needs of your beneficiaries/target groups, in particular marginalised groups into account in your planning, actions, activities, and/or strategies?	+1
	2	Involvement of target groups	What is the level of participation of your beneficiaries/target groups, in particular marginalised groups in the analysis, planning and evaluation of your activities?	+1
	3	Political engagement	How intense is your (individual staff or organisational) participation in locally-nationally elected bodies and/or sectoral user groups?	+2
Level of organisation	5	Relations with other organisations	In the past 12 months what has been the most intensive interaction you had with other CSOs?	0
	5	Frequency of dialogue with closest CSO	In the past 12 months how many meetings did you have with the CSO that you have most intensive interaction with?	+1
	6	Defending the interests of marginalised groups	Which CSO are most effective in defending the interests of your target groups? In the past 12 months, how did you relate to those CSOs?	+1
	7	Composition current financial resource base	How does your organisation finance institutional costs such as workshops of the General Assembly (if applicable); attendance to workshops of other CSOs; costs for organisational growth and/or networking?	+2
Practice of Values	8	Downward accountability	To what extent can mandatory social organs (steering committee, general assembly, internal auditing group) ask your executive leaders to be accountable to them?	0
	9	Composition of social organs	What % of members of your mandatory social organs belong to the marginalised target groups you are working with/for?	0
	10	External financial auditing	How regularly is your organisation audited externally?	0
Perception of impact	11	Client satisfaction	What are the most important concerns of your target groups? How do your services take into account those important concerns?	+1
	12	Civil society impact.	In the past 12 months, what impact did you have on building a strong civil society?	+1
	13	Relation with public sector organisations.	In the past 12 months, what interaction did you have with public sector organisations to realise your programme and organisations' objectives?	+1
	14	Relation with private sector organisations	In the past 12 months, what interaction did you have with private sector organisations to realise your programme and organisations' perspective?	0
	15	Influence upon public policies, rules, regulations	How successful have you been in influencing public policies and practices in the past 2 years?	+1
	16	Influence upon private sector agencies' policies, rules, regulations.	How successful have you been in influencing private sector policies and practices in the past 2 years?	0
CS context	17	Coping strategies	In the past 2 years, how did your organisation cope with these changes in the context that may have been positive or negative consequences for civil society.	+1

-2 = Considerable deterioration
-1 = A slight deterioration
0 = no change occurred, the situation is the same as in 2012
+1 = slight improvement
+2 = considerable improvement

Appendix 2 Changes in civil society indicators between 2012 and 2014

2.1 Civic Engagement

2.1.1 Needs of the marginalised groups

CECOEDECON's vision continues to be to empower the most marginalised, such as women, children, Dalits, landless, small and marginal farmers. It does this through setting up and supporting CBOs such as the Village Development Committees (VDCs), Kisan Sewa Samitis (KSSs) and Kisan Sewa Samiti Mahasangh (KSSMS) in five blocks of the Tonk, Baran and Jaipur districts of Rajasthan.

The past two years have shown quantifiable increment neither in the number of the CBOs associated with CECOEDECON, nor in the membership figures of such CBOs. Expectedly so given that the project's structure predetermines that each block—namely Chaksu, Niwai, Phagi, Malpura and Shahbad—has a KSS that comprises the presidents of the VDCs under its purview; the VDC members having been elected and/or selected by the community at the village level. The five KSSs thus constituted, in turn, elect members of the KSSMS, the apex body of this federated structure. Membership strength in all the CBOs is fixed by rule, with a 50 per cent mandatory reservation for women.

Having said which, CECOEDECON was unanimous that there is a qualitative improvement in the services that these CBOs are providing to the target groups. The KSSs are now more independent, and manage to take the lead in ensuring that the entitlements of the community are made available to it. Also, CECOEDECON itself seems to be relying much more on its associate CBOs than earlier. The organisation's PIIRD Vth Phase Proposal (2012-2015) states that even though there are systemic challenges with fewer staff at the branch level but the same number of villages to cover, newer outreach and monitoring mechanisms have been introduced in the past two years. This has been done by utilising the strengths of local level functionaries from the VDCs and KSSs.

Also, like during the baseline, CECOEDECON continues to work with the Sahariya tribe through the CBO, Sahariya Vikas Manch (SVM), to secure their rights through broad-based interventions including education, agriculture, natural resource management, securing land rights.

Since 2012, CECOEDECON has also begun work with the Nat[29] community in Kotkhawada village of the Chaksu block. Chronic poverty and illiteracy have traditionally forced Nat girls and women into prostitution. Through an Anti-Human Trafficking project supported by UN Women[30], CECOEDECON is educating and skilling the community in livelihoods such as tailoring, poultry etc.

Score: +1

2.1.2 Involvement of target groups

As at the time of the baseline, so also now, CBOs associated with CECOEDECON have a formal role in its programme implementation. The KSSs and other active community members participate in the scanning of context and prioritisation of issues before each PIIRD phase (now in its Vth phase). The Yearly Plans of Operations (YPOs) for all themes are designed by the respective units in the organisation along with the KSSs. Thereafter, the VDCs and KSSs take the responsibility of identifying

[29] The Nat community has been provided special status as that of a Scheduled Caste under the Indian Constitution. They are traditionally nomadic and as such, marginalised from the mainstream. *Refer*, http://www.peoplegroupsindia.com/profiles/nat/

[30] UN Women is a United Nations organisation dedicated to gender equality and the empowerment of women.

community members for participation in various trainings, demonstrations, assigning responsibilities to community members for giving memorandums to the chief minister, undertaking fact finding missions, nominating persons for participation in international events, etc. The role of the CBOs continues through regular monitoring of activities at the field level, participating in evaluation exercises such as annual output monitoring and occasional monitoring through the use of tools such as the Community Score Card (CSC).

Most significantly, perhaps, beginning December 2012, the VDCs, KSSs and KSSMS came together to brainstorm and chart out future plans for themselves in a series of meetings held in the CECOEDECON office. Three decades of achievements, challenges and opportunities were shared, different strategies mapped. And the result was the publication of an indigenously documented mandate and a way-forward strategy in February 2013, titled the Vision Document.

These achievements can be largely attributed to capacity enhancement trainings by CECOEDECON. For instance, a two-day joint refresher training programme for all the KSSs and the KSSMS was held in Shahbad in November 2013.

Barring the field staff that saw the situation as unchanged since the baseline, all others in CECOEDECON thought their target groups had become much more confident and decisive.

Score: +1

2.1.3 Intensity of political engagement

Though CECOEDECON is apolitical, it works hard on forging and nurturing links with legislatures, parliamentarians and PRI (Panchayati Raj Institution) members, and ensuring that CBOs associated with it understand the value of interacting with elected representatives. Towards this, CECOEDECON empowers communities to participate in political processes through voter education, PRI trainings, and guidance in negotiations with administration, ministers and political leaders.

The state assembly and general elections were held in 2013 and 2014 respectively. CECOEDECON and its associate CBOs, along with other civil society organisations and networks, sought active public involvement in the nation's political life and development.

Five regional meetings were organised by CECOEDECON, the KSSMS, and the CSO-coalition Sanjha Manch[31] in the Kota, Jhunjhunu, Tonk, Jaisalmer and Jaipur districts before the state assembly elections in 2013. The demands raised in these meetings by groups and organisations representing Dalits, deprived and marginalised sections, farmers, tribal groups and women were incorporated in a publication titled the People's Manifesto. A similar Manifesto was brought out before the general elections in 2014. Thirty nine of these demands were included in the election manifestoes of the two leading national political parties, BJP and the Congress.

Also, CECOEDECON's Annual Report April 2012 to March 2013 records the organisation's, along with the KSSs and Public Advocacy Initiatives for Rights and Values in India (PAIRVI)[32], having organised five block level consultations with PRI members on Panchayati Raj related issues. Around 300 participants, including the media participated. The current status of Panchayats after having been given charge of five new departments by the state government was discussed. Most PRI members agreed that the allocation was not backed by political will, and the panchayats, without funds and functionaries, still dependent on administrative officers. Other issues discussed were: capacity building of PRI members on the five new departments, monitoring of Gram Sachiwalaya (village secretariats)

[31] Sanjha Manch is a collective of 150 partners (NGOs, media, CBOs, academicians) in Rajasthan. Their main aim is to strengthen the civil society movement in the state and develop its capacity on issues such as GMOs, bio-fuels, SEZs, drinking water, malnutrition and social violence etc.

[32] PAIRVI provides advocacy and capacity building support to grassroots organisations and CBOs. *Refer*, http://www.pairvi.org/about_us.php

meetings, monitoring of the Rajiv Gandhi IT centers and Anganwadi Centers[33], and direct budget transfer to the panchayats; these were included in the People's Manifesto.

Score: +2

2.2 Level of Organisation

2.2.1 Relations with other organisations

Like at the time of the baseline, CECOEDECON continues to engage with many local, national and international organisations and networks on the issues of food security, sustainable agriculture, environment, farmer's rights etc.

CECOEDECON's Annual PIIRD Report April 2013-March 2014 states that though its primary relations are with its CBOs (the VDCs, KSSs, KSSMS), the organisation:

- is still a part of *state level* processes PAIRVI, Sanjha Manch, with new additions since the baseline being the Rajasthan Social Watch (RSW)[34], and the State Campaign on Millennium Development Goals[35];
- at the *national and international level* continues to be associated with the Voluntary Action Network India (VANI)[36], Wada Na Todo Abhiyan (WNTA)[37], Sa-Dhan[38], Oxfam India[39], People's SAARC[40], UN Millennium Development Goals, World Social Forum[41], UNCTAD[42] and Beyond Copenhagen[43] with new collaborations with South Asian Network for Social and Agricultural Development (SANSAD)[44], National Social Watch Coalition (NSWC)[45], Centre for Environment Concerns (CEC)[46], Delhi School of

[33] Anganwadi centres come under the Integrated Child Development Scheme (ICDS). The main objective of this programme is to cater to development needs of children in the age group of 3-6 years. *Refer*, http://www.archive.india.gov.in/citizen/health/health.php?id=62

[34] RSW is an umbrella organisation consisting of CSOs, citizens and communities monitoring governance towards professed goals of social development. It comes under the ambit of National Social Watch. *Refer*, http://www.socialwatchindia.net/coalition/rajasthan-sw/82-rajasthan-social-watch

[35] Although the state has made big leaps in achieving the MDG goals, it is likely to miss the deadline of 2015. A major reason for this failure is believed to be the delivery mechanism that has been unable to reach all sections of society. *Refer*, http://www.thehindu.com/todays-paper/tp-national/rajasthan-likely-to-miss-mdgs-deadline/article3014219.ece

[36] VANI works with voluntary sector organisations in India, promoting growth and development in their ranks. It provides a platform for these organisations to engage with state and central governments. *Refer*, http://www.vaniindia.org/content.php?id=9

[37] WNTA is an initiative started by a group of activists to hold the government accountable on its promise to end poverty, social exclusion and discrimination. Refer, http://ekduniya.net/sp/wadanatodo/aboutus/default.php

[38] Sa-Dhan uses microfinance as a tool for the upliftment and development of rural society. It provides a common forum for organisations that use this tool to come together and improve their outreach program. *Refer*, http://www.sa-dhan.net/Inner.aspx?Others/About.htm

[39] Oxfam is a rights-based organisation. It has a working partnership with over 130 grassroots NGOs working to fight poverty and injustice. Refer, http://www.theguardian.com/global-development/poverty-matters/2012/jul/16/fighting-food-security-india

[40] People's SAARC was formed under the banner of People's Movement Unite South Asia. It's a coming together of multiple people's organisations and social movement groups to push a process through which people play a more relevant role in the regional politics of SAARC countries. It was a result of the idea that SAARC had failed to live up to its ideals and goals. *Refer*, http://www.peoplesaarc.org/index.php/press-room/press-release/11-press-release-people-s-saarc-country-process-india

[41] WSF process in India began in 2002. Its main purpose in India is to focus not only on issues of imperialist globalisation but also on the issues of religious and sectarian violence, casteism and patriarchy. *Refer*, http://www.wsfindia.org/?q=node/12

[42] United Nations Conference on Trade and Development, is the United Nations body responsible for dealing with development issues, particularly international trade – the main driver of development.

[43] Beyond Copenhagen Collective is a pan Indian coalition of around 50 organisations and networks working on issues of environmental and climate justice and sustainable development.

[44] The main aim of SANSAD is poverty reduction and another aspect of its aim is to partner with various organisations with similar objectives. *Refer*, http://www.sansad.org.in/aboutus.htm

[45] NSWC is associated with the international Social Watch (www.socialwatch.org) process which is a civil society response to pursue the agenda of World Social Summit held in Copenhagen that the state should pursue and demonstrate changes in social development parameters beyond the economic development.

[46] CEC's activities are focused on raising awareness and building capabilities on issues of poverty, forestry, gender, agriculture and power sector reforms. *Refer*, http://www.cechyd.org/activities.htm

Social Work Society, and Sustainable Agriculture Information Network[47]. CECOEDECON has also developed key roles in networks like Food and Water Security Coalition India (FWSCI)[48] and GM Free Coalition[49].

Notable among the seminars and conferences that CECOEDECON, and/or its associate CBOs, were a part of: a) World Social Forum, 2013 held at Tunis, Tunisia b) Conference of Parties (CoP 19) under the auspices of UNFCCC50 held at Warsaw, Poland in November 2013 c) Meeting in Bhopal on the Millennium Development Goals (MDGs) organised by the Madhyanchal Forum51, Church's Auxiliary for Social Action (CASA)52 and CECOEDECON in February 2013.

The executive leadership said that the past two years had seen CECOEDECON get into new collaborations with Global Alliance for Vaccines and Immunization (GAVI)53 and Women Power Connect.

Score: 0

2.2.2 Frequency of dialogue with closest civil society organisation

CECOEDECON has monthly interactions with the VDCs, KSSs and KSSMS; such meetings were a regular feature even at the time of the baseline. Over and above these, according to the Annual PIIRD Report April 2013-March 2014, CECOEDECON organised KSS general body meetings in all five programme blocks to strengthen the CBOs; VDC chairpersons of all the villages participated. The past two years, moreover, saw CECOEDECON interacting with its associate CBOs on issues and campaigns beyond the routine—like the People's Manifesto, KSSMS' Vision Document, the sustained campaign against the GM field trials and the setting up local government procurement centres at minimum support prices. For many of these activities, they partnered with larger organisations and networks such as the Sanjha Manch, WNTA, PAIRVI, GM Free Coalition and Beyond Copenhagen. The People's Manifesto is, in fact, an illustration of CECOEDECON, the KSSs, WNTA and Sanjha Manch's collaborating to achieve commendable success.

Personnel across CECOEDECON's hierarchies felt that the intensity of their engagement with other CSOs had improved considerably between 2012 and 2014.

Score: +1

2.2.3 Defending the interests of marginalised groups

Like they had during the baseline, CECOEDECON personnel named the VDCs, KSSs and KSSMS as the best defendants of the marginalised. The past two years have seen these CBOs take up grassroots mobilisation to negotiations with ministers with an increased understanding of different micro and macro level issues, such as climate change, GMOs, biodiversity, women's empowerment, etc.

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[47] Sustainet in India was initiated as a network of CSOs to develop effective sets of Good Agricultural Practices (GAP), whose focus is sustainable agriculture. *Refer*, http://www.sustainet.org/index-en.html

[48] FWSCI was created to bring together ICCO partners to develop a discourse on food and water security in India. It focuses on the changing context, such as, changing role of governments, increasing involvement of civil society organisations and mercerisation of development etc. *Refer*, http://fwsci.com/about-us/about-us

[49] GM Free Coalition is a movement against GM crops and pesticides. It's a collective of various CSOs that have come together to create greater awareness about their movement across the world. *Refer*, http://www.gmofreeglobal.org/en/mission

[50] United Nations Framework Convention on Climate Change, the main goal of this United Nations body is to stabilize greenhouse gas concentrations in the atmosphere at a level that will prevent dangerous human interference with the climate system.

[51] Madhyanchal Forum is a platform of voluntary organisations and individuals, facilitated by CASA, for collective action in Madhya Pradesh. It is aimed at bringing together NGOs, development promoters, practitioners, experts and policy makers to explore strategic development in key areas-local self-governance, sustainable livelihoods, disaster management and preparedness, gender mainstreaming, youth building, globalisation and poverty issues.

[52] CASA is a relief and development organisation, promoting the growth of the marginalised groups towards sustainable development and self-sufficiency. *Refer*, http://casa-india.org/pages/about-us/about-casa.html

[53] GAVI is an international organisation that works on providing access to vaccines to children, especially, in the developing countries. *Refer*, http://www.gavi.org/about/mission/

The field staff credited the SVM as having capably defended the interests of its community, this with support from the Ekta Parishad[54].

Score: +1

2.2.4 Composition financial resource base

CECOEDECON was a partner of the ICCO alliance for more than 25 years; this funding stopped in March 2014. Despite which CECOEDECON has managed to retain the level of its activities, this by identifying new donors and fund raising strategies.

While CECOEDECON continues to receive financial support from Action against Hunger (ACF)[55], the Hunger Project, Misereor and Save the Children, the organisation's new funding sources comprise Global Alliance for Improved Nutrition (GAIN)[56], UNDP (United Nations Development Programme)[57], UN Women, SWISSAID[58] and Strategic Climate Fund (SCF)[59].

CECEDECON's work with Integrated Child Development Services (ICDS)[60], State Institute of Rural Development (SIRD)[61] and NABARD continues. A new funding support from government has been found in Department of Women & Child Development (DWCD).

The organisation also receives funding from private sector organisations that it works with on a project basis, Suzlon Foundation being one among them.

CECOEDECON's infrastructure is now being increasingly utilised to generate revenue; the building is often rented out to organisations and even government departments for workshops and seminars.

The community is also contributing to field costs more than earlier. Members from the KSSs shared that food and beverage costs during protests and rallies are often borne by villagers themselves.

The executive leadership observed that it has yet to find the same levels of financial support as had been provided by ICCO.

Score: +2

2.3 Practice of Values

2.3.1 Downward accountability

CECOEDECON's PIIRD Vth Phase Proposal (2012-2015) says that its organisational structures have been deeply influenced by its past experiences and lessons learned from reviews and reflections. The organisation has a nine member board, including four women and the board's Secretary. One of the members from the board is on the CECOEDECON's Committee Against Sexual Harassment (CASH). Presently, the structure accords a very significant place for the Executive Committee (EC),

[54] Ekta Parishad is a people's movement dedicated to non-violent principles of action. Their main aim is to give the marginalised control over their livelihood resources, especially, land, water and forest. *Refer*, http://ektaparishad.com/en-us/about/mission.aspx

[55] ACF was founded in 1979 by a group of French intellectuals, the organisation exclusively focuses on eradicating hunger. *Refer*, http://www.actionagainsthunger.org/about/acf-international

[56] GAIN is a Geneva, Switzerland based not-for-profit organisation working on fighting malnutrition.

[57] UNDP is a United Nations body, which works with 170 countries to build their capabilities to withstand crisis and push for a kind of growth improves the quality of life. *Refer*, http://www.undp.org/content/undp/en/home/ourwork/overview.html

[58] In India, SWISSAIDs main focus is on promotion of people's cooperative movement for livelihood development, it also works on curbing discrimination and violation of human rights by democratising CSOs and empowering the marginalised. *Refer*, http://www.swissaid.ch/en/india

[59] SCF is a framework that organises the funds towards actions aimed at addressing climate change challenges. *Refer*, https://www.climateinvestmentfunds.org/cif/node/3

[60] ICDS aims at providing services to pre-school children in an integrated manner so as to ensure proper growth and development of children in rural, tribal and slum areas. *Refer*, http://www.icds.gov.in/#

[61] SIRD's focus is on the qualitative development in the ongoing rural development schemes and sensitise the elected representatives of Panchayat Raj Institutions (PRIs) to be proactive through capacity building activities. *Refer,* http://www.sird.tn.nic.in/about.htm

which is a multi-disciplinary team. Importantly, the EC also has representation from the KSSs. The EC plays an important role in providing direction and policy guidelines, as also in actively participating in the organisations' projects/programmes. The EC authorises the Secretary to lead, direct, manage, and be accountable for overall operations of CECOEDECON, and also appoints a Director who is responsible for programme direction, planning, monitoring, training, liaisoning and resource mobilisation.

To implement the mandate of the EC and the board, CECOEDECON has structures like the Core Group (CG) and the Core Team (CT). The CG comprises the Secretary, Director, two Co-directors, three Deputy Directors and the president of the KSSMS. The CT is a bigger unit comprising all members of the CG, along with unit heads, branch in-charges and the KSS presidents of the branches. The representation of CBOs in the CG and CT provides them with an opportunity to be a part of the key decision making system of the organisation. It also enhances decentralised, participatory and collective decision making processes that are instrumental to increase the ownership and the organisational effectiveness. The current structure recognises the interrelatedness of the teams and also the autonomy of CBOs.

It may be noted, however, that the CBOs find no representation in the board, the highest decision making body of CECOEDECON.

The executive leadership pointed out that programme heads, CBO representatives and Directors attend the board meetings, which are regular, and inform others about the progress and challenges discussed. At the ground level, the field staff said they share the YPOs and budget with all the VDCs, KSSs and the KSSMS, and take their inputs regarding the budget.

Though none of the above is remarkably different from the time of the baseline, CECOEDECON's executive leadership and programme managers felt that downward accountability within the organisation had improved over the past two years, and attributed such positive change to the board becoming more systematic and its members taking a more active part in the organisation's projects. The field staff and HR and Accounts staff, meanwhile, observed no change.

Score: 0

2.3.2 Composition of Social Organs

At the time of the end line CECOEDECON had a nine member board comprising distinguished professionals from different fields including social work, activism, education, research, community leaders, judiciary, and media. Fifty per cent of the board members are from marginalised groups such as women, Scheduled Castes/Scheduled Tribes (SC/ST) and ethnic minorities.

It was the same in 2012. And other than the executive leadership everybody saw the situation as unchanged.

Score: 0

2.3.3 External financial auditing

Like in 2012, CECOEDECON continues to be audited annually by external auditors as per statutory requirement. It conducts internal audits twice in a year. The executive leadership said that over the past two years efforts have been made towards enhancing transparency, accuracy and refined information regarding accounts. CECOEDECON's Financial Manual is updated regularly, even as its internal financial systems are rigorously monitored by the programme staff. Financial statements are shared by the accounts unit with the programme staff on a monthly basis for accuracy and proper follow up.

Score: 0

2.4 Perception of Impact

2.4.1 Client satisfaction

The important concerns of CECOEDECON's target groups in 2012 were access to alternative livelihoods in changing climatic conditions, equal opportunities, effective and transparent implementation of government's welfare schemes, participatory and good governance practices and the needs of small and marginalised farmers like Minimum Support Price (MSP) etc. These concerns remain the same even now. Expectedly so, they are long term issues that cannot have been resolved in a two year span. Towards addressing these concerns, CECOEDECON continues to engage in institution building and capacity enhancement by involving the community, and especially so its marginalised sections. The organisation has also been active in terms of informing the community about a number of welfare schemes and assisting government agencies in their effective implementation; this also by mobilising public participation in effective implementation of government schemes.

KSS and KSSMS members said that the past two years had seen CECOEDECON service many local concerns and demands of its target groups through mentoring these CBOs. These ranged from ensuring drinking water supply to certain blocks in the project areas, setting up of government procurement centres so that farmers could sell at MSP rates, setting up a parallel crop damage assessment system to ensure compensation for farmers after a hailstorm. The CBO members also spoke of CECOEDECON's support in preparation of the Vision Document in April 2013; venue for the three-day workshop organised for this, and office space for consultations, among other things, was provided by CECOEDECON, they said.

The period between 2012 and 2014 had CECOEDECON assisting the government better implement its schemes. One such instance was when, in 2013, the government relaxed eligibility for pension and a large number of people qualified as a consequence, making completion of paperwork by deadline problematic. CECOEDECON stepped in to help the administration locate such beneficiaries, and then assisted many a beneficiary with the required paperwork. Another example of CECOEDECON's supporting the government is its annual Naamankan Abhiyaan (Enrolment Drive) to boost enrolments in schools. Rallies, meetings, door to door campaigns are undertaken to ensure that no child remains out of classrooms.

An SVM member said that CECOEDECON assisted his organisation in addressing the needs and concerns of the Sahariya community, with respect to: a) availing benefits under a government scheme that provides financial support towards coaching Sahariya youth such that they can compete in government recruitment exams; b) filing claims for land earmarked but not allocated to Sahariyas; c) facilitating access to education for Sahariya girls by setting up a special residential school for class 10 failed Sahariya girls in Shahbad in 2012; d) filing a writ petition in the High Court in 2012 for securing Sahariya's special reservation within the ST category for government posts.

A woman Panchayat representative said that CECOEDECON organised exposure trips in 2012 and 2013 to raise awareness on the importance of special Gram Sabhas[62] for women. She said she had participated in an exposure trip to Maharashtra in 2013 which helped her implement and organise separate Gram Sabhas for women of her panchayat every third month. She also said that CECOEDECON campaigned in 2013 for the removal of discriminatory two child eligibility norm[63] for PRI elections. Further, CECOEDECON collected written statements against this rule from all the five Gram Panchayats of Chaksu block and submitted the proposal to a state government minister.

Most significantly, perhaps, the *Annual Report April 2012 to March 2013* cites instances of the Community Score Card (CSC) being used in this period. The CSC measures public accountability especially at the local and facility level. In June 2012, after being trained by CECOEDECON,

[62] Gram Sabha is a constitutionally mandated mechanism through which grassroots' constituencies hold Panchayats accountable. Gram Sabha constitutes all the adult citizens of a village who have the right to vote. Most Gram Sabha meetings witness limited participation of people due to a lack of awareness. *Refer* http://thpindia.org/what-we-do/making-panchayats-effective/

[63] *Refer* http://www.thehindu.com/todays-paper/tp-national/tp-otherstates/demand-to-do-away-with-twochild-norm-in-rajasthan/article6330231.ece

community people, Public Delivery System (PDS)[64] dealers, a sarpanch, an aganwadi worker and the co-secretary of NREGA participated in using CSC to evaluate the PDS in Phagi block's Gaundhi village; a follow up in October showed considerable improvement in the PDS service. In January 2013, a School Management Committee[65] (SMC) was marked on the CSC by local committee members, teachers and community people; the follow up did not show much improvement.

Score: +1

2.4.2 Civil Society impact

CECOEDECON continues to work in the community throughthe VDCs at village level, KSSs at block level, the KSSM at state level and the SVM which represents the Sahariya tribe. During the 2012 evaluations, CECOEDECON claimed that the KSSs were beginning to acquire the form of a people's movement by becoming forum for the community to raise its demands and problems and take actions to address them. To some extent the developments over the past two years do suggest that the KSSs have indeed become platforms for the rural community in their areas, and are now, relatively, more independently capable of delivering occasional resolutions to the target groups' concerns . They are certainly better able to identify and assess their own needs and figure out ways to cater to them with or without support from CECOEDECON.

Instances of this between 2012 and 2014 are:

a. When a bumper harvest of the Bengal Gram in the Jaipur and Tonk districts saw open market prices crash in April-May 2013, forcing farmers into distress sale, farmers approached the KSSs for help. The KSSs, along with the KSSMS, organised protests, lobbied with the administration, till the government announced the setting up of procurement centres where Bengal Gram would be bought at the MSP in one and two blocks of Tonk and Jaipur districts respectively;
b. A hailstorm in March 2014 destroyed crops ready for harvesting in parts of the project areas. The VDCs with support from the KSSs took the initiative to launch a parallel Girdavari, or crop risk/damage-assessment process, to assess the damage to farmers due to the calamity. This decision was taken without consultations with CECEODECON, and the organisation was told only later that information gained through such a loss-assessment exercise would be used by the KSSs to approach the concerned government authorities for compensation, and further advocacy;
c. Sustained efforts by the KSSs led to drinking water finally being supplied to the Chaksu, Phagi and Niwai blocks from the Bisalpur dam in 2012-13. Though the government had announced such supply to these blocks in 2010, non-implementation had seen the communities here frustrated.

Simultaneously, the KSSs were also effective grassroots advocates and negotiators for more expansive issues that CECOEDECON had initially introduced them to. Like for the continuing struggle against GM crops in Rajasthan. The KSSs, as part of a delegation with CECOEDECON, met the newly elected state agriculture minister to convince him against resuming such field trials; a media announcement to the effect was made by the minister in May 2014.

Also, 2014 saw the SVM successful in defending the special reservation for the Sahariya tribal groups in government jobs by getting wrongful appointments done by the Rajasthan Public Service Commission cancelled through a stay, after approaching the state High Court.

The CECOEDECON personnel were unanimous that their associate CBOs had indeed improved since the baseline. They observed that the learnings over the past two years and before have now enabled the VDCs, KSSs and KSSMS become self-sufficient in prioritising their needs and strategising to address them, thus increasing their sense of ownership.

[64] PDS in the country facilitates the supply of food grains and distribution of essential commodities to a large number of poor people through a network of Fair Price Shops at a subsidized price on a recurring basis. *Refer*, http://epds.nic.in/

[65] SMCs were established as per requirements of the Right to Education Act, its main purpose is to monitor the working of the school, prepare and recommend school development plan etc. Parents of children play an important role in these committees. *Refer*, http://ccs.in/internship_papers/2012/271_how-functional-are-school-management-commitees-in-the-present-context_sijan-thapa.pdf

However, though these CBOs do appear to be in a better position to address the community's concerns during the last two years, they themselves accept that their dependence on CECOEDECON for technical as well as financial assistance has not ended. They are, therefore, not yet the people's movement that CECOEDECON aims for them to be.

In terms of teaming up with other CSOs and networks, and CECOEDECON's position in civil society, representatives of multi-organisation national platforms like WNTA and GM Free Coalition of India agreed that the organisation has successfully networked with them on issues like preparation of the People's Manifestos for state assembly and national elections and stalling of the GM field trials in the state.

Score: +1

2.4.3 Relations with Public Sector Organisations

During the baseline, the CECOEDECON staffers said other than directly engaging with the government and elected representatives, they also work with Public Sector Organisations (PSOs) like NABARD and various state agencies to further the interests of their target groups in thematic areas of livelihood security, basic rights, economic justice and institutional development. These trends continued over the past two years and interaction with NABARD increased to facilitate micro-financing and development of SHGs in CECOEDECON's project areas.

The *Annual Report PIIRD April 2013 to March* 2014 mentions that CECOEDECON received active assistance from government agencies on issues like anti-trafficking project in Kotkhawda, Chaksu block. CECOEDECON personnel said that they: a) assisted the government departments in the implementation of the pension drive; b) collaborated with the Directorate of Soil and Water Conservation (DSWC) for watershed evaluation; c) worked with Aganwadi training centres with the support of ICDS, DWCD; d) organised trainings of trainers (ToT) for gender responsive governance with support of SIRD; e) their interactions with the Public Health Engineering Department (PHED) for the development of drinking water infrastructure increased over the past two years.

Score: +1

2.4.4 Relations with Private Sector Agencies

In 2012 CECOEDECON had said it works with private sector agencies like Suzlon Foundation, Sir Dorabji Tata Trust (SDTT), PepsiCo Foundation, ENI[66], Rathi Steel, American Express Bank, Polyglu etc on issues like rural development, healthcare and child development. In 2014, while the executive leadership asserted the situation in this regard has improved, the field staff said some of the former partnerships, like with SDTT, have ended and they are unaware of new ones. The programme managers qualified that new collaborations with smaller private sector companies like Sriram Limited, Sri Hari Limited have been forged. Other forms of documents and reports authored by CECOEDECON did not provide information about the status of projects with the new, smaller players but indicated that work with Suzlon Foundation is continuing.

Score: 0

2.4.5 Influence upon public policies, rules, regulations

During the baseline evaluation, CECOEDECON had listed a number of policy level successes, like cancellation of the state government's MoUs with GM seed companies, stalling GM field trials, resolving the land claims of Sahariya tribal groups, putting forth the demands of people before political parties

[66] ENI is an Italy based integrated energy company. *Refer*, http://www.eni.com/en_IT/company/company-profile/company-profile.shtml

prior to elections, and effective implementation of the PCPNDT Act (Pre-Conception and Pre-Natal Diagnostic Techniques)[67] and the Lok Seva Guarantee Adhiniyam[68].

In 2014, CECOEDECON personnel claimed to have continued their efforts to harness the changes achieved previously. For example, they said that CECOEDECON had sustained the campaign against GM field trials by keeping mainstream political parties in the state informed about the farmers' concerns against it in the wake of upcoming elections. This had ensured that the change in government post elections did not translate into a change on the decision to ban GM field trials. Also, the efforts of SVM in defending the reservations rights for Sahariya tribal groups saw it pursuing related land rights cases, campaign to improve PRIs also continued. Abolition of the discriminatory two child norm as an eligibility criterion to contest Panchayat elections remained an advocacy issue, as did the need for exclusive women meetings before the Gram Sabhas. The evaluators, however, have no evidence to substantiate whether or not any of the changes are indeed being implemented.

CECOEDECON's participation in consultative meetings and assistance in the drafting of, the State Girl Child Policy was listed as another achievement. The evaluators could not corroborate the degree of CECOEDECON's contribution to the process.

The *Annual Report PIIRD April 2013 to March 2014* mentions the inclusion of many of the demands listed in the People's Manifesto in the election manifestoes of mainstream political parties. Thirty nine of these demands were included in the election manifestoes of the two leading national political parties, BJP and the Congress.

Score: +1

2.4.6 Influence upon private sector agencies' policies, rules, regulations

During the baseline CECOEDECON had said they were not engaged in influencing rules, regulations and policies of the private sector agencies. In 2014, most of the respondents maintained this. The executive leadership, though, said CECOEDECON was influencing CSR (Corporate Social Responsibility) policies of private sector agencies to make them more development oriented; no specific instances were listed as substantiation of this claim.

Score: 0

2.5 Civil society environment

2.5.1 Coping strategies

During the baseline evaluations, CECOEDECON had listed the primary problems that changing environment had thrust their way: a) fund crunch; b) reduction in monetary support from international donors; c) changes in the Foreign Contribution (Regulation) Act 2010 (FCRA 2010)[69] which made getting foreign funding difficult; c) drought and attempts of the government to cut on relief work; d) resistance from the community and doctors when opposing female foeticide and child marriage. Particular mention had been made regarding the rising expectations of the new generation of development sector professionals which is making recruitment and retention of professional staff difficult.

[67] PCPNDT Act, 1994 is an Act of the Parliament of India enacted to stop female foeticides and arrest the declining sex ratio in India. The act banned prenatal sex determination. *Refer*, http://www.unicef.org/india/media_3285.htm

[68] LokSeva Guarantee Adhiniyam (Right to Service Act) in 2011. This act aims at a time-bound service delivery for 108 services by 15 government departments. Its 2008 campaign for a People's Manifesto was successful in that 22 of the demands in the Manifesto were included in the Indian National Congress (INC) party's manifesto for Rajasthan.

[69] FCRA 2010, an act to regulate the acceptance and utilisation of foreign contribution by certain persons or associations. *Refer*, http://indianexpress.com/article/india/india-others/only-11-of-22-ngos-in-ib-report-are-fcra-compliant-none-filed-13-14-statement/99/

As coping strategies, they had spoken of increasing the organisations' efforts to develop multiple sources of funding, donor education, use of laws and programmes like Right to Information, Right to Education, the rural employment guarantee Act MNREGA, Rajasthan's Right to Services Act etc.

CECOEDECON's evolving context over the past two years has seen most of its problems continuing, and some aggravated. The fund crunch persists, with many international donors withdrawing support, even base, from India. The FCRA is being implemented more sternly than was earlier by the newly elected centre-right BJP government. The government has, in fact, imposed a number of conditions on NGOs and foreign funders in an effort to restrict internationally-funded non-governmental activities on issues such as anti-GM campaigns among others. Another negative development reported by CECOEDECON's personnel is the shifting of the organisation's work from programme mode—which ensures holistic development—to project mode—which is more specific and narrow—due to funding problems.

However, some positive changes were also listed, like change in government rules to direct diversion of CSR funds from philanthropic activities to the development sector, which has helped generate new funding sources for organisations such as CECOEDECON. Further, 2014 being an election year had CECOEDECON actively engaging with different sections of society, political parties and the media in chalking out the People's Manifesto. According to the *Annual PIIRD Report April 2013-March 2014* CECOEDECON organised a series of media workshops at block level, which helped it and its CBOs establish genuine linkages with local media, which, in turn, assured the organisation of a positive coverage. Along with these, CECOEDECON staffers pointed out that the organisation and its associate CBOs have been successful in widening their resource base by increasing collaboration with government agencies and getting financial support from them.

Score: +1

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Report CDI-15-026

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CENDERET end line report

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Report CDI-15-029

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This report describes the findings of the end line assessment of the Indian organisation CENDERET that is a partner of Cordaid.

The evaluation was commissioned by NWO-WOTRO, the Netherlands Organisation for Scientific Research in the Netherlands and is part of the programmatic evaluation of the Co-Financing System - MFS II financed by the Dutch Government, whose overall aim is to strengthen civil society in the South as a building block for structural poverty reduction. Apart from assessing impact on MDGs, the evaluation also assesses the contribution of the Dutch Co-Funding Agencies to strengthen the capacities of their Southern Partners, as well as the contribution of these partners towards building a vibrant civil society arena.

This report assesses CENDERET's efforts towards strengthening Civil Society in India and it used the CIVICUS analytical framework. It is a follow-up of a baseline study conducted in 2012. Key questions that are being answered comprise changes in the five CIVICUS dimensions to which CENDERET contributed; the nature of its contribution; the relevance of the contribution made and an identification of factors that explain CENDERET's role in civil society strengthening.

Keywords: Civil Society, CIVICUS, theory based evaluation, process-tracing

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The Centre for Development Innovation accepts no liability for any damage arising from the use of the results of this research or the application of the recommendations.

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Acknowledgements

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List of abbreviations and acronyms

CBDRRM	Community Based Disaster Risk Reduction and Management
CDI	Wageningen UR Centre for Development Innovation
CENDERET	Centre for Development Research & Training
CFAs	Co-Financing Agencies
CRI	Commissioner of Right to Information
CFO	Co-Financing Organisation
CS	Civil Society
DRR	Disaster Risk Reduction
FGDs	Focus Group Discussion
IDF	India Development Foundation
ITC	Imperial Tobacco Company of India
MoFA	Ministry of Foreign Affairs
MFS	Dutch co-financing system
MGNREGA	Mahatma Gandhi National Rural Employment Guarantee Scheme
OCTMP	Orissa Community Tank Management Project
PfR	Partners for Resilience
PRA	Participatory Rural Appraisal
PRI	Panchayati Raj Institution
SHG	Self Help Groups
SPO	Southern Partner Organisation
SSI	Semi-structured Interview
SWAD	Society for Women Action Development
ToC	Theory of Change
VLDRC	Village Level Disaster Resource Centres
Wageningen UR	Wageningen University & Research centre
WEIGIE	Women Empowerment through Institutional Growth with Inclusion and Equity
WSHGs	Women Self Help Groups

1 Introduction

This report presents the civil society end line findings of Centre for Development Research & Training (CENDERET) in India which is a partner of Cordaid under the Partners for Resilience Alliance. It is a follow-up to the baseline assessment that was carried out in 2012. According to the information provided during the baseline study, CENDERET is working on MDG 1, private sector and agriculture (CENDERET also works on MDG 7a, b – sustainable living environment & forests and biodiversity).

The end-line assessment for CENDERET did not take place as expected. Since the baseline CENDERET has not been operational in the field because financial transfers by Cordaid did not arrive on the bank account of CENDERET. CENDERET then closed its regional offices and sent staff home. Communication with Cordaid was broken and despite efforts by Cordaid to re-establish the relation and by training newly hired staff, the Dutch NGO concluded to stop its collaboration with CENDERET. Internal factors that may explain this interruption of the partnership also are the sudden resignation of the coordinator during the baseline study and the fact that his successor unfortunately passed away just after having taking over the coordination responsibilities. Another external factor, not confirmed, possibly consists of the Foreign Contribution Regulation Act 2010[1] and CENDERET being unable to adjust to this act.

The following chapter briefly describes the political context, the civil society context and the relevant background with regards to the governance issues CENDERET is working on. Chapter three provides background information on CENDERET, the relation of its MFS II interventions with the CIVICUS framework and specific information on the contract with Cordaid. Chapter 4 provides the information collected by the evaluation team, based upon which it was decided to discontinue the end line study. Conclusions are presented in chapter 5.

[1] http://www.fcraforngos.org/

2 Context

This paragraph briefly describes the context Cenderet is working in. A description of the Civil Society Context assessed according to the CIVICUS framework is provided in appendix 3 of the country report for Civil Society.

2.1 Political context

Odisha is one of India's poorest states, with 63.2 per cent of people living below the poverty line[2].High prevalence of poverty is considered to be mainly a rural phenomenon—the state's level of rural poverty being the country's worst at 60.8 per cent—but it also has regional variations. As such there are major differences between the coastal and the inland regions, coastal being more prosperous of the two[3].

The 2014 General Elections had the state continuing to show a preference for the regional party, Biju Janta Dal (BJD), which has been in power since 2000. Naveen Patnaik, the Chief Minister of Orissa with his BJD party, won 20 out of 21 Lok Sabha seats in the elections. With this they have ensured that the right wing Bharatiya Janata Party (BJP) which gained power at the Centre has limited influence in the state. In order to extend gratitude towards the female population that voted in high numbers during this election[4], the government has introduced a new policy called the Odisha State Policy for Girls and Women 2014. Under this new policy, "the stamp duty for registration of a house or land purchased in the name of a woman or gift deeds of immovable property would be lower than that of men"[5].

Odisha is part of the "red corridor" in India, considered the hub of Naxalite activities. In 2013, there were 22 civilian deaths due to Naxal-related activities and in 2014 so far there have been 30 civilian deaths[6]. Although, there has been a lull in Naxal activities compared to the 2011-2012 period, they still occupy a strong position in the state.

The rise of left extremism or Naxalism[7] is sharply linked to the lack of development in the regions where it became prominent. With the evolution of the movement, most of the Naxals have come to adopt the Maoist ideology; the Maoists are banned in India. In Odisha, however, they exercise control in the western districts of Nuapada, Bargah, Sambalpur, Bolangir and Kalahandi. Here, the state's presence is at a minimum level, and the Maoists run their own courts, "Jan Adalats", and levy taxes on traders[8]. In the 2005-2014 period, across India, there have been 6,606 fatalities caused in relation to Maoist activities[9].

2.2 Civil Society context issues with regards to MDG 1

With regards to Civil society in Odisha continues to face much of the same issues that it did at the time of the baseline. Adding to the challenges that come with poor social and human indicators,

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[2] *Refer*, http://planningcommission.nic.in/reports/genrep/rep_pov.pdf
[3] *Refer*, http://www.odisha.gov.in/pc/humandevelopment/summary/Summary.pdf, pg. 4.
[4] *Refer*, http://www.thehindu.com/news/national/other-states/more-women-voters-in-odisha/article5950473.ece
[5] *Refer*, http://indianexpress.com/article/india/politics/naveens-thank-you-note-orissa-set-to-clear-new-policy-for-women/
[6] *Refer*, http://www.satp.org/satporgtp/countries/india/maoist/data_sheets/anl_cas_oris.asp
[7] The Naxalite movement traces its origins from the Naxalbari uprising in 1967, the Maoist struggle in India is an outcome of this uprising. Naxalism was borne out of the marginalisation of the forest dewellers in Naxalbari village in West Bengal. It picked up support in the surrounding areas with the common cause of fighting marginalisation, lack of development and poverty faced by rural India. With the adoption of the Maoist ideology the movement became violent.
[8] *Refer*, http://blogs.reuters.com/india/2013/05/29/who-are-indias-maoists-and-why-they-are-in-the-news/
[9] *Refer*, http://www.satp.org/satporgtp/countries/india/maoist/data_sheets/fatalitiesnaxal05-11.htm

Odisha has long been the site of a battle over land grab, Naxalism and natural disasters, the harshest of which struck the state a year after the baseline in the form of Super Cyclone Phailin.

According to Census 2011, 83.31 per cent of Odisha's population is rural, where land is an important commodity, providing not only housing but also sustenance to the people. The issue of land grabbing in Odisha has garnered attention due to its often exploitative and insensitive nature. Odisha is a resource rich state of India, offering iron-ore, bauxite, coal and manganese in abundance. The state industrialisation drive has been hampered due to protests by the tribal population on whose land it hopes to set up industries.

Odisha which is prone to natural calamities like floods and cyclones was hit by cyclone Hudhud on 18th October 2014. Dealing with regular natural disasters, hampers much of the other work, as time and effort is then spent in dealing with the problems in the aftermath of a disaster.

Phailin, a Very Severe Cyclonic Storm (VSCS), hit Odisha on the 12th of October 2013 with a wind speed touching almost 220 kmph. The intensity of the cyclone placed it inside category 5 of the Saffir-Simpson Hurricane Wind Scale (SSHWS)[10]. The cyclone affected the lives of about 13.2 million people, causing 44 casualties, destroying 256,600 homes and resulting in damages worth INR 89,020 million (equivalent US$ 1,450 million) in its wake[11]. The strong winds and heavy torrential rains were responsible for the maximum amount of structural and physical damage. Due to the efforts of the Odisha government large-scale evacuation of people had taken place in the days leading up to the cyclones entry into the state, thus, avoiding major loss of life.

During and after the cyclone, numerous NGOs came together to rehabilitate and to provide relief to victims of the disaster. ActionAid formed a consortium of NGOs like ADRA, Oxfam, Christian Aid and Plan, this was along with another consortium formed by the NGO Save the Children to help the government in the post-Phailin period in providing relief work, rebuilding infrastructure and rehabilitation[12].

[10] There are five categories on the SSHWS scale, fifth being the highest category on the scale. Any cyclone inside this category is capable of causing catastrophic damage.

[11] *Refer,* http://www-wds.worldbank.org/external/default/WDSContentServer/WDSP/IB/2014/01/10/000461832_20140110162742/Rendered/PDF/838860WP0P14880Box0382116B00PUBLIC0.pdf

[12] *Refer,* http://www.orissadiary.com/CurrentNews.asp?id=50721

3 CENDERET and its contribution to civil society/policy changes

3.1 Background CENDERET[13]

Centre for Development Research & Training (CENDERET) was set up in October 1988 as the rural and social development wing of the Xavier Institute of Management, Bhubaneswar (XIMB) to highlight the issues in rural and deprived sections of the society. It is a Civil Society Organisation registered under the Societies Registration Act (No. XXI of 1860). CENDERET tries to improve the quality of life of the most vulnerable & the most neglected categories in society. The Xavier Institute is one of India's premier institutes in Labour Management, Social Work and Rural Development in India. Established in 1987, the Institute owes its origin to a Social Contract between the Government of Odisha and the Orissa Jesuit Society. It was started by Jesuit Father Bogiart, who visualised CENDERET as a resource centre to work towards bringing cohesion in policy and implementation in achieving rural empowerment and development. The Government of Odisha provided land and financial support for the establishment of the institute.

The collaborative approach of CENDERET primarily aims at providing and facilitating a process of capacity building of its partners that in their turn contribute to creating the conditions for sustainable development. The centre: facilitates and moderates development processes in accordance to its vision, mission and goals (see below); Initiates learning-reflection-action processes with stakeholders using various strategies, and; addresses issues of equality and social justice at community level.

CENDERET's activities are implemented through its three Regional Resource Centres (RRCs), established in different regions of the state of Orissa (i.e. in Western, Southern, and Eastern zones) through a Central Coordination Unit operating from XIMB Campus at Bhubaneswar.

Vision:

A resource centre catalysing sustainable development for empowering the rural people of Orissa.

Mission:

- To become an effective resource centre of committed and competent professionals;
- To facilitate processes such as action research, capacity building, networking and promotion of livelihood support options;
- To promote participatory development involving all stakeholders;
- To coordinate all our activities towards the empowerment of rural people of Orissa to influence public policy and opinion.

Goal:

- To create an entrepreneurial society;
- CENDERET be a learning organization;
- Creation of sustainable rural livelihood options.

[13] based mainly on: http://w3.ximb.ac.in/cenderet (19112014)

3.2 MFS II interventions related to Civil Society

The MFS II funded project 'Community Based Disaster Risk Reduction and Management (CBDRRM)' contributes to the overall objective "The vulnerable and marginalized communities and their members facing the wrath of regular hazards and disasters have improved upon their respective quality of life through reduction in intended risks, vulnerabilities shown through positive impacts on their individual and community life." It is in fact the continuation of the project that started in 2009. According to CENDERET the project entered a new phase, integrating wetland aspects and concentrating in the Mahanadi deltaic regions of Orissa.

CBDRRM consists of 5 outcomes to be achieved in 55 villages: By the end of the project

1. at least 60% of the cultivable land belonging to the most marginalized community members of 55 villages affected due to flood/water logging/ Drought brought under repair/ rehabilitation to reduce the crop and horticulture damage by 60%;
2. the livestock capital of the 55 villages has increased by quantity and quality by the end of the project;
3. the fish production increased in 35 villages for about 40% of the total households and these households get benefit from fishing;
4. existing alternative practices will have strengthened and enhanced;
5. human and animal casualties will not be occurring due to hazards in the project operational areas.

There is no typical budget related to civil society building but in each of these outcomes and apart from technical interventions, activities are related to the Civicus dimensions 'civic engagement' and 'perception of impact'.

Typical civic engagement activities are: volunteers who will be monitoring animal diseases in order to prevent epidemics and to provide first treatments under the livestock related outcome (2); develop a duckry by the communities under the aquaculture outcome (3).

Typical 'perception of impact' activities related to civil society building are: Formation of farmers club and capacity building training and linkage (outcome 1); Strengthening existing natural resource management committees (outcome 3); Formation and strengthening of producers groups/ tenant groups (outcome 4); Training and orientation on business management, marketing and value addition (outcome 4).

3.3 Basic information

Table 1

SPO basic information.

Project	Details			
Name of SPO	Centre for Development Research & Training (CENDERET)			
Consortium and CFA	Partners for Resilience - Cordaid			
Project name	Community Based Disaster Risk Reduction and Management (CBDRRM)			
MDG/theme on which the CS evaluation focusses	MDG 1			
Start date of cooperation between the CFA and the SPO	1999			
Contracts signed in the MFS II period	Period	# months	Total budget	Estimation of % for Civil Society
Original contract	1st January, 2011 to 31st March, 2012		Euro 182,829	Not known
Addendum	extended till 30th June, 2013		Euro 181,023	not known

Sources: Project documents

Cordaid supported CENDERET through Partners for Resilience for the CBDRRM project and through the Community of Change alliance for the programme called Women Empowerment through Institutional growth with Inclusion and Equity (WEIGIE).

4 Explaining factors

Cordaid was contacted in March 2014 at the start of the end-line process. CDI was then informed that its partnership with CENDERET had ended in December 2013. Both Cordaid and CENDERET stated that it was not worthwhile to do the end line evaluation, because all staff previously involved with the project had been fired already in 2012, and that a new director in charge of the programme had only been appointed one month prior to our first contact. Also none of the partner organisations that participated in the workshop of 2012 seemed to be contact with CENDERET at that moment.

The evaluation team was informed that another SPO of the Partner for Resilience alliance had taken over part of CENDERET's activities, Netcoast that also is strengthening the performance of village committees. Later we were however informed that "As a matter of a factual correction, there is no complete takeover of CENDERET's actions by Netcoast – as the project areas are completely different. There is indeed sharing of capacity building interventions, but with a very limited follow up in the CENDERET villages for various reasons – including human and technical resource requirement for taking up interventions in an area with limited networks." As a consequence we decided not to explore this path further.

4.1 Timeline

On October 18th 2013, Cordaid sent a letter to CENDERET informing them about the closure of the programme. CDI did not receive communications between Cordaid and CENDERET that cover the time between the baseline study and when contact was sought for the end-line. Information missing comprises for example an overview of financial transfers that seem to have been delayed and led to the closure of the three regional offices and reminders sent from both sides, etc.). The October 18th letter however enabled CDI to construct a historical timeline.

Table 2
Historical timeline

Date	Issue
January 2011	beginning of the new phase of the project
July 2012	project is extended until June 2013 with an additional budget of €181,023.00
End 2012 – Oct 2013	Transfer of Cordaid funding was hindered and therefore CENDERET could not implement its programme. CENDERET had to close the Regional Offices with financial consequences
First semester 2012	During the MFS II evaluation baseline process, the coordinator of CENDERET resigned. His successor unfortunately passed away one month after having taken over.
July 2013	Contract signed with Caritas for a duration of 2 years to continue the programme (on behalf of Cordaid) CENDERET received INR 10 lakh as 1st instalment from Caritas (this transfer was also delayed).
September 2013	CENDERET starts re-launching the programme
October 18th 2013	Official letter closing the programme following a visit by Cordaid staff from India.
October 22th 2013	Official response by CENDERET (On the basis of the information we received from Cordaid in April 2014, CENDERET had not sent their last report on the project)
November 2013	Cordaid HQ visited India (visit related to the Cyclone Phailin that hit Odisha in October 2013) and had a meeting with CENDERET about the situation and concerns with the programme.
December 2013	Final closure of the programme. CENDERET does not react to a mail dated December 2nd by Cordaid requesting for final reporting on content and expenses made.
Annual report 2013 Partners for Resilience	This report mentions that 'despite significant efforts, implementing partner CENDERET was not able to secure government permission to receive funds from Cordaid.
April 2014	A new coordinator for CENDERET is appointed
April 2013	IDF evaluation team has contacted CENDERET to start the evaluation: the coordinator informs IDF that all staff has gone and states that Cordaid has to give its approval with the workshop
May 19th 2014	Cordaid sent a mail to CENDERET informing them that it would not be necessary for them to take part in the evaluation anymore
End November 2014	Facebook page of Partners for Resilience in India does not mention CENDERET as partners anymore (only Caritas India and Netcoast are mentioned)

Letter dated 18th October 2013 from Cordaid and other e-mail messages

4.2 Internal factors

CENDERET has a strong management structure. It is governed under the management of XIMB which is in the hands of a Governing Board, consisting of senior representatives from the Government of India, the State Government of Orissa, the Jesuit Society of Orissa and a group of eminent Industrialists and Academicians. The project management structure itself includes a coordinator, coordinators and teams for each of the 3 regions as well as administration and financial staff. The DRR proposal for 2009-2012 clearly defined the division of tasks. The coordinator is overall in charge of the project. He is specifically in charge of the reporting (both narrative and financial) to Cordaid. It is not clear whether the planned MIS and planned management structure ("we are planning to have a clear plan document containing the following within the financial period: […] a coordinated and well managed project structure with management decision making principles and operational aspects") were put in place. Nevertheless, the organisational scan of CENDERET prepared by Cordaid in 2011 was very positive. In many sections, CENDERET scored the highest number of points. For example, the staff and the leader were assessed as competent, the management was transparent, administrative and HR procedures were in place, etc.

Also and according to documents from CENDERET, CENDERET has grown as a major player in Orissa, an actor recognised by the state. It is therefore surprising that the situation deteriorated to the point that the programme had to close. This can only be partly explained by the resignation of the coordinator in 2012 and his successor unfortunately passing away after eight months. It should also be noted that after the regional offices were closed and with the financial flow re-established, CENDERET recruited new staff that however did not have the appropriate background to run the PfR programme (agricultural and not in natural disaster) and who did not perform although capacity building took place. Cordaid made an effort to train this new staff in vain.

The evaluation team has been informed about tensions amongst the leadership of XIMB and CENDERET and mismanagement of funds that was made known to Cordaid already in 2011. Funds were not sufficiently trickling down to the three field offices, one of the reasons that CENDERET was not able to provide an adequate answer to the 2013 cyclone Phailin that struck Odisha followed by massive floods covering 14 districts.

4.3 External factors

CENDERET has not been able to secure a government permission to receive funds from Cordaid (see for further details chapter 2.2.4 with regards to the FCRA which apparently impacted upon the relation between Cordaid and CENDERET). It can come as a surprise considering that CENDERET is part of XIMB which includes in its board representatives from the government of Orissa. As a consequence of the delay of funds, work of CENDERET was delayed of 1 year (end 2012-2013).

Cordaid also feared that the work to be done following the cyclone Phailin in October 2013 would delay the implementation of the programme which had just re-started.

4.4 Relations CFA-SPO

When financial transfers where hampered, CENDERET took the initiative to close the 3 regional centres and consequently fired staff *without* informing Cordaid. This is remarkable since the relationship between the two organisations dates back the late 90's during which several programmes were implemented. Cordaid invested in training the new team, but concluded that they were still not up to the task as mentioned earlier.

Doubts about the partnerships already started before the extension of the contract in 2012 and since then the relationship may have deteriorated.

5 Conclusion

The end-line assessment for CENDERET did not take place as expected. Since the baseline CENDERET has not been operational in the field because financial transfers by Cordaid did not arrive on the bank account of CENDERET. CENDERET then closed its regional offices and sent staff home. Communication with Cordaid was broken and despite efforts by Cordaid to re-establish the relation and by training newly hired staff, the Dutch NGO concluded to stop its collaboration with CENDERET. Internal factors that may explain this interruption of the partnership also are the sudden resignation of the coordinator during the baseline study and the fact that his successor unfortunately passed away just after having taking over the coordination responsibilities. Another external factor, not confirmed, possibly consists of the Foreign Contribution Regulation Act 2010[14] and CENDERET being unable to adjust to this act.

[14] http://www.fcraforngos.org/

References and resource persons

Documents by SPO

Title	*Year*
DRR Proposal 2009-2012-new	?
Logframe_PfR - CENDERET revised final	?
Organizational Structure CENDERET	?
CENDERET - Mission Vision	?
May-12th. Letter	2011?
New phase proposal 2011-2012	2011?
Contract cenderet	2011
Addendum contract Cenderet 2012-2013	2012
Ms Marlou Geurts CORDAID w r t PfR Project [official letter sent by Cenderet on October 22nd, 2013 to Cordaid]	2013
CMDRR-PfR REPORT	2013
WEIGIE PROJECT REPORT [WEIGIE PROJECT (317/5552C) REPORT 2013-2014]	2014?
[mail sent by Cenderet to IDF on April 23rd 2014 about evaluation issues]	2014

Documents by CFA

Title	*Year*
Organization scan Cenderet	2011
Scanned_document_18-10-2013_16-37-56 [official letter sent by Cordaid to Cenderet on October 18th 2013]	2013
RE On PFR programme Cenderet - Orissa2 [Mail sent by Cordaid to Cenderet on December 2nd 2013 asking for financial report]	2013
RE On PFR programme Cenderet – Orissa [Mail sent by Cordaid to Cenderet on January 10th 2014 asking again for financial report]	2014
Over Cenderet / Evaluatie [mail sent by Cordaid to CDI on March 7th 2014]	2014
RE: Request for information concerning Cenderet as part of the endline of the joint MFS II evaluation - CS component [mail sent by Cordaid to CDI on April 25th 2014]	2014
Concern MFS-II evaluation & partnership with Cenderet / XIMB [mail sent on May 19th 2014 by Cordaid to Cenderet with CDI and IDF in copy]	2014

Documents by Alliance

Title	*Year*
Annex 4.3 HARMONISATION REPORT INDIA	?
pfr annual report 2012 mofa - 20130516	2012
20142706 pfr annual report 2013 with integrated comments-ms	2013
PfR Annual Report 2013	2013
RE: request for information concerning Netcoast in India as part of the joint MFS II evaluation [mail sent to CDI by Wetlands International on April 28th 2014]	2014

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Cecoedecon, *?, Status of grass root level NGOs in Rajasthan*

Asian Development Bank, Government of Odisha, The World Bank. December 2013. *INDIA Cyclone Phailin in Odisha October 2013 Rapid Damage and Needs Assessment Report*

Webpages

Author	Title	Webpage link	Date consulted
Partners for Resilience India	Facebook Timeline	https://www.facebook.com/pfrindia	24-11-2014
Planning Commission	http://planningcommission.nic.in/reports/genrep/rep_pov.pdf		Nov 2014
South Asia Terrorism Portal	http://www.satp.org/satporgtp/countries/india/maoist/data_sheets/fatalitiesnaxal05-11.htm		Nov 2014
Reuters staff: Shashank and Sankalp	http://blogs.reuters.com/india/2013/05/29/who-are-indias-maoists-and-why-they-are-in-the-news/		Nov 2014
South Asia Terrorism Portal	http://www.satp.org/satporgtp/countries/india/maoist/data_sheets/anl_cas_oris.asp		Nov 2014
India Express	http://indianexpress.com/article/india/politics/naveens-thank-you-note-orissa-set-to-clear-new-policy-for-women/		Nov 2014
The Hindu, SATYASUNDAR BARIK	http://www.thehindu.com/news/national/other-states/more-women-voters-in-odisha/article5950473.ece		Nov 2014
Odisha government	http://www.odisha.gov.in/pc/humandevelopment/summary/Summary.pdf, pg. 4		Nov 2014
Social Watch	http://www.socialwatch.org/sites/default/files/SERF2012_eng.pdf		Nov 2014
Find The Best	http://country-corruption.findthebest.com/l/98/India		Nov 2014
Heritage	http://www.heritage.org/index/pdf/2014/countries/india.pdf		August 2014
Global Fund For Peace	http://ffp.statesindex.org/2014-india		August 2014
Freedom House	https://freedomhouse.org/report/freedom-world/2014/india-0#.VGCiRvlwtcQ		August 2014
World Value Survey	http://www.worldvaluessurvey.org/WVSContents.jsp		August 2014
Vision of Humanity	http://www.visionofhumanity.org/#page/indexes/global-peace-index/2014/IND/OVER		August 2014
Times of India	http://timesofindia.indiatimes.com/india/Lens-on-foreign-funds-to-NGOs-featuring-on-IB-report/articleshow/37801293.cm		August 2014
Financial Management Service Foundation	http://www.fcraforngos.org/		August 2014
Vision of Humanity	http://www.visionofhumanity.org/#page/indexes/global-peace-index/2014/IND/OVER		August 2014
Dishadiary.tv	http://www.orissadiary.com/CurrentNews.asp?id=50721		November 2014
Xavier Institute of Management	http://w3.ximb.ac.in/cenderet		19-11-2014

Resource persons consulted

For confidentiality reasons, the names and details of the persons have been removed.

Organisation	*Function in organisation*	*Relation with SPO*
CENDERET - Xavier Institute of Management	Director	n/a
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Wetlands International South Asia (leading partner of PfR India)	Program Director	Partner of PfR

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Centre for Sustainable Agriculture end line report

MFS II country evaluations, Civil Society component

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This report describes the findings of the end line assessment of the Centre for Sustainable Agriculture (CSA) in India that is a partner of Hivos.

The evaluation was commissioned by NWO-WOTRO, the Netherlands Organisation for Scientific Research in the Netherlands and is part of the programmatic evaluation of the Co-Financing System - MFS II financed by the Dutch Government, whose overall aim is to strengthen civil society in the South as a building block for structural poverty reduction. Apart from assessing impact on MDGs, the evaluation also assesses the contribution of the Dutch Co-Funding Agencies to strengthen the capacities of their Southern Partners, as well as the contribution of these partners towards building a vibrant civil society arena.

This report assesses CSA's efforts in strengthening Civil Society in India based upon the CIVICUS analytical framework. It is a follow-up of a baseline study conducted in 2012. Key questions that are being answered comprise changes in the five CIVICUS dimensions to which CSA contributed; the nature of its contribution; the relevance of the contribution made and an identification of factors that explain CSA's role in civil society strengthening.

Keywords: Civil Society, CIVICUS, theory based evaluation, process-tracing

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The Centre for Development Innovation accepts no liability for any damage arising from the use of the results of this research or the application of the recommendations.

Report CDI-15-021|

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List of abbreviations and acronyms

AIKS	All India Kisan Sabha
AP	Andhra Pradesh (the State of Andhra Pradesh)
APARD	Andhra Pradesh Academy of Rural Development
ASHA	Alliance for Sustainable & Holistic Agriculture
BJP	Bharatiya Janata Party
CBO	Community Based Organisation
CDI	Wageningen UR Centre for Development Innovation
CFAs	Co-Financing Agencies
CFO	Co-Financing Organisation
CMSA	Community Managed Sustainable Agriculture
CPI (M)	Communist Party of India (Marxist)
CRIDA	Central Research Institute for Dryland Agriculture
CROPS	Centre for Rural Operation Programme Society
CRP	Community Resource Person
CS	Civil Society
CSA	Centre for Sustainable Agriculture
CSSO	Civil Society Strategic Orientation
CWS	Centre for World Solidarity
DDC	Deccan Development Society
FERA	Foreign Exchange Regulation Act
FFS	Farmer Field Schools
GM(O)	Genetically Modified (Organism)
ICAR	Indian Council of Agricultural Research
IDF	India Development Foundation
MLA	Member of Legislative Assembly
MFS	Dutch co-financing system
MRTP Act	Monopolies and Restrictive Trade Practices
MoFa	Ministry of Foreign Affairs
NABARD	National Bank for Agriculture and Rural Development
NRM	Natural Resource Management
NPM	Non Pesticidal Management
PEACE	Peoples Action for Creative Education
REDS	Rural & Environment Development Society
RSV	Rythu Swarajya Vedhika
SAAPE	South Asia Alliance for Poverty Eradication
SERP	Society for Elimination of Rural Poverty
SHG	Self Help Groups
SPO	Southern Partner Organisation
SSI	Semi-structured Interview
ToC	Theory of Change
UPA	United Progressive Alliance
Wageningen UR	Wageningen University & Research centre
WFF	Women Farmers' Forum

1 Introduction

This report presents the civil society end line findings of CSA in India which is a partner of Hivos under the Dutch Consortium People Unlimited 4.1. It is a follow-up to the baseline assessment that was carried out in 2012. According to the information provided during the baseline study, CSA is working on the MDG 1, private sector and agriculture (the SPO also works on MDG 7a, b – sustainable living environment & forests and biodiversity).

These findings are part of the overall evaluation of the joint MFS II evaluations to account for results of MFS II-funded or –co-funded development interventions implemented by Dutch Co-Funding Agencies (CFA) and/or their Southern Partner Organisations (SPO) and to contribute to the improvement of future development interventions. The civil society evaluation uses the CIVICUS framework and seeks to answer the following questions:

- What are the changes in civil society in the 2012-2014 period, with particular focus on the relevant MDGs & themes in the selected country?
- To what degree are the changes identified attributable to the development interventions of the Southern partners of the MFS II consortia (i.e. measuring effectiveness)?
- What is the relevance of these changes?
- What factors explain the findings drawn from the questions above?

The CIVICUS framework that comprises five dimensions (civic engagement, level of organization, practice of values, perception of impact and contexts influencing agency by civil society in general) has been used to orient the evaluation methodology (see appendix 1 of the country report).

1.1 Changes in the civil society arena of the SPO

In the 2012 – 2014 period the two most important changes that took place in the civil society arena of the SPO are related to 'civic engagement' and 'perception of impact'. Most important changes observed with regards to the first CIVICUS dimension consist of CSA having increased its outreach in terms of small and marginalised farmers through the creation of three additional cooperatives to the seven existing which increasingly become self-sustaining in both technical and financial terms. In absolute figures, more women became a member, also took positions in the cooperative board, and became community leaders. CSA helped with the establishment of a women-only cooperative and together with another NGO and an umbrella organisation of NGOs and intellectuals (RSV) established a Women Farmer's Forum for widows of farmers who committed suicide.

With regards to the 'perception of impact' dimension, CSA managed to increase the market opportunities for its producer cooperatives and female self-help groups at higher market prices and strengthened the organisational performance of the cooperatives. In the past two years CSA managed to engage with more NGOs and it influenced the practices of public sector agencies with regards to the concept of a Non Pesticide Model (NMP) of farming for small farmers, it increased its outreach through the media and to other states. Until to date it is still difficult to influence existing policies but a law for a separate budget for agriculture was passed in the State legislative assembly in May 2014.

These findings were obtained through an analysis of documents, a workshop and follow-up interviews with CSA, and interviews with external resources persons working in civil society organisations that receive support from CSA; other civil society organisations with whom the SPO is collaborating; public or private sector agents and; external resource persons capable of overlooking the MDG or theme on which the SPO is concentrating.

1.2 Contribution analysis

Based upon an analysis of the projects and programmes financed by the Dutch CFAs a selection was made of SPOs to be included in an in-depth process tracing trajectory and those to be included for a quick contribution assessment. CSA was amongst those SPOs selected for in-depth-process tracing.

The impact outcome chosen under the strategic orientation related to civic engagement is the improvement in the engagement of women in CSA's farmers' cooperatives. In the 2012-2013 period, female membership in the seven official cooperatives increased from 86 to 129 women, and in percentage of total membership female participation increased from 20% to 21% whereas CSA aims for 30 percent of female membership. In three out of the seven cooperatives women constitute 50 % of the board members whereas the target is 50% for all cooperatives. Favourable conditions (necessary to explain the outcome achieved but not sufficient) that might have helped CSA with this increased female participation are the high organisation grade of women in Self Help Groups; the presence of a public sector programme that also promotes CSA's NPM concept amongst female SHGs; CSA's producer and consumer cooperatives in place and performing, and; the feminisation of agriculture in the last decades. After these conditions were in place the NGO Rural & Environment Development Society (REDS) and CSA could start the promotion of women into the cooperatives, CSA based upon its track record in agriculture and the cooperative structure which provides an attractive market outlet and REDS with its track record in supporting women in CMSA. Both actors possibly explain the outcome (not necessary but sufficient).

The impact outcome chosen under the strategic orientation strengthening intermediate organisations is the enhancement in the capacities of CSA's cooperatives (the seven registered and three unregistered) between 2012 and 2014 towards ensuring livelihood security of farmers. Favourable conditions (necessary the outcome but not sufficient) that might have helped CSA with building the capacities of the cooperatives include the growing demand for organic produce in the state that helps farmers to fetch a better price for their produce and thereby motivated them to scale up their activities; the presence of the public sector programme that also promotes CSA's NPM concept amongst female SHGs and other farmers (even before CSA started its work around NPM); and the presence of public advisory centres that impart trainings to the farmers of CSA cooperatives on issues of crop production and management, and organic farming practices. This in turn facilitated CSA's efforts to promote sustainable agricultural practices amongst the members of the cooperatives which in turn secured their incomes: there are multiple pathways that explain the outcomes and CSA's support is just one of them.

1.3 Relevance

Interviews with staff of CSA, with external resource person, with the liaison officer of Hivos, as well as contextual information helped to assess the relevance of CSA's interventions in terms of; its Theory of Change (ToC) for Civil Society (SC) as designed during the baseline study; the context in which CSA is operating; the CS policies of Hivos.

With regards to the baseline ToC, the interventions and outcomes achieved are relevant because they align with CSA's overall goal to realise income security for female and male farmers who engage in NPM farming and organic farming at lower costs and higher incomes. Linking producer organisations with consumer organisations and other market outlets, as well as linking them with government schemes to access subsidies and engaging with other NGO networks to lobby for favourable policies also show that CSA has been capable of shifting its technology centric approach to a broader sustainable livelihoods approach.

With regards to the context in which CSA is operating, its interventions and outcomes achieved are highly relevant given the fact that 56 % of India's population is dependent upon agriculture for its livelihood, of which 95% are small and marginal farmers. CSAs NPM concept of farming considerably increases the income profits for small farmers, has been adopted by para agencies for wide-spread dissemination and is currently being discussed as a strategy to reduce India's carbon footprint. Linking professional farmer organisations to markets, as well as to government schemes for subsidies, also contributes to embedding these organisations into their political environment. Promoting the

participation of women in these professional structures will help to prepare these women to become leaders in the agricultural sector.

With regards to the CS policies of Hivos, CSA's interventions and outcomes are relevant because they perfectly fit into its Green Entrepreneurship programme, aiming to mobilise the capacities of small and marginalised (female) farmers to negotiate with government and market institutions.

1.4 Explaining factors

The information related to factors that explain the above findings was collected at the same time as the data were gathered for the previous questions. The evaluation team looked at internal factors within CSA, the external context in which it operates and its relations with Hivos.

Most important factors within CSA that explain the findings consist of the fact that CSA has a charismatic leader, who enjoys respect from both government and NGOs. This director is well connected with organisations within Andhra Pradesh, with those in other states and has become a renowned figure on television and in the written press. CSA's vision and its way of working seem largely to be informed by this director who managed to shift CSA's vision to focus on farmers' livelihoods rather than on organic agricultural production.

The information made available by both CSA and Hivos show that these relations were effective and not hampering any development intervention.

The most important external factors that possibly have hampered progress being made are the political turmoil in the past two years that ultimately led to Andhra Pradesh being split into two separate states in June 2014. The following bureaucratic division has caused procedural delays in the process of registration of the cooperatives and reduced government support, which is gradually improving due to CSA's awareness meetings. Other external factors that impact upon the success of CSA's intervention are related to scanty rainfall and perpetual cyclones that destroyed agricultural produce and claimed thousands of lives. A more general trend which will possibly affect CSA's intervention in the coming years is a general disinterest shown by youngsters to earn a living as a farmer.

1.5 How to read this report

The following chapter briefly describes the political context, the civil society context and the relevant background with regards to the issues CSA is working on. Chapter three provides background information on CSA, the relation of its MFS II interventions with the CIVICUS framework and specific information on the contract with Hivos. An evaluation methodology has been developed for the evaluation of the Civil Society component which can be found in the annex of the country report; however, deviations from this methodology, the choices made with regards to the selection of the outcomes for contribution analysis, as well as difficulties encountered during data collection are to be found in chapter 4. The answers to each of the evaluation questions are being presented in chapter 5, followed by a discussion on the general project design in relation to CS development; an assessment of what elements of the project design may possibly work in other contexts or be implemented by other organisations in chapter 6. Conclusions are presented in chapter 7.

2 Context

This paragraph briefly describes the context CSA is working in. A description of the Civil Society Context assessed according to the CIVICUS framework is provided in appendix 3 of the country report for Civil Society.

2.1 Political context

Andhra Pradesh was formed in 1953 with Hyderabad as its capital; it was the first state in independent India to be created on linguistic grounds. The state has a history of communist and peasant movements and till some years back, Maoist insurgents were active in the Adilabad region of the state. The democratic movement for separate statehood for Telangana started as a protest against backwardness and deprivation of the region, but years of neglect hardened it and the demand for a separate state picked up momentum. In December 2009, the government of India declared the decision to start the process of formation of separate Telangana, but it had to be put on hold due to violent protest at a number of places by anti-Telangana parties.

However, the movement continued for all these years and series of bandhs, road blockades, rallies etc., both for and against a separate Telangana rocked the state. Decision to bifurcate the state was taken in a Congress Working Committee meeting in July 2013, which is the highest decision making body of Congress party that ran the United Progressive Alliance (UPA II) government at the Centre, and the state government in Andhra Pradesh. The separate state came into existence on 2 June 2014, after the necessary legislative process for the same was completed. Currently, K. Chandrashekhar Rao of the Telangana Rashtra Samiti is the chief minister of Telangana while Chandrababu Naidu of Telugu Desham Party is the chief minister of Seemandhra (the remaining part of erstwhile Andhra Pradesh) with BJP support; Hyderabad is the joint capital of both the states.

The bifurcation of the state resources, departments and officials caused prolonged delays and indecision on a number of government functions and decisions. The political scenario was also highly charged because of upcoming assembly and parliamentary elections and the division of state. Due to these reasons, civil society organisations had to face a number of problems e.g. delays in government grants or sanctions, processing of application and registration of cooperatives/trusts etc.

2.2 Civil Society context issues with regards to the MDG

A major challenge documented in the 2012 baseline study is that the civil society in Andhra Pradesh (AP) faced was the issue of Naxal[1] violence[2] and with it the continuing agrarian crisis and farmers suicides. With regards to these, the situation has not changed remarkably in the current context. One significant change has been the culmination of the Telangana movement[3]. The movement was a long and often violent struggle over the bifurcation of AP, beginning in 1969 and ending with the creation of Telangana on 2nd June 2014. This change has created a new set of challenges for AP's civil society.

[1] The Naxalite movement traces its origins from the Naxalbari uprising in 1967, the Maoist struggle in India is an outcome of this uprising. Naxalism was borne out of the marginalisation of the forest dewellers in Naxalbari village in West Bengal. It picked up support in the surrounding areas with the common cause of fighting marginalisation, lack of development and poverty faced by rural India. With the eventual adoption of the Maoist ideology the movement has become violent.

[2] There have been 6601 left-wing extremism related fatalities in India since 2004-9th November 2014. Since 1968 Andhra Pradesh has recorded 6430 fatalities. *Refer,* http://www.satp.org/satporgtp/countries/india/states/andhra/data_sheets/annual_casualties.asp

[3] *Refer,* http://www.firstpost.com/politics/from-1948-to-2013-a-brief-history-of-the-telangana-movement-998093.html

Naxal violence in the state has continued, albeit, at a much diminished level than what it was before 2010. In 2013, the Ministry of Home Affairs (MHA) expressed concerns over the resurgence of Naxal activities in the state due to the turbulence caused over the Telangana issue. Telangana, an economically backward region compared to the rest of AP, is also an area with "zero-governance" making it susceptible to Naxal activities. In 2013, there were 10 Naxal-related civilian fatalities in the unified state of AP, this was up from six in 2012[4].

The agrarian crisis which has been marring the lives of people in the state, has continued unabated. A serious lack of land reforms, continued drought, and increasing dependence on genetically modified (GM) seeds and pesticides, has created a life of debt for the farmer. The condition of the Indian farmer worsened following the liberalisation of the Indian economy in the 1990s. Due to this, there was a withdrawal of bank loans to the farming sector, increasing the farmers' dependence on money lenders and creating huge debts for them when the crops failed. The continued cycle of debt and crop failure has pushed a number of farmers towards suicide. The Telangana region and now state, has recorded the highest number of farmer suicides in the country after Vidarbha in Maharashtra, overall in India, a total number of 296,438 farmers have committed suicide since 1995[5]. In 2013 in AP, there were 2014 farmer suicides[6]. In Telangana there have already been 350 farmer suicides since its creation[7].

In 2014, Rythu Swarajya Vedika (RSV), an umbrella organisation of farmers groups and non-governmental organisations, released a Farmers' Agenda[8] in the lead up to the 2014 elections in the state. The government has tried to bring in "quick fix(s)" with loan waivers, the most recent of which is for Rs 43,000 crore, this is in-spite of the growing financial crisis in the state[9]. The agenda demanded that the government be more invested in the agriculture sector, bring in land reforms, improve the safety regulations over GM seeds and regulate seed prices. The use of GM crops adding to farmer distress and suicide remains controversial, with polarising opinions on the matter. The Technical Expert Committee (TEC) appointed by the Supreme Court in 2012 made recommendations where it sought a 10-year moratorium on field trials of GM crops[10]. The GM seeds marketed by private seed companies are very expensive, which adds to the already high cost of inputs. In such a scenario, crop failure, due to drought, or other reasons pushes the farmer already deep in debt over such high costs towards suicide.

The bifurcation of the state has brought with it, its own set of challenges. The immense tensions and hostility between pro and anti-Telangana supporters in the lead up to the division has left its mark. It is visible in the lack of cooperation between the two governments. The states have already taken the issues of water & power sharing, management of institutions, funds demarcation to the central government for resolution[11]. This deadlock has created water shortage in Hyderabad and the hinterlands. A farming sector which faces regular droughts is highly dependent on irrigation facilities, which have been hit due to the water shortage.

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[4] *Refer,* http://www.satp.org/satporgtp/countries/india/maoist/Assessment/2014/andhra.htm
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3 CSA and its contribution to civil society/policy changes

3.1 Background of CSA

Before its registration as a trust fund in 2004, the Centre for Sustainable Agriculture (CSA) functioned for 15 years as the Sustainable Agriculture desk of the Centre for World Solidarity (CWS). It has successfully demonstrated that regenerative and resource conserving technologies and practices of agriculture can bring both environmental and economic benefits to farmers and farming communities. Its models of Non Pesticide Management (NPM) agriculture have served the interests of many impoverished rural communities and have also been adopted by the government of Andhra Pradesh in its 2004-2009 Society for Elimination of Rural Poverty (SERP) programme, followed by a federal state programme as of 2010. Apart from NPM, CSA also promoted organic agriculture.

CSA is a professional resource organization engaged in establishing models of sustainable agriculture working in partnership with NGOs and Community Based Organizations (CBO) by scaling up the successes and engaging with the establishment for a policy change.

CSA believes in promoting sustainable agricultural technologies that are based on farmers' knowledge and skills, their innovation based on local conditions and their use of nature's products and processes to gain better control over the pre-production and production processes involved in agriculture. CSA works with farmers to conserve their resources and their rights.

The main objectives of the organization are:

- To improve the quality of life of farming communities by promoting environmentally safe and sustainable methods that would enhance the quality and quantity of crop/plantations/livestock yields especially in tribal and dryland areas.
- To enhance the participation of farmers, both women and men, in all processes of problem analysis, technology development, evaluation, adoption and extension leading to food security and self-reliance among farmers and rural communities.
- To facilitate community access and control over natural resources and to build institutions and coalitions at different levels for strengthening People's Agriculture Movements, which focus on empowerment of marginalized sections like Women, Dalits, Adivasis and Minorities.
- To develop a Sustainable Agriculture Resource Network that promotes sharing of knowledge, material and human resources. To serve as a repository for documenting, collecting, storing, collating and disseminating information/success stories from different sources on sustainable agriculture.
- Understand the role of agriculture in contributing to climate change and developing sustainable agriculture practices which can help in mitigating and adapting to climate change.

CSA is also engaged in establishing and working with Community Based Organisations (CBO) to address their agriculture based livelihoods.

CSA works in rain-fed areas (for example Ananthpur, Mahaboobnagar district of Andhra Pradesh, Wardha in Maharastra), areas with intensive cultivation of commercial crops and suffering severe ecological and economic crisis (Faridkot district of Punjab, Guntur, Warangal districts of AP) and Tribal areas (Araku and Nallamala in AP, Chattisgarh Tribal areas), covering at this moment 150 villages. CSA is working on the peri-urban vegetable value chain in and around Hyderabad, Vishakapatnam, Guntur, Warangal and other towns in AP. CSA provides technical support to organizations in Orissa and Karnataka. CSA is also engaged in policy advocacy work mainly on the impacts of chemical and GM technologies, their regulatory systems, public support systems to small and marginal farmers and

revitalizing rain-fed agriculture. CSA is actively engaged with the government and people on the agriculture and climate change debate[12].

CSA works mainly in the following six domains:

- Policy advocacy: CSA focuses on policy changes that support which promote sustainable agriculture and bring in effective regulations on unsustainable and exploitative practices.
- Sustainable Production: The focus is to develop and promote locally adapted integrated farming systems and other on-farm and off-farm livelihoods.
- Human Resource Development: Building resource pool of farmers, scientists, academicians, and nutritionists etc. who would help in supporting sustainable farming models, building farmers institutions and promoting agriculture based small and medium business enterprises
- Farmers Institutions: Building farmers institutions improve their bargaining power and realizing their rights.
- Marketing: Building small and medium enterprises which can increase the farmers share in the consumer price and can improve village economy are needed to sustain the farming based livelihoods.
- Pro-farmer media: CSA would have a special focus on using media both for grass root work and policy advocacy.

In 2012, CSA had 12 staff members of whom two are women. As described in their 2014 brochure, CSA's board of management is composed of seven members of which 2 are women and one is a farmer.

3.2 MFS II interventions related to Civil Society

Out of the five on-going programs of CSA (Building Farmers Institutions, Supporting small holder Agriculture, Establishing Farmers Seed Network, Adapting to Climate Change, Scaling up Sustainable Agriculture), the program Building Farmers Institutions is supported by Hivos.

Hivos has been supporting CSA as an independent organisation since 2006. The current contract runs between April 2011 – March 2015 and is entitled “Building Farmers’ Institutions for Sustaining Farming Livelihoods” for which the main objective is “Organising farmers into institutions for production and accessing markets for sustaining farming livelihoods.” The programme is articulated around four results areas:

1. Establishing integrated farming system models which are ecologically and economically sustainable;
2. Building farmers’ cooperatives which improve farmers’ access to markets;
3. Building capacities of farmers, agricultural workers and civil society workers for the promotion of sustainable agriculture;
4. Lobbying and campaigning for a better and supportive policy environment for sustainable agriculture.

The second result area corresponds to the CIVICUS dimensions of “civic engagement” and “level of organisation”. It aims at increasing farmers’ income and improving their food self-reliability through the strengthening of farmer’s cooperatives and through the creation of a consumer cooperative This result area was chosen for further evaluation of CSA’s contribution to building a strong civil society.

The fourth result area 4 on Lobby and Advocacy aims at pressurizing the government to revisit certain policies like Minimum Support Price, Seed Bill, Biotechnology Regulatory Authority of India (BRAI), crop insurance, GMOs. Because CSA does most of this work through Rythu Swarajya Vedika (a

[12] http://csa-india.org/who-we-are/ 12-11-2014

farmer's federation working towards basic rights of the farmers), we can link this to the CIVICUS dimensions "level of organisation" and/or "perception of impact".

The contract with Hivos contains a special clause to support female farmers to take up leadership roles, as resource persons, as decision-makers and as role models. This should ultimately lead to the improvement of their status, their recognition, knowledge and participation etc. This gender related issue is directly linked to the CIVICUS dimension on "civic engagement" and it was chosen for process tracing to assess the specific contribution of CSA with support of People Unlimited 4.1.

3.3 Basic information

Table 1
Basic information

Criterion	Basic information
Name of SPO	Centre for Sustainable Agriculture
Consortium	People Unlimited 4.1
CFA	Hivos
Start date of cooperation	1996 (as part of CWS), 2006 as CSA
MDG/theme	MDG 1
MFS II project name	Building Farmers' Institutions for Sustaining Farming Living hoods
Contract period	April 1, 2011 - March 31, 2015
Total budget Hivos	€ 232, 050.
Other donors if applicable	N/A
Estimation of % of budget for Civil Society[13]	26 % per year

Source: Contract Intake Form, Project Documents

[13] Costs that relate to civil society development or policy influence are those costs that possibly contribute to the development of the CIVICUS dimensions, excluding coordination and office costs; staff costs and financial reserves.

4 Data collection and analytical approach

4.1 Adjustments made in the methodology of the evaluation

Whereas the latest progress report and documents were not available when the input-output-outcome analysis was done (in April 2014), they had been made available before the fieldwork which helped the evaluation teams to prepare a list of possible outcomes as well as provided support to draw the list of external persons to interview.

During the plenary part of the workshop on process tracing, CSA staff listed nine outcomes under the two pre-selected civil society strategic orientations, namely Civic Engagement and Strengthening Intermediate Organisations (IOs). These outcomes were discussed at length the following day by all workshop participants *across the CSA hierarchy*. Inputs by everyone added up to make for the responses CSA forwarded as final. As a consequence, no separate forms were filled in by the each category of staff present[14].

4.2 Difficulties encountered during data collection

The primary hurdle through the data collection was language. None among the evaluators was conversant in Telugu, which was the only language spoken by most of the field staff, cooperative members and community resource persons. The dependence on translators slowed proceedings, and some of the original nuances might have been lost in translation.

The second challenge was with regard to evidence. Almost all the figures provided by CSA and the cooperatives associated with it had to be taken at face value—these were variously regarding membership strength, numbers of female members in the cooperatives, easy loans given for small business ventures etc. Few documents like meeting registers, minutes etc. exist to confirm or reject the figures. There were no records of such figures maintained by the government or some objective third party. In fact, evidence for some of the claimed outcomes, like say influencing policies on women farmers, was so flimsy that it could neither be confirmed nor rejected with any certainty and it therefore had to be dropped from the analysis at a later stage.

Though a large number of external resource persons were interviewed for CSA (representatives of farmers' organisation, ASHA, CMSA, REDS, a development practitioner and one academic along with cooperative members, women CRPs etc.), some of them had lost touch with the organisation over the past two years and could not give exact information regarding the claimed outcomes[15].While some of them were rivals of CSA, and were extremely critical of it without having detailed information on CSA's present activities. The evaluators had to be extra cautious that the analysis was corrected for interviewee prejudices.

Between the baseline and the end line, Hivos closed its office in Bangalore and all staff pertaining to HIVOS in Bangalore departed at the latest in the end of 2013. This influenced the data collection

[14] Out of the 14 participants of the workshop, were present: two members of the executive leadership, three programme managers and two personnel from the Human Resources and Administration departments. A member of CSA's board was present only for a brief period and provided a generalised opinion on the organisation's work.

[15] CSA changed its strategy from a production oriented approach into a livelihoods approach. This might possibly explain that its network has decreased in the past years

process to the point that the evaluation team was only able to interview a former Hivos staff involved with CSA until 2010. Getting information from the CFA has been a challenge.

4.3 Identification of two outcomes for in-depth process tracing

The project documents helped to preselect two outcomes. These are:

- For the civil society strategic orientation (CSSO) linked to civic engagement: “Enhancing the membership and quality of women’s engagement in farmer’s cooperatives”;
- For the civil society strategic orientation around strengthening intermediate organisation “Capacitating Farmer’s cooperative towards ensuring livelihood security”.

Nevertheless the analysis of the project documents showed a large amount of work done on lobby and advocacy on different topics with Rythu Swarajya Vedika and other actors. Instead of focusing on strengthening intermediate organisations it could have been possible to assess the contribution of CSA on a different civil society strategic orientation namely ‘influencing policies and practices’.

CSA agreed with the two outcomes chosen. They said the past two years had seen the organisation consciously strategizing to increase the participation of women in the cooperatives, and to increase livelihood security of farmers.

5 Results

5.1 Results obtained in relation to project logframe

With regards to the first result area, no progress seems to have been documented and it seems like this result area has been merged with the third result area, "building capacities of farmers, agricultural workers and civil society workers for the promotion of sustainable agriculture", a major outcome achieved is that the Madhya Pradesh state government has taken an initiative to include food and agriculture as part of all the courses for 2nd to 10th classes as of 2012. Instead of having a separate subject on agriculture, farming is integrated into all the courses including maths and history. CSA is developing syllabus on agriculture[16]. Also a considerable number of farmers were trained in different agricultural topics – number of participants unknown; an unknown number of farmers have adopted organic agriculture –number unknown, 2000 planned, and; articles were published in different magazines accessible for farmers.

With regards to the second result area "building farmer's cooperatives which improve their access to markets", 8 producer and one consumer cooperatives were officially established in 2012, covering 47 villages. Six of the producer cooperatives received further training in 2013. The annual report shows that membership of the producer cooperatives has grown (from 320 members in 2012 to 505 members in 2013), that household income of members increased in 2013 as a result of the adoption of new agricultural practices (from 50000 to 69900 Rupees). Apart from this relations were built between the consumer and the producer cooperatives. Members of cooperatives start to plan collective actions.

With regards to the fourth result area, "lobbying and campaigning for a better and supportive policy environment for sustainable agriculture, CSA works with Rythu Swarajya Vedika (a farmer's federation working towards basic rights of the farmers). With this federation and with the support of the cooperatives established by CSA, different meetings have been taken place with government officials on the controversial BRAI bill and cotton farming, CSA's proposal for a Bio safety Protection Act, the agricultural budget, a draft AP Seed Bill, employment possibilities in the agricultural sector (NREGA scheme) etc. To the knowledge of the evaluation team no policy changed occurred so far, except that a task force on sustainable agriculture and farmers' income commission—was included in the 2014 election manifestoes of mainstream political parties and that a separate budget for agriculture was passed in the AP legislative assembly in May 2014.

5.2 Changes in civil society in the 2012-2014 period with particular focus on the relevant MDGs & themes in the selected country?

5.2.1 Civic Engagement

Civic engagement describes the formal and informal activities and participation undertaken by individuals to advance shared interests at different levels. Participation within civil society is multi-faceted and encompasses socially-based and politically-based forms of engagement.

Since the baseline assessment in 2012, CSA has made slight improvements in advancing the interests of marginalised groups in AP. It has expanded its outreach from 3,326 to 4,841 small and marginalised farmers through the creation of three more cooperatives in the process of being

[16] Progress report 2012

registered. CSA has also taken clear actions to enhance the participation of women in agriculture. It created for example an exclusive women's cooperative, the Sri Gayatri Women's Mutually Aided Cooperative, in Kadapa district which awaits its registration. Unfortunately changes have not evenly spread in the cooperatives: the number of women Community Resource Persons[17] has grown to 47 % of the total number of CRPs but the increase of female members varied greatly between cooperatives and only three out of the seven cooperatives respect the mandate requesting 50 per cent of their board members to be women. CSA, together with NGO REDS, took up the issue of farmer suicides and succeeded to get the widows avail compensation and mobilised resources for their children's education and livelihood. CSA also started a pilot project, the Women Farmers' Forum (WFF)[18] in Anantapur district in 2013 to address the specific needs of this group.

The cooperatives became more self-sustaining and more independent of CSA since 2012. For example, farmer members are extensively involved in identifying their needs and exploring possible solutions and ask consequently support from CSA. Farmers are also able to plan both crop production and marketing activities, with some cooperatives even saving and then using such savings to fund business ventures. CSA's own interventions—like at the time of the baseline—continue to be informed by its target groups' needs but at the district level CSA has come to rely more on Rythu Swarajya Vedika (RSV)[19]. Like in the baseline, and despite being apolitical, CSA continues to engage regularly with local self-government and periodically with elected representatives. CSA has gained credibility so as the use of information provided by CSA to farmers' organisations or political parties can be witnessed.

Score baseline 2012 on an absolute scale from 0-3:	**2**
Score end line 2014, relative change on a scale of -2 → +2	**+2**

5.2.2 Level of Organisation

This dimension assesses the organisational development, complexity and sophistication of civil society, by looking at the relationships among the actors within the civil society arena.

The intensity of collaboration between CSA and other actors in the civil society arena has slightly improved since the baseline. In the 2012-2014 period CSA has been intensifying its collaboration with the associations intrinsic to its core interventions: the seven farmers' cooperatives and the local NGOs that support CSA in identifying and addressing the target groups' needs - REDS, CROPS, PEACE and Vennala Cooperatives. CSA has also been intensifying its dialogue with the national RSV and ASHA[20] networks because all three organisations shared, among others, the desire to influence political manifestoes favourably for farmers given the imminent elections in 2014 and were eager to bring forward farmers' concerns in the newly formed Telangana State. As a consequence and as mentioned earlier, farmers' cooperatives are more capable of defending the interests of the small and marginal farmers who comprise its constituencies, including those families affected by suicides. CSA has continued working with a large number of CSOs in India – not necessarily comprising farmers, and

[17] Community Resource Persons (CRPs) are individuals or leaders from within the community whom organisations choose and provide with the necessary exposure, technical training and expertise. These individuals are then capable of continuing the organization's work and taking it forward long after the intervention stops. *Refer,* http://www.greenfoundation.in/mksp/?page_id=898

[18] The Women Farmers' Forum (WFF) serves as a platform for these women to meet and discuss their personal issues, agricultural issues, seed problems etc. every month. CSA and REDS also linked WFF to the Rythu Swarajya Vedika in 2013 (WFF members are now RSV members also), though there are other women's organisations also, which are members of RSV

[19] Rythu Swarajya Vedika (RSV) is an umbrella organisation of NGOs and intellectuals working to ensure sustainable livelihoods for agricultural communities in Andhra Pradesh. It is part of the nationwide Alliance for Sustainable and Holistic Agriculture (ASHA). *Refer,* http://www.downtoearth.org.in/content/farmers-andhra-pradesh-release-their-agenda-2014-elections

[20] Alliance for Sustainable and Holistic Agriculture or ASHA is an alliance of about 400 diverse organisations drawn from more than 20 states across India that came together through the Kisan Swaraj Yatra (Oct-Dec 2010), a nation-wide mobilisation around Food-Farmers-Freedom. *Refer,* https://www.facebook.com/AshaKisanSwaraj/info?ref=page_internal

through its involvement in the international network SAAPE[21] with lobby and advocacy activities, CSA has reached CSOs in Nepal, Bangladesh, Sri Lanka, Pakistan and Maldives. Like at the time of the baseline, CSA continues to have multiple funding sources and according to CSA staff the financial situation improved in the last two years; in 2014, CSA even won two awards that contributed to its funds. Nevertheless and in terms of sustainability, concerns remain: funds from Hivos contribute towards the bulk of CSA staff salaries and in 2012-2013, it accounted for 21% of the budget but Hivos' funding ends in March 2015.

Score baseline 2012 on an absolute scale from 0-3:	**2**
Score end line 2014, relative change on a scale of -2 → +2	**+1**

5.2.3 Practice of Values

Practice of Values refers to the internal practice of values within the civil society arena. Important values that CIVICUS looks at such as transparency, democratic decision making, taking into account diversity that are deemed crucial to gauge not only progressiveness but also the extent to which civil society's practices are coherent with their ideals.

In terms of practice of values little has changed since the baseline, certainly when it comes to CSA. Downward accountability remains well in use, at CSA level but also in the cooperatives. During the baseline it was announced that the project fund related information would be shared with CSA's partners but at the time of the end-line this type of transparency has not taken place yet. CSA has requested its farmers' cooperative to have a gender-balanced board. As mentioned earlier this has only be reached in 3 out of the 7 cooperatives, although improvements were noticed; CSA itself has only 2 women in its board and 1 farmer, same composition as during the baseline. With regards to external financial auditing, CSA provided information of the audits for Hivos project, like during the baseline. The farmers' cooperatives also have started to commission external audits, which is a major change compared to the baseline.

Score baseline 2012 on an absolute scale from 0-3:	**3**
Score end line 2014, relative change on a scale of -2 → +2	**0**

5.2.4 Perception of Impact

Perception of Impact assesses the perceived impact of civil society actors on politics and society as a whole as the consequences of collective action. In this, the perception of both civil society actors (internal) as actors outside civil society (outsiders) is taken into account. Specific sub dimensions for this evaluation are the extent to which the SPO has contributed to engage more people in social or political activities, has contributed to strengthening CSOs and their networks, has influenced public and private sector policies.

In general, the dimension on "perception of impact" shows slight to good improvements.

CSA has strengthened its engagement in the wider civil society arena of AP and beyond. In the first place, in order to alleviate farmer concerns, they supported the cooperatives through the provision of loans, training, diversifying income generating activities such as poultry by the Enabavi cooperative in 2013 aiming at making farmers more resilient against climate changes, and working towards increasing the farmers and their cooperative's access to government schemes. In consequence, the consumer cooperative Sahaja Aharam[22] procured produce worth about Rs. 3.5 million from its producer cooperatives, women self-help groups and other organic farmers for which they were given a 10-25 percent better price than those who sold in the regular market in the April 2013 – March 2014 period.

[21] Constituted in circa 2000 SAAPE, or the South Asia Alliance for Poverty Eradication, works on poverty eradication in a holistic way, with a special focus on food sovereignty, gender justice, demilitarisation, democratisation and social justice issues in South Asia. It brings together existing like-minded networks to strengthen and build on their work; to make explicit the links between different issues that impact on poverty; and to link and bring a regional understanding to national level campaigns. Refer, http://www.saape.org/

[22] CSA's consumer cooperative

Meanwhile the farmers' cooperatives have increased their accountability to their constituencies as well as shown commitment in incorporating women as board members for at least 3 out of 7 of them. CSA managed to engage more agencies in NPM/organic farming and to take into consideration small farmers issues as a result of meetings and organic fairs in which local officials participated. CSA enlarged its outreach through its partnership with media. The past two years, CSA expanded its work into other states, Bihar and Maharashtra, through partnerships with their governments on scaling up programmes. Besides linking farmers' cooperatives to private food marketing agencies and entrepreneurs and bringing farmers to organic certification, CSA has started working with the Corporate Social Responsibility initiatives of Reliance Foundation towards promoting sustainable agriculture and is in discussions to collaborate with others. As stated in the baseline it is difficult to influence agricultural public policies that prioritise an industrial model of farming. Some positive outcomes to take into consideration are that a task force on sustainable agriculture and farmers' income included small farmers concerns in the 2014 election manifestoes of mainstream political parties and that a separate budget for agriculture was passed in the AP legislative assembly in May 2014. CSA has therefore been more successful in influencing *practices* of the public sector than influencing its policies.

Score baseline 2012 on an absolute scale from 0-3:	**2**
Score end line 2014, relative change on a scale of -2 → +2	**+2**

5.2.5 Civil Society Context

The social, political and economic environment in which civil society operates affects its room for manoeuvre. The civil society context has been described in chapter 3. In this section we describe how CSA is coping with that context.

CSA slightly improved its ability to cope with the changing environment since the 2012 baseline study.

Much of its work, like the registration of three new farmer cooperatives, suffered from the near standstill of the state government and administration due to the State bifurcation process which lead to the creation of Telangana on June 2nd 2014. In that context, CSA conducted several awareness meetings and produced a report on how the agriculture and agriculture-based livelihoods in the newly formed states could be sustained. CSA is also considering creating another office in Seemandhra, as the current office is in Telangana.

CSA collaborated intensively with networks like RSV and ASHA—at the state and national levels during the general election period in 2014, aiming to include small farmers' concerns in the political parties' manifestoes.

Realising that climate change is heavily impacting upon small farmers' livelihoods, CSA has started to support farmers and cooperatives in the diversification on income generating activities beyond agricultural production.

Score baseline 2012 on an absolute scale from 0-3:	**3**
Score end line 2014, relative change on a scale of -2 → +2	**+1**

5.3 To what degree are the changes attributable to the Southern partners?

This paragraph assesses the extent to which some outcomes achieved can be "attributed" to CSA. Starting with an outcome, the evaluation team developed a model of change that identifies different pathways that possibly explain the outcome achieved. Data collection was done to obtain evidence that confirms or rejects each of these pathways. Based upon this assessment, the evaluation team concludes about the most plausible explanation of the outcome and the most plausible relation between (parts of) pathways and the outcome. The relations between the pathways and the outcomes can differ in nature as is being explained in table 6.

Table 2

Nature of the relation between parts in the Model of Change

Nature of the relation between parts and other parts or outcome	
The part is the only causal explanation for the outcome. No other interventions or factors explain it. (necessary and sufficient)	
The part does not explain the outcome at all: other subcomponents explain the outcomes.	
The part explains the outcome but other parts explain the outcome as well: there are multiple pathways (sufficient but not necessary)	
The part is a condition for the outcome but won't make it happen without other factors (necessary but not sufficient)	
The part is a contributory cause it is part of a 'package' of causal actors and factors that together are sufficient to produce the intended effect.	

Sources: Mayne, 2012; Stern et al, 2012

The following paragraph assesses CSA's contribution to two outcomes. Each paragraph first describes the outcome achieved and the evidence obtained to confirm that the outcome has been achieved. It then presents the pathways identified that possibly explain the outcomes, as well as present information that confirms or refutes these pathways. The last section concludes in the first place about the most plausible explanation of the outcome, followed by a conclusion regarding the role of the SPO in explaining the outcome.

5.3.1 Strategic Orientation Civic Engagement

The outcome chosen is the improvement in the engagement of women in CSA's farmers' cooperatives, CBOs it supports. CSA aims for 30 per cent of female membership in all 10 cooperatives (of which seven have been officially registered) and a representation of 50 per cent of women in the cooperative boards, and to have more exclusively women cooperatives.

In the 2012-2013 period, female membership in the seven official cooperatives increased from 86 to 129 women, and in percentage of total membership female participation increased from 20% to 21% - the cooperatives grew from 430 to 616 members in the same period[23]. In three out of the seven cooperatives women now constitute 50 % of the board members; a fourth cooperative shows an increase in female representation in the board, two show a decline and in the last cooperative the membership stayed the same at 25% of the board members. At the same time the number of female Community Resource Persons (CRPs) associated with the seven cooperatives has gone up from 19 to 35 women. CRP successfully adopted sustainable agricultural practices and can disseminate these practices amongst other members. 47 % of all CRPs are now female and in three cooperatives 50 % of all CRP or more are female. Within the cooperatives, members start to register under a female name rather than the male head of household and there is some indication that women's bargaining position in their respective households is increasing, because they get involved in marketing of their produce which was predominantly a male activity before. Although women do not have access to land, they are involved in 70% of all agricultural activities.

The first pathway that potentially explains the outcome consists of a variety of activities carried out by CSA to increase female participation in the cooperatives. CSA assumes that women play an important role in agriculture but are neglected when it comes to planning/investments/policies etc. in the sector, and hence this needs to be overcome through awareness building, campaigns, increased policy emphasis and investment in issues of women farmers.

The following information provides evidence *in favour of this pathway* by highlighting the fact that CSA started to engage women in the cooperative structure:

- CSA started to realise that women are responsible for 70 % agricultural activities, although they do not own land, nor an income related to these activities. They also realised that agriculture is needed to ensure a sustainable livelihood. They started awareness raising activities for both men and women to engage women in cooperatives[24].

[23] Calculation based upon CSA annual report 2013-2014 and figures given later by CSA
[24] CSA and interview with a CRP

- CSA has been undertaking awareness building exercises, capacity building trainings and imparting knowledge to the women on the issues of adoption of sustainable agricultural practices, cost reduction, marketing, livelihood diversification and thereby income security. This has been an ongoing practice in the seven registered and three unregistered cooperatives associated with it and has been taking place prior to 2012 as well.
- Some other initiatives were also taken by CSA in promoting the engagement of women with cooperatives. CSA organised meetings with male members of cooperatives in 2012 and 2013 to encourage them to bring their wives to meetings.
- CSA and CRPs are teaching women of the cooperatives how to obtain access to financial support from government schemes (no information on results)[25].
- While engaging with CSA's interventions, women in CSA's cooperatives found that participation in livelihood enhancement activities is important. Realising this and benefitting from CSA's interventions, more and more women farmers started engaging in cooperative activities, thereby enhancing the membership of women in such cooperatives.
- CSA instituted a norm that 50 % of cooperative board members need to be of female sex.
- In the February – May 2013 period the average participation of women to training sessions was 48 percent.
- Generally speaking CSA is widely known for its Non Pesticide Management (NPM) concept in agriculture that considerably decreases the input costs for farmers at similar or higher yields. This concept combined with CSA's efforts to organise farmers into cooperatives and to search a market outlet for their agricultural produce by, amongst others, the creation of a consumer cooperative, might explain the farmers' adherence to the cooperative structure in the general sense and that of women in particular.

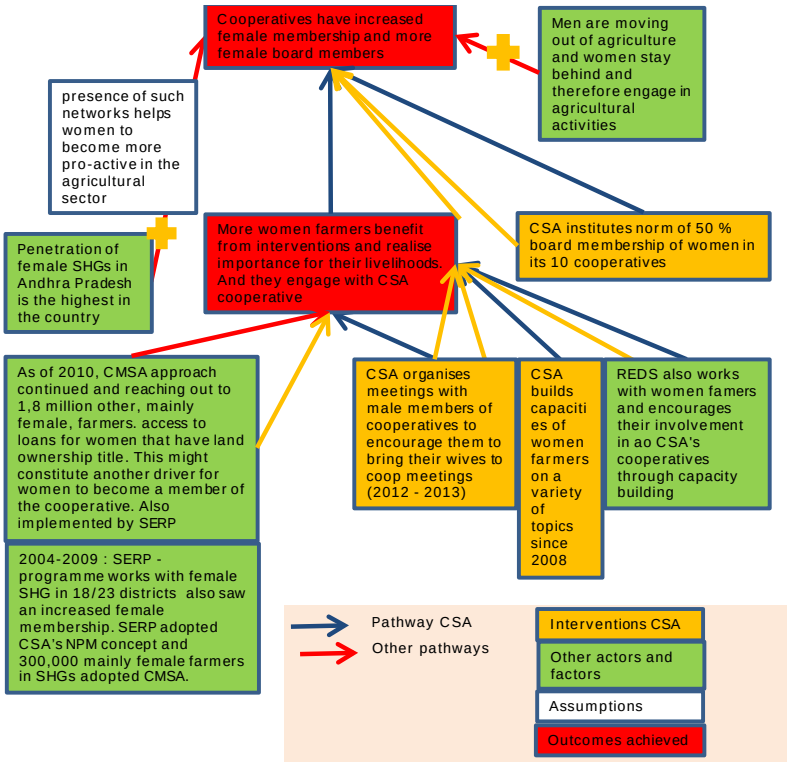

Figure 2 *Pathways that possibly explain outcomes and conclusions about the nature of the relations between pathways and the outcome, civic engagement*

[25] CSA and interview with a CRP

Information that *rejects CSA's contribution* to increased participation of women in the ten cooperatives and agriculture is the following:

- Not all ten cooperatives saw an increase in membership and equal representation of women in the board. This either illustrates that CSA did not work with all cooperatives to ensure more female participation, or that other actors and factors are in place that explain an increase in female membership and board representation[26]. A Community Resource Person states some cooperatives working with the Society for Elimination of Rural Poverty (SERP) programme (a para-statal programme that works with female SHG in 18 of the 23 districts of the state, covering 38,646 villages), that also saw an increased female membership. The SERP programme adopted CSA's NPM concept in the 2004-2009 period under the name of Community Managed Sustainable Agriculture (CMSA). In that period some 300,000 mainly female farmers, organised in Self Help Groups adopted CMSA which currently presents a bold alternative to conventional input-intensive agriculture in Andhra Pradesh that has the highest consumption of pesticides and fertilizers in the country[27]. CSA initially worked with the SHGs under the SERP programme[28].
- As of 2010, another programme is continuing the extension of CMSA, reaching out to 1,8 million other, mainly female, farmers[29][30]. SERP provides access to loans for women that have the legal documents that show that family land is also being registered under their names[31], which might constitute another driver for women to become a member of the cooperative. SERP claims to reach 80 % attendance of female farmers when working in the villages.
- According to All India Kisan Sabha (AIKS)[32], NGOs have not succeeded in the past to increase the participation of women in agriculture nor in their peasant union. The unions, however, started showing an increasing interest in engaging women in agriculture since a general trend is that men are moving out of agriculture and women stay behind as a consequence of the 'feminisation of agriculture' and start to join cooperatives[33].
- REDS is also working with CSA's cooperatives and in the same mandals and districts to support widows to continue farming and helping them avail of government compensations that are their due. Apart from their support to CSA's cooperatives they support many more SHGs in 172 villages 45 Gram Panchayaths of 10 mandals.
- Andhra Pradesh counts some 12 million women organised in SHGs that represent 21 % of all SHGs in India, the highest percentage in the country. These SHGs function as saving and credit groups inspired by the Grameen banking system. Whereas they used to include agricultural income generating activities in the past, they now increasingly produce goods for semi-industrial enterprises and other means and not through farm based agriculture practices. However their performance and impact in society is contested. One article concludes that the organisational performance of these SHGs is usually below standards, and that loans provided do not help members to get out of poverty. Very poor people easily drop out of these SHGs[34]. Geethanjali R. and Prabhakar K. (2013) conclude that women participating in SHG experience an impact at individual, family and community as a whole because they get access to credit. Being a member of an SHG also empowers women to

[26] Observation by evaluation team
[27] http://forbesindia.com/article/on-assignment/back-to-the-roots-for-andhra-pradesh-farmers/17822/1?utm=slidebox#ixzz3Gm1yc04R
[28] Major outputs of the SERP: 11.29 million poor were mobilized into self-help groups, exceeding both the initial target of 2 million and the target of 11 million that accompanied approval of the Additional Financing; Over 1 million self-help groups were set up, exceeding the Additional Financing target of 930,000; 38,646 village organizations were formed, exceeding the target of 37,000; 1,098 sub-district organizations were formed, meeting the target; 22 district organizations were formed, meeting the target.
[29] http://cigrasp.pik-potsdam.de/adaptations/community-managed-sustainable-agriculture-cmsa
[30] Mahila Kisan Shashaktikaran Pariyojna (MKSP)
[31] Cooperative board member
[32] All India Kisan Sabha is the peasant or farmers' wing of the Communist Party of India.
[33] see http://shodhganga.inflibnet.ac.in:8080/jspui/bitstream/10603/8123/11/11_chapter%204.pdf", especially table 4.6 and http://www.ilo.org/wcmsp5/groups/public/---asia/---ro-bangkok/---sro-new_delhi/documents/publication/wcms_146115.pdf
[34] http://shodhganga.inflibnet.ac.in/bitstream/10603/8124/11/11_chapter%204.pdf

stand up for their rights in wages, education, health etc.[35]. This research was conducted in Kadapa district, where CSA helped to establish a women-only cooperative.

Conclusion

Based upon the analysis of the information available we conclude that the most valid explanation for improved engagement of women with farmers' cooperatives is the role played by CSA in increasing women participation in cooperative activities. However, CSA's interventions are sufficient to explain the outcome on their own but not necessary: Other actors that possibly also explain the enhanced female participation in the cooperatives supported by CSA are:

- REDS that supports CSA's cooperatives also, in particular helping widows of farmers who committed suicide to obtain the compensation from government schemes.
- The SERP programme that has organized millions of women in SHG who now know how to its Community Managed Sustainable Agriculture approach which is based upon CSA's NPM.

Conditions in place for this to happen are that Andhra Pradesh has the highest concentration of women SHGs that enables women to be more pro-active in other affairs of rural life, be it agriculture or cooperatives and a general trend that men are leaving agriculture and that women stay behind and take over agricultural responsibilities beyond the traditional task divisions in agriculture and at household level.

CSA's role has been that of raising the awareness of both men and women regarding their role in agriculture and related activities; then that of organising the women, imparting training to them, and encouraging them to take up leadership positions in the cooperatives and active roles in agricultural activities. CSA's move from agricultural production to sustainable livelihoods that also includes the establishment of the producer and the consumer cooperatives has been important to start working with women, as well as its NPM that has been scaled up in the past 10 years through para-statal agencies.

5.3.2 Strategic Orientation Intermediate Organisations

The impact outcome chosen is enhancement in the capacities of CSA's farmers' cooperatives (including the seven registered and three unregistered cooperatives) between 2012 and 2014 towards ensuring livelihood security of farmers. Realising the need for securing incomes of the farmers of its cooperatives, CSA shifted focus from NPM to increased production and yields in sustainable agriculture.

As a result of CSA's efforts, the cooperative members have diversified their sources of income by taking up non-farm based livelihood activities such as backyard poultry, compost making, seed processing, diary, sericulture etc. for their own use as well as selling it to other farmers[36]. The average increase in income for the farmers of the seven registered cooperatives who adopted multiple activities ranges from Rs. 10,000 to Rs.35,000[37]. The Haritha cooperative in Vizayanagaram district has incorporated dairy as one of commercial activities in 2013 to support the incomes of its members. Similarly, poultry was introduced in Warangal district's Enabavi cooperative in 2013 for which the farmers reported to have received financial support from CSA, while Kadiri cooperative in Anantapur now produces and sells seeds[38]. CSA extended its support to the farmers of the Enabavi cooperative

[35] Geethanjali R. and Prabhakar K. (2013), *Economic Development of Women through Self Help Groups in YSR District, Andhra Pradesh, India,* Department of Women Studies, S.P.M.V.V (Women's University), Tirupathi 517502, Andhra Pradesh, India 2Department of Anthropology, S.V. University, Tirupathi 517502, Andhra Pradesh, India, in Stud Home Com Sci, 7(1): 25-34 (2013), © Kamla-Raj 2013.
[36] source: CSA and CSA annual report 2013-2014
[37] source: CSA (strong pieces of evidence)
[38] source: CSA

for selling seeds by extending support to them in acquiring mini mobile seed processing units and packaging material. Farmers from Punnami cooperative reported to have received CSA support in establishing bank linkages for their dairy related initiatives. They also started producing their own compost which brought them a savings of Rs. 4000 when compared to the market price[39]. Farmers of Tungabhadra cooperative made average savings of Rs. 7000 per season on fertilisers and pesticides through reliance on own production and adoption of organic practices. Fifteen farmers who received training in raising kitchen gardens at Mutlyala Chervu village reported an increase in their household income by Rs. 2,000 along with considerable savings on vegetable purchase—Rs. 30,000 collectively for all the 15 families. The technical trainings imparted by CSA helped farmers of the Kadapa cooperative to apply organic manure "Sanjeevani" to 87 acres of land owned by 17 farmers, particularly in agricultural and horticultural crops. This increased their incomes from Rs. 18,000 to Rs. 25,000 per farmer due to yield improvement and cost reduction[40].

Farmers of these cooperatives have been able to plan crop production and marketing activities, are involved in self-evaluation of their needs, actively participate in convergence meetings and organic fairs to avail benefits of government schemes and market their produce. For instance, the Enabavi and Mulugu cooperatives acquired mobile mini seed processing units in 2013-14 with 90 per cent of the costs financed through DoA subsidies[41]. Further, the Kadiri cooperative, a part of CMSS (Community Managed Seed System), is now receiving subsidies from the state's Department of Agriculture (DoA)[42].

Also, farmers and farmers' organisations are increasingly engaging with Rythu Swarajya Vedika (RSV) to participate in activities aimed at favourable policy changes for farmers[43]. Apart from this, farmers prepare their business models to avail of easy credit under CSA's value chain fund and maintain records of their produce for third party certification and marketing of their produce. All these activities have led to an increase in incomes of the farmers associated with CSA.

The first pathway that potentially explains the outcome consists of a variety of activities carried out by CSA towards capacitating farmers to adopt sustainable agricultural practices, diversify livelihoods, access government schemes, improve marketing of their produce, and increase reliance on own production of inputs for cost reduction. CSA organised farmers into producer cooperatives to promote adoption of NPM practices and established their linkage with consumer cooperative, Sahaja Aharam for the marketing of organic produce of the cooperatives. Over the years of its engagement with the farmers, CSA focused its activities on building the capacities of the farmers to help them secure their livelihood while following sustainable agricultural practices. Towards that end, farmers have found themselves preparing business plans, production and thrift activities, use easy loans provided by CSA to make profits, avail benefits of government schemes through convergence meetings organised by CSA, and improve marketability of their produce through participation in CSA annual organic fairs and obtaining third party certification of their produce.

The following information provides evidence *in favour of this pathway* by highlighting the activities undertaken by CSA to capacitate farmers' cooperatives in the state:

- CSA formed seven cooperatives and has been providing assistance to another three cooperatives for registration. CSA has imparted business development skills to the farmers of the cooperatives and provided assistance to farmers in enhancing their access to institutional credit [44].
- CSA has started work on community managed seed bank system. Kadiri Cooperative of Ananthapur district is a part of CMSS (Community Managed Seed System), as a part of which farmers are getting subsidy from Department of Agriculture (DoA), Andhra government [45].
- CSA has imparted technical trainings to farmers on preparation of bio-fertilisers, green manures and local inputs such as vermi-compost, which has helped them reduce their cost of production [46].

[39] source: CRP and interview with Punnami CRP
[40] source: CSA Annual Report 2013-14
[41] source: CSA interview (moderately strong piece of evidence) and CSA Annual Report 2013-14
[42] source: CSA
[43] source: CSA (moderately strong piece of evidence)
[44] CSA and interview with cooperative board members
[45] CSA (weak piece of evidence)

- CSA has helped cooperatives diversify their sources of livelihood by helping them take up non-farm based livelihood activities such as poultry, seed processing, compost making, sericulture etc.[47].
- CSA provides financial assistance to the cooperatives through the provision of easy loans under the value chain fund established by it to help them scale up their commercial activities [48].
- CSA assists the farmers in obtaining benefits of government schemes such as subsidies for seed processing units and on farm equipment by organising convergence meetings with line departments [49].
- With the help of Sahaja Aharam cooperative federation, other CSOs, government departments and public sector organisations, CSA has been organising annual organic fairs to develop an interface between farmers, buyers and government institutions, to enable farmers to share their learning and experiences and to help farmers market their produce [50].
- CSA facilitates the process of obtaining third party certification for the organic produce of the farmers of its cooperatives to promote marketing of such produce [51].

Information that *rejects CSA's contribution* to strengthening the capacities of the farmers' cooperatives in AP towards ensuring livelihood security of farmers is the following:

- SERP, through its CMSA programme that started in 2004, has been working with poor farmers in AP towards adoption of sustainable non-pesticide agriculture practices to reduce the costs of cultivation and increase net incomes [52]. SERP has initiated Farmer Field Schools (FFS) to support technology transfer through community-based local best practicing farmers. About 20-25 families are organised into a group which is assisted by a paid village activist (practicing farmer) and paid cluster activist (for a group of five villages). Technology transfer is promoted through sharing knowledge, observations and experiences by community best practitioners called CRPs (Community Resource Persons) who have successfully adopted CMSA practices. Capacity building is done through provision of financial support and technical inputs in the form of technology transfer for promoting adoption of sustainable agricultural practices and supporting incomes of poor farmers. SERP has made the farmers aware of the low cost agriculture for the last eight years on this issue. The programme began with 400 acres but now it spreads over 14000 villages and 56 lakh acres gross (roughly 40 per cent of total AP agricultural land).
  SERP's interventions include providing bank linkages, gender empowerment, and capacity building etc. to enable the SHGs function effectively. It has also worked on social security schemes like pensions, insurance, health and nutrition indicators, land access, dairy and help to poorest of the poor, disabled persons etc.[53].
- Increase in demand for organic produce has led helped farmers getting better prices for their produce [54]. Organic products, which until now were mainly being exported, are now finding consumers in the domestic market [55]. This is because higher demand vis. a vis. supply leads to increased bargaining power for the farmers who can then sell their organic products at higher prices and earn greater incomes. As a result, farmers' incomes have increased and they are being incentivised to increase the supply of organic produce.

[46] CSA, and interview with cooperative board members,CRPs, REDS and Refer Adjunct 9a
[47] CSA and interview with CRPs, key academic resource person, REDS
[48] CSA and interview with cooperative board members, REDS, CRPs and local NGO PEACE and Refer Adjuncts 7a, 7b, 7c, 7d and 7e
[49] CSA,, CSA Annual Report 2013-14, and interviews with REDS, cooperative board members, CRPs, and local NGO PEACE and Refer Adjuncts 5a, 5b, 5c and 5g
[50] CSA and interviews with CRPs and Refer Adjuncts 5d, 5e and 5f
[51] CSA, CSA Annual Report 2013-14, REDS, cooperative board members, CRPs.and local NGO PEACE and Refer Adjuncts 6a and 6b
[52] http://forbesindia.com/article/real-issue/andhras-pesticidefree-farming-an-inconclusive experiment/38018/1#ixzz3Gm0xSMox] and http://forbesindia.com/article/on-assignment/back-to-the-roots-for-andhra-pradesh-farmers/17822/1?utm=slidebox#ixzz3Gm2TEDLz]
[53] Interview with SERP (moderately strong piece of evidence)
[54] Interview with CRPs
[55] "source: http://www.hindustantimes.com/india-news/newdelhi/a-burgeoning-organic-market-beckons-to-india-s-rural-farmers/article1-1051468.aspx (strong piece of evidence)

- All India Kisan Sabha named another organisation, Deccan Development Society (DDS) that has been promoting organic agriculture in the state, although on a small scale [56][57].
- All India Kisan Sabha (AIKS) said that many farmers themselves are not interested in diversification since huge capital investment and scale is needed to make profits out of activities such as poultry and dairy, which is difficult for farmers. For activities like convergence meetings with line departments, AIKS attributed peasant organisations, political groups and government will.
- A CRP mentioned DAATTC (District Agriculture Advisory and Transfer of Technology Centre), attached to state agriculture university called ANGRAU (Acharya N.G. Ranga Agricultural University) that imparts trainings to the farmers on crops, seed production and organic farming practices[58][59].

[56] The Deccan Development society is projecting a working model for the people oriented participative development in the areas of food security, ecological agriculture, and alternate education. It is also trying to reverse the historical process of degradation of the environment and people's livelihood system in this region through a string of land related activities such as Perma-culture, Community Grain Bank, Community Gene Fund, Community Green Fund and Collective Cultivation through land Lease etc. These activities, alongside taking on the role of Earth care is also resulting in Human Care, by giving the Women a new found dignity and profile in their village communities. The Society is trying to relocate the people's knowledge in the area of Health and Agriculture. http://ddsindia.com/www/default.asp (moderately strong piece of evidence)

[57] DDS is the National Steering Committee Member and the AP State Secretariat for the Organic Farming Association of India [OFAI] India's only organization of grassroots organic farmers. OFAI is committed to promote organic farming in India through mobilization of farmers, training in organic techniques, workshops and policy advocacy. OFAI's labeling scheme through Participatory Guarantee System [PGS] provides an assurance of guarantee of organically grown produce exclusively for domestic consumers. OFAI rejects organic farming for export purposes. http://ddsindia.com/www/aboutus.htm (moderately strong piece of evidence)

[58] To give technological backup ad lend support to the extension agencies of the line departments, Acharya N.G.Ranga Agricultural University has reorganized the University extension services and established 'District Agricultural Advisory and Transfer of Technology Centre(DAATTC) at each district headquarters of the state with a team of scientists. One such centre at Anantapur falling under scare Rainfall zone of Andhra Pradesh started functioning since 5th December, 1998 with three scientists http://www.anantapur.gov.in/html/agri-dep-profile.htm (strong piece of evidence)

[59] To create awareness and to develop capacity building on the Pre & Post harvest operations, the Government in 1999 introduced farmers training programmes four per year in each AMC with the Co-ordination of Agriculture / Horticulture 42 depts and Agricultural University / District Agricultural Advisory and Transfer of Technology Centre (DATTC). http://ap.meeseva.gov.in/DeptPortal/Download-lat/White%20Paper%20on%20Agriculture%20Department.pdf (strong piece of evidence)

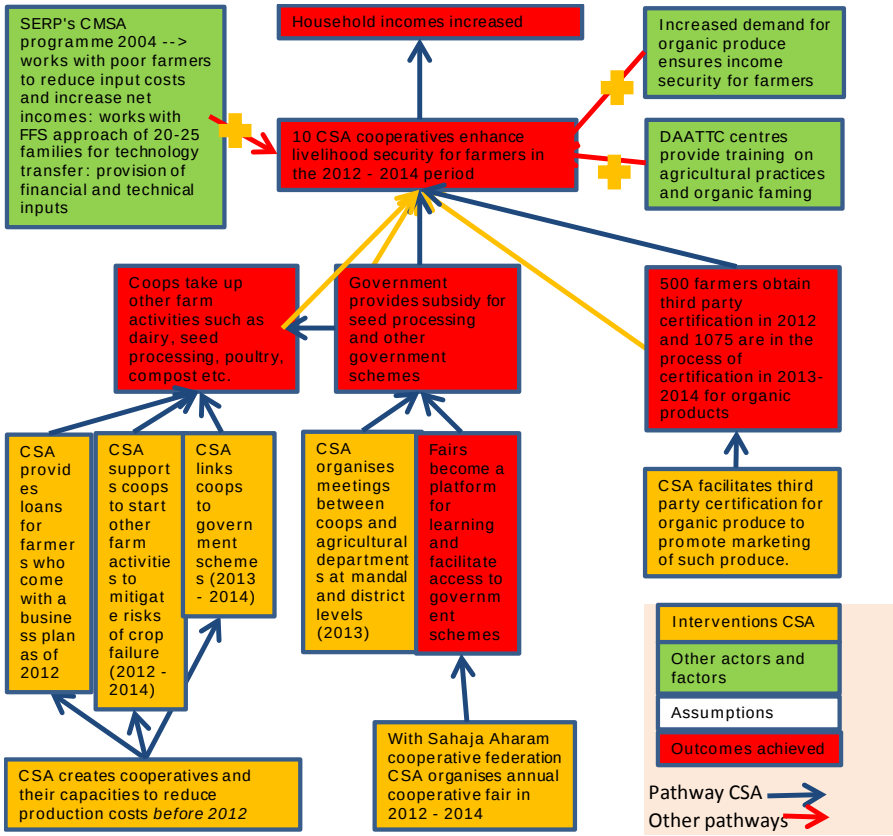

Figure 3 *Pathways that possibly explain outcomes and conclusions about the nature of the relations between pathways and the outcome, intermediate organisations*

Conclusion

Apart from CSA's direct interventions that helped build capacities of farmers associated with its cooperatives towards ensuring livelihood security for the farmers, the following other actors and factors might have helped achieve its outcome.

Favourable conditions (*necessary but not sufficient)* that might have helped CSA with building cooperative capacities include the growing demand for organic produce in the state that helped farmers fetch a better price for their produce and thereby incentivised and motivated them to scale up their activities; the presence of the SERP programme that also promotes CSA's NPM concept amongst female SHGs and other farmers (even before CSA started its work around NPM); and presence of DAATTC centres that impart trainings to the farmers of CSA cooperatives on issues of crop production and management, and organic farming practices. This in turn facilitated CSA's efforts towards promotion of sustainable agricultural practices among farmer cooperatives through strengthening their capacities to secure their incomes from the adoption of farm and non-farm based livelihood activities. (*not necessary but sufficient)*.

According to the evaluators, CSA assumes an important role in capacitating farmers through their engagement with its cooperatives. CSA has strengthened these cooperatives to secure farmers' livelihood through adoption of sustainable agricultural practices, diversify their incomes through taking up non-farm based livelihood activities, enabled them to access government schemes, imparted technical trainings to the farmers to promote cost-reduction, and enabled them to market organic produce through third party certification and organic fairs.

In its initial years, CSA was entirely focused on alternative technology transfer towards NPM, through awareness building and training. Over the years, CSA felt the need for shifting the emphasis of its programme from NPM to increased production and yields in sustainable agriculture to securing incomes for the farmers of its cooperatives. This was done through capacity building trainings as well as financial support in terms of easy loans and repayment options to integrate markets. Alongside, CSA also realised that work would have to begin on expanding the income basket of farmers. Awry weather patterns, unexpected droughts are making producing food alone a risky proposition for the

farmers and income sources need multiplying in this scenario. It was felt that cattle, poultry, sericulture, seed and manure production could be developed as additional sources of income, and efforts in this direction were made.

Along with the above mentioned activities, CSA is now making interventions towards collective bargaining and action, involving the farmers through cooperatives to get access to government schemes which are run by Ministry of Agriculture, horticulture and NABARD. Also, the need to market the organic product of farmers was felt and Joint Organic Food Melas (Fairs) are organised so that cooperatives can have an interface with the buyers. Such melas were organised at the state level in 2012, 2013 and 2014. To further increase the marketability of the organic product produced by farmers associated with the cooperatives, CSA entered into third-party certification agreement with Aditi Organics identified by Government of India, in 2012, so as to ensure better price and better income. All these steps, it thought would help in capacitating farmers in becoming self-reliant in farm as well as non-farm livelihood activities and ensuring livelihood security for farmers.

The MFS II funding contributes to the salaries, office expenses of CSA staff. And since the same staff is employed for various interventions, separating MFS II and non MFS II components of CSA's work is difficult. Hivos' support has been crucial for strengthening CSA staff capacities which has, in turn, facilitated other activities undertaken by CSA towards capacitation of cooperatives to secure livelihood. However, the activities specifically funded using Hivos support are—promoting seed cooperatives and marketing of seeds, workshops with stakeholders, building market linkages, campaign for promotion of organic food, organising annual organic fairs, convergence with line departments, capacity building trainings for cooperatives for production and marketing of organic produce, rural appraisal programmes for needs assessment, campaigning for a separate budget and organising support to obtain third party certification.

5.4 What is the relevance of these changes?

5.4.1 Relevance of the changes in relation to the Theory of Change of 2012

As described in the 2012 theory of change, CSA's overall goal is to achieve income security for farmers, which implies that farmers, including organic farmers, are prepared to be linked to markets. CSA had mentioned three major conditions to reach the goals: 1. Favourable policies in terms of providing a better income of farmers and a better share of the margins in the supply chain; 2. Favourable markets; 3. Ecologic and economic sustainable agricultural technology. Two fundamental strategies had been identified: the organisation of farmers to improve their bargaining capacity and their education through effective extension services. Special emphasis had been made on creating a women friendly farming environment.

The two outcomes selected during process tracing are clearly in line with the 2012 ToC. The various changes noted in the 5 CIVUCUS dimensions (increased number of (self-sustaining) farmers' cooperatives, clear "internal" policies favouring women, improvement in the practice of public policies in favour of small or marginal farmers, successes of convergence meetings with government agencies and of cooperatives organic fairs to mention a few) show to some extent the successes made to achieve the 3 important conditions. Nevertheless, one can note a slight shift towards institutions and livelihood. Initially the overall strategy sounded like a technology centric approach (like NPM) but later it moved more to building institutions to help farmers in achieving livelihood security, favourable policy environment etc. Socio-economic research has also started now, while the focus of research earlier was only on technologies. Better practices have also evolved for institutions other than just technologies as a result of beginning of research on that too. For example, earlier CSA did not focus much on marketing and thought that the farmers' better organic products would be sold "automatically" at better prices. At present, CSA is putting more emphasis upon marketing.

5.4.2 Relevance of the changes in relation to the context in which the SPO is operating

CSA believes that unless agriculture in India is in a better shape and farmers are prosperous, no development is viable. To do so, they are trying to bring larger policy level changes, income security policies for farmers in the long run, while also working for short term achievements like immediate help to farmers via diversification and cost reduction, with the help of cooperatives. A large section of India's population is engaged in agriculture (56% of India's population is dependent on agriculture for its livelihood—of which 95% are small and marginal farmers) and would directly benefit from CSA's successes. This would help solve the agrarian crisis, getting farmers out of the poverty trap and therefore stopping the consequent farmer suicides.

CSA's NPM concept, later adopted by the state-agency SERP under the name of CMSA, is decreasing the costs for inputs with 22% and increasing the total profit per acre with a factor of 2.8[60]. Mainstream agricultural research and extension institutions and other programs providing subsidies to farmers for usage of chemical fertilizers and pesticides are still sceptic on the CMSA concept and more dialogue is needed between the farmers and scientific community practicing sustainable agriculture. The current dialogue on role of agriculture in adaptation to climate change and reduction of carbon footprint through reduction in usage of chemical fertilizers has also started. This augurs for a possible second 'green' revolution, particularly for rain fed areas[61]. CMSA presents a bold alternative to conventional input-intensive agriculture in a state that has the highest consumption of pesticides and fertilizers in the country.

Strengthening the capacities of the cooperatives increasingly helps to ensure livelihood security for farmers. As a cooperative board members mentioned, earlier the local moneylenders used to exploit farmers who were forced into distress sales. Now, with the help of cooperatives, farmers are better informed. They are getting facilities like loans in an easy way and they are also making profits on agriculture. This has improved the situation of farmer households in economic terms and as a consequence benefitting the society as a whole. Besides economic benefits, the CRPs mentioned that producing in an organic way also leads to improvement in health. Several respondents (cooperative board members, retired Professor also vice-president of farmers' union also president of cooperative) mentioned that working through cooperatives is relevant since horizontal transfer of technologies (from farmers to farmers; imitating the neighbouring village) is successful in India. An ex staff of Hivos mentioned that building coalitions has a huge impact on policy making in India and that the sharing of learning benefits not only the community or the village but also the entire nation.

The relevance of CSA's activities towards the engagement of women in farmers' organisations and cooperatives, its support to the Women Farmers' Forum (WFF) and the women only cooperatives is also quite high. Women, 50% of the population, have an important role in agriculture. Beyond directly supporting women, these changes would benefit the entire society. As several respondents mentioned, women do most of the agricultural work, even the most difficult one. Nevertheless, technologies are not in line with their needs and culture makes it that women don't go to markets. To get women mobilised in leadership positions, one has to cut through patriarchy and other obstacles. Quoting one respondent "I believe unless you work with women, no positive change is possible. Women should be mandatorily involved. It will take time, but that is needed." A woman CRP mentioned that more and more women are able to come up and discuss their issues and that because of their association with the cooperatives, women's bargaining power within the households has also increased.

5.4.3 Relevance of the changes in relation to the policies of the MFS II alliance and the CFA

People Unlimited 4.1 (also called the Hivos Alliance) is an alliance of four organisations: Hivos, IUCN NL, Mama Cash and Press Now. As detailed in the MFS II subsidy application for the 2011-2015 period, the Hivos Alliance should deploy four interrelated programmes to contribute – in a result-

[60] http://forbesindia.com/article/on-assignment/back-to-the-roots-for-andhra-pradesh-farmers/17822/1?utm=slidebox#ixzz3Gm1yc04R
[61] http://cigrasp.pik-potsdam.de/adaptations/community-managed-sustainable-agriculture-cmsa

oriented and sustainable manner – to building and strengthening civil society in the South as the cornerstone of structural poverty alleviation. These programmes are: Green Entrepreneurship, Rights & Citizenship, Expression & Engagement and Action for Change.

According to an ex Hivos staff, CSA's programme aligned with Hivos Civil Society strategy. CSA's programme is a part of Hivos Green Entrepreneurship programme. It was designed around how to mobilise and build the capacities of small and marginal farmers including women to negotiate with the government and the market. Its aim is to tackle the asymmetry of power that leads to an asymmetry in access to information and consequently to a limited access and control over resources. If farmers are to get a bigger share of the economic margin, one needs to strengthen cooperatives, producer companies, and build their skills so that they climb higher in the value chain (from local to national to even international markets). Training farmers in the process of analysing what is good for their agriculture will possibly influence how they get represented in public policy. The special emphasis CSA has put in the last 2 years on strengthening the position of women in agriculture via an exclusive women cooperative and setting a mandate for a gender balanced board is certainly in line with Hivos gender mainstream policy. The fact that CSA interacts more (intensively) with (more) CSOs, networks like ASHA and RSS and the public agencies fit into Hivos way of working. As an ex Hivos staff said: "Many changes cannot happen alone or within projects: Building like-minded coalition of CS actors including target groups like farmers and women is essential."

5.5 Explaining factors

5.5.1 Internal factors – organisational capacity CSA

CSA director Dr. G.V. Ramanjaneyulu, popularly known as Dr Ramoo, is a renowned figure; articles about CSA appear routinely in national and local magazines and newspapers, with Dr. Ramoo being the interviewee or the source of information in most of them. He also appears as an expert and advocate of sustainable non pesticide agriculture on many television news shows. His participation in June 2012 in the popular television show Satyamev Jayate which is hosted by an Indian celebrity and addresses social issues throughout the country and additionally includes the mobilisation of financial resources saw tremendous viewer response from across the country, with Rs 30 lakhs being sent in as donations, an amount that added up to make Rs 40 lakh over the past two years. The programme showcased CSA's work. Further, Dr Ramoo's television appearances on channels such as MAHA TV, Sakshi TV, HMTV, AIR, TV5, TV9 etc., have influenced discussions and debate on issues related to agriculture such as farmer suicides, the need to promote sustainable agriculture, to have a separate budget for agriculture and maintenance of bio-diversity. CSA has also launched an online TV channel called Krishi (meaning 'Farming' in Hindi) and has a website called www.indiaforsafefood.in. Dr Ramoo is very active on Facebook[62] and updates his posts to inform his over 3300 followers about issues pertaining to sustainable agriculture.

Dr Ramoo enjoys respect and influence within the activist community as well. This finds manifestation in the fact that CSA is well networked—locally and nationally, with for example Rythu Swarajya Vedika[63] and ASHA[64] respectively—with other organisations that work on its issues. His expertise is recognised, and often drawn upon, by the government. In 2012, he chaired the state government committee on school education on the introduction of sustainable agriculture as a topic in the regular school syllabus for school children from class 2 to class 10. CSA won two awards for 'best innovations impacting rural livelihoods and for its invaluable contribution in improving lives of rural poor' from

[62] https://www.facebook.com/gv.ramanjaneyulu?fref=ts

[63] Rythu Swarajya Vedika (RSV) is an umbrella organisation of NGOs and intellectuals working to ensure sustainable livelihoods for agricultural communities in Andhra Pradesh. It is part of the nationwide Alliance for Sustainable and Holistic Agriculture (ASHA).

[64] Alliance for Sustainable and Holistic Agriculture or ASHA is an alliance of about 400 diverse organisations drawn from more than 20 states across India that came together through the Kisan Swaraj Yatra (Oct-Dec 2010), a nation-wide mobilisation around Food-Farmers-Freedom. *Refer,* https://www.facebook.com/AshaKisanSwaraj/info?ref=page_internal

state governments other than Andhra's, the Bihar Innovation Forum[65] award in January 2014 and the Maharashtra Rural Livelihood Mission (MSRLM)[66] award 2013-14 which had a cash component of Rs. 5 lakh.

Within the organisation too, CSA's vision and its articulation seem largely to be informed by Dr Ramoo. During the end line, he spoke of CSA, over the past two years, having evolved its mandate from being a technical assistant in matters of organic farming to strategising and working on increasing the livelihood of farmers—because farmers wouldn't take to organic farming till it made economic sense to them. Dr Zakir Husain, the joint director, who had been on a sabbatical during the 2012 baseline workshop, was present for the end line. He seemed to be the link between the CSA's field areas and organisations' Hyderabad office.

5.5.2 Relations Hivos - CSA

Hivos has been supporting Centre for World Solidarity (CWS) since 1996 in its initiative to promote sustainable agriculture that was spearheaded by Centre for Sustainable Agriculture (CSA), the sustainable agriculture desk of CWS. CSA received a first support from Hivos in 2006, when it established itself as an independent organisation. The current contract lasts until March 2015.

Since the baseline study Hivos closed its office in Bangalore in December 2013 and expected to open its new office in the first semester of 2014 in Mumbai. Based upon the interview with former Hivos staff in liaison with CSA, as well as the communications between Hivos and CSA, relations were effective and not hampering any development intervention.

5.5.3 External factors

The past two years saw political turmoil in the state of AP as the demand for a separate Telangana[67] state gained strength and ruled the political discourses, debates and discussions. The long, violent struggle ended up translating into the state's bifurcation into two separate states—Telangana and Seemandhra on June 2nd, 2014[68]. More protests, demonstrations, and suicides followed up[69] slowing down the functioning of the state government departments and administration. For CSA cooperatives, bureaucratic division following state bifurcation meant procedural delays in the process of registrations of cooperatives as well as reduced government support for their activities. In response to this, CSA conducted several awareness meetings on the issue of bifurcation of state and its implications for agriculture and allied activities and also came out with a report to that effect. CSA has also planned to come up with a new office in Seemandhra to continue its activities in the region while its current office is in Telangana.

The state's agrarian crisis continued in 2012 and 2013 with the state registering deficit or scanty rainfall in many of its districts coupled with perpetual cyclones such as Nilam, Meher and Phailin destroying yields of standing crops such as paddy, pulses etc. and affecting agricultural productivity, apart from claiming thousands of lives. This was accompanied by shortage of food grains, scarcity of fodder for livestock and deteriorating economic situation of the farmers of the state. Farmers' suicides

[65] The Bihar Innovation Forum (BIF) is a platform which offers opportunity to various stakeholders to present innovative solutions and ideas which can help create a more sustainable impact in rural Bihar. It is developed and supported by the Bihar Rural Livelihoods Promotion Society (BRLPS). *Refer,* http://www.biharinnovationforum.in/pages.php?pid=8

[66] The Maharashtra Rural Livelihood Mission (MSRLM) is an institution that both enables and empowers the poor to access better livelihoods. It is responsible for integration of livelihoods innovation across various sub-sectors. *Refer,* http://msrlm.org/mrlif/

[67] The Telangana movement, a struggle in Andhra Pradesh for a separate state of Telangana came to a conclusion with its creation on 2nd June 2014, making it India's 29th state. The 'Jai Telanagan' movement began in 1969, over cultural and economic differences with the larger state of Andhra Pradesh. *Refer,* http://timesofindia.indiatimes.com/india/15-facts-you-need-to-know-about-Telangana/articleshow/35955351.cms

[68] The Andhra Pradesh Reorganisation Act, 2014 for the bifurcation of Andhra Pradesh into two states was given the go ahead by the President on 1st March 2014. This was following decades long struggle for Telangana. *Refer,* http://reorganisation.ap.gov.in/index.jsp

[69] The announcement to divide Andhra Pradesh met with celebration on the Telangana side and protests and suicides on the Andhra and Rayalseema side. 13 districts were shut down in Seemandhra as protests took place. A home guard is said to have committed suicide after hearing the news about the division. *Refer,* http://www.hindustantimes.com/india-news/telangana-triggers-protests-suicides-clamour-for-more-states-grows-across-india/article1-1101346.aspx

continued in many parts of cotton and chilly growing areas of Andhra even after 2012. The period between 2012 and 2014 saw CSA working in collaboration with local partner, REDS[70], networks like RSV and ASHA, and Caring Citizen's Collective[71] to provide support to the families affected by farmer suicides, especially in availing compensation from the concerned government departments. Towards this, meetings with women from such families were held at the district level in Kadiri and the state level in Hyderabad in September of 2013 as a result of which all the pending cases of ex-gratia for farmers' suicide families were settled by the District Collector in Medak district.

The period between 2012 and 2014 saw CSA witness a growing disinclination amongst youngsters for farming and farm-based livelihoods contributed by low productivity and yields, low profits, high input costs and growing risk of crop failure. Towards this, CSA organised trainings focused on reviving youth interest in farm based livelihood activities, particularly, sustainable agricultural practices. Realising the concerns of the farmers in adoption of such activities, CSA consciously shifted focus from enhancing productivity to enhancing household incomes and promoted other non-farm based livelihood activities amongst farmers of its cooperatives. It also facilitated marketing of the organic produce of its farmers by organising annual organic cooperative fairs and obtaining third party certification for the produce of the farmers. It has also planned to launch a professional marketing agency, which would ensure sale of such products at good prices.

[70] REDS or Rural & Environment Development Society, was registered as a not-for-profit organisation in 1996 to further the well-being of rural communities. REDS activities are mainly focused on rural development, sustainable agriculture, child rights, anti-trafficking and empowering CBO's to gain control over natural resources. See http://redskadiri.wordpress.com/about/

[71] Caring Citizens' Collective (CCC) comprises social activists, academicians, intellectuals and journalists who formed it in 2007 in Andhra Pradesh. The CCC volunteers work in the Telangana region of AP where the farmer suicides are high specifically in Medak, Mahabubnagar and Warangal districts. A beginning has been made to support the education of the children belonging to farmer's families affected by suicides. In addition to supporting the children's education, CCC is also working hard to assist the suicide and starvation deaths affected families to obtain financial and other required assistance from the government. *Refer,* http://www.lamakaan.com/events/548; http://www.actionaid.org/india/what-we-do/andhra-pradesh/our-response-acute-agrarian-crisis-and-spate-farmer-suicides-medak

6 Discussion

6.1 Design of the intervention

This section discusses whether the project, through the two interventions selected for in-depth study namely 'Improved engagement of women in farmers' organisations—Women Farmers' Forum (WFF) and cooperatives—in Andhra Pradesh' for civic engagement and 'Farmers' Cooperatives in Andhra Pradesh capacitated towards ensuring livelihood security for farmers' for strengthening intermediate organisations, is well designed and suitable for the environment in which it was implemented.

As noted by all interviewees and by a further literature study, there is no denial that putting emphasis on strengthening the role of women in agriculture is essential. "Women empowerment is the pre-requisite to boost agricultural production"(Dr.Narayan G. Hegde, date unknown[72]). One should note and praise CSA for truly mainstreaming gender in its interventions. Although it was generally mentioned in their 2012 ToC, CSA has looked for specific solution to empowering women in rural areas (and not only mentioning need for education without doing justice to the capabilities women are already showing).

When it comes to investing in small farmers' cooperatives, CSA's work is in line with IFAD, FAO and WFP who state that "Smallholder farmers gain big benefits from agricultural cooperatives including bargaining power and resource sharing that lead to food security and poverty reduction"[73]. 2012 was even named International Year of the Cooperatives (IYC). It can be interesting to look back at the theory on farmers' collectives from Oakeshott (2011) where he stated that cooperatives were difficult to create and sustain. Most importantly, he "suggested that strong emphasis must be put on conditions necessary for cooperative success and that the single most important condition is that of good leadership" (1-2)[74]. The evaluation synthesis report commissioned by IFAD for the 2012 IYC [75] also stated more challenges such as "establishing cooperatives and building up their networks and vertical support organizations, are demanding tasks, their management is even more demanding, particularly owing to their democratic nature and large, often poorly educated membership". We can credit CSA for being able to create these cooperatives and showing to some extent the results these have been able to achieve for example in terms of increased income for the members. With regards to the functioning of the cooperatives, the above mentioned evaluation synthesis report mentioned some common issues:

- Inadequate organization by rural populations;
- Poor reputation of cooperatives; Effects of economic liberalization;
- Lack of experience and relative financial weakness of cooperatives;
- Lack of competencies and systems; Poor infrastructure;
- Lack of vertical integration and linkages; and inadequate finance.

The report also mentions the interventions IFAD did to overcome these issues and for which the success was relatively satisfactory:

- Building up capacity (usually in the form of technical assistance, training, workshops and study visits) at all levels;
- Strengthening institutions (helping to establish cooperatives and providing technical assistance or funds for basic infrastructure, equipment, and technical or managerial backstopping);
- Provision and strengthening of financial services;
- Technical assistance for special tasks and studies;
- Supporting vertical structures for advocacy and policy dialogue with government and traders.

[72] Dr. Narayan G. Hegde, (Date unknown) New technologies to enhance agricultural production and sustainable rural livelihood, BAIF

[73] in 'Agricultural cooperatives are key to reduce hunger and poverty', http://www.ifad.org/media/press/2011/76.htm

[74] in IFAD Brief 122: The Renewed Case for Farmers' Cooperatives: Diagnostics and Implications from Ghana. http://www.ifad.org/drd/agriculture/122.htm

[75] IFAD's Engagement with Cooperatives, A Study in Relation to the United Nations International Year of Cooperatives by IFAD Independent Office of Evaluation, March 2013

The interventions of CSA (like capacity building, providing loans for diversification of activities, creating platforms for exchange of information with the public agencies (the convergence meetings) and others for marketing (like the organic cooperatives fairs) are to some extent similar to the ones mentioned by the evaluation synthesis report. In that sense we can say that these interventions are well designed. Nevertheless it is essential to continue efforts in linking the cooperatives with public agencies and to reinforce the links between cooperatives (horizontal and vertical links).

6.2 Replication of the intervention

CSA's interventions at organising farmers, and inclusion of women in these organisations (cooperatives), certainly benefited from the fact that Andhra Pradesh already had a culture of SHGs. The women farmers in AP, therefore, have already been exposed to the advantages of such thrift and entrepreneurial activities. So, a predisposition to joining cooperatives might have existed. This might not be the same in other states. And similar work that CSA is doing in AP might therefore have to focus much more on awareness building in other states.

CSA has been able to identify concerns that are indigenous to the state, and emotive for the local farmers—working with the widows from farmers' suicide families, and not focus on technical issues that farmers mostly unlettered have difficulty to grasp[76]. Replication, therefore, must keep in mind that farmers' organisations must be grounded in local concerns, so that farmers feel they have a personal stake.

Besides formal registration and as stated in the evaluation synthesis report commissioned by IFAD for the 2012 IYC, "sustainability also calls for sector integration and links to local community structures (development councils, municipalities, networks of organizations, and so on), as well as for empowering cooperatives and involving them in value chains. However, because local community structures or value chain participants are often weak, project support needs to be long-term." Further, "capacity-building among cooperative leaders, staff, ordinary members and government cooperative staff is relatively easy to organize when external resources are available. However, operating cooperatives calls for entrepreneurship, which is not easily taught, as well as economic and commercial skills that require not just classroom teaching but also follow-up instruction and coaching, years after the original training." For that matter, "development of cooperatives calls for long-term projects (up to 9-10 years) because preparation, planning, recruitment and capacity-building all involve a considerable period of time." Since some of the cooperatives have just started during the MFS II period, like the women exclusive cooperative in Vempalli, so as other innovations like the Women Farmer's Forum and for continuity and sustainability reason we advise to continue funding the intervention. It might be that forming an exclusive women cooperative for agricultural/livelihood aspects is quite original but other women exclusive cooperatives exist[77] and it would be interesting to link up the women initiatives to these already existing groups.

What would be interesting is for CSA to truly follow the evolution of the cooperatives, not only in terms of figures (of memberships or income for example) but also in terms of internal performance For that matter we think the 5 capabilities model can be a good support.

[76] Comparatively, Gene Campaign, another partner of Hivos working on almost similar issues, seems to have made lesser impact then CSA, both quantitative and qualitative. One of the reasons for this could be the fact that, unlike CSA which has connected with the farmers on many emotive local issues like suicides, Gene Campaign has more or less remained a technical resource organisation for its target groups—the provider of indigenous seeds and teacher of the SRI farming technique. Biodiversity, seed conservation, climate change which are Gene's concerns and issues have yet to percolate down to and be owned by the mostly unlettered rural men and women who are its target, and who are disadvantaged by the fact that they had no access to the larger context and issues involved in Gene Campaign's work.

[77] in Dr. Muzamil Jan, Successful Women Cooperatives in India

7 Conclusions

7.1 Changes in the civil society arena of the SPO

In the 2012 – 2014 period the two most important changes that took place in the civil society arena of the SPO are related to 'civic engagement' and 'perception of impact'. Most important changes observed with regards to the first CIVICUS dimension consist of CSA having increased its outreach in terms of small and marginalised farmers through the creation of three additional cooperatives to the seven existing which increasingly become self-sustaining in both technical and financial terms. In absolute figures, more women became a member, also took positions in the cooperative board, and became community leaders. CSA helped with the establishment of a women-only cooperative and together with another NGO and an umbrella organisation of NGOs and intellectuals (RSV) established a Women Farmer's Forum for widows of farmers who committed suicide.

With regards to the 'perception of impact' dimension, CSA managed to increase the market opportunities for its producer cooperatives and female self-help groups at higher market prices and strengthened the organisational performance of the cooperatives. In the past two years CSA managed to engage with more NGOs and it influenced the practices of public sector agencies with regards to the concept of Non Pesticide Model of farming for small farmers, it increased its outreach through the media and to other states. Until to date it is still difficult to influence existing policies but a law for a separate budget for agriculture was passed in the State legislative assembly in May 2014.

7.2 Contribution analysis

The impact outcome chosen under the strategic orientation related to civic engagement is the improvement in the engagement of women in CSA's farmers' cooperatives (of which seven have been officially registered to date). CSA aims for 30 per cent of female membership in all 10 cooperatives with a representation of 50 per cent of women in the cooperative boards, and to have more exclusively women cooperatives. Apart from this, CSA has established a Women Farmers' Forum (WFF), where widows of farmers who committed suicide find a platform to share their concerns. Favourable conditions (necessary but not sufficient) that might have helped CSA with this increased participation in female farmers in cooperatives in absolute number as well as in comparison with men are the high organisation grade of women in SHGs; the presence of the SERP programme that also promotes CSA's NPM concept amongst female SHGs; CSA's producer and consumer cooperatives in place and performing, and; the feminisation of agriculture in the last decades. After these conditions were in place REDS and CSA could start the promotion of women into the cooperatives, CSA based upon its track record in agriculture and the cooperative structure which provides an attractive market outlet and REDS with its track record in supporting women in CMSA. Both actors possibly explain the outcome (not necessary but sufficient).

The impact outcome chosen under the strategic orientation strengthening intermediate organisations is the enhancement in the capacities of CSA's farmers' cooperatives (including the seven registered and three unregistered cooperatives) between 2012 and 2014 towards ensuring livelihood security of farmers. Favourable conditions (necessary but not sufficient) that might have helped CSA with building cooperative capacities include the growing demand for organic produce in the state that helped farmers fetch a better price for their produce and thereby incentivised and motivated them to scale up their activities; the presence of the SERP programme that also promotes CSA's NPM concept amongst female SHGs and other farmers (even before CSA started its work around NPM); and presence of DAATTC centres that impart trainings to the farmers of CSA cooperatives on issues of crop production and management, and organic farming practices. This in turn facilitated CSA's efforts towards promotion of sustainable agricultural practices among farmer cooperatives through strengthening their capacities to secure their incomes from the adoption of farm and non-farm based livelihood activities. (not necessary but sufficient)

7.3 Relevance

With regards to the baseline ToC, the interventions and outcomes achieved are relevant because they align with CSA's overall goal which is to achieve income security for female and male farmers who engage in NPM farming and organic farming at lower costs and higher incomes. Linking producer organisations with consumer organisations and other market outlets, as well as linking them with government schemes to access subsidies and engaging with other NGO networks to lobby for favourable policies also show that CSA has been capable of shifting its technology centric approach to a broader sustainable livelihoods approach.

With regards to the context in which CSA is operating, its interventions and outcomes achieved are highly relevant given the fact that 56 % of India's population is dependent upon agriculture for its livelihood, of which 95% are small and marginal farmers. CSAs NPM concept of farming considerably increases the income profits for small farmers, has been adopted by para agencies for wide-spread dissemination and is currently being discussed as a strategy to reduce India's carbon footprint. Linking professional farmer organisations to markets, as well as to government schemes for subsidies, also contributes to embedding these organisations into their political environment. Promoting the participation of women in these professional structures will help to prepare these women to become leaders in the agricultural sector.

With regards to the CS policies of Hivos, CSA's interventions and outcomes are relevant because they perfectly fit into its Green Entrepreneurship programme, aiming to mobilise the capacities of small and marginalised (female) farmers to negotiate with government and market institutions.

7.4 Explaining factors

Most important factors within CSA that explain the findings consist of the fact that CSA has a charismatic leader, who enjoys respect from both government and NGOs. This director is well connected with organisations within Andhra Pradesh, with those in other states and has become a renowned figure on television and in the written press. CSA's vision and its way of working seem largely to be informed by this director who managed to shift CSA's vision to focus on farmers' livelihoods rather than on organic agricultural production.

The information made available by both CSA and Hivos show that these relations were effective and not hampering any development intervention.

The most important external factors that possibly have hampered progress being made are the political turmoil in the past two years that ultimately led to Andhra Pradesh being split into two separate states in June 2014. The following bureaucratic division has caused procedural delays in the process of registration of the cooperatives and reduced government support, which is gradually improving due to CSA's awareness meetings. Other external factors that impact upon the success of CSA's intervention are related to scanty rainfall and perpetual cyclones that destroyed agricultural produce and claimed thousands of lives. A more general trend which will possibly affect CSA's intervention in the coming years is a general disinterest shown by youngsters to earn a living as a farmer.

7.5 Design of the intervention

Concluding on the general design of the intervention, it can be noted that both the areas that CSA's work focuses on that were assessed during this evaluation- women in agriculture and cooperatives - are relevant to the context and in line with work of other agricultural agencies like IFAD or FAO. Because of all pre-conditions at play in Andhra Pradesh (high presence of SHGs, work of SERP programme), it would be more challenging to implement exactly the same programme in another state and more awareness raising activities might be necessary beforehand. CSA has benefited from a long standing experience in the (geographical) area and has been able to connect to the needs of its target groups leading to successes that other SPOs working in the same sector have not reached. The

SPO could benefit from linking its work with women to other initiatives in this field and to a more thorough follow-up of the improvement of the capacity of its cooperatives to make them autonomous.

Table 3

Summary of findings.

When looking at the MFS II interventions of this SPO to strengthen civil society and/or policy influencing, how much do you agree with the following statements?	Score
The CS interventions were well designed	8
The CS interventions were implemented as designed	9
The CS interventions reached their objectives	7
The observed outcomes are attributable to the CS interventions	5
The observed CS outcomes are relevant to the beneficiaries of the SPO	10

Score between 1 to 10, with 1 being “not at all” and 10 being “completely”.

References and resource persons

Documents by SPO

Title	*Year*
Building Farmer Institutions for Sustaining Farming Livelihoods (Annual Report)	2013-14
Building Farmer Institutions for Sustaining Farming Livelihoods (Work Plan)	2014-15
Annual Review Report for the Year	2012
Nagpur Women's Farmers Meeting	April 2014
Minutes of the meetings of exclusive women's cooperative in Kadapa district, Vempalli Mandal	2012, 2013, 2014
Women farmers meeting – Kadiri	September 2013
State Level Meeting on Women and Agriculture	Undated (2012-14)
Nalgonda Women's Farmers Meeting	February 2014
Warangal Meeting on Women's Farmers Issues	February 2014
Photographic evidence on diversification (2)	Undated (2012-2014)
Report on Increase in Income and Income sources for farmers associated with the cooperatives	Undated (2012-2014)
Enhancing food security and farm livelihoods through community based vegetable cultivation (Project Proposal)	2014-2017
Photographic evidence for cooperative commission visit – Enabavi convergence	Undated (2012-2014)
Data on cooperative wise schemes availed through various government programmes	2013-14
Organic Food Festival Flyer	2012
Cooperative Mela Note	2013-14
Anand Cooperative Mela Flyer	2014
Sahaja Aharam Certification by Aditi Organic Certification Pvt. Ltd.	2013
Certificate for Organic Farming	Undated (2012-2014)
Loan Details	2013
Graph on Cooperative Wise Financial Status	Undated (2012-2014)
Document on Cooperative Wise Share Capital	Undated (2012-2014)
Document on Value Chain Loan Agreement	Undated (2012-2014)
Terms of Agreement on Value Chain Fund Loan Agreement	Undated (2012-2014)
Andhra Pradesh State Budget for Agriculture	Undated (2012-2014)
Andhra Pradesh State Budget for Agriculture	2013-14
Article on Special Budget for Agriculture	Undated (2012-2014)
Trainings at the Cooperative Level	2013-14
Addressing Agriculture Crisis and Policy Advocacy	Undated (2012-2014)
Climate Variation and Adaptation (PPT)	Undated (2012-2014)
CSA Cooperative Member Details	2012-13, 2013-14
CSA Cooperative Board Member Details	2012-13, 2013-14
CSA Field CRP's Details	2012-13, 2013-14
Videos on debates over Separate State Agriculture Budget	Undated (2012-2014)
Visits to Enabavi Cooperative	Undated (2012-2014)
Visits to Haritha Cooperative	Undated (2012-2014)
Visits to Kadiri Cooperative	Undated (2012-2014)
Visits to Palabavi Cooperative	Undated (2012-2014)
Visits to Thungabhadra Cooperative	Undated (2012-2014)

Documents by CFA

Title	*Year*
Hivos assessment CSA FS 2011-12	2012?
Hivos assessment CSA FS 2012-13	2013?
Hivo annual report 2013	2013
Hivos_Business_Plan_2011_2015_English_translation	

Documents by Alliance

Title	*Year*
FINAL HIVOS ALLIANCE MFS Report 2011_27-04-2012x	2012
Hivos Alliance MFS Report 2012	2012
Hivos Alliance MFS Report 2012	2013
Brief 110719 Hivos Aliance baseline strengthening civil society	2011

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Dr. Narayan G. Hegde, (Date unknown) New technologies to enhance agricultural production and sustainable rural livelihood, BAIF

'Agricultural cooperatives are key to reduce hunger and poverty', http://www.ifad.org/media/press/2011/76.htm

IFAD Brief 122: The Renewed Case for Farmers' Cooperatives: Diagnostics and Implications from Ghana. http://www.ifad.org/drd/agriculture/122.htm

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Social Watch	http://www.socialwatch.org/sites/default/files/SERF2012_eng.pdf	Nov 2014
Find The Best	http://country-corruption.findthebest.com/l/98/India	Nov 2014
Heritage	http://www.heritage.org/index/pdf/2014/countries/india.pdf	August 2014
Global Fund For Peace	http://ffp.statesindex.org/2014-india	August 2014
Freedom House	https://freedomhouse.org/report/freedom-world/2014/india-0#.VGCiRvlwtcQ	August 2014
World Value Survey	http://www.worldvaluessurvey.org/WVSContents.jsp	August 2014
Vision of Humanity	http://www.visionofhumanity.org/#page/indexes/global-peace-index/2014/IND/OVER	August 2014
Times of India	http://timesofindia.indiatimes.com/india/Lens-on-foreign-funds-to-NGOs-featuring-on-IB-report/articleshow/37801293.cm	August 2014
Financial Management Service Foundation	http://www.fcraforngos.org/	August 2014
Vision of Humanity	http://www.visionofhumanity.org/#page/indexes/global-peace-index/2014/IND/OVER	August 2014
South Asia Terrorism Portal	http://www.satp.org/satporgtp/countries/india/states/andhra/data_sheets/annual_casualties.asp	November 2014
South Asia Terrorism Portal	http://www.satp.org/satporgtp/countries/india/maoist/Assessment/2014/andhra.htm	November 2014
First Post	http://www.firstpost.com/politics/from-1948-to-2013-a-brief-history-of-the-telangana-movement-998093.html	November 2014

http://www.rediff.com/news/column/p-sainath-how-states-fudge-the-data-on-farmer-suicides/20140801.htm November 2014

http://www.newindianexpress.com/states/andhra_pradesh/Centre-Steps-In-to-Resolve-Key-Issues-Between-AP-Telangana/2014/11/16/article2525684.ece November 2014

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Resource persons consulted

For confidentiality reasons, we have removed the names of the people interviewed as well as their contact details.

Organisation	*Relation with SPO*
CMSA and SERP	Para-statal body working with SHGs and women on sustainable agriculture and had collaborated with the SPO earlier
Board Members of Farmers Cooperative	Receives support to work with beneficiaries/households
Board Members of Farmers Cooperative	Receives support to work with beneficiaries/households
Board Members of Farmers Cooperative	Receives support to work with beneficiaries/households
Board Members of Farmers Cooperative	Receives support to work with beneficiaries/households
Punnami and Tungabhadra cooperatives	Receives support to work with beneficiaries/households
Punnami and Tungabhadra cooperatives	Receives support to work with beneficiaries/households
Punnami and Tungabhadra cooperatives	Receives support to work with beneficiaries/households
Scientist, expert in soil science	Others (Is a subject expert and an occasional resource person for CSA)
CSA, PEACE and SERP	Is collaborating with SPO
All India Kisan Sabha (AIKS)	Others, Farmers' Organisation of a political party
REDS (Rural and Environment Development Society)	Receives support to work with beneficiaries/households
Hivos	CSA's contact person between 2006-2010. Between 2011-2013, coordinated Hivos' global knowledge programme for India.

CSA Executive Director

CSA Joint Director CSA

CSA Programme Manager (seed)

CSA Associate Editor- Krishi media

CSA Operation Head (marketing)

CSA Program Coordinators (2 people)

CSA Program Officer

CSA Field Coordinator (3 people)

CSA Accounts Officer

CSA Administrative cum Data management Officer

CSA Board member

Appendix 1 Civil Society Scores

This table presents the appreciation of the evaluation team regarding changes occurred for each indicator between 2012 and 2014 on a scale of -2 to + 2

- 2 = Considerable deterioration
- 1 = A slight deterioration
0 = no change occurred, the situation is the same as in 2012
+1 = slight improvement
+2 = considerable improvement

Dimension		Indicators	Question	Change
Civic engagement	1	Needs of marginalised groups	How does your organisation take the needs of your beneficiaries/target groups, in particular marginalised groups into account in your planning, actions, activities, and/or strategies?	+2
	2	Involvement of target groups	What is the level of participation of your beneficiaries/target groups, in particular marginalised groups in the analysis, planning and evaluation of your activities?	+2
	3	Political engagement	How intense is your (individual staff or organisational) participation in locally-nationally elected bodies and/or sectoral user groups?	+1
Level of organisation	5	Relations with other organisations	In the past 12 months what has been the most intensive interaction you had with other CSOs?	+1
	5	Frequency of dialogue with closest CSO	In the past 12 months how many meetings did you have with the CSO that you have most intensive interaction with?	+1
	6	Defending the interests of marginalised groups	Which CSO are most effective in defending the interests of your target groups? In the past 12 months, how did you relate to those CSOs?	+1
	7	Composition current financial resource base	How does your organisation finance institutional costs such as workshops of the General Assembly (if applicable); attendance to workshops of other CSOs; costs for organisational growth and/or networking?	+1
Practice of Values	8	Downward accountability	To what extent can mandatory social organs (steering committee, general assembly, internal auditing group) ask your executive leaders to be accountable to them?	0
	9	Composition of social organs	What % of members of your mandatory social organs belong to the marginalised target groups you are working with/for?	0
	10	External financial auditing	How regularly is your organisation audited externally?	+1
Perception of impact	11	Client satisfaction	What are the most important concerns of your target groups? How do your services take into account those important concerns?	+2
	12	Civil society impact.	In the past 12 months, what impact did you have on building a strong civil society?	+2
	13	Relation with public sector organisations.	In the past 12 months, what interaction did you have with public sector organisations to realise your programme and organisations' objectives?	+1
	14	Relation with private sector organisations	In the past 12 months, what interaction did you have with private sector organisations to realise your programme and organisations' perspective?	+1
	15	Influence upon public policies, rules, regulations	How successful have you been in influencing public policies and practices in the past 2 years?	+2
	16	Influence upon private sector agencies' policies, rules, regulations.	How successful have you been in influencing private sector policies and practices in the past 2 years?	Not applicable

CS context	17	Coping strategies	In the past 2 years, how did your organisation cope with these changes in the context that may have been positive or negative consequences for civil society.	+1

Appendix 2 Changes in civil society indicators between 2012 and 2014

2.1 Civic Engagement

2.1.1 Needs of marginalised groups SPO

CSA aims to promote non-pesticidal farming techniques towards the adaptation of ecological practices among farmers—including small, marginal and women farmers, sharecroppers, tenants and Dalits—in six districts of Andhra Pradesh (AP). To further its cause CSA has helped constitute seven registered farmers' cooperatives over the past seven years[78] —three more formed between 2012 and 2014 are in the process of getting registered—and a consumer cooperative called Sahaja Aharam[79]. The cooperatives are initiated to promote collective action and participation in all the agricultural practices starting from seed to market. CSA expanded its outreach from 3326 farmers in 2012[80], to 4841 farmers in 2014[81].

The Hivos Annual Report 2013-14 credits CSA for an evident "emphasis to enhance the participation of women through focusing on interventions related to women." This has led to an increase in women members in five cooperatives, with the cumulative women membership in all seven rising from 86 in 2012 to 129 in 2014. Moreover, in 2012-13 only 20 women-headed households were members of these cooperatives, in 2013-14 this number increased to 54. The number of women Community Resource Persons (CRPs)[82] has also grown in six cooperatives; in 2012, 19 out of 52 CRPs were women, in 2014, 35 out 74 are women (a rise from 36 per cent to 47 per cent). Further, the period between 2012 and 2014 saw the constitution of an exclusive women's cooperative, the Sri Gayatri Women's Mutually Aided Cooperative in Kadapa district. CSA has already formatted the by-laws for registration of this cooperative, but its registration stands delayed due to bifurcation of Andhra Pradesh (AP). Significantly, in 2012, a mandate introduced 50 per cent women representation cooperatives' boards. Currently, the boards of three of the seven cooperatives are complying.

These upswings related to women's participation in the cooperatives, however, must note the fact that in five out of the seven cooperatives, women comprise only five to 21 per cent of the membership, also women's representation in boards declined in two cooperatives.

Further, in 2013, CSA extended support families affected by farmer suicides[83]. A meeting of widows from such families and women-headed households was facilitated by CSA, with assistance from local NGO REDS (Rural & Environment Development Society)[84], in September 2013 at Kadiri in REDS office.

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[78] The first cooperative, named Enabavi, was constituted in 2008.

[79] Sahaja Aharam was established in the year 2008, it is the marketing wing of Centre for Sustainable Agriculture (CSA).

[80] Contract number 1002883 and "Sustaining Farming based Livelihoods" Objectives and Achievements in the last phase of HIVOS-supported work: 2006-2011

[81] CSA's Annual Report 2013-14: Building Farmers Institutions for Sustaining Farming Livelihoods

[82] Community Resource Persons (CRPs) are individuals or leaders from within the community whom organisations choose and provide with the necessary exposure, technical training and expertise. These individuals are then capable of continuing the organization's work and taking it forward long after the intervention stops. *Refer,* http://www.greenfoundation.in/mksp/?page_id=898

[83] The number of farmers who have committed suicide since 1995 is more than 290, 000 according to the National Crime Records Bureau. The rate of farmer suicide in Andhra Pradesh is nearly three times the national average. A family that loses a family member to suicide due to debt is guaranteed a one-time payment of Rs 150, 000 from the government. *Refer,* http://www.nytimes.com/2014/02/23/world/asia/after-farmers-commit-suicide-debts-fall-on-families-in-india.html

[84] REDS or Rural & Environment Development Society, was registered as a not-for-profit organisation in 1996 to further the well-being of rural communities. REDS activities are mainly focused on rural development, sustainable agriculture, child rights, anti-trafficking and empowering CBO's to gain control over natural resources. See http://redskadiri.wordpress.com/about/

Twenty five women farmers participated. CSA also helped such widows avail compensation and mobilised resources for their children's education and livelihood. While doing so it felt the need for a separate women farmers' forum, it therefore conducted consultative and preparatory meetings for it in collaboration with REDS and finally started a pilot project for the Women Farmers' Forum (WFF)[85] in Anantapur district in 2013.

Score: +2

2.1.2 Involvement of target groups SPO

There was a divergence of views in the hierarchy with regard to this indicator. The field and managerial staff reported no changes over 2012-14; this even as they acknowledged the involvement of the farmers, cooperative members and farmers' representatives in formulating production and business plans and participation in policy discussions as well as drafting charter of demands. The CSA executive leadership, meanwhile, reported a significant improvement in the level of member participation and decision making in the cooperatives over the past two years. Compared to earlier, the cooperatives are now: a) extensively involved in identifying their needs and exploring possible solutions; b) able to plan both crop production and marketing activities, with some cooperatives even saving and then using such savings to fund business ventures; c) active negotiators in accessing various government schemes which they were earlier unaware of and unable to negotiate individually.

Importantly, farmers and farmers' cooperatives associated with CSA are increasingly engaging with Rythu Swarajya Vedika (RSV)[86] in understanding and engaging with policy change. For instance, the Women's Farmers' Forum constituted by CSA is linked to RSV.

The HIVOS Annual Report 2013-14 also observes a considerable enhancement in member participation and the approach for collective bargaining in the cooperatives. It states that the farmer members have taken a step ahead in performing various activities collectively, like generating share capital, taking collective responsibility for membership drives and transacting business. This has sufficiently increased the understanding on cooperative principles among farmers, along with collective action, beginning from drafting production plans to collective marketing.

Six of its associate cooperatives have availed loans from CSA in 2013; the total amount lent is Rs. 726,000 of which Rs.10,000 has been repaid by one cooperative. Two cooperatives have taken loan from Sahaja Aharam (Enabavi[87] and Punnami[88] - Rs. 150,0000 each). Enabavi has repaid Rs. 80,000 while Punnami has repaid the entire amount and has applied for fresh loan this year. The Enabavi cooperative has, in fact, already made substantial progress in the last Rabi[89] season through initiating aggregation and collective marketing of its members' produce. Also, their growing ownership of Enabavi has the cooperative's current members keen on enhancing its membership base, as also extending its work to other villages.

It may be noted that even as the cooperatives become more self-sustaining, and indeed more independent of CSA, CSA's own interventions—like at the time of the baseline—continue to be informed by its target groups' needs. Such needs assessments are done through participatory approaches like surveys, focus group discussions and research studies, as also by the occasional requests for assistance that come from the target groups. Review and planning meetings are held with field staff before the onset of the sowing seasons, who, in turn, conduct regular village level meetings with farmers groups and communities for crucial inputs.

[85] The Women Farmers' Forum (WFF) serves as a platform for these women to meet and discuss their personal issues, agricultural issues, seed problems etc. every month. CSA and REDS also linked WFF to the Rythu Swarajya Vedika in 2013 (WFF members are now RSV members also), though there are other women's organisations also, which are members of RSV.

[86] Rythu Swarajya Vedika (RSV) is an umbrella organisation of NGOs and intellectuals working to ensure sustainable livelihoods for agricultural communities in Andhra Pradesh. It is part of the nationwide Alliance for Sustainable and Holistic Agriculture (ASHA).

[87] Enabavi Organic Farmers Cooperative was formed to support the various activities of the farmers of Enabavi village and to also improve their collective bargaining power in the markets.

[88] Punnami is an organic farmer's cooperative supported by Centre for Sustainable Agriculture (CSA).

[89] Rabi is the second cropping season in India, it means spring in Arabic. The Rabi cropping season is from October-March

The CSA personnel shared that the past two years have seen some additions to CSA's feedback mechanisms. At the district level CSA has come to rely on identifying target group needs and response through the RSV. Phone calls, interaction with farmers through media and large scale interaction with farmers have also been intensified to remain in constant communication with the ground. Information exchange also happens through the farmers help line set up by CSA.

Some instances of such community driven interventions are: a) in 2013, farmers in the Vizianagaram area shared their desire to raise livestock for income enhancement and domestic use with the CSA field staff. CSA, in turn, located a temple in Vishakhapatnam that was donating cows and bullocks, it paid the transportation cost, and had about 200 animals delivered and distributed amongst the Vizianagaram farmers; b) the Punnami, in 2013, requested CSA to help facilitate its need for cow urine to prepare organic manure. CSA has since organised a mobile unit that collects cow urine from various households and then distributes it to those who need it in 21 surrounding villages.

Score: +2

2.1.3 Intensity of political engagement SPO

Despite being apolitical, as already mentioned in the baseline report, CSA continues to engage regularly with local self-government and periodically with elected representatives. CSA runs a monthly bulletin for policy makers called the *Rythu Mitra*, and a monthly magazine Tolakari on technology and policy issues. It publishes an analysis of the annual national budget from the farmers' perspective, Agriwatch. It works with farmers' organisations to put forth a 'Farmers' Manifesto' before elections. CSA organises meetings and seminars with elected representatives at the village, block and the district levels, as well as the MLAs (Members of Legislative Assemblies) on policy related issues to sensitise them. In many instances farmers and farmers' groups themselves ask CSA to highlight their concerns in local elected bodies and in meetings with government officials.

Score: +1

2.2 Level of Organisation

2.2.1 Relations with other organisations SPO

As during the baseline, so also now, associations intrinsic to CSA's core interventions involve the seven cooperatives it mentors and supports, and the local NGOs that CSA engages to help it identify and address target group needs. At the time of the baseline CSA had three local NGOs as partners, it now has four: REDS, CROPS (Centre for Rural Operation Programme Society)[90], PEACE (Peoples Action for Creative Education)[91] and Vennala Cooperative in the Anantapur, Warangal, Nalgonda and Kadapa districts respectively.

Further, the period between 2012 and 2014 saw CSA consolidating its engagement with the RSV and ASHA networks at the state and national levels respectively. CSA authored reports on budget analysis, farmers income security, road map for sustainable agriculture and these were used to develop the lobbying agendas of these networks which in turn were mentioned in the election manifestoes of political parties. CSA along with RSV and ASHA organised a national workshop in Delhi in September of 2013 focusing on "Rethinking economic policies to ensure income security in agriculture". It also, with ASHA playing an active organiser's role, participated in the Peoples' Biodiversity Festival in Hyderabad in October of 2012. In 2014, CSA along with RSV and ASHA, held a meeting on agricultural

[90] CROPS or the Centre for Rural Operation Programme Society is based in Andhra Pradesh's Warangal district. It has along with CSA been responsible for making Enabavi, a tiny village in Andhra Pradesh the first completely organic, free of pesticides, fertilisers and Genetically modified crops village. *Refer,* http://www.thehindu.com/todays-paper/tp-national/tp-andhrapradesh/enabavi-farmers-create-history/article3060052.ece

[91] PEACE or Peoples Action for Creative Education is a grassroots voluntary organisation established in 1986 in Andhra Pradesh. It works for rural development especially of women, children and poor & marginal farmers. *Refer,* http://www.peaceap.org/about_us.html

issues, priorities and challenges in newly formed state of Telangana. NGOs, CBOs, cooperatives, political party leaders, farmers, participated in this event.

The past two years also saw CSA tying up with various organisations, and not necessarily comprising only farmers, to combat the challenges thrown up by the state's agrarian crisis. The executive leadership shared that CSA and RSV are planning to promote a special women farmers' cooperative with the families affected by suicides. A meeting of women farmers from such bereaved families and women-headed households was, in fact, organised in Kadiri in September 2013 by CSA with the support of REDS. CSA later facilitated the proceeding of a state level meeting of such families organised by Caring Citizens' Collective (CCC)[92] in October of 2013 in Hyderabad. CSA also engaged regularly with Jana Vignana Vedika (JVV)[93] and the All India People's Science Network[94] on issues of agrarian crisis and sustainable agriculture. CSA organised district level network meetings addressing agrarian crisis including farmers' suicides in the Warangal[95] and Nalgonda[96] districts in February 2014.

Over and above these CSA's past relations with the following CSOs continue since the baseline: ActionAid, OXFAM International, Centre for World Solidarity (CWS)[97], Open Source Seed Initiative (OSSI)[98], Deccan Development Society (DDS)[99], Chetna Organic[100] and the Vivekananda Kendriya Trust (Kanyakumari)[101]. CSA also organised a Cooperative Mela (Fair) in February 2014 in collaboration with Accion Fraterna Ecology Centre, Anantapur, which shared 50 per cent of the expenses.

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[92] Caring Citizens' Collective (CCC) comprises social activists, academicians, intellectuals and journalists who formed it in 2007 in Andhra Pradesh. The CCC volunteers work in the Telangana region of AP where the farmer suicides are high specifically in Medak, Mahabubnagar and Warangal districts. A beginning has been made to support the education of the children belonging to farmer's families affected by suicides. In addition to supporting the children's education, CCC is also working hard to assist the suicide and starvation deaths affected families to obtain financial and other required assistance from the government. *Refer,* http://www.lamakaan.com/events/548; http://www.actionaid.org/india/what-we-do/andhra-pradesh/our-response-acute-agrarian-crisis-and-spate-farmer-suicides-medak

[93] Jana Vignana Vedika (JVV), is an organisation working towards popularisation of science among the people. It started in 1988 in Andhra Pradesh. It has three main aims, one, science for the people, second, science for progress, and third, science for self-reliance. *Refer,* http://jvv.org.in/about.php

[94] The All India People's Science Network (AIPSN) came into being in 1988. It organizes All India People's Science Congress (AIPSC) every two years. It was born out of the People's Science Movement (PSM) of the 1970s, it has evolved around the concept of conscious application of science for social activism. *Refer,* http://aipsc2010.weebly.com/organisation.html

[95] A district-level meeting on women farmers' issues was held in Warangal on February 19th February 2014 to discuss issues related to women-headed farmer families and suicide affected farmer families. All the participants felt an urgent need to establish a Vedhika (Forum) on women's issues at district-level.

[96] A district-level women farmers meeting was held in Nalgonda on February 25th, 2014 to identify the issues related to the rights of women farmers, especially single women and widows from farmer suicide families. A decision was taken to form a committee at district-level to fight for women's right to education, land and livelihood. Also, a district-level committee comprising 12 women farmers was formed and the process was facilitated by CSA, RSV and PEACE. This meeting was covered extensively by the media.

[97] Centre for World Solidarity (CWS) emerged from Action for World Solidarity (ASW) a Berlin-based charitable organisation. Its offices are located in Secunderabad, Telangana. The organisation makes various interventions on issues of gender, dalits, adivasis, forest and agriculture. The last is carried out in collaboration with CSA. *Refer,* http://www.cwsy.org/html/wware.html

[98] Open Source Seed Initiative (OSSI) is dedicated to maintaining fair and open access to plant genetic resources worldwide. Launched by three academics from the *University of Wisconsin*, OSSI aims to provide an alternative to the patent-protected seeds sold by major corporate seed producers, but partners and customers are free to use the open-source seeds to make money, as long as they don't patent any of their developments. *Refer,* http://www.opensourceseedinitiative.org/about/mission-vision/; http://www.opensourceseedinitiative.org/

[99] The Deccan Development Society (DDS)is a two-decade old grassroots organisation working in about 75 villages with women's Sanghams (voluntary village level associations of the poor) in Medak District of Andhra Pradesh. The organisation mainly represents women, dalit women. It works on ensuring these women have food security and eventual food sovereignty. *Refer,* http://www.indiaorganic.net/institutions/dds.html

[100] Chetna Organic aims to improve the livelihood of small farming households by helping them create innovative farming systems to become more sustainable and profitable. *Refer,* http://www.solidaridad.nl/files/The%20Chetna%20Story.pdf

[101] Vivekananda Kendriya Trust, part of the Vivekananda Kendra which has the twin aims of "Man-making and nation-building". The purpose of the organisation is to offer "spiritual oriented service mission". *Refer,* http://www.vivekanandakendra.org/english/mission

A CSA board member said that the organisation's advocacy and campaigns have now reached CSOs in Nepal, Bangladesh, Sri Lanka, Pakistan and Maldives through the international network SAAPE (South Asia Alliance for Poverty Eradication)[102] which is working to promote food sovereignty in the region. The executive leadership added that the past two years had also seen donor agencies seeking CSA's support to buttress the fieldwork of their partners.

Score: +1

2.2.2 Frequency of dialogue with closest civil society organisation SPO

The CSA personnel were unanimous that the frequency of interactions between CSA and its closest associates had increased since the baseline. Constant communication is maintained with the cooperatives through meetings held in the field and the CSA office, and over the phone. Business plans, livelihood diversification, trainings, etc. are discussed. Interactions with local NGO partners are also called regularly. These are about thrashing out operational matters, and on occasion also ad-hoc so as to frame responses on emerging issues. Meetings with RSV are held twice a month on issues such as credit, insurance, tenant farmers' issues, etc. Meetings with ASHA is held once every three months, the agenda often pertains to CSA's providing technical support to the network's members (NGOs) on issues such as seed management. The past two years, however, saw CSA, RSV and ASHA meet each other over and above the regular meetings given the imminent elections in 2014, and the desire of these organisations to influence manifestoes favourably for farmers.

CSA continued to update all the CSOs in its contact with the most current literature and news on production and policy related issues on sustainable agriculture.

Score: +1.

2.2.3 Defending the interests of marginalised groups SPO

The past two years saw the farmers' cooperatives supported by CSA becoming more capable of defending the interests of the small and marginal farmers who comprise its membership. Also, CSA, along with a local partner REDS, the RSV and ASHA networks, and the citizen's collective CCC, undertook activities especially focused at addressing the concerns of the families affected by farmer suicides due to the state's agrarian crisis. Meetings with women from such bereaving families were held at the district level in Kadiri and the state level in Hyderabad.

The executive leadership named the US-based Open Source Seed Initiative (OSSI)as potentially being able to strengthen a Community Managed Seed System (CMSS)[103] in providing farmers with good quality foundation seeds and strengthening legal systems in favour of farmers in the long run.

Score: +1

2.2.4 Composition financial resource base SPO

Like at the time of the baseline, CSA continues to have multiple funding sources: grants from donor agencies for particular projects/activities; donations from individuals; consultancies and trainings to other CSOs; consultancies with the governments for delivering particular services; proceeds from the sales of organic seeds and food; resource generation from developing and selling publications.

[102] Constituted in circa 2000 SAAPE, or the South Asia Alliance for Poverty Eradication, works on poverty eradication in a holistic way, with a special focus on food sovereignty, gender justice, demilitarisation, democratisation and social justice issues in South Asia. It brings together existing like-minded networks to strengthen and build on their work; to make explicit the links between different issues that impact on poverty; and to link and bring a regional understanding to national level campaigns. *Refer,* http://www.saape.org/

[103] The Community Managed Seed System (CMSS) is an initiative that started in 2011 with the objective of meeting the requirements of both seed producers and consumers. Under this system, the Department of Agriculture provides a form of subsidy and overall there is control established over seed production, supply and distribution. *Refer,* http://www.thehindu.com/sci-tech/science/community-managed-system-sows-the-seeds-of-success/article5322435.ece

Funds from HIVOS contribute towards the bulk of CSA staff salaries, this funding ends in March 2015. In HIVOS' CSA Assessment Document for 2011-2012 its contribution to CSA was 33 per cent, this figure is at 21 per cent in a similar document for 2012-13. The percentage of contributions by other parties and CSA-generated income, meanwhile, shot up from 67 to 79 per cent in 2011-12 and 2012-13 respectively.

Qualifying that concerns regarding fund mobilising for the working capital for various cooperatives did exist, the executive leadership and managers, in fact, assessed CSA's financial situation as having largely improved over the past two years. They said that more public institutions are expressing willingness to collaborate with it, and that CSA has emerged as a lead organisation in providing technical support on sustainable agriculture techniques and practices to various organisations across the country being supported by World Bank, ActionAid, and Reliance Foundation[104]etc. Discussions have been initiated with various donors, agencies and concerned individuals for floating a marketing agency that could cater the fund flow through marketing as a social enterprise. The field staff, however, perceived no change vis a vis funding. They reported only partial success in CSA's attempts to raise money by offering consultancy to commercial projects, government departments and NGOs on organic farming. They were more satisfied with the revenues being generated by selling products like vermi-compost, organic manure etc. to farmers.

Two awards won in 2014 by CSA contributed to its funds: the best rural innovation award for non pesticidal management in Bihar Innovation Forum[105] which included Rs 7 lakh as prize money; the best rural innovation award for 'community managed sustainable agriculture' in Maharashtra Rural Livelihood Mission (MSRLM)[106] which had a cash component of Rs. 5 lakh. Also, the television show Satyamev Jayate that CSA had participated in June 2012 had seen a tremendous viewer response from across the country, with Rs 30 lakhs being sent in as donations; this amount saw an increment over the past two years with CSA receiving cumulative donations of over 40 lakhs.

Score: +1

2.3 Practice of Values

2.3.1 Downward accountability

CSA's executive leadership continues to be answerable to the staff meetings, HR committee within the organisation and the Board of Trustees. And this accountability is shared by all the organisations created by CSA. For instance, the farmers' cooperatives are accountable to their general body and executive committee.

Project wise an annual planning meeting is conducted with all staff members. Logframes and action plans are prepared, and activities are implemented as per these. Project performance and achievements are reviewed with the Project Management Committee. Partner organisations provide action plans and activity reports every six months, with un-audited statement of accounts. CSA takes the approval of the Board of Trustees on all the policies, and all programmes are reviewed for programme achievement in the trustee's meeting.

The programme managers saw no change in the situation as compared to the baseline. They, in fact, expressed the need for a more proactive HR committee, more monthly meetings, internal auditing processes and increased disclosure of project fund related information to CSA's partners. The field staff agreed, saying that the leadership's baseline announcement of its decision to disclose project

[104] Reliance Foundation was set up in 2010 by an initiative of Reliance Industries Limited (RIL). It works in tandem with partners on issues of rural transformation, education, health, urban renewal and culture & heritage. *Refer,* http://www.reliancefoundation.org/about_us.html

[105] The Bihar Innovation Forum (BIF) is a platform which offers opportunity to various stakeholders to present innovative solutions and ideas which can help create a more sustainable impact in rural Bihar. It is developed and supported by the Bihar Rural Livelihoods Promotion Society (BRLPS). *Refer,* http://www.biharinnovationforum.in/pages.php?pid=8

[106] The Maharashtra Rural Livelihood Mission (MSRLM) is an institution that both enables and empowers the poor to access better livelihoods. It is responsible for integration of livelihoods innovation across various sub-sectors. *Refer,* http://msrlm.org/mrlif/

fund information to its partner organisations and associated farmers had not been implemented yet. Contrarily, the executive leadership reported considerable improvement vis a vis CSA's accountability issues. This is to be attributed to an increased awareness amongst cooperatives on the need for accountability, book keeping and maintenance of balance sheet and increased membership to enhance the value of share capital. Personnel from the Human Resources, Administration and Accounts department said that CSA's monitoring systems had improved at each level through community involvement, local partners and CSA staff.

Score: 0

2.3.2 Composition of social organs SPO

CSA's seven-member board comprises a farmer and two women. The board membership in the farmers' cooperatives is mandated to have 50 per cent women's representation. More than half of the farming community CSA works with belongs to socially backward classes. Barring the leadership, all other staff in CSA reported no change with regard to the representation of the marginalised in CSA and its associate cooperatives.

This opinion is sustained by the figures concerning the evolution of cooperative board members between 2012-2014: Already in 2012-2013, and also in 2013-2014, only three cooperatives out of the seven had 50 per cent women. In one cooperative three men replaced women on the board. In another cooperative several board members left but were not replaced: eventually there were less women than men on the board. The leadership said considerable increase in women's participation in its cooperatives, and the achievements of its women-led cooperatives, since the baseline were illustrations of such improvement

Score: 0

2.3.3 External financial auditing SPO

As in the baseline, so also now, CSA undergoes an audit conducted by an external agency annually. However, the executive leadership observed considerable improvement in the organisation's auditing processes because the past two years had seen such audits—conducted by external auditors—being initiated in the cooperatives as well. Staff from the Human Resources, Administration and Accounts reported improved financial control, regulation and management systems since 2012.

Score: +1

2.4 Perception of Impact

2.4.1 Client satisfaction SPO

At the time of the baseline, CSA staff listed livelihood and income security as the most important concerns of its target groups. While these remain the same, CSA has taken many significant steps to alleviate such concerns between 2012 and 2014.

CSA has made efforts in organising farmers around input production by promoting seed cooperatives and extending input based support to all its cooperatives, which, in turn, has helped reduce input costs and dependence on external sources for such inputs. Farmers from two CSA cooperatives said that the cost of cultivation has gone down due the farmers now producing vermi-compost and seeds for their own consumption, which has also reduced dependence on fertilisers and pesticides. Farmers of their cooperatives had benefitted by saving an average of Rs. 7,000 per season on account of this, they added.

CSA provided interest free loans to farmers for seed procurement and other livelihood activities. Similar loans are issued by CSA's consumer cooperative Sahaja Aharam. This is through the Value Chain Fund started as a pilot in 2012 and institutionalised in 2013; under this, easy loans are provided for a business model from the CSA-created corpus fund, the loans are interest free in the first year

with farmers deciding on their repayment schedule based on the cooperatives financial performance. Farmers from the Punnami cooperative said they had received a loan of Rs. 1.5 lakhs under the Value Chain Fund for procurement and marketing of grains, which was interest free in its first year. The cooperative, after making a profit, has applied for a fresh loan to upscale their activities.

Apart from providing financial support/working capital to the farmers, CSA provided technical trainings on seed processing, compost making, preparation of bio-fertilisers and organic manure; a farmer from the Tungabhadra Cooperative verified that its women members had received three such trainings on preparation and marketing of bio-fertilisers in 2013.

To increase the marketability of the organic foods being produced by the farmers associated with the cooperatives, CSA entered into third-party certification agreement with Aditi Organics, accredited by Government of India in 2012. CSA helps cooperatives obtain licenses to market their produce as organic—500 and 1075 farmers associated with CSA obtained such certification in 2012 and 2013 respectively. Farmers from CSA cooperatives agreed to have gone through the certification process for their produce where the certification agency, Aditi Organics, randomly chose the farmers for the inspection of the produce.

CSA also works on building a community managed seed bank system in collaboration with REDS, as a part of which farmers obtain subsidies from state DoA (Department of Agriculture) for producing and selling seeds. This is still in its early stages of development.

CSA has also been facilitating government support for the cooperatives by building a large scale convergence between cooperatives and various schemes in government line departments such as the DoH (Department of Horticulture), DoA, NABARD (National Bank for Agriculture and Rural Development)[107], etc. Farmers from cooperatives confirmed that they had received such support from CSA in accessing mobile processing seed units through DoA for marketing of seeds, obtaining benefits under Tank-Silt application programme, and obtaining subsidies for the purchase of farm equipment under the DoA Yantralakshini scheme to promote mechanisation in agricultural activities.

Over the years, its work with the farmers to promote non-pesticidal agricultural practices, CSA realised that awry weather patterns and unexpected droughts, are making producing food alone a risky proposition for the farmers. Therefore, it started its work to expand farmers' income basket by promoting diversification of livelihood by helping cooperatives take up activities such as backyard poultry, compost making, seed processing, diary, sericulture etc. to support their incomes. The Haritha cooperative in Vizayanagaram district has incorporated dairy as one of commercial activities in 2013 to support the incomes of its members. Similarly, poultry was introduced in Warangal district's Enabavi cooperative in 2013 for which the farmers reported to have received financial support from CSA, while Kadiri cooperative in Anantapur now produces and sells seeds. CSA extended its support to the farmers of the Enabavi cooperative for selling seeds by providing them mini mobile seed processing units and packaging material, said farmers. Farmers from Punnami cooperative reported to have received CSA support in establishing bank linkages for their dairy related initiatives. Fifteen farmers who received training in raising kitchen gardens at Mutlyala Chervu village reported an increase in their household income by Rs. 2,000 along with considerable savings on vegetable purchase—Rs. 30,000 collectively for all the 15 families.

CSA engages in influencing policiesrelated to women in agriculture. It organised a state-level workshop on women land rights and food sovereignty in September 2013 in Hyderabad. CSA, in collaboration with REDS, constituted the Women Farmers' Forum (WFF) as a pilot in Anantapur district in 2013 with the aim to organise women farmers- especially those belonging to farmer suicide families and women headed households and provide them a platform where they can discuss, debate and plan and execute strategies around issues concerning women farmers. It helps women farmers avail benefits of the government's programme Mahila Kisan Sashaktikaran Pariyojna (MKSP)[108]. Also, plans

[107] National Bank for Agriculture and Rural Development (NABARD) was set up by the Reserve Bank of India (RBI) in 1982, for the upliftment of rural India by increasing the credit flow for improving agriculture and rural non-farm sector. *Refer,* https://www.nabard.org/english/mission.aspx

[108] Mahila Kisan Sashaktikaran Pariyojana (MKSP) is a Ministry of Rural Development project and aims at empowering women in agriculture by making "systemic investments to enhance their participation and productivity". It also works to

are underway to promote a women's cooperative that focuses on equity, food security and enhancement of livelihood options.

CSA and Sahaja Aharam started organising Organic Farmers Cooperative Mela/Fair (OCFM) in 2012 in order to provide a platform to bring organic producers, farmers' cooperatives, NGOs, consumers, government institutions and policy makers together. This, to enable shared learning on organic farming, improve the bargaining power of farmers, improve market access to enable them to get a better share in consumer price and enable the farmers to access various government schemes. CSA approaches organisations like NABARD, APMAS, Chetna Organics, CWS, Cooperative Development Foundation (CDF), Bala Vikasa etc. to ensure their participation in such fairs. These are annual fairs and until now three have been organised in 2012, 2013 and 2014. CRP member from one of the cooperatives, who attended the 2013 organic fair, reported to have observed good demand for safe and organic food in the fair.

Score: +2

2.4.2 Civil society impact SPO

According to CSA staff and as already described in the baseline report, CSA has been working meaningfully at organising farmers into groups/cooperatives/producer companies to access more markets and gain better percentage in the consumer price. However, over time, especially the past two years, CSA has also emerged as a leading organisation in providing technical guidance and support on sustainable agriculture, seed production etc to various groups across the country supported by, to name a few, the World Bank, ActionAid and Reliance Foundation.

CSA's focus has been to get increasing numbers from civil society to engage in the cause of sustainable agriculture. Towards this CSA has worked with a range of people from different platforms and at all levels; ranging from the government's DoA to the World Bank funded project called 'Community Managed Sustainable Agriculture ' (CMSA)[109] to the very mainstream media. CSA constantly works at building alliances with civil society organisations like NGOs, farmers' organisations, human rights organisations and coordinating these; and especially strengthening the ASHA network comprising more than 400 members from about 25 organisations across the country.

According to one of CSA's board members, CSA through its partnership with South Asia Alliance for Poverty Eradication (SAAPE) has been involved in spreading the message on promotion of food sovereignty amongst the not so active CSOs in South Asian countries such as Nepal, Bangladesh, Sri Lanka, Pakistan and Maldives. Further, through its partnership with media (channels such as MAHA TV, Sakshi TV, HMTV, AIR,TV5, TV9 etc.), CSA has been able to influence discussions and debate on issues related to agriculture, farmer suicides, need to promote sustainable agriculture, separate budget for agriculture and maintenance of bio-diversity. This has taken the debate on agriculture to the general public where citizens are discussing policies related to agriculture and opting to buy organic safe food. Positive media response has in turn fed back into CSA's activities and helped it to enlarge its outreach.

While some of CSA's partners appreciate its efforts and achievements towards building up a strong civil society network and said that it provides cooperatives both financial and technical support, others said that it has not been able to affect a considerable improvement on promotion of sustainable agricultural practices and non-farm livelihood practices in the state and attribute it largely to government programmes.

Score: +2

grant women more control and power over production resources. *Refer,* http://rural.nic.in/sites/downloads/latest/SGSY.pdf

[109] The Community Managed Sustainable Program was initiated in 2006-07 by CSA and REDS. The program developed out of the agriculture crisis. A part of the program was to enable women self-help groups in different villages to become self-sufficient and manage their own seed production.

2.4.3 Relation with public sector organisations SPO

The past two years have seen CSA continuing, and expanding, its work with the public sector. All sections of the CSA staff interviewed said that efforts were made to build large scale convergence between the cooperatives and various administrative line departments and agencies. Especially so in the DoA, DoH, DoS (Department of Sericulture), the Commissioner and Registrar of Cooperatives (CRC) and NABARD. Facilitating such convergence was now easier because of CSA's enhanced access to these government departments and agencies compared to earlier. Many public sector agencies now look at CSA as a partner organisation to be engaged in the implementation of development programmes. CSA also mobilised organic agri-inputs and subsidies for its cooperatives the state's DoA and DoH. Further, NABARD, DoA, DoH and NIRD (National Institute of Rural Development) have been collaborating with CSA in organising the Organic Cooperative Mela (Fair) held every year since 2012. CSA conducted seed trials with two government agriculture institutions: PDK Vidyapeethin Akola, Maharashtra and the Acharya N G Ranga Agricultural University in Hyderabad.

Over and above, these the past two years saw CSA expanding its work into other states through partnerships with their governments on scaling up programmes, this especially in Bihar and Maharashtra; for which was awarded by the Bihar Innovation Forum and the Maharashtra Rural Livelihood Forum in January 2014. CSA has also been providing training to farmers on sustainable agriculture practices in Odisha, Chhattisgarh through the states' Rural Livelihood Missions. CSA worked as a consultant with the Maharashtra State and Agricultural Marketing Board.

CSA's increasing success in its collaboration with the public sector was, however, held suspect by the respondent from para-statal agency SERP (Society for Elimination of Rural Poverty)[110] who had a negative experience with CSA when the two had worked together from 2005 to 2008. The SERP official maintained his baseline position that NGOs like CSA do not have the capacity to upscale their activities and this can only be done by public or para-statal organisations. The official regretted that CSA has barely maintained contact with SERP, an important player in the NPM activities in the state's rural parts.

Score: +1

2.4.4 Relation with private sector agencies SPO

Like in 2012, CSA remains open to sharing information and interacting with private sector actors to the extent that such collaborations are in line with its ambitions for small and marginal farmers. To encourage its cooperatives to market their produce, it works with private food marketing agencies and entrepreneurs. Also, CSA has been providing market linkages to producers' organisations through non-profit as well as private marketing agencies like Hyderabad Goes Green, Good Seeds Hyderabad, Deccan Organics-Hyderabad, Sristi Naturals-Hyderabad, Sahaja Samrudha-Banglore, Thanal (NGO) Trivandram (Kerala), Restore-Chennai and Malladi Exports. CSA's efforts to get farmers in its associate cooperatives third party certification programme for organic products in the past two years has had it working with the Bangalore-based Aditi Certifications Pvt. Ltd. Notably, CSA has started working with the CSR (Corporate Social Responsibility)[111]initiatives of Reliance Foundation towards promoting sustainable agriculture. Discussions for collaboration with Michael & Susan Dell Foundation and HSBC Bank are on.

Score: +1

[110] SERP or Society for Elimination of Rural Poverty is an autonomous society of the Department of Rural Development, Government of Andhra Pradesh. SERP has been a key organization in the development of community based organisations and self-help groups in the state to facilitate poverty reduction through social mobilization. *Refer,* http://www.serp.ap.gov.in/SHGAP/FrontServlet?requestType=CommonRH&actionVal=loadaboutus

[111] The Companies Act 2013 as well as Companies Corporate Social Responsibility Policy Rules 2014 demands that every company, private or public, with a net worth of Rs 500 crore or a turnover of Rs 1,000 crore or net profit of Rs 5 crore, will be required to spend at least 2 per cent of its average net profit from preceding three financial years on corporate social responsibility. *Refer,* http://www.business-standard.com/article/companies/an-overview-of-csr-rules-under-companies-act-2013-114031000385_1.html

2.4.5 Influence upon public policies, rules, regulations SPO

In the past CSA has been successful in stalling the Seed Bill[112] and influencing the Biotechnology Regulatory Authority Bill (BRAI)[113] by mobilising civil society. It also mobilised public opinion on farmers' suicides in the state such that policy makers had to take note of it.

But, as established during the baseline, significantly influencing agricultural policies is still a distant reality because the establishment believes in an industrial model of farming, while CSA is arguing for more ecologically sustainable agriculture managed by communities and small holders. Despite which, the CSA Annual Report 2013-2014 states that the organisation conducted various campaigns and advocacy activities—through RSV and ASHA—to influence policy change through creating pressure on the government to revisit policies on Minimum Support Price (MSP)[114], the Seed Bill, bio-technology and GMOs (Genetically Modified Organisms) including other issues like crop insurance and direct income support to farmers. The required data used for such campaigns were sourced from the cooperatives. There are, however, no remarkable success stories to narrate as a consequence. Except that some of these farmers' issues—such as a task force on sustainable agriculture and farmers' income commission—were included in the 2014 election manifestoes of mainstream political parties. Also, years of lobbying saw a separate budget for agriculture being passed in the AP legislative assembly in May 2014.

The efforts of CSA, and its associate CBOs and CSOs, however, impacted many public sector practices:

- The CSA Annual Report 2013-2014 states that as a result of persistent efforts of CSA, CCC and other partners of RSV, all the pending cases of exgratia for farmers' suicide families were settled by the District Collector in Medak district. Several meetings at district level and regional level were organized in the past year and the participants, along with CSA, were farmers, farmer suicide families, NGO's , farmer union leaders, and concerned citizens.
- NABARD, and the Andhra's Pradesh's DoA, DoH and DoS, because of CSA's interventions, granted subsidies for farmers, sanctions for projects, farm mechanisations and licenses for cooperatives to produce and market seeds. Some instances: a) in 2013, the DoA provided subsidy worth Rs 15 lakhs for farm implements like tractors, thrashers, sprayers etc for the resource centre of Tungabhadra cooperative in Kurnool district; services of these implements are made available to cooperative members and other farmers at minimal charge; b) the Enabavi and Mulugu cooperatives acquired mobile mini seed processing units in 2013-14 with 90 per cent of the costs financed through DoA subsidies; c) the Kadiri cooperative, a part of CMSS (Community Managed Seed System), is now receiving subsidies from the state's DoA.
- CSA successfully approached the APMIP (Andhra Pradesh Micro Irrigation Project) for help with providing sprinklers and drip irrigation equipment to farmers in 2013.
- CSA also had intensive interactions with the Commissioner and Registrar of Cooperatives (CRC) over the 2012-14 period. The CRC visited the Enabavi cooperative in November 2013 and agreed to sanction money for construction of a warehouse there.
- Earlier green manure seeds were not produced in AP and state government would import them from the north Indian states. Beginning 2013, the Tungabhadra cooperative has started producing such seeds and AP Seeds, the government body on seeds, has started purchasing it at reasonable rates.
- The CSA-facilitated convergence meetings saw 500 acres in Kadapa district's Kondapuram village linked to the National Food Security Mission (NFMS), supported by NABARD, in 2013. The latter provided seeds in the form of grant. The same year, under the INSIMP (Integrated Nutrient Security

[112] The Seed Bill, 2004 seeks to regulate the production, distribution and sale of seeds. It requires that every seller of seeds meet certain minimum standards. New amendments have been proposed to the bill in April 2010 and November 2010, the government has accepted most of the recommendations of the standing committee. *Refer,* http://www.prsindia.org/billtrack/the-seeds-bill-2004-104/

[113] The Biotechnology Regulatory Authority of India (BRAI) was set up as an independent authority on the basis of BRAI bill, 2013. One of its main purposes is to regulate the research, transport, import, containment, environmental release, manufacture, and use of biotechnology products. *Refer,* http://www.prsindia.org/billtrack/the-biotechnology-regulatory-authority-of-india-bill-2013-2709/

[114] The Minimum Support Price (MSP) is a scheme by the government of India to protect the interests of the farmers. Under this scheme, the government declares the minimum support prices of agricultural produces assuring the farmers that their produce will be purchased.

Millet Program), 20 farmers owning 20 acres of land in Kurnool district's Erladinne village were given a similar grant for seeds.

- CSA organised exposure visits to successful organic farms through ATMA (Agriculture Technology Management Agency) and the DAATT (District Agriculture and Technology Transfer) centres.

The leadership observed that CSA, since the baseline, has strengthened its position as a credible information source for farmers' cooperatives which now use such information to negotiate in the convergence meetings with government line departments organised by CSA. Many MPs, MLAs and Panchayat representatives consult CSA on agriculture related issues because of its reputation. CSA's reports and experiences are, in fact, used by political parties while planning policy on farmers' livelihood issues. Importantly, CSA's lobbying over the past years saw the inclusion of farmers' issues—such as a task force on sustainable agriculture and farmers' income commission—in the 2014 election manifestoes of mainstream political parties. This through RSV at the state level and ASHA (Alliance for Sustainable and Holistic Agriculture)[115] at the national level; these networks incorporated several of CSA's recommendations in the farmers' issues they were pushing to be included as agenda for the 2014 general elections. Also CSA's demand for a separate agriculture budget for Andhra Pradesh was finally conceded, with such a budget being presented in the state legislative assembly in 2013-14[116].

Score: +2

2.4.6 Influence upon private sector agencies' policies, rules, regulations SPO

Much like it had said during the baseline, CSA maintained that any influence that it might have had on the private sector is largely through having pushed for regulations by government, and not directly. Also, more private agencies are getting involved with organic marketing, some private pesticide companies and new entrepreneurs have started coming up with organic farming inputs like bio pesticides, manures, etc; and though CSA might have contributed to this trend it certainly does not claim sole credit for it. Another indirect influence might have been CSA's success in having convinced some private sector companies to divert CSR funds towards sustainable agriculture practices.

Score: Not Applicable

2.5 Civil Society context

2.5.1 Coping strategies

Andhra Pradesh became a site of political tumult as the demand for a separate Telangana[117] state gathered frenzy over the past two years. The long, and often violent, struggle for Andhra's bifurcation that began in 1969, finally saw the Parliament appointing 2 June, 2014 for the creation of Telangana[118]. The announcement triggered off more protests and suicides[119]. Overall, the period between 2012 and 2014 saw the state government and administration at near standstill. Much of

[115] Alliance for Sustainable and Holistic Agriculture or ASHA is an alliance of about 400 diverse organisations drawn from more than 20 states across India that came together through the Kisan Swaraj Yatra (Oct-Dec 2010), a nation-wide mobilisation around Food-Farmers-Freedom. *Refer,* https://www.facebook.com/AshaKisanSwaraj/info?ref=page_internal

[116] The Andhra Pradesh government presented the first ever separate agricultural budget in August 2014. The total agricultural budget is for Rs 13,110.39 crores. *Refer,* http://www.financialexpress.com/news/andhra-pradesh-presents-first-ever-separate-agriculture-budget/1281660

[117] The Telangana movement, a struggle in Andhra Pradesh for a separate state of Telangana came to a conclusion with its creation on 2nd June 2014, making it India's 29th state. The 'Jai Telanagan' movement began in 1969, over cultural and economic differences with the larger state of Andhra Pradesh. *Refer,* http://timesofindia.indiatimes.com/india/15-facts-you-need-to-know-about-Telangana/articleshow/35955351.cms

[118] The Andhra Pradesh Reorganisation Act, 2014 for the bifurcation of Andhra Pradesh into two states was given the go ahead by the President on 1st March 2014. This was following decades long struggle for Telangana. *Refer,* http://reorganisation.ap.gov.in/index.jsp

[119] The announcement to divide Andhra Pradesh met with celebration on the Telangana side and protests and suicides on the Andhra and Rayalseema side. 13 districts were shut down in Seemandhra as protests took place. A home guard is said to have committed suicide after hearing the news about the division. *Refer,* http://www.hindustantimes.com/india-news/telangana-triggers-protests-suicides-clamour-for-more-states-grows-across-india/article1-1101346.aspx

CSA's work, including registration of three new cooperatives for instance, suffered as a consequence. Despite which CSA attempted an appropriate response to this evolving context by conducting several awareness meetings around the formation of Telangana, and producing a report on how the agriculture and agriculture-based livelihoods in the newly formed states could be sustained. Also, plans are afoot to establish another office in Seemandhra, as the current office is now in Telangana.

The general elections in 2014 saw CSA collaborate with networks like RSV and ASHA—at the state and national levels—towards ensuring that farmers' issues are included in the political parties' manifestoes.

Meanwhile, the state's agrarian crisis continued. The 2011 Kharif[120] and 2012 Rabi seasons had been declared as drought-hit. This along with farming practices heavily reliant GMO seeds and private companies had seen farmers incurring heavy losses[121], and a spate of farmer suicides[122]. Even as the impact of all this spilled over into 2013-14, unseasonal rains and hailstorms in many of the project areas compounded the problems. And farmers' suicides continued in many parts of cotton and chilly growing areas of Andhra even post 2012[123]. At the time of the baseline, CSA and ASHA had been among the first CSOs to organise fact finding missions to the affected areas and release the reports, they had also conducted hearings on the issue[124].

Score: +1

[120] Kharif comes from Arabic and means autumn. It is a term used to describe a cropping season in India from July-October. The cropping season in the Indian subcontinent revolves around the monsoon rains. Refer, http://www.arthapedia.in/index.php?title=Cropping_seasons_of_India-_Kharif_%26_Rabi

[121] With a 15 per cent deficit in the south-west monsoon and consequent damage to rain-fed crops in more than 85 lakh acres, the Andhra government had declared the 2011 kharif season as drought-hit in 856 mandals. Four of CSA's project implementing districts—Anatapur, Kadapa, Kurnool and Nalgonda—came under these. It was reported that 51, 5300 farmers incurred severe loss due to the drought. As a consequence, the rabi season 2011-12 was also affected. There was a severe shortage of water for irrigation, even for drinking. Forcing many farmers to turn to dairy. In Anatapur, for instance, farmers shifted from high water intensive crops (paddy) to less water requiring crops like maize and fodder crops, etc. The farmers' protests against the government's low minimum support prices (MSPs) took a turn with paddy farmers from the Godavari Delta declaring a 'Crop Holiday'. Increasing costs of cultivation, lack of procurement for paddy, low MSPs forced farmers in the fertile Godavari districts—called the 'rice bowl of Andhra--to leave their lands fallow. The state government appointed a committee under Mohan Kanda, a retired IAS officer, to study the issue and make recommendations. CSA made a presentation on this issue and also a detailed presentation to the Kanda Committee. *Refer,* http://www.thehindu.com/news/national/andhra-pradesh/ap-to-receive-rs-714-cr-as-drought-relief-from-centre/article3349818.ece

[122] During October-November, 2011 about 95 farmers' suicides were reported in six Andhra districts. *Refer,* http://www.downtoearth.org.in/content/95-farm-suicides-month-andhra-pradesh

[123] "Five states account for two-thirds of all farm suicides in the country one among them being Andhra Pradesh. Suicide rates among Indian farmers in 2013 was 47 per cent higher than they were for the rest of the population in 2011". http://www.thehindu.com/opinion/columns/sainath/farmers-suicide-rates-soar-above-the-rest/article4725101.ece

[124] A Round Table with MPs in November 2011 in Delhi; a public hearing in November 2011 in Kurnool; a Round Table in Hyderabad in collaboration with a television channel, with political parties and farmers' unions in January 2012.

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Centre for Workers' Management end line report

MFS II country evaluations, Civil Society component

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This report describes the findings of the end line assessment of the *Centre for Workers' Management* (CWM), which is a partner of Hivos.

The evaluation was commissioned by NWO-WOTRO, the Netherlands Organisation for Scientific Research in the Netherlands and is part of the programmatic evaluation of the Co-Financing System - MFS II financed by the Dutch Government, whose overall aim is to strengthen civil society in the South as a building block for structural poverty reduction. Apart from assessing impact on MDGs, the evaluation also assesses the contribution of the Dutch Co-Funding Agencies to strengthen the capacities of their Southern Partners, as well as the contribution of these partners towards building a vibrant civil society arena.

This report assesses CWM's contribution towards strengthening Civil Society in India whilst using the CIVICUS analytical framework. It is a follow-up of a baseline study conducted in 2012. Key questions that are being answered comprise changes in the five CIVICUS dimensions to which CWM contributed; the nature of its contribution; the relevance of the contribution made and an identification of factors that explain CWM's role in civil society strengthening.

Keywords: Civil Society, CIVICUS, theory based evaluation, process-tracing

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List of abbreviations and acronyms

AITUC	All India Trade Union Congress
ALF	Alternative Law Forum
CCC	Clean Clothes Campaign
CDI	Wageningen UR Centre for Development Innovation
CFAs	Co-Financing Agencies
CFO	Co-Financing Organisation
CS	Civil Society
CWM	Centre for Workers' Management
ESI	Employees State Insurance
GATWU	Garment and Textile Workers Union
GAFWU	Garments And Fashions Workers Union
IDF	India Development Foundation
ILRF	International Labour Rights Forum
MoFa	Ministry of Foreign Affairs
MFS	Dutch co-financing system
NCR	National Capital Region
NREGA	National Rural Employment Guarantee Act
NTUI	New Trade Union Initiative
PF	Provident Funds
PTS	Penn Thozhilallar Sangam
RLS	Rosa Luxembourg Stiftung
SEZ	Special Economic Zones
SPO	Southern Partner Organisation
SSI	Semi-structured Interview
TIE	Transnational Information Exchange
ToC	Theory of Change
Wageningen UR	Wageningen University & Research centre
WRC	Workers' Rights Consortium

1 Introduction

This report presents the civil society end line findings of Centre for Workers' Management (CWM) in India which is a partner of Hivos under the People Unlimited 4.1 Alliance. It is a follow-up to the baseline assessment that was carried out in 2012. According to the information provided during the baseline study CWM is working on the theme Governance.

These findings are part of the overall evaluation of the joint MFS II evaluations to account for results of MFS II-funded or –co-funded development interventions implemented by Dutch CFAs and/or their Southern Partner Organisations (SPO) and to contribute to the improvement of future development interventions. The civil society evaluation uses the CIVICUS framework (see appendix 1) and seeks to answer the following questions:

- What are the changes in civil society in the 2012-2014 period, with particular focus on the relevant MDGs & themes in the selected country?
- To what degree are the changes identified attributable to the development interventions of the Southern partners of the MFS II consortia (i.e. measuring effectiveness)?
- What is the relevance of these changes?
- What factors explain the findings drawn from the questions above?

The CIVICUS framework that comprises five dimensions (civic engagement, level of organization, practice of values, perception of impact and contexts influencing agency by civil society in general) has been used to orient the evaluation methodology.

Changes in the civil society arena of the SPO
In the 2012 – 2014 period, the two most important changes that took place in the civil society arena of CWM are related to 'level of organisation' and 'practice of values'.

With regards to level of organisation, CWM intensified its interactions with a limited number of trade unions (a maximum of five unions of the 41 unions they consider part of their constituents), in particular those of the garment and domestic workers sectors where by tradition most workers are female. Apart from the support given to these three unions, CWM started to position workers' struggles in global supply chains systems, as a means to reorient lobby and advocacy strategies of trade unions and to engage them in international networks. The SPO further expanded its international network and its financial resource base.

With regards to 'practice of values' CWM became a little bit more transparent to the trade unions it supports, by means of creating a website that was recommended since 2008, but which is not kept up to date, and by reorganising its board that now also includes persons with a relevant background in training and research which is needed to improve CWM's effectiveness in its support to the workers organisations.

These findings were obtained through an analysis of documents, a workshop and follow-up interviews with the SPO, and interviews with external resources persons working in civil society organisations that receive support from the SPO; other civil society organisations with whom the SPO is collaborating; public or private sector agents and; external resource persons capable of overlooking the MDG or theme on which the SPO is concentrating.

CWM's contribution to changes
Based upon an analysis of the projects and programmes financed by the Dutch CFAs a selection was made of SPOs to be included in an in-depth process tracing trajectory and those to be included for a quick contribution assessment. CWM was amongst those SPOs selected for in-depth-process tracing.

In the first place the evaluation assessed CWM's contribution to the increase in membership and the quality of women's engagement in two trade unions, the Garments and Fashions Workers Union (GAFWU) and the domestic workers' union Penn Thozhilalargal Sangam (PTS). Both unions are working in typically female sectors. The most plausible explanation of this outcome is a combination of the two trade unions already having shown to defend the interests of their constituents *before* MFS II;

CWM making its support approach more demand-oriented *during* MFS II; supporting the unions to use a template to calculate a need-based minimum wage indexed to inflation developed by CWM (in 2008) that helped to negotiate wage hikes with the government, and; other actors who helped to position garment workers' concern in an international and supply chain context.

In the second place the evaluation team explained the capacity of the Garment and Textile Workers Union (GATWU) in Karnataka state to successfully negotiate a minimum wage hike and to finally ensure that industries started to pay dearness allowances to their workers according to the regulations in place. This outcome is most likely explained by the fact that GATWU is a mature organisation; support received by Workers' Right Consortium and Clean Clothes Campaign in targeting the international brands that source their products from the garment factories in Karnataka *before and during MFS II,* and CWM's technical support to calculate a needs-based inflation indexed minimum wage as an input for negotiations on these wages with the industry and the government.

CWM has been working with all three trade unions on a regular basis since 2008 – 2009 and these unions received more support than any other union that CWM considers as its constituents. *During the MFS II period*, CWM improved the quality of its services by means of making it more demand-driven and by means of including not only the union leaders, but also the second and the third rung. CWM itself became aware of the importance targeting international brands as a means to improve working conditions for women.

Relevance

Interviews with staff of CWM, with external resource person, with the former programme officer of Hivos, as well as contextual information helped to assess the relevance of CWM's interventions in terms of; its Theory of Change (ToC) for Civil Society as designed during the baseline study; the context in which CWM is operating, and; the Civil Society policies of Hivos.

The changes to which CWM contributed along with many other actors are relevant in relation to its 2012 Theory of Change and the external context. However these changes only concern some five to six of the 41 trade unions that the organisation is supporting.

CWM is a very relevant organisation in relation to the Rights and Citizenship programme of the People Unlimited 4.1 alliance, but the partner organisation did hardly contribute to this programme.

Explaining factors

The information related to factors that explain the above findings was collected at the same time as the data were gathered for the previous questions. The evaluation team looked at internal factors within CWM, the external context in which it operates and the relations between CWM and Hivos.

The most important factor that explains the evaluation findings is within CWM. Some of the critical issues mentioned in an external evaluation report of 2008 have been addressed as of 2012, such as the creation of a new and more performant board that now comprises professionals in the field of research and advisory on the one side and representatives of unions on the other side. However, CWM's current strategic and operational planning, monitoring and evaluation in place hamper the organisation to effectively and efficiently make a considerable difference for the trade unions that it supports. The past two years have seen some changes into more effective interventions and more strategic relations with other organisations to make this difference, which is promising and should be pursued.

Design of the intervention

The design of CWM's interventions requires a further critical reflection in order to make it replicable at a wider scale by CWM in the first place.

The following chapter briefly describes the political context, the civil society context and the relevant background with regards to the governance theme CWM is working on. Chapter three provides background information on the partner organisation, the relation of its MFS II interventions with the CIVICUS framework and specific information on the contract with Hivos. An evaluation methodology has been developed for the evaluation of the Civil Society component which can be found in the appendix of the country report; however, deviations from this methodology, the choices made with regards to the selection of the outcomes for contribution analysis, as well as difficulties encountered during data collection are to be found in chapter 4. The answers to each of the evaluation questions are being presented in chapter 5, followed by a discussion on the general project design in relation to CS development; an assessment of what elements of the project design may possibly work in other

contexts or be implemented by other organisations in chapter 6. Conclusions are presented in chapter 7.

2 Context

This paragraph briefly describes the context CWM is working in. A description of the Civil Society Context assessed according to the CIVICUS framework is provided in appendix 3 of the country report for Civil Society.

2.1 Political context

With growing tensions between the industry workers and management, the newly elected right-wing Bharatiya Janata Party (BJP) government at the centre, in October 2014, proposed changes in labour laws. This move has been lauded by corporates and industries, as it shows the government is making efforts to create an investment friendly environment in the country. The trade unions on the other hand see this as a move which will further "depress wage levels and give a free hand to the corporates to hire and fire workers".[1] Rajasthan with the BJP in power has already started a similar process that is being severely criticised by trade unions. [2]

In terms of change in the political context, these have been the most significant changes in the past few years. It remains to be seen if these statements and proposals by the government will take any concrete shape, as the demand for reforming labour laws has been present for a long time, with only token promises made by the government. The issue has been gaining increasing prevalence in the current discourse following the industrial violence that took place in Maruti Suzuki's Manesar Plant in Haryana.

To understand the political economy of industrial relations and trade union movement in independent India, one must be familiar with the course of collective bargaining around wages and facilities for workers which goes back to recommendations of the Fair Wage Committee, 1948, that mooted the concept of a minimum wage to be paid by all industries; this later became a law and organised sector unions achieved fair indexation and an extra month's salary as bonus. Another landmark is the Trade Union Act (1926), which facilitates unionisation in organised and unorganised sectors. But both of these laws had their own limitations in practical life. For example, the right to form trade union and register it does not mean that the employer must recognise the union and absence of such a legal compulsion enables even the organised sector to bypass collective bargaining of wages and not recognise such unions which are more assertive in terms of demanding workers' rights.

This was the case in 2009-10, when most of the well-known workers struggles were on the issue of formation or for recognition of the trade union for collective bargaining[3]. The same trend has continued over the past two years, and incidences like Maruti workers strike and violence in July 2012 emerged because of these reasons[4].On the minimum wage front, an employer in the informal sector like construction work, domestic work, physical labour etc can fire an employee at will without advance notice or reason, and absence of measures for security of a fixed period of employment in this sector gives the employer a huge advantage over the employee, who most of the time agrees to work below minimum wages so as to save his employment.

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[1] *Refer,* http://www.thehindu.com/news/national/central-trade-unions-to-launch-protest-on-dec-5/article6509230.ece

[2] *Refer,* http://www.business-standard.com/article/economy-policy/rajasthan-assembly-passes-four-labour-reform-bills-114073101662_1.html ;http://indianexpress.com/article/india/india-others/rajasthan-shows-way-in-labour-reforms/

[3] e.g. Hyundai Workers Struggle for Recognition of the Union, Nokia Workers Struggle for Wage Hike and Against Victimization, MRF Workers Struggle for Recognition of Union, Pricol Workers Struggle for Recognition of Union, Graziano Workers struggle for Unionization, The Case of Trade Union Repression in Nestle, Vivva Global Workers Struggle for Minimum Wages and Unionization, Rico Auto Workers Struggle for Unionization and Sunbeam Workers Struggle for Democratisation of the union.

[4] *Refer,* http://www.business-standard.com/article/companies/maruti-s-striking-labour-problem-111091500040_1.html

The period from 1991 till date is considered as the phase of full-fledged economic reforms, decline in public sector and formal employment, continued decline of bargaining power of centralised unions, increasing contractualisation and outsourcing, poorer implementation of labour laws in special economic zones. This has given rise to plethora of non-mainstream workers' organisations which inform, enable, and advocate for localised, sector specific unions, and filing petitions in the court for implementation of rights has also become a very important recourse for trade unions and workers' organisations in last two or three decades.

3 Description of the SPO and its contribution to society/policy changes

3.1 Background of the SPO

Centre for Workers' Management (CWM) is a resource centre for trade unions, created in 1991, to serve working people and their organisations. It was created because according to its understanding working people and even their collective movements lack the time, resources and sometimes even the skills to take forward medium and long term strategies.
CWM works with grass root workers organisations in the rural, garment, domestic, auto, metal and plantation sector, and aims at organising contract workers, casual workers and the self-employed, mainly in the unorganised sector. It seeks to address the issues of rural workers and workers with non-standardised urban jobs. CWM works with 41 trade unions and has a total outreach of about 700,000 workers, of which 40 percent are women[5].

Since its registration as a society in 1991, the Centre for Workers' Management (CWM) has been involved in various activities related to research, training, issue-based advice and campaign and information dissemination on areas of industrial democracy and workers' rights. The organisation has a constituency of workers and workers' organisations with which it interacts actively, and which benefits from its inputs.

CWM's long-term goal is for trade unions to expand democracy in the enterprises, in industry and in the economy. Towards this end its immediate objectives are to:

- Furthering of industrial democracy;
- Aid trade unions in their understanding of the enterprise, industry and economy;
- Assist trade unions in using this understanding for more effective collective bargaining;
- Facilitate the expansion of a trade union network with a common set of objectives;
- Provide trade unions with research and campaign support on legislative and policy changes that affect work, wages, industry and the economy.
- Working with trade union organisations on issues of collective bargaining and organisational democracy;
- Research, documentation and education on new forms of worker organisations, including cooperatives;
- Research and campaign on legislation related to labour and capital regulation;
- Trade union education, towards building an effective cadre at the workplace/ region/ sector of work;
- Assisting building of networks among worker organization.

Since 2012, when CWM counted 16 staff members of which 7 female, CWM has grown in staff numbers: at the end of 2013 it had 3 principal researchers (2 female); 1 campaign coordinator (female) ; 5 researchers & educators (1 female); 5 administrative and financial staff (2 female) and 13 campaign staff (2 female).

[5] Hivos Project document 2012 -2014

3.2 MFS II interventions related to Civil Society

CWM is collaborating with Hivos since 2004. In November 2012 it ended a four-year programme, which was followed by a second programme that lasted until September 2014.
The following table relates CWM's core interventions with the CIVICUS dimensions, based upon the contract agreements made for the 2008-2012 contract and that of 2012 – 2014.

Most of the interventions foreseen in both the 2008-2012 and the 2012 – 2014 contracts with Hivos, aim to influence public sector policies and practices: Related expected results in the 2008-2012 period comprised the "improvement of the legal framework to protect and promote unionisation" and of "the capacity of unions to uphold labour rights and bargain on behalf of their constituencies". In the 2012 – 2014 period this was continued by means of the expected result "provide workers' activists with robust information to advance their concerns". Three other expected results in the same contract were meant to contribute to this;

1. Developing a curriculum and train workers on a regular basis which should culminate in the creation of full-fledged worker schools in 2016. This is a follow up of the 2008-2012 result to create trade union training school activities in Chennai, Surat and Patna;
2. Conduct sectoral and policy or legislative issue based research which is also a follow up of a result in the previous contract.
3. Use these findings to assist workers organisations and social movements in their lobby and campaign efforts, which is also to be seen as a continuation of the previous contract.

The 2012 – 2014 contract further explicitly mentions expected results under the 'practice of values' CIVICUS dimension, consisting of a reconstitution of CWM's board as a means to ensure plurality and diversity.

3.3 Basic information

Table 1

SPO basic information.

Subject	Details	Subject	Details
Name of SPO	Centre for Workers' Management		
Consortium and CFA	People Unlimited 4.1, Hivos		
Project name	Advancing Industrial Democracy for Economic and Social Equality		
MDG/theme on which the CS evaluation focusses	Governance		
Start date of cooperation between the CFA and the SPO	Since 2000		
MFS II project name 1	Advancing Industrial Democracy for Economic and Social Equality	MFS II project name 2	Advancing Industrial Democracy for Economic and Social Equality
Contract period	1 October 2008 and November 2012	Contract period	October 2012 – September 2014
Total budget Hivos	€ 409.141 = 48 % of total funds available	Total budget Hivos	€ 108.000 = 29.4 % of total funds available
Other donors if applicable	ActionAid; Fund for Global Human Rights; Asia Pacific Forum on Women; Prakruthi; Contribution from Constituent Organisations; UmverteilenStiftung; Solidaridad;ILRF	Other donors if applicable	Rosa Luxemborg Stiftung; Global Fund for Human Rights; ActionAid; International Labour Rights Forum; The Workers' Rights Consortium and others
Estimation of % of budget for Civil Society[6]	33 %	Estimation of % of budget for Civil Society	33 %

Source: project documents

[6] Costs that relate to civil society development or policy influence are those costs that possibly contribute to the development of the CIVICUS dimensions, excluding coordination and office costs; staff costs and financial reserves.

4 Data collection and analytical approach

4.1 Adjustments made in the methodology of the evaluation

Only minor adjustments were made in the methodology: due to the unclear and incomplete progress reports it was not possible to conduct an input – output- outcome analysis in line with the results/ outcomes to be achieved according to the contract requirements. CWM simply does not report against these results but reports against education, research and advocacy or campaigns.

Only four CWM staff attended the evaluation workshop at the beginning of the end line study whereas according to the 2013 annual review CWM counts some 27 staff, amongst which 13 campaign staff and 5 researchers. The four workshop attendants were one research head; one programme staff; one administrative head, and one board member. These all participated together in follow up interviews the day after the workshop. One of the consequences is that the triangulation of information from different staff of CWM has been limited.

4.2 Difficulties encountered during data collection

As mentioned already, the progress reports produced by CWM are missing quality and do not provide oversight of progress being made since 2008 and no efforts were made to improve the quality of these reports, which all have been accepted by Hivos.
In the first place the reports do not follow the logical framework described in the project proposals and instead reporting is organised according to education, research and documentation, lobby and advocacy work and occasionally new forms of organisation.
Further we observe that several parts of progress reports have just been copied and pasted from previous reports, in particular when CWM is asked to report against its logical framework:

1. Reporting against result area 1 of the annual report 2010-2011 (page 29-39) is an exact copy of the text in the 2009-2010 report under the same heading. The same applies for result area 2 (page 31 in the 2010-2011 report) and 3 (page 31-32 in the 2010-2011 report). This is also valid for the report covering April 2011 – March 2012
2. Reporting against the 3 result areas in the progress reports covering 2012 and 2013 is a copy-paste exercise again, in addition to other pieces of texts which have been copied from different reports. The 3 result areas are part of ”Part F. Questions related to the result indicators of Hivos’ overall programme”.

The in-country evaluation team faced the following problems during further data collection:
In the first place trade union representatives were reluctant to be interviewed, because the Indian government has become increasingly insistent on ensuring that there is no foreign funding in political protests and labour issues. Trade unions are therefore wary of responding to requests to be participants in evaluations regarding foreign funding.
In the second place the collection of documents that provide evidence was a hurdle: Labour departments associated with the government are known for their inefficiency regarding maintaining proper records, such as the minutes of proceedings of Karnataka’s Tripartite Wage Board on the issue of wage rise for garment sector workers, in which CWM’s partners participated. Similarly, documented membership figures of the trade unions were difficult to corroborate. As, other than the unions themselves, no other state body conducts a yearly or bi-annual check or headcount to ascertain the actual membership (it is done for longer intervals, and the standards of such verification are not

rigorous); hence trade unions generally succeed in inflating their membership figures because of faults in the verification processes[7].

However, the evaluators sought to compensate for this lack of paperwork and written evidence by allowing the use of accounts of two or more external resource people or concerned parties as corroborating evidence, so as to substantiate a finding or attribute the changes to an actor.

4.3 Identification of two outcomes for in-depth process tracing

CWM was selected for in-depth process tracing of outcomes associated with the strategic orientation Civic Engagement and that of Strengthening Intermediate Organisations.

The first outcome to be explained and in relation with civic engagement is that of union membership increasing, as well as the quality of the engagement of women in these trade unions. The evaluation team looked at two Chennai-Based unions: Penn Thozhilallar Sangam (PTS) which organises domestic workers and Garments And Fashions Workers Union (GAFWU).

The second outcome to be explained is that of the rise in the minimum wages in the garment sector and the implementation of Dearness Allowance (DA) norms in Karnataka state, in which the Garment and Textile Workers Union (GATWU) is involved. This outcome relates to “the capacity of unions to uphold labour rights and bargain on behalf of their constituencies” and “provide workers’ activists with robust information to advance their concerns” which are results to be obtained when accomplishing the Hivos contracts and which are related to the CS orientation of Intermediate Organisations.

The reasons for selecting these outcomes is that CWM has been working with these unions since 2009 in a consistent way, whereas all other interventions are seemingly scattered around a wide range of issues; these observations are made based upon the progress reports made available.

[7] http://www.newindianexpress.com/nation/Trade-union-membership-CPI-eclipses-its-big-brother/2013/06/03/article1617463.ece ; http://articles.economictimes.indiatimes.com/2013-04-06/news/38327411_1_india-trade-union-congress-membership-indian-railways ; http://www.business-standard.com/article/economy-policy/unions-use-different-criteria-to-top-headcount-106122801014_1.html

5 Results

5.1 Results obtained in relation to intervention logic

The quality of CWM's progress reports does not allow for a detailed overview of outputs and outcomes achieved versus targets set and hardly against their outputs which are education, documentation and research and campaigning. No monitoring takes place at the outcome level. CWM works in the following sectors or topics: the National Rural Employment Guarantee Act (NREGA); minimum wages; contract labour; plantation labour; engineering and metal work; garment; domestic workers and; construction. Apart from these other themes that CWM worked on are Free Trade Agreements, Human Rights and New Industrial Areas.

Table 2 presents an overview of those sectors that have received support since 2008-2009.

Table 2
Outputs delivered according to sectors that received most frequent attention and those that received considerable less or scattered attention and location

Outputs delivered	Sectors receiving most attention	Sectors receiving scattered attention	Concentration of activities in
Education	Women activists in trade unions; NREGA and rural employment	Plantation labour Engineering and metal work Construction	Chennai and Bangalore
Documentation and research	NREGA and rural employment; Women workers	Mapping of New Industrial Areas Contract labour	i) Gujarat (2 times), (ii) Tamil Nadu and (iii) Uttar Pradesh (2 times); (iv) Karnataka; (v) Madhya Pradesh;
Campaigning	Universal Social Security Bill NREGA	Contract labour Free Trade Agreements	Unknown

Sources: project progress reports 2008 – 2013

With regards to the results to be delivered under the Hivos contracts we observe the following:

- 'Women activists', which according to Hivos needed to be a cross sectoral theme, has only been addressed in the garment and the domestic workers' sector, which are typical feminine sectors.
- CWM's intention to establish worker activist schools has not materialised in the 2012-2014 contract period.
- The number of workers organisations with whom CWM works is not clear: figures are constantly changing in the reports (38 according to an excel sheet made available during the baseline study; 41 according to the 2012 – 2014 project proposal and 50 unions in other documents). The progress reports only mentions support to eight trade unions.

5.2 Changes in civil society in the 2012-2014 period

5.2.1 Civic engagement

Civic engagement describes the formal and informal activities and participation undertaken by individuals to advance shared interests at different levels. Participation within civil society is multi-faceted and encompasses socially-based and politically-based forms of engagement.

Civic engagement has slightly improved since the baseline, because CWM has a) systematised the process of beneficiary interaction through better targeted research and education b) structured workshops and meetings together with activist leaders of the unions c) increasingly used the workshop mode or focus group discussions to check outcomes and test ideas, and d) engages also with the union second and sometimes third leadership's level, whereas before it only worked with the executive

leadership of the trade unions. This has been observed in particular in the garment and domestic workers sector.

CWM works with 41 trade unions and has a total outreach of about 700,000 workers, of which 40 percent are women according to the 2012 – 2014 project documents[8]. However the document analysis of progress reports only identifies concrete activities with eight unions.

Table 3 presents an overview of persons reached through education, research and documentation and campaigns before MFS II (March 2011) and during MFS II (after March 2011). The evaluation team has not been able to verify these data, implying that these only represent tendencies. The percentage of women reached through CWM's education and research and documentation together did only slightly increase from 59 percent before March 2011 to 61.3 percent during the MFS II period, with a significant decline of female participation (54.6%) in educational activities during the MFS II period.

Table 3

Persons reached through different outputs delivered by CWM, including sex ratios

Heading	Persons reached through CWM activities before March 2011 (figures of 2 years available)		Persons reached through CWM activities before March 2011 (figures of 3 years available)	
	Women	*Total*	*Women*	*Total*
Education	844 (61.5%)	1371	1178 (54.6%)	2159
Research and documentation	18615 (58.7%)	31700	43840 (62.0%)	71275
Campaigns	615500 (41.6%)	1480000	Figures not available or unreliable	
Total education and Research and development	19459 (59.0%)	33071	45018 (61.3%)	73434

Table caption (e.g. source).

Since the baseline assessment, CWM discontinued its activities to address rural workers' issues in the new worksites created by the NREGA scheme[9] because its ideas to support rural workers to understand their rights vis-à-vis the scheme rather than to enrol a maximum number of workers into the scheme was not what the government had asked for.
CWM intensified however its collaboration to unions in the primarily female workforce in the garment sector in Bangalore (Karnataka state) and Chennai (Tamil Nadu state), in particular GATWU[10] and GAFWU[11] and the Chennai-based domestic workers union PTS[12].

Score baseline 2013 on an absolute scale from 0-3 **2**
Score end line 2014, relative change on a scale of -2 → +2 **0**

5.2.2 Level of organization

This dimension assesses the organisational development, complexity and sophistication of civil society, by looking at the relationships among actors within the civil society arena.

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[8] Hivos Project document 2012 -2014

[9] The National Rural Employment Guarantee Act, 2005 is an Act to provide for the enhancement of livelihood security of the households in rural areas of the country by providing at least one hundred days of guaranteed wage employment in every financial year to every household whose adult members volunteer to do unskilled manual work and for matters connected therewith or incidental thereto. See http://nrega.nic.in/rajaswa.pdf

[10] GATWU: Garment and Textile Workers' Union in Bangalore. See http://gatwu.org.in/
GATWU was formed in 2005 and was officially registered in 2006 in Bangalore. They are committed to building the power of the working class in the Karnataka garment industry and building a movement with like-minded organizations to advance the interests of workers and their families. GATWU is fighting for living wages, better working conditions, safe and harassment-free working environments, and freedom of association.

[11] Garments and Fashion Workers' Union (GAFWU) is a Chennai (Tamil Nadu) based workers' union, more than 95% of whose members are women. The union works for the rights of garment-apparel sector workers, and is a partner organisation of the CWM.

[12] Penn Thozhilalar Sangam is an organisation working in Chennai, with a neighbourhood based focus. Most of its members are women, and it also works for making government services accessible to women workers' in a neighbourhood. It is also a partner organization of the CWM.

CWM managed to increase its interactions with other civil society actions since the baseline and some trade unions managed to become more performing in defending the interests of their members.

In the first place the organisation intensified its interactions with a activists of various grassroots workers organisations, such as with the two aforementioned unions in the garment sector and the domestic workers organised in Penn Thozhilallar Sangam (PTS); various plantation workers associations/unions; auto workers' unions.

After the Rana Plaza incident in April 2013, when an eight-store garment factory collapsed in Bangladesh, CWM together with Transnational Information Exchange (TIE[13]), supported the creation of a network of trade unions in the garment sector in South Asia, including GAFWU and GATWU. Those two unions collaborated intensively with CWM on issues as a fair minimum wage, developing a bargaining strategy based upon the understanding of the global supply chain, and struggles against workplace violence.

The two unions and PTS have improved their performance in the past period: their trade union membership has increased, some of them have developed grass roots leadership and in particular GATWU effectively participated in the tripartite committee on a wage hike in Karnataka's garment sector.

Apart from the three mostly female trade unions with which CWM interacted intensively in the past years, only some unions of rural workers and tea plantation workers are said to have developed grass roots leaders. It is this performance of the trade unions that explains the extent to which the interest of workers can be defended.

Due to the absence of a solid M&E system, the extent to which other trade unions have increased their membership, their internal performance and their capacity to negotiate with employers and the government is unknown. According to CWM staff however, generally speaking, increasingly workshop costs are borne by trade unions themselves, which is to be interpreted as a principle important for the autonomy of the unions.

In the past two years, apart from its collaboration with TIE, the SPO further expanded its international network with organisations as the Workers' Rights Consortium (WRC)[14], TIE, Rosa Luxembourg Stiftung (RLS)[15] and the International Labour Rights Forum (ILRF)[16]. Those organisations and ActionAID are partly intervening and partly financing CWM's interventions. This expansion is to be interpreted as CWM's strategy becoming more mature in defending its target groups.

CWM's own financial resource base improved since 2011 whereas Hivos' contribution decreased from 48 to 29 percent of all funds available. Two important donors are the Rosa Luxembourg Stiftung and ActionAid, but most donors are more inclined to pay for project costs, rather than institutional costs that were mostly financed with Hivos funding. This new financial situation is seen as a concern.

Score baseline 2013 on an absolute scale from 0-3	**2**
Score end line 2014, relative change on a scale of -2 → +2	**1**

[13] Transnational Information Exchange (TIE) is a global grassroots network of workers active in workplaces and communities. It includes both union and non-union activists in the formal and informal sectors. TIE aims to encourage, organise, and facilitate international consciousness and cooperation among workers and their organisations in various parts of the world. See http://www.tie-germany.org/who_we_are/index.html

[14] Workers' Rights Consortium (WRC) is an independent labour rights monitoring organization, conducting investigations of working conditions in factories around the globe. Their purpose is to combat sweatshops and protect the rights of workers who make apparel and other products. See http://www.workersrights.org/

[15] The Rosa Luxemburg Foundation is one of the largest political education institutions in Germany today and sees itself as part of the intellectual current of democratic socialism. The foundation evolved from a small political group, "Social Analysis and Political Education Association", founded in 1990 in Berlin into a nationwide political education organisation, a discussion forum for critical thought and political alternatives as well a research facility for progressive social analysis. See http://www.rosalux.de/english/foundation.html

[16] International Labor Rights Forum is a human rights organization that advocates for workers globally. See http://www.laborrights.org/about

5.2.3 Practice of Values

Practice of Values refers to the internal practice of values within the civil society arena. Important values that CIVICUS looks at such as transparency, democratic decision making, taking into account diversity that are deemed crucial to gauge not only progressiveness but also the extent to which civil society's practices are coherent with their ideals.

CWM's situation with regards to 'practice of values' has slightly improved since the baseline. CWM aims to ensure accountability at three levels: accountability to the target group; accountability to the board and strong internal audits supported by robust external audits.

Accountability to the target groups has improved by means of a deeper and continuous engagement with trade unions that CWM works with. The absence of a CWM website at the baseline, which has been recommended since 2008, was conspicuous, especially since CWM is in the field of information generation and dissemination. The CWM website is now up, has a news ticker update, but the upcoming events listed and the publications uploaded on the site date from 2012 (observations made in April and October 2014.

At the time of the baseline, four out of the five CWM's *board* members (all male) held posts in workers organisations that were federated in the New Trade Union Initiative (NTUI) as an umbrella organisation of independent trade unions in the organised and unorganised sector.

The new board still counts five persons (one women), two of which represent trade unions and three other members include professionals committed to CWM's objectives but having a wider experience in action research, education and in similar organisations as a means to improve the SPO's performance.

Generally speaking the board has become more diverse in terms of gender and background, and in comparison to the baseline situation, it works more systematically and regularly, which is expected to improve CWM's performance. Factors that have supported the performance of the board consist of more rigorous compliance standards of CWM's funder Rosa Luxembourg Stiftung, the annual review mechanism introduced by Hivos, financing of board meetings and quarterly internal audits.

No changes occurred with regards to external financial auditing, which is mandatory for all NGOs in India.

Score baseline 2013 on an absolute scale from 0-3	**1**
Score end line 2014, relative change on a scale of -2 → +2	**1**

5.2.4 Perception of Impact

Perception of Impact assesses the perceived impact of civil society actors on politics and society as a whole as the consequences of collective action. In this, the perception of both civil society actors (internal) as actors outside civil society (outsiders) is taken into account. Specific sub dimensions for this evaluation are the extent to which the SPO has contributed to engage more people in social or political activities, has contributed to strengthening CSOs and their networks, has influenced public and private sector policies.

Civil society arena - changes
Generally speaking, CWM's impact upon civil society, in particular upon the trade unions that it is working with did not change since the baseline: apart from the capacity of five to six trade unions of the 41 that CWM works with to influence the public and private sector becoming stronger, no other changes occurred. The concerns of all trade unions consist of the right to associate and to collectively bargain; the right to a minimum and a living wage; universal social security and; livelihood and workers' rights[17].

In the garment sector in Karnataka and Tamil Nadu, minimum wages were increased due to interventions of GATWU and GAFWU, that also became active in organising workers in the Special

[17] Project documents

Economic Zone (right to associate and to collectively bargain), and addressed sexual harassment at the work floor (livelihood and workers' rights) in a Special Economic Zone, which was a rare thing as even by law, trade union activities are not allowed within the SEZ premises. Other impacts observed are an increase in membership of unions working in the garment sector; GAFWU started with 103 female members from one Bangalore factory in 2009 and actually counts 694 members from three districts of Karnataka state; increased interactions between GAFWU and PTS which helped to raise the awareness of women regarding their rights in their workspace, as well as grass root leadership. After the Rana Plaza incident both GATWU and GAFWU have joined a South Asian network of trade unions in the garment sector, which will further help to address value chain wide issues in the sector.

A research paper by CWM that relates the prevalent low wages of women workers in the tea plantations of Northern Bengal to a rise in child labour in 2013 [18] brought the issue in the centre of discussion (the right to a minimum and a living wage and livelihoods and workers' rights).

The facilitation of an international fact finding mission on violations of trade union rights at Maruti-Suzuki made the issue a matter of international concern amongst trade unions and democratic rights organisations (right to associate and to collectively bargain). Also efforts were made to link the trade unions in the auto sector to international networks that defend the rights of workers.

Although this impact is important for the five to six trade unions concerned, CWM did not identify other changes in the other 35 unions it works with.

Box 1: Living Wage

The issue of a living wage has gained urgency today, in the context of high inflation rates and increasing income disparities. Real poverty is a large concern of trade unions representing workers in the informal sector. Measurement of poverty and changing government definitions which push down wage norms make it difficult for unions to address the question of wage fixation. Norms like the 15th ILC have become a farce in the face of continuous pressure to push wages down. Trade union representation on wage fixing committees becomes ineffective in the face of absence of reliable and consistent data and analysis. At the same time, weakening of public social security measures available to the poor, further impacts real wages. A systematic region and sector specific series of studies on wages to workers linked to family employment and expenditure patterns, including aspects like incidence of forced employment of children in families of informal sector workers is a priority. The study information also needs to continuously feed into campaigns for fair wages, and is a just method of wage indexing.

Source: Advancing Industrial Democracy for Economic and Social Equality, Centre for Workers' Management: 1 October 2008–30 September 2012

Collaboration with and influencing the public and private sector

CWM, by principle does not engage with the public sector, nor influence their policies. The same applies for the private sector. The organisation seeks to be an anonymous catalyst in the trade union movement. Therefore, the core belief behind all its interventions is that workers must represent themselves, should be self-managed and self-governed; and that CWM's role should only be limited to playing facilitator and enabler. The organisation also states that this is the task of the trade unions that defend the interests of workers. Evidence has been found for the garment sector:

- With support of CWM, in the 2012 – 2014 period, GATWU became a member of the tripartite committee for minimum wages in the garment sector in Karnataka that comprised representatives of the public and the private sector and GATWU as a representative of a trade union.
- This same trade union and GAFWU were successful in raising the minimum wage of the garment sector in Karnataka and in Tamil Nadu.

[18] CWM and ILRF, (April 2013), Brewing Misery: Condition of Working Families in Tea Plantations in West Bengal and Kerala, (April 2013), CWM (Delhi) and International Labour Rights Forum (Washington), *together with two trade unions in the tea plantations – the Paschim Banga Cha Bagan Shramik Karmachari Union (PBCBSKU) (West Bengal) and the Plantation Working Class Union (PWCU) (Kerala), funded by International Labour Rights Forum.*

- On two occasions workers affiliated to GAFWU resisted sexual harassment at the workplace, by filing complaints against it, something that was rare in earlier times.
- One of the two trade unions paved the way for the union's entry into a SEZ for the first time.

No other examples of policy influencing by trade unions that received CWM's support were mentioned by the SPO.

Score baseline 2013 on an absolute scale from 0-3	**1**
Score end line 2014, relative change on a scale of -2 → +2	**0**

5.2.5 Civil Society Environment

The social, political and economic environment in which civil society operates affects its room for manoeuvre. The civil society context has been described in chapter 3. In this section we describe how NNET is coping with that context.

While the past two years have seen new challenges thrust upon workers and unions, the backdrop has been consistently bleak. As Hivos' 2012-2014 contract with CWM sums up, the situation of labour in India is in a churn of an unprecedented order due to pro-market and liberal policies for some years. Even in the formal sector informal employment has increased from 39 to 46 per cent between 1990 and 2005 and is estimated at 51 per cent for 2010. This growing informality has put pressure on wages, and working conditions are far below those of standard employment, adversely impacting not just the formal but also the informal sector.

Other than this, the economic downturn, consequent retrenchment, increasing contractualisation of the workforce and spiralling inflation between 2012 and 2014 provided for a particularly difficult environment for workers. Controversies on mining contracts between government and the corporates multiplied; these were about violations of environmental norms and displacement issues impacting livelihoods of indigenous people and rural workers. Rural to urban migration continued unabated despite NREGA, which still suffers from widespread corruption and inappropriate implementation.

The right to dissent, meanwhile, has been under attack. Attempts at unionising and union struggles are met with increasing employer repression; often the government and police are complicit. The Maruti-Suzuki automobile workers brought to attention the attack on right to association and spread of contract employment in all forms of work[19]. The struggles against displacement in Jagatsinghpur and Niyamgiri in Orissa, and around nuclear power generation sites in Kudamkulam, all brought to fore the contradictions between unregulated industrialisation and democratic rights.

The Foreign Contribution (Regulation) Act 2010 challenged CWM further, because it prohibits the use of foreign fund for unionisation. Those working with unions now have to be extra cautious that their foreign-funded activities are not linked with union formation.

Although CWM states that engaging with new national and international workers' networks will bring to the fore issues and concerns of women workers and those working in the auto industries, generally speaking, CWM did not develop coping strategies to counter these tendencies; its strategies of working with trade unions remained the same, apart from minor changes in terms of intensifying the nature of the support.

Score baseline 2013 on an absolute scale from 0-3	**1**
Score end line 2014, relative change on a scale of -2 → +2	**-1**

[19] See i) *Workers' struggle in Maruti Suzuki*. See http://www.thehindu.com/opinion/op-ed/workers-struggle-in-maruti-suzuki/article2490903.ece ii) *Jailed Maruti Suzuki workers in India continue to be denied bail.* See http://www.wsws.org/en/articles/2014/07/01/maru-j01.html iii) *25 months... and no relief for 148 jailed Maruti workers.* See http://news.oneindia.in/chandigarh/25-months-and-no-relief-for-148-jailed-maruti-workers-1508363.html

5.3 To what degree are the changes identified attributable to the interventions of the Southern partners?

This paragraph assesses the extent to which some outcomes achieved can be "attributed" to CWM. Starting with an outcome, the evaluation team developed a model of change that identifies different pathways that possibly explain the outcome achieved. Data collection was done to obtain evidence that confirms or rejects each of these pathways. Based upon this assessment, the evaluation team concludes about the most plausible explanation of the outcome and the most plausible relation between (parts of) pathways and the outcome. The relations between the pathways and the outcomes can differ in nature as is being explained in table 4.

Table 4

Nature of the relation between parts in the Model of Change

Nature of the relation between parts and other parts or outcome	
The part is the only causal explanation for the outcome. No other interventions or factors explain it. (necessary and sufficient)	
The part does not explain the outcome at all: other subcomponents explain the outcomes.	
The part explains the outcome but other parts explain the outcome as well: there are multiple pathways (sufficient but not necessary)	
The part is a condition for the outcome but won't make it happen without other factors (necessary but not sufficient)	
The part is a contributory cause it is part of a 'package' of causal actors and factors that together are sufficient to produce the intended effect.	

Sources: Mayne, 2012; Stern et al, 2012

The following paragraph assesses CWM's contribution to two outcomes. Each paragraph first describes the outcome achieved and the evidence obtained to confirm that the outcome has been achieved. It then presents the pathways identified that possibly explain the outcomes, as well as present information that confirms or refutes these pathways. The last section concludes in the first place about the most plausible explanation of the outcome, followed by a conclusion regarding the role of the SPO in explaining the outcome.

5.3.1 Strategic Orientation 1: Civic Engagement

The outcome achieved

Two Chennai-based unions, Garments and Fashions Workers Union (GAFWU) and Penn Thozhilalargal Sangam (PTS) have enhanced their membership, as well as the quality of women's engagement in trade unions.

In the 2011 – 2014 period, membership and the quality of women's engagement in two trade unions, that of the Chennai-based unions, GAFWU and PTS has improved. These unions are defending the interests of workers in the garment sector and the domestic-help sector, by nature female oriented sectors.

The membership of PTS grew from 297 persons in 2001 to 18300 in 2013 and PTS only has female members. The average annual growth (32 percent) was however more spectacular before 2011 than between 2011 and 2013 (10 percent). Whereas the union had 4 branches in 2007, in 2014 it had 145 branches, implying that the union is now present in many more places than earlier. Since 2008, the number of second level leaders in PTS has increased from 3 to 15 in 2014 and also the number of local leaders at branch level has increased.

The membership of GAFWU has increased from 112 persons in 2009 to 723 persons in 2013. Female membership has oscillated over these years between 85 percent (2012) and 96 percent (2013). Its most spectacular growth was in 2010 (55 percent), whereas the average growth as of 2011 is 29 percent. The number of factories where GAFWU is active has increased from one factory in 2009 to five factories in 2014. Despite not being an all women union, currently all GAFWU's leadership - first, second and third rung – constitutes of female members.

Pathways that explain the outcome and information that confirms or rejects these pathways

1. The *first* pathway that possibly explains the outcome is the support given by CWM since at least 2008.

Information *that confirms* this:
CWM, together with Malarchi has worked with GAFWU and PTS since 2008 by means of capacity building, conducting research as an input to conduct evidence–based advocacy, and by coaching them to design their advocacy strategy.

Also *before* MFS II, GAFWU managed to influence the Tamil Nadu Minimum Wage Committee to pass a wage revision and PTS was successful in including domestic workers as a category eligible for a minimum wage (2009). This campaign was supported by CWM that developed a template for computing a need-based minimum wage indexed to inflation which was tested and finalised by workers organisations at a workshop in 2008. This template was used by GAFWU to negotiate improved wages. Other support consisted of: capacity building efforts for both trade unions in collaboration with Malarchi, and; research on collective bargaining with PTS.

During MFS II, CWM changed the way it works with both trade unions in Tamil Nadu and another Karnataka-based union in the garment sector (GATWU). Firstly, all three unions were clubbed together because they were working in female dominated sectors. Secondly, the content was re-designed with the target group and modified during courses and workshops when necessary; participants decided upon their follow-up strategies and plans of action, rather than CWM; more women (also from the second level rung) per union participated in the workshops and courses; more focus group discussions took place with target groups. Thirdly, CWM supported both GATWU and GAFWU to prepare workers' testimonies to be submitted to a people's tribunal in Bangalore, discussing working conditions in the garment sector. Fourthly, CWM conducted research on global supply chains in the garment sector and informed both GATWU and GAFWU about the results, which helped those unions and CWM realise the role of local factories in the global supply chains. As a consequence of which they also convinced them to change part of their campaign strategies to target the brands for better wages. This was followed up by a workshop in November 2013 during which they developed bargaining strategies within a tripartite framework. This framework also included international brands in the negotiations involved for better working conditions.

Both PTS and GAFWU confirmed that CWM, as a resource centre, has played an important role in increasing their capacities to defend female workers in their work place. In consequence membership has increased, as women experienced improvements in their working place and in their salaries.

2. The *second* pathway that possibly explains the outcome consists of other unions and resource centres having engaged with the garment sector and domestic workers in Tamil Nadu.
   Information that *confirms* this pathway: PTS and Malarchi combined resources to conduct the study on Minimum Wages across sectors by the end of 2013, in line with the 2012 survey which was supported by CWM. The findings were circulated among workers of different unions and the labour department of the government, followed by public meetings in worker-dominated areas. PTS also informed NTUI about the findings of the study and made recommendations to NTUI's work and policies.
   CWM, together with Transnational Information Exchange (TIE)[20], helped both GATWU and GAFWU to integrate a South Asian network of trade unions. The International Union League for Brand Responsibility attended the above mentioned November 2013 workshop during which bargaining strategies including international brands were developed

3. The *third* pathway that possibly explains the increase in union membership consists of Tamil Nadu enjoying some of the best human development indicators in India. This, in turn, is assumed to

[20] Transnational Information Exchange is a global grassroots network of workers active in workplaces and communities. It includes both union and non-union activists in the formal and informal sectors. TIE aims to encourage, organise, and facilitate international consciousness and cooperation among workers and their organisations in various parts of the world. See http://www.tie-germany.org/who_we_are/index.html

have positively influenced the working conditions of women and their increased participation in Trade Unions.

Information that *confirms* this pathway comes from CWM staffs who state that the government's welfare schemes reach target groups effectively and efficiently, that the state is ensuring the provision of maternity benefits, pensions and better working conditions for women in particular. Indian Human Development reports also confirm the comparatively high human development indicators.

Information that *rejects* this pathway comes from both PTS and GAFWU who state that despite higher gender indicators for Tamil Nadu in reports, practice and reality are really different because most of the state provisions do not reach their constituents, who are among the poorest of the poor. These statements are confirmed by reports and articles that highlight the difficult environment for activism, including labour rights in general.

4. The *fourth pathway* explains increases in membership because GAFWU and PTS already successfully influenced the government in the past.
   As already mentioned above, GAFWU's most spectacular growth was in 2010, one year after they had successfully influenced the minimum wage committee to pass a revision in 2009. The most spectacular growth of PTS occurred however in 2006, *before* it successfully influenced the same committee to make domestic workers eligible for minimum wages. PTS' average annual growth in membership and that of GAFWU were higher before MFS II than during MFS II, however membership figures of 2014 and 2015 are missing.

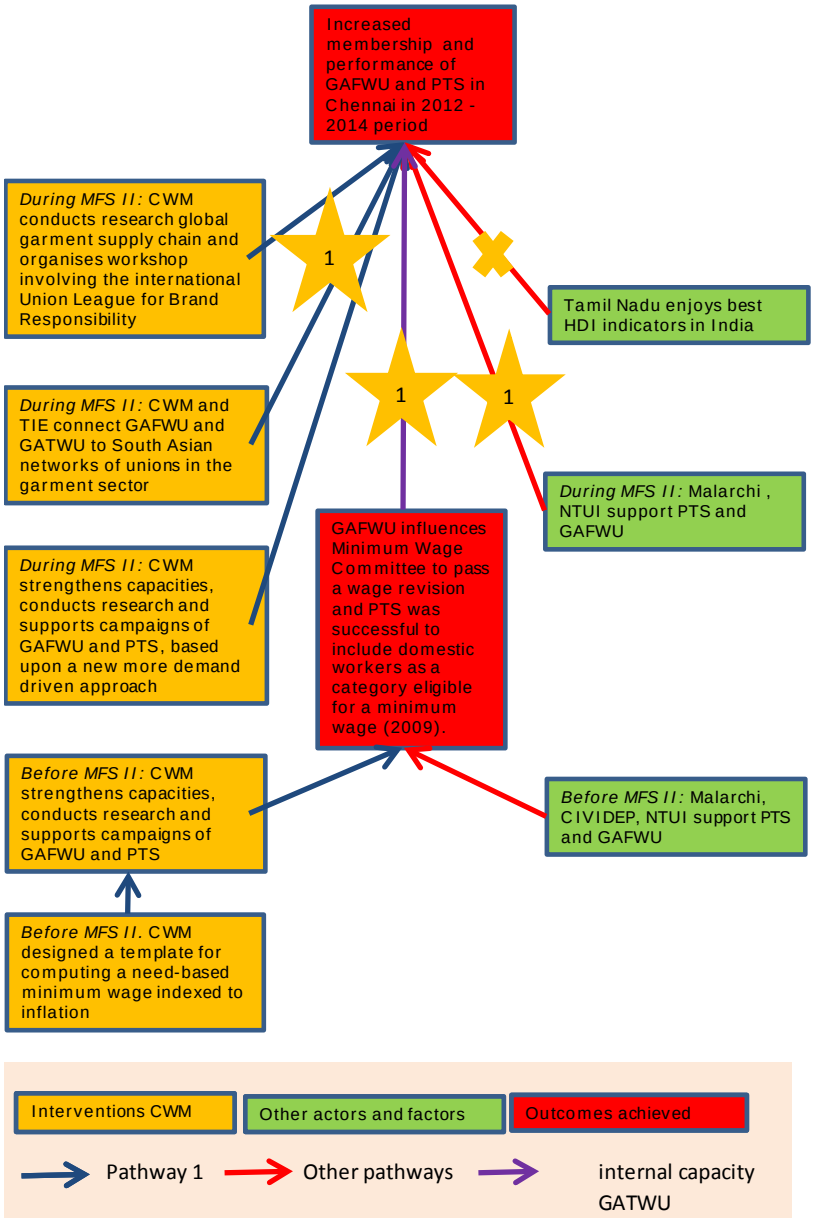

Figure 1 Pathways that possibly explain outcomes and conclusions about the nature of the relations between pathways and the outcome, GAFWU and PTS

Conclusions

Based upon the analysis of the information available, we conclude that the most plausible explanation for the increased female membership of GAFWU and PTS are to be explained by a combination of the role played by the unions themselves in terms of conducting wage surveys, campaigning and negotiating minimum wage hikes (pathway 4), in collaboration with CWM (pathway 1), other actors (pathway 2). These three are part of a causal package that together is minimally sufficient and necessary to explain the outcome. An other factors that might have contributed to this increased membership is the collapse of the eight store garment factory in April 2013 in Bangladesh that received a lot of media attention and mobilised western countries in addressing working conditions in the garment sector by targeting the international brands.

CWM's collaboration with both GAFWU and PTS had already began before the MFS II phase when it started to disseminate a template to calculate a need-based minimum wage indexed to inflation which was finalised in 2007. This template has been used in particular by GAFWU *before and during MFS II* to calculate minimum wages in the sector as an input to lobby for minimum wage hikes. Apart from this, regular courses and workshops organised since 2008 have helped the unions to improve their performance and become more effective in defending the rights of their constituents. CWM's engagement with international actors, resulting in its 2013 research of the global supply chains to

which both Karnataka and Tamil Nadu based factories are related, as well as their support to integrate GATWU and GAFWU in a South Asian network of unions, further helped to increase the performance of the trade unions.

5.3.2 Strategic Orientation 2: Strengthening IOs

Outcome

The capacity of Garment and Textile Workers Union (GATWU) in Karnataka state to influence policies and practices, and in particular in relation to a rise in the minimum wages in the garment sector and the implementation of Dearness Allowance (DA) norms in Karnataka.

GATWU was officially created in 2006, currently it has some 6500 members and it democratically elected its Executive Committee for the first time in 2011. It carries out awareness raising programmes at the gates of factories, has trained 15,000 workers, supports them to get access to government welfare schemes, and mobilises them for lobby and advocacy activities. Apart from this its intention is to conduct an annual wage survey as of 2012. GATWU is a member of NTUI and the International Union League for Brand Responsibility, has a number of local allies including Alternative Law Forum (ALF), and international allies, including Worker Rights Consortium (WRC), International Labour Rights Forum (ILRF) and Clean Clothes Campaign (CCC). Since its creation it has influenced policies and their implementation of both factories and the government of Karnataka[21]. No other trade unions exist in Karnataka that organise the workers in the garment sector, 90 percent of which are female.

Evidence for the outcome

Following a direction of the High Court of Karnataka, the tripartite Minimum Wage Advisory Board of workers, managements and government representatives was again established and it decided upon a revision of minimum wages in the garment sector. GATWU was the only trade union which was an official member of the Advisory Board. The new notification of April 2014 provides for an increase in the daily wages by an average of Rs. 60 a day, inclusive of the Dearness Allowance which is applicable since April 2013. Some 400,000 workers are supposed to be benefitting from this wage hike which is the highest one-time increase in minimum wages since 1979.[22]

The wage hike is the result of a long itinerary that started in 2009, when the labour department of the government published a notification announcing a wage hike, which was refused by employers and not enforced by the government that in 2010 also published a new notification with a lower wage hike. In consequence GATWU went to the High Court which in a March 2013 ruling ordered that wages should be revised after tripartite talks.

Also the 2009 wage hike is to be explained by lobby efforts of GATWU, in collaboration with support from CWM, NTUI and WRC at the international level.

With regards to the Dearness Allowance, due to the pressure of GATWU all Bangalore major exporters except for one paid the DA for 2013. GATWU started with an awareness campaign through gate meetings and distributed pamphlets to help workers to learn their rights. In 2011-2012 it was supported by its international allies-Clean Clothes Campaign and Workers Rights Consortium and together they took up the issue with manufacturers and brands[23]. The union estimates its intervention has helped over 100,000 workers to get an additional Rs.408 per month as DA. This is a significant amount, being nearly 10 percent of the wage of the workers. [24]

[21] Website GATWU
[22] Source: The Hindu: Highest one-time hike in minimum wages, 1 May 2014.
[23] Website GATWU
[24] Issues of Garment Sector Labour and the Global Supply Chain: Some learnings from Bangalore (April 2013)

Pathways that explain the outcome and information that confirms or rejects these pathways.

1. The first pathway explains the outcomes achieved through collaboration with CWM.

   Information that *confirms* this pathway

   Minimum-wage surveys initiated by CWM

   GATWU and WRC credit CWM for having developed in 2007 the template for computing a need-based minimum wage indexed to inflation. GATWU and CWM conducted a survey in 2012 to calculate the minimum wage. In 2013 GATWU was sufficiently capacitated to conduct a second survey more independently from CWM. The findings of these surveys are discussed with workers as a means to raise their awareness. GATWU aims to conduct these surveys annually but no evidence has been found that such a survey was conducted in 2014.[25][26][27] The minimum wage calculations were used as an input by GATWU to negotiate the revision of the official minimum wages set by the government of Karnataka. According to CWM, GATWU was very effective in the tripartite minimum wage sub-committee where minimum wages were discussed.
   Workers' Rights Consortium (WRC) observes that workers organisations supported by CWM have all been active in addressing issues of minimum wages and garment sector workers' rights. Many activists in the sector can now explain the legal provisions for minimum wages in the state.

   Nature of the collaboration with CWM

   As already mentioned in the previous paragraph concerning GAFWU and PTS, CWM has changed its approach of working with the three trade unions during MFS II. CWM intensified its support to the garment sector by clubbing the three unions together where possible. It changed its training and workshop approach, making these more demand driven and participatory, involving more than before the second and occasionally the third tier of the union to plan for future actions. GATWU states that their understanding on minimum wages and other issues like female workers' conditions at the workplace has improved through their relations with network partners like CWM. They ask for CWM support when required. Other respondents like ALF and All India Trade Union Congress (AITUC) confirm that CWM provides an added value to GATWU, because of their trade union experience and that these have had a huge impact on garment sector workers in Bangalore. AITUC also states that no other trade union is capable of representing the garment sector workers and that AITUC failed to do so. The same respondent also states that AITUC asks CWM's support from time to time.

   International orientation of CWM increased

   Since the baseline study, CWM has also increasingly tried to assess the position of workers and Indian factories into the global value chain and the global brands that these factories are working for. At the same time they have developed a new campaign strategy that targets these international brands that are sensible to consumer pressure as a means to introduce change at the shop-floor. Meanwhile they have engaged with other NGOs to engage their constituent unions in international union networks. Concrete examples given are the following:

   - Together with Transnational Information Exchange (TIE), CWM set up a network of South Asian trade unions in the garment sector, including GATWU and GAFWU.
   - CWM conducted global supply chain studies in the garment sector and concluded that informing brands about workers' conditions could possibly increase pressure upon local factories to improve these conditions.[28][29]
   - November 2013, CWM, GATWU, GAFWU and Union League for Brand Responsibility, which is new globally working league, discussed minimum wage situation in the sector and developed an

[25] Wages and Employment Relations among Garment Workers in Bangalore (September 2013)
[26] Workshop for PTS – GAFWU activists and members in Chennai (May 2013)
[27] Wage Survey of Garments Sector in Bangalore (2012)
[28] Issues of Garment Sector Labour and the Global Supply Chain: Some learnings from Bangalore (April 2013)
[29] *a study on the global supply chain prepared by CWM for garment sector in Bangalore in 2013*

understanding wage campaign including bargaining strategies within a tripartite framework, and also using international brand in negotiations.

- Further, it engages in a constant dialogue with TIE and WRC, and is currently facilitating the interaction of garment workers from Bangladesh with different organisations in Germany around the cause of Rana Plaza collapse of Bangladesh.[30]

Information that rejects this pathway

In the first place the evaluators observe that GATWU was already internationally oriented *before* CWM came to the conclusion that targeting consumer sensitive global brands helps to introduce changes at the work floor in Karnataka state. GATWU has campaigned with the Clean Clothes Campaign (CCC) since 2005 – 2006, targeting G-Star in the Netherlands and their supplier FFI in Karnataka. Although this campaign was a very tough one, gaining global media attention whilst GATWU and NTUI were brought to court by FFI, the campaign informed GATWU's future campaigns to include international brands. With the newly established international Union League for Brand Responsibility (2012), GATWU is organising workers in three factories that produce for Adidas[31].

In the second place, WRC already published the relations between the garment factories in Karnataka and international brands in March 2010, based upon which they started organising meetings of unions with representatives of international brands to reinstate the wage hike notification of 2009[32].

In the third place, no evidence was found that CWM played a role with regards to the Dearness Allowance Campaign that in 2013 resulted in all but one factory paying the DA conform regulations. GATWU's website states that CCC and WRC helped the union to increase the pressure through the brands, whilst GATWU spread the awareness of workers through gate meetings, pamphlet distributions, other meetings and training. Mohan Mani (2014) from CWM confirms this in his writings.[33]

[30] See *Rana Plaza: A look into garment sector one year after the workplace tragedy,* http://www.thedailystar.net/rana-plaza

[31] Ashok Kumar, 2014, Interwoven threads: Building a labour countermovement in Bangalore's export-oriented garment industry, in CITY 2014 VOL18, NO. 6, 789–807, http://dx.doi.org/10.1080/13604813.2014.962894

[32] http://digitalcommons.ilr.cornell.edu/cgi/viewcontent.cgi?article=2147&context=globaldocs

[33] Mohan Mani, January 2014, "Ready Made"-Garments in India: Manufacturing cheap commodities in Global South, for the Global North, CWM and Rosa Luxembourg Stiftung South Asia

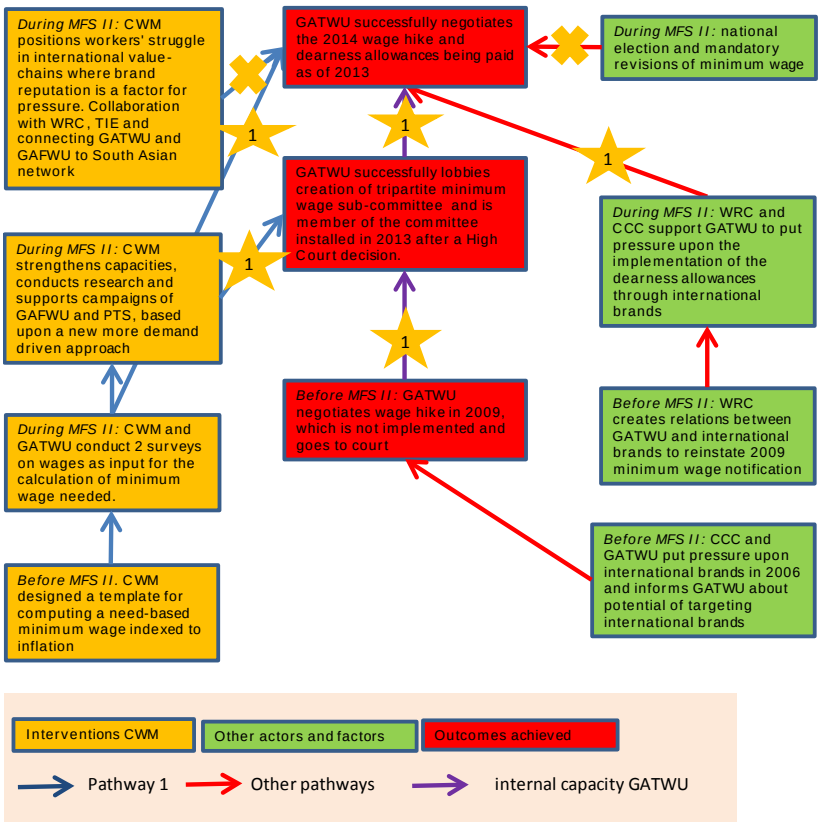

Figure 2 *Pathways that possibly explain outcomes and conclusions about the nature of the relations between pathways and the outcome, GATWU*

2. The second pathway consists of international pressure explaining the wage hike notification of 2014 and the payment of the Dearness Allowances in 2013, as a result of the collapse of the eight store Bangladeshi garment factory in April 2013; Rana Plaza.

   The Rana Plaza accident raised the awareness of EU countries and the US that changes in the garment sector are necessary. Seven OECD countries called on companies to "*donate generously to the [Rana Plaza Donor] Trust Fund, either for the first time or with a second contribution to come to an appropriate amount*" in June 2014. But funds are still missing and some of the brands are refusing to compensate the victims of the collapse of the eight store high factory[34].
   Apart from this wakeup call of OECD countries, the Dutch and the German Governments endorsed the principle of a living wage being paid to workers in the garment sector in 2013, but until so far these principles have not (yet) been operationalised by the sector itself[35]. These commitments were made during a conference convened by both governments in November 2013, regrouping business, international organisations, NGOs and trade unions, including GATWU, CCC and NTUI. No evidence has been found so far that these initiatives have contributed to an improvement of the working situation in the factories of Karnataka state.

3. The 2014 wage hike in Karnataka state is explained by means of the 2014 national elections or because wages need to be revised every three to five years, which is mandatory according to the Minimum Wage Act.
   No evidence was found that the national elections and the mandatory review of minimum wages explain the wage hike of 2014, nor those wage hikes of 2001 and 2009, the last of which only became effective in 2014. According to GATWU many wage hikes notified by the government have

[34] http://www.tuac.org/en/public/e-docs/00/00/0E/D8/document_news.phtml
[35] http://www.cleanclothes.org/news/2013/11/26/living-wage-conference-2013-berlin-25-26-november-2013

been stayed because of industry opposition in 1979, 1986, 1993, 2001, 2007 and 2009.
The three to five year mandatory revisions of the minimum wage did not occur in the garment sector in Karnataka either: the 2009 wage hike notification (not implemented) followed a previous notification of 2001. Between 2001 and 2014, no other notifications became effective.

Conclusion:
The most plausible explanation of GATWU's capacity to successfully negotiate wage hikes and ensure that dearness allowances are being paid is a combination of causes:

- In the first place, GATWU's has proven to be a mature grass root worker organisation before MFS II because it already successfully negotiated the 2009 wage hike, which unfortunately did not materialize and already worked with the CCC in the 2005-2006 period without interventions from CWM.
- In the second place, GATWU has received support from both WRC and CCC before and during MFS II, in particular in terms of becoming aware that exercising pressure through international brands helps to improve workers' conditions as of 2006 and beyond, before CWM started to realise the importance of chain-wide thinking during MFS II period.
- In the third place, CWM's technical support to calculate need-based minimum wages as a starting point for negotiations, as well as their support to GATWU's negotiations with the industry and the government.

These three causes are part of the *causal package* that explains the outcomes obtained during MFS II. Together they are a *minimally sufficient and necessary explanation* of the outcome.
The evaluators did not find a causal relation between CWM's efforts during MFS II to support GATWU at the international level, because GATWU already realised the importance of this as of 2006. Also the mandatory three to five year minimum wage revisions and the national elections do not explain the outcomes achieved.

The most important role of CWM in explaining the outcome starts with the template it made to compute a need-based minimum wage, indexed for inflation in 2007, which was used by GATWU in 2012 and 2013 to calculate minimum wages needed as a means to raise the awareness of garment sector workers and to continue negotiations with the government and the industry. Its second important contribution is the collaboration and guidance it offers upon request and which has become more demand driven since MFS II.

5.4 What is the relevance of these changes?

5.4.1 Relevance of the changes in relation to the Theory of Change of 2012

According to the ToC of 2012, CWM's ultimate goal is an 'Equitable and socially just society'. In order to achieve this, CWM works towards the creation of a 'new generation of workers and activists' that requires a new kind of leadership - the worker activist- that needs to reinsure the right to collective bargaining, also in Special Economic Zones and; that needs to create sound politically independent trade unions. Also the further democratisation among trade unions' is needed in order promote this new generation of workers and worker –activists, which would lead to more dialogue, more sharing, and decision making based upon consensus. Both conditions would lead to 'unity among workers', as well as to the 'right to association' and the 'right to collective bargaining', which, would further ensure that trade unions working together for the larger cause of 'universal security' and 'income based taxation', impacting the conditions of all the workers across sectors. Further, 'democratic industrialisation' would enable an atmosphere where the needs of the workers will be voiced, heard and addressed. In this pathway, the role of CWM perceives for itself, focuses on the 'emergence of new generation of workers activists' and 'trade union democratisation'. They intervene by means of documentation and research to discover significant moments in trade union history as a way to chart out the best way forward from the past and present learnings.

The changes achieved by the five to six trade unions that CWM worked with still relevant in the light of its 2012 ToC but in comparison the total number of unions that it works with these are minimal changes.

5.4.2 Relevance of the changes in relation to the context in which the SPO is operating

The present day civil society context relating to labour and labour rights in India has been in the making for long, especially so since Liberalisation set off economic reforms in 1991. The public sector steadily declined since, privatisation brought in contractualisation of a kind that ignored labour rights and union activities saw a downfall.

The increase in use of contract labour—workers hired on temporary contracts through government-licensed intermediary or contractors—by industries, has led to increasing incidences of industrial violence.[36] This is mainly because of the exploitative nature of this form of labour. By hiring contract labourers industries are able to cut down on costs and increase profits, this is on the cost of the workers experiencing, "anxiety over job security, lack of social security, exploitation at the hands of contractors, low wages, unequal treatment by trade unions and abusive behaviour from permanent workers and supervisors".[37]

Most recently, the Manesar Plant (Haryana) of Maruti Suzuki India Ltd. witnessed industrial violence. The workers at the plant organised protests in August 2011 against the dismissal of 60 of their colleagues and the company's refusal to accept the Maruti Suzuki Employees Union (MSEU). In July 2012, the skirmishes between the management and the workers culminated with the death of the HR manager and also, injured 100 people of the management by the rioting workers. The plant was subsequently shut for a month following this incidence, and 500 permanent and 1800 contract workers were dismissed. The Haryana police arrested 147 workers in connection to this, they are still in prison.[38] There have been other instances of industrial violence, caused by friction between the workers and the management. In 2008, the CEO of Graziano Transmissioni India, an auto component maker, was beaten to death by 200 workers. In November 2010, an Assistant General Manager of Allied Nippon, again an auto parts maker, was stoned to death by angry workers. In March 2011, a Deputy General Manager of Powmex Steel, was killed when the workers set his car on fire.[39]

It is under this contextual landscape that organisations like Centre for Workers' Management (CWM) work. Their work is increasingly shaped by these growing challenges and issues faced by the labourers.

Apart from this local context, since the baseline and maybe triggered by the Rana Plaza incident, CWM has made efforts to position workers in global value chains, which helped to realise that not only the Indian industries and the Indian government need to be addressed, but also international brands that source from Indian factories. CWM's work is highly relevant, but its effectiveness over the past two years shows that it is not capable to significantly contribute to changing the context.

5.4.3 Relevance of the changes in relation to the policies of the MFS II alliance and Hivos

CWM has been a partner of Hivos for more than 10 years. At the time of concluding the 2012 -2014 contract Hivos stated that CWM's work fitted into its 'Rights and Citizenship programme in India which intensely focused on the informal sector. CWM was Hivos' only partner that maintained relations with worker organisations in both the formal and informal labour sector, reaching out to 41 trade unions and 700,000 workers (40% women) of both the formal and informal sector. CWM has been a partner of Hivos for more than 10 years. At the time of concluding the 2012 -2014 contract Hivos stated that CWM's work fitted into its 'Rights and Citizenship programme in India which intensely focused on the informal sector. CWM was Hivos' only partner that maintained relations with worker organisations in both the formal and informal labour sector, reaching out to 41 trade unions and 700000 workers (40%

[36] *Refer,* http://www.livemint.com/Opinion/xddBTUfaNF9wszqqu53FyK/The-rising-use-of-contract-workers-is-globalization-respons.html
[37] *Refer,* http://www.ficci.com/spdocument/20189/Industrial-Relations-and-Contract-Labour-in-India.pdf
[38] *Refer,* http://www.thehindu.com/opinion/op-ed/workers-struggle-in-maruti-suzuki/article2490903.ece
[39] *Refer,* http://www.ficci.com/spdocument/20189/Industrial-Relations-and-Contract-Labour-in-India.pdf

women) of both the formal and informal sector. The contribution of the workers' organisations in the creation and strengthening of the New Trade Union Initiative (NTUI) in the beginning of the decennium has provided a fresh perspective on issues of labour and law that are non-political party aligned and representative of a wider mix of workers (everyone from sex workers to metal workers).

Apart from this, according to Hivos in 2012, CWM was at a critical juncture as far as its institutional history is concerned because they intended to create a Workers School in 2013. This school envisaged to be a process where second line leaders within trade unions would be equipped with sector-specific knowledge as well as pedagogical understandings of the economy to be able to do their job better. Further Hivos hoped to collaborate with CWM to support other Hivos partners to refine an advocacy agenda on the issue of Agricultural Labour/employment[40].

When looking back at CWM in 2014, with Hivos' support CWM was to introduce changes in its institutional set-up in the 2012 – 2-14 period as recommended already in 2008. However CWM did not make any progress on the workers' school since the baseline and failed to clearly position itself as such an institute that is capable to do research and education.

5.5 Explaining factors

5.5.1 Internal factors

Hivos conducted a capability assessment in 2012 which is presented in the following table.

Its average score for the capability to act and commit is 5.3 on a scale of 1 (lowest score) to 9 (highest score). The major observation made by Hivos is that CWM had to reconstitute its board by December 2012, which has been done. The performance of the new board seems to have improved in comparison to the board that was in place in 2012. Barring Gautam Mody, CWM's director until 2012, and who is now NTUI's General Secretary, none of the other CWM board members are on NTUI's board which indicates that the separation between CWM and any one other organisation, recommended since 2008, is slowly materialising.

Its average score for the capability to perform is a 4.8 explained by Hivos' observation that its strategic and operational planning, monitoring and evaluation procedures needed to be revised in order to ensure monitoring not only at output, but also at outcome level, as well as the relevance of outputs delivered. These systems were meant to engage the organisation into a critical reflection on its position in the wider labour context and its added value. CWM has not improved these systems since 2012.

Its capability to relate was assessed at 6 points and mentions in particular relations with trade unions. Since 2012, CWM has strengthened its relations with many other actors and seeks their collaboration to jointly work with worker organisations. However relations with trade unions only concentrate upon some intensively.

CWM's capability to adapt and self-renew was appreciated with an average of 6 points, because the 2008 external evaluation had concluded that the organisation responds adequately to trends and changes in the context and uses up-to-date strategies and knowledge. Since 2012, CWM has made its collaboration with worker organisations more demand-driven and including a more global value chain perspective together with other actors. Whilst these confirm CWM's capacity to adapt and self-renew, CWM's added value in the labour sector would increase if it were able to become more effective in working with more trade unions. The evaluation team also questions CWM's capability to adapt and self-renew in relation to the recommendations made by an external evaluation team, of which some have been implemented as of 2012 only and some are still pending, such as is the case of the website, which is not being maintained.

[40] Contract Intake Form, Hivos, September 2012

Its capability to maintain consistency scored 5 points in 2012: CWM at that moment in time was aware of the need for an organisational restructuring as well as the need to strike a balance between working with trade unions on a day to day basis and upon demand on the one side, and its own strategic priorities; that of creating a workers' school and more engagement with larger policy issues. No changes were observed regarding this in this 2014.

Under the same capability Hivos observes that CWM is addressing gender sensitive issues at the workplace of female workers and has been recruiting female staff to further develop the issue.

Since 2012, when CWM counted 16 staff members of which 7 female, CWM has grown in staff numbers: at the end of 2013 it had 3 principal researchers; 1 campaign coordinator; 5 researchers & educators; 5 administrative and financial staff and 13 campaign staff. How many of these are female is unknown.[41] The evaluation team did not find evidence that this increase in staff helped to serve more trade unions or to implement other activities that fit into CWM's vision and mission.

Table 5

CWM capabilities' assessment 2012

1 is lowest score - highly unsatisfactory
9 is highest score - highly satisfactory
unknown score possible in first year

	Capability	Scores
1	**Capability to act and commit**	**5.3**
1.1	The organisation has a clear purpose and acts on decisions collectively. The leadership is accepted by staff, inspiring, action-oriented and reliable	6
1.2	The organisation is capable to mobilise sufficient financial resources, and (where relevant) non material resources from members/ supporters.	4
1.3	The organisation is internally transparant and accountable. (Relations between staff, direction and board; quality of decision-making process)	6
2	**Capability to perform**	**4.8**
2.1	The number, composition and expertise of staff is adequate in view of the organisation's objectives and programmes. (Indicate when there is high staff turnover)	5
2.2	The organisation has a coherent and realistic strategic plan. (Context and problem analysis; Theory of Change; quality of formulation of objectives, intended results and indicators; explanation of strategic choices)	4
2.3	The quality of financial and administrative management is adequate. (Budget, funding plan, financial management, financial report)	6
2.4	The organisation has an appropriate monitoring and evaluation process (documentation & data collection, involvement of stakeholders, quality of analysis and learning) and uses it for accountability and learning purposes.	4
3	**Capability to relate**	**6**
3.1	The organisation maintains relevant institutional relationships with external stakeholders and is seen as credible and legitimate. (Indicate main strategic relationships and collaboration with other actors)	7
3.2	The organisation is accountable to and communicates effectively with its primary constituents/ beneficiaries. (Describe downward or horizontal accountability process; specify for women)	5
4	Capability to adapt and self-renew	6
4.1	The organisation (management) responds adequately to trends and changes in the context and uses up-to-date strategies and knowledge.	8
4.2	The organisation (management) encourages and supports internal learning and reflection processes. (Conditions, incentives)	4
5	**C5.1: Capability to maintain consistency**	**5**
5.1	The organisation is capable to maintain consistency between ambition, vision, strategy and operations. The management is able to deal strategically with external pressure and conflicting demands.	5
5.2	To what extent has the organisation formulated objectives with regard to the position of women and issues of gender equality?	6
5.3	To what extent does the organisation have internal gender expertise?	4

[41] CWM, annual review 2013

	Capability	Scores
5.4	To what extent does the organisation maintain relations with key GW&D actors in its context, e.g. women's movement, women's organisations, gender experts?	
5.5	What is the percentage of women working in the organisation?	30% - 40%
5.6	To what extent is staff working in management or senior staff positions female?	> 50%

Source: Hivos, September 2012, Partner Capacity Assessment Form

5.5.2 External factors

Apart from the worsening context for labourers in both the formal and informal sector, no other external factors explain the findings of this evaluation.

5.5.3 Relation CFA-SPO

Hivos closed its office in Bangalore in 2013 and a new office was opened in Mumbai in 2014. The last liaison officer that worked with CWM since 2010 quit her job in 2012. Since then the new Hivos office did not follow up on the contract with CWM. CWM has appreciated Hivos' support that helped to support institutional costs. Other donors are more inclined to pay for programme activities.
Hivos, together with Rosa Luxembourg Stiftung also provided technical support to CWM, in particular to create a new board which brings a diverse experience set to evolve and monitor its programme.

6 Discussion

6.1 Design of the intervention and replicability

There is a gap between CWM's vision, mission and the 2012 Theory of Change that reflect highly ideological ambitions which are relevant in India's context on the one side and its intervention strategies on the other side that basically comprise training, research& documentation and support of trade unions in their campaigns. The relations between these three outputs and the concerns of all trade unions which are; the right to associate and to collectively bargain, the right to a minimum and a living wage, universal social security and, livelihood and workers' rights are not clear and not reflected in the project documents. Perhaps they were only materialised in the garment sector and the domestic worker sector with three of the 41 trade unions that CWM works with.

The organisation continued to reply to demands coming from day-to-day base and failed to scale up its efforts by thinking more strategically as it wished to do, including the creation of a worker activist school[42].

With the constitution of a new board that apart from trade union activists also counts academia and other experts, CWM is expected to set clearer strategic priorities in the coming years and implementing these.

The intervention is not suitable for replication, because it would not effectively and efficiently lead to sustainable development outcomes.

[42] Baseline workshop information

7 Conclusion

Changes in the civil society arena of the SPO
In the 2012 – 2014 period, the two most important changes that took place in the civil society arena of CWM are related to 'level of organisation' and 'practice of values'.

With regards to level of organisation, CWM intensified its interactions with a limited number of trade unions (a maximum of five unions of the 41 unions they consider part of their constituents), in particular those of the garment and domestic workers sectors where by tradition most workers are female. Apart from the collaboration with these three unions, CWM started to position workers' struggles in global supply chains systems, as a means to reorient lobby and advocacy strategies of trade unions and to engage them in international networks. The SPO further expanded its international network and its financial resource base.

With regards to 'practice of values' CWM became a little bit more transparent to the trade unions it works with by means of creating a website that was recommended since 2008, but which is not kept up to date, and by reorganising its board that now also includes persons with a relevant background in training and research which is needed to improve CWM's effectiveness in its support to trade unions. The overlap of functions and roles between CWM and the New Trade Union Initiative (NTUI) considerably decreased.

Contribution/ attribution analysis
In the first place the evaluation assessed CWM's contribution to the increase in membership and the quality of women's engagement in two trade unions, the Garments and Fashions Workers Union (GAFWU) and the domestic workers' union Penn Thozhilalargal Sangam (PTS). Both unions are working in typically female sectors. The most plausible explanation of this outcome is a combination of the two trade unions already having shown to defend the interests of their constituents *before* MFS II; CWM making its support approach more demand-oriented *during* MFS II; supporting the unions to use a template to calculate a need-based minimum wage indexed to inflation developed by CWM (in 2008) that helped to negotiate wage hikes with the government, and; other actors who helped to position garment workers' concern in an international and supply chain context.

In the second place the evaluation team explained the capacity of the Garment and Textile Workers Union (GATWU) in Karnataka state to successfully negotiate a minimum wage hike and to finally ensure that industries started to pay dearness allowances to their workers according to the regulations in place. This outcome is most likely explained by the fact that GATWU is a mature organisation; support received by Workers' Right Consortium and Clean Clothes Campaign in targeting the international brands that source their products from the garment factories in Karnataka *before and during MFS II,* and CWM's technical support to calculate a needs-based inflation indexed minimum wage as an input for negotiations on these wages with the industry and the government.

CWM has been working with all three trade unions on a regular basis since 2008 – 2009 and these unions received more support than any other union that CWM considers as its constituents. *During the MFS II period*, CWM improved the quality of its services by means of making it more demand-driven and by means of including not only the union leaders, but also the second and the third rung. CWM itself became aware of the importance targeting international brands as a means to improve working conditions for women.

Relevance
The changes to which CWM contributed along with many other actors are relevant in relation to its 2012 Theory of Change and the external context. However these changes only concern some five to six of the 41 trade union that the organisation is supporting.
CWM is a very relevant organisation in relation to the Rights and Citizenship programme of the People Unlimited 4.1 alliance, but the partner organisation did hardly contribute to this programme.

Explaining factors

The information related to factors that explain the above findings was collected at the same time as the data were gathered for the previous questions. The evaluation team looked at internal factors within CWM, the external context in which it operates and the relations between CWM and Hivos.

The most important factor that explains the evaluation findings is within CWM. Some of the critical issues mentioned in an external evaluation report of 2008 have been addressed as of 2012, such as the creation of a new and more performant board and a further separation between CWM and NTUI. However, CWM's current strategic and operational planning, monitoring and evaluation in place hamper the organisation to effectively and efficiently make a considerable difference for the trade unions that it supports. The past two years have seen some changes into more effective interventions and more strategic relations with other organisations to make this difference, which is promising and should be pursued.

Design of the intervention

There is a big gap between CWM's highly ideological ambitions and the interventions that it does: training, research & documentation and support trade unions in their campaigns. The design requires a further critical reflection in order to make it replicable at a wider scale by CWM in the first place in relation to other trade unions.

Table 6

Summary of findings.

When looking at the MFS II interventions of this SPO to strengthen civil society and/or policy influencing, how much do you agree with the following statements?	Score
The CS interventions were well designed	5
The CS interventions were implemented as designed	5
The CS interventions reached their objectives	6
The observed outcomes are attributable to the CS interventions	6
The observed CS outcomes are relevant to the beneficiaries of the SPO	7

Score between 1 to 10, with 1 being "not at all" and 10 being "completely".

References

Documents by SPO

Title	*Year*
cwm proposal 1.4	2008
Financial Audited statements 2011-12	2012
Work Plan 2011-12 - Final	2011
Annual Report 2008-09	2008
Annual Report 2009-10	2009
ANNUAL REPORT 2010-11	2011
10Annual Report 2011-12	undated
CWM Work Plan 2012-13 - Final	2012
Annual Review 2013 Final	undated
Annual Review dec. 2012 - Final	undated
Annual progress Report 2012 + workplan 2013	undated
Construction work report - Final	undated
Cover FAS report 2012-13	2013
Copy of CWM Budget OCT12 - SEP13 1.2	undated

Documents by CFA

Title	*Year*
Annual Report & FS 2010-11 approval letter	2010
Memo-supplementary contract-July 2010	2010
Memo-supplementary grant from UUHHJIF	2009
supplementary contract Aug 2010	2010
Supplementary contract-UUJJHIF July 2009	2009
Workplan 2011-12 approval letter	2011
CWM Workplan Approval 2011-2012[2]	2011
Hivos Assessment of CWM FS 2012-13	2013
mail-informing-new-contract-coming-between-HIVOS-CWM	2012
Workplan 2012-13 Approval letter0001	2012
Annex 1 - Budget Summary	undated
Annex 2 - Result Indicators	undated
contract intake form	2012
contract	2012
Memo 10+ approval from HO	2012
Partner capacity assessment form	undated
summary.jrxml	2008
Signed Contract	2008

Documents by Alliance

Title	*Year*
Hivos_Business_Plan_2011_2015_English_translation	2010
FINAL HIVOS ALLIANCE MFS Report 2011_27-04-2012x	
Hivos Alliance MFS Report 2012	
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Issues of Garment Sector Labour and the Global Supply Chain: Some learnings from Bangalore. April 2013

Karnataka Minimum Wage Notification, 2013

Tamil Nadu Government Minimum Wage Notification, 2014

Workshop for PTS – GAFWU activists and members in Chennai, May 2013

Wage Survey of Garments Sector in Bangalore, 2012

Wages and Employment Relations among Garment Workers in Bangalore, September 2013

Women Workers in Tamil Nadu: Working in Poverty, 2013

Sexual harassment of women workers at Tuk Tuk Exports, Mahindra World City SEZ, Undated (2012-2014)

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Ashok Kumar, 2014, Interwoven threads: Building a labour countermovement in Bangalore's export-oriented garment industry, in CITY 2014 VOL18, NO. 6, 789–807, http://dx.doi.org/10.1080/13604813.2014.962894

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The Worker Rights Consortium (WRC). March 4, 2010. Preliminary Report on Minimum Wage Violations in Bangalore, India. http://digitalcommons.ilr.cornell.edu/cgi/viewcontent.cgi?article=2147&context=globaldocs

All India Organisation of Employers'. ? Industrial Relations & Contract Labour in India. http://www.ficci.com/spdocument/20189/Industrial-Relations-and-Contract-Labour-in-India.pdf

Advancing Industrial Democracy for Economic and Social Equality, Centre for Workers' Management: 1 October 2008–30 September 2012

Webpages

Author	*Title*	*Webpage link*	*date*
The Hindu	Central trade unions to launch protest on Dec. 5	http://www.thehindu.com/news/national/central-trade-unions-to-launch-protest-on-dec-5/article6509230.ece	October 17, 2014
Somesh Jha	Rajasthan Assembly passes labour law changes	http://www.business-standard.com/article/economy-policy/rajasthan-assembly-passes-four-labour-reform-bills-114073101662_1.html	August 1, 2014
Vaidyanathan Iyer	Rajasthan shows way in labour reforms	http://indianexpress.com/article/india/india-others/rajasthan-shows-way-in-labour-reforms/	June 8, 2014
Akshat Kaushal	Maruti's striking labour problem	http://www.business-standard.com/article/companies/maruti-s-striking-labour-problem-111091500040_1.html	September 15, 2011
Cithara Paul	Trade union membership: CPI eclipses its 'big brother'	http://www.newindianexpress.com/nation/Trade-union-membership-CPI-eclipses-its-big-brother/2013/06/03/article1617463.ece	June 3rd, 2013
Vikas Dhoot	INTUC claims 3.33 crore members; Gives Cong required poll boost	http://articles.economictimes.indiatimes.com/2013-04-06/news/38327411_1_india-trade-union-congress-membership-indian-railways	Apr 6, 2013
BS Reporters	Unions use different criteria to top headcount	http://www.business-standard.com/article/economy-policy/unions-use-different-criteria-to-top-headcount-106122801014_1.html	December 28, 2006
Garment and Textile Workers Union (GATWU)		http://gatwu.org.in/	
transnationals information exchange		http://www.tie-germany.org/who_we_are/index.html	

(tie)			
The Worker Rights Consortium (WRC)		http://www.workersrights.org/	
The Rosa Luxemburg Foundation		http://www.rosalux.de/english/foundation.html	
International Labor Rights Forum		http://www.laborrights.org/about	
New Trade Union Initiative		http://ntui.org.in/ntui/	
ActionAid		http://www.actionaid.org/india/who-we-are-1	
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PRASENJIT BOSE SOURINDRA GHOSH	Workers' struggle in Maruti Suzuki	http://www.thehindu.com/opinion/op-ed/workers-struggle-in-maruti-suzuki/article2490903.ece	September 28, 2011
	25 months... and no relief for 148 jailed Maruti workers	http://www.oneindia.com/chandigarh/25-months-and-no-relief-for-148-jailed-maruti-workers-1508363.html	August 24, 2014
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	A look into garment sector one year after the workplace tragedy	http://www.thedailystar.net/rana-plaza	
Trade Union Advisory Committee to the OECD	7 OECD Government Ministers call on brands to compensate Rana Plaza victims after strong Trade Union and NGO push	http://www.tuac.org/en/public/e-docs/00/00/0E/D8/document_news.phtml	June 27th, 2014
The Clean Clothes Campaign	Living Wage conference – 25-26 November 2013	http://www.cleanclothes.org/news/2013/11/26/living-wage-conference-2013-berlin-25-26-november-2013	November 26th, 2013
Bibhas Saha and Kunal Sen	The rising use of contract workers: is globalization responsible?	http://www.livemint.com/Opinion/xddBTUfaNF9wszqqu53FyK/The-rising-use-of-contract-workers-is-globalization-respons.html	October 29th, 2014

Resource persons consulted

For confidentiality reasons, the names and contact details have been removed

Name of key informant	*Organisation*	*Function in organisation*	*Relation with SPO*	*Contact details including e-mail.*
	Garment and Fashion Workers' Union (Chennai)		Receives support to work with target group/households	
	GATWU		Receives support to work with target group/households	
	GATWU		Receives support to work with target group/households	
	PTS, Malarchi		Receives support to work with target group/households	
	Workers' Rights Collective		Is collaborating with SPO	
	AITUC		-	
	ALF (Alternative Law Forum)		-	
	HIVOS	Former staff		

Appendix 1 Civil Society Scores

This table presents the appreciation of the evaluation team regarding changes occurred for each indicator between 2012 and 2014 on a scale of -2 to + 2

- 2 = Considerable deterioration
- 1 = A slight deterioration

0 = no change occurred, the situation is the same as in 2012

+1 = slight improvement

+2 = considerable improvement

Dimension		Indicators	Question	Change
Civic engagement	1	Needs of marginalised groups	How does your organisation take the needs of your beneficiaries/target groups, in particular marginalised groups into account in your planning, actions, activities, and/or strategies?	0
	2	Involvement of target groups	What is the level of participation of your beneficiaries/target groups, in particular marginalised groups in the analysis, planning and evaluation of your activities?	+1
	3	Political engagement	How intense is your (individual staff or organisational) participation in locally-nationally elected bodies and/or sectoral user groups?	0
Level of organisation	5	Relations with other organisations	In the past 12 months what has been the most intensive interaction you had with other CSOs?	+1
	5	Frequency of dialogue with closest CSO	In the past 12 months how many meetings did you have with the CSO that you have most intensive interaction with?	+1
	6	Defending the interests of marginalised groups	Which CSO are most effective in defending the interests of your target groups? In the past 12 months, how did you relate to those CSOs?	+1
	7	Composition current financial resource base	How does your organisation finance institutional costs such as workshops of the General Assembly (if applicable); attendance to workshops of other CSOs; costs for organisational growth and/or networking?	+1
Practice of Values	8	Downward accountability	To what extent can mandatory social organs (steering committee, general assembly, internal auditing group) ask your executive leaders to be accountable to them?	+1
	9	Composition of social organs	What % of members of your mandatory social organs belong to the marginalised target groups you are working with/for?	+1
	10	External financial auditing	How regularly is your organisation audited externally?	0
Perception of impact	11	Client satisfaction	What are the most important concerns of your target groups? How do your services take into account those important concerns?	0
	12	Civil society impact.	In the past 12 months, what impact did you have on building a strong civil society?	+1
	13	Relation with public sector organisations.	In the past 12 months, what interaction did you have with public sector organisations to realise your programme and organisations' objectives?	0
	14	Relation with private sector organisations	In the past 12 months, what interaction did you have with private sector organisations to realise your programme and organisations' perspective?	0
	15	Influence upon public policies, rules, regulations	How successful have you been in influencing public policies and practices in the past 2 years?	0
	16	Influence upon private sector agencies' policies, rules, regulations.	How successful have you been in influencing private sector policies and practices in the past 2 years?	0

CS context	17	Coping strategies	In the past 2 years, how did your organisation cope with these changes in the context that may have been positive or negative consequences for civil society.	-1

Appendix 2 Changes in civil society indicators between 2012 and 2014

2.1 Civic Engagement

2.1.1 Needs of the marginalised groups

HIVOS' 2012-2014 contract with CWM states that the latter (in 2012) worked with 41 trade unions and has a total direct outreach of about 7 lakh workers—of whom 40 per cent are women—and that its annual indirect outreach is over a million workers per year. The evaluators had no independent way of verifying this quantitative claim, both as to whether the numbers were indeed as had been stated in 2012 or if they have increased or decreased since.

CWM works as a resource centre for trade unions comprising rural, garment, domestic, plantation, auto, metal and mining workers, and aims at organising contract workers, casual workers and the self-employed, mainly in the unorganised sector. It seeks to address the issues of the rural workers and workers with non-standardised urban jobs.

Its commitment to the larger needs of workers having remained constant, the past two years have seen CWM increasing focus on concerns and issues of women workers. CWM's Work Plan 2012-2013, in fact, records its intent to engage with new forms of organisation of primarily women workers, and address issues of women leadership and patriarchy in traditional unions.

True to this, between 2012 and 2014 CWM closely engaged with unions in the primarily women workforce dominated garment sector in Bangalore and Chennai—GATWU[43] and GAFWU[44]—as also interact intensively with the Chennai-based all-women union PTS[45]. Also, with the help of an Action Aid supported programme, CWM along with PTS, works with urban women workers from socially and economically disadvantaged sections. The underlying aim of all these activities is to highlight issues of fair minimum wage, increasing the role of women as primary wage earners and seek to build conditions for collective learning and action for women's rights.

HIVOS' partner capacity assessment form (October 2012-September 2014) corroborates this. It states that CWM works with organisations of women workers, industries where women are predominant and on issues of marginalisation related to caste and work-related stigma (unorganised workers in general, municipal workers, sex workers). HIVOS, however, scores CWM at a four out of nine on internal gender expertise.

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[43] GATWU: Garment and Textile Workers' Union in Bangalore. See http://gatwu.org.in/
GATWU was formed in 2005 and was officially registered in 2006 in Bangalore. They are committed to building the power of the working class in the Karnataka garment industry and building a movement with like-minded organizations to advance the interests of workers and their families. GATWU is fighting for living wages, better working conditions, safe and harassment-free working environments, and freedom of association.

[44] Garments and Fashion Workers' Union (GAFWU) is a Chennai (Tamil Nadu) based workers' union, more than 95% of whose members are women. The union works for the rights of garment-apparel sector workers, and is a partner organisation of the CWM.

[45] Penn Thozhilalar Sangam is an organisation working in Chennai, with a neighbourhood based focus. Most of its members are women, and it also works for making government services accessible to women workers' in a neighbourhood. It is also a partner organization of the CWM.

CWM's only shift from its pre-baseline documented goals is its failure to address rural workers' issues in the new worksites created by NREGA[46].CWM had expressed intent to help rural workers understand their rights vis-à-vis the scheme. This has not happened. CWM attributes this to the government's pressure that more and more rural labour opt to work under NREGA, and that NGOs be contracted to facilitate this. CWM thought it best to keep out of this scenario where NGOs were seen as adding to the quantitative, not qualitative, enhancement of NREGA.

Score: 0

2.1.2 Involvement of target groups

During the baseline evaluation, CWM's executive leadership made it clear that the organisation seeks to be an anonymous catalyst in the trade union movement. Therefore, the core belief behind all its interventions is that workers must represent themselves, should be self-managed and self-governed; and that CWM's role should only be limited to playing facilitator and enabler. This was reiterated during the end line workshop. CWM maintains a high level of interaction with the beneficiary groups, said the leadership; qualifying that while there is no formal mechanism for involvement of beneficiaries in CWM's planning processes, needs of beneficiary groups are closely factored in, through an iterative process of research and documentation, education and problem solving intervention.

Having said which, the CWM staff, across hierarchies, felt that the target groups' level of participation in the analysis, planning and evaluation of the organisation's activities had improved in the past two years. This was variously seen as being a consequence of: a) CWM having systematised the process of beneficiary interaction through better targeted research and education b) workshops and meetings now being structured along with activist leaders of the unions c) using the workshop mode or focus group discussions to check outcomes and test ideas which, in turn, informed the next steps d) involving the union leadership's second, and sometimes even the third tier, in deliberating on the next steps.

End line score: +1

2.1.3 Intensity of political engagement

CWM does not interact with political parties and elected bodies. The staffers said that such interaction is exclusively the remit of the target group. But that CWM staff is kept informed by the unions of such interactions, if any, so as to ensure exposure and improve their effectiveness.

Score: Not applicable

2.2 Level of Organisation

2.2.1 Relations with other organisations

HIVOS' partner capacity assessment in their 2012-2014 contract with CWM scored the latter at a seven out of nine on Capability to Relate. It noted that CWM maintains relevant institutional relationships with external stakeholders and is seen as credible and legitimate.

[46] The National Rural Employment Guarantee Act, 2005 is an Act to provide for the enhancement of livelihood security of the households in rural areas of the country by providing at least one hundred days of guaranteed wage employment in every financial year to every household whose adult members volunteer to do unskilled manual work and for matters connected therewith or incidental thereto. See http://nrega.nic.in/rajaswa.pdf

During the end line evaluation workshop, the CWM staff was unanimous that there had been considerable improvement in their relations with other civil society organisations in the period between the baseline and the end line evaluations.

CWM said that its most intensive interactions in the past 12 months have been with: a) Garment and Textile Workers' Union (GATWU), Bangalore, Karnataka b) Garment and Fashion Workers' Union (GAFWU), Chennai, Tamil Nadu c) Penn Thozhilalar Sangam (PTS), Chennai, Tamil Nadu d) Various plantation workers associations/unions in North Bengal e) Auto Workers' unions (unnamed) f) New Trade Union Initiative (NTUI[47]) Malarchi[48], Chennai g) Action Aid[49], India h) Workers' Rights Consortium[50], Washington DC (WRC), USA i) Transnational Information Exchange (TIE[51]), Germany j) Rosa Luxembourg Stiftung[52], Germany k) International Labour Rights Forum[53], Washington DC, USA

CWM said that its engagement with the all-women's union PTS, and unions in the garment sector which have a predominant women workforce, such as GATWU and GAFWU, is more focused since 2012. These interactions are around the issues of statutory minimum wage for garment workers and for domestic workers, leadership development for women trade union leaders, and issues that directly affect women at work such as violence at the workplace, low wages, absence of regulation, safe public transport; provisioning of public facilities like crèche etc. The engagement in the garment sector has in particularly become stronger with CWM being engaged in helping set up a network of trade unions (involving TIE) in the garment sector in South Asia, including GATWU and GAFWU from India and trade unions from Sri Lanka and Bangladesh. CWM has brought together its engagement with multiple actors, in India and abroad, to take forward experience sharing as part of collective learning.

CWM's international networking also seems to have improved over the past two years. The organisation has both strengthened and derived strength from international bodies like WRC and TIE. The CWM staffers said that the aim behind this was not to address specific issues but a result of maturing of their strategy. CWM's work with WRC, for instance, involves raising workers' complaints with them, which is then presented by WRC at international platforms. CWM's work with TIE, on the other hand, is driven towards the need to throw up a self-sustaining union network in the garment and the auto industry that is able to take up its indigenous issues and address them through collective action/collective bargaining.

Score: +2

2.2.2 Frequency of dialogue with closest civil society organisation

The CWM staff agreed, in differing degrees, that the frequency of their interactions with their partner CSOs had increased in number and quality terms in the past two years. In 2012 the leadership had

[47] New Trade Union Initiative is a national trade union federation in India founded in 2002. Refer http://ntui.org.in/ntui/

[48] Malarchi is a Chennai-based women's resource centre founded in 2001. Sujata Mody, President, PTS is a founding member of Malarchi.

[49] ActionAid India is an anti-poverty agency, working in India since 1972 with the poor people to end poverty and injustice together. See http://www.actionaid.org/india/who-we-are-1

[50] Workers' Rights Consortium (WRC) is an independent labour rights monitoring organization, conducting investigations of working conditions in factories around the globe. Their purpose is to combat sweatshops and protect the rights of workers who make apparel and other products. See http://www.workersrights.org/

[51] Transnational Information Exchange (TIE), is a global grassroots network of workers active in workplaces and communities. It includes both union and non-union activists in the formal and informal sectors. TIE aims to encourage, organise, and facilitate international consciousness and cooperation among workers and their organisations in various parts of the world. See http://www.tie-germany.org/who_we_are/index.html

[52] The Rosa Luxemburg Foundation is one of the largest political education institutions in Germany today and sees itself as part of the intellectual current of democratic socialism. The foundation evolved from a small political group, "Social Analysis and Political Education Association", founded in 1990 in Berlin into a nationwide political education organisation, a discussion forum for critical thought and political alternatives as well a research facility for progressive social analysis. See http://www.rosalux.de/english/foundation.html

[53] International Labor Rights Forum is a human rights organization that advocates for workers globally. See http://www.laborrights.org/about

said that CWM did not interact intensively with any trade union in particular. In 2014, however, the leadership shared that now CWM typically interacts many times in a month with some of its partner unions. Other staff pointed out that the change has also been about using different modes for dialogue not just limited to meetings, regular flow of information through emails and telephones have been a communication feature since 2012.

To illustrate the growing intensity of its engagements with its partners, CWM cited its interactions with GATWU and GAFWU, all sharing a common agenda of campaign for a fair minimum wage, bargaining strategy based on understanding of the global supply chain, and struggle against workplace violence. This has resulted in a more intensive interaction between CWM, GATWU and GAFWU. The TIE network has also facilitated a closer interaction.

Score: +1

2.2.3 Defending the interests of marginalised groups

Both in 2012 and 2014, the CWM staff has been categorical that trade unions, and trade union networks, are the best defendants of the interests of workers; they are elected organisations of workers, and help deepen democracy, empowerment, and in build sustainable interventions.

The CWM staff felt that the situation, on this count, has improved between 2012 and 2014. Within the various key sectors that CWM has been engaged with: a) there has been strengthening of some trade unions b) trade union membership has increased in unions such as GAFWU and PTS c) some unions, like GAFWU and PTS, have also developed grass roots leadership, including women as leaders of unions representing women workers in garments, domestic work, rural workers and tea plantation work d) there has been an improvement in the effectiveness of many such unions vis a vis their ability to use available skills, resources and experience that is a result of capacity building; such as GATWU's effective participation in negotiations in the tripartite committee on wage hike in Karnataka's garment sector.

Score: +1

2.2.4 Composition financial resource base

The baseline evaluation had found CWM in a precarious financial position. In a May 2011 letter, Hivos, whose contract with CWM had ended in September 2012, had informed CWM of a funding crisis and that it would be withdrawing its support from the organisation upon ten years of completion of funding. CWM's Work Plan 2012-2013, however, mentioned that the organisation expected to enter into a new contract for an equitant amount from October 2012. A letter from Hivos to CWM, dated September 2011, emphasised that CWM needs to place 'urgent priority on addressing the issue of financial sustainability, including looking at the option of charging associate trade unions for the provision of support.'; the message was repeated in a letter to CWM in December 2011. Even so, CWM in its Work Plan 2011-2012 estimated the total budget of CWM in the 2009-2012 period—and that only included confirmed grants—and showed an increasing dependency on HIVOS starting with 76 per cent in 2009-2010 to 88 per cent in 2011 to 2012. Eventually though, Hivos did get into a contract with CWM for October 2012 to September 2014.
This being the background, during the end line evaluations, the staff felt that CWM's financial situation improved between 2012 and 2014. But the board member thought it had deteriorated.

A three year contract with Rosa Luxembourg Stiftung (RLS) beginning January 1, 2013 seems to have contributed largely to CWM's newfound sense of financial stability. And there is now also assured funding from Action Aid for the Child Support Project up to 31 December 2015.

The CWM staff sees this new fund inflow as having averted an imminent financial crisis at around the time of the baseline evaluations. They credit CWM for having successfully managed to raise funds from donors other than Hivos—and ending their dependence solely on Hivos. The staff pointed out that certain costs, like say pertaining to workshops held with unions, are now increasingly borne by the

host trade unions themselves; this is seen as a crucial issue of principle important for the autonomy of the unions. CWM however does finance its own costs (office costs, salaries, travel) for all the work that contributes to their activities.

The CWM board member's less enthusiastic, and perhaps more pragmatic, perception of the organisation's current funding situation is based on the fact that Hivos has been a key, and almost sole, source of support for institutional costs; though some part of the review exercise is now financed by the RLS. The reduction and uncertainty with regard to support from Hivos has led to some curtailment of CWM's work. It has also resulted in a decline in available resources as staff has been required to raise additional resources, manage with less and put in time for compliance. Also, finally, CWM is still dependent on donor support for all its fixed costs.

Score: +1

2.3 Practice of Values

2.3.1 Downward accountability

CWM aims to ensure accountability at three levels: a) accountability to the target group; b) through strong internal audit supported by robust external audit; c) through its board. Having said which, CWM has been assessed in the past as having too many overlaps with workers' organisations. This has challenged different evaluators—at separate points in time—in being able to measure CWM's accountability to its target groups, funders and board.

HIVOS' Organisational Assessment 2004 states that CWM worked with various independent workers organisations whose efforts contributed to the establishment of NTUI in 2001. Since then, CWM continued association with these organisations that were affiliated to the NTUI. At the time of the baseline, four out of five of CWM's board members held posts in NTUI.

CWM has made some changes to address the above mentioned concerns in the past two years. And all CWM's staff said that these changes have improved the organisation's accountability systems and structures.

The CWM board has now been reconstituted; barring Gautam Mody who is now NTUI's General Secretary, none of the other CWM board members are on NTUI's board. The CWM board has been widened to include professionals committed to CWM's objectives but with a wider experience of similar organisations and issues. This has assisted in addressing accountability as also offering diversity in mentoring.

The leadership said that there has been greater systematising and regularity of board meetings and staff meetings over the past two years, and these have helped get inputs on CWM's work. Also, there are now more detailed and regular interactions with the target group, which has improved accountability.

The board member said that compliance standards of Rosa Luxembourg Stiftung have led to improved accountability. And the annual review mechanism introduced by HIVOS has helped integrate planning with the annual compliance requirements—financing of board meetings, quality internal audit and capable external audit firm are supported by HIVOS. In its 2012-2014 contract with CWM, HIVOS' partner capacity assessment scores CWM at a five out of nine on its Capability to Relate, and comments that CWM is accountable to and communicates effectively with its primary constituents/ beneficiaries.

The absence of a CWM website, at the time of the baseline, was conspicuous, especially since CWM is in the field of information generation and dissemination. The CWM website is now up (http://www.cwm.org.in), has a news ticker update, but the upcoming events listed and the publications uploaded on the site are not beyond late 2012.

Score: +1

2.3.2 Composition of social organs

CWM is a registered society with a board of governors, representatives of trade unions and activists. The organisation's governing council comprises five members.

Upon HIVOS's request for a stronger representation of women in CWM's Board, it was indeed reconstituted in 2012 and now includes one female and four male persons.
The board now has two—40 percent—trade unionists as members. The inclusion of three members from academia and action research has been deliberate considering the need to maintain a high standard of research and education.
CWM's former female co-executive head has become its executive head after the baseline assessment.

However, there seems to be a significant divergence of views on the board reconstitution within CWM. The executive leadership felt that the representation of the marginalised has deteriorated in the new board given that the inclusion of action researchers and academics has been at the cost of losing trade union activists. Other staff and the board member, on the other hand, saw it as considerable improvement due to a woman being inducted into the board. These changes are being attributed to have been driven by CWM's internal processes, but not without feeling the pressure to be seen to be 'inclusive'. HIVOS's assessments and support is said to have been an essential driver towards the board's reconstitution.

Score: +1

2.3.2 External financial auditing

There is a quarterly internal audit of CWM as an organisation. External audits are held annually, within 90 days of the year end, with a report presented to the board. CWM prepares accounts with the use of Tally ERP.9 software. The audits are paid for by the HIVOS grant.

Score: 0

2.4 Perception of Impact

2.4.1 Client satisfaction

In 2012 the CWM staff—and documents authored by them—listed the following as the major concerns of its target groups: a) right to associate and collective bargaining b) right to a minimum as well as living wage[54] c) livelihood and workers' rights d) lack of universal social security. These concerns were seen as aggravated by growing rural to urban migration, consequent unemployment, falling wages and abandonment of labour regulation. The declining rural economy further strengthened traditional hierarchies and created new forms of labour oppression—hitting hardest the most marginalised: women and dalits.

Over the past two years, CWM has continued to service the concerns of its target groups by being a resource centre for workers' unions; such that these unions can look to CWM for information and guidance to best understand the issues at play, both nationally and internationally. And use this understanding while strategising for and negotiating with industry and government to further workers' causes.

CWM increased its focus on issues pertaining to women workers in the past two years. Its interactions with unions in the women workforce dominated garment and domestic-help sector has seen a surge in the membership of such unions, as also an emerging women leadership.

For instance, garment sector union GAFWU in 2009 had a few women and about three women leaders from one garment factory. Now, it has women members and leaders from five factories in three Tamil Nadu districts. Despite not being an all-women union, currently its entire leadership—first, second and third rung—constitutes women. Because of this quantitative and qualitative growth of its women members, women workers affiliated to GAFWU chose to fight against sexual harassment at the workplace, and filed two cases of sexual harassment (between 2012 and 2013). One of them paved the way for the union's entry into a Special Economic Zone for the first time. This was a rare thing as even by law, trade union activities are not allowed within the SEZ premises.
Further, these intensive interactions have also contributed significantly to an increase in the daily wages in Karnataka's garment sector and a draft notification for the same in Tamil Nadu in 2014.

The CWM hierarchies were at variance as to why their target groups remained burdened with the same chronic concerns despite intensive interventions by their organisation in the past two years. They said that the organisation's service to its targets group could not affect a remarkably large impact because of the worsening of policy and political environment, as also employer attitudes, towards workers; adding that there is now a strong attack by employers, with government's complicity, on the workers' right to freedom of association.

Score: 0

[54] The issue of a living wage has gained urgency today, in the context of high inflation rates and increasing income disparities. Real poverty is a large concern of trade unions representing workers in the informal sector. Measurement of poverty and changing government definitions which push down wage norms make it difficult for unions to address the question of wage fixation. Norms like the 15th ILC have become a farce in the face of continuous pressure to push wages down. Trade union representation on wage fixing committees becomes ineffective in the face of absence of reliable and consistent data and analysis. At the same time, weakening of public social security measures available to the poor, further impacts real wages. A systematic region and sector specific series of studies on wages to workers linked to family employment and expenditure patterns, including aspects like incidence of forced employment of children in families of informal sector workers is a priority. The study information also needs to continuously feed into campaign for fair wages, and a just method of wage indexing, *Advancing Industrial Democracy for Economic and Social Equality, Centre for Workers' Management: 1 October 2008–30 September 2012*

2.4.2 Civil society impact

CWM's focus on concerns and issues of women workers' has resulted in the growth—both in terms of membership numbers of women and the geographical expanse—of some of the unions associated with it. There has been a constant and steady increase in women's engagement with GAFWU, which has more than 95 per cent women membership—it had 103 women as members from one Bangalore factory in 2009 and in 2013 it had 694 members from three districts of Karnataka. The membership in the all women PTS, associated with the domestic work and construction sector, has also grown from 297 to 18300 between 2001 and 2013. CWM has been organising workshops, training sessions etc to make workers, especially women workers, aware of their rights and develop leadership. Many of these workshops were conducted under the MFS II interventions. As a result of their interactions with GAFWU and PTS, women members of these unions now have enhanced levels of awareness of their rights in their workspace; on two occasions workers affiliated to GAFWU resisted sexual harassment at the workplace, by filing complaints against it, something that was rare in earlier times. CWM's engagement with unions in the garment sector that employs mostly women, has also contributed largely to the raising of daily wages in Karnataka and a draft notification towards the same in Tamil Nadu.

CWM's associate unions have benefited from its efforts to universalise the understanding of workers' rights. They have been connected, sometimes through CWM, to national and international workers' networks. With a much less segmented and targeted approach, the unions know now that even a specific struggle for minimum wages in Karnataka's garment sector is linked to other national and international actors and factors.

All levels in CWM' hierarchy felt that its impact over civil society has improved. Apart from the above mentioned, they see CWM as having contributed to: a) linking the prevalent low wage of women workers in the tea plantations of Northern Bengal to a rise in child labour and bringing this to the centre of discussions b) facilitating international fact finding on violations of trade union rights at Maruti-Suzuki and making the issue a matter of international concern amongst trade unions and democratic rights organisations.

Score: +1

2.4.3 Relation with public sector organisations

CWM staff and board said, as they had in 2012, that CWM does not deal with the public sector. The executive leadership, however, saw a change for the better; because a CWM partner union GATWU became member of the tripartite committee for minimum wages in the garment sector in Karnataka; and negotiated effectively in the committee comprising government and industry.

Score: Not Applicable for CWM; 0 or +1 for trade unions

2.4.4 Relation with private sector agencies

CWM does not interact directly with the private sector. This is done by the unions.

Score: Not applicable for CWM; no information available for trade-unions

2.4.5 Influence upon public policies, rules, regulations

CWM has no direct involvement in influencing public policies. However the staffers argued that some of their partner unions in the garment sector had addressed the minimum wage issue effectively in the past two years. Static for long, the minimum wage in Karnataka's garment industry has now been raised, and Tamil Nadu has issued a draft notification for a rise.
CWM's Annual Report 2010-2011 noted that the erstwhile UPA government's attempt to unlink the NREGA wage to inflation led to a campaign by various CSOs for an inflation indexed wage. CWM was asked for its inputs by its constituent unions. The campaign saw the government backtracking and

bringing in a formula compensating for inflation. Indexation of the NREGA wage has now come into place three years but NREGA's implementation has been slack.

Though the CWM staffers do not claim sole credit for any of the above mentioned achievements, they see it as an improvement in their partner unions' capacities influence public policies.

Score: Not Applicable for CWM; +1 for trade-unions.

2.4.6 Influence upon private sector agencies' policies, rules, regulations

CWM has no direct interactions with the private sector. These matters are left to trade unions.

Score: Not Applicable for CWM; no information available for trade-unions

2.5 Civil society environment

2.5.1 Coping strategies

While the past two years have seen new challenges thrust upon workers and unions, the backdrop has been consistently bleak. As Hivos' 2012-2014 contract with CWM sums up, the situation of labour in India is in a churn of an unprecedented order due to pro-market and liberal policies for some years. Even in the formal sector informal employment has increased from 39 to 46 per cent between 1990 and 2005 and is estimated at 51 per cent for 2010. This growing informality has put pressure on wages, and working conditions are far below those of standard employment, adversely impacting not just the formal but also the informal sector.

Other than this, the economic downturn, consequent retrenchment, increasing contractualisation of the workforce and spiralling inflation between 2012 and 2014 provided for a particularly difficult environment for workers. Controversies on mining contracts between government and the corporates multiplied; these were about violations of environmental norms and displacement issues impacting livelihoods of indigenous people and rural workers. Rural to urban migration continued unabated despite NREGA, which still suffers from widespread corruption and inappropriate implementation.

The right to dissent, meanwhile, has been under attack. Attempts at unionising and union struggles are met with increasing employer repression; often the government and police are complicit. The Maruti-Suzuki automobile workers brought to attention the attack on right to association and spread of contract employment in all forms of work[55]. The struggles against displacement in Jagatsinghpur and Niyamgiri in Orissa, and around nuclear power generation sites in Kudamkulam, all brought to fore the contradictions between unregulated industrialisation and democratic rights.

The Foreign Contribution (Regulation) Act 2010 challenged CWM further, because it prohibits the use of foreign fund for unionisation. Those working with unions now have to be extra cautious that their foreign-funded activities are not linked with union formation.

Although CWM states that engaging with new national and international workers' networks will bring to the fore issues and concerns of women workers and those working in the auto industries, generally speaking, CWM did not develop coping strategies to counter these tendencies; its strategies of

[55] See i) *Workers' struggle in Maruti Suzuki*. See http://www.thehindu.com/opinion/op-ed/workers-struggle-in-maruti-suzuki/article2490903.ece ii) *Jailed Maruti Suzuki workers in India continue to be denied bail.* See http://www.wsws.org/en/articles/2014/07/01/maru-j01.html iii) *25 months... and no relief for 148 jailed Maruti workers.* See http://news.oneindia.in/chandigarh/25-months-and-no-relief-for-148-jailed-maruti-workers-1508363.html

supporting trade unions remained the same, apart from minor changes in terms of intensifying the nature of the support.

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Gene Campaign end line report

MFS II country evaluations, Civil Society component

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This report describes the findings of the end line assessment of Gene Campaign in India that is a partner of Hivos.

The evaluation was commissioned by NWO-WOTRO, the Netherlands Organisation for Scientific Research in the Netherlands and is part of the programmatic evaluation of the Co-Financing System - MFS II financed by the Dutch Government, whose overall aim is to strengthen civil society in the South as a building block for structural poverty reduction. Apart from assessing impact on MDGs, the evaluation also assesses the contribution of the Dutch Co-Funding Agencies to strengthen the capacities of their Southern Partners, as well as the contribution of these partners towards building a vibrant civil society arena.

This report assesses Gene Campaign (GC) efforts in strengthening Civil Society in India based upon the CIVICUS analytical framework. It is a follow-up of a baseline study conducted in 2012. Key questions that are being answered comprise changes in the five CIVICUS dimensions to which Gene Campaign contributed; the nature of its contribution; the relevance of the contribution made and an identification of factors that explain Gene Campaign's role in civil society strengthening.

Keywords: Civil Society, CIVICUS, theory based evaluation, process-tracing

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List of abbreviations and acronyms

CBO	Community Based Organisation
CDI	Centre for Development Innovation, Wageningen UR
CFAs	Co-Financing Agencies
CFO	Co-Financing Organisation
SMC	Seed Management Committees
CS	Civil Society
FC	Farmer Clubs
IDF	India Development Foundation
JHRM	Jharkhand Human Rights Movement
JMM	Jharkhand Mukti Morcha
KGVK	Krishi Gram Vikas Kendra
MoFa	Ministry of Foreign Affairs
MFS	Dutch co-financing system
NABARD	National Bank for Agriculture and Rural Development
NREGA	National Rural Employment Guarantee Scheme Act
PPVFRA	Protection of Plant Variety and Farmers Rights Act
SHG	Self Help Groups
SPO	Southern Partner Organisation
SPWD	Society for the Promotion of Wastelands Development
SRI	System of Rice Intensification
ToC	Theory of Change
Wageningen UR	Wageningen University & Research centre

1 Introduction

This report presents the civil society end line findings of Gene Campaign (GC) in India which is a partner of Hivos under the Dutch Consortium People Unlimited 4.1. It is a follow-up to the baseline assessment that was carried out in 2012. According to the information provided during the baseline study, Gene Campaign is working on the theme 'governance'.

These findings are part of the overall evaluation of the joint MFS II evaluations to account for results of MFS II-funded or –co-funded development interventions implemented by Dutch Co-Funding Agencies (CFA) and/or their Southern Partner Organisations (SPO) and to contribute to the improvement of future development interventions. The civil society evaluation uses the CIVICUS framework and seeks to answer the following questions:

- What are the changes in civil society in the 2012-2014 period, with particular focus on the relevant MDGs & themes in the selected country?
- To what degree are the changes identified attributable to the development interventions of the Southern partners of the MFS II consortia (i.e. measuring effectiveness)?
- What is the relevance of these changes?
- What factors explain the findings drawn from the questions above?

The CIVICUS framework that comprises five dimensions (civic engagement, level of organization, practice of values, perception of impact and contexts influencing agency by civil society in general) has been used to orient the evaluation methodology.

Changes in the civil society arena of the SPO
In the 2012 – 2014 period the most important changes that took place in the civil society arena of Gene Campaign are related to the CIVICUS dimensions 'Civic engagement' and 'Perception of impact'.

For the first dimension Gene Campaign managed to increase the number of Farmers Clubs (FCs), Seed Management Committees (SMCs) and Self Help Groups (SHGs). In total some 317 farmers in 30 villages have adopted the System of Rice Intensification proposed by Gene Campaign. Farmers, women, youth and tribal people show increased capacity to take ownership of their livelihoods and some of their organisations established. Apart from this the number of intellectual property rights for indigenous seeds registered by farmers under the Protection of Plant Variety and Farmers Rights Act has increased from 18 to 144 in the past two years, showing that Gene is capable to strengthen farmer's rights vis-à-vis private seed companies.

A slightly negative change can be observed with regards to the dimension 'Perception of Impact'. Many respondents had expected that Gene Campaign would grow out to become an example of an organisation capable of expanding its work to other areas and contexts. However networking with other NGOs in Jharkhand has seen a decline in the past two years and at national level Gene did not play a convincing role in the RRA Network of NGOs.

These findings were obtained through an analysis of documents, a workshop and follow-up interviews with Gene Campaign, and interviews with external resources persons working in civil society organisations that receive support from Gene Campaign; other civil society organisations with whom the SPO is collaborating; public or private sector agents and; external resource persons capable of overlooking the MDG or theme on which the SPO is concentrating.

Attribution questions
Based upon an analysis of the projects and programmes financed by the Dutch CFAs a selection was made of SPOs to be included in an in-depth process tracing trajectory and those to be included for a quick contribution assessment. Gene Campaign was amongst those SPOs not selected for in-depth-process tracing. With regards to some of the outcomes of Gene, a quick contribution analysis was conducted that results in the following table:

Table 1

Outcomes achieved and contribution by Gene Campaign

Outcome and performance	Contribution by Gene Campaign
Farmers clubs: 20 FCs of which 16 established in the 2012 – 2014 period Four of the 20 FC's have been registered by Gene Campaign One FC has been successful in commercializing vermin-compost	There are multiple explanations of the creation of farmer clubs; 1) through MFS II funding with Gene 2) NGOs including GC receive subsidies from National Bank for Agriculture and Rural Development (NABARD), 3) farmers create their own FC because they receive NABARD support when registered.
Seed Management Committees in charge of managing seed banks: four established Not yet mature to take over GC's role in the management of the seed banks	No other organisations found that establish SMCs
Self Help Groups: 16 new SHG established of 20 supported by Gene Campaign One SHG reported that is successfully commercializing its products	There are multiple explanations of the creation of farmer clubs GC reactivated a number of SHGs created earlier by other NGOs. NABARD and other government programmes financially supports the creation of SHG and many NGOs engage in this in Jharkhand
Promotion of sustainable agricultural practices: Only 350 farmers have adopted SRI and some activities introduced by Gene will take a long time to be adopted at a larger scale, such as poultry, animal husbandry and horticulture	Apart from Gene, many other actors, including the government are working on sustainable agricultural practices

Relevance

Interviews with staff of Gene Campaign, with external resource person, with the liaison officer of Hivos, as well as contextual information helped to assess the relevance of Gene Campaign's interventions in terms of; its Theory of Change (ToC) for Civil Society (SC) as designed during the baseline study; the context in which Gene Campaign is operating; the CS policies of Hivos.

With regards to the baseline ToC which mentioned two the importance of having market linkages and favourable policies, Gene's interventions and outcomes are not relevant because they did not address these issues.

With regards to the context, Gene Campaign's work is relevant because of the extreme poverty and illiteracy rate in Jharkhand state which implies that securing rural people's livelihoods and protecting their rights with regards to indigenous seeds and land is key. With regards to the People Unlimited 4.1 MFS II programme Gene's position under the Green Entrepreneurship programme was initially relevant but did not materialise because Gene was not capable of playing a constructive role in the joint lobby and advocacy foreseen with other Hivos partners

Explaining factors

The information related to factors that explain the above findings was collected at the same time as the data were gathered for the previous questions. The evaluation team looked at internal factors within Gene Campaign, the external context in which it operates and its relations with Hivos.

Since the baseline assessment, staff turnover in the field office of Gene in Jharkhand has increased, which is mainly to be explained by the hierarchical structures in the organisation that hamper local staff to take ownership of the vision and mission of Gene beyond their daily work. Relations with Hivos did not influence the findings, because the relation between both organisations has remained constructive, though Hivos' expectations of Gene's role in the Green Entrepreneurship programme were not met.

The following chapter briefly describes the political context, the civil society context and the relevant background with regards to the governance issues Gene Campaign is working on. Chapter three provides background information on Gene Campaign, the relation of its MFS II interventions with the CIVICUS framework and specific information on the contract with Hivos. An evaluation methodology has been developed for the evaluation of the Civil Society component which can be found in appendix 2 of the main report; however, deviations from this methodology, the choices made with regards to the selection of the outcomes for contribution analysis, as well as difficulties encountered during data collection are to be found in chapter 4. The answers to each of the evaluation questions are being presented in chapter 5, followed by a discussion on the general project design in relation to CS development; an assessment of what elements of the project design may possibly work in other

contexts or be implemented by other organisations in chapter 6. Conclusions are presented in chapter 7.

2 Context

This paragraph briefly describes the context Gene Campaign is working in. A description of the Civil Society Context assessed according to the CIVICUS framework is provided in appendix 3 of the country report for Civil Society.

2.1 Political context

In 2000, Jharkhand, the twenty-eighth state of India had been carved out from the state of Bihar. Since then, political instability in Jharkhand continues with its eighth Chief Minister Arjun Munda resigning in 2013 after losing majority due to the withdrawal of support by the Jharkhand Mukti Morcha (JMM), a regional political party born out the desire for a separate state. Since its creation, Jharkhand has seen nine chief ministers and imposition of President Rule three times. The current chief minister is JMM's Hemant Soren.

The movement for the creation of Jharkhand revolved around the neglected needs for development in this region lagging behind its neighbours. People hoped that the creation of their own state would improve the situation. Political instability has prevented this, policies and governance have suffered. The growing corruption and exploitative extraction of Jharkhand's resources has continued unabated. Violence related to Left extremism has aggravated the state's disadvantages.

Jharkhand has poor social and human development indicators. It has the second highest poverty headcount ratio in India at 36.96 per cent[1]. Education is low at 66.4 per cent, with female literacy at 56 percent[2].

2.2 Civil Society context issues with regards to the MDG

The civil society in Jharkhand continues to be burdened by the same issues as it did in 2012—Naxalism[3], state brutality, controversies surrounding big industries and displacement of ethnic tribal population due to mining.

The dismal situation in Jharkhand in the first ten years of its creation since 2000, was clearly spelt out in the report titled, "Jharkhand Human Rights Report 2001-2010", compiled by the Jharkhand Human Rights Movement (JRHM). According to the report, since its formation there have been 7,563 reported

[1] http://mospi.nic.in/Mospi_New/upload/mdg_2014_28jan14.pdf
[2] http://jharkhand.gov.in/web/guest/facts&figures
[3] The Naxalite movement traces its origins from the Naxalbari uprising in 1967, the Maoist struggle in India is an outcome of this uprising. Naxalism was borne out of the marginalisation of the forest dewellers in Naxalbari village in West Bengal. It picked up support in the surrounding areas with the common cause of fighting marginalisation, lack of development and poverty faced by rural India. With the adoption of the Maoist ideology the movement became violent.

rapes, 3,398 dowry[4] atrocities, 576 custody deaths and over 100 hunger deaths in Jharkhand[5].

The state of Chhattisgarh was considered the worst hit in terms of Naxal related violence, but Jharkhand overtook it in 2011. Although the numbers have since gone down, the state is still acutely affected by the violence. By itself Jharkhand accounted for 40 per cent of the countrywide incidents and 58 per cent of deaths related to Naxalism in the first few months of 2013[6].

According to the JRHM report, since the states formation there have been 550 people killed in 'encounters', and 4372 people have been arrested for being considered Maoists. The report further states that the government had signed 102 MoUs with various corporations since the creation of the state. Industry giants like Arcelor-Mittal had to pull out in 2011 because of the protests by the tribal groups against their proposed steel plant[7].
There is a deep political-corporate nexus in Jharkhand and as such any forms of protests against these benefactors of these MoUs are met with strong and inhuman response from the government[8].

The state was also undergoing immense upheaval in the tribal belt not only due to the activities of the naxalites but also due to the "development" forces in the form of government and big industries.

The kind of development that the government has tried to bring in over the years mainly includes the setting up of polluting industries. These industries which require acres of land are displacing the tribal population who live on these resource rich regions. For the indigenous tribes Jal, Jangal and Zameen (Water, Forest and Land) are their only means of survival. The government after facing protests from members of civil society, including tribal groups have resorted to arm-twisting tactics, like arresting them on forged cases, charging them with being Maoists, and even firing at peaceful protests[9].

The Bokaro steel plant which was set up in 1964 in Jharkhand displaced 12,990 families of them 2,707 were tribal[10]. It's been nearly 50 years but these families are still awaiting compensation for their land. The efforts that the government is now making are account of the massive protests across the state against mining and industries taking over their land[11].

The growing protests pushed the government to pass a new act called the Right to Fair Compensation and Transparency in Land Acquisition, Rehabilitation and Resettlement Act, 2013. It replaced a 120-year-old law put in place during the British colonial period called the Land Acquisition Act, 1894. The most important aspect of the new law will be that it will ensure that industries obtain consent of over 80 per cent of the people whose land they wish to acquire. Also, the compensation will be four times the current practice in rural areas[12].

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[4] According to the Dowry Prohibition Act, 1961, dowry is defined as the act of giving any property or valuable security directly or indirectly, by one party in a marriage to another party in the marriage. In India, this is in an act of giving payment in cash/ or kind by the bride's family to the bridegrooms family. The National Crime Records Bureau have shown that one woman is killed every hour, when her family fails to meet the insistent and often outrageous demands made by her in-laws and husband. *Refer,* http://www.telegraph.co.uk/news/worldnews/asia/india/10280802/Woman-killed-over-dowry-every-hour-in-India.html

[5] *Refer,* http://www.firstpost.com/india/jharkhands-shameful-decade-7563-women-raped-275159.html

[6] *Refer,* http://timesofindia.indiatimes.com/india/Jharkhand-records-highest-Naxal-violence-this-year/articleshow/19643167.cms

[7] *Refer,* http://www.hindustantimes.com/business-news/after-arcelormittal-monnet-ispat-may-abort-jharkhand-plan/article1-1095911.aspx

[8] *Refer,* http://infochangeindia.org/human-rights/analysis/jharkhand-the-failed-promise-of-an-adivasi-state.html

[9] *Refer,* http://kafila.org/2012/12/05/jharkhand-twelve-years-later-mahtab-alam/

[10] M. Areeparampil, 'Displacement due to mining in Jharkhand'. Economic & Political Weekly. June 1996.

[11] *Refer,* http://www.downtoearth.org.in/content/bokaros-displaced-still-await-compensation

[12] *Refer,* http://articles.economictimes.indiatimes.com/2013-10-16/news/43107324_1_monsoon-session-jairam-ramesh-new-land-acquisition-act

3 Description of the Gene Campaign and its contribution to civil society/policy changes

3.1 Background of Gene Campaign

Gene Campaign was set up in 1993 by Dr. Suman Sahai, working together with a group of scientists, environmentalists and economists. The organisation wanted to react upon the alarming international development regarding genetic resources and the threats these posed on the livelihoods of tribal communities depending on these resources. Gene Campaign is a research and advocacy organisation which works with village communities as well as at policy making level.

At the local level, Gene Campaign has established one Master Gene Seed Bank and seven Community Gene Seed Banks in Jharkhand. It also provides training to farmers on sustainable agriculture practices, thereby increasing their capacities to generate an income. Gene Campaign has also established itself as a leading research organisation in agriculture and brought out numerous case studies and publications. Gene Campaign's members have served on various expert committees of the central government and legislative bodies. For this Gene Campaign received the Genome Saviour Award in 2009. Making agriculture sustainable is an important part of Gene Campaign's work, and they are training village communities in producing and using organic agricultural inputs.

As stated before, Gene Campaign does not only work at village level but also aims to influence the national debate on biodiversity. They have successfully lobbied for a law that grants legal rights to farmers and defending their intellectual property rights their fight against patents. Gene Campaign presented the first draft of a biodiversity legislation in 1997 and were in this way contributing to the Biological Diversity Act that passed in 2002.

Vision
Adequate food, assured livelihoods and better incomes for rural and tribal communities, based on sustainable food production and self-reliant economic growth.

Mission Statement
Gene Campaign's goal is to work for the empowerment of rural and Adivasi communities and for national laws and policies that support food and livelihood security and increase rural incomes. The organisation aims to raise a public debate on the ethics of the new biology and its applications, and to formulate policy in this controversial area.

3.2 MFS II interventions related to Civil Society

This evaluation looks at the project 'Improving the Food and Nutrition Security of Farm Families in Rainfed Areas of Jharkhand'. This project aims to improve community-based production of high quality seeds that would help farmers to become less dependent on the state for their seed inputs. Gene Campaign's main interventions focus on the creation of Farmer Clubs (FCs), Seed Management Committees (SMCs) and Self Help Groups (SHGs). These interventions are a clear example of strengthening civic engagement. Moreover, Gene Campaign capacitates these CBOs by training them to carry out the work on their own. As such, they are strengthening these intermediate organisations. Gene Campaign hopes that the model they use in this project will be copied in other parts of the country. In the 2012 – 2014 period GC, that works in three blocks of two districts in Jharkhand has expanded the numbers of the CBOs it supports: it is currently supporting 20 Farmers Clubs (FCs), of which 16 were formed between 2012 and 2014; has established 9 seed banks, 3 of them between

2012 and 2014; has formed 4 Seed Management Committees (SMCs) between 2012 and 2014, and; 22 Self Help Groups (SHGs), of which 16 have been formed between 2012 and 2014.

Gene Campaign is part of the Revitalising Rainfed Agriculture (RRA) Network[13]. Their role in this network is to lobby for community-based seed production by using their project as an example.

The partnership between Gene Campaign and Hivos ended in September 2013.

3.3 Basic information

Table 2
SPO basic information.

Criterion	Basic information
Name of SPO	Gene Campaign
Consortium	People Unlimited 4.1
CFA	Hivos
Start date of cooperation	
MDG/theme	Biodiversity and MDG 1
MFS II project name	Improving the Food and Nutrition Security of Farm Families in Rainfed Areas of Jharkhand
Contract period	October 2010 – September 2013
Total budget Hivos	€192,500
Other donors if applicable	Not applicable
Estimation of % of budget for Civil Society[14]	12 %
Sources:	

Source: Contract Intake Form, project documents

[13] http://www.wassan.org/Support_Services_8.htm
[14] Costs that relate to civil society development or policy influence are those costs that possibly contribute to the development of the CIVICUS dimensions, excluding coordination and office costs; staff costs and financial reserves.

4 Data collection and analytical approach

4.1 Adjustments made in the methodology of the evaluation

The project document and progress reports were helpful to obtain an overview of the outputs achieved versus outputs planned. However no specific objectives and targets have been formulated and this was reflected in the progress reports. The evaluators have not been able to consult the January – September 2013 progress report.

Rather than focussing on two separate strategic orientations (civic engagement, intermediate organisations, policy influencing and networking) as identified for the evaluation, these two were clubbed together into one focussed assessment; Namely: 'Enhancing Civic Engagement and Strengthening Intermediate Organisations: Increase in the number of FCs, SMCs, SHGs and capacitating them towards promoting self-dependent sustainable agricultural practices'.

This was done because the workshop with Gene Campaign in Jharkhand revealed that most its work is around enhancing civic engagement by forming community-based organisations (CBOs) towards their cause, and that its activities towards strengthening CBOs are at too preliminary a stage to merit separate and sustained scrutiny. The overall outreach of all GC's programmes, moreover, is not remarkably large, as their activities have effectively remained constrained to three blocks in two districts of Jharkhand.

Also, a decision was taken against having separate interviews after the workshop with various levels of the GC staff participants, as dictated by the methodology guidelines. This was because the amount of information available with the GC staffers in Jharkhand was so sparse that they wanted to consult each other while responding to the evaluation's queries and filing such collaboratively-arrived-at responses separately would have been a meaningless exercise. The alternative, rival explanations to the outcomes identified were: a) encouragement/financial incentives/insistence by government agencies like NABARD[15] (National Bank for Agriculture and Rural Development), DST[16] (Department of Science and Technology) etc. to promote SRI[17] (System of Rice Intensification), formation of FCs (Farmer Clubs) and SHGs (Self Help Groups) b) work by other NGOs like NBJK[18] (Nav Bharat Jagriti Kendra), SPWD[19] (Society for Promotion of Wastelands Development) etc.

4.2 Difficulties encountered during data collection

It is important to note that Gene Campaign (GC) is an influential research and advocacy organisation. It is headquartered in Delhi, and is linked to many national and international organisations and networks. In line with Hivos' support given, the MFS II evaluation's focus, however, was on GC's work in Jharkhand.

The evaluators initiated both baseline and end line evaluation processes with the GC Delhi headquarters, contacting them first. The headquarters kindly put the evaluators in touch with its Jharkhand-based personnel. No one from GC's headquarters chose to participate in the evaluation

[15] See https://www.nabard.org/english/home.aspx
[16] See http://dst.gov.in/
[17] See http://www.sri-india.net/
[18] See http://nbjk.org/
[19] See http://www.spwd.org/

processes either in 2012 or in 2014. The evaluation workshops were held with the GC Jharkhand staff in the state's capital Ranchi both times.

The sample size of respondents during the first day of end line evaluation workshop was eight, which included three field staff, three field coordinators and two members of executive leadership. This is the current strength of GC Jharkhand. The meagre number of respondents was in keeping with GC's staff strength which has shrunk from fourteen to eight since the baseline.

The primary problem the evaluators faced was the weak information base of the respondents. An evident disconnect between GC's Delhi headquarters and its Jharkhand branch had functionaries at all levels of GC Jharkhand's hierarchy lacking big picture vision, as well as smaller nuggets of information on many counts. And these insufficiencies rolled out into lack of written reports, documents, and evidence etc. for most of the claimed outcomes.

On a number of indicators, the views of field staff and executive leadership were contradictory. This could have been due to attempts by the executive leadership to mask the organisation's limitations. Or, could be attributed to yet another disconnect in GC, not just between the headquarters and the regional branch, but also Jharkhand leadership and its field workers.

At any rate, GC Jharkhand' performance over the past two years seems to have been lower than the expectations of other actors in the state's development sector. Naturally therefore, the evaluators found that the number of external resource persons who could help in verifying/rejecting GC's claimed outcomes had shrunk since the baseline. Those who did oblige the evaluators with interviews on GC had very limited information available with them regarding its work over the past two years. The other challenge was that most of the CBO representatives were farmers and/or mostly unlettered rural men and women, who were disadvantaged by the fact that they had no access to the larger context and issues involved in GC's work.

5 Results

5.1 Results obtained in relation to project logframe

The partnership between Hivos and Gene Campaign ended in September 2013. The evaluation were not able to consult the January 2013 – September 2013 progress report which was due in June 2014. Therefore the results incorporated in this report only include the information up to December 2012.

The 2010 project document does not formulate objectives to reach. In a broader sense the document states that Gene Campaign "needs to scale up the existing work on providing seed from the seed banks, to produce significantly larger volumes of seed to support cultivation and food production; this is best done in partnership with the community, starting modestly and building up the seed quantum generated to fulfill an increasing percentage of the requirement of farmers". No targets were set.

Five outputs were formulated to reach this general objective: These outputs are presented in the table below and only represent the achievements between 2010 and 2012.

Table 3
Outputs planned vs outputs realised

Outputs planned	Achieved
1. Provide weather advisory to help farmers plan their cultivation • Train local youth as climate managers so that they can produce and understand the advisory and communicate its contents to farmers using mobile telephony (quantities unknown)	• GC established linkages with agromet services and has regular access to the agromet advisories (every 5 days) • Agromet's advises are shared with farmers by setting up notice boards at Gene Seed Bank • First steps made to convert agromet advisory issued to SMS format in local language to be shared through mobile telephony. • the in-country evaluation team however observes that farmers are still complaining that agromet services are not accessible (see indicator 5.1 in the appendix 4)
2. Conservation of crop genetic diversity & establishing Seed Banks as Seed Sources • Collection and characterization of traditional varieties to conserve genetic diversity • Develop seed desiccation technology to reduce seed moisture to enable long term storage • Store the core agro biodiversity collection in Master Gene Bank and other Banks • Store larger seed volumes for multiplication in Seed Banks • Establish 2 Seed Banks, in partnership with the local community • Strengthen local committees set up to manage the Seed Banks, hand over responsibility increasingly to such Village Samitis • Register farmer varieties with Plant Variety Authority to establish their ownership	• 50 seed samples of traditional varieties of paddy have been collected from Orissa and Jharkhand. Seeds are processed, dried and added in the Gene Seed Bank • 101 traditional varieties made available for farmers • 9 Gene Seed Banks are provided with 5 varieties having a quantity of 25 kg each. These varieties will be provided to communities for multiplication and cultivation so as to increase the seed volume in the Gene Seed Banks • 5 Management committees with 5 members set up (1 reported in 2011, 5 reported in 2012. Not clear whether this adds up to 6 or whether 5 in total are set up)
3. Community based production of quality seeds • Establish a program to generate good quality, certified seeds of locally adapted rice varieties, as well as a contingency crop.	• Program started in 2011 • Beneficiaries for seed production are selected in several villages
4. Making crop production sustainable and high yielding • Improve soil health • Establish SRI to cultivate rice in low water conditions and increase yields • Establish SRI under upland, medium land and lowland conditions	• Soil testing kits are being utilized for soil testing of the field selected for seed production at the initial stage, and to promote soil health improvement measures to the farmers • 6 types of Azolla collected which will help to improve soil health • 2 new vermicompost units set up in two blocks • Gene Campaign is promoting and acting as a resource organization to provide technical support, and provide training to the staff and farmers in SRI methodology in 4 districts. • Gene Campaign itself motivated 185 farmers to use SRI methodology
5. Lobby and Advocacy with RRA Network • Lobby government to scale up soil health program • Lobby for the creation of water bodies through NREGA • Lobby at the national level for shifting subsidies to bioorganic cultivation specially in rain fed areas • Lobby for policy focus on decentralized seed production	No results reported

Source: project document and progress reports.

5.2 Changes in civil society in the 2012-2014 period

5.2.1 Civic Engagement

Civic engagement describes the formal and informal activities and participation undertaken by individuals to advance shared interests at different levels. Participation within civil society is multi-faceted and encompasses socially-based and politically-based forms of engagement.

Generally speaking there has been a slight improvement in the engagement of more farmers, women, tribal groups and youth in Gene Campaign's activities.

Gene Campaign intervenes in three blocks of two districts and now works in 30 villages with 317 farmers having adopted the System of Rice Intensification proposed by Gene Campaign in two of the three blocks (figures of the third block unknown). In 2012, Gene Campaign worked only in 9 villages of these two blocks and with 48 farmers. These farmers are working in 20 farmer clubs, 16 new clubs being formed in the 2012 – 2014 period.

Apart from the farmer clubs nine seed banks are now operational (six in 2012); four new Seed Management Committees (CMC) have been formed as well as 16 new Self Help Groups which makes a total of 20 SHGs being supported by Gene Campaign.

GC prefers to work on project locations where at least fifty percent of the population consists of tribal people, whereas Jharkhand on average has about 28 per cent tribal population. They also state to work with women and youth, although no disaggregated figures were made available.

Past experiences show that Gene Campaign is very responsive to its beneficiary needs: upon request , they supported farmers to grow another paddy variety than proposed by Gene Campaign. Farmers, after needs identification, receive seeds from the seed banks and advice about organic fertilisers, organic pesticides, nursery preparation, transplantation techniques etc. Farmers have to return three times the amount of seed they take.

No changes in the 2012 – 2014 period as regards to the intensity of participation of farmers, women and youth into project identification, programming and evaluation, as well as political engagement of these persons.

Score baseline 2012 on an absolute scale from 0-3:	**3**
Score end line 2014, relative change on a scale of (-2, +2):	**0**

5.2.2 Level of organization

This dimension assesses the organisational development, complexity and sophistication of civil society, by looking at the relationships among the actors within the civil society arena.

Gene Campaign's position in the civil society arena in Jharkhand has deteriorated since 2012 according to field staff and external resource persons whereas Gene Campaign's executive leadership in Jharkhand states that its position has improved.

In Jharkhand, local NGOs used to work together with Gene Campaign in terms of sharing information, supporting each other and farmers to register their seed varieties under the Plant Protection Variety and Farmers' Rights Act (PPVFRA) 2001; so that they are paid royalty if seed companies use their seeds. Or, requesting these NGOs to supply their farmers with seeds from GC's seed banks. The deterioration of the collaboration is explained by various reasons, such as Gene Campaign moving to the more isolated Ormanjhi block; decline in finances and differences of opinion between GC's chairperson and the NGO Shiva that is the only other organisation in Jharkhand working on similar issues.

Some Farmer Clubs, SHGs and seed banks have become more self-reliant and start to become financially sustainable and improve the livelihoods of their members which is a positive development. However the adoption rate of the Rice Intensification System including the use of indigenous seeds as promoted by Gene Campaign is estimated at less than 5 percent of all farmers (some 350 farmers) and that farmers increasingly use hybrid seeds because hybrid seed companies grow increasingly

powerful. Meanwhile other NGOs in Jharkhand have become more powerful in introducing sustainable agriculture.

At the national level interactions with national and international social movements are said to have increased but no further details were provided[20].

Score baseline 2012 on an absolute scale from 0-3: 3
Score end line 2014, relative change on a scale of (-2, +2): 0

5.2.3 Practice of values

Practice of Values refers to the internal practice of values within the civil society arena. Important values that CIVICUS looks at such as transparency, democratic decision making, taking into account diversity that are deemed crucial to gauge not only progressiveness but also the extent to which civil society's practices are coherent with their ideals.

The 'practice of values' dimension has slightly declined in the past two years; Gene Campaign has a charismatic leader at the national level where decisions are made and the Jharkhand office is the implementing body at local level without being informed about the wider vision and strategies of the organisation. Also the farmer clubs, the SHGs and the Seed Management Committees are not aware about Gene Campaign's vision, mission and financial resources.

This situation causes frustration at the Jharkhand branch, causing people to leave. Gene Campaign misses the opportunity to become more accountable to tribal people, women and youth that are represented in its field office.

The field office is not aware about financial auditing procedures in their organisation.

Score baseline 2012 on an absolute scale from 0-3: 1
Score end line 2014, relative change on a scale of (-2, +2): -1

5.2.4 Perception of impact

Perception of Impact assesses the perceived impact of civil society actors on politics and society as a whole as the consequences of collective action. In this, the perception of both civil society actors (internal) as actors outside civil society (outsiders) is taken into account. Specific sub dimensions for this evaluation are the extent to which Gene Campaign has engaged more people in social or political activities, has contributed to strengthening CSOs and their networks, has influenced public and private sector policies.

Generally speaking Gene Campaign's impact at Jharkhand level has slightly improved as far as farmers, women, youth, tribal populations are concerned and the organisational structures that were formed (farmer clubs, self-help groups, seed banks and seed management committees). However no changes were observed regarding its relations with the public sector, including influencing policies. No relations exist with the private sector.

As mentioned in the previous dimensions, more farmers, women, youth and tribal populations are now engaged in Gene's project activities and some organisations established have become more self-reliant, enabling more people to earn a living. Promising livelihood activities mentioned are poultry, nursery raising and vermin-compost manufacturing. Exposure visits organised by Gene Campaign for its target groups help them to obtain new ideas about activities to improve their livelihoods and are said to have lessened their concerns about income, seed purchasing and lack of irrigation over the past two years. The seed banks now contain 972 varieties of indigenous seeds that are being conserved. Field staff is genuinely available for its targets groups.

Collaboration of Gene Campaign with other NGOs in Jharkhand has decreased in the past two years and that they missed the opportunity to take a leading role the local NGO network to improve agricultural practices[21]. It is however through this NGO network that Gene has disseminated

[20] Data collection took place in Jharkhand and not in Delhi where Gene Campaign is located.
[21] Field staff and ex-Hivos staff.

information among farmers on the need to register their seed varieties under the Plant Protection Variety and Farmers' Rights Act (PPVFRA) 2001, so that companies using their seeds are legally bound to pay them a royalty. The number of such registrations has increased from 18 to 144 in the past two years, showing that Gene is capable to strengthen farmer's rights vis-à-vis private seed companies.

Gene Campaign continues working with public sector organisations as agricultural research institutes, state universities and the National Bank for Agriculture and Rural Development (with three ongoing projects) as it did in 2012. They continued their active involvement with the ministry of agriculture. Apart from supporting farmers to register their intellectual property rights regarding seeds, no other policy influencing activities take place in Jharkhand, mostly because staff is said not to have the capacity to engage with high level decision makers. Only the founder of Gene is engaged in policy influencing at national and international level.

Score baseline 2012 on an absolute scale from 0-3: 2
Score end line 2014, relative change on a scale of (-2, +2): +1

5.2.5 Environment

The social, political and economic environment in which civil society operates affects its room for manoeuvre. The civil society context has been described in chapter 3. In this section we describe how Gene Campaign is coping with that context.

No changes did occur with regards to the context in which Gene is operating and how Gene is coping with these challenges. Major challenges consist of two of the three blocks were Gene is operating are still being affected by Naxalism. However, Gene Campaign staff indicates that they feel that Naxals are not a threat as they see Gene Campaign as a valuable organisation.

Farmers continue to be pressured to sell their land to the mining industry because their land is mineral rich.

A 2011-12 Narrative Report authored by GC for Hivos lists some of the specific challenges faced by its Jharkhand unit vis a vis the environment they function in. These remain the same in 2014: a) farmers are not able to hold on to their harvest till the end of seed processing and certification period because of immediate financial need, a revolving "Buy Back Fund" is required to buy up the seed from farmers and settle accounts with them after seed sale; there are currently no funds for this b) because of the poor market infrastructure and connectivity, majority of the farming communities prefer to restrict production for family use c) non availability of agro met services makes farmers more prone to the vagaries of climate change d) small land holdings of majority of farmers makes it difficult to organise farmers for seed production e) drought, erratic rainfall and lack of support from government is leading to increased rice fallows every year f) in the changing climatic conditions farmers are keen to cultivate and produce seeds of high yielding varieties (read GM and hybrid seeds).

Score baseline 2012 on an absolute scale from 0-3: 3
Score end line 2014, relative change on a scale of (-2, +2): 0

5.3 To what degree are the changes attributable to the Southern partners?

For Gene Campaign, the strategic orientations to focus on in this evaluation are civic engagement and the strengthening of intermediate organisations. During the evaluation process it became clear that in the case of Gene Campaign these two orientations are highly intertwined. This is because most activities focus both on the setting up of CBOs as on capacitating them. Therefore it was chosen to combine the two orientations in this section, and write up the explanations for the different activities.

5.3.1 Forming of Farmers Clubs

Farmers' Clubs (FCs) act as village bodies that inform farmers about various government schemes and help farmers avail them, disseminate best sustainable agriculture practises, plan and execute small business plans and assist members in getting loans etc. Gene Campaign's Jharkhand branch has been

establishing FCs to act as intermediaries between it and farmers. In the last two years, they have established 16 new FCs in the two Jharkhand districts that are their project area.

However, another reason for this increase in the number of FCs is the pressure by NABARD, which Gene Campaign staffers said was funding a significant part of their activities. NABARD has been very insistent that NGOs being funded by it must establish FCs. Also, NABARD has been providing financial assistance to newly formed and registered FCs, resulting in villagers themselves getting interested in forming and registering FCs to avail such financial assistance.

The evaluators assess that all the above mentioned actors—and the factors that have been the consequence of their actions—have contributed to the expansion of the number of FCs. Gene Campaign's efforts have of course been an important component.

However, it may be noted that, the FCs thus established by Gene Jharkhand are still at a very primary stage, as only four of them (out of 20) are registered with NABARD and until so far only one FC has been successful in commercially producing vermin compost.

5.3.2 Seed Banks

The primary aim of Gene Campaign is conservation and promotion of traditional seed varieties and towards this it has been establishing seed banks, Seed Management Committees (SMCs), and conducting activities around collection of rare, indigenous seeds. Three new seed banks have been created in the last two years, four SMCs have been formed and 78 new varieties (of a total of 972) have been discovered and conserved in Gene Campaign's Master Seed Bank.

It must be noted, however, that the SMCs are in their initial stage of development. They are meant to act as community management institutions of the seed banks after the exit of Gene Campaign, a role that they do not seem to be ready for yet; also Gene Campaign staffers too are reluctant to hand over complete responsibilities to them clearly. These facts show that the SMCs are far from having capacitated such that they will cease to be effective if gene campaign were to exit in the near future.

Since there is no evidence or report which indicates that any other actor of factor is working on this issue in Jharkhand, the evaluators conclude that only Gene Campaign could be credited for making them happen.

5.3.3 Self Help Groups

The 16 new SHGs or the Mahila Samitis formed between 2012 and 2014 are not all formed from scratch by the Gene Campaign. Some of them were established by other NGOs, like NVJK (Nav Bharat Jagriti Kendra) and SPWD (Society for Promotion of Wasteland Development), but they became defunct once these NGOs pulled out. Such SHGs were re-activated by Gene Campaign.

A prominent success story of these SHGs is Saraiphool Mahila Samiti in Mailghongsa village, which developed a nursery on a commercial scale and started selling plants and making profits. But other SHGs have not been able to register such success yet, and it seems they are yet to develop as self-sustained women bodies.

The establishment of SHGs has also become easier over these past years because of high insistence of government and other funding agencies on SHG formation building. The bigger challenge is to make them self-sustained and exit, which Gene Campaign is yet struggling with.

Since setting up SHGs is an activity which is being promoted and implemented at a large scale by a number of actors, the evaluators believe that other than Gene Campaign, NGOs like NBJK, KGVK, banks like NABARD and government programmes like SGSY (Swarnajayanti Gram Swarozgaar Yojna) etc. also played direct or indirect yet limited roles in achieving the outcome.

5.3.4 Promotion of Sustainable Agriculture

Gene Campaign promotes sustainable agriculture practises, like SRI, use of indigenous seeds, bio-fertilisers and vermin-compost etc. It has made a number of efforts in this regard and arranged a number of trainings, outreach exercises. However, the state government of Jharkhand also promotes SRI through networks like ASHA (Alliance for Sustainable and Holistic Agriculture) and provides

financial incentives for this. NGOs like SPWD (Society For Promotion of Wastelands Development) are also promoting this in the districts where Gene Campaign is working.

Despite all these efforts, the coverage of SRI technique is still extremely low (less than 350 farmers associated with Gene Campaign have adopted it). Gene Campaign has also imparted trainings regarding backyard poultry, animal husbandry, orchards development etc. to farmers in these years but these are long term initiatives and their results will take some time to show up.

The evaluators assess that for this outcome, a number of other actors than Gene and other factors have a role to play. These are: the state government, ASHA, SPWD. Also, other than these, renowned environmentalist Vandana Shiva's organisation Navdanya has also started working in some parts of Jharkhand recently, but neither the evaluators nor those interviewed have detailed information of Navdanya's work.

5.4 What is the relevance of these changes?

5.4.1 Relevance of the changes in relation to the Theory of Change of 2012

During the baseline in 2012 the Theory of Change indicated that the overall goal of Gene Campaign was sustainability of farmers. The two conditions for this goal are market linkages and favourable policies. Generally speaking the outcomes achieved as described in 5.2 and in 5.3 in the first place support the strengthening of CBOs, but evidence exists that only some CBOs are capable of engaging with local markets. No activities by Gene have been reported where they try to establish market linkages in Jharkhand.

No improvements in policies have been reported nor efforts undertaken by the Jharkhand office to improve policies at this level. It is to be observed that Gene has not attempted to influence the ministry of agriculture's policy of boosting agriculture with the use of hybrid seeds instead of indigenous seeds.

5.4.2 Relevance of the changes in relation to the context in which the SPO is operating

Gene Campaign is mostly working on capacity building of farmers. They aim to have farmers take ownership of the seeds that they produce and make them more self-sufficient. Moreover, Gene Campaign believes that the indigenous seed varieties which have not been genetically modified are important to preserve. Therefore they motivate farmers to use these indigenous varieties and their knowledge of growing them, in order to preserve the seeds. This is the main goal of the Seed Banks.

Apart from this Gene Campaign is supporting farmers to protect their intellectual property rights with regards to the indigenous seeds they grow and conserve.

In relation to the context these efforts are valuable, because increasingly private seed companies are intruding local markets to sell hybrid seeds and are trying to commercialise indigenous seeds without any compensation for the farmers that invested in these seeds. Also the ministry of agriculture is now promoting the use of hybrid seeds to boost agricultural production.

Also these interventions are relevant when considering the extreme poverty and the illiteracy rate of Jharkhand's population. Any act of organising these populations and to help them to claim their rights, be it with regards to indigenous seeds or protecting their access to land, is to be considered relevant for securing their livelihoods.

5.4.3 Relevance of the changes in relation to the policies of the MFS II Alliance and the CFA

People Unlimited 4.1, as detailed in their MFS II programme should deploy four interrelated programmes that build and strengthen civil society in the South as the cornerstone of structural poverty alleviation. These programmes are: Green Entrepreneurship, Rights and Citizenship, Expression and Engagement, and Action for Change.

An ex-Hivos employee indicated that Gene Campaign's project is in alignment with Hivos' civil society strategy. It has been managed under the Green Entrepreneurship programme as it aims to mobilize farmers and build their capacities. The cooperation between Hivos and Gene Campaign was twofold: on the one hand Hivos supported them in the project described in this report, and on the other hand they were involving Gene in a network of NGOs in which Gene's charismatic leader was believed to be of great value which unfortunately did not materialise. We could conclude that Gene Campaign's outcomes achieved so far were not that relevant for Hivos' Green Entrepreneurship programme although it was promising at the beginning of the MFS II programme.

5.5 Explaining factors

5.5.1 Internal factors – Gene Campaign's Organisational Capacity

A disconnect between GC's Delhi-headquartered leadership and its Jharkhand branch personnel was apparent at the time of the baseline, as also during the end line. No one from the headquarters participated in either of the evaluation workshops in 2012 and 2014, both held in Jharkhand's capital Ranchi. The workshops made it evident that the executive, managerial and field level staff in GC Jharkhand lacked the organisation's larger vision, were uninformed regarding the broader issues at stake, and unaware of GC's work outside of the state.

A similar schism seems to exist between the executive and the ground-level staff within the Jharkhand branch too. The views and the information shared by the field staff and executive leadership were contradictory on a number of indicators, indicating yet another disconnect in GC, not just between the headquarters and the regional branch, but within the Jharkhand branch.

The past two years also saw GC Jharkhand's staff strength shrinking from fourteen to eight. External resource persons who have been in the know of GC Jharkhand's functioning observed that the high turnover was the consequence of the staff being demotivated, and often at the receiving end of harsh feedback. The vision from the top, they said, is hardly ever transmitted to the ground levels.

5.5.2 Relations Alliance - CFA-SPO

Hivos had expected Gene Campaign to contribute more to the NGO network. As this has not been materialised, they have been slightly disappointed. However, Gene's work in Jharkhand has been appreciated, including its impact upon civil society; the farmer clubs, self-help groups and seed management committees.

5.5.3 External factors

Although Gene Campaign is working under very severe conditions, these have not influenced their outcomes obtained. They manage to be operational in two blocks were Naxalists are in power. The severe poverty and high illiteracy rates may affect the slow improvement of CBOs becoming self - sufficient and the increasing presence of private seed companies that sell hybrid seeds may impact negatively upon their work, but no evidence has been observed to substantiate this.

Positive factors are for instance the support given by the government with regards to the promotion of sustainable agricultural development, including the financial support needed for NGOs to support this type of development. However it should be noted that the government aims to promote the use of hybrid seeds, which require less lab our and generate higher yields.

6 Discussion

6.1 Design of the intervention

According to the Census 2011, Jharkhand's population is 32,988,134, of which about 76 per cent is rural at 25,055,073; Jharkhand's Department of Agriculture (DoA) says 80 per cent of the state's rural population is involved in agricultural activities, which makes agriculture the employment and primary source of their income.

Meanwhile, GC Jharkhand's work in three blocks of two districts in Jharkhand has established 20 Farmers Clubs (FCs), nine seed banks, constituted four Seed Management Committees (SMCs) and formed 22 Self Help Groups (SHGs). These numbers though commendable, are not statistically remarkable given the large numbers involved in Jharkhand's agriculture sector. A Ranchi-based development academic observed that the adoption rate of the SRI technique by farmers trained by Gene Campaign is negligible and that some might have adapted the technique but use hybrid seeds which requires less labour inputs and has higher yields. He added that there might be very few farmers who are repeat users of the SRI farming technique after one, or at most two, cropping seasons.

The past two years have not seen any noteworthy intervention or strategy to upscale Gene Jharkhand's work in the state, at least none that the Jharkhand branch staff were aware of and could inform the evaluators about. Till blueprints of such strategies are in the making, Gene Jharkhand's work cannot be leveraged into accruing significant benefits for the cause of sustainable agriculture using indigenous inputs.

Also, for sustainable agricultural practices using indigenous seed varieties to become popular, government buy-in is imperative. Actors in Jharkhand's development sector interviewed for the baseline and end line evaluations maintained that none among Gene Jharkhand's present staff have access to the language or the larger vision to lobby with the government. Only Gene's founder chairperson has this ability, and has lobbied effectively at the national and international levels in the past. However, no similar efforts were undertaken at the level of Jharkhand's agriculture policies. Regretting this, the experts pointed out that, lobbying is the need of the hour in Jharkhand given that the government is looking to raise the state's low agricultural productivity, this through pushing hybrid seeds. No documentation or dissemination of information to push for the link between increase in productivity through indigenous seeds and farming practices is being done by GC.

As a conclusion we can say that the programme of Gene Campaign was not designed well enough, especially as it was not taking the local needs into account. In order for it to have succeeded more it is necessary to implement a good needs-assessment at local level before implementing the programme. Farmers are often illiterate people and do not always understand the underlying reasons for Gene Campaigns work, such as climate change. It is therefore necessary to educate them on the background of the work and ask for their inputs before implementing such an intervention.

6.2 Replication of the intervention

The evaluation team believes that the intervention as it was now is not ready for any form of replication, be it in another context or by another organisation. However, on the last possibility there are some issues that should be improved in order for the programme to be more successful.

The single largest hindrance to the development of Gene Jharkhand's work has been the branch personnel's lack of access to the broader issues at stake. Both during the baseline and the end line, the branch personnel remained unaware of their own significance in the chain of national and international activities—or indeed even the activities—to promote sustainable agricultural practices using indigenous inputs. At the most basic level, this meant that, no one, including Gene Jharkhand's

executive leadership, even knew to what end the data being generated by them on ground was being used for. Some knowledge of this might have helped the personnel acquire a sense of purpose larger than just establishing FCs and seed banks. Some of this could even have percolated down to the farming community that is Gene Jharkhand's target.

Participation in seminars, lectures, workshops discussing the broader picture might have helped. So also a more encouraging engagement with the organisation's Delhi headquarters, with the branch office informed routinely of the activities of the other Gene branches.

The FCs and SMCs would also benefit from information percolating down to them.

Also, a much more vibrant engagement with the policymakers—bureaucrat parliamentarians and politicians included—is imperative for the project's impact to be meaningful to farmers all over the state, and indeed nationally.

7 Conclusion

Changes in the 2012-2014 period

In the 2012 – 2014 period the most important changes that took place in the civil society arena of Gene Campaign are 'Civic engagement' and 'Perception of impact'.

For the first dimension Gene Campaign managed to increase the number of Farmers Clubs (FCs), Seed Management Committees (SMCs) and Self Help Groups (SHGs). In total some 317 farmers in 30 villages have adopted the System of Rice Intensification proposed by Gene Campaign. Farmers, women, youth and tribal people show increased capacity to take ownership of their livelihoods and some of their organisations established. Apart from this the number of intellectual property rights for indigenous seeds registered by farmers under the Protection of Plant Variety and Farmers Rights Act has increased from 18 to 144 in the past two years, showing that Gene is capable to strengthen farmer's rights vis-à-vis private seed companies.

A slightly negative change can be observed with regards to the dimension 'Perception of Impact'. Many respondents had expected that Gene Campaign would grow out to become an example of an organisation capable of expanding its work to other areas and contexts. However networking with other NGOs in Jharkhand has seen a decline in the past two years and at national level Gene did not play a convincing role in the RRA Network of NGOs.

Contribution analysis

The evaluation did a quick contribution scan for four outcomes (Farmer Clubs, Seed Management Committees, Self Help Groups and the promotion of sustainable agriculture and concludes that Gene's contribution is most evidence when the Seed Management Committees are concerned. Apart from Gene Campaign, many other NGOs and the government are financially and technically supporting the creation of self-help groups, farmer clubs as well as promoting sustainable agricultural practices although these may not always include the use of indigenous seeds.

Relevance of these changes

With regards to the baseline ToC which mentioned two the importance of having market linkages and favourable policies, Gene's interventions and outcomes are not relevant because they did not address these issues.

With regards to the context in which Gene Campaign is operating, its interventions and outcomes achieved are relevant because farmers need to become more aware of the threats to their yields, and motivate them to use indigenous varieties.

With regards to the CS policies of Hivos, Gene Campaign's interventions and outcomes are relevant because it is in line with Hivos' Green Entrepreneurship programme which aims to build the capacities of farmers. The programme is very relevant to the work of Hivos in general. However, the cooperation between Hivos and Gene Campaign was not only on the project level, but also on the involvement of Gene Campaign in the RRA Network of NGOs. Here they were supposed to be an example for other organisations and scale up their programme. This has not happened, which makes their work not relevant in that respect.

Explaining factors

The information related to factors that explain the above findings was collected at the same time as the data were gathered for the previous questions. The evaluation team looked at internal factors within Gene Campaign, the external context in which it operates and its relations with Hivos.

Since the baseline assessment, staff turnover in the field office of Gene in Jharkhand has increased, which is mainly to be explained by the hierarchical structures in the organisation that hamper local staff to take ownership of the vision and mission of Gene beyond their daily work. Relations with Hivos did not influence the findings, because the relation between both organisations has remained constructive, though Hivos' expectations of Gene's role in the Green Entrepreneurship programme were not met.

Project Design

The evaluation team believes that the intervention as it was now is not ready for any form of replication, be it in another context or by another organisation. Conditions that need to be in place in order to ensure more favourable development outcomes in the first place relate to the organisational structure and culture of the implementing organisation that needs to share responsibilities and information with regards to its vision, mission and implementation strategies across the organisation from top leadership to field staff directly working with grass roots organisations. Such an organisation also needs to avail of the necessary capacity to be able to engage with key policy makers that decide upon policies and procedures that affect the livelihoods of rural people.

Table 4

Summary of findings.

When looking at the MFS II interventions of this SPO to strengthen civil society and/or policy influencing, how much do you agree with the following statements?	Score
The CS interventions were well designed	3
The CS interventions were implemented as designed	7
The CS interventions reached their objectives	8
The observed outcomes are attributable to the CS interventions	6
The observed CS outcomes are relevant to the beneficiaries of the SPO	7

Score between 1 to 10, with 1 being “not at all” and 10 being “completely”.

References and resource persons

Documents by SPO

Title	*Year*
Narrative Report	2010-2011
Narrative Report	2011-2012
Proposal 14.09.2010	2010
Workplan	2011-2012
Workplan	2012-2013
Hivos Work Plan & Budget	2013-2014

Documents by Alliance

Title	*Year*
FINAL HIVOS ALLIANCE MFS Report 2011_27-04-2012x	2012
Hivos Alliance MFS Report 2012	2012
Hivos Alliance MFS Report 2012	2013
Brief 110719 Hivos Alliance baseline strengthening civil society	2011

Other documents

Author	*Year*	*Title*	*publisher*
Social Watch	2012	Social and Economic Rights Fulfillment Index (SERF) – A new human rights approach	Social Watch
Heritage	2014	Economic Freedom of India	Heritage.org
M. Areeparampil	1996	Displacement due to mining in Jharkhand	Economic & Political Weekly
Mati J.M., Silva F., Anderson T.	April 2010	Assessing and Strengthening Civil Society Worldwide; An updated programme description of the CIVICUS Civil Society Index: Phase 2008 to 2010	CIVICUS

Webpages

Author	*Title*	*Webpage link*	*date*
Find the Best	India Corruption Information	http://country-corruption.findthebest.com/l/98/India	August 2014
Find for Peace (FFP)	Country data and trends for India in 2014	http://ffp.statesindex.org/2014-india	August 2014
Freedom House	Freedom scores India	https://freedomhouse.org/report/freedom-world/2014/india-0#.VGCiRvlwtcQ	August 2014
World Values Survey	India information	http://www.worldvaluessurvey.org/WVSContents.jsp	November 2014
Vision of Humanity	Global Peace Index for India	http://www.visionofhumanity.org/#page/indexes/global-peace-index/2014/IND/OVER	November 2014
FMSF	Foreign Contribution Regulation Act of NGOs	http://www.fcraforngos.org/	September 2014
The Times of India	Lens on foreign funds to NGOs featuring on IB report	http://timesofindia.indiatimes.com/india/Lens-on-foreign-funds-to-NGOs-featuring-on-IB-report/articleshow/37801293.cms	September 2014
First Post India	Jharkhand's shameful decade: 7,563 women raped	http://www.firstpost.com/india/jharkhands-shameful-decade-7563-women-raped-275159.html	November 2014
The Times of India	Jharkhand records highest Naxal violence this year	http://timesofindia.indiatimes.com/india/Jharkhand-records-highest-Naxal-violence-this-year/articleshow/19643167.cms	November 2014
Hindustan Times	After arcelormittal, Monnet Ispat may abort Jharkhand Plan	http://www.hindustantimes.com/business-news/after-arcelormittal-monnet-ispat-may-abort-jharkhand-plan/article1-1095911.aspx	November 2014
Infochangeinda.org	Jharkand: the failed promise of an adivasi state	http://infochangeindia.org/human-rights/analysis/jharkhand-the-failed-promise-of-an-adivasi-state.html	November 2014
Kafila	Jharkhand, twelve years later: Mahtab Alam	http://kafila.org/2012/12/05/jharkhand-twelve-years-later-mahtab-alam/	November 2014
Down To Earth	Bokaro's displaced still await compensation	http://www.downtoearth.org.in/content/bokaros-displaced-still-await-compensation	November 2014
The Economic Times	The New Land Acquisition Act to come into effect from 2014	http://articles.economictimes.indiatimes.com/2013-10-16/news/43107324_1_monsoon-session-jairam-ramesh-new-land-acquisition-act	September 2014

Wassan	Revitalizing Rainfed Agriculture	http://www.wassan.org/Support_Services_8.htm	November 2014
National Bank for Agriculture and Rural Development	NABARD	https://www.nabard.org/english/home.aspx	November 2014
Ministry of Science & Technology	Department of Science & Technology	http://dst.gov.in/	November 2014
SRI India	System of Rice Intensification (SRI)	http://www.sri-india.net	November 2014
Nav Bharat Jagriti Kendra	NBJK	http://nbjk.org	November 2014
Society for Promotion of Wastelands Development	SPWD	http://www.spwd.org	November 2014

Resource persons consulted

For confidentiality reasons, the names and details of the persons have been removed.

Organisation	*Function in organisation*	*Relation with SPO*
Gene Campaign	Programme Manager	
Gene Campaign	Coordinator	
Gene Campaign	Field Coordinator	
Gene Campaign	Field Coordinator	
Gene Campaign	Field Coordinator	
Gene Campaing	Field Staff	Ormanjhi Block, Ranchi
Gene Campaign	Field Staff	Angadha Block, Ranchi
Gene Campaing	Field Staff	Karra Block, Khunti
Chetna		Cooperating with SPO
Ranchi University		Resource person for Gene Campaign
Kisan Club		Cooperating with SPO
Kisan Club		Cooperating with SPO
Kuchu Panchayat, Ormanjhi Block		Cooperating with SPO
Sahiya		Cooperating with SPO
Saraiphool Mahila Samiti (SHG Angara Block)		Cooperating with SPO
Saraiphool Mahila Samiti (SHG Angara Block)		Cooperating with SPO
SMC Bijang, Ormanjhi block		Receives support to work with beneficiaries/ households
SMC Mailghongsa, Angara block		Receives support to works with beneficiaries/ households
Ex Hivos		Former programme coordinator Hivos India

Appendix 1 Civil Society Scoring Tool Gene Campaign

This table presents the appreciation of the evaluation team regarding changes occurred for each indicator between 2012 and 2014 on a scale of -2 to + 2

- 2 = Considerable deterioration
- 1 = A slight deterioration
0 = no change occurred, the situation is the same as in 2012
+1 = slight improvement
+2 = considerable improvement

Dimension		Indicators	Question	Change
Civic engagement	1	Needs of marginalised groups	How does your organisation take the needs of your beneficiaries/target groups, in particular marginalised groups into account in your planning, actions, activities, and/or strategies?	+1
	2	Involvement of target groups	What is the level of participation of your beneficiaries/target groups, in particular marginalised groups in the analysis, planning and evaluation of your activities?	0
	3	Political engagement	How intense is your (individual staff or organisational) participation in locally-nationally elected bodies and/or sectoral user groups?	0
Level of organisation	5	Relations with other organisations	In the past 12 months what has been the most intensive interaction you had with other CSOs?	-1
	5	Frequency of dialogue with closest CSO	In the past 12 months how many meetings did you have with the CSO that you have most intensive interaction with?	-1
	6	Defending the interests of marginalised groups	Which CSO are most effective in defending the interests of your target groups? In the past 12 months, how did you relate to those CSOs?	+1
	7	Composition current financial resource base	How does your organisation finance institutional costs such as workshops of the General Assembly (if applicable); attendance to workshops of other CSOs; costs for organisational growth and/or networking?	0
Practice of Values	8	Downward accountability	To what extent can mandatory social organs (steering committee, general assembly, internal auditing group) ask your executive leaders to be accountable to them?	-1
	9	Composition of social organs	What % of members of your mandatory social organs belong to the marginalised target groups you are working with/for?	0
	10	External financial auditing	How regularly is your organisation audited externally?	Not applicable

Perception of impact	11	Client satisfaction	What are the most important concerns of your target groups? How do your services take into account those important concerns?	+1
	12	Civil society impact.	In the past 12 months, what impact did you have on building a strong civil society?	+1
	13	Relation with public sector organisations.	In the past 12 months, what interaction did you have with public sector organisations to realise your programme and organisations' objectives?	0
	14	Relation with private sector organisations	In the past 12 months, what interaction did you have with private sector organisations to realise your programme and organisations' perspective?	Not applicable
	15	Influence upon public policies, rules, regulations	How successful have you been in influencing public policies and practices in the past 2 years?	0
	16	Influence upon private sector agencies' policies, rules, regulations.	How successful have you been in influencing private sector policies and practices in the past 2 years?	Not applicable
CS cont ext	17	Coping strategies	In the past 2 years, how did your organisation cope with these changes in the context that may have been positive or negative consequences for civil society.	0

Appendix 2 Changes in civil society indicators between 2012 and 2014

2.1 Civic Engagement

2.1.1 Needs of the marginalised groups

How does Gene Campaign take the needs of its beneficiaries/ target groups, in particular marginalised groups into account in its planning, actions, activities, and/or strategies?

Gene Campaign (GC) continues to work on sustainable agriculture through preservation and production of indigenous seed varieties and cultivation techniques. Towards this, they work closely together with local stakeholders, who are mostly farmers with medium and small landholdings faced with poor soil productivity and lack of good seeds. GC visits villages and consults the local communities. Among them are also women, youth and people from tribal communities. Involvement of local beneficiaries is an important part in project implementation.

Towards this, the past two years have seen GC—that works in three blocks of two districts in Jharkhand— expanding the numbers of the CBOs it supports and guides by: a) establishing 20 Farmers Clubs (FCs), of which 16 were formed between 2012 and 2014 b) setting up nine seed banks, three of them between 2012 and 2014 c) constituting four Seed Management Committees (SMCs) between 2012 and 2014 e) forming 22 Self Help Groups (SHGs), of which 16 have been formed between 2012 and 2014.

The GC staffers said that their work had expanded from seven villages to 12 villages in the Angara block of Ranchi districts between 2012 and 2014; only 44 farmers in the block were using the SRI[22] (System of Rice Intensification) technique two years ago, now 210 farmers are. Similarly, the Ormanjhi block had not more than four farmers in two villages using the SRI technique in 2012, now, 117 farmers from 18 villages in block are using the technique.

A GC authored 2011-12 Narrative Report cites an instance which showcases how community needs sometimes even reshape the organisation's documented plans. Since a majority of farmers' families, on a certain seed distribution occasion, were uninterested in the seed production of the traditional Gundaribhog (scented rice) because of its low yield, changes were made in the intended results as agreed in the programme document—and new varieties were added after consultation with scientist of the Ranchi-based Birsa Agriculture University[23] (BAU) and participating families; marketing potential of the produced seed was however kept in mind while making these changes.

Barring the field staff who saw the situation as unchanged, all other levels in GC's Jharkhand branch said that the involvement of target groups had improved. It was observed that GC's interactions with

[22] System of Rice Intensification (SRI) emerged in the 1980's as a synthesis of locally advantageous rice production practices encountered in Madagascar by Fr Henri de Laulanie, a Jesuit Priest who had been working there since 1961. SRI is a combination of several practices those include changes in nursery management, time of transplanting, water and weed management. Its different way of cultivating rice crop though the fundamental practices remain more or less same like in the conventional method; it just emphasizes altering of certain agronomic practices of the conventional way of rice cultivation. All these new practices are together known as System of Rice Intensification (SRI). SRI is not a fixed package of technical specifications, but a system of production with four main components, viz., soil fertility management, planting method, weed control and water (irrigation) management. See http://www.sri-india.net/html/aboutsri.html

[23] Birsa Agricultural University (BAU) is an agricultural university established on June 26, 1981 at Kanke, Ranchi in Jharkhand and was formally inaugurated by the then Prime Minister of India, Indira Gandhi. Its primary objective is to develop area specific technologies and manpower in the field of agriculture, animal husbandry and forestry for the agricultural development of the plateau region of Bihar and economic upliftment of tribal and other backward class population of the region. See http://www.bauranchi.org/about-bau/

associated SHGs were earlier only regarding SHG formation, but now member needs are discussed to create awareness on income generation activities. GC also organises exposure visits for farmers of FCs and members of SHGs on the issues of integrated farming model, SRI, horticulture, drip irrigation, poultry, duckery, modern techniques, machines and equipment etc. Further, GC provides information on agriculture to interested village youth. Also, when innovative activities, like mushroom cultivation, are met with initial resistance or hesitation, GC staffers spend more time with the community to gain its trust and discuss its wishes.

Score: +1

2.1.2 Involvement of target groups

What is the level of participation of Gene Campaign's beneficiaries/target groups, in particular the marginalised groups, in the analysis, planning and evaluation of its activities?

GC ensures participation of different target groups like women, youth and tribal people in their work, not just by identifying their needs, but also by involving them in planning of projects. Since Jharkhand has about 28 per cent tribal population, GC prefers implementing its projects in areas where the population consists of at least fifty per cent tribal people.

Hivos' December 2012 Interim Report states that GC conducts meetings with farmers of various villages and hears their concerns regarding seeds. It is only after such consultative meetings, where the provision of land for seed bank construction is also discussed, that a committee is formed by the villagers to decide on the details of the seed bank's construction. These meetings are also attended by the gram pradhan, panchayat cashier, panchayat samiti members, ward members and Jila Parishad members. Also, before the rice sowing season, the GC team prepares a list of farmers interested in paddy cultivation. For this, notices calling interested farmers to contact their gram pradhan or concerned panchayat representatives are put up in villages. Farmers are asked to register their names, along with the details of their land type (lowland, medium land, upland). Once the list is made, these farmers are called to one of GC's seeds banks where seeds are distributed according to the land type of the farmer. The seed is given in a barter system, farmers having to return three times the amount of seed they take. During the seed distribution, the farmers are also given information about organic fertilisers, organic pesticides, nursery preparation, transplantation etc.

The FCs, SMCs and SHGs formed and supported by GC are, in fact, the best guarantors of the target groups' participation in the organisation's planning, strategies and activities. The numbers of such CBOs have grown in the period between the baseline and the end line.

Over and above this, local Jharkhand youth continue to be a part of the GC's regional office; this in its own way can also be perceived as community input.

However, at around the time of the baseline, GC enjoyed some intense partnerships with local NGOs, and involved them in most of their planning and implementing activities. End line interviews conducted with such organisations indicated the waning of such relationships over the past two years.

The GC Jharkhand executive leadership maintained that the organisation continues to engage the target group in its work just like earlier. But the coordinators and staff in the field observed that there has been an improvement in target group participation. They said that the Gram Sabha[24] meetings are now being used by GC staffers to assess and service local needs better, as also seek opinions and ideas of the community to formulate strategies and work plans.

Score: 0

[24] The Gram Sabha (GS) is the cornerstone of the entire scheme of democratic decentralisation in India initiated through the 73rd Amendment to the Constitution. Hence, the success or failure of the Panchayati Raj system largely depends on how powerful and effective the GS is at the decentralised level to fulfil the desires and inspirations of the people. Article 243(B) of the Constitution defines the GS as a body consisting of persons registered in the electoral rolls relating to a village comprised within the area of the Panchayat at the village level. With regard to its powers and authority, Article 243 (A) of the Constitution says that the GS may exercise such powers and perform such functions of the village level as the Legislature of a State may, by law, provide. It is in the light of this that State legislatures have endowed certain powers to this corporate body relating to the development of the village. See http://pib.nic.in/feature/feyr2000/fapr2000/f030420001.html

2.1.3 Intensity of political engagement

How intense is Gene Campaign's (individual staff or organisational) participation in (locally) elected bodies and/or sectorial user groups?

GC is apolitical. Working as it does in a state that is rife with left extremism, it is very important that GC be perceived as such by those who it works with and, indeed, works for.

At the local level, however, GC has always continued to consult the village leader and the village level elected representatives (Panchayat members) before the start of a project or programme. Discussing programmes, gaining trust and sharing perspectives with them gives the GC activities backing from authority and makes project implementation more secure.

The only change in GC's engagement with elected village representatives between the baseline and the end line evaluations is that it now uses the gram sabha meetings to assess community needs and introduce its plans and activities among villagers. This helps building better rapport with community and the panchayats' approval is built into programme from the beginning.

An end line interview with a panchayat member associated with GC over the years revealed that panchayats in the GC project areas do have an overall idea of its activities, though they might not be actively working with it at present.

Score: 0

2.2 Level of Organisation

2.2.1 Relations with other organisation

What has been the most intensive interaction Gene Campaign had with another civil society organisation working on the same issue/topic?

In general, GC has strong interactions with national and international social movements and close linkages with farmers' organisations across the country. But, the Jharkhand branch interacts mostly with local organisations—among which are Sahiya, Chetna, Sidha and Krishi Gram Vikas Kendra (KGVK).

The executive leadership and field coordinators, based in Jharkhand, said that these interactions—as also those with CBOs such as FCs, SMCs and SHGs associated with GC Jharkhand—have improved over the past two years.

Unlike earlier, for instance, GC now shares not just SHG formation information, but also provides livelihood guidance to the SHGs associated with it.

With other local NGOs, GC continues to seek informal support towards gathering and disseminating information. Such as asking farmers to register their seed varieties under the Plant Protection Variety and Farmers' Rights Act (PPVFRA) 2001, so that they are paid royalty if seed companies use their seeds. Or, requesting these NGOs to relay to GC the demands of farmers for seeds. The two local NGOs that GC has collaborated intensely with over the past two years were named, Sidha and KGVK. Given that the objectives of both are aligned with those of GC's, and both have their own FCs, resource sharing is natural.

It was made clear, however, that such interactions with other NGOs happen only at the level of the leadership. Expectedly therefore, the field staff regretted that GC Jharkhand's relationships with other organisations have deteriorated. They, in fact, said that not only have no new working alliances been formed, GC, at least at their level, has even stopped working with the NGOs that were its partners at the time of the baseline evaluations.

Functionaries from local NGOs corroborated this, stating that, unlike earlier, they are now not in the know on much of GC's current activities because the interactions between GC and their organisations have declined in the last about one and a half years. They attributed GC's shifting its office out of Ranchi city to the Ormanjhi block as a probable reason for the organisation's isolation. But the primary reason for GC's neglecting smaller local NGOs like theirs, they reasoned, was typical of big NGOs that

host posh workshops with lavish lunches for local NGOs when they begin work in a new area. This is done to fulfil funder demand that they 'Network'. Funds are also allocated to smaller local NGOs initially, only to be withdrawn later, and the local NGOs are abandoned.

A Ranchi-based subject expert observed that some of the local NGOs GC Jharkhand works with are very weak, lacking capacity and understanding of farming practices; and that the past two years have seen a downslide in GC's already weak networks. It is regrettable, he added, that problematic personal equations between GC's founder chairperson Sahai and renowned environmentalist Vandana Shiva have prevented them from joining causes despite the fact that Shiva's is the only other prominent organisation working in Jharkhand on similar issues.

Score: -1

2.2.2 Frequency of dialogue with closest civil society organisation

How many meetings did Gene Campaign have with the civil society organisation that Gene Campaign has most intensive interaction with? What is the name of this organisation?

The baseline evaluations had found the field staff out of the loop when it came to interactions with other CSOs. GC had conducted 30 to 40 meetings with other CSOs in the year 2012, according to the leadership; a minimum of two to three in a month, according to the coordinators. While the field staff had been unaware of how many meetings GC had had with other CSOs.

Keeping to this pattern, the end line evaluations had the executive leadership and the field coordinators reporting an improvement in the frequency of their interactions with the local NGOs over the past two years, while the field staff felt that the situation had deteriorated considerably.

The leadership noted GC now tries to organise at least one combined meeting with all the partner organisations on quarterly basis. The coordinators stated that the meetings with partner organisations are held as and when the need arises. The field staff stated that there was no interaction with other NGOs at their level.

Functionaries from some of the local NGOs that GC claims are its partners said that they had barely been in contact with the organisation over the past one and a half years.

Score: -1

2.2.3 Defending the interests of marginalised groups

Which civil society organisations are most effective in defending the interests of Gene Campaign's target groups? Why?

During the end line evaluations, the executive leadership said that earlier GC Jharkhand staffers would spend a bulk of their time training communities to manage seed banks. This has now resulted in the community-managed FCs and SMCs—two each in Angara and Ormanjhi blocks—effectively managing, and taking ownership, of the seed banks. The SMCs were a consequence of the maturing of the seed banks and were formed in February 2013. This has meant that some villagers now earn through the seed bank activities.

Compared to earlier, the SHGs too are now much more self-reliant, and some like the Saraiphool Mahila Samiti in Mailghongsa village of Angara block, Ranchi district, have graduated beyond mere thrift activities to embark upon profitable livelihood activities like raising nurseries, selling plants and vermin-compost.

The field coordinators and field staff, meanwhile, named KGVK that is working in Angara and Ormanjhi blocks, doing significant work with farmers on sustainable agriculture.

A Ranchi-based subject expert, however, estimated a less than five per cent adoption rate of SRI agriculture by farmers despite the efforts of organisations, including GC and the CBOs associated with it. Even in 2014, he said, the rare FCs that practice SRI, use hybrid and not organic or desi (indigenous) seeds, thus defeating the larger cause that GC is trying to promote. As the campaigns and marketing strategies of hybrid seed companies grow increasingly powerful, GC and its IOs are barely able to match up to be able to defend the best interests of their target groups.

Score: +1

2.2.4 Composition financial resource base

How does Gene Campaign finance institutional costs such as workshops of the General Assembly, if applicable; attendance to workshops with other civil society actors; costs for organisational growth and/or networking?

The GC Jharkhand staff, both at the time of the baseline and the end line evaluations, was uninformed about the organisation's larger funding situation, and whether it had been able to diversify its funding sources beyond that of MFS II. Fund raising and allocation were, and continue to be, seen as matters in the purview of the GC's Delhi headquarters.

At state level, however, the GC Jharkhand staff knew that workshops and trainings are funded project-wise, because the headquarters have asked them to maintain records accordingly.

The Jharkhand executive leadership shared its impressions of the regional office's situation vis a vis projects/funds: a) NABARD's orchard-related WADI[25] programme with a grant of Rs 17,5 million and a Rs 1 million component towards loans to be given to the SHGs involved b) NABARD's seed production programme with a Rs 956,000 lakhs funding; to end in 2016 c) NABARD's zero-energy seed banks programme with Rs 2,139 million funding, to end in September 2014.

Having said which, the executive leadership and coordinators described the current situation as a funding crisis. They shared that the organisation had seen a disturbingly huge turnover because it could not meet the demands for increase in salaries. The staff strength had reduced from 14 in 2012 to 8 currently; the vacancies created over time had not been filled up.

Independent interviews with local partner NGOs had them opining that GC Jharkhand did not seem in good financial health. GC would earlier involve them in its activities, and pay for their services, not any more.

Score: 0

[25] As an integral component of NABARD's Natural Resource Management policy of providing sustainable livelihoods, NABARD laid special emphasis on providing support for holistic development of tribal communities with orchard cultivation as the core element. The implementation of comprehensive Adivasi Development Programmes(ADP) in Gujarat since 1995 and in Maharashtra since 2000 had provided several insights for NABARD in framing strategies for holistic development of tribal regions. The central focus of ADPs is "wadi" (small orchard) together with suitable soil conservation, water resource development measures and other measures for improving the quality of tribal life such as community health & sanitation, women development, institutional development, etc. The wadi model of tribal development has been acclaimed worldwide as a sustainable and replicable model for poverty alleviation. Based on the successful experience of Adivasi Development Programmes, NABARD embarked upon an ambitious program of replicating the wadi model across the country. In this direction, NABARD created a Tribal Development Fund (TDF) with a corpus of Rs. 50 crore, out of its profits for 2003-04. The corpus was augmented from time to time. All projects under TDF are implemented by partnering with State Governments, Government of India, NGOs and Corporates. See https://www.nabard.org/english/livelihood_Support.aspx

2.3 Practice of Values

2.3.1 Downward accountability

To what extent can mandatory social organs (steering committee, general assembly, internal auditing group) ask Gene Campaign's executive leaders to be accountable to them?

In 2014, as at the time of the baseline evaluations, the organisation's headquarters in Delhi continues to be the repository of GC's larger vision, mission and funding.

A GC 2011-2012 Narrative Report does document outreach activities towards implementation and generation of awareness about GC's programmes, referring to meetings organised in 25 villages of Ormanjhi, 32 village of Angara and 17 villages of Karra block where a total of 958 community members were contacted.

However, the target groups interviewed for the end line evaluations—even at the FC, SMC and SHG levels—are mostly uninformed about project progress and funding situation.

The GC Jharkhand staff, also, does not seem to have a bigger picture awareness regarding the organisation's research and dissemination ambitions, or funding; limited as they are by their roles as field-level implementers and facilitators.

The field staff saw the situation as having remained unchanged since 2012. The coordinators complained that approvals need to be taken for small things. If for instance, workshops and trainings costs exceed the allocated amount, they have to be stopped because approvals for these cannot be sought or received on an urgent basis. GC Jharkhand's executive leadership, however, reported some improvement vis-à-vis downward accountability, observing that the organisation's decision making process has been decentralised over the past two years. Important decisions related to drafting project proposals and implementations are now taken after consulting staff at every level. The field coordinators and staff were unaware of such consultations.

A Ranchi-based resource person for GC observed that the organisation's centralised structure and decision making was causing huge staff turnover. The few who remain are under tremendous pressure and demotivated because "the vision from the top is hardly ever transmitted to the ground levels".

Score: -1

2.3.2 Composition of social organs

What percentage of members of Gene Campaign's mandatory social organs belongs to the marginalised target groups?

The People Unlimited Hivos Alliance Strengthening Civil Society baseline says: 93 per cent of (their) partners involve their target groups in analysis and programming, of which 59 per cent in a decision making position (in the board or other governing body) and 41 per cent have their target groups involved in an advisory role.

During the baseline as well as the end line evaluations, however, none of the GC staffers in the Jharkhand branch knew about the composition of their organisation's social organs. They observed that their Delhi headquarters had such information. They offered that the local staff comprises farmers, locals and people from the tribal communities.

Score: 0

2.3.3 External financial auditing

How regularly is Gene Campaign audited externally?

Both in the baseline and end line evaluations, GC's Jharkhand-based staff, including its executive leadership, said this question was irrelevant to them because audits happened in their head office in Delhi, and they had no information of these.

Score: Not Applicable

2.4 Perception of Impact

2.4.1 Client satisfaction

What are the most important concerns of Gene Campaign's target groups? How do Gene Campaign's services take into account those important concerns?

The most important concerns of GC's target groups continue to be food security, lack of income, lack of irrigation and seed purchase issues. GC Jharkhand's services have sought to address these concerns by assisting the formation of FCs and SHGs so that, organised as such, communities can benefit themselves through the adoption of sustainable farming practices, in turn generating income and food security in the long run.

The last two years have added not only to the numbers of FCs and SHGs formed by GC, but also seen the formation of four village-level SMCs mandated to manage the seed banks they are each associated with. Three new community-built seed banks, have also, been built with GC's support between 2012 and 2014.

GC continues to propagate the value of conserving and sowing indigenous seeds among these—as indeed through these—FCs, SHGs, and now also SMCs. Members of these bodies are also trained in the SRI techniques, and livelihood activities such as poultry, nursery raising and vermi-compost manufacturing. Exposure visits are organised for them on the issues of integrated farming model, horticulture, drip irrigation, modern agricultural techniques and equipment, poultry, duckery, and other livelihood activities. Over and above which, such bodies are taught the value of collecting and conserving indigenous seeds, and propagating them. GC has also guided the building of jal kunds (ponds) in the Ormanjhi block over the past two years, towards catering to the local demands for irrigation.

These above-mentioned activities, said the GC staffers, have lessened the target group's worries about income, seed purchase issues and lack of irrigation over the past two years. Some among the SMCs, for instance, are on the path to taking ownership of the seed banks, and have even started making and selling vermi-compost, and are profitable. At least one SHG has started commercial activities in the nursery it has raised.

These FCs, SHGs and SMCs, now, more than earlier, have the confidence that that GC is always available as a resource, and can be approached for information, and seeds. Pointing out a qualitative difference in GC's services, the field staff observed that the seed banks were distributing desi dhan (indigenous paddy seeds) earlier too, but now they are distributing more unnat beej (developed seeds) through the FCs.

GC's 2012-2013 Work Plan showcases how gaps are being identified and addressed to better the organisation's services. It notes that capacity building of small and marginal farmers in seed production techniques takes time, and that some farmers do not entirely follow all the guidelines as per seed crop cultivation calendar. More monitoring and onsite seed production supervision is therefore prescribed—this instead of increasing the area and number of participating farmers.

Members of the FCs interviewed during the end line evaluations corroborate GC's claims to having honed its services. They said that GC informs them about new issues and schemes, trains them and also provides them with resources to facilitate earning. Members from an SHG said that the GC's staffers pay them weekly visits and are always available on phone and that their nursery would not have started without GC's support and guidance.

The GC's Jharkhand staff, including the regional executive leadership, was unanimous that their performance pertaining to client satisfaction had somewhat improved over the past two years.

But the peer perception in Jharkhand's development sector is contrary. One of GC's local NGO partners was categorical that despite having dedicated grassroots workers GC's work has seen a downslide in the past two years. He complained that GC had aborted its past relationships with most local NGOs. A Ranchi-based development academic regretted that GC has not been able to achieve more than five per cent adoption of SRI among the state's farmers. Some FCs might have adapted the SRI technique of farming but they use hybrid seeds which require less labour inputs and have higher yields, he pointed out.

Score: +1

2.4.2 Civil society impact

What impact did Gene Campaign have on building a strong civil society?

GC Jharkhand promotes sustainable farming by organising farmers such that the community itself begins practicing, and eventually propagating, organic farming using indigenous seeds.

Towards this, the past two years have seen GC expanding the numbers of the CBOs it supports and guides by establishing 16 new FCs, 16 new SHGs, four new SMCs, three new seed banks and adding 78 new varieties to the 972 varieties of indigenous seeds they have collected and conserved over the years. It is to be noted that these increases in the number of CBOs that are GC's intermediate organisations (IOs), in turn, means enhancement in the target group population that is now availing of GC's services through the new FCs, SMCs and SHGs.
GC's efforts at promoting SRI have also seen success over the last two years. In 2012 only 44 farmers in the Angara block were using the SRI technique in 2012, now 210 are. Only three to four farmers had adopted SRI in Ormanjhi 2012, now 117 have.

The GC Jharkhand staff, including the executive leadership, was unanimous that their impact over civil society had improved over the past two years.

They pointed out that some of the GC-supported CBOs stand significantly more strengthened compared to two years ago. A member the Saraiphool SHG in the Mailghongsa village of Angara block confirmed this. Having graduated beyond mere thrift activities her SHG, she said, is now turning a profit by running a commercial nursery selling plants and vermi-compost. An FC member from Id village in Angara block of Ranchi district said they have also started earning by selling seeds and vermi-compost.

The field staff said they constantly engage with the FCs and SHGs to train them in income generating activities like poultry, orchards, kitchen gardens, vermi-compost making etc. GC also continues to involve these CBOs in the Wadi programme financed by NABARD, under which these bodies are given saplings, training and resources to raise guava, litchi and mango orchards.

The field coordinators, meanwhile, spoke of GC's continuing networking efforts with local NGOs on issues of SRI and preservation of indigenous varieties. Over the past two years, GC has been using this network to disseminate information among farmers on the need to register their seed varieties under the Plant Protection Variety and Farmers' Rights Act (PPVFRA) 2001, so that companies using their seeds are legally bound to pay them a royalty. Many local NGOs have also begun approaching GC with the demands of farmers in their areas of work for seeds. NGOs Chetna, Sahiya and Vikas Samiti were specifically named in this regard.
The field staff, however, qualified that their own contact with other NGOs is almost absent presently. The local NGOs interviewed for the end line evaluations agreed. They said that they had barely had any formal contact with GC since 2012.

Score: +1

2.4.3 Relation with public sector organisations

What interaction did Gene Campaign have with public sector organisations to realise its programme and organisations' objectives?

During the baseline, GC's Jharkhand staffers said that they work with the state agriculture department, ICAR (Indian Council of Agricultural Research), state universities such as the Birsa Agriculture University (BAU) and also NABARD (National Bank for Agriculture and Rural Development).

Two years later, the staff said that the situation had remained unchanged.

Generally, because of the nature of its work GC continues to engage with various departments in the agriculture ministry. Specifically, GC Jharkhand's project with the Government of India's Department of Science and Technology (DST) ended in March 2014, this was for trials of drought-free seed varieties, nursery raising, seed banks, registration of varieties etc. It still has three ongoing projects with NABARD, the last of which will end in 2016. GC's relations with BAU, however, seemed to have embittered; unlike at the time of the baseline, BAU academics were not forthcoming to be interviewed for the end line evaluations.

Score: 0

2.4.4 Relation with private sector agencies

What interaction did Gene Campaign have with private sector organisations to realise its programme and organisations' objectives?

As in 2012 so in 2014, all levels of staff at GC Jharkhand said the organisation does not work with the private sector. They elaborated that since GC's objectives do not match with those of private sector organisations there is no point coordinating or collaborating with them.

Score: Not applicable

2.4.5 Influence upon public policies, rules, regulations

How successful has Gene Campaign been in influencing public policies and practices in the past 2 years?

GC enjoys an eminent track record with regard to influencing public policies at the national, and even the international levels, especially so in the first decade of the millennium[26]. Over the years, it established credibility as a research organisation in agriculture and brought out numerous case studies and publications. GC members have in the past served on various expert committees of the central government and legislative bodies. In Jharkhand, however, which is the evaluation's focus area, GC's influence in the sphere of public policies has been extremely limited.

The Jharkhand staff, in fact, remained as unaware in 2014 as it was in 2012, of the organisation's work in research and lobbying at the national and international levels.

A Ranchi-based development academic commented that GC's Jharkhand personnel don't write papers, "they only prepare data which is used by others in Delhi to write papers". Most of them, including the leadership, however, were ignorant even of the papers being authored and published, if at all, by GC vis a vis the data that they had been generating from the field. This disconnect was summed when the field staff said, "We do not know about things like policies and policy changes etc. as these are high level things".

[26] Gene Campaign has a track record with regard to preserving and strengthening the biodiverse resource base and has given shape to national policies and legislations on agriculture, food and livelihood issues. It began its work by conducting awareness and education programmes on Intellectual Property Rights issues raised in GATT/WTO, especially with regard to seeds and agriculture. GC subsequently led a coalition of civil society organisations and farmer's organisations that succeeded in bringing on to the national radar the dangers of seed patents and its effects on seed sovereignty. GC rallied for a national legislation that recognised the rights of farmers and breeders. It efforts bore fruit when the Biological Diversity Act was passed by the Indian government in 2002. It succeeded in having a Biotechnology Policy framed for the country on a basis of a Supreme Court directive after its writ petition on the issue. It has also provided inputs on the Patent Amendment Act, especially on the protection of products developed from indigenous knowledge.

GC has not organised any seminar or conference in Jharkhand on the issues that they work on in the last two years.

All levels of GC staffers, however, pointed out that they had encouraged and facilitated the registration of many a farmer's ownership over indigenous seeds under the PPVFRA (Protection of Plant Varieties and Farmers' Rights Act, 2001). The number of such registrations had increased from 18 to 144 in the past two years. This rise, the executive leadership and the field coordinator's felt, implied that the organisation's capacities to influence public practices had improved.

Contrarily, a subject expert who had also been interviewed for the baseline assessment, maintained that the complexity of the issues involved in GC's work had far from been inculcated in, or imbibed by, the regional staff. None among them currently possess either the language or the larger vision to lobby with the highest levels of government. Only Gene's founder has this capacity to engage with high level officials in Jharkhand state but has omitted to do so during the period under evaluation. This is very unfortunate since lobbying is the need of the hour in Jharkhand given that the government is looking to raise the state's low agricultural productivity, this through pushing hybrid seeds. That increase in productivity is possible through indigenous seeds and farming practices, needs influencing, documentation and dissemination of such documented information by an organisation like GC. This is sorely missing, the academic regretted.

Score: 0

2.4.6 Influence upon private sector agencies' policies, rules, regulations

How successful has Gene Campaign been in influencing private policies and practices in the past 2 years?

Both during the baseline and the end line evaluations, all levels of staff at GC Jharkhand said the organisation does not work with the private sector.

Score: Not applicable

2.5 Environment

In the past 2 years, what were important factors/actors/trends (socio-economic, socio-political and socio-cultural factors) that have driven or hampered the achievement of Gene Campaign's organisational objectives? Are these positive or negative?

It is to be noted that only the staff of GC's Jharkhand branch participated in the baseline and the end line evaluation processes. Their perception of the evolving challenges in GC's external environment between 2012 and 2014 continued to be restricted to the geographical region of their work. They were largely unaware of changes in the national and international contexts with regard to the overarching issues—such as seed patenting, biodiversity, climate change etc.— that are involved in their work.

GC Jharkhand' executive leadership and field coordinators reported slight and considerable deterioration respectively with regards to their external environment over the past two years. They said that unpredictable weather and pressure by mining brokers on farmers to quit farming has negatively impacted GC's work; and added inappropriate marketing channels and improper implementation of policies for farmers to this list. The field staff, on the other hand, spoke of some improvement in the situation compared to the baseline since more farmers are now adopting the SRI technique because its success is becoming evident over the past years.

The disadvantages that GC's Jharkhand staffers have faced in the field over the past years, including the last two, are better understood keeping the states peculiar shortcomings in mind.

Carved out of Bihar just 14 years ago, the new state of Jharkhand has the second highest poverty headcount ratio in India at 36.96 per cent[27]. Education is low at 66.4 per cent, with female literacy at

[27] http://mospi.nic.in/Mospi_New/upload/mdg_2014_28jan14.pdf

56 per cent[28]. This extreme poverty and illiteracy has been increasingly exploited by vested interests looking for quick, often illegal, profits in this state that is rich in coal, iron, copper and bauxite—32 per cent of India's coal is mined in Jharkhand[29]. Corporates and brokers are increasingly eyeing tribal communities for their mineral-rich land and cheap labour. Jharkhand has also become a fertile ground for human trafficking, and women and children are being trafficked into the various cities to be used as domestic help, and labour. In 2013, Jharkhand was the worst hit state by Naxal violence with 383 incidences of Left wing violence and 150 related deaths[30].

A 2011-12 Narrative Report authored by GC for Hivos lists some of the specific challenges faced by its Jharkhand unit vis a vis the environment they function in. These remain the same in 2014: a) farmers are not able to hold on to their harvest till the end of seed processing and certification period because of immediate financial need, a revolving "Buy Back Fund" is required to buy up the seed from farmers and settle accounts with them after seed sale; there are currently no funds for this b) because of the poor market infrastructure and connectivity, majority of the farming communities prefer to restrict production for family use c) non availability of agromet services makes farmers more prone to the vagaries of climate change d) small land holdings of majority of farmers makes it difficult to organise farmers for seed production e) drought, erratic rainfall and lack of support from government is leading to increased rice fallows every year f) in the changing climatic conditions farmers are keen to cultivate and produce seeds of high yielding varieties (read GM and hybrid seeds).

Also, out of the two districts and three blocks that GC Jharkhand works in, two blocks continue to be affected by the Naxalism. Farmers have been known to be affected adversely by this in the past; Naxals have reportedly even set fire to the fields of farmers who they don't get along with. But, the GC staffers, during the baseline and the end line, maintained that the Naxals have never questioned their work because they see it as beneficial to the community.

Quoting a positive development, the executive leadership said since 2011-2012 the Jharkhand government has started running a programme of financial incentives for promoting SRI, through NGOs as implementing agencies. The government pays Rs. 1250 per hectare (2.5 acres) for SRI implementation, Rs. 1000 for the farmer who adopts this farming technique, Rs. 200 for facilitating NGO and Rs. 50 for the resource scientist. The leadership qualified that the actual implementation of this whole programme is very poor.

Score: 0

[28] http://jharkhand.gov.in/web/guest/facts&figures
[29] http://www.jharkhand.nic.in/mines/minerals.htm
[30] http://timesofindia.indiatimes.com/india/Naxalite-violence-down-in-2013-Jharkhand-saw-most-incidents/articleshow/29431937.cms

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Gram Vikas end line report

MFS II country evaluations, Civil Society component

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This report describes the findings of the end line assessment of Gram Vikas (GV) in India that is a partner of ICCO.

The evaluation was commissioned by NWO-WOTRO, the Netherlands Organisation for Scientific Research in the Netherlands and is part of the programmatic evaluation of the Co-Financing System - MFS II financed by the Dutch Government, whose overall aim is to strengthen civil society in the South as a building block for structural poverty reduction. Apart from assessing impact on MDGs, the evaluation also assesses the contribution of the Dutch Co-Funding Agencies to strengthen the capacities of their Southern Partners, as well as the contribution of these partners towards building a vibrant civil society arena.

This report assesses Gram Vikas' efforts to strengthen Civil Society in India based upon the CIVICUS analytical framework. It is a follow-up of a baseline study conducted in 2012. Key questions that are being answered comprise changes in the five CIVICUS dimensions to which Gram Vikas contributed; the nature of its contribution; the relevance of the contribution made and an identification of factors that explain Gram Vikas's role in civil society strengthening.

Keywords: Civil Society, CIVICUS, theory based evaluation, process-tracing

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Report CDI-15-025 |

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List of abbreviations and acronyms

APL	Above Poverty Line
BPL	Below Poverty Line
CDI	Wageningen UR Centre for Development Innovation
CFAs	Co-Financing Agencies
CFO	Co-Financing Organisation
CS	Civil Society
GV	Gram Vikas
IDF	India Development Foundation
MANTRA	Movement and Action Network for the Transformation of Rural Areas
MFS	Dutch co-financing system
MoFa	Ministry of Foreign Affairs
MGNREGA	Mahatma Gandhi National Rural Employment Guarantee Act
NABARD	National Bank for Agriculture and Rural Development
NBA	Nirmal Bharat Abhiyan
NRHM	National Rural Health Mission
OSDMA	Odisha State Disaster Management Agency
OTELP	Orissa Tribal Empowerment and Livelihood Programme
SHG	Self Help Group
SPO	Southern Partner Organisation
ST & SC	Scheduled Tribes & Scheduled Castes
ToC	Theory of Change
VEC	Village Executive Committee
Wageningen UR	Wageningen University & Research Centre
WODC	Western Odisha Development Council

1 Introduction

This report presents the civil society end line findings of Gram Vikas in India which is a partner of ICCO under the ICCO Alliance. It is a follow-up to the baseline assessment that was carried out in 2012. According to the information provided during the baseline study, Gram Vikas is working on the MDG 1, governance.

These findings are part of the overall evaluation of the joint MFS II evaluations to account for results of MFS II-funded or co-funded development interventions implemented by Dutch Co-Funding Agencies (CFA) and/or their Southern Partner Organisations (SPO) and to contribute to the improvement of future development interventions. The civil society evaluation uses the CIVICUS framework (see appendix 1) and seeks to answer the following questions:

- What are the changes in civil society in the 2012-2014 period, with particular focus on the relevant MDGs & themes in the selected country?
- To what degree are the changes identified attributable to the development interventions of the Southern partners of the MFS II consortia (i.e. measuring effectiveness)?
- What is the relevance of these changes?
- What factors explain the findings drawn from the questions above?

The CIVICUS framework that comprises five dimensions (civic engagement, level of organization, practice of values, perception of impact and contexts influencing agency by civil society in general) has been used to orient the evaluation methodology.

Changes in the civil society arena of the SPO
In the 2012 – 2014 period the two most important changes that took place in the civil society arena of Gram Vikas are related to the Civicus dimensions 'level of organisation' and 'perception of impact'.

With regards to 'level of organisation' the evaluators observe that Gram Vikas considerably improved its networking capacity within the Odisha state, in other states of India and in two African countries. The SPO engaged with NGOs working in Jharkhand, West Bengal, Nagaland and Madhya Pradesh on a wide range of issues. In Odisha state it signed a partnership agreement with another NGO, addressing the water and sanitation sector and it received assistance to train SHGs from members of the Orissa Development Action Forum of which it is still a member. In the same period the organisation expanded its financial resource base, by means of supporting the government with the implementation of government schemes and programmes, as well as by means of receiving funding from public and private companies to expand its water and sanitation programme MANTRA. The main reasons that explain its increased engagement with other actors is the office move from a remote village to the capital of Odisha.

With regards to 'perception of impact', Gram Vikas has been able to connect 4003 new households to water and sanitation systems, achieving a total of 62,900 households in 1,095 villages since the beginning of the programme. About 48 per cent of its target groups belong to tribal communities. Due to the October 2013 Cyclone Phailin, Gram Vikas will not be able to reach its 100,000 households target by 2015, starting in 2000. In the past two years, communities' demand for water and sanitation systems covering the entire village at once (100 percent coverage) has increased, because they experience the impact upon people's health, nutritional intake and time employment, because water is easily accessible for both consumption and production activities. Apart from the water and sanitation programme, Gram Vikas continued to increase people's access to government schemes and services. The Village Executive Committees increasingly help families to obtain access to these schemes and address corrupt practices of government officials that prevent their villages of accessing these schemes.

Gram Vikas expanded its collaboration with the public sector by supporting the implementation of a wide range of government schemes and programmes and by receiving grants for the implementation of their MANTRA programme. Apart from this they have been able to influence national water and

sanitation policies that now recognise the need to implement the full package, comprising water availability for sanitary, consumptive and productive purposes for entire villages rather than individual households.

These findings were obtained through an analysis of documents, a workshop and follow-up interviews with the SPO, and interviews with external resources persons working in civil society organisations that receive support from the SPO; other civil society organisations with whom the SPO is collaborating; public or private sector agents and; external resource persons capable of overlooking the MDG or theme on which the SPO is concentrating.

Attribution-contribution question

Based upon an analysis of the projects and programmes financed by the Dutch CFAs a selection was made of SPOs to be included in an in-depth process tracing trajectory and those to be included for a quick contribution assessment. Gram Vikas was amongst those SPOs selected for in-depth-process tracing.

With regards to civic engagement the first outcome assessed is that of the increased outreach of the water and sanitation model (MANTRA) that has been promoted by Gram Vikas for the last 15 years. Between 2012 and 2014, 5036 new households from 107 new villages were covered under this model and the total number of households that now have access to water (for consumption and production) and sanitation has attained 62,900 households by March 2014. The most important explaining factor for this are ICCO's support to Gram Vikas, not only for the last two years; Gram Vikas' collaboration with the Odisha Tribal Empowerment and Livelihoods Programme (OTELP); the capacity of user groups trained by Gram Vikas to maintain their infrastructure and resources; the replication of the entire or parts of the model by other NGOs working under the same OTELP programme; the positive reputation that the model has obtained; and subsidies increasingly becoming available that help to ensure a 100 percent water and sanitation coverage per village.

The evaluators also observe that the growth of the number of villages and households covered by water and sanitation facilities has slowed down since March 2011, which may be due to missing resources available with Gram Vikas or a decreased demand of such systems.

The second outcome consists of students of two of the four residential schools created by Gram Vikas having now access to Below Poverty Line rice in line with the government scheme for other schools as of 2013. This outcome is to be explained by Gram Vikas, informing the parents of these students about the scheme and supporting them to file applications to claim their rights.

With regards to 'strengthening intermediate organisations', the evaluators looked at the capacity of the village extension committees put in place by Gram Vikas to defend the interests of their constituents, households. In total 1095 VECs in the same number of villages have been created, including 107 new VECs in the 2012 – 2014 period. Several examples have been confirmed that VECs are capable of defending the interests of their constituents beyond that of managing water supply infrastructure. Unfortunately Gram Vikas has not kept documents that show the performance of all VECs it trained. Major actors and factors that explain the outcomes achieved (at least the examples given) consist of training received from Gram Vikas, the relations VECs members possibly have with Panchayat members or their position in the Panchayat and; more subsidies becoming available from government schemes and programmes, requiring a more proactive role of VECs.

Relevance

Interviews with staff of Gram Vikas, with external resource person, with the liaison officer of ICCO, as well as contextual information helped to assess the relevance of Gram Vikas's interventions in terms of; its Theory of Change (ToC) for Civil Society (SC) as designed during the baseline study; the context in which CSA is operating; the CS policies of ICCO.

With regards to the baseline ToC, the interventions and outcomes achieved are relevant because Gram Vikas has continued working in line with its MANTRA model that informed the 2012 ToC.

With regards to the context in which Gram Vikas is operating, its interventions and outcomes in the water and sanitation sector are relevant, however information is missing that shows how these interventions influence the morbidity of water-borne diseases in the rural areas where the organisation is working. 48 % of Gram Vikas' target groups belongs to scheduled caste of tribe, which is higher than the average representation of these groups in Odisha state.

Gram Vikas's interventions align with ICCO's MFS II Food Security programme which aims to improve local food systems and to strengthen communities to claim their right to food. Therefore civil society strengthening by Gram Vikas is an important component of this programme, as well as the SPOs' focus on water and sanitation which directly relate to the nutritious quality of food and health issues.

Explaining factors

Internal factors that will explain Gram Vikas future orientations are the stepping down of the executive director and founder of Gram Vikas in June 2014, and the office moving to the capital of Odisha. The former director was a well-known person and for 35 years was strongly associated with Gram Vikas and its reputation. The new office in Bhubaneswar is expecting to make collaboration with other organisations easier.

A major external factor which has impacted Gram Vikas' work was the cyclone Phailin, which struck Odisha in October 2013. Gram Vikas therefore shifted its focus from the water and sanitation sector to that of the rehabilitation and reconstruction sector with a government programme funded by the World Bank.

Relations between ICCO and Gram Vikas have been functional and did not influence upon the findings of this evaluation.

The following chapter briefly describes the political context, the civil society context and the relevant background with regards to the governance issues Gram Vikas is working on. Chapter three provides background information on Gram Vikas, the relation of its MFS II interventions with the CIVICUS framework and specific information on the contract with ICCO. An evaluation methodology has been developed for the evaluation of the Civil Society component which can be found in appendix 2 in the main report; however, deviations from this methodology, the choices made with regards to the selection of the outcomes for contribution analysis, as well as difficulties encountered during data collection are to be found in chapter 4. The answers to each of the evaluation questions are being presented in chapter 5, followed by a discussion on the general project design in relation to CS development; an assessment of what elements of the project design may possibly work in other contexts or be implemented by other organisations in chapter 6. Conclusions are presented in chapter 7.

2 Context

This paragraph briefly describes the context Gram Vikas is working in. A description of the Civil Society Context assessed according to the CIVICUS framework is provided in appendix 3 of the country report for Civil Society.

2.1 Political context

Politically, there has not been a major overhaul in the state's context in the past two years. The 2014 General Elections had the state continuing to show a preference for the regional party, Biju Janta Dal (BJD), which has been in power since 2000. The Chief Minister of Odisha's BJD party, won 20 out of 21 Lok Sabha seats in the elections. With this they have ensured that the right wing Bharatiya Janata Party (BJP) which gained power at the Centre in the national elections of 2014 has limited influence in the state. In order to extend gratitude towards the female population that voted in high numbers during this election[1], the government has introduced a new policy called the Odisha State Policy for Girls and Women 2014. Under this new policy, "the stamp duty for registration of a house or land purchased in the name of a woman or gift deeds of immovable property would be lower than that of men".[2]

Odisha is one of India's poorest states, with 63.2 per cent people living below the poverty line.[3] High prevalence of poverty is considered to be mainly a rural phenomenon—the state's level of rural poverty being the country's worst at 60.8 per cent—but it also has regional variations. The rise of Left extremism or Naxalism[4] in India is sharply linked to the poverty and the lack of development in the regions where it became prominent. With the evolution of the movement, most of the Naxals have come to adopt the Maoist ideology; the Maoists are banned in India. In Odisha, however, they exercise control in the western districts of Nuapada, Bargah, Sambalpur, Bolangir and Kalahandi. Here, the state's presence is at a minimum, and the Maoists run their own courts, "Jan Adalats", and levy taxes on traders.[5] In the 2005-2014 period, across India, there have been 6606 casualties related to Maoist activities.[6]

2.2 Civil Society context issues with regards to the MDG

The civil society in Odisha continues to face much of the same issues that it did at the time of the baseline. Adding to the challenges that come with poor social and human indicators, Odisha has long been the site of a battle over land grab, Naxalism and natural disasters, the harshest of which struck the state a year after the baseline in the form of Super Cyclone Phailin.

According to Census 2011, 83.31 per cent of Odisha's population is rural, where land is an important commodity, providing not only housing but also sustenance to the people. The issue of land grabbing in Odisha has garnered attention due to its often exploitative and insensitive nature. Odisha is a resource rich state of India, offering iron-ore, bauxite, coal and manganese in abundance. The state industrialisation drive has been hampered due to protests by the tribal population on whose land it hopes to set up industries. A long drawn battle has been going on against the proposed POSCO steel

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[1] *Refer,* http://www.thehindu.com/news/national/other-states/more-women-voters-in-odisha/article5950473.ece
[2] *Refer,* http://indianexpress.com/article/india/politics/naveens-thank-you-note-orissa-set-to-clear-new-policy-for-women/
[3] *Refer,* http://planningcommission.nic.in/reports/genrep/rep_pov.pdf
[4] The Naxalite movement traces its origins from the Naxalbari uprising in 1967, the Maoist struggle in India is an outcome of this uprising. Naxalism was borne out of the marginalisation of the forest dewellers in Naxalbari village in West Bengal. It picked up support in the surrounding areas with the common cause of fighting marginalisation, lack of development and poverty faced by rural India. With the adoption of the Maoist ideology the movement became violent.
[5] *Refer,* http://blogs.reuters.com/india/2013/05/29/who-are-indias-maoists-and-why-they-are-in-the-news/
[6] *Refer,* http://www.satp.org/satporgtp/countries/india/maoist/data_sheets/fatalitiesnaxal05-11.htm

plant in Paradip and Vedanta Groups bauxite plant in the Niyamgiri hills. Recently in January of 2014, the Union Environment Ministry rejected the bid for corporate Vedanta's bauxite plant whereas it has renewed the environmental clearance for POSCO steel plant. The rejection for Vedanta came following the decision of the 12 village councils of Dongriya Kondh tribes that lived in the region against the plant.[7] The anti-POSCO protests are still on, these over the years have also been violent, where just last year in 2013, four activists working against the plants construction were murdered by "hired musclemen" of POSCO in collaboration with local policemen.[8]

Odisha is part of the "red corridor" in India, considered the hub of Naxalite activities. In 2013, there were 22 civilian deaths due to Naxal-related activities and in 2014 so far there have been 30 civilian deaths.[9] Although, there has been a lull in Naxal activities compared to the 2011-2012 period, they still occupy a strong position in the state.

Odisha which is prone to natural calamities like floods and cyclones was hit by cyclone Hudhud on 18th October 2014. Dealing with regular natural disasters, hampers much of the other work, as time and effort is then spent in dealing with the problems in the aftermath of a disaster. Phailin, a Very Severe Cyclonic Storm (VSCS), hit Odisha on the 12th of October 2013 with a wind speed touching almost 220 kmph. The intensity of the cyclone placed it inside category 5 of the Saffir-Simpson Hurricane Wind Scale (SSHWS). [10]The cyclone affected the lives of about 13.2 million people, causing 44 casualties, destroying 256,600 homes and resulting in damages worth INR 89,020 million (equivalent US$ 1,450 million) in its wake.[11] The strong winds and heavy torrential rains were responsible for the maximum amount of structural and physical damage. Due to the efforts of the Odisha government large-scale evacuation of people had taken place in the days leading up to the cyclones entry into the state, thus, avoiding major loss of life.During and after the cyclone, numerous NGOs came together to rehabilitate and provide relief to victims of the disaster. ActionAid formed a consortium of NGOs like ADRA, Oxfam, Christian Aid and Plan, this was along with another consortium formed by the NGO Save the Children to help the government in the post-Phailin period in providing relief work, rebuilding infrastructure and rehabilitation.[12]

Sanitation becomes a major issue after any natural calamity. Due to the already existing problem of large incidences of open defecation in the state, the possibility of disease becomes even higher in the aftermath of a disaster. The work for the civil society the disaster struck state therefore has been exacerbated, where initially the resources could have been used for permanent solutions they have now been diverted towards immediate solutions to return a sense of normalcy quickly.[13]

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[7] *Refer,* http://www.thehindu.com/todays-paper/posco-cleared-vedanta-loses-bid/article5564705.ece
[8] *Refer,* http://kafila.org/2013/03/10/protest-against-killing-of-anti-posco-activists-and-forcible-land-grabbing-in-odisha/
[9] *Refer,* http://www.satp.org/satporgtp/countries/india/maoist/data_sheets/anl_cas_oris.asp
[10] There are five categories on the SSHWS scale, fifth being the highest category on the scale. Any cyclone inside this category is capable of causing catastrophic damage.
[11] *Refer,* http://www-wds.worldbank.org/external/default/WDSContentServer/WDSP/IB/2014/01/10/000461832_20140110162742/Rendered/PDF/838860WP0P14880Box0382116B00PUBLIC0.pdf
[12] *Refer,* http://www.orissadiary.com/CurrentNews.asp?id=50721
[13] *Refer,* http://www.who.int/hac/events/drm_fact_sheet_wash.pdf

3 Gram Vikas and its contribution to civil society/policy changes

3.1 Background of Gram Vikas

Gram Vikas' founders came to Orissa in the early 1970s as student volunteers with the Young Students' Movement for Development (YSMD), Chennai, to serve victims of a devastating cyclone. Their extensive activism and relief work motivated them to form Gram Vikas, which was registered under the Indian Societies Registration Act of 1860 in 1979. The organisation is active in 4 States: Odisha where the head office is located, as well as most of the interventions (see map below), Madhya Pradesh (Chhatarpur), Jharkhand (Sareikela Kharsuan) and Andra Pradesh (Srikakulam).

Gram Vikas' vision it to have an equitable and sustainable society where people live in peace with dignity. Its mission statement is to promote processes which are sustainable, socially and gender inclusive to enable critical masses of poor and marginalized rural people or communities to achieve a dignified quality of life.

This mission is realized through the programme MANTRA - Movement and Action Network for the Transformation of Rural Areas. It was initiated in 1993 with water and sanitation as an entry point. Over the last 15 years the programme has demonstrated scalability and has covered over 787 villages and over 48,000 families as on 31st March 2010; 988 villages and 57,793 families have access to water and sanitation facilities as of March 2012. By March 2014, 62,900 households were covered by its programme.

The core values in the MANTRA programme are:

- Inclusion: All households take part in the development process and must benefit equally. Participation of all households of a village is a non-negotiable condition of the programme.
- Social Equity: Representation of all sections of the community in decision-making processes across caste, economic status and other barriers to ensure that a level playing field is created.
- Gender Equity: Equal representation and participation of men and women in community level decision-making and control.
- Sustainability: Development processes have built-in institutional and financial mechanisms for sustainability, and are necessarily based on sound environmental values.
- Cost sharing: Poor people can and will pay for beneficial development services but there are some social costs which society at large must meet.

MANTRA unites communities to overcome barriers of social exclusion. Water and sanitation, as an entry point intervention in new settlements, is not only a vehicle for improved health, but also a way of transforming hierarchical caste and gender based exclusion into equitable development.

The overall objective is to ensure access to safe and hygienic sanitation and protected piped water supply to the rural communities. This will have a direct bearing on the health of the population and in turn on their quality of life.

The MANTRA programme is based on 100 per cent coverage of all families in a village and has cost sharing, equity and sustainability aspects as its core approach. The programme is planned to cover an additional 30,000 families within the next three years (2010 – 2013).

3.2 MFS II interventions related to Civil Society

This evaluation looks at the third phase of the MANTRA programme, which focuses on safe water and sanitation facilities in Odisha. Gram Vikas is working on constructing sanitation facilities in 30

villages, targeting 1800 households in total as a means to ensure safe water supply for the entire village. Village Executive Committees (VECs) are being established that receive training to manage the project themselves. This evaluation looks in particular at two of the four objectives of the project financed by ICCO, namely the formation of socially inclusive, gender equitable and capable village development institutions and empowerment of these institutions. These objectives are directly related to the Civicus dimensions 'civic engagement' and 'level of organisation'.

3.3 Basic information

Table 1
Basic information.

Criterion	Basic information
Name of SPO	Gram Vikas
Consortium	ICCO Alliance
CFA	ICCO
Start date of cooperation	Since 1984 through EZE (Evangelic Centre for Development Aid) and with ICCO as lead agency since 1992
MDG/theme	MDG 1 Governance
MFS II project name	MANTRA phase 3 – Access to safe water and sanitation facilities in Odisha
Contract period	2011-2014
Total budget ICCO	€ 249,243, which represents 25 % of total project costs
Other donors if applicable	Community contribution and government contribution (total of €737,500)
Estimation of % of budget for Civil Society[14]	0,76 %

Source: contract intake form, project documents

[14] Costs that relate to civil society development or policy influence are those costs that possibly contribute to the development of the CIVICUS dimensions, excluding coordination and office costs; staff costs and financial reserves.

4 Data collection and analytical approach

4.1 Adjustments made in the methodology of the evaluation

The documents which were used for the initial input-output-outcome analysis were not sufficient as the 2013-2014 annual report was missing. Moreover, the available reports did not mention exact numbers for the VECs and SHGs which were planned to be formed. This made it difficult to measure the outcomes in terms of planned outcomes and actual achievements.

4.2 Difficulties encountered during data collection

The Gram Vikas evaluation challenged the evaluators on many counts, language being the first among them. Though one among the evaluators spoke Odiya, there were numerous interviews to be conducted with people who spoke only this language. Not just time, but nuances might also have been lost in translation; this was even more so during telephonic interviews with those who could not understand either Hindi or English.

Secondly, identifying external resource persons who would comment on GV's work proved remarkably difficult. Those who were interviewed during the baseline seemed to have lost touch with GVs' work. A new set of interviewees had to be found. But even most among them were unable to provide feedback on the entirety of GV's work, knowing only parts of it.

Thirdly, identifying rival or alternative explanations was a challenge. Neither GV nor any of the external resource people interviewed would provide these. One reason for this seemed to be that very few NGOs in Odisha work on sanitation, those who do are very local and small and can barely match GV's resources and experience. In fact, relevant policy changes in sanitation are generally attributed to GV's advocacy efforts. Naturally therefore none would question GV if it were claiming that certain outcomes in this sector were the consequence of its work. Another explanation for the lack of rival pathways to GV's claimed outcomes is linked to Phailin, the Very Severe Cyclonic Storm (VSCS)[15] cyclone, which devastated Odisha in October 2013. Property and infrastructure were damaged on a humungous scale in the state's coastal areas. Obviously then, the primary and urgent concern of most actors in the state's development sector became reconstruction and rehabilitation. Preoccupied such, not many seemed to have kept track of GV's progress. Unsurprisingly, most external resource persons had information about GV's recent collaboration with OSDMA (Odisha State Disaster Management Agency) for reconstruction work in cyclone hit areas. But these same people could only offer a general impression on GV's other activities.

[15] The intensity of the cyclone placed it inside category 5 of the Saffir-Simpson Hurricane Wind Scale (SSHWS). There are five categories on the SSHWS scale, fifth being the highest category on the scale. Any cyclone inside this category is capable of causing catastrophic damage.

5 Results

5.1 Results obtained in relation to intervention logic

The project which this evaluation focuses on is the third phase of the MANTRA programme. A lot of the work for this programme was done before the baseline, and the new phase basically builds on the previous work. Most of the preparations for the sanitation facilities were done before 2012 and in the 2012-2014 time-span these facilities had to be finished.

The 3rd phase MANTRA programme focuses on four specific objectives. The first is the establishment of sanitation facilities for 1800 villages in 30 villages in Odisha. In total 5036 households in 102 villages have benefitted from these facilities in the 2012 – 2014 period of which 56 villages are said to have been supported by ICCO (number of households covered unknown). Also, Gram Vikas planned to train 75 youth as skilled masons in order to guarantee sustainability of the programme. The annual reports are available until 2012 and at that time 101 household toilets were completed and 406 were in progress. Also, they had held masonry training with 21 youth participants.

Linked to the first objective is the objective of providing access to safe water supply for the 30 selected villages in Odisha. This should result in a decrease of waterborne diseases, improvement of health status of the villagers and a reduction of time women need to spend on fetching water for their families. However, the annual reports indicated that the water supply was not yet secured, which resulted in this objective not being reached.

In order to strengthen the impact of the programme Gram Vikas aimed to form Self Help Groups (SHGs) and Village Executive Committees (VEC). These institutions should become financially independent of Gram Vikas and capable of doing the maintenance of the sanitation units themselves. At the end of 2012 Gram Vikas had formed 20 female SHGs. A corpus fund was set up for all families involved in the programme. Also, 20 VECs of the 30 planned were formed that held 106 meetings in two years' time. The VECs were in the process of getting registered in 2013.

No information is available with regards to the constitution of the corpus fund: the amount planned is 1,800,000 Rs.

5.2 Changes in civil society in the 2012-2014 period

5.2.1 Civic Engagement

Civic engagement describes the formal and informal activities and participation undertaken by individuals to advance shared interests at different levels. Participation within civil society is multi-faceted and encompasses socially-based and politically-based forms of engagement.

In the past two years, Gram Vikas has contributed to changes in civic engagement: Gram Vikas ensures 100 percent village coverage with its water and sanitation programme. Gram Vikas mainly works in villages with a higher concentration of poor and marginalised communities, particularly Dalits[16] and Adivasis.[17] About 48 per cent of its target groups belong to tribal communities.

[16] The word Dalit means broken, oppressed and downtrodden. The word is nowadays adopted by the depressed classes who were previously under the caste system termed as untouchables. Dalits are considered "outcastes" falling out of the traditional Varna or caste system. They have been associated with those belonging to castes that have traditionally done menial and "polluting" jobs. As such, they have faced rampant discrimination in Indian society. Dalits form 16.6% of Indian population. *Refer,* http://www.ncdhr.org.in/dalits-untouchability/

[17] Adivasis, or the original inhabitants, is the collective name used to describe people belonging to various tribes in India. They are found throughout India but are mainly concentrated in central and north-eastern states. The Adivasis vary greatly and are not one homogenous group, they speak different languages, have different culture and ethnicity. Often

Since the beginning of the third programme in 2011, 4003 new households got access to water and sanitation facilities. By March 2014, 62,900 households in 1,095 villages had access to these facilities compared to 48,000 households in 787 villages across 21 districts of Odisha by March 2010. The initial target aimed for 100,000 households by 2015, which will however not be reached[18]. With ICCO support, Gram Vikas started working in 20 villages of 30 villages planned. In those 20 villages a 'village body' is in place, comprising all head women and head men of the households to discuss water and sanitation issues and to ensure that every family commits to the construction of those facilities at household level. All families also contribute Rs.1000 to a corpus fund that is deposited in the bank and interests are being used to extend financial assistance to new families in the future. In each of these 17 villages a Village Executive Committee (VEC) is in place for the implementation and monitoring of the water and sanitation works. The VEC has 12 members, 6 women and 6 men, as well as a representation of castes and tribes. The organisation further continued the support to 20 female SHGs with ICCO funding. Gram Vikas' model of taking community contribution and maintenance of toilets is said to foster a sense of ownership and responsibility of these communities, which is not always found with other NGOs.

In the past two years Gram Vikas has expanded its scope of action: the October 2013 Cyclone Phailin hit the Odisha state very hard and the organisation engaged with rehabilitation and reconstruction works as of that moment, explaining why they (temporally) discontinued their water and sanitation programme. Apart from that organisation engaged in a wide range of government programmes, varying from school sanitation and hygiene education programmes; supporting families to obtain access to the national health insurance scheme; organising health camps; supporting girls on reproductive health issues and; implementing livelihoods programmes for tribal people. National Rural Health Mission (NRHM)[19].

Increasingly, Gram Vikas engages with local political entities such facilitating meetings of the 'Palli Sabhas', formed under the Odisha Gram Panchayat Act, which has the mandate to provide advice to the annual meeting of the Gram Panchayat. Apart from this it helps the VECs to engage with local members of legislative assemblies to lobby for financial sources for their own villages, including those needed for water and sanitation.

Score baseline 2012 on an absolute scale from 0-3:	**3**
Score end line 2014, relative change on a scale of -2 → +2	**0**

5.2.2 Level of Organisation

This dimension assesses the organisational development, complexity and sophistication of civil society, by looking at the relationships among the actors within the civil society arena.

In 2012 many respondents pointed out that Gram Vikas was not capable of networking with other organisations, and therefore did not expand the scope of its interventions beyond Odisha state. The past two years show that Gram Vikas worked hard at overcoming this shortcoming, by shifting its headquarters from its isolated campus in Behrampur to the capital Bhubaneshwar and by recruiting staff for the management of new collaborations.

Since the baseline Gram Vikas has expanded its collaboration with NGOs working in Jharkhand, West Bengal, Nagaland and Madhya Pradesh. These NGOs address a wide range of issues and not exclusively the water and sanitation sector.

In Odisha state, Gram Vikas also signed a four year partnership agreement with another NGO in another district with a clear division of tasks with Gram Vikas providing technical support and the other being in charge of mobilising communities on water and sanitation. The organisation is still part of the Orissa Development Action Forum, addressing drought and sustainable development and which

classified under "Scheduled Tribes" status, but this again differs from state to state. *Refer,* http://www.faqs.org/minorities/South-Asia/Adivasis-of-India.html

[18] No exact figures are available as regards to the number of households and villages covered under the ICCO finananced programme which aimed for 1800 households in 30 villages.

[19] National Rural Health Mission (NRHM) was launched in April 2005. The main goal of NRHM is to provide health care to the rural population, especially the disadvantaged groups, including, women and children. It integrates ongoing vertical health care programmes to address the issue of sanitation, safe drinking water and nutrition. *Refer,* http://pib.nic.in/archieve/flagship/faq_nrhm.pdf

is now assisting Gram Vikas with the training of SHG. However interactions with the FAN (Freshwater Action Network) that addresses water and sanitation policies seem to have become less intensive since the 2012 baseline study.

Gram Vikas also engaged with NGOs in Gambia and Tanzania to implement its MANTRA model.

When the SPO realised that its 30 year partnership with ICCO would come to an end in March 2014, it was successful in expanding its financial resources, by not only cooperating with a number of government schemes, but also by attracting new donors, including foundations (Bill & Melinda Gates Foundation for example), and foreign NGOs. Gram Vikas in the meanwhile increased its financial reserves to ensure the functioning of its governing body and the board and it continues to have a provision for raising funds through donations: Whereas Gram Vikas reported deterioration of its resource base in 2012, during the 2014 end line assessment, programme officers report a healthier financial situation, but the executive leadership is still less positive about its resource base.

Since the baseline assessment the Village Executive Committees have become more effective in supporting families to access various government schemes, ensuring a better implementation of government projects and filing Rights to Information. VECs are, according to Gram Vikas the best defendants of interests of marginalised people. Apart from these, many other NGOs were mentioned of defending the interests of these people, and the fact that the Orissa Tribal Empowerment and Livelihood Programme (public sector) which is working with many NGOs, puts these NGOs into competition with each other and therefore improves their services to marginalised groups in society.

Score baseline 2012 on an absolute scale from 0-3:	**2**
Score end line 2014, relative change on a scale of -2 → +2	**1**

5.2.3 Practice of Values

Practice of Values refers to the internal practice of values within the civil society arena. Important values that CIVICUS looks at such as transparency, democratic decision making, taking into account diversity that are deemed crucial to gauge not only progressiveness but also the extent to which civil society's practices are coherent with their ideals.

No changes occurred with regards to this dimension since the baseline. Gram Vikas has been known as a transparent organisation that distributes quarterly reports along the organisation. At the time of the end line evaluation the executive leadership indicated an improvement of the organisation's transparency and downward accountability. However, the staff and management at field level questioned this and some indicated that reporting had become a problem because of high staff turnover. Gram Vikas continued to send reports to donor agencies but the evaluators did not find evidence of these reports being shared within the organisation. Financial auditing is done by keeping an archive on the website of Gram Vikas.

The governing board of Gram Vikas consists of development practitioners, academia and professionals from the field of management and law. Two of the eight members two are women. The Governing board is elected by the General Body members, which has also eight members of which two are women. This situation remains the same as during the baseline.

Score baseline 2012 on an absolute scale from 0-3:	**3**
Score end line 2014, relative change on a scale of -2 → +2	**0**

5.2.4 Perception of Impact

Perception of Impact assesses the perceived impact of civil society actors on politics and society as a whole as the consequences of collective action. In this, the perception of both civil society actors (internal) as actors outside civil society (outsiders) is taken into account. Specific sub dimensions for this evaluation are the extent to which the SPO has contributed to engage more people in social or political activities, has contributed to strengthening CSOs and their networks, has influenced public and private sector policies.

Since the baseline study, Gram Vikas has obtained a positive impact for its beneficiaries and for the organisations it helped to create. It has also been able to influence public policies and practices. No

changes occurred with regards to the private sector or the collaboration between Gram Vikas and the public sector organisations.

Civil society arena

After the super cyclone Phailin that hit Odisha in October 2013, local people's concerns have increased considerably; apart from chronic concerns as water and sanitation, health, education, food security, caste and gender discrimination, communal violence, lack of transportation and communication facilities and accessing government schemes, other concerns were added such as disaster resistant shelter, agricultural and horticultural production, access to more and different seeds (not hybrid), access to government's welfare schemes and electricity supply.

GV caters to all these concerns through awareness building and social mobilisation around sanitation, water, livelihood improvement, health care and facilitating interface with government departments and elected representatives.

Community demand and in particular that of tribal people for proper water and sanitation systems has increased over the past two years, because community members are themselves promoting these systems and because neighbouring villages have witnessed the positive effects of these systems (no figures available). As a result the health situation of people, especially of women and children, has improved, because; households improved their hygiene practices; women can invest time in their children's education and other livelihoods activities instead of fetching water from remote sources, and; families started their kitchen gardens due to the availability of water, which improves their nutritional intake (no figures available).

As has been mentioned above, Gram Vikas has exported its MANTRA development model, starting with water and sanitation, in other states of India and in Africa.

The organisation further directly introduces alternative renewable energy applications grid energy is not available and is the socio-technical support agency to the Odisha State Disaster Management Authority (OSDMA) for the construction of social housing (with toilets) and for the promotion of micro life insurance to rural populations, reaching 1671 individuals since the beginning of the programme in 2010.

Apart from the water and sanitation sector, Gram Vikas continued to increase people's access to government schemes and to government schools (the SPO still has four village-based residential schools, but reduced the number of day schools to one, thereby ensuring that children get access to good quality education at the government schools).[20] Youth have received vocational training in order to finalise the water and sanitation in their village or to maintain these systems as well as to assist the Odisha Disaster Recovery Project.

An important number of new and already existing VECs have received training by Gram Vikas since 2012, which increasingly become effective in their villages. Apart from the mobilisation of community corpus funds (Rs 1,000 per family connected to the water and sanitation system), the VECs have proven to be capable of filing RTI (Right to Information) applications which helped to obtain the electrification in many tribal villages; improved village infrastructure (roads) and connectivity; land being allotted to tribal persons under the Forest Rights Act (FRA). Other examples are known where VECs addressed corrupt practices of government officials; where public funds were released; where communities now monitor teacher attendance at school and the mid-day meal quality. VECs increasingly are being consulted by families living in their village.

Public sector collaboration and influence

The relations Gram Vikas has with the government are three-fold: they support government schemes and programmes; they receive grants to expand their MANTRA programme and they influence the government policies in place at state and national level. Changes occurred in particular with regards to policy influencing.

In the first they are supporting government schemes and programmes with their implementation such as the state government's disaster management agency for the construction of 22000 houses; programmes on health, nutrition, water and sanitation sector, targeting school children, adolescent girls, ill people and ensuring access to the micro health insurance scheme; supporting agricultural and

[20] No figures available about people getting access to government schemes

horticultural programmes for tribal people and other agricultural programmes; ensuring that villages get access to the states rural electrification project and; making youth aware of the biodiversity, wildlife and environment in which they grow up.

In the second place at one national plant and one development council provide Gram Vikas with subsidies to expand its MANTRA programme, and some six other plants have invited Gram Vikas to collaborate with them on the MANTRA programme as an element of their social corporate responsibility mandate.

In the third place, elements of the MANTRA programme, partly because its executive director is the Chairman of the Working Group on Rural Drinking Water and Sanitation for India's Twelfth Five Year Plan (2012-17), have gained recognition in the national policy on sanitation, the Nirmal Bharat Abhiyan (NBA). One element is the principle of reaching 100 percent water and sanitation coverage in villages as a means to ensure social inclusion of all tribes and casts, for which the NBA has subsidies in place as well as the Mahatma Gandhi National Rural Employment Guarantee Act (MGNREGA). In relation to the first element, water and sanitation are now considered as a package under NBA, implying that water is not only made available for toilets but also for kitchens. The 100 percent coverage has also been facilitated under the Orissa Tribal Empowerment and Livelihood Programme (OTELP). Another element that became the government's policy is the use of sanitary dug well (open wells) instead of deep bore or tube wells as a means to reduce the contamination risks of ground water.

Gram Vikas however observes failures in the implementation of the NBA and the MGNREGA schemes, because the procedures for implementation are not clear and because subsidies from both schemes do not come easily available for communities.

Private sector collaboration and influence
Gram Vikas is very selective in engaging with private sector companies, given the fact that Odisha has been the site of conflicts between tribal populations and corporates for quite some time now[21]. The organisation still interacts with TATA steel on the implementation of water and sanitation programmes and has initiated discussions with two new companies. The introduction of the new Corporate Social Responsibility (CSR) Act that rules every company, private or public, with a net worth of Rs 500 crore or a turnover of Rs 1,000 crore or net profit of Rs 50 million, is required to spend at least 2 per cent of its average net profit from preceding three financial years on corporate social responsibility.

Score baseline 2012 on an absolute scale from 0-3:	**3**
Score end line 2014, relative change on a scale of -2 → +2	**1**

5.2.5 Civil Society Context

The social, political and economic environment in which civil society operates affects its room for manoeuvre. The civil society context has been described in chapter 3. In this section we describe how CSA is coping with that context.

Gram Vikas' room for manoeuvre increased slightly since the baseline study. In the first place the 2013 Companies Act and the 2014 Companies Corporate Social Responsibility Policy Rules 2014 now require every company, private or public—with a net worth of Rs 500 crore or a turnover of Rs 1,000 crore or net profit of Rs 5 crore—to spend at least 2 per cent of its average net profit from preceding three financial years on social projects. These regulations led to the expansion of Gram Vikas' collaboration with both public and private sector companies.

Due to the Super Cyclone Phailin, Gram Vikas engaged in rehabilitation and reconstruction works that in turn partially derailed its water and sanitation work. However its own villages have shown to be capable to rebuild their partially or fully destroyed houses and water and sanitation systems in collaboration with OSDMA and the World Bank.

[21] Protests against land acquisition for industries have been taking place across India. In Orissa, the site of protests are over the POSCO steel plant in Jagatsinghpur and the Vedanta's Bauxite Mine in Niyamgiri. In January this year the government gave environment clearance for the POSCO project but Vedanta didn't get its clearance after India's first environmental referendum in 2013, where the Dongria Kondh tribe rejected Vedanta mining in their area. *Refer,* http://www.thehindu.com/news/national/posco-cleared-vedanta-loses-bid-for-niyamgiri-project/article5561906.ece

Increasingly communities that received 100 percent water and sanitation systems are changing their behaviour and start demanding and promoting clean practices. This was seen as a consequence of the ripple effect created by GV's efforts over the years.

Score baseline 2012 on an absolute scale from 0-3: 2
Score end line 2014, relative change on a scale of -2 → +2: 1

5.3 To what degree are the changes attributable to the Southern partner

5.3.1 Strategic Orientation Civic engagement

In this paragraph two outcomes are being explained, as well as the role of Gram Vikas in realising these outcomes. The first outcome concerns the outreach of the MANTRA programme, to which ICCO contributed in the past years, and the second is about parents claiming subsidies for their children studying at the residential schools of Gram Vikas.

Outcome one – outreach of the MANTRA programme
Gram Vikas (GV) initiated its flagship MANTRA programme in 2004 with focus on comprehensive habitat development and governance that uses the common concerns of clean water and community sanitation to unite and empower communities and promote better health. Its first target was set in 2010, covering 100,000 households with water and sanitation facilities. This target was rescheduled to 2015, but by March 2014 Gram Vikas had covered 62,900 households in total, covering about 5036 new households from 107 new villages between 2012 and 2014.

Factors that explain these outcomes consist of the following:

- ICCO supported water and facilitation systems for 56 of the 107 new villages in the 2012 – 2014 period in Odisha;
- Under the umbrella of the Odisha Tribal Empowerment and Livelihoods Programme (OTELP), Gram Vikas has covered 70 new villages in two districts between 2012 and 2013;
- External respondents state that Gram Vikas' MANTRA approach creates user groups to maintain the resources and ensures indirect follow-up after the project has finished. This approach comprises the mobilisation of people, informing and orienting them to be a part of the initiative, followed by supervision of construction works by the project;
- Other NGOs that are working under OTELP in adjacent localities have replicated elements of Gram Vikas' water and sanitation model, and Gram Vikas signed a memorandum of understanding with one NGO to provide technical support with the construction of water and sanitation facilities;
- The MANTRA model and its recognition by the district administrations helps Gram Vikas to implement the programme on a large scale: The model has established a reputation, and GV has decided to expand its coverage outside Odisha by collaborating with partners who can assist the programme's implementation in other states;
- Increasingly subsidies become available to construct individual household latrines. Subsidies are not only available for Below Poverty Level households but also Above Poverty Level households, making it easier to ensure a 100 percent water and sanitation coverage per village. These subsidies became available in 2013 under the NBA.

The reputation that Gram Vikas' MANTRA model has gained over the past 15 years with the support of ICCO, followed by financial support coming through government programmes and subsidies, as well as other NGOs collaborating with Gram Vikas to copy the model entirely or elements from it, all explain the increased outreach. The outcome has been achieved through the MANTRA model being development by Gram Vikas and a network that Gram Vikas has forged for itself.

Some narrative evidence has been collected that villages increasingly start to demand water and sanitation facilities as a result of the promotion of these facilities by community members in villages where Gram Vikas has intervened. However the analysis of the data available in the annual reports of Gram Vikas show that more villages and households *per year* were covered *before* March 2011 than in the four years *after* March 2011. These figures either indicate that Gram Vikas did not avail of the

funding necessary to introduce the water and sanitation package in demanding villages, or that such demand does not exist[22].

Outcome two-subsidies become available for students attending Gram Vikas' residential schools. Students from students from two out of GV's four residential schools now get BPL rice in line with the government scheme that rules students hailing from BPL households as eligible for rice at subsidised rates. Before 2013, the students would receive Rs. 500 as stipend that covered their food expenditure, soap, oil and medical expenditure. But they were not getting rice at subsidised rates even when they were eligible for it. Gram Vikas informed parents of this lacuna, and encouraged them to approach village and block level officials and file applications to avail their entitlements. The parents followed up with the help of the organisation. Because of continuous efforts, starting from year 2013, two out of four residential schools have started obtaining rice at subsidised rate. Additionally, the stipend amount has been raised from Rs. 500 to Rs. 650 per student. Gram Vikas also facilitates the process of accessing the money by the students, directly in their accounts. Evidence was provided that this outcome has been achieved and that Gram Vikas has been involved in reaching the outcome.

The outcome can therefore been explained as a collaborative effort of parents and Gram Vikas, with Gram Vikas as the initiator and the coordinator of the interventions.

5.3.2 Strategic Orientation Intermediate organisations

In this paragraph, one outcome achieved is being explained, including the role of Gram Vikas.

Outcome – VECs are capable of defending the interests of their constituents
The present coverage of GV (GV) under its flagship MANTRA constitutes 1095 villages. Accordingly, the total number of VECs formed till date is 1095. The coverage expanded to include another 107 villages between 2012 and 2014 and the corresponding increase in the number of VECs is 107 during this period. There are 12 members in a VEC, and women and men constitute 50 per cent membership each, caste find proportional representation in VECs.

Examples have been provided in paragraph 5.2.2 that Village Executive Committees have become more effective in supporting families to access various government schemes, ensuring a better implementation of government projects and filing Rights to Information. Other examples of proactive involvement of VECs in community welfare were narrated as anecdotes by VEC members. One such instance is that of the Tarba village Panchayat in Gajapati district where GV's MANTRA has managed to cover 90 per cent households. Villagers in Tarba earn their income from their cashew plantation. But the past few years have seen a descent in yields. As a result, the VEC members and villagers collectively decided to diversify and undertake rubber plantation to support their income. The VEC, it was assumed, would take a lead in this, as it did, by obtaining subsidies on the inputs required for rubber cultivation from ITDA (Integrated Tribal Development Agency).

Some VEC members have also been contesting in Panchayat elections. A girl, Shashi Malik, from Tamana village in Ganjam district (one of the first villages where GV began its work in 1978) now is now a sarpanch and a VEC member. Surat Subarao of Rayagaha block, Gajapati district has progressed from being an executive member of the VEC to becoming a sarpanch (an elected village representative). A tribal woman from Digposi village who is a sarpanch continues to be a VEC member and has played an instrumental role in ensuring 100 per cent water-sanitation coverage for villages under her Panchayat. Apart from this, there have been instances where the VEC members have actively filed RTI applications to uncover corruption.

A variety of documents have been provided by GV to substantiate this outcome. Copies of certificates issued by government offices for the registration of a VEC under different Panchayat Samitis as well as copy of VEC by-laws (in the Odiya script) show that such VECs are functioning in the target areas. Copy of a sanction letter issued by GV to a VEC member for the implementation of water and sanitation programme on an incentive basis shows the active engagement of such VECs and their responsibility thereof for the 100 per cent coverage under water and sanitation programme in a particular village. Unfortunately Gram Vikas has not kept documents that show the performance of the VECs to defend the rights of their constituents.

[22] Annual reports available at the website of Gram Vikas.

With regards to the role of Gram Vikas in explaining these outcomes, different answers where obtained:

- A woman sarpanch confirmed Gram Vikas' role, stating that working as a VEC member enabled her to create a positive image for herself in the village which later helped her in win the Panchayat election. She also credited the capacity building trainings and exposure given by GV for her success. She provided copies of RTI applications filed by VEC members in her village to check malpractices and corruption in government departments. Apart from this, VEC members agreed that trainings and exposure they got from Gram Vikas has enabled them to feel more confident in terms of dealing with government departments and officials and take on leadership roles;
- A government official from the ST & SC Development department agreed that VEC members are capable of managing resources like water supply infrastructure created by the community with the help of GV, but not much beyond that. A resource person from one of the partner organisations said that the VECs were empowered in handling the water and sanitation infrastructure created by GV, but were still learning to sustain it;
- An academic knowledgeable about GV's work said that the VEC members are indeed capable of leadership in their community and have been successful in implementing changes such as prohibition of liquor. However, he also mentioned that the reason behind increased capacities of VEC members may not only be explained by the trainings and exposure provided by GV, but could have stemmed from other factors, like their relations with Panchayat members or VEC members also having roles in their Panchayats;
- GV staffers credit GV as being the main actor capacitating VECs in the MANTRA villages. Apart from this, the changed pattern of financial assistance from the government has meant a more proactive role for VECs in terms of liaising, negotiating or actual implementing the programme and this is also a factor, according to Gram Vikas, that has contributed towards the outcome.

According to the evaluators, all of the above mentioned actors—a combination of them—are responsible for the achievement of this outcome.

5.4 What is the relevance of these changes?

5.4.1 Relevance of the changes in relation to the Theory of Change of 2012

The Theory of Change (ToC) prepared in 2012 covers the same activities as Gram Vikas has been working on for the past two years. According to that ToC the following needs to be in place to achieve a sustainable and equitable development: strong local level institutions such as the village bodies and VECs to obtain a 100 % coverage of water and sanitation facilities per village; access to information, by reinforcing people's capacities to make use of the Right to Information Act, the Forest Rights Act, the National Rural Employment Act and the services of other government programmes; the fulfilment of basic needs which in the first place requires interventions by Gram Vikas to raise people's awareness; secured livelihoods through (more equitable) market linkages, agricultural-horticultural and agroforestry development that protect existing soil fertility and that local people can keep a control on; inclusive development processes that take into account castes, tribes and women; making people capable to claim their rights to services delivered by pro people schemes and policies and through lobby and advocacy by Gram Vikas itself, and; networking by Gram Vikas to expand its MANTRA model in and outside Odisha.

In the past two years, Gram Vikas has made progress on all above elements that need to be in place for the achievement of sustainable and equitable development. The realisation of their ToC has been hampered by the Cyclone Phailin in October 2013, urging Gram Vikas to enter into reconstruction and rehabilitation activities.

5.4.2 Relevance of the changes in relation to the context in which the SPO is operating

Odisha is one of India's poorest states, with 63.2 per cent people living below the poverty line[23] and poverty is a rural phenomenon. Approximately 86 % of the 37 million people of Odisha live in rural areas. According to studies conducted in the early 1990s, over 80% of the cases of morbidity and mortality in rural Odisha could be traced to poor quality of drinking water, which was largely a consequence of poor sanitation, especially inadequate disposal of human waste. A 2004 study revealed that less than 1 % of the population had access to safe and protected water supply.

Gram Vikas states that it has had a positive impact on the quality of life, reducing the incidence of water-borne diseases, such as skin conditions and diarrhoea with 85 % in villages that are 100 % covered with water and sanitation facilities[24]. However consistent monitoring of water-borne diseases is missing, as well as the monitoring of the water quality and behavioural changes at household level. More information on these data would help to further assess the impact of Gram Vikas' interventions on health.

In the past 1,5 years Odisha state was hit by the Phailin Cyclone which might have led to the contamination of drinking water in flood affected areas[25] as well as by drought in May 2014, in particular in areas where the maintenance of water and sanitation systems is not being ensured [26]. No information is available as to what extent the VECs in Gram Vikas' intervention zones are maintaining their systems and are capable of facing floods and droughts.

Although Gram Vikas' interventions with regards to water and sanitation are very relevant, more information is needed to ensure that these lead indeed to a decrease in water-borne diseases, to improved hygiene practices at household level, as well as to the maintenance of these systems.

Gram Vikas' MANTRA model is very relevant to combat social exclusion taking place in villages: its model ensures that all families of a village obtain access to water and sanitation infrastructures. Apart from this the organisation ensures that 48 % of these families belong to scheduled tribes or castes. At state level 22% of the population has a tribal background and 17% are Dalits or scheduled castes.

5.4.3 Relevance of the changes in relation to the policies of the ICCO alliance and ICCO

ICCO's MFS II programme has three core strategies: policy influencing, civil society and poverty alleviation. These three strategies are integrated into each programme of ICCO. Gram Vikas falls into the Food Security Program. This programme aims to create civil society by strengthening and improving local sustainable food systems and communities to claim their right to food. It is about how civil society – Gram Vikas and target groups – is strengthened and capacitated through addressing their own issues, whether it is economic justice, WASH or other livelihood issues. ICCO emphasises in particular the strategies needed to address issues of target groups and to mobilise community members.

The justification of Gram Vikas being part of this Food Security programme is twofold. One reason is their work being based in Odisha, where many problems around food security are eminent. As ICCO was already working on projects in this area with regards to food security it was logical to place Gram Vikas in the same portfolio. Further, Gram Vikas uses water and sanitation as a direct link to health and hygiene. Water is a very important part of food security and is directly linked with health and hygiene. This is the second reason for Gram Vikas to have been placed in the food security programme. The work of Gram Vikas is very well aligned with the policy of the ICCO coalition.

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[23] *Refer,* http://planningcommission.nic.in/reports/genrep/rep_pov.pdf

[24] Gram Vikas and FANSA (date unknown) Improving WASH through social inclusion in Odisha, Improving accountability to ensure equitable and sustainable WASH services for the poor and marginalised, Lessons from the governance and transparency programme. Available at http://www.freshwateraction.net/sites/freshwateraction.net/files/GRAM%20VIKAS%20GTF%20case%20study.pdf

[25] http://www.downtoearth.org.in/content/phailin-fallout-people-face-acute-drinking-water-shortage

[26] http://www.business-standard.com/article/current-affairs/shortage-of-drinking-water-raises-concern-of-water-borne-diseases-in-odisha-114050600859_1.html

5.5 Explaining factors

5.5.1 Internal factors

Gram Vikas faced two important changes since the baseline assessment; the first consisted of its founder and executive director stepping down after 35 years in June 2014, the second consists of Gram Vikas moving to the capital of Odisha, also in June 2014.

GV's Governing Board had, in fact, initiated a search process to recruit the new executive director in 2013, and Shubhasis Pattnaik was recruited as the new executive director (ED) with effect from May 2014. Pattnaik is an engineer and MBA and has 12 years of experience at senior positions in Infosys. The choice of a GV head from outside the development sector and from the corporate world, is expected to, amongst other things, provide inputs such that the organisation is better able to meet the increasingly professional demands of the donors, multilaterals, bureaucracy etc. At the time of the end line, Pattnaik had already recruited a new Human Resource (HR) Head. The head office shift, meanwhile, was made to enable better coordination with state government and other stake-holders, as also to attract professionals who usually don't want to work and live in the isolated Mohuda campus. Madiath wants to promote a Centre for Excellence in Academics and Sports for tribal children at the Mohuda campus.

The ramifications of both changes will unfold over time. While positive intent underlies both moves, they are fraught with the danger of changing the very character of GV. The former executive director and Gram Vikas have been synonymous till date, and this has always been the organisation's advantage given his credentials, contacts and influence. He is, for instance, currently serving as the Chairman of the Working Group on Rural Drinking Water and Sanitation for India's Twelfth Five Year Plan (2012-17). An Odisha-based development professional interviewed by the evaluators corroborated that Gram Vikas has always been centred around the former executive director's personality, and done well for this given his reputation in civil society. While his stepping down means an image change, whether the new Gram Vikas can cope without him is still to be seen. On the other hand, if the former director's considerable influence over the organisation continues despite the change in stewardship then it might be interpreted as merely cosmetic. The change in staffing strategy is also bound to raise questions regarding the widening disparity between the relatively smaller remunerations for the field workers and the compensation packages being offered to personnel being hired from the corporate world. Also, the growing overheads that will be the consequence of running an office in the capital as compared to running one in a district. However these issues are resolved, it is clear that Gram Vikas in the past two years has been introspecting and evolving internally to keep up with the times.

5.5.2 External Factors

The period between the baseline and the end line in Odisha was marked by Super Cyclone Phailin hitting the state and its neighbour Andhra Pradesh (AP) in October 2013. Over thirteen million people were affected, millions evacuated, properties ruined and damaged. Gram Vikas remained not just undeterred by this external circumstance, but embraced it as an opportunity to use its knowledge and skills to assist the state in dealing with it. The organisation started working on social housing in collaboration with Odisha State Disaster Management Agency (OSDMA) and the World Bank. And at the field level, it collaborated with government line departments on repair and rehabilitation work in affected villages, as also assisted villagers avail compensations that were delayed or denied.

These past two years also saw Gram Vikas recognise that donors increasingly do not want to invest in institutional costs such as rents, staff salaries, etc, preferring to focus on project funding. This has made the organisation decide on diversifying its funding sources such that they are not reliant on any one funder for their establishment costs. GV's staffing strategy has also been revisited; fresh recruitments are being made with a view to have in-house access to documentation skills that are now becoming an important part of donor demand.

5.5.3 Relations CFA-SPO

The cooperation between Gram Vikas and ICCO started before the baseline, and has been a good relationship. The evaluation team does not see evidence for this relationship to explain the changes made by Gram Vikas

6 Discussion

6.1 Design of the intervention

This section discusses whether the project is well designed and suitable for the environment in which it was implemented.

The evaluation team believes that the greatest strength of Gram Vikas' work is their MANTRA model - Movement and Action Network for the Transformation of Rural Areas – that starts with the water and sanitation sector. Its unique approach to cover entire villages rather than individual households (100 percent coverage rule) is the key factor of their success. This ensures social inclusion of marginalised categories in society and should lead to an accelerated reduction of water borne diseases. Starting with water and sanitation as a full package, including access to water for toiletry, consumption and production, helps to both secure food, nutrition and health issues. Although some testimonies are available with regards to the performance of the 1095 VECs, no data are collected on a structural basis that explain the extent to which the VECs are capable of defending the interests of their constituents at large, and of maintaining the water and sanitation infrastructure. These data are important to understand the extent to which the MANTRA model has materialised.

6.2 Replication of the intervention

Gram Vikas' model is at the moment expanding to other states in India and even to other countries in Africa. It is beyond the mandate of this evaluation team to assess the extent to which the model is replicable in these locations where other NGOs are in charge, although it would provide many insights.

In order to be able to replicate this intervention, at first sight the following competencies need to be available:

- Strong leadership, with a clear development vision (MANTRA model), capacity to relate with a wide range of actors and to network with these;
- Capacity to organise people at village level into democratic structures that are capable of claiming their rights as a means to improve their livelihoods and that are capable of maintaining water and sanitation infrastructure;
- Technical expertise with regards to the construction of water and sanitation facilities.
- Capacities to collect data with regards to the water quality, the performance of village structures such as the VECs, the prevalence of water-borne diseases and behavioural changes with regards to water and sanitation;
- An organisation that is being trusted by its target groups and that understands the root causes of inequality.

With regards to the institutional environment in which such an organisation would operate:

- Good working relations with state government, district administration and lower administrative levels;
- A government that prioritises water and sanitation as a key entry point for development; adheres to the 100 % coverage principle and has subsidies in place to cater for these interventions.

7 Conclusions

Changes in the civil society arena of the SPO

In the 2012 – 2014 period the two most important changes that took place in the civil society arena of Gram Vikas are related to the Civicus dimensions 'level of organisation' and 'perception of impact'.

With regards to 'level of organisation' the evaluators observe that Gram Vikas considerably improved its networking capacity within the Odisha state, in other states of India and in two African countries. The SPO engaged with NGOs working in Jharkhand, West Bengal, Nagaland and Madhya Pradesh on a wide range of issues. In Odisha state it signed a partnership agreement with another NGO, addressing the water and sanitation sector and it received assistance to train SHGs from members of the Orissa Development Action Forum of which it is still a member. In the same period the organisation expanded its financial resource base, by means of supporting the government with the implementation of government schemes and programmes, as well as by means of receiving funding from public and private companies to expand its water and sanitation programme MANTRA. The main reasons that explain its increased engagement with other actors is the office move from a remote village to the capital of Odisha.

With regards to 'perception of impact', Gram Vikas has been able to connect 4003 new households to water and sanitation systems, achieving a total of 62,900 households in 1,095 villages since the beginning of the programme. About 48 per cent of its target groups belong to tribal communities. Due to the October 2013 Cyclone Phailin, Gram Vikas will not be able to reach its 100,000 households target by 2015, starting in 2000. In the past two years, communities' demand for water and sanitation systems covering the entire village at once (100 percent coverage) has increased, because they experience the impact upon people's health, nutritional intake and time employment, because water is easily accessible for both consumption and production activities. Apart from the water and sanitation programme, Gram Vikas continued to increase people's access to government schemes and services. The Village Executive Committees increasingly help families to obtain access to these schemes and address corrupt practices of government officials that prevent their villages of accessing these schemes.

Gram Vikas expanded its collaboration with the public sector by supporting the implementation of a wide range of government schemes and programmes and by receiving grants for the implementation of their MANTRA programme. Apart from this they have been able to influence national water and sanitation policies that now recognise the need to implement the full package, comprising water availability for sanitary, consumptive and productive purposes for entire villages rather than individual households.

These findings were obtained through an analysis of documents, a workshop and follow-up interviews with the SPO, and interviews with external resources persons working in civil society organisations that receive support from the SPO; other civil society organisations with whom the SPO is collaborating; public or private sector agents and; external resource persons capable of overlooking the MDG or theme on which the SPO is concentrating.

Contribution analysis

Based upon an analysis of the projects and programmes financed by the Dutch CFAs, four orientations strategic for civil society development were identified: Ensuring that more people from more diverse backgrounds are engaging in civil society activities; ensuring that the organisations that receive support from the SPO are capable of playing their role in civil society – intermediate organisations; strengthening the relations with other organisations in civil society to undertake joint activities, and; influencing policies and practices of public or private sector organisations. For India the focus is on enhancing civic engagement and strengthening intermediate organisations.

Based upon an estimation of the percentage of the MFS II project budget related to interventions that are relevant for civil society, those SPOs whose absolute budgets for civil society were most important

were selected for in-depth process tracing on two outcomes related to the above mentioned strategic orientations. The evaluation team conducted a quick assessment on contribution for the other SPOs.

Gram Vikas was amongst those SPOs not selected for in-depth-process tracing and the evaluators looked at two outcomes achieved that relate to 'civic engagement' and one outcome achieved that relates to the performance of intermediate organisations.

With regards to civic engagement the first outcome assessed is that of the increased outreach of the water and sanitation model (MANTRA) that has been promoted by Gram Vikas for the last 15 years. Between 2012 and 2014, 5036 new households from 107 new villages were covered under this model and the total number of households that now have access to water (for consumption and production) and sanitation has attained 62,900 households by March 2014. The most important explaining factor for this are ICCO's support to Gram Vikas, not only for the last two years; Gram Vikas' collaboration with the Odisha Tribal Empowerment and Livelihoods Programme (OTELP); the capacity of user groups trained by Gram Vikas to maintain their infrastructure and resources; the replication of the entire or parts of the model by other NGOs working under the same OTELP programme; the positive reputation that the model has obtained; and subsidies increasingly becoming available that help to ensure a 100 percent water and sanitation coverage per village.

The evaluators also observe that the growth of the number of villages and households covered by water and sanitation facilities has slowed down since March 2011, which may be due to missing resources available with Gram Vikas or a decreased demand of such systems.

The second outcome consists of students of two of the four residential schools created by Gram Vikas having now access to Below Poverty Line rice in line with the government scheme for other schools as of 2013. This outcome is to be explained by Gram Vikas, informing the parents of these students about the scheme and supporting them to file applications to claim their rights.

With regards to 'strengthening intermediate organisations', the evaluators looked at the capacity of the village extension committees put in place by Gram Vikas to defend the interests of their constituents, households. In total 1095 VECs in the same number of villages have been created, including 107 new VECs in the 2012 – 2014 period. Several examples have been confirmed that VECs are capable of defending the interests of their constituents beyond that of managing water supply infrastructure. Unfortunately Gram Vikas has not kept documents that show the performance of all VECs it trained. Major actors and factors that explain the outcomes achieved (at least the examples given) consist of training received from Gram Vikas, the relations VECs members possibly have with Panchayat members or their position in the Panchayat and; more subsidies becoming available from government schemes and programmes, requiring a more proactive role of VECs.

Relevance

Interviews with staff of Gram Vikas, with external resource person, with the liaison officer of ICCO, as well as contextual information helped to assess the relevance of Gram Vikas's interventions in terms of; its Theory of Change (ToC) for Civil Society (SC) as designed during the baseline study; the context in which CSA is operating; the CS policies of ICCO.

With regards to the baseline ToC, the interventions and outcomes achieved are relevant because Gram Vikas has continued working in line with its MANTRA model that informed the 2012 ToC.

With regards to the context in which Gram Vikas is operating, its interventions and outcomes in the water and sanitation sector are relevant, however information is missing that shows how these interventions influence the morbidity of water-borne diseases in the rural areas where the organisation is working. 48 % of Gram Vikas' target groups belongs to scheduled caste of tribe, which is higher than the average representation of these groups in Odisha state.

Gram Vikas' s interventions align with ICCO's MFS II Food Security programme which aims to improve local food systems and to strengthen communities to claim their right to food. Therefore civil society strengthening by Gram Vikas is an important component of this programme, as well as the SPOs' focus on water and sanitation which directly relate to the nutritious quality of food and health issues.

Explaining factors

Internal factors that will explain Gram Vikas future orientations are the stepping down of the executive director and founder of Gram Vikas in June 2014, and the office moving to the capital of Odisha. The

former director was a well-known person and for 35 years was strongly associated with Gram Vikas and its reputation. The new office in Bhubaneswar is expecting to make collaboration with other organisations easier.

A major external factor which has impacted Gram Vikas' work was the cyclone Phailin, which struck Odisha in October 2013. Gram Vikas therefore shifted its focus from the water and sanitation sector to that of the rehabilitation and reconstruction sector with a government programme funded by the World Bank.

Relations between ICCO and Gram Vikas have been functional and did not influence upon the findings of this evaluation.

Design
Gram Vikas' model is already being copied in other states of India and in African countries. An analysis of the implementation of its model in these locations would increase the understanding of the extent to which the model is replicable. Important conditions for success are the 100 percent coverage of villages with water and sanitation facilities that Gram Vikas works with as a means to ensure social inclusion of all groups in society.

Table 3
Summary of findings.

When looking at the MFS II interventions of this SPO to strengthen civil society and/or policy influencing, how much do you agree with the following statements?	Score
The CS interventions were well designed	
The CS interventions were implemented as designed	
The CS interventions reached their objectives	
The observed outcomes are attributable to the CS interventions	
The observed CS outcomes are relevant to the beneficiaries of the SPO	

Score between 1 to 10, with 1 being "not at all" and 10 being "completely".

References and resource persons

Documents by SPO

Title	*Year*
Project No 71-02-05-084	
Narrative report 2012-13	2013
Narrative report 2011-12	2012
Finance report 2012-13	2013
Audit report ICCO 2012-13	2013
Annual Project Update 2011-12	2012
Annual Project Update Gram Vikas 12-13	2013
Proposal on water and sanitation ICCO 2011-2014	2011
Annual Project Update 2013-14	2014

Documents by CFA

Title	*Year*
ICCO Alliance Progress Report 2012 – Narrative part	2013
ICCO beleidsbrochure (proef4)	2014
ICCO Progress Report 2013 Final 1 May Part 1 Narrative	2014
ICCO Progress Report 2013 Final 1 May Part 2 Annexes	2014
MIC's 2011-2 Prefinal pp Version02-05Final ReportPoliticalSpace(def)	2014

Documents by Alliance

Title

Other documents

Author	*Year of publication*	*Title*	*Publisher*
Social Watch	2012	Social and Economic Rights Fulfillment Index (SERF) – A new human rights approach	Social Watch
Heritage	2014	Economic Freedom of India	Heritage.org
Government of India Planning Commission	2009	Report of the Expert Group to Review the Methodology for Estimation of Poverty	Government of India
World Bank	2013	India Cyclone Phailin in Odisha – Rapid Damage and Needs Assessment Report	World Bank
Global Platform	2011	Disaster Risk Management for Health Fact Sheet – Water, Sanitation and Hygiene	Global Platform

Webpages

Author	*Title*	*Webpage link*	*Date*
Find the Best	India Corruption Information	http://country-corruption.findthebest.com/l/98/India	August 2014
Fund for Peace (FFP)	Country data and trends for India 2014	http://ffp.statesindex.org/2014-india	August 2014
Freedom House	Freedom Scores India	https://freedomhouse.org/report/freedom-world/2014/india-0#.VGCiRvlwtcQ	August 2014
World Values Survey	India Information	http://www.worldvaluessurvey.org/WVSContents.jsp	November 2014
Vision of Humanity	Global Peace Index for India	http://www.visionofhumanity.org/#page/indexes/global-peace-index/2014/IND/OVER	November 2014
The Hindu Times	More women voters in Odisha	http://www.thehindu.com/news/national/other-states/more-women-voters-in-odisha/article5950473.ece	November 2014
The Indian Express	Naveen's thank-you note: Orissa set to clear new policy for women	http://indianexpress.com/article/india/politics/naveens-thank-you-note-orissa-set-to-clear-new-policy-for-women/	November 2014
Reuters	Who are India's Maoists and why are they in the news	http://blogs.reuters.com/india/2013/05/29/who-are-indias-maoists-and-why-they-are-in-the-news	November 2014

SATP.org	Facilities in left-Wing Extremism – India Year Wise Breakup	ttp://www.satp.org/satporgtp/countries/india/maoist/data_sheets/fatalitiesnaxal05-11.htm	November 2014
The Times of India	Lens on Foreign Funds to NGOs Featuring on IB-Report	http://timesofindia.indiatimes.com/india/Lens-on-foreign-funds-to-NGOs-featuring-on-IB-report/articleshow/37801293.cms	September 2014
The Hindu	Posco cleared, Vedanta loses bid	http://www.thehindu.com/todays-paper/posco-cleared-vedanta-loses-bid/article5564705.ece	November 2014
Kafila	Protest Against Killing of Anti-POSCO Activitsts and Forcible Land Grabbing in Odisha	http://kafila.org/2013/03/10/protest-against-killing-of-anti-posco-activists-and-forcible-land-grabbing-in-odisha/	November 2014
Orissa Diary	Convergence meeting held with Odisha Govt officials on livelihood restoration of Phailin Survivors	http://www.orissadiary.com/CurrentNews.asp?id=50721	November 2014
Government of Tamil Nadu	Schemes: Centrally Sponsored Schemes: Nirmal Bharat Abiyan (NBA)	http://www.tnrd.gov.in/schemes/cen_nba_13.html	November 2014
Mgnrega.co.in	MGNAREGA	ttp://www.mgnrega.co.in/	November 2014
Otelp.org	Odisha Tribal Empowerment & Livelihoods Programme	http://www.otelp.org/about.asp http://www.orissa.gov.in/stsc/otelp/partnership_FNGO_ccd.htm	November 2014
Government of Orissa	Centre for Community Development	http://www.orissa.gov.in/stsc/otelp/partnership_FNGO_ccd.htm	November 2014
Government of Orissa	Jana Kalyan Pratisthan, Gajapati	http://www.orissa.gov.in/stsc/otelp/partnership_FNGO_janakalyan.htm	November 2014
Pradan.net	Professional Assistance for Development Action	http://www.pradan.net/index.php?option=com_content&task=view&id=17&Itemid=3	November 2014
Samarth	About Samarth	http://samarthmp.in/vision/	November 2014
Bitharidisha	About us	http://www.bitharidisha.org/about.htm	November 2014
India Mapped	Details of People in Need Foundation – An NGO in Kohima, Nagaland	http://www.indiamapped.com/ngo-in-nagaland/kohima/people-in-need-foundation-21447/	November 2014
One Drop	Who we are	http://www.onedrop.org/en/DiscoverOneDrop_Canada/WhoWeAre.aspx	November 2014
FAN	Improving Wash through social inclusion in Odisha	http://www.freshwateraction.net/sites/freshwateraction.net/files/GRAM%20VIKAS%20GTF%20case%20study.pdf	unknown
Down to Earth	Phailin fallout people face acute drinking water shortage	http://www.downtoearth.org.in/content/phailin-fallout-people-face-acute-drinking-water-shortage	October 2013
Business standard	Shortage of drinking water raises concern of water borne diseases in Odisha	http://www.business-standard.com/article/current-affairs/shortage-of-drinking-water-raises-concern-of-water-borne-diseases-in-odisha-114050600859_1.html	May 2014

Resource persons consulted

For confidentiality reasons, the names and details of the persons were removed.

Organisation	*Function in organisation*	*Relation with SPO*
Gram Vikas	Executive director	Executive leadership
Gram Vikas	Programme Manager Mantra	Executive leadership
Gram Vikas	Programme Manager NRM	Executive leadership
Gram Vikas	Supervisor	Field Staff
Gram Vikas	Supervisor	Field Staff
Gram Vikas	Supervisor	Field Staff
Gram Vikas	Supervisor	Field Staff

Gram Vikas	Superviros	Field Staff
Gram Vikas	Supervisor	Field Staff
Gram Vikas	Supervisor	Field Staff
Gram Vikas	Project Coördinator	Programme Manager
Gram Vikas	Junior Programme Coördinator	Programme Manager
Gram Vikas	Programme Coordinator	Programme Manager
Gram Vikas	Junior Coordinator	Programme Manager
Gram Vikas	Programme Coordinator	Programme Manager
Gram Vikas	Junior Project Coordinator	Programme Manager
-	Sarpanch of Digposi Village Panchayat	Wife of VEC member, herself ex VEC member
OTELP	Assistant Agricultural Engineer	Is cooperating with Gram Vikas
PRADAN	State Programme Director	Is cooperating with Gram Vikas
XIMB		Is an academician who knows about the development sector in Odisha
	VEC member Karankia village, Kyonjhar district	Receives support to work with households
	VEC member and president Rauli Bandha VEC, Ganjam district	Receives support to work with households
	SHG member, Karanjiya village	Receives support to work with households
	VEC member, Jhalakani village, Kyonjhar district	Receives support to work with households
ICCO	Holds portfolio of Food Security Programme	Contact person from ICCO

Appendix 1 Civil Society Scores

This table presents the appreciation of the evaluation team regarding changes occurred for each indicator between 2012 and 2014 on a scale of -2 to + 2

- 2 = Considerable deterioration
- 1 = A slight deterioration
0 = no change occurred, the situation is the same as in 2012
+1 = slight improvement
+2 = considerable improvement

Dimension		Indicators	Question	Change in the indicators in the 2012 – 2014 period
Civic engagement	1	Needs of marginalised groups	How does your organisation take the needs of your beneficiaries/target groups, in particular marginalised groups into account in your planning, actions, activities, and/or strategies?	+1
	2	Involvement of target groups	What is the level of participation of your beneficiaries/target groups, in particular marginalised groups in the analysis, planning and evaluation of your activities?	0
	3	Political engagement	How intense is your (individual staff or organisational) participation in locally-nationally elected bodies and/or sectoral user groups?	0
Level of organisation	5	Relations with other organisations	In the past 12 months what has been the most intensive interaction you had with other CSOs?	+1
	5	Frequency of dialogue with closest CSO	In the past 12 months how many meetings did you have with the CSO that you have most intensive interaction with?	0
	6	Defending the interests of marginalised groups	Which CSO are most effective in defending the interests of your target groups? In the past 12 months, how did you relate to those CSOs?	+1
	7	Composition current financial resource base	How does your organisation finance institutional costs such as workshops of the General Assembly (if applicable); attendance to workshops of other CSOs; costs for organisational growth and/or networking?	+1
Practice of Values	8	Downward accountability	To what extent can mandatory social organs (steering committee, general assembly, internal auditing group) ask your executive leaders to be accountable to them?	0
	9	Composition of social organs	What % of members of your mandatory social organs belong to the marginalised target groups you are working with/for?	0
	10	External financial auditing	How regularly is your organisation audited externally?	0

Perception of impact	11	Client satisfaction	What are the most important concerns of your target groups? How do your services take into account those important concerns?	+1
	12	Civil society impact.	In the past 12 months, what impact did you have on building a strong civil society?	+1
	13	Relation with public sector organisations.	In the past 12 months, what interaction did you have with public sector organisations to realise your programme and organisations' objectives?	0
	14	Relation with private sector organisations	In the past 12 months, what interaction did you have with private sector organisations to realise your programme and organisations' perspective?	0
	15	Influence upon public policies, rules, regulations	How successful have you been in influencing public policies and practices in the past 2 years?	+1
	16	Influence upon private sector agencies' policies, rules, regulations.	How successful have you been in influencing private sector policies and practices in the past 2 years?	0
CS context	17	Coping strategies	In the past 2 years, how did your organisation cope with these changes in the context that may have been positive or negative consequences for civil society.	+1

Appendix 2 Changes in civil society indicators between 2012 and 2014

2.1 Civic Engagement

2.1.1 Needs of marginalised groups SPO

Gram Vikas (GV) works with a continued focus on sanitation and holistic empowerment of villages with an aim for self-sustenance. GV ensures that it covers 100 per cent of all families in the villages where it works. Addressing the centuries-old problem of exclusion of the poor and the marginalised, such as women and the scheduled castes/tribes, from developmental processes is key in these programmes and it culminates into the establishment of "a general village body" that proportionally represents all categories. GV's project document with ICCO, in fact, states that it selects villages with higher concentration of poor and marginalised communities, particularly Dalits[27] and Adivasis[28]. About 48 per cent of its target groups belong to tribal communities.

According to its Annual Report 2013-2014, Gram Vikas' (GV) outreach expanded to cover over 62,900 households in 1,095 villages by March 2014, including 2,908 households in 55 villages in 2012-13 and 2,128 households in 52 villages in 2013-14. Given that the objective of GV's MANTRA programme is to cover 100,000 households by 2015, the GV personnel frankly admitted that covering the remaining 37,100 households within deadline is unachievable. This shortfall, however, must be understood in context; Odisha was struck by Cyclone Phailin[29] in October 2013, the second-strongest tropical cyclone to make landfall in India, next only to the 1999 Odisha Cyclone. Rehabilitation and reconstruction have since been the priorities, in turn derailing most development work in these states. But GV has risen to meet the needs of the occasion by expanding its scope of work to include social housing for disaster victims by collaborating with the state government's disaster management agency Odisha State Disaster Management Agency (OSDMA)[30]. GV has committed to habitation planning for 22000 houses in three districts and has trained 2000 masons for it.

Emphasising the increase in the number of households that had benefitted through GV's interventions, the field staff said that the period between 2012 and 2014 had seen GV focusing its work on women and children. Over 4,433 children received health and hygiene education training through the school sanitation and hygiene education programme; 5,093 families were supported in applying for the health smart cards under the Rashtriya Swasthya Bima Yojana (RSBY)[31]; 10,005 people were treated

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[27] The word Dalit means broken, oppressed and downtrodden. The word is nowadays adopted by the depressed classes who were previously under the caste system termed as untouchables. Dalits are considered "outcastes" falling out of the traditional Varna or caste system. They have been associated with those belonging to castes that have traditionally done menial and "polluting" jobs. As such, they have faced rampant discrimination in Indian society. Dalits form 16.6% of Indian population. *Refer,* http://www.ncdhr.org.in/dalits-untouchability/

[28] Adivasis, or the original inhabitants, is the collective name used to describe people belonging to various tribes in India. They are found throughout India but are mainly concentrated in central and north-eastern states. The Adivasis vary greatly and are not one homogenous group, they speak different languages, have different culture and ethnicity. Often classified under "Scheduled Tribes" status, but this again differs from state to state. *Refer,* http://www.faqs.org/minorities/South-Asia/Adivasis-of-India.html

[29] Phailin, graded a Very Severe Cyclonic Storm (VSCS), hit Orissa on the 12th of October 2013 with a wind speed touching almost 220 kmph. The intensity of the cyclone placed it inside category 5 of the Saffir-Simpson Hurricane Wind Scale (SSHWS). The cyclone affected the lives of about 13.2 million people, destroying 256,600 homes. The strong winds and heavy torrential rains were responsible for the maximum amount of structural and physical damage.

[30] Orissa State Disaster Management Authority (OSDMA) was set up by the Orissa government in 1999 as an autonomous authority to not only take up mitigation activities when a disaster takes place but also be involved in restoration, relief and reconstruction. *Refer,* http://www.osdma.org/ViewDetails.aspx?vchglinkid=GL000&vchplinkid=PL000&vchslinkid=SL000

[31] Rashtriya Swasthya Bima Yojana (RSBY) literally translated as National Health Insurance Programme. It was launched by the Ministry of Labour and Employment, its main purpose is to provide health insurance to Below Poverty Line (BPL)

in the health camps organised under the National Rural Health Mission (NRHM)[32]. GV also took to implementing the government programme SABALA[33] that provides for training adolescent girls on reproductive health issues. In the past two years GV trained 1721 adolescent girls under SABALA, organised 16 exposure trips for 452 girls to learn about basic services like bank saving and benefit, post offices, police stations. The programme managers said that the past two years saw GV focusing on strengthening the 20 women's SHGs constituted by it earlier. GV conducted 19 SHG management trainings which included record keeping, financial training, literacy training. Also 12 income generation/vocational trainings were conducted in 2012-13, women were trained to identify business opportunities, micro plan for business development and undertake credit planning. Such trainings have helped women initiate new enterprises. Two SHGs in the Gajapati district have taken bank loans and invested in tractors and machinery for business, others have started nursery raising and kerosene dealerships, yet others are maintaining defunct SHGs micro-hydro units.

The leadership, meanwhile, said that GV's work with the state government's OTELP (Odisha Tribal Empowerment and Livelihoods Programme)[34] has enabled it to go beyond water and sanitation issues and diversify into work around agriculture and non-agriculture based livelihoods.

Score: +1

2.1.2 Involvement of target groups SPO

As at the time of the baseline, so also now, decentralisation and subsidiarity continue to be the core of GV's vision. MANTRA is a comprehensive habitat development and governance programme that uses concerns of clean water and total village sanitation as a tool to unite and empower communities. It ensures target group participation through the 100 per cent coverage and inclusion principle.

Social mapping, baseline surveys and meetings are conducted to identify target group concerns before interventions are implemented. To enable decision making at community level, General Bodies are constituted in each village with the head man and head woman from each household as the representative. Further, Village Executive Committees (VECs) are formed in every village with equitable participation of women and different caste groups in the community. The 12 member VECs—which are registered under the Societies Registration Act, 1860—are entrusted with the task of monitoring the implementation of the water and sanitation programme. And, corpus funds, with an average contribution of Rs.1000 per family, are generated in every village and upon completion, the amount is deposited in the bank and the interest utilised to extend financial assistance to new families in the future.

GV's Annual Project Update 2012-2013 cites intensive community mobilisation and motivation meetings during the reporting period in order to obtain consensus of all the households to implement the water and sanitation programme. This resulted in over 700 families agreeing on constructing individual sanitation blocks. Also in these meetings, needs assessment with respect to water and sanitation was conducted with the community and based on an understanding of the issues of health, water availability and hygiene, plans were formulated for each village.

An Odisha-based bureaucrat who has worked with sundry CSOs in the state said that GV's model of taking community contribution for construction and maintenance of toilets fosters a sense of ownership and responsibility, thus giving GV an extra edge over other NGOs.

families. The scheme is mainly meant to cover the financial liabilities that BPL households suffer from in case of health shocks. The scheme started functioning from 1st April 2008. Refer, http://india.gov.in/spotlight/rashtriya-swasthya-bima-yojana

[32] National Rural Health Mission (NRHM) was launched in April 2005. The main goal of NRHM is to provide health care to the rural population, especially the disadvantaged groups, including, women and children. It integrates ongoing vertical health care programmes to address the issue of sanitation, safe drinking water and nutrition. Refer, http://pib.nic.in/archieve/flagship/faq_nrhm.pdf

[33] SABALA is an adolescent girls integrated development programme, it comes under the Integrated Child Development Scheme (ICDS). The main aim of the scheme is to empower girls in the age group of 11-18 by providing them training on life management, nutrition, education, personal hygiene and skill development. Refer, http://www.thehindu.com/todays-paper/tp-national/tp-andhrapradesh/sabala-scheme-a-boon-for-tribal-girls/article2803265.ece

[34] Odisha Tribal Empowerment & Livelihoods Programme (OTELP) was introduced in the state of Odisha in 2004. The programme aims to empower the tribals, providing them with livelihood support and food security through watershed mode approach. The purpose is to improve their overall quality of life, ensure food security and increase their incomes. Refer, http://www.otelp.org/about.asp

Score: 0

2.1.3 Intensity of political engagement SPO

GV is apolitical. However, GV continues to work with PRIs (Panchayati Raj Institutions) towards the advancement of its work. The GV field staff often act as a facilitators in the monthly Palli Sabhas[35]. The past two years have, in fact, seen the organisation invest additional time and manpower in informing communities of the importance of participation in Palli Sabhas and encouraging engagement with local MLAs (Member of Legislative Assembly) across political parties to channel resources for the development needs of their villages. As a result, said the GV programme managers, certain VECs have been able to access MP (Member of Parliament) and MLA funds for water and sanitation programmes - though no concrete examples of this were provided to the evaluators. GV conducted a workshop for convergence of the employment guarantee scheme MGNREGA (Mahatma Gandhi National Rural Employment Guarantee Act)[36] with the sanitation programme NBA (Nirmal Bharat Abhiyan)[37] in 2014, ward members from various panchayats were called to participate in it.

A sarpanch from one of GV's intervention villages acknowledged GV as being her political-social trainer and support structure.

Score: 0

2.2 Level of Organisation

2.2.1 Relations with other organisations SPO

During the baseline evaluations, many respondents, both external as well as from within GV, had seen GV's inability to network successfully as a major reason for the organisation not having been able to expand the scope of its activities, if not influence, beyond Odisha where it began work about thirty years ago. The end line found that GV had worked hard at overcoming this shortcoming over the past two years. Indeed, the GV personnel, across hierarchies, felt that its relations with other organisations have improved since the baseline. To begin with, they said, this period saw GV shifting its headquarters from its isolated Mohuda campus in Behrampur to the capital Bhubaneshwar; this itself was done with an aim to become more connected with and accessible to others.

Between 2012 and 2014 GV started work with the NGOs PRADAN[38], Bithari Disha[39], People in Need Foundation[40] and SAMARTH[41] in Jharkhand, West Bengal, Nagaland and Madhya Pradesh respectively.

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[35] Palli Sabhas were formed under the Orissa Gram Panchayat Act, 1964, it's a provision that creates a meeting of all electorates of a revenue village, and these villages may comprise one ward or more than one wards. Palli Sabhas will give recommendations to the gram panchayat at its annual meeting in February on issues of development work to be taken up in the coming year. *Refer,* http://odisha.gov.in/e-magazine/Orissareview/2010/Feb-Mar/engpdf/13-16.pdf

[36] Mahatma Gandhi National Rural Guarantee Act (MGNREGA), 2005, is designed to provide a guaranteed job (non-skilled) to all adult members of a family living in a rural area for at least 100 days. *Refer,* http://www.mgnrega.co.in/

[37] The Nirmal Bharat Abhiyan (NBA) is a programme by the government to ensure sanitation facilities in rural areas, and in the long term to eradicate the practice of open defecation. The programme is demand driven and people-centred. Earlier, it was known as the Total Sanitation Campaign (TSC), 1999. *Refer,* http://www.tnrd.gov.in/schemes/cen_nba_13.html

[38] PRADAN is a voluntary organisation established in New Delhi in 1983. The main aim of the organisation is to remove "economic poverty by enhancing livelihood capabilities of the poor and giving them access to sustainable income earning opportunities". PRADAN has been at the forefront of "promoting and nurturing Self-Help Groups (SHGs) of poor women". *Refer,* http://www.pradan.net/index.php?option=com_content&task=view&id=17&Itemid=3

[39] Bithari Disha is a Kolkata based NGO formed in 2002. It was created under the NGO Voluntary Health Association of India (VHAI). It works on the issues of education, basic health care, water quality management and water, sanitation, and hygiene promotion. *Refer,* http://www.bitharidisha.org/about.htm

[40] People in Need Foundation is a Nagaland based organisation working to create awareness on arts and culture, women's empowerment, health issues like HIV/AIDS, nutrition and vocational training etc. The organisation has launched a community care centre in Nagaland's Dimapur, where it caters to those suffering from AIDS and other diseases. *Refer,* http://www.indiamapped.com/ngo-in-nagaland/kohima/people-in-need-foundation-21447/

[41] Samarth is an NGO based out of the state of Madhya Pradesh. Its main aim is the socio-economic empowerment of women through capacity/skill building, training, health education, mobilisation and organisation. *Refer,* http://samarthmp.in/vision/

The Watershed Organisation Trust (WOTR)[42], an organisation based in Ahmed Nagar in Maharashtra, has been training the GV field staff since 2013 under the OTELP project. Also under the OTELP, GV is now collaborating with Washington-based Landesa—Rural Development Institute[43] to help landless tribal families claim rights over homestead land. It may be noted here that some of GV's new collaborations with other NGOs might have been initiated due to its work with the state government, but have expanded in scope since. For instance, GV initially collaborated with PRADAN under OTELP to work in Kandhamal district of Odisha, but the two have since agreed to work for the period 2013 to 2017 in Jharkhand as partners independent of government. GV provides technical inputs and support to PRADAN's project villages as the latter mobilises public opinion on issues of water and sanitation. Such expansion has also found new funders for GV. The Skoll Foundation[44] has agreed to support GV's expansion in Madhya Pradesh and Nagaland—in collaboration with PRADAN. And the Bill and Melinda Gates Foundation[45] is supporting GV's plans for expansion in Jharkhand and Odisha; staff deployment for both locations is over. This, even as the Star Foundation[46] is supporting GV's expansion in West Bengal with Bithari Disha.

GV's work with Prayas[47], a Pune-based NGO working on issues of energy, health, learning and parenthood, saw it building power utilities in the tribal districts to expand coverage and respond to quality issues faced by rural consumers .This collaboration had ended in 2013, but given its success it has been renewed in 2014.

GV continues to be a part of ODAF (Orissa Development Action Forum), a collective of NGOs, constituted in 1988 to address drought in the state and evolved to address sustainable development issues. ODAF currently funds some of GV's SHG training workshops. GV is still a part of FAN (Freshwater Action Network)[48], however, the field staff said they had no idea about interactions with FAN since the baseline.

Starting 2013, GV has forged collaborations with Riders for Health (RIH)[49] in The Gambia and a faith-based organisation in Tanzania towards the expansion of MANTRA. Three persons from these countries visited GV's Mohuda campus for technical training, and two GV staff members are currently positioned in these countries to implement MANTRA. Two other international donors, One Drop Foundation[50] and Charity: Water[51] has partnered with GV since 2012; they have been funding GV to spread awareness

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[42] The Watershed Organisation Trust (WOTR) is an NGO founded in 1993 and currently functioning in six states—Maharashtra, Andhra Pradesh, Madhya Pradesh, Jharkhand, Rajasthan and Orissa. It works to support "a large-scale multi-actor, multi-level, multi-sectoral, community led watershed development program for poverty reduction called the **Indo-German Watershed Development Program (IGWDP)".** *Refer,* http://www.wotr.org/about

[43] Landesa started under the name of Rural Development Institute by Roy Prosterman, a University of Washington Professor, in 1981. In 2010, the name was changed to Landesa. The organisation works towards securing land rights for the "world's poorest poor". In India it works with local government and local organisations to help landless families obtain small plots of land. *Refer,* http://www.landesa.org/about-landesa/

[44] The Skoll Foundation was founded by Jeff Skoll, founder of eBay, in 1999. It is a foundation which supports "social entrepreneurship, driving large-scale change by investing in, connecting, and celebrating social entrepreneurs and other innovators dedicated to solving the world's most pressing problems". *Refer,* http://www.skollfoundation.org/staff/jeff-skoll/

[45] Bill & Melinda Gates Foundation, is one of the largest private foundations in the world established in 2000. In India, the foundation partners with state and central governments, non-profit institutions, academic institutions, community groups and the private sector. The foundation started off in India by working towards controlling the spread of HIV/AIDS but over the years it has expanded towards issues of maternal and child health, nutrition services, vaccines and immunisation, family planning, sanitation and agricultural development etc. *Refer,* http://www.gatesfoundation.org/What-We-Do/Global-Policy/Regional-Offices/Our-Work-in-India

[46] Star Foundation is an independent charity founded in 2001 by Al-Dabbagh Group based out of London. It supports organisations and ideas which are aiming to transform the lives of disadvantaged children. *Refer,* http://www.starsfoundation.org.uk/about

[47] Prayas meaning "focused effort", is an NGO based out of Pune, Maharashtra. The organisation has four core themes that it works on: energy, health, resources & livelihoods and learning & parenthood. *Refer,* http://www.prayaspune.org/

[48] Freshwater Action Network (FAN) is a network of people around that world working towards building better water & sanitation policies by helping the civil society gain decision-making powers. GV is a governance partner of the organisation. *Refer,* http://www.freshwateraction.net/content/governance-partners-india

[49] Riders for Health (RIH) is a non-profit organisation empowering rural communities in Africa through reliable transportation. It provides health-care to rural villages in Africa using motorcycles and motorcycle ambulances. It was an idea of Barry and Andrea Coleman that took root in the late 1980s. Barry was a journalist and Andrea a professional rider. *Refer,* http://www.riders.org/about-us/the-beginnings

[50] One Drop Foundation aims is to "ensure everyone has access to water". It is a non-profit organisation established in 2007 by Cirque du Soleil Founder Guy Laliberté. *Refer,* http://www.onedrop.org/en/DiscoverOneDrop_Canada/WhoWeAre.aspx

[51] Charity: Water was founded in 2006 by Scott Harrison. The aim of the non-profit organisation is to bring safe and clean drinking water to people in developing countries. *Refer,* http://www.charitywater.org/about/mission.php

towards setting up chlorinators in the organisation's project areas. Karl Kübel Stiftung[52], a German organisation, has renewed its funding to GV towards implementing watershed and livelihood implementation programmes; they had stopped funding in the pre-baseline years.

The executive leadership said that the expansion of GV's network is consequence of other NGOs having observed the success of GV's MANTRA programme with relation to its sustainability. It was pointed out that a senior person has, in fact, been recruited to work dedicatedly at managing new collaborations. An Odisha-based development professional said that that GV seemed to have finally accepted that it was perceived as a loner, centred around the personality of its founder Joe Madiath, and had now started working to correct this image.

Score: +1

2.2.2 Frequency of dialogue with closest civil society organisation SPO

The GV executive leadership had reported intermittent meetings with no more than two NGOs during the baseline. The past two years, according to the leadership, have had GV staffers keeping a much busier meeting schedule, especially so given its plans of expanding beyond Odisha. The leadership now has two meetings a month on an average with partner NGOs; additionally senior managers visit them on site to guide programme implementation. The field staff, however, had no information regarding these meetings with other NGOs. Neither did the programme managers; GV now has a separate resource mobilisation department, they said, which focuses on networking, and it is only this department that is in the know of all such meetings. No documented evidence of these meetings could be made available for the evaluators.

Score: 0

2.2.3 Defending the interests of marginalised groups SPO

GV maintained that the VECs continue to be the best defendants of the interests of the marginalised. The past two years, they recounted, has had the VECs increasingly assisting villagers avail government schemes, ensuring better implementation of government projects and filing RTIs (Right to Information)[53] effectively. For the rest, GV personnel listed the same CSOs in 2014 that they had in 2012: a) Vasundhara[54] for working on issues of forestry, forest rights, conservation, environmental governance, etc. b) The Odisha RTI coalition, called Utha Orissa, which is an alliance of CSOs to ensure that the RTI Act is activated for every citizen of Odisha, particularly among the most marginalised; c) Arghyam[55] that works with a range of stakeholders including the government to improve the water sector; it has helped in drafting the recommendations of the civil society for the Twelfth Finance Plan; d) Water Aid[56] for actively working on issues of water and sanitation and playing a key role in influencing policy at the country level; e) FAN (Freshwater Action Network) which has been active at the regional as well as national level to influence policy in the water and sanitation sector.

Some fresh additions were: a) The Washington-based Landesa—Rural Development Institute that works to secure land rights for the world's poorest rural people who live on less than two dollars a day, it partners with developing country governments to design and implement laws, policies, and

[52] Karl Kübel Stiftung is a German charitable trust founded by Kar Kübel, former industrial entrepreneur. The organisation aims at improving family life to therefore, build a better society. Based on this promotes various self-help and parents initiatives. Refer, http://www.kkstiftung.de/30-1-About-us.html

[53] The Right to Information act (RTI), 2005, "mandates timely response to citizen requests for government information". It has been hailed as boon by many, and has come to serve as another tool in the hand of the citizens to ensure transparency in the government functioning. *Refer,* http://righttoinformation.gov.in/

[54] Vasundhara was formed in 1991, it started off as an organisation focusing on research on institutional and policy changes in community forest management, soon enough, it expanded its scope of work to networking on the issue as well. Refer, http://vasundharaodisha.org/overtheyear.asp

[55] Arghyam is a Bengaluru based foundation working through a personal endowment of Rohini Nilekani. It is a public charitable foundation which has made grants to organisations in 22 states across India since its inception in 2005. Those organisations are chosen which manage groundwater and sanitation projects in the country. *Refer,* http://arghyam.org/about-us/

[56] Water Aid is an international non-profit organisation aiming to improve the quality of life by providing access to safe water, hygiene and sanitation. *Refer,* http://www.wateraid.org/where-we-work/page/india

programmes concerning land that provide opportunity, further economic growth, and promote social justice; b) PRADAN; c) ODAF; d) Prayas; e) Surakhya[57]; f) Behrampur-based NGO Sacal[58] (Social Action for Community Alternative Learning).

The overall assessment of the GV personnel was that the numerous NGOs presently working under OTELP were competing to outperform each other, thus creating better environment for the target communities.

Score: +1

2.2.4 Composition financial resource base SPO

ICCO has been a GV funder since 1984; MANTRA began with support provided by ICCO. This funding ceased in March 2014. Uncertain as to whether it will be renewed again, GV's executive leadership reported deterioration in the organisation's financial situation since the baseline. A change in the overall international donor-aided funding scenario, the leadership observed, has affected institutional support that was provided by long standing partners like ICCO, Christian Aid, etc, with current donors more focused on their respective programmes than organisations as a whole. Also, said the leadership, the Indian government's enhanced scrutiny[59] over funding sources and expenditures of NGOs has added impediments to the organisation's sustainability and operations.

Having said which, GV's MANTRA model is based on the contribution from community for building and maintenance of every individual sanitation unit; village level corpus funds are collected with an average contribution of Rs.1000 per family. Also, expansion of GV's work on the MANTRA model beyond Odisha has earned it funders such as the Skoll Foundation, Star Foundation, Vitol Foundation[60] and the Bill and Melinda Gates Foundation. Donors such as Karl Kuber Stiftung, Practical Action[61], One Drop, Governance and Transparency Fund[62], Arghyam, NABARD (National Bank for Agriculture and Rural Development)[63] etc fund workshops, trainings, staff support, mobilisation, programme costs etc. This even as two ongoing government projects—OTELP and Odisha Disaster Recovery Project (ODRP)[64]—have been a major source of growth and revenue for GV these past two years. Also, GV has built a core or reserve fund over the years; this is used to support General Body and Governing Board meetings. Workshops, meanwhile, are mostly supported by the host organisations. The GV website continues to have a provision for raising funds through donations: http://www.gramvikas.org/donate. Quoting many of the revenue sources mentioned above, the

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[57] Surakhya is a project launched in collaboration with UNICEF and Orissa Voluntary Health Association (OVHA), in 2011, towards reducing infant and child malnutrition in the state of Orissa. *Refer,* http://www.thehindu.com/todays-paper/tp-national/tp-otherstates/surakhya-launched/article2131138.ece

[58] https://www.facebook.com/sacal.ngo

[59] The Ministry of Home Affairs (MHA) acting on a recent Intelligence Bureau (IB) report, which claims that funding is being used to create hype over issues and is creating alienation in Jammu & Kashmir and the North-East states. The government is investigating NGOs on the basis of Foreign Contribution (Regulation) Act (FCRA), many sections of the civil society believe that this is an attempt by the government to muffle dissent. *Refer,* http://www.newindianexpress.com/nation/Mysterious-NGOs-Under-MHA-Radar/2014/05/25/article2243524.ece; http://articles.economictimes.indiatimes.com/2014-06-14/news/50581806_1_foreign-contribution-foreign-funding-ngos

[60] Vitol Foundation of the Vitol Group an energy and commodities company, works with 157 partner organisations in 65 countries. It works towards child development through building education, wash (water, sanitation and hygiene), and livelihoods. *Refer,* http://www.vitol.com/about-us/vitol-foundation/

[61] Practical Action was founded by economist and philosopher E.F. Schumacher more than 45 years ago in the UK. It works in more than 45 developing countries across the world. It uses technology to tackle poverty in these countries. It works on issues of markets, disaster risk reduction, climate change, energy access and food & agriculture. *Refer,* http://practicalaction.org/who-we-are

[62] The Governance & Transparency Fund (GTF) is a 130 million pound fund created by the government of UK in 2007. The aim of the fund was to help citizens hold their governments accountable by supporting the organisations that can empower them. In 2008, 38 organisations were chosen around the world, to which they provided support. *Refer,* https://www.gov.uk/governance-and-transparency-fund-gtf

[63] The National Bank for Agriculture and Rural Development (NABARD) was set up by the Reserve Bank of India (RBI) in 1982, for the upliftment of rural India by increasing the credit flow for improving agriculture and rural non-farm sector. *Refer,* https://www.nabard.org/english/mission.aspx

[64] The Odisha Disaster Recovery Project (ODRP) aims to "restore and improve housing and public services in targeted communities of Odisha, and increase the capacity of the state entities to respond promptly and effectively to an eligible crisis or emergency. In July, India signed a loan agreement with the World Bank which will provide assistance $153 million to ODRP. *Refer,* http://www.worldbank.org/projects/P148868?lang=en

programme managers, unlike the leadership, said that GV's financial health had in fact improved in the past two years.

Score: +1

2.3 Practice of Values

2.3.1 Downward accountability

During the baseline, the GV staffers had agreed that 100 per cent accountability existed in the organisation with quarterly reports being submitted to the Governing Board and strong internal governance and accountability norms in place. All this, they had said, was a part of their formal obligation and a value which the organisation has pursued since long. At the time of the end line, barring the executive leadership which reported considerable improvement in the organisation vis a vis downward accountability since the baseline, other staff at the managerial and field level said that there had been no change. The leadership substantiated its opinion by citing that efforts had been made to recruit more staff in the Administration and Finance departments to streamline reporting needs. While the programme managers said that though transparency and accountability continue to be ensured at every level in GV activities, high staff turnover in the past two years has made consistent and quality documentation, and thus reporting, a problem. Despite which, monthly reports are generated, and consolidated, and bi-monthly reports sent to donor agencies without missing deadlines. The evaluators, however, found no evidence of these reports being shared with the field staff or indeed the target community.

Score: 0

2.3.2 Composition of social organs SPO

As at the time of the baseline, so also now, GV has a Governing Board comprising development practitioners, academicians and professionals from the field of management and law. Currently, the Governing Board has eight members, including one woman. The Governing Board is elected from the General Body members, which also has eight members, including two women.

The GV leadership reiterated that members from their target group are not a part of Governing Body—and that as per the by-laws of Societies Registration Act, 1860 governing GV, it is not mandatory for them to have client representation in their board.

Score: 0

2.3.3 External financial auditing SPO

As during the baseline, so also now, India's statutory laws make it mandatory for GV to audit its financial records each year. GV has an audit report archive uploaded on its website.

Score: 0

2.4 Perception of Impact

2.4.1 Client satisfaction SPO

At the time of the baseline, GV staffers listed the following as the main concerns of their target groups: water and sanitation, health, education, food security, caste and gender discrimination, communal violence, lack of transportation and communication facilities and problems in availing government schemes. Being chronic, these concerns remain. And given that Super Cyclone Phailin hit Odisha in 2013, GV added the following to the present concerns of their target groups: need for disaster resistant shelter, livelihood training especially with regards to agriculture and horticulture, improved variety of seeds (not hybrid), proper implementation of government's welfare schemes and

electricity supply. GV caters to all these concerns through awareness building and social mobilisation around sanitation, water, livelihood improvement, health care and facilitating interface with government departments and elected representatives.

The GV staff said that community demand and contribution for proper water and sanitation systems have increased over the past two years; community members are promoting water and sanitation system in their villages by contributing more despite increasing costs of cement and other construction material required to build toilets. Neighbouring non-project villages who have been witness to the benefits reaped by GV's project villages have also started demanding quality construction of toilets by GV. Tribals of the project and non-project villages, who never used to give importance to sanitation, have now started demanding individual toilet units. Further, GV has entered into a number of partnerships and collaborations, nationally as well internationally, to expand the outreach of MANTRA and benefit communities beyond Odisha in states such as West Bengal, Madhya Pradesh, Jharkhand, Nagaland and the Gambia and Tanzania.

GV's work has also affected the health of its target communities, especially of women and children. Women now have privacy provided by the individual toilet and bath units. The availability of water facilitated by installation of water and sanitation systems has promoted health-friendly hygiene practices within the households such as hand-wash practice by children. Nutritional intake—and income—has increased because households have been encouraged by GV to start kitchen gardens due to availability of water. Such availability has also greatly reduced women's drudgery in fetching water, leaving them extra time to be devoted to their children's education and other livelihood activities.

The past two years have also seen GV continue creating awareness amongst the target group about entitlements under government schemes. Many, including VECs, have filed RTI applications, which resulted amongst others in a) the electrification in many tribal villages; b) better implementation of MGNREGA, PMGSY (Pradhan Mantri Gram Sadak Yojana)[65], which has in turn, improved village infrastructure and connectivity; c) land being allotted to tribal persons under the Forest Rights Act (FRA).[66] GV has followed up on many who have been allotted land under FRA with trainings on horticulture or agriculture.

GV has four (Konkia, Koinpur, Rudhapadar and Thuamul Rampur) village-based residential schools. During the baseline workshop, the executive leadership said that as of 2011, the organisation also had 11 day schools. Over the past two years, the number of residential schools has remained constant; however, the day schools have been reduced from 11 to 1. This has been done to promote government schools by encouraging their students to join them. Additionally, GV organised community level discussions on how government schools can be improved. To this effect, GV organises meetings with villagers and VEC members to influence the administration to improve the functioning of government schools. In some cases, this has meant better implementation of the mid-day meal and free uniform schemes. Also, with support from GV, parents succeeded in obtaining Below Poverty Line (BPL) rice for the children in two out of the four GV residential schools. Dropout rates in the GV schools have gone down during these two years. GV initiated the "Khel Vikas" (Sports Development) programme in 2012 that aims at promoting adoption of sports amongst the rural and tribal youth. Through this programme, sports like weightlifting, volleyball, athletics etc. were introduced to the tribal children. Benefitting from the programme, some of the children have won national level awards in weightlifting.

GV's continues to work on alternative renewable energy applications training where grid energy is not available. Solar, micro hydro, smokeless chulha and bio gas infrastructure is created by the organisation for the community for lighting and cooking. Large numbers of people rely on renewable sources of energy such as smokeless chulhas, solar energy etc in GV project villages.

[65] The Pradhan Mantri Gram Sadak Yojana (PMGSY) is a flagship scheme introduced by the National Democratic Alliance (NDA) in 2000 to create all-weather roads connecting rural villages which are often inaccessible. *Refer,* http://pmgsy.nic.in/

[66] The Scheduled Tribes (Recognition of Forest Rights) Bill, 2005 seeks to recognise forest rights of forest dwelling Scheduled Tribes (FDSTs) who have been occupying the land before October 25, 1980. *Refer,* http://www.prsindia.org/uploads/media/1167469383/legis1167477829_legislative_brief_scheduled_tribes_bill.pdf

With regards to disaster resistant housing, GV's experience in social housing in '90s and early 2000s led the government recognising GV as a partner in implementing the social housing project in collaboration with OSDMA (Odisha State Disaster Management Authority) and the World Bank post Phailin. The project aims at building 22000 houses (with toilets) in about 250 villages in Odisha's Ganjam, Puri and Khordha districts by 2016. GV is the socio-technical support agency to OSDMA for this project. Also, the disaster aftermath saw GV promoting micro life insurance, at a low premium, to rural populations; in 2013-14, 1587 households opted for micro-insurance, thus providing insurance coverage to a total of 1671 individuals since the beginning of the programme in 2010.

Score: +1

2.4.2 Civil society impact SPO

There has been both quantitative and qualitative enhancement of the CBOs established by GV—namely the VECs—since the baseline, as also the GV's target communities. GV registered 64 new VECs were under Societies Registration Act, 1860 in 2013-14; each VEC comprising equal representation of women and men. The community corpus fund collected by VECs added up Rs 50.36 lakhs between 2012 and 2014.

Towards the qualitative development of their roles, VEC members interviewed for the end line confirmed having received trainings by GV. In May 2013, 120 VEC members received three days of training in leadership development and skills that would enable them to inform and convince the community of the importance of sanitation and hygiene. In February 2014, 250 VEC members participated in a one day workshop to be trained to help their community's access MGNREGA funds for toilet building. The respondents gave examples to substantiate that working with GV has capacitated the VECs. A member said that his VEC had identified a MGNREGA official's corrupt practice of forging signatures to embezzle funds, confronted the official to no effect, so followed up the complaint with the district collector, who suspended the official. Another VEC member spoke of the VECs having evolved into bodies that villagers now increasingly approach for guidance and assistance. He cited an instance where, in 2013, after receiving complaints about state officials who were refusing to release money for toilet construction under MNREGA without bribes, VEC members from Karanjiya and Jhalkani villages organised a protest rally mobilising over 100 villagers in front of the block office at Harichandanpur in Keonjhar district. The administration came under pressure and released the funds.

GV's leadership believes that training civil society actors in the use of RTI is relevant and has widely done so over the past two years. For this, six leadership trainings were organised for 275 villagers in 2012-13. Further, 20 RTI applications were filed after the provision of four trainings to the villagers (including VECs) in the same year.

GV continues to train people in five livelihood skills: masonry, plumbing, stone dressing, bar bending and house painting or toilet painting. In some areas women themselves take up the task of completing the construction of toilets and bathrooms. GV brings in trained masons from neighbouring villages to train young men and women in their villages. Despite practical difficulties, the project has been able to set off a positive change in the attitude and behavioural practices of target communities. In 2012-13, there were 90 youth trained in masonry for the water and sanitation programme. Also, 2000 people have been given training in 2013-14 to become masons as a part of the Odisha Disaster Recovery Project (ODRP).

Over the years while its focus on quality education continued, GV also played a role in strengthening communities to ensure accountability and quality in the government education system. Many of GV's target communities now monitor teacher attendance and mid-day meal quality. Also, a joint initiative of parents and GV has helped facilitate a change in government practice, whereby students in GV run residential schools are now getting subsidised BPL rice from the government since 2013. The increase in demand for enrolment in GV run schools has also led to request for permission to increase school capacity from 7th grade to 8th grade in the middle level schools.

According to a government resource person, GV's practice of teaching and orienting villagers to the use and proper maintenance of toilets and holding its staff responsible for the spread of such values as well as its proper implementation has worked as an advantage for GV programme, where systems established by them are well maintained by the community, which is not the case with other NGOs.

Score: +1

2.4.3 Relation with public sector organisations SPO

GV has continued to interact with public sector organisations over the past two years. The Rourkela Steel Plant (RSP)[67] was supporting the financial costs of water and sanitation programme in some remote villages during the baseline, this collaboration is now in its second round in new locations in the Sundergarh district. Also, at the time of the baseline GV had been sanctioned to work in three blocks under OTELP, it is now working with OTELP in four blocks in the Kalahandi and Gajapati districts. The Western Odisha Development Council (WODC)[68] is supporting the ongoing MANTRA programme in Jharsuguda district for the past 12 months. GV has received invitations from OTPCL (Odisha Thermal Power Corporation Limited)[69], OPGC (Odisha Power Generation Corporation)[70], Bokaro Steel Plant Ltd.71, Bhilai Steel Plant72 and NALCO (National Aluminium Company Limited)73 for the implementation of MANTRA programme in villages peripheral to their workers' campuses and colonies. GV's Annual report 2012-13 states that there is a request from SAIL[74] to extend the pilot project that GV was collaborating with them on at the time of the baseline. GV continues to be supported by the National Bank for Agriculture and Rural Development (NABARD) towards implementing the government's WADI[75] project.

2.4.4 Relation with private sector agencies SPO

Like at the time of the baseline, GV continues to selectively engage with private sector companies to avoid conflict of interest issues, especially in tribal pockets given that Odisha has been the site of conflict between tribal populations and corporates for quite some time now[76].

GV's interactions with TATA steel[77] are still on; the collaboration is aimed at implementing water and sanitation programmes in villages. Further, GV has initiated discussions with Bharti Infratel Ltd[78] and

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[67] Rourkela Steel Plant was set up in 1955 as the first integrated steel plant in the public sector in the country with German collaboration. *Refer,* http://www.sail.co.in/rourkela-steel-plant/about-rourkela-steel-plant

[68] The Western Odisha Development Council (WODC), the council was formed on 3rd July 1999, for the development of Western Orissa and to correct the regional imbalance in the state. There has been lots of criticism levelled against the requirement of the council as not one "noteworthy project has been implemented" since its inception. *Refer,* http://www.newindianexpress.com/states/odisha/article353819.ece

[69] Odisha Thermal Power Corporation Limited (OTPCL), is a joint venture company of Odisha Hydro Power Corporation Ltd. and Odisha Mining Corporation Ltd. *Refer,* http://otpcl.com/web/AboutUs/AnnualReports.aspx

[70] Odisha Power Generation Corporation Limited (OPGC) was set up on November 14, 1984. It is the only thermal power generating company of the government of Orissa. Its main purpose is to "establish, operate and maintain thermal power generating stations". *Refer,* http://www.opgc.co.in/

[71] Bokaro Steel Plant is considered India's first indigenous steel plant. It is located in Bokaro in Jharkhand. It is Indias fourth integrated steel plant build with the help of the Soviet Union, the plant was founded in 1964. *Refer,* http://www.sail.co.in/bokaro-steel-plant/about-bokaro-steel-plant

[72] The Bhilai Steel Plant is located in Bhilai, Jharkhand. It is the first and sole provider of rails in the country. This plant was also set up with the help of the Soviet Union in 1955. *Refer,* http://www.sail.co.in/bhilai-steel-plant/about-bhilai-steel-plant

[73] National Aluminium Company Limited (NALCO), a government of India enterprise, was incorporated in 1981, is "Asia's largest integrated aluminium complex, encompassing bauxite mining, alumina refining, aluminium smelting and casting, power generation, rail and port operations". *Refer,* http://www.nalcoindia.com/

[74] Steel Authority of India Limited (SAIL) is India's largest steel producing company founded in 1954. SAIL is made up of five integrated steel plants, three special plants, and one subsidiary in different parts of the country. *Refer,* http://www.sail.co.in/

[75] WADI (fruit orchard) is a project under NABARD for upliftment of the tribals and poor. This is done through the promotion of horticulture and plantation in tribal dominated districts. *Refer,* http://www.gvtindia.org/wadi_nabard

[76] Protests against land acquisition for industries have been taking place across India. In Orissa, the site of protests are over the POSCO steel plant in Jagatsinghpur and the Vedanta's Bauxite Mine in Niyamgiri. In January this year the government gave environment clearance for the POSCO project but Vedanta didn't get its clearance after India's first environmental referendum in 2013, where the Dongria Kondh tribe rejected Vedanta mining in their area. *Refer,* http://www.thehindu.com/news/national/posco-cleared-vedanta-loses-bid-for-niyamgiri-project/article5561906.ece

[77] Tata Steel Limited is part of the Tata Group founded by Dorabji Tata in 1907. It is India's first integrated steel plant. *Refer,* http://www.tatasteel.com/corporate/tata-steel-group.asp

Welspun Group[79] for collaborations. The GV leadership said that the introduction of the new Corporate Social Responsibility (CSR) rule[80] has opened up new possibilities for GV.

Score: 0

2.4.5 Influence upon public policies, rules, regulations SPO

GV's website lists the following as its policy intervention issues: water and sanitation, rural housing, rural electricity, use of government wasteland for afforestation and mining and rehabilitation. GV continues to lobby with the state and central governments for change by demonstrating the effectiveness of its operations in its project area around these issues. It organises events for bureaucrats, politicians, experts and media so that they too become advocates of change.

With GV's executive director, Joe Madiath, serving as the Chairman of the Working Group on Rural Drinking Water and Sanitation for India's Twelfth Five Year Plan (2012-17), some significant elements of MANTRA have gained recognition in the national policy on sanitation, the Nirmal Bharat Abhiyan (NBA).

GV has been successful in advocating for social inclusion and thereby 100 per cent coverage for sanitation. The Total Sanitation campaign (later renamed NBA) had provided for subsidies to be given only to BPL households, whereas under NBA the subsidies are available to Above Poverty Line (APL) families too, with big farmers being an exception. The amount of subsidy to build individual Individual Household Latrines (IHHL) has been increased from Rs. 3200 to Rs. 4600 in 2013. Beginning 2013 an additional subsidy of Rs 4500 can also be availed to build such units under MGNREGA. Emulating the GV model, 'Water and Sanitation' are now considered as a package rather than independent issues under NBA. Provision of piped water facility has been made for villages with 100 per cent coverage; earlier, the government's provision of water was sufficient only for toilets, now, it has been increased it to support kitchens as well.

Similarly, 100 per cent coverage has been facilitated under the government's OTELP programme.

GV promotes the use of sanitary dug well (open wells) instead of deep bore or tube wells because they do not deplete the aquifer and reduce contamination risks. Protected sanitary dug wells, along with tube wells, are now accepted as the norm by the Odisha government.

GV's MANTRA programme has had a widespread impact in terms of promoting water and sanitation amongst a large number of rural households especially in tribal pockets. As a result, a number of public sector companies have been appreciative of GV's water supply work and have come forth to forge partnerships with GV under their corporate social responsibility mandate such as Rourkela, Bokaro and Bhillai steel plants, OTPCL, NALCO and SAIL.

The past two years have seen GV actively persuading communities to make use of the RTI; to that end they organise RTI workshops to assist communities in filing applications, liaising with government officials on the progress of RTI applications, organising trainings for community and disseminating collected information to the public. The initiative of GV towards proper implementation of RTI has led to electrification of some villages by the Odisha government.

GV supported the parents of children to further improved implementation of the government practice of giving rice at subsidised rates to students of GV run residential schools, where starting from year 2013, two such schools have started obtaining BPL rice for their students.

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[78] Bharti Infratel Limited is a provider of tower and related infrastructure. It is engaged in "building, acquiring, owning and operating these towers and providing access to these towers to wireless telecommunications service providers". *Refer,* http://www.bharti-infratel.com/cps-portal/web/overview.html

[79] Welspun Group founded in 1985 by BK Goenka is a multinational company. It has a dominant presence in 50 countries across the world. Its core industries are textiles, energy and steel. *Refer,* http://welspunindia.com/about-us.php#We_at_Welspun

[80] The Companies Act 2013 as well as Companies Corporate Social Responsibility Policy Rules 2014 rules that every company, private or public, with a net worth of Rs 500 crore or a turnover of Rs 1,000 crore or net profit of Rs 5 crore, is required to spend at least 2 per cent of its average net profit from preceding three financial years on corporate social responsibility. *Refer,* http://www.business-standard.com/article/companies/an-overview-of-csr-rules-under-companies-act-2013-114031000385_1.html

The past two years have seen GV assisting government in effective implementation of programmes such as: a) SABALA aimed at improving the nutritional and health status of adolescent girls; b) WADI under NABARD to promote development of horticultural gardens for individual households to help community secure additional, long term sources of income; around 600 farmers in Ganjam district have been supported through WADI in 2012-13, the GV staff provides financial-technical support and assists in the development of irrigation facilities through the techniques of gravity fed systems or by pumping water from open wells. They also provide periodic trainings to the farmers on planting and after care methods in village meetings; c) creating awareness about the rights and responsibilities with regards to electricity in tribal pockets of Odisha under the Rural Electrification project; d) the state government's Youth for Environment programme for the conservation of rich biodiversity and rich wildlife in and around the area of Similipal Tiger Reserve located in Mayurbhanj district; e) the Rashtriya Krishi Vikas Yojna[81] to support 1904 farmers to take up improved paddy cultivation practices in the Ganjam district.

Score: +1

2.4.6 Influence upon private sector agencies' policies, rules, regulations SPO

Like in 2012, the GV personnel reiterated that GV has not influenced any private policies and practices.

Score: 0

2.5 Civil Society context

2.5.1 Coping strategies

The single largest challenge that Odisha, and GV, had to face since the baseline was Super Cyclone Phailin hitting the state and its neighbour Andhra Pradesh (AP) in October 2013. Over thirteen million people were affected, with more than 550,000 people evacuated from the coastline in Odisha and Andhra Pradesh to safer places. Rehabilitation and reconstruction have since been the priorities, in turn derailing most development work in these states. GV's own target group, ready to construct toilets and bathrooms, are now looking to rebuild their partially or fully destroyed houses. But instead of letting this disturb the organisation's agenda, GV's leadership has found an opportunity in the Phailin aftermath to impact communities by working on social housing in collaboration with OSDMA and the World Bank. The field staff, meanwhile, spoke of working with the government line departments on repair and rehabilitation at the village level. Attending to destroyed toilets and water tanks, uprooted electricity lines made pumping water for the village supply tanks difficult, ravaged trees, ruined orchards. Also, assisting villagers avail government compensations that are delayed or denied due to corruption and administrative callousness.

The period between 2012 and 2014 has seen certain positive policy changes around water and sanitation. The subsidy for an individual toilet unit, under NBA, has been increased from Rs. 3200 to Rs. 4600. Plus, earlier only for BPL households, the subsidy has been extended to include Above Poverty Level households. Also, an additional subsidy of Rs. 4500 per household under MGNREGA for building a toilet has been announced. A significant lobbyist for and contributor to these policy changes, GV regrets their inefficient implementation. According to GV, lack of clear procedures has made routing funds from two different government streams—NBA and MGNREGA—a major hurdle for expansion. Because GV has worked hard at disseminating information on the enhanced subsidy at the local level, communities now want to wait to avail both the subsidies. But delay in fund allocation restricts flow of resources, making it difficult for GV to bank on this support to expand its programme.

Meanwhile, the recently introduced Companies Act 2013 as well as Companies Corporate Social Responsibility Policy Rules 2014 now require every company, private or public—with a net worth of Rs

[81] The Rashtriya Krishi Vikas Yojana or National Agriculture Development Scheme was launched in 2007 as a part of the 11th five-year plan of the government. It aimed to achieve 4% annual growth in agriculture through development of agriculture and its allied sectors. *Refer,* http://rkvy.nic.in/#

500 crore or a turnover of Rs 1,000 crore or net profit of Rs 5 crore—to spend at least 2 per cent of its average net profit from preceding three financial years on social projects. The GV leadership observed that this has given fillip to investment by companies in social development projects—GV's own portfolio of such collaborations has expanded. It has also seen both public and private sector companies, altering their perception of development interventions, moving from a charity based approach to appreciating the fiscal and physical contribution from local community for programme ownership and sustainability.

During the baseline, GV personnel had identified behavioural changes in terms of using and maintaining water and sanitation infrastructure within communities as a major challenge. The end line had the same personnel noting a gradual change in behaviour of communities as they have now started demanding and promoting clean practices. This was seen as a consequence of the ripple effect created by GV's efforts over the years.

Score: +1

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Ninasam end line report

MFS II country evaluations, Civil Society component

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Report CDI-15-040

Klaver, D.C., Hofstede, M., Wadhwa S., Madaan A., Pandey R., Mohapatra B.P., February 2015, *Ninasam end line report; MFS II country evaluations, Civil Society component,* Centre for Development Innovation, Wageningen UR (University & Research centre) and International Development Foundation (IDF). Report CDI-15-040. Wageningen

This report describes the findings of the end line assessment of the Indian theatre and arts organisation Ninasam that is a partner of Hivos.

The evaluation was commissioned by NWO-WOTRO, the Netherlands Organisation for Scientific Research in the Netherlands and is part of the programmatic evaluation of the Co-Financing System - MFS II financed by the Dutch Government, whose overall aim is to strengthen civil society in the South as a building block for structural poverty reduction. Apart from assessing impact on MDGs, the evaluation also assesses the contribution of the Dutch Co-Funding Agencies to strengthen the capacities of their Southern Partners, as well as the contribution of these partners towards building a vibrant civil society arena.

This report assesses Ninasam's contribution to Civil Society in India and it used the CIVICUS analytical framework. It is a follow-up of a baseline study conducted in 2012. Key questions that are being answered comprise changes in the five CIVICUS dimensions to which Ninasam contributed; the nature of its contribution; the relevance of the contribution made and an identification of factors that explain Ninasam's role in civil society strengthening.

Keywords: Civil Society, CIVICUS, theory based evaluation, process-tracing

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List of abbreviations and acronyms

BPJ	Bharatiya Janata Party
CDI	Centre for Development Innovation, Wageningen UR
CFAs	Co-Financing Agencies
CFO	Co-Financing Organisation
CS	Civil Society
IDF	India Development Foundation
ITF	India Theatre Forum
MDG	Millenium Development Goal
MFS	Dutch co-financing system
SPO	Southern Partner Organisation
ToC	Theory of Change
Wageningen UR	Wageningen University & Research centre

1 Introduction

This report presents the civil society end line findings of Ninasam in India which is a partner of Hivos under the Dutch Consortium People Unlimited 4.1. It is a follow-up to the baseline assessment that was carried out in 2012. According to the information provided during the baseline study Ninasam is working on MDG 1, good governance and on civil society building.

These findings are part of the overall evaluation of the joint MFS II evaluations to account for results of MFS II-funded or –co-funded development interventions implemented by Dutch CFAs and/or their Southern Partner Organisations (SPO) and to contribute to the improvement of future development interventions. The civil society evaluation uses the CIVICUS framework (see appendix 1) and seeks to answer the following questions:

- What are the changes in civil society in the 2012-2014 period, with particular focus on the relevant MDGs & themes in the selected country?
- To what degree are the changes identified attributable to the development interventions of the Southern partners of the MFS II consortia (i.e. measuring effectiveness)?
- What is the relevance of these changes?
- What factors explain the findings drawn from the questions above?

The CIVICUS framework that comprises five dimensions (civic engagement, level of organization, practice of values, perception of impact and contexts influencing agency by civil society in general) has been used to orient the evaluation methodology.

Changes in the civil society arena of Ninasam

In the 2012 – 2014 period the two most important changes that took place in the civil society arena of Ninasam are related to civic engagement and perception of impact.

With regards to civic engagement, the evaluators observe that the number of alumni, people attending different theatre shows, participants attending workshops have increased in the past two years. Moreover those that take part in the education activities, courses and workshop increasingly represent scheduled tribes, castes and women, hence ensuring an increased diversity. Most of Ninasam's cultural activities rely upon community members working as volunteers to make things happen. Its audience mostly consists of rural people who do not speak English. As Ninasam performs in the local language, they are contributing to the knowledge of these local people on social issues such as gender and casts.

With regards to perception of impact, NINASAM's concern that its alumni would become increasingly unemployed did not materialise, because its general network is expanding, its reputation increased; it managed to attract celebrities to make contributions to events that become more popular. It has expanded its network with other NGOs in the sector, as well as intensified its collaboration with both public and private sector organisations. Concrete examples of collaboration are it its initiative to organise Study Tours together with the India Theatre Forum, which became a successful event within the two years of their existence; exchange visits between public and private sector colleges and universities on the one side and Ninasam on the other side; as well as joint workshops and courses. In terms of policy influencing Ninasam, through the India Theatre Forum, lobbies the government to implement an insurance scheme for artists and their families. Ninasam, through its collaboration with private colleges and universities that want to duplicate its curriculum model is changing the educational practices of these institutions.

These findings were obtained through an analysis of documents, a workshop and follow-up interviews with the SPO, and interviews with external resources persons working in civil society organisations that receive support from the SPO; other civil society organisations with whom the SPO is collaborating; public or private sector agents and; external resource persons capable of overlooking the MDG or theme on which the SPO is concentrating.

Contribution-attribution question

Based upon an analysis of the projects and programmes financed by the Dutch CFAs a selection was made of SPOs to be included in an in-depth process tracing trajectory and those to be included for a quick contribution assessment. Ninasam was not amongst those organisations selected for in-depth-process tracing but for a quick contribution analysis.

The fact that more villages and inhabitants are exposed to political and social themes through Tirugata traveling theatre and are becoming aware of how these themes relate to their day-to-day livelihoods can be explained by Ninasam's traveling theatre in the first place. The theatre was formed in 1985 and continued expanding upon request of theatre groups in villages. These organisations in their turn continue to exist and organise cultural events in their villages.

Ninasam's expanded network can be explained by its expanding alumni network that has people working on many locations; the Tirugata traveling theatre; the culture course; and intense collaboration with drama schools and universities. This expansion also needs to be positioned in a context where many drama schools are currently being created.

Relevance

Interviews with staff of Ninasam, with external resource person, with the liaison officer of Hivos, as well as contextual information helped to assess the relevance of Ninasam's interventions in terms of; its Theory of Change (ToC) for Civil Society (SC) as designed during the baseline study; the context in which Ninasam is operating; the CS policies of Hivos.

With regards to the 2012 ToC, Ninasams most important interventions consist of ensuring holistic education, engaging communities as volunteers and ensure networking with a wide range of actors. The past two years have seen that Ninasam has continued these interventions successfully and that the organisation is still grounded in Heggodu, the village where the organisation is based. One important condition in its ToC has however not been removed, which is the 'culturally conditioning apparatus' which also increasingly employs Ninasam's alumni. This refers to the influence of TV broadcasts and the increasing use of mobile phones by youth, which disorients people from their original cultures and roots.

With regards to the context in which Ninasam is operating, its interventions and outcomes achieved are relevant because they are bringing theatre to local, often rural people. These people would normally not have access to such productions as they are limited in their travelling and often do not speak English. Ninasam works with local artists to bring productions to their audience in their local language.

With regards to the Hivos Civil Society policies, Ninasam's interventions and outcomes are relevant because they contribute to its 'pluralism' programme, which helps to make people aware of India's population being diverse and culturally rich. Ninasam's productions contribute to this by educating people about issues related to a diverse society.

Explaining factors

The information related to factors that explain the above findings was collected at the same time as the data were gathered for the previous questions. The evaluation team looked at internal factors within Ninasam, the external context in which it operates and the relations between Ninasam and Hivos.

The most important internal factor that explains the findings comprises in the first place the leadership of Ninasam by mister KV Akshara who is the lynchpin holding together Ninasam's beliefs and vision. He is the only person with the capacity to engage with the larger external world. The organisation is a family -driven organisation with leaders and staff who share the same strong vision. Being based in a small village they are close to their target groups and are able to adjust their productions to the needs of their target groups. However no definite plans seem to be drafted yet regarding K V Akshara's succession plan.

External factors that explain the findings are most importantly the attitude of Karnataka towards arts and theatre. The region is highly perceptible to theatre productions which results in high attendance levels of the productions. The government had started decreasing their financial support for arts and

theatre productions over the past years. Together with the growth in television popularity this is a worrying development for organisations as Ninasam.

Factors that explain the findings that are related to the relation between Ninasam and Hivos are the closing of Hivos' Bangalore office in 2013. However, even without their donor they managed to carry on with their work and achieve important outcomes in their project. The staff does however worry about the continuing of their work as funding from Hivos is uncertain.

The following chapter briefly describes the political context, the civil society context and the relevant background with regards to the MDG/theme Ninasam is working on. Chapter three provides background information on Ninasam, the relation of its MFS II interventions with the CIVICUS framework and specific information on the contract with Hivos. An evaluation methodology has been developed for the evaluation of the Civil Society component which can be found in appendix 2 of the country report; however, deviations from this methodology, the choices made with regards to the selection of the outcomes for contribution analysis, as well as difficulties encountered during data collection are to be found in chapter 4. The answers to each of the evaluation questions are being presented in chapter 5, followed by a discussion on the general project design in relation to CS development; an assessment of what elements of the project design may possibly work in other contexts or be implemented by other organisations in chapter 6. Conclusions are presented in chapter 7.

2 Context

This paragraph briefly describes the context Ninasam is working in. A description of the Civil Society Context assessed according to the CIVICUS framework is provided in appendix 3 of the country report for Civil Society.

2.1 Political context

The most important change in the political context of Karnataka, since the baseline, has been the defeat of the right-wing Bharatiya Janata Party (BJP) in the 2013 Assembly Elections. The constant internal bickering, scam allegations, corruption, subtle promotion and leeway to communal elements in the state ended the reign of BJP and brought into power another national party, the Indian National Congress, which won by gaining 121 seats in a house of 225.[1]

Karnataka has been racked in the past few years over the issue of illegal mining. The Supreme Court has been scrutinising several government officials and ministers, including former Chief Minister BS Yeddyurappa for their involvement in the racket. According to the report of the Karnataka Lokayukta (an anti-corruption ombudsman organisation), this has resulted in the loss of 122,228 crores (1 crore is 10 million) to the state where there are other sources claiming that the figure actually stands at Rs 1 lakh crore (1 lakh is 100,000 x 1 crore is 10 million = 10^{12}). Apart from a major loss in revenue this has also caused irreparable damage to the environment.[2] The industry-political nexus is so strong that during the rule of the BJP, there were four chief ministerial changes in the course of four years due to allegations of corruption.

The decadence and corruption of the political class has become obvious in the last few years, with minister after minister being inspected for their involvement in some scandal or a scam. With the issue of gender rights and safety of women in India making news, the ministers in the state have been quite unaffected by the issue. For instance, ministers have been caught on camera watching porn during a session of the Karnataka state assembly.[3] Also, former Minister Haratalu Halappa was arrested following an allegation of him sexually assaulting the wife of a friend.[4]

2.2 Civil Society context issues with regards to the MDG

The challenges that are faced by civil society in Karnataka, have not evolved dramatically since 2012. The issue of—communal violence, land acquisition and rural/urban imbalance—still continue as a matter of concern.

In Karnataka, the right-wing party BJP's stint in power was marked by an increasing number of attacks on churches and Christians across the state. In 2011, it topped the list of incidences persecuting the Christian community in India. The persecution has continued over the years, with some variation in intensity for the better. In 2014, Karnataka still accounts for the highest number of incidences against the Christian community, in the form of, murder, assault, rape, and church attacks.[5]

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[1] http://www.hindustantimes.com/India-news/KarnatakaElections2013/Karnataka-casts-out-BJP-gives-Congress-absolute-power/Article1-1056593.aspx

[2] http://www.thehindu.com/news/national/karnataka/karnataka-lost-rs-1-lakh-cr-from-20062010/article4820758.ece

[3] http://www.ndtv.com/article/karnataka/karnataka-porn-scandal-ruckus-in-assembly-three-ministers-may-be-asked-to-quit-as-mlas-174294

[4] http://timesofindia.indiatimes.com/india/Karnataka-rape-case-Ex-minister-Halappa-arrested/articleshow/5910459.cms

[5] *Refer,* http://www.thehindu.com/news/national/karnataka/43-cases-of-antichristian-violence-in-karnataka-csf/article5631448.ece

The stories around land acquisition and the consequent protests have been rampant all across India. The government in its rush towards "development" and nexus with the corporates, often tries to acquire land which the people are unwilling to part with, or it doesn't offer adequate compensation and rehabilitation, leading to protests. In Karnataka, protests have erupted over the government's move to acquire land in Mysore in 2008. The farmers accused the government of acquiring more land than they paid for including the fertile lands, which are their source of livelihoods.[6] The POSCO steel plant in 2011 which failed clearances in Orissa at the time, was also denied entry in Karnataka, as the farmers refused to part with their land.[7]

The state of Karnataka is known around the world due to Bangalore's image as India's Information Technology (IT) hub. The population of the state stands at 6.11 crore, of which 61.43 per cent live in rural areas.[8] There has been a growing imbalance as the population has been rapidly moving from rural to urban areas, this is largely due to the economic opportunities that these cities offer. According to the 2011 Census, urbanisation in Karnataka has increased from 33.99 per cent in the 2001 Census to 38.57 per cent in 2011. The literacy rate is also higher in the urban areas at 85.78 per cent than that of rural areas at 68.73 per cent. [9]

Due to the growing emphasis on it IT tag most of the public resources are spent on the development of these cities which has resulted in the rest of the state suffering the brunt created from an uneven distribution of resources. The rest of the state is lagging behind in terms of infrastructure, growth, development and access to health & education. The monthly per-capita expenditure in rural Karnataka is even lower than the all India average. [10]

Education that drew from the state's diverse linguistic and religious ethnicities— apart from Kannadigas, Karnataka is home to Tuluvas, Kodavas and the Konkanis— and was imbued with lessons in song, dance, story-telling and theatre is fast becoming an industry; geared towards promoting 'professionals' in the IT sector. Apart from Bangalore, smaller towns like Belgaum, Mangalore, Mysore, Hubli-Dharwad and Davangere boast of producing manpower for the IT industry. Karnataka has one of the largest concentrations of medical and engineering colleges. This thrust on the sciences, especially given the state's IT success, has come at the expense of the arts and humanities being neglected. In this rush towards a modern state, culture has taken a back seat and the quality of the Kannada news channels has not helped in this cultural decline. There has been a rush for Targeting Rating Point which in consequence led to decline in the quality of the content that is televised.[11]

[6] *Refer,* http://www.thehindu.com/todays-paper/tp-national/tp-karnataka/farmers-protest-against-land-acquisition/article1221322.ece
[7] *Refer,* http://www.newindianexpress.com/states/karnataka/article415048.ece?service=print
[8] *Refer,* http://www.deccanherald.com/content/176696/states-rural-population-decline.html
[9] *Refer,* http://www.census2011.co.in/census/state/karnataka.html
[10] *Refer,* http://timesofindia.indiatimes.com/india/Karnatakas-less-developed-status-comes-as-a-shocker/articleshow/23132443.cms
[11] http://indiatogether.org/kannada-media

3 Description of Ninasam and its contribution to civil society/policy changes

3.1 Background of Ninasam

Ninasam is a community theatre institute with 'no gates' located in a small town called Heggodu in Shimoga district of Karnataka. It nurtures young theatre practitioners and develops theatrical productions reaching a rural audience of at least 100,000 in Karnataka. Since 1949 it has emerged into the organisation it is today. Until 1968, it grew from being a humble band of rural culture enthusiasts into an amateur, voluntary cultural organisation investing its energies mainly in theatre and literary activities. The second phase, 1969-79, saw Ninasam branching out in three other directions besides consolidating its earlier work. It built a full-fledged auditorium of its own; it began to organise film festivals and annual 10-day film appreciation courses, and; started publishing film literature, all showcasing world cinema classics. Between 1980 and 1992, Ninasam took a strong initiative in the propagation of theatre and film culture and adding certain semi-professional features to its basic amateur character. In 1980 the Ninasam Theatre Institute was created, followed by 'Tirugata' in 1985, after which the institute widened its range of cultural activities. In the 1993-2004 period, Ninasam gained high recognition, with its co-founder and guiding spirit K V Subbanna being conferred the prestigious Ramon Magsaysay Award for his contribution to the field of Arts, Culture, Journalism and Creative Communication. The cash prize that accompanied the award was used as the corpus fund for initiating and running yet another extension programme under Ninasam: Prathishthana, a foundation that to date has conducted more than 200 short-term literature appreciation courses for educational and cultural organisations located across the state.

In the fifth phase as of 2003, Ninasam received funding from Hivos which enabled it to support some of its major projects. These included the annual culture course, the visiting fellowships, the summer theatre workshop, the children's summer workshop and infrastructural development.

Vision

While the larger vision of Ninasam is that of a world which is egalitarian, just, richly diverse and humane, its specific vision is one of harnessing the inherent socio-political power of culture towards the creation of such a world. Essentially a cultural organisation, Ninasam is nevertheless of the firm conviction that culture is but another way of engaging in socio-political activity of a deeper and far-reaching kind. It strongly believes that poetics and politics differ only in degree and dimension and not in kind or intent. An 'organic' institution that has grown out of the genuine needs of a traditional, rural community continually and vitally responding to changing times, Ninasam values, above all else, that state of being where the community and the individual enrich each other through a constant, critical negotiation; the old lends life to the new and the latter revitalises the former; the sacred and the secular complement, not compete with, each other, and action and knowledge sustain each other continually.

Ninasam is a highly creative and innovative theatre institute and always strives to create a larger communitarian base for theatre. Some of their prominent interventions have been as follows:

- Ninasam Theatre Institute (1980) enables theatre students from rural areas of Karnataka to be part of a state government recognised 10 month course on theatre arts. Some of the graduates of these courses have begun their own unique initiatives in their hometowns and have also achieved national and international acclaim;
- Tirugata (1985), a travelling theatre troupe made up mostly of the graduates of the Ninasam Theatre Institute, which takes major theatre productions to different rural and semi-urban centers in Karnataka every year.

The organisation is promoted by a family which is reputed for their contribution to theatre and literary culture in India. The Board of Trustees comprises one woman and fourteen men. All issues/concerns related to professional services are periodically discussed between the Secretary and the Board of Trustees in both formal and informal meetings.

3.2 MFS II interventions related to Civil Society

The evaluation looks at the project 'Creating a larger communitarian base for theatre' which aims to increase the outreach of theatre productions Karnataka. Ninasam's interventions aim to improve civil society by bringing theatre productions to remote areas. These productions often have social or political themes and try to educate people on the issues in the production. The main interventions are the training of teachers and artists in Ninasam's Theatre Institute, and the productions of their travelling theatre group Tirugata. These interventions are year round, whereas the culture course and Summer Theatre Workshop are seasonal activities.

The Theatre Institute can house 20 students per course, which limits the possibilities to increase the impact of this intervention. Because of this the number of Ninasam alumni has increased with only 40 new alumni. However, as many alumni are coming back as teacher, or are starting their own organisations there has been an increase in the outreach of the Theatre Institute. Tirugata has 91 productions in 2014 and has increased their staged shows from 3000 in 2012 to 3557 in 2014. Also, they are performing in 20 more locations. The culture course has seen a rise in participants from 148 in 2012 to 182 in 2014.

The partnership between Ninasam and Hivos is ongoing.

3.3 Basic information

Table 5
SPO basic information

Criterion	Basic information
Name of SPO	Ninasam
Consortium	People Unlimited 4.1
CFA	Hivos
Start date of cooperation	2003
MDG/theme	Good Governance and Civil Society Building
MFS II project name	A Grass Roots Cultural Centre Promoting Regional Theatre"
Contract period	2012-2015
Total budget Hivos	€32308
Other donors if applicable	14 % of the budget comes from Hivos. Not clear who the other donors are
Estimation of % of budget for Civil Society[12]	Between 82 % and 100 %

Sources: project documents

[12] Costs that relate to civil society development or policy influence are those costs that possibly contribute to the development of the CIVICUS dimensions, excluding coordination and office costs; staff costs and financial reserves.

4 Data collection and analytical approach

4.1 Adjustments made in the methodology of the evaluation

The documents which were received from Ninasam and Hivos were of sufficient quality to orient the in-country evaluation team to conduct a quick contribution analysis and it was decided to focus the evaluation on Ninasam's main interventions: Theatre Institute and the Tirugata productions.

Nine Ninasam staffers participated in a workshop held by IDF, comprising four members of executive leadership, two programme managers and three field staff. The respondent strength was small because Ninasam is a theatre institute based in the small Heggodu village in Karnataka's Sagara district with no branches, the field outreach it makes is only indirect, and it employs as few faculty members as needed to run a sufficient and efficient organisation.

The plenary had the workshop participants agreeing with the choice of the two pre-selected Civil Society Strategic Orientations through which the organisation's outcomes would be evaluated, namely Civic Engagement and Strengthening Intermediate Organisations (IOs). They listed the outcomes Ninasam had achieved over the past two years under these.

Though only the executive leadership and middle management had been requested to be available for detailed interviews on the claimed outcomes on the second day of the workshop, all nine Ninasam functionaries chose to be present. They explained that there were no effective hierarchies in work around culture and arts, and insisted that any meaningful discussion on the organisation's achievements or failures would have to include everyone's perspectives in the institute.

The evaluators decided to club the views of respondents in one interview form instead of separate forms for each of them, because barring technical details and specific figures, they were equally informed and unanimously agreed on most issues.

The alternative or rival explanations to the outcomes Ninasam claimed as their achievements were that these were: a) the result of the spurring of the demand for more theatre professionals by the TV channels b) the natural consequence of high levels of cultural consciousness in Karnataka c) the result of the efforts towards promoting theatre by other theatre practitioners, cultural organisations, educational institutions etc.

4.2 Difficulties encountered during data collection

The primary challenge for the evaluators was that the subject of evaluation was a cultural organisation, and calculating the impact of work in the sphere of the arts and culture through focused outcomes, that are often required to be quantifiable, tested the methodology. The evaluators, therefore, attempted to measure the impact of Ninasam's work through its influence on other cultural and educational institutions, and by narrowing down a range of outcomes to the organisation's assistance in building new institutions and cultural practices.

Since personal accounts and impressions become very important because documents alone cannot measure the impact of such work, the evaluators sought to solicit as many views as was possible by interviewing a large number of external resource persons (eight in total) to build a broader picture.

Again, given the nature of Ninasam's artistic and cultural ambitions, many of these interviews had to be free-flowing open ended discussions that were a departure from the semi-structured interviews that the methodology had prescribed.

Also language issues constituted a problem. Most resource persons were conversant only in Kannada, a language unknown to the evaluators. Though translators were available, nuances might have been lost, which is regrettable because the themes and issues under discussion were sophisticated and needed to be captured in their entirety.

The difficulties of evaluation, however, were reduced to a great extent by the willingness and cooperation of the Ninasam personnel and all resource persons contacted, as also and by the fact that the evidence made available was considerably strong and varied, ranging from documents to newspaper reports and documentary films.

5 Results

5.1 Results obtained in relation to intervention logic

Part of the end line evaluation consisted of an inventory of results achieved by Ninasam in comparison with outcomes and outputs planned. This section shortly describes the main findings of this document analysis.

The first *planned* output is the organisational development of Ninasam itself. The 2012 proposal mentions that they wish to improve their management and decision making capabilities. For this to happen, two organisational workshops were conducted, one exclusively for the Ninasam board and one with both Ninasam's board and representatives from other organisations. As a result of these meetings the board members divided their tasks and all worked on their own expertise, which improved the engagement of each board member. This output was completed in 2013.

The second *planned* output is the culture course, which aims to stimulate and facilitate dialogue with the theatre community on arts practice and cultural activism. Both in 2012 and in 2013 this culture course was held with respectively 167 and 178 participants. On average 75 resource persons were involved; mainly artists, writers and thinkers. The 2012 – 2013 annual report mentions unintended beneficiaries such as delegates from other educational and cultural organisations who gained experiences through the culture course, possibly contributing to their own programme and at the same time possibly increasing Ninasam's outreach. Increasingly the course becomes a networking event for new organisations, formed during previous culture courses. In terms of *planned* participants this output is difficult to evaluate. The proposals stated a goal of 1500 participants during the contract period. At the time of this analysis a total of 500 beneficiaries were accounted for, raising the question whether Ninasam is reaching its target by the end of 2014.

The last *planned* output in the analysis was the Summer Theatre Workshop, which targets young theatre practitioners and aimed to reach 25-30 young practitioners per workshop. During the two workshops which were held in 2012 and 2013 respectively 36 and 38 participants were registered. This shows that the workshop reached more beneficiaries than envisioned.

The results mentioned in this paragraph show that Ninasam is doing very well in terms of reaching their outputs and targets. Moreover, their work is reaching more beneficiaries and is resulting in new organisations and networks being set up.

5.2 Changes in civil society in the 2012-2014 period with particular focus on the relevant MDGs & themes in the selected country?

5.2.1 Civic engagement

Civic engagement describes the formal and informal activities and participation undertaken by individuals to advance shared interests at different levels. Participation within civil society is multi-faceted and encompasses socially-based and politically-based forms of engagement.

Generally speaking over the past two years, Ninasam's network of people engaged with the organisations in various ways has considerably increased. Since the baseline study:

- The number of alumni has increased from 400 to 440 persons, including 12 girls. Numbers of students cannot increase because the facilities are not enabling Ninasam to do so;

- The Tirugata traveling theatre increased its plays from 75 to 90 productions; increased its number of stages from 3000 to 3557 stages and; increased the number of locations from 250 to 270 locations. The audience attending the theatre increased from 2,000,000 to 2,200,000 persons of which 80 % are rural people, in particular women and youth;
- The October festival attracted 148 participants in 2010 and 182 participants in 2014;
- Its annual May Theatre workshop, sponsored by Hivos, had 33 participants in 2013 and 2014, of which 45% belong to the scheduled tribes or castes;
- Theatre groups of scheduled tribes or castes were formed that started to organise shows.

Apart from these figures, the Tirugata traveling theatre, the annual neighbourhood festival and other activities require the involvement of many volunteers that help to make these events a success. Ninasam collects informal and formal feedback from participants, resource persons, visiting artists, patrons, and NINASAM workers.

Score baseline 2013 on an absolute scale from 0-3	**3**
Score end line 2014, relative change on a scale of -2 → +2	**1**

5.2.2 Level of organization

This dimension assesses the organisational development, complexity and sophistication of civil society, by looking at the relationships among the actors within the civil society arena.

Generally speaking, Ninasam expanded its network in civil society considerably since the baseline. Much of Ninasam's work is focussed on cooperation with other organisations. It was doing so at the time of the baseline and has been continuing this during the contract period, especially through its culture course and the productions of Tirugata. Also, new relationships were established with 1) Mumbai Drama School which participated in the Theatre Workshop in May 2014, 2) India Theatre Forum with whom Ninasam started conducting Theatre Tours in 2013, and 3) Ninasam participated in several festivals and seminars of different organisations in Karnataka. Also, they have cooperated with the Manipal University to set up a Master programme in art.

Not only the number of organisations with whom Ninasam engages has improved, but also training institute has more applications and students enrolling from the scheduled tribes or castes and more female students; a theatre group of scheduled tribes and castes running shows on Dalit and transgender issues and, increased female participation in the culture course.

Ninasam's funding sources have become more diverse since the baseline, but it raised its concerns about ten ending of its partnership with Hivos in March 2015.

Score baseline 2013 on an absolute scale from 0-3	**3**
Score end line 2014, relative change on a scale of -2 → +2	**1**

5.2.3 Practice of Values

Practice of Values refers to the internal practice of values within the civil society arena. Important values that CIVICUS looks at such as transparency, democratic decision making, taking into account diversity that are deemed crucial to gauge not only progressiveness but also the extent to which civil society's practices are coherent with their ideals.

Ninasam as an organisation is very transparent and is. Their website contains most of the information about the organizations functioning and evolution. Reports and project data are readily available. Also, they hold meetings with local people and staff which help to change or modify their programmes. Both the staff and executive leadership indicated that the accountability in the organization has improved since the baseline when they organized as special workshop in 2013 dealing with downward accountability. The situation for this dimension stayed the same for many of the indicators, as Ninasam was already doing really well during the baseline.

Score baseline 2013 on an absolute scale from 0-3	**2**
Score end line 2014, relative change on a scale of -2 → +2	**0**

5.2.4 Perception of Impact

Generally speaking Ninasam has considerably increased its impact upon civil society in the past two years, has increased its engagement with both the private and the public sector and managed to influence private sector organisations. Although the organisation is trying to influence the government, no policy changes were observed during the end line.

Impact upon Civil Society

A major concern expressed by Ninasam mentioned in the 2012 baseline study was finding employment, which proved to be solved in 2014. Alumni find employ with Ninasam itself or in other arts institutes and schools; in television shows and serials. Alumni also joined other theatre repertories or founded their own troupes. Employment opportunities are even expanding because: Ninasam's courses and outreach programmes are popular and increase its credibility; the explosion of television channels in the South of India has created an enormous need for programming, and; Ninasam are passing selection procedures for higher studies at the National School of Drama (NSD). Another indicator to prove that unemployment is not a concern anymore is the difficulty that Ninasam currently experiences to mobilise its alumni to join the Tirugata traveling theatre, created in 1985 to help alumni gain working experience. Ninasam has become a brand in the sector, and helps alumni to find jobs, though opportunities within the public sector remain limited.

Apart from this, the popularity of Ninasam's activities, such as the culture course is increasing, and therefore also attracting celebrities to participate in debates on caste, politics and empowerment, which on one occasion was used by a leading newspaper and later published in a book. Alumni are returning to their native places and become artists in their own environment, and private theatre groups have been created across Karnataka state. Private colleges and universities integrate cultural education in their curricula. Ninasam touches base with its annual Neighbourhood Festival, which also helps identifying rural talents.

Apart from this increasing network across the state, Ninasam initiated the Study Tour over the past two years with the India Theatre Forum, enabling theatre practitioners across the country to visit other places. Participants pay they own fees and the tour has already had eminent theatre personalities and intellectuals attending and lecturing in it.

Collaboration and influencing public sector organisations

Collaboration with government institutes such as Academies and Universities has intensified since 2012. Joint seminars and workshops have been conducted; exchanges were organised; alumni are increasing being employed in these academies and they are present in government committees; college and university staff and students are attending Ninasam's activities; government entities are promoting Ninasam's activities and financial support is made available to support the Tirugata traveling theatre and the Ninasam Institute.

Since October 2012, Ninasam, through the India Theatre Forum, developed a participatory insurance scheme for artists and their families. It is currently influencing the government to implement the scheme, one of its activities being the organisation of an online petition.

Collaboration and influencing private sector organisations

Eminent corporate personalities have started to attend Ninasam's culture course and workshop, which is to be interpreted as a first step of further engagement with the private sector. Other collaboration consisted of organising workshops, art sessions and exchanges with private education centres. Influencing these private institutes consists of supporting these institutes in following its curriculum model and to deliver courses similar to those of Ninasam to their students. This type of influencing helps to further expand the Ninasam network but also its practices.

Score baseline 2013 on an absolute scale from 0-3	**2**
Score end line 2014, relative change on a scale of -2 → +2	**1**

5.2.5 Civil Society Environment

The social, political and economic environment in which civil society operates affects its room for manoeuvre. The civil society context has been described in chapter 3. In this section we describe how Ninasam is coping with that context.

India's government has implemented a disinvesting policy in the field of arts, culture and theatre for the past two years. As a result of this it has become difficult to get state grants, which is delaying staff payments.

The past two years has however also seen the endorsement of a new corporate policy that stipulates that every company, private or public, with a net worth of Rs 500 crore or a turnover of Rs 1,000 crore or net profit of Rs 5 crore, will be required to spend at least 2 per cent of its average net profit from preceding three financial years on corporate social responsibility issues.[13] This could provide an opportunity for Ninasam that has not yet been seized.

Another challenge posed to theatre groups is the satellite tv, which is shifting the attention of audience from theatre to television.

In general, Ninasam's way of coping with the environment has not changed. They have always been dealing with the governmental and cultural challenges towards arts and theatre.

Score baseline 2013 on an absolute scale from 0-3	**3**
Score end line 2014, relative change on a scale of -2 → +2	**0**

5.3 To what degree are the changes attributable to the Southern partners?

This paragraph describes two outcomes achieved, as well as the role of Ninasam in realising these outcomes.

5.3.1 Increased exposure to political and social themes through Tirugata traveling theatre

The outcome achieved

The outcome is: More villages and inhabitants are exposed to political and social themes through Tirugata traveling theatre and are becoming aware of how these themes relate to their day-to-day livelihoods.

Tirugata, Ninasam's travelling theatre was formed in 1985 to support the students who have been trained with the Institute and were unable to find employment. The traveling theatre provided them the opportunity to work for about two years to obtain working experiences throughout the state.

In 2014 some of these are also appointed as full time teachers at the Institute. Over the years, Tirugata has also helped in spawning, rejuvenating and sustaining local organisations—variously local theatre troupes, cultural groups, festival organising committees, residents' associations etc—that are interested in hosting its shows and are likely to benefit from it.

Tirugata agrees to stage its performances upon invitation of local organisations. Wherever Tirugata goes, one or more local organisations that have shown interest are asked to provide money to meet Tirugata' s expenses (Rs 16,000 in 2013, Rs 20,000 in 2014) along with food, lodging, theatre space and publicity related arrangements. These organisations manage ticket sales, and any money they make over and above Tirugata's fee is part of their profit. Through this process, the local organisations get publicity and an opportunity to interact with the broader community in town or village. If a local

[13] Refer, http://www.business-standard.com/article/companies/an-overview-of-csr-rules-under-companies-act-2013-114031000385_1.html

theatre organisation is the host, it also performs with Tirugata, thus reaching a wider audience. After Tirugata' s departure, local audiences have been known to ask for more shows, which Ninasam personnel interpret as Tirugata' s contribution to the creation of an appetite for theatre amongst local communities. The Ninasam staff recalled over a dozen instances where villagers came together and formed "cultural organisations" with the sole purpose of inviting Tirugata to perform in their villages; some of these local bodies have continued to exist post the Tirugata performance and are still organising cultural activities. An example of this is Ranga Satkara Balaga (RSB) in Raichur district of Karnataka; its Chief Functionary Raghavendra Bhat says that he formed RSB inspired by Tirugata' s plays. An academic, said that he is aware of local organisations that have been influenced by Tirugata; he does not remember the name of these organisations but recalls that there is a college in a place called Ujire in South Canara district and they have started their own theatre training programme, influenced by Tirugata. Another academic, confirmed the same. However, another resource person, who occasionally directs Tirugata plays, said that, "In general, this (Tirugata spawning/rejuvenating/sustaining cultural groups) has happened... but I cannot recollect groups/organisations that opened up between 2012 and 2014."

Moreover, the local and vernacular press reports the Tirugata performances, thus adding to the cultural awareness affected by the repertory.

There is an increase in the total number of productions of Tirugata in the last two years. Compared to 75 plays during the baseline, Tirugata has now 91 productions to its credit and the number of its staged shows has risen from 3000 to 3557, spread over 270 locations from 250 in 2012. The cumulative audience Tirugata has reached over the years of its existence has also grown from 2 million to 2,2 million persons in the past two years; 80 per cent of this audience is rural, with women and youth being its bulk.

The Tirugata manager keeps a thorough record of the new places being visited and other information related to the performance such as audience strength, infrastructural status of the theatre where the performance is staged etc. These records have been maintained since 1985, documented and published in the form of annual Tirugata reports. Such records are available for the years 2012-13 and 2013-14 that show that ten new places have been added to the list of places visited by Tirugata. It is to be noted that Tirugata performs two new plays each year, plays that it has not performed before—though the number of times they are performed might vary year to year. The names of four new plays staged between 2012 and 2014 are—Vigada Vikramaraya, Mukkam Post Bombilwadi, Gandhi vs. Gandhi and Seetha Swayamvaram.

Apart from Ninasam, other respondents attribute local theatre organisations to be contributing towards expansion in the number of sites. Ninasam connects with such organisations whose audience wants to come to Ninasam shows and such organisations undertake activities inspired by Tirugata which feeds into Ninasam's activities. Resource persons associated with Ninasam' s activities confirm the role of such local organisations, even as they credit Ninasam for taking the more proactive role in exploring new territories.

Another contributing factor, according to Ninasam staff and a visiting freelance director at the campus, has been the increased awareness regarding theatre in the state as also a healthy cultural mindset and supporting socio-political climate that provides encouragement to theatre in the state. According to the evaluators, all of the above mentioned actors and factors—a combination of them— are responsible for the increase in Tirugata's performance sites and its staged productions between 2012 and 2014.

Inventory of explanations

There are mainly two explanations for the increased exposure of more villages and inhabitants. In the first place Ninasam's traveling theatre that was formed in 1985 and continued expanding upon request of theatre groups in villages. These organisations in their turn continue to exist and organise cultural events in their villages.

5.3.2 Ninasam's network has increased over the past two years

The outcome achieved

Ninasam's network is a very important aspect of the organization. The institute now has over 440 alumni, many of which are teachers and office bearers in Ninasam and other theatre institutes, while others are directors and have their own theatre troupes. Many of its alumni come back to teach in the Ninasam courses or are setting up local level theatre productions and companies. Ninasam's alumni find a space for their talent in popular culture forms such as television series; movies etc. and prefer to stay in big cities such as Bangalore where such art forms thrive. Some of them, however, aim to spread theatre in small towns and villages and set up local theatre production companies in remote backward villages and towns. Such groups and companies maintain relations with Ninasam and keep coming back to direct, teach, participate in workshops and perform at Ninasam. Some of the students of such theatre companies also come to Ninasam for pursuing the state-government-recognised-one-year-course in theatre at the Ninasam Institute. Both Ninasam and such local production groups can be credited for the achievement of this outcome[14].

External resource persons state that there has been an upsurge in the level of interest in theatre in smaller communities in remote areas and small towns, largely generated by Ninasam. The organisation serves as a source of inspiration and the organisation trains its students to take up theatre activities and spread these in the state. One of the production companies also confirmed the ongoing resource sharing relationship between Ninasam and their organisation whereby students from such groups attend Ninasam's one-year course and ex-students take up work in Tirugata.

Ninasam's 1 year training model that incorporates theory and practice of theatre is a source of inspiration for other training institutes from both the public and the private sector and increasingly Ninasam engages with these centres to support the design of new courses and to start joint projects.

Through the annual study tour and other events that Ninasam organises with the India Theatre Forum (ITF), other Drama schools also seek collaboration with Ninasam in multiple ways. One example is collaboration with two drama schools, one of which contracted a Ninasam alumni as the principle and alumni as teachers.

NINASAM's network also increases through the annual cultural courses that started 24 years ago. Another important outcome is the increase in participants in the culture courses. These started 24 years ago. It hosts renowned artistes and academics as its participants, which also helps attract a number of their fans. Over the years, the popularity of the course has led to an increased participation from 148 persons in 2010 to 182 in 2013.

Most people interviewed credited Ninasam solely for the sustained success of the culture course. One resource person, however, suggested that there might be some connection, albeit a very weak one, between the increases attendance of the culture course and the general rise in the number of college students due to a proliferation of newer colleges in smaller towns.

Inventory of explanations

The above description of the outcome identifies roughly four explanations for the expanded network of Ninasam. These are the Ninasam alumni network; the Tirugata traveling theatre; the culture course; and intense collaboration with drama schools and universities. This expanding network also needs to be seen in the context of a proliferation of newer colleges for drama.

[14] Ninasam and other respondents

5.4 What is the relevance of these changes?

5.4.1 Relevance of the changes in relation to the Theory of Change of 2012

NINASAM's 2012 dream is "world with cultural sensitivity". Cultural sensitivity means that people should care about enabling and including everyone. Direct prerequisites for achieving this dream are 'a balanced cultural ecology' and "natural resource management with people". Both signal that culture is directly attached to natural resources and to indigenous culture. People from outside are welcome, but they should not impose their lifestyle, thinking and culture upon the people NINASAM is working with. And communities cannot hold to their culture when forests, hills, land and water are taken away from them. One important condition to ensure the linkage between culture, natural resources and lifestyle is that the 'culturally conditioning apparatus is removed', which includes television or other factors and actors that 'condition' the mindsets and behaviour of people and the acceptance as agriculture as a lifestyle rather than a business.

In order to achieve this, existence of diversity, networking, and favourable policies are necessary and representing one layer. Favourable policies will be the result of healthy decentralised autonomous institutions like Panchayats, health centres or schools, as well as of a functional democratic system. The other layer to remove the 'culturally conditioning apparatus' are basic economic security, holistic education (meaning the integrated study of the sciences, humanities and the performing arts), democracy and community engagement.

Ninasam's most important interventions mentioned in 2012 consist of ensuring holistic education, engaging communities as volunteers and ensure networking.

The past two years have seen that Ninasam has continued to ensure holistic education model that is now increasingly being used in private colleges and universities in the state. The organisation mobilises volunteers when having Tirugata performances in their place and it engages deeply with its own village Hegoddu during the yearly neighbouring festival and during other activities. Its network has become bigger and more diverse over the past two years. Apart from these, those that receive their education from Ninasam, increasingly represent scheduled castes, tribes and women, which will help to expand the cultural diversity in its network.

One important condition in its ToC has however not been removed, which is the 'culturally conditioning apparatus' which also increasingly employs Ninasam's alumni.

5.4.2 Relevance of the changes in relation to the context in which the SPO is operating

The main audience of Ninasam's work are rural people and local artists. This group is normally not able to attend theatre as most of the productions are in English. Ninasam performs in the local language as they work with local artists, which makes it possible for their target group to attend the productions.

Also, the productions of Ninasam often focus on issues which are relevant for society. They try to make issues such as gender and casts known to people by using it in their productions. As they work in the local language, they are educating people who would normally not have access to intellectual productions as they are mostly in English. This has been a large contribution to society. The changes made by Ninasam's productions are therefore very relevant to rural people. Moreover, as these productions are performed in local language most of the artists participating are also local. This gives small artists a chance to perform in large productions and become really involved in the world of arts and theatre. Through its increasing reputation, Ninasam's alumni increasingly find jobs in the arts sector, which helps Ninasam also to expand its network.

5.4.3 Relevance of the changes in relation to the policies of the MFS II alliance and the CFA

Ninasam had not been supported by other organisations before Hivos started financing them. Hivos framed the programme 'pluralism' for India, under which the work of Ninasam is important. Pluralism

focuses on the fact that there is a lot of diversity in the population, and it supports organisations that emphasise the strengths of this diversity. The programme does not only look at arts as a sector but it ties it back to social issues such as casts and gender.

The changes achieved by Ninasam are highly relevant in relation to the Hivos policy or pluralism. They bring diversity in the population, such as cast diversity and gender roles, to the attention of their public. With this work, they are contributing to the programme of Hivos.

5.5 Explaining factors

5.5.1 Internal factors

Ninasam is promoted by a family reputed for their contribution to theatre and literary culture in India. Ninasam's current treasurer, KV Akshara, is regarded as the head of the organisation. He is the son of late KV Subbanna (1932–2005), an acclaimed Kannada dramatist and writer, founder of the Ninasam theatre institute and Akshara Prakashana a publishing house that continues to promote Kannada literature related to theatre, including translations of plays from other languages. Both the theatre institute and the publishing house are based in the Subbanna's native village Heggodu. A small village where KV Akshara, alumnus of the prestigious National School of Drama (NSD) and UK's University of Leeds, chose to return to ensure that Subbana's legacy lives on.

Over the years, Ninasam has contributed to the vitality of the cultural life of Heggodu and, indeed, the state. Hivos' programme titled "Ninasam: Creating a larger communitarian base for theatre" is, in fact, the organisation's mission in many senses. The institute now has over 440 alumni, most of them from rural parts of the state, some from Heggodu. Its travelling theatre troupe, Tirugata, established in 1985, has most of Ninasam's alumni working in it for about two years after passing out. It provides them with opportunity and exposure to perform before large audiences through the state, while promoting theatre in the larger community. This even as Ninasam organises Oorumane Utsava or The Neighbourhood Festival, a four-to-five-days-long festival held in the Ninasam campus in February-March every year that has local artists putting up performances without taking any fee/honorarium and the entire expenditure being borne through local donations. Ninasam's week-long annual October festival, culture course, meanwhile, has many nationally acclaimed artistes and intellectuals performing and attending it, and it attracts participants from across the country. The latest addition to the Ninasam's activities is the annually-held May Theatre Workshop in 2013 and 2014, organised using Hivos funds.

The evaluators' interactions with the Ninasam personnel during the evaluation workshops, both the baseline and the end line, made it evident that the organisation was democratic. For instance, though only the executive leadership and middle management had been requested to be available for detailed interviews on the claimed outcomes on the second day of the end line workshop, Ninasam functionaries from all levels chose to be present, explaining that work around art and culture had no hierarchies. Everyone participated with equal enthusiasm and ownership.

Even so, it was also evident that KV Akshara is the lynchpin holding together such beliefs and vision. He also seems to be about the only person in the organisation with the credentials and language to negotiate the larger external world comprising national and international artistes, bureaucracy and funders, among others. No definite plans seem to be drafted yet regarding K V Akshara's succession plan. A lot of the vision is passed on through the family, but the experience of changing hands in Prithvi Theatre shows that vision and mission change between generations (Klaver et al, 2013).

5.5.2 External factors

Karnataka has a long history of numerous traditional art forms that are today protected and promoted by organisations like Ninasam. But the organisation continues to face a growing challenge resulting from government disinvestment in the field and increasing competition from films and television.

The Karnataka government in the past two years has withdrawn its support significantly to the states arts, culture and theatre organisations. This process has been taking place over the last decade where

the government has been diverting funds towards the Kannada film industry rather than the previously vibrant theatre groups.[15] This has created a major problem for organisations like Ninasam which rely partly on state grants that gradually drying up or getting delayed.

The state today is mainly identified nationally and internationally because of the Information Technology (IT) tag attached to its cities like Bangalore. As such, there has been an increasing emphasis on developing this sector further. This has resulted in other sectors like arts and culture suffering in comparison. Not only that, there has also been slow and gradual divergence of state resources towards the development of cities. This has led to the rest of the state, especially its rural parts, lagging behind in terms of infrastructure, development, access to health and education. The monthly per-capital expenditure in rural Karnataka is lower than the all India average.[16]

With easy access and availability of satellite television has led the audience to shift their focus from theatre to television. It has also meant growth of cultural insensitivity amongst the people, only to be further aggravated by affinity of the youth towards right-wing politics and alienation from social problems. There has been an increasing intolerance towards minorities like Christians. This is visible in the growing number of attacks against the community in the form of murder, assault, rape, and church attacks in the state.[17]Trying to confront this challenge, Ninasam has tried to revitalise theatre culture through its activities like Oorumane Utsava featuring a medley of plays and other cultural activities.

There has also been cultural breakdown partly resulting from the type and quality of Kannada news channels and television series, which are consumed widely by the people.[18] In the rush for TRPs (Television Rating Points) the channels in the name of news focus on cheap political drama, crime and even household quarrels as “breaking news”. [19]

5.5.3 Relations CFA-SPO

The contract with Hivos will end in 2015, and no new contract has been approved. This results in worries from Ninasam staff and management in terms of their financial security. As the culture course was funded with Hivos money, the future of this part of the work is uncertain. The executive leadership, however, shared that Ninasam might now have to look for multiple sources to fund the culture course.

Since the baseline study Hivos closed its office in Bangalore in December 2013, and expected to open its new office in the first semester of 2014 in Mumbai.

[15] *Refer*, http://timesofindia.indiatimes.com/city/bangalore/State-fillip-soon-for-Kannada-movies/articleshow/5521467.cms
[16] *Refer*, http://timesofindia.indiatimes.com/india/Karnatakas-less-developed-status-comes-as-a-shocker/articleshow/23132443.cms
[17] *Refer*, http://www.thehindu.com/news/national/karnataka/43-cases-of-antichristian-violence-in-karnataka-csf/article5631448.ece
[18] *Refer*, http://www.indiantelevision.com/special/y2k10/south_news_yearender.php
[19] *Refer*, http://indiatogether.org/kannada-media

6 Discussion

6.1 Design of the intervention

Ninasam has developed its programme in such a way that they have set realistic goals and have not deviated from these goals. The evaluators believe that this is an important part of the design as it makes the project workable. A lot of the intervention is based on working with local artists and staff, which makes it possible to trigger debate on social issues in rural areas which would normally not have access to such productions.

6.2 Replication of the intervention

Ninasam's focus and determination are key to the successes of the project and as been mentioned mister KV Akshara is holding together the beliefs and the vision of the organisation. All the outcomes achieved in the 2012 -2014 period have been built upon investments made in the past, such as the Tirugata traveling theatre which was created in 1985, the culture course which started 24 years ago and its Theatre Institute in 1980. Al these years have contributed to the expansion of the network and the reputation Ninasam has today.

Ninasam is a family based organisation and a lot of its vision is passed on through the family, but new generations, like new leaders in other organisations may change their vision and mission, as was the case with Prithvi Theatre (Klaver et al, 2013).

A particular feature of Ninasam's vision is that it is grounded into its 'balanced cultural ecology' and "natural resource management with people" which are then conditioning indigenous culture. It vision also states that communities cannot hold to their culture when forests, hills, land and water are taken away from them.

Based upon the aforementioned information a replication of this programme run by Ninasam would require long term investments beyond a project modus of working; would require a leadership with a strong vision and mission and the competencies to relate with the outside world and competencies to understand the culture in which it is grounded. Apart from these, staffers need to be enthusiastic and take ownership of the interventions.

Chances of successful replicability of this programme seem rather limited.

7 Conclusion

Changes in Civil Society

In the 2012 – 2014 period the two most important changes that took place in the civil society arena of Ninasam are related to *civic engagement* and *perception of impact*.

With regards to *civic engagement*, the evaluators observe that the number of alumni, people attending different theatre shows, participants attending workshops have increased in the past two years. Moreover those that take part in the education activities, courses and workshop increasingly represent scheduled tribes, castes and women, hence ensuring an increased diversity. Most of Ninasam's cultural activities rely upon community members working as volunteers to make things happen. Its audience mostly consists of rural people who do not speak English. As Ninasam performs in the local language, they are contributing to the knowledge of these local people on social issues such as gender and casts.

With regards to *perception of impact,* NINASAM's concern that its alumni would become increasingly unemployed did not materialise, because its general network is expanding, its reputation increased; it managed to attract celebrities to make contributions to events that become more popular. It has expanded its network with other NGOs in the sector, as well as intensified its collaboration with both public and private sector organisations. Concrete examples of collaboration are it its initiative to organise Study Tours together with the India Theatre Forum, which became a successful event within the two years of their existence; exchange visits between public and private sector colleges and universities on the one side and Ninasam on the other side; as well as joint workshops and courses. In terms of policy influencing Ninasam, through the India Theatre Forum, lobbies the government to implement an insurance scheme for artists and their families. Ninasam, through its collaboration with private colleges and universities that want to duplicate its curriculum model is changing the educational practices of these institutions.

Contribution analysis

A quick contribution analysis was conducted for Ninasam.

The fact that more villages and inhabitants are exposed to political and social themes through Tirugata traveling theatre and are becoming aware of how these themes relate to their day-to-day livelihoods can be explained by Ninasam's traveling theatre in the first place. The theatre was formed in 1985 and continued expanding upon request of theatre groups in villages. These organisations in their turn continue to exist and organise cultural events in their villages.

Ninasam's expanded network can be explained by its expanding alumni network that has people working on many locations; the Tirugata traveling theatre; the culture course; and intense collaboration with drama schools and universities. This expansion also needs to be positioned in a context where many drama schools are currently being created.

Relevance

Interviews with staff of Ninasam, with external resource person, with the liaison officer of Hivos, as well as contextual information helped to assess the relevance of Ninasam's interventions in terms of; its Theory of Change (ToC) for Civil Society (SC) as designed during the baseline study; the context in which Ninasam is operating; the CS policies of Hivos.

With regards to the 2012 ToC, Ninasam's most important interventions consist of ensuring holistic education, engaging communities as volunteers and ensure networking with a wide range of actors. The past two years have seen that Ninasam has continued these interventions successfully and that the organisation is still grounded in Heggodu, the village where the organisation is based. One important condition in its ToC has however not been removed, which is the 'culturally conditioning apparatus' which also increasingly employs Ninasam's alumni. This refers to the influence of TV broadcasts and the increasing use of mobile phones by youth, which disorients people from their original cultures and roots.

With regards to the context in which Ninasam is operating, its interventions and outcomes achieved are relevant because they are bringing theatre to local, often rural people. These people would normally not have access to such productions as they are limited in their travelling and often do not speak English. Ninasam works with local artists to bring productions to their audience in their local language.

With regards to the Hivos Civil Society policies, Ninasam's interventions and outcomes are relevant because they contribute to its 'pluralism' programme, which helps to make people aware of India's population being diverse and culturally rich. Ninasam's productions contribute to this by educating people about issues related to a diverse society.

Explaining factors

The information related to factors that explain the above findings was collected at the same time as the data were gathered for the previous questions. The evaluation team looked at internal factors within Ninasam, the external context in which it operates and the relations between Ninasam and Hivos.

The most important internal factor that explains the findings comprises in the first place the leadership of Ninasam by mister KV Akshara who is the lynchpin holding together Ninasam's beliefs and vision. He is the only person with the capacity to engage with the larger external world. The organisation is a family -driven organisation with leaders and staff who share the same strong vision. Being based in a small village they are close to their target groups and are able to adjust their productions to the needs of their target groups. However no definite plans seem to be drafted yet regarding K V Akshara's succession plan.

External factors that explain the findings are most importantly the attitude of Karnataka towards arts and theatre. The region is highly perceptible to theatre productions which results in high attendance levels of the productions. The government had started decreasing their financial support for arts and theatre productions over the past years. Together with the growth in television popularity this is a worrying development for organisations as Ninasam.

Factors that explain the findings that are related to the relation between Ninasam and Hivos are the closing of Hivos' Bangalore office in 2013. However, even without their donor they managed to carry on with their work and achieve important outcomes in their project. The staff does however worry about the continuing of their work as funding from Hivos is uncertain.

Table 2

Summary of findings.

When looking at the MFS II interventions of this SPO to strengthen civil society and/or policy influencing, how much do you agree with the following statements?	Score
The CS interventions were well designed	8
The CS interventions were implemented as designed	8
The CS interventions reached their objectives	8
The observed outcomes are attributable to the CS interventions	8
The observed CS outcomes are relevant to the beneficiaries of the SPO	8

Score between 1 to 10, with 1 being "not at all" and 10 being "completely".

References and resource persons

Documents by SPO	
Title	*Year*
Signed Contract	
Hivos Proposal	2012
Ninasam Annual Review Report	2013
Ninasam Annual Review January	2014
Ninasam Annual Narrative Report April – March	2012

Documents by Alliance	
Title	*Year*
FINAL HIVOS ALLIANCE MFS Report 2011_27-04-2012x	2012
Hivos Alliance MFS Report 2012	2012
Hivos Alliance MFS Report 2012	2013
Brief 110719 Hivos Aliance baseline strengthening civil soiety	2011

Other documents			
Author	*Year of publication*	*title*	*publisher*
Social Watch	2012	Social and Economic Rights Fulfillment Index (SERF) – A new human rights approach	Social Watch
Heritage	2014	Economic Freedom of India	Heritage.org
Klaver, D.C., Desalos, C.B., Wadhwa, S., Patnaik,S., Sen, P., Mohapatra, B.P.	January 2013	Baseline report for India – Prithvi Theatre; MFS II country evaluations; Civil Society component	Centre for Development Innovation, Wageningen University & Research centre and India Development Foundation

Webpages			
Author	*Title*	*Webpage link*	*date*
Find the Best	India Corruption Information	http://country-corruption.findthebest.com/l/98/India	August 2014
Find for Peace (FFP)	Country data and trends for India in 2014	http://ffp.statesindex.org/2014-india	August 2014
Freedom House	Freedom scores India	https://freedomhouse.org/report/freedom-world/2014/india-0#.VGCiRvlwtcQ	August 2014
World Values Survey	India information	http://www.worldvaluessurvey.org/WVSContents.jsp	November 2014
Vision of Humanity	Global Peace Index for India	http://www.visionofhumanity.org/#page/indexes/global-peace-index/2014/IND/OVER	November 2014

FMSF	Foreign Contribution Regulation Act of NGOs	http://www.fcraforngos.org/	September 2014
The Hindu Times	43 cases of anti-Christian violence in Karnataka: CSF	http://www.thehindu.com/news/national/karnataka/43-cases-of-antichristian-violence-in-karnataka-csf/article5631448.ece	November 2014
The Hindu Times	Farmers Protests Against Land Acquisitions	www.thehindu.com/todays-paper/tp-national/tp-karnataka/farmers-protest-against-land-acquisition/article1221322.ece	November 2014
The New Indian Express	Karnataka: Farmers Protest against Posco	www.newindianexpress.com/states/karnataka/article415048.ece?service=print	November 2014
Deccan Herald	State's rural population on decline	http://www.deccanherald.com/content/176696/states-rural-population-decline.html	November 2014
Census	Karnataka population Census data 2011	http://www.census2011.co.in/census/state/karnataka.html	November 2014
The Times of India	Karnataka less developed status comes as a shocker	http://timesofindia.indiatimes.com/india/Karnatakas-less-developed-status-comes-as-a-shocker/articleshow/23132443.cms	November 2014
India Together	Kannada TV channels cross the line	http://indiatogether.org/kannada-media	November 2014

Resource persons consulted

For confidentiality reasons, the names and details of the persons were removed.

Organisation	*Function in organisation*	*Relation with SPO*
Ninasam	Secretary	Executive leadership
Ninasam	Treasurer	Executive leadership
Ninasam	Director	Executive leadership
Ninasam	Director	Executive leadership
Former Hivos employee		
Ninasam	Principal Ninasam Theatre Institute	Programme manager
Ninasam	Head of Tirugata	Programme manager
Ninasam	Physical Teacher	Field staff
Ninasam	Librarian	Field staff
Ninasam	Manager Tirugata	Field staff

Appendix 1 Civil Society Scores

This table presents the appreciation of the evaluation team regarding changes occurred for each indicator between 2012 and 2014 on a scale of -2 to + 2

- 2 = Considerable deterioration
- 1 = A slight deterioration
0 = no change occurred, the situation is the same as in 2012
+1 = slight improvement
+2 = considerable improvement

Dimension		Indicators	Question	Change
Civic engagement	1	Needs of marginalised groups	How does your organisation take the needs of your beneficiaries/target groups, in particular marginalised groups into account in your planning, actions, activities, and/or strategies?	+2
	2	Involvement of target groups	What is the level of participation of your beneficiaries/target groups, in particular marginalised groups in the analysis, planning and evaluation of your activities?	0
	3	Political engagement	How intense is your (individual staff or organisational) participation in locally-nationally elected bodies and/or sectoral user groups?	0
Level of organisation	5	Relations with other organisations	In the past 12 months what has been the most intensive interaction you had with other CSOs?	+2
	5	Frequency of dialogue with closest CSO	In the past 12 months how many meetings did you have with the CSO that you have most intensive interaction with?	+1
	6	Defending the interests of marginalised groups	Which CSO are most effective in defending the interests of your target groups? In the past 12 months, how did you relate to those CSOs?	+1
	7	Composition current financial resource base	How does your organisation finance institutional costs such as workshops of the General Assembly (if applicable); attendance to workshops of other CSOs; costs for organisational growth and/or networking?	+1
Practice of Values	8	Downward accountability	To what extent can mandatory social organs (steering committee, general assembly, internal auditing group) ask your executive leaders to be accountable to them?	+1
	9	Composition of social organs	What % of members of your mandatory social organs belong to the marginalised target groups you are working with/for?	0
	10	External financial auditing	How regularly is your organisation audited externally?	0

Perception of impact	11	Client satisfaction	What are the most important concerns of your target groups? How do your services take into account those important concerns?	+2
	12	Civil society impact.	In the past 12 months, what impact did you have on building a strong civil society?	+1
	13	Relation with public sector organisations.	In the past 12 months, what interaction did you have with public sector organisations to realise your programme and organisations' objectives?	+1
	14	Relation with private sector organisations	In the past 12 months, what interaction did you have with private sector organisations to realise your programme and organisations' perspective?	+1
	15	Influence upon public policies, rules, regulations	How successful have you been in influencing public policies and practices in the past 2 years?	0
	16	Influence upon private sector agencies' policies, rules, regulations.	How successful have you been in influencing private sector policies and practices in the past 2 years?	+1
CS context	17	Coping strategies	In the past 2 years, how did your organisation cope with these changes in the context that may have been positive or negative consequences for civil society.	0

Appendix 2 Changes in civil society indicators between 2012 and 2014

1. Civic Engagement

1.1 Needs of marginalised groups

The NINASAM Theatre Institute admits 20 students every year with most coming from Karnataka's small towns and villages, some from Heggodu, the village NINASAM is based in. It is committed to taking at least six girls in every batch. Earlier there wouldn't be applications to fill up even these seats; but the Institute has now started receiving unsolicited applications from aspiring girl students. There are currently six girl students in NINASAM.

The number of students, including girl students, has remained constant between 2012 and 2014, because the NINASAM campus has limited space that is already being used to its optimum. The Institute also admits non-Kannad students to encourage learning and assimilation of varied cultures[20]. The current batch has students from Puducherry and Kerala.

Despite the Institute's static student strength, the programme managers and field staff observed that NINASAM's outreach has improved since the baseline.

For one, the NINASAM Institute that had produced more than 400 theatre graduates from rural Karnataka in 2012, now it has over 440 alumni. Many among these are teachers and office bearers in NINASAM and other theatre institutes, while others are directors and have their own theatre troupes. These alumni keep coming back to direct, teach, participate in workshops and festivals and perform at NINASAM, and carry the Institute's values forward through their work in the world outside.

Secondly, there is an increase in the total number of productions of Tirugata[21], NINASAM's travelling theatre troupe, in last two years. Compared to 75 plays during the baseline, Tirugata now has 91 productions to its credit and the number of its staged shows has risen from 3000 to 3557, spread over 270 locations from 250 in 2012. The cumulative audiences Tirugata has reached over the years of its existence has also grown from 2,000,000 to 2,2000,000 persons in the past two years; 80 per cent of this audience is rural, with women and youth being its bulk.

Thirdly, NINASAM's seven-days-long annual October festival, culture course, that has many nationally acclaimed artistes and intellectuals performing and attending it, continues to attract participants from across the country. Its participant strength has grown from 148 in 2010 to 182 in 2014. It has to be qualified here that because of the campus' limited accommodation area the participant numbers are unlikely to grow substantially from now on given that a saturation point has already been reached.

Fourthly, the annually-held May Theatre Workshop in 2013 and 2014, organised using Hivos funds, had 45 per cent SC/ST (Scheduled Castes/Scheduled Tribes) students among its 33 participants, many of whom many were selected for the Institute's year-long programme. Eleven of the 33 participants were women.

Fifthly, the Institute's alumni from the SC/ST communities have added to the body of work around the issues related to these communities. In 2013, Janamanadata, a troupe founded by a former teacher

[20] The medium of instruction at the NINASAM Theatre Institute is Kannad. All students are therefore committed to learning Kannad when they join the Institute.

[21] Tirugata, NINASAM's travelling theatre troupe was established in 1985.The institute came about when 100 trained students had passed out and were unemployed. Most alumni work in the repertory for about two years after passing out. It provides them with opportunity and exposure to perform before large audiences through the state. *Refer,* http://www.ninasam.org/pdf/Ninasam__tirugata_Consolidated_report_2013.pdf

and NINASAM alumnus belonging to the SC community, staged the plays Baba Saheb Ambedkar[22] and Urukeri, the latter based on the autobiography of a famous Kannada Dalit poet. Another production Badukubaiyalu was based on the life of a transgender person named Revati. These productions were well received.

Score: +2

1.2 Involvement of target groups SPO

As during the baseline, so also now, community engagement and volunteerism remains the intrinsic core of NINASAM's work. NINASAM ensures this at various levels while planning and implementing their activities: a) whenever and wherever Tirugata stages shows, local residents and groups who invite it are asked to pay an upfront sum for the show, and then manage other operations themselves. This includes getting sponsorships, ticketing, booking of venue, formalities with the police and licensing authorities etc; b) Oorumane Utsava[23] (The Neighbourhood Festival)—a four-to-five-days-long festival held on the NINASAM campus in February-March every year—has local artists putting up performances without taking any fee/honorarium and the entire expenditure being borne through local donations; c) apart from the feedback session on the last day of the October culture course, every year NINASAM makes it a point to collect feedback from participants, resource persons, visiting artists, patrons, and NINASAM workers concerning all aspects of the culture course and it does this through informal as well as formal means.

Given that NINASAM was already performing remarkably well with regard to involving its target groups in decisions regarding its activities at the time of the baseline, the fact that the executive leadership and field staff reported no change in the situation is expected. The programme managers, however, observed an improvement in the quality of involvement of their target groups. They shared that two theatre troupes, founded by their alumni belonging to the SC/ST communities, Janamanadata and Attamata, had done very well over the past two years. Of the plays these groups had produced and performed, one was based on Baba Saheb, the second on the life of an illustrious Dalit poet, and the third on the struggles of a transgender person.

Score: 0

1.3 Intensity of political engagement

NINASAM is apolitical. While the organisation does interact with certain departments of the state government on a regular basis for funding etc, its interaction with locally elected bodies is very limited.

Score: 0

2. Level of Organisation

2.1 Relations with other organisations

The past two years have seen NINASAM constant in its belief that existence of diversity is at the centre of all cultural and artistic endeavour. And that shared interests, common causes and united purpose—despite differences—can be discovered only if conscious and sustained efforts are made to create a networked society.
So like in 2012, most of NINASAM's interventions, outside its Institute, are around facilitating networks with other theatre, art and culture groups and communities. The annual culture course

[22] Dr. Bhimrao Ramji Ambedkar was an Indian freedom fighter who fought against discrimination meted out to 'untouchables' and lower castes in Indian society. He was also the main architect of the Indian Constitution.
[23] The Neighbourhood festival or Oorumane Utsave which began six years ago by NINASAM attracts artists and cultural groups from its immediate surroundings. These presenters perform a number of folk songs, dances, ritual observances, classical dances and plays etc.

continues to bring together people and groups from across the country, while the Oorumane Utsava (Neighbourhood Festival) has local residents and troupes flocking to the NINASAM campus every February-March. And as Tirugata goes to newer places each passing year to stage its plays, the tasks of box-office collections and organising the performances are entrusted to newer local organisations based in towns and villages of Karnataka; these organisations often continue to communicate with NINASAM.

This even as NINASAM's interactions with the following continue: a) Karnataka Yakshagana Bayalata Academy[24], established by the government of Karnataka; b) Rangayana[25], the state sponsored repertory company from Mysore; c) the Folklore Department of the Karnataka University[26], Dharawada; d) Attakkalari[27], the movements arts training and performance organisation from Bangalore; e) Trivi Acts[28], Trivandrum; f) India Foundation for the Arts[29], Bangalore; g) Puppet House[30], Dharwad.

Over and above its past alliances, however, NINASAM forged new relationships through its activities in the past two years: a) The Drama School[31], Mumbai, associated with NINASAM informally, and its productions were brought to the May Theatre Workshop in 2014; b) In association with India Theatre Forum (ITF)[32], NINASAM started conducting Study Tours since 2013, in which members of various theatre organisations from across the country come together for about a week, and see and discuss each other's work; c) NINASAM has been participating in the festivals and seminars conducted by various organisations in Karnataka, which include the National Festival at Mudabidre at Rangayana, Mysore; d) Ninasam has tied up with the Manipal Centre for Philosophy and Humanities (MCPAH) at the Manipal University[33] to start a Masters in arts and performance from academic year 2015-16; e) NINASAM's production of Rabindranath Tagore's Babugiri was sent to the prestigious National Theatre Festival[34] in Kolkata in 2013.

Also, beginning 2013, NINASAM started a new fellowship programme under which two of its outstanding students are appointed to assist in teaching the fresh batch of students with the Ratan Tata Trust (SRTT)[35] financing their salaries.

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[24] The Karnataka Yakshagana Bayalata Academy, established by the state government is based in Udipi. It works towards promoting Yakshagana, a traditional theatrical art form originating in Karnataka. It presents mythological and historical stories.

[25] The Rangayana drama school was established as a repertory funded by the Karnataka government which later on was set up as a theatre institute. The school was established in Mysore, Karnataka. Most of the teachers at the school are NINASAM alumni. *Refer,* http://www.mysoresamachar.com/dramainst.htm

[26] The department of folklore studies aims to study and research folklore and to create awareness about traditional knowledge in society. It was established in 1996. *Refer,* http://www.kud.ac.in/Docs/About%20Dep%20of%20Folklore.pdf

[27] Attakkalari Centre for Movement Arts is an organisation working in the field of contemporary movement arts. The main aim of the centre is to make dance a viable career option for today's youth. It was established in 1992. *Refer,* http://www.mybangalore.com/article/0711/echoes-of-music-and-dance-at-attakkalari-centre-in-bangalore.html

[28] Trivi Acts is an arts management group. Its main aim is to promote new perspectives in art appreciation. It is also involved in art education programmes through workshops and seminars. *Refer,* http://triviartconcerns.blogspot.in/p/about-us.html

[29] India Foundation for the Arts is an NGO that supports practice, research and education in the arts in India. *Refer,* http://www.indiaifa.org/about-us/about-ifa.html

[30] Puppet House, a Centre for Theatre and Puppetry specialises in leather shadow puppetry which is quite prevalent in Dharwad and its surrounding areas. It uses puppetry not only to educate but also to sustain the traditional art form. *Refer,* http://www.thehindu.com/todays-paper/tp-features/tp-fridayreview/art-of-puppetry/article869210.ece

[31] The Drama School was started in 2013 with the aims of creating "a new generation of theatre makers" and "to promote the awareness of theatre". There is close interaction between the school and NINASAM, as both schools perform plays at each other's campus. *Refer,* http://thedramaschoolmumbai.in/?portfolio=the-vision

[32] India Theatre Forum (ITF) is an "attempt was to understand 'Indian Theatre' in all its multiplicity and diversity, bringing these several faces of Indian theatre face to face, and problemetise the issues that arise therein." *Refer,* http://www.theatreforum.in/

[33] Manipal Centre for Philosophy and Humanities (MCPAH) was established in 2010 in Manipal University. It offers programs in philosophy, sociology and English etc. They are also collaborating with NINASAM to start a drama course at the centre. *Refer,* http://manipal.edu/mcph/department-faculty/department-list/manipal-centre-for-philosophy-and-humanities.html

[34] The Nandikar National Theatre Festival in Kolkata is one of the biggest theatre festival in the country. It was started in 1984. It is a ten-day festival that brings performers from all around the country and abroad. *Refer,* http://nandikar.net/about-the-nandikar-national-theatre-festival/

[35] Sir Ratan Tata Trust (SRTT), named after the younger son of Tata Empire founder Jamsetji Tata was established in 1919 and today it exists as one of India's oldest grant bestowing foundation. *Refer,* http://www.srtt.org/about_us/overview.htm

Score: +2

2.2 Frequency of dialogue with closest civil society organisation

Like in 2012, NINASAM interacts with other organisations throughout the year, and such interactions are accentuated during the October culture course and Oorumane Utsava held in February-March.

The programme managers and field staff said that the past two years had seen newer and frequent interactions with some organisations, one being the Manipal Centre for Philosophy and Humanities (MCPAH). The facilitation of a collaborative course with MCPAH had NINASAM conducting two workshops, and in preparatory consultations before that, with it. It may be noted though that technically MCPAH is an educational institute and not a CSO. Another set of frequent interactions was with The Drama School, Mumbai, and Rangayana, Mysore.

Score: +1

2.3 Defending the interests of marginalised groups

The past two years have seen an improvement in NINASAM's involvement with defending the interests of marginalised groups and communities. Some manifestations of these are: a) of the 120 who applied to the Institute during 2014, 40 applications were from SC/ST aspirants; of these, 11 SC/ST students were selected for the 20 seats on offer; b) Janamanadata, a group run by an alumnus and now a teacher at the NINASAM Institute, mounted two productions, one on the biography of a transgender activist, and another on Dalit issues, and the shows travelled to some 50 places in Karnataka; c) an entirely OBC[36] (Other Backward Classes) troupe mounted a Tala Maddale[37] performance (which is a form dominantly practiced by upper caste people) for the Oorumane Utsava; e) the last two culture course had an 60 per cent women participation.

Score: +1

2.4 Composition financial resource base

In 2012, funding for NINASAM was drawn from various sources. The NINASAM funded its productions, Oorumane Utsava, lectures, buildings and maintenance of infrastructural developments with the help of voluntary inputs and small ad-hoc support. They also generated income from activities such as ticket revenues. The NINASAM Theatre Institute received grants and funding from the department of Kannada & Culture, Government of Karnataka (GoK) and Hivos. These funds took care of the teachers' and visiting faculty salary, student stipends, production and workshop expenses (partial) and administrative expenses (partial). The Tirugata repertory covered its production, travel and other miscellaneous expenditures like publicity and administrative expenses from the show revenue and publicity sponsorships. Salary for the actors and visiting faculty was taken care of, by the Hivos and Government of India (GOI) funds. The local organisations that invited them to perform were asked to manage all operations after paying the repertory an upfront sum for the show. All expenses related to

[36] The Other Backward Classes (OBCs) a category that includes the underprivileged, the marginalised castes, tribes and communities. The state under article 15(4) and 16(4) of the Indian constitution is empowered to create special provisions for their upliftment. *Refer,* http://www.teindia.nic.in/Files/Reports/CCR/Sachar%20Committee%20Report.pdf

[37] Tala-Maddale is an ancient form of art of Karnataka and Kerala. It is a derived form of Yakshagana—a classical dance or musical form of art from the same region. A typical Tala-Maddale show consists of veteran artists sitting in a circular fashion along with a Bhagavata (the singer, with 'Tala' or pair of small hand cymbals) and a 'Maddale' (a type of drum) player. Artists play the roles of characters in stories, typically, from Ramayana, Mahabharata and other puranas. The show is a superb presentation of oratorial skills. Artists are normally well versed with the Hindu epics and puranas. Kannada language is the normal medium of communication.

the culture course and other timely workshops and programmes were also covered by the Hivos funding and support from NINASAM Pratishtana[38] and other sources of small grants.

The situation remains much the same, except that NINASAM's Hivos funding faces imminent end in March 2015, even as NINASAM has found new funders.

Understandably, therefore, despite the continuing multiplicity of funding sources, the programme managers and field staff interviewed for the end line felt NINASAM's financial situation had deteriorated since 2012. The field staff was apprehensive about a scenario bereft HIVOS support, a crucial if not the only funder for over 12 years. The programme managers echoed the worry, and regretted that NINASAM's applications for the renewal of HIVOS funding and larger support from the Ratan Tata Trust, had seen no progress yet—even though beginning 2013, the Ratan Tata Trust is financing a new NINASAM fellowship programme under which two of its outstanding students are appointed to assist in teaching the fresh batch of students. Also, an application to the state government for inputs like buses is still awaiting a positive outcome. The executive leadership was much more optimistic. And, in fact, saw improvement in NINASAM's funding situation, citing as an example, NINASAM's newfound support from Sir Dorabji Tata Trust[39] for a Visiting Fellowships project during 2013. Also, in 2013, the Central-government-funded Sangeet Natak Academy issued a grant to support and promote Tirugata.

Score: +1

3. Practice of Values

3.1 Downward accountability

As it was in 2012, the NINASAM executive leadership continues to be fully accountable to the social organs. Also, the organisation's website, www.NINASAM.org, contains all the organisational details, by-laws, history and evolution of NINASAM with information on the executive committee and staff. Detailed information on the various units, such as the Theatre Institute, Tirugata, culture course and other projects including various reports and databases are also readily available for scrutiny. Besides this, NINASAM also shares information about its accounts, activities, success and shortcomings with the beneficiaries and other stakeholders by circulating annual reports to all the stakeholders and by keeping in touch with all the stakeholders and members of the NINASAM community through their newsletter Maathukathe. On an informal level, meetings and discussions are held with the local people, trustees and staff. These interactions help NINASAM to change/modify certain programmes.

The NINASAM staffers, including its executive leadership, however, reported an improvement vis a vis accountability issues in the organisation since the baseline. They reasoned that a special workshop in 2013 had made downward accountability an important discussion topic in many meetings held since then. The day-long workshop had four invitees—a theatre director, creative thinker, socialist thinker and sociologist—and NINASAM executive and advisory committee members discussing the organisation. It was a feedback session. All activities of Ninasam were discussed there. The consequent analysis was very powerful and future plans were drawn up, including several measures to include a cross section of people from various rungs of NINASAM's organisation have been developed.

Score: +1

[38] K.V. Subbanna of NINASAM was give the Ramon Magsaysay award for creating greater public awareness about arts, culture and education. He passed on the entire purse of the award to NINASAM which used it to create a trust–NINASAM Pratisthana. The money is being used for extension programmes of NINASAM like, literature appreciation courses on culture and education across the state. *Refer,* http://www.ninasam.org/history/brief-history/

[39] Sir Dorabji Tata Trust was established in 1932 by Sir Dorabji Tata, the elder son of group founder Jamsetji Tata. The trust offers monetary assistance to students, economically disadvantaged patients and NGOs across the country. *Refer,* http://www.tata.in/aboutus/articlesinside/Sir-Dorabji-Tata-Trust-and-the-Allied-Trusts

3.2 Composition of Social Organ

NINASAM is promoted by a family reputed for their contribution to theatre and literary culture in India. The Board of Trustees has 15 members. In 2012, the Board included one woman, it now has two women.

Score: 0

3.3 External financial auditing

As in 2012, so also now, auditing in NINASAM is done periodically and statutory accountants are made to audit and certify the accounts. External financial auditing is an annual event. A general body meeting is held twice a year where the annual report and audited accounts of the previous year are approved along with the next year's budget.

Score: 0

4. Perception of Impact

4.1 Client satisfaction

Baseline interviews with NINASAM staffers, its partners, its alumni and theatre veterans revealed that the most important concern for NINASAM's target groups—namely its students and alumni—was finding employment. Towards this, NINASAM had set up Tirugata, its travelling theatre repertory, in 1985; graduates from the Institute could join Tirugata and gain practical experience in performing before varied audiences. Some alumni were also employed as teachers at the NINASAM Institute. Others—thanks to the state-government-recognised ten-month certificate course in Theatre Arts from the NINASAM Institute—found employ and assignments in other Institutes, schools, and television shows and serials. Many alumni joined other theatre repertories and some founded their own troupes such as the Theatre Samurai, Bhoomi, Janamanadata and Attamata.

In 2014, not only do these avenues of employment continue to remain open to the NINASAM alumni, they have expanded.

To begin with, the increasing credibility and popularity of NINASAM's courses and outreach programmes over the past two years have seen a zoom in the number of applicants for these.

For instance, the number of applications for NINASAM's theatre course increased from 70 before 2012 to 121 in 2013-14. Similarly, the number of applications for its annual 21-day May Theatre Workshop has gone up from 80 before 2012 to 240 in 2013-14. These growing numbers are both the reason for—and consequence of—NINASAM's untiring work over the years to promote theatre and the arts among Karnataka's small and large communities. This present upsurge in the level of interest in theatre has, in turn, considerably improved employment opportunities for its alumni.

For one, improvement in the quality and impact of Tirugata shows has led to an increase in the demand for such shows by locals—variously local theatre groups, cultural organisations, festival committees, residents associations etc. This growing demand and appreciation for its performance, has also seen the salaries of the Tirugata artists—many of whom are NINASAM alumni—being raised; from Rs. 6000 a month in 2012 to Rs. 10,000 since 2013.

Second, as compared to 2012, NINASAM now finds it hard to get its alumni to join Tirugata. The NINASAM staffers said this is due to many more lucrative employment opportunities being on offer over the past two years. These include teaching in other theatre institutes (some of NINASAM's alumni have even become principals and in-charges of such institutes), teaching in colleges and schools, conducting theatre workshops, setting up short term theatre courses and theatre schools cum production companies and informal travelling troupes on the lines of Tirugata. For instance, Bhoomi, a theatre group started by two NINASAM ex-students, began conducting evening classes for theatre in Tunkur district since 2012.

Third, the explosion of television channels in the South of India has created an enormous need for programming. Most Kannad television serials in today feature NINASAM graduates, some work in movies, and yet others in theatre groups. Many among these are successful, and some have even adopted NINASAM as their last name to earn recognition. A case in point is Sathish Ninasam, an alumnus and actor who debuted with the film Madesha (2008), appeared in small but significant roles in films like Manasaare (2009), Pancharangi (2010), Lifeu Ishtene and Drama (2012), till shot to fame after his performance in the 2013 film Lucia[40] which received huge critical acclaim. This, in turn, has fed back into NINASAM's popularity amongst others who want to emulate these successful artists.

Fourth, many of the NINASAM students are now getting selected for higher studies at the National School of Drama (NSD)[41], Delhi. This in itself opens up a plethora of career possibilities across the nation for such students.

Despite this proliferation of opportunities, the NINASAM staffers felt that government departments and institutions were yet to open their doors to the Institute's graduates in a meaningful and sustained fashion. They were, however, satisfied that anxiety over work opportunities for NINASAM graduates have been allayed greatly over the past two years.

A NINASAM alumnus, interviewed for the end line, said that NINASAM serves as an inspiration for its former students who take up the task of spreading theatre in Karnataka's remote villages and towns, sharing an emotional bond with the Institute and its faculty as they do. This alumnus himself runs a theatre production company in a small town in Karnataka's Tumkur.

Score: +2

4.2 Civil society impact

In 2012, NINASAM staffers refused to make any claims with regards to the organisation's civil society impact stating that they do not know what, or whether they have indeed, made any impact on civil society. While maintaining that NINASAM cannot and does not have any mechanisms of measuring the changes that it affects in civil society, they did offer certain qualitative indicators that could help gauge NINASAM's impact. These included i) the prestige carried by NINASAM's seven day culture course that sees most Karnataka cultural organisations, locals as well as visitors from other parts of the state and from outside the state, visiting Heggodu to participate; ii) the spur in the quality of debate in certain circle of youngsters, teachers, professionals involved in theatre and allied arts in Karnataka, attributed in part to NINASAM's presence in the state; iii) the democratisation of theatre and the arts through engagement of people from different strata of society in NINASAM's activities as performers, audience, delegates and volunteers.

While the above-mentioned criteria still remain the qualitative, if ambiguous, measures of NINASAM's impact on civil society, the end line evaluations had the organisation's personnel offering the following towards a more substantial assessment of the same:

a) increasing demand for NINASAM's productions;
b) rise in applications for its courses and programmes.

Over and above which, however, the staff agreed that NINASAM's impact continues to be acknowledged in indirect ways in the public realm. They presented some examples:

Increasing popularity of the culture course, which attracted eminent literary figures such as social scientist Ashis Nandy[42] and poet-painter Ghulam Sheikh[43] to participate and give talks on the subject.

[40] http://en.wikipedia.org/wiki/Lucia_(2013_film)

[41] The National School of Drama (NSD) is a theatre training institute. It was set up as a constituent body by the Sangeet Natak Akademi in 1959 which falls under the control of the erstwhile Ministry of Education and Culture. The school has over the years produced some of the most talented actors, directors and script-writers etc. of Bollywood film industry. *Refer,* http://nsd.gov.in/image/Eng_Annual_Report_2014.pdf

[42] Ashis Nandy is sociologist and clinical psychologist. He has a large and varied body of work to his name bringing into focus issues of nationalism, modernity, secularism, and development etc. He has written numerous books, to name a few, The Intimate Enemy and The Illegitimacy of Nationalism etc. *Refer,* http://www.csds.in/ashis-nandy

The culture course has evolved as a platform to discuss and debate issues of social importance—caste, politics, empowerment etc—that could contribute towards improvement of the quality of community life. For instance, during the 2012 culture course, a debate on caste in Indian society was initiated by Professor Gopal Guru[44] and Sundar Sarukkai[45], and the editor of the leading Kannada newspaper Prajavani[46] was present. As a result, this debate was carried forward in that newspaper between January and July 2013. This debate is now published as book.

The NINASAM personnel and those who have known the organisations over the years vouch that the students who have been trained at the NINASAM Institute, as well as those who have been delegates at the culture course or training workshops at NINASAM have gone back to their native places and enriched the general quality of life especially in the field of arts.

Deriving inspiration from NINASAM's work, private theatre groups have been set up across the state. The founder of The Drama School, Mumbai, told the evaluators that his institute set up in 2013 was based on the NINASAM model. Also, private colleges and universities have started focusing on cultural education and awareness as an integral part of their curriculum for holistic development of students. As an instance, the Manipal Centre for Philosophy and Humanities (MCPAH) at the Manipal University has proposed a tie up with NINASAM to start a Masters in arts and performance from academic year 2015-16.

Oorumane Utsava has helped promote the revival of theatre and cultural sensitivity within the local community. Over the past two years, it has seen an increasing audience base as well as growth in the level of interest amongst actors to perform at such festivals. It has served as a platform for showcasing of rural talent in theatre activities, sharing of resources and learnings, cultural enrichment and broadened the communitarian base of theatre in the state.

NINASAM, along with the India Theatre Forum (ITF), initiated the Study Tour over the past two years. Theatre practitioners from across the country visited the NINASAM campus for the week-long Tour. The delegates, including NINASAM students, interacted, saw and learnt from each other's performances, participated in workshops, and in special Kannada literature sessions etc. In 2013 and 2014, 10 and nine people attended the Study Tour respectively, they paid their own fee. The announcement of the Tour is made on the NINASAM website, inviting response. The Tour has already had eminent theatre personalities and intellectuals attending and lecturing in it.

NINASAM, through its Institute, workshops, festivals, and even through the informal evening gatherings of the residents from around Heggodu in its campus has, and continues to, enable people to come up, talk, discuss and disagree, and make for a vibrant cultural life.

Score: +1

4.3 Relation with public sector organisations

Before 2012, NINASAM engaged with public sector organisations in Karnataka and collaborated with them to conduct seminars and workshops. These included the Yakshagana Academy (established by the Government of Karnataka), to organise a three-day seminar on Yakshagana at Heggodu in 2011, and the Folklore Department of the Karnataka University, Dharawada, to organise a three-day seminar

[43] Ghulam Sheikh is a poet-painter. He published and co-edited a journal of arts and ideas called Vrishchik between 1969 and 1973. He also taught fine art and history at the Faculty of Fine Arts, M.S. University, Baroda. *Refer,* http://vadehraart.com/artist/artistDetails/38

[44] Gopal Guru is a professor at Jawaharlal Nehru University. He has researched and written extensively on social movements and Indian political thought. He is the author of the book – Humiliation: Claims and Contexts. *Refer,* http://www.jnu.ac.in/Faculty/gguru/

[45] Sundar Sarukkai is the director of the Manipal Centre for Philosophy and Humanities (MCFPAH) at the Manipal University. He is trained in physics and philosophy. He is also the author of Translating the World: Science and Language, Philosophy of Symmetry and Indian Philosophy and Philosophy of Science. *Refer,* http://www.nias.res.in/aboutnias-people-faculty-past-sarukkai.php

[46] *Prajavani*, the oldest Kannada daily newspaper was founded in 1948 in Bangalore alongside sister publications – Deccan Herald, Sudha and Mayura. It's a family run newspaper and is under the ambit of The Printers (Mysore) Private Limited. *Refer,* http://www.indiapress.org/gen/news.php/Prajavani/

cum workshop on the women's performing traditions at Heggodu in 2012. NINASAM also had a series of exchanges with Rangayana, a state sponsored repertory company from Mysore.

Over the past two years, NINASAM's presence, directly or indirectly, has increased in public sector organisations and discourses. For instance: a) in the Central Government constituted Sangeet Natak Academy[47], there are more than five NINASAM alumni. This presence has also been registered in many other government committees such as Gubbi Veeranna Award[48] Selection Committee; b) government colleges and public universities have started deputing their staff and students to NINASAM activities such as the culture course and workshops organised in the NINASAM campus; c) grants given by the state government for the NINASAM Institute have also increased, albeit by a small amount. These grants are used to support the salaries of the staff. Government departments such as culture and Human Resource departments promote Tirugata within the state. In 2013, the Sangeet Natak Academy issued a grant to support and promote Tirugata.

Score: +1

4.4 Relation with private sector agencies

NINASAM, which saw no interactions with private sector before 2012, has witnessed an upsurge in the level of interest of the corporate world. The past two years saw eminent corporate personalities such as N.R. Narayana Murthy from Infosys, T.V. Mohandas Pai from Manipal Global Education, and Chandrashekhar Kakal from L&T Infotech attending the culture course and workshops. Presently this has not translated into actual funding or collaboration, although, NINASAM staffers think that it is a first step towards a more fruitful involvement of the private sector in NINASAM's activities and with its target groups which include the culturally sensitive community spread all over Karnataka, and even outside. Moreover, the staffers feel that with the recent changes in the CSR (Corporate Social Responsibility) rules[49], NINASAM is ready to play the conduit between an interested corporate sector and indigenous communities and the folk arts.

Apart from this, the following definite interactions have taken place over the past two years: a) with the Manipal Centre for Philosophy and Humanities (MCPAH), Manipal University to organise workshops on Philosophy and Natyashastra (sessions on poetry and dramatics); b) with the Roopashree Pre-University College[50], Kedalasara, Heggoddu to organise cultural programmes for its students in 2012 and 2013, whereby the students visit NINASAM campus and receive training in poetry, theatre and music from the organisation's faculty; c) with The Drama School, Mumbai to organise student performances in NINASAM campus in May, 2014; d) with Shri Dharmasthala Manjunatheshwara (SDM) College[51], Ujire in February, 2013 towards a theatre workshop organised by Tirugata for the students of the college.

Score: +1

[47] The Sangeet Natak Academy is an autonomous body with the Ministry of Culture. It was India's first national academy of dance, music and drama set up by the government of India in 1953. Its main purpose is the preservation of traditional art forms across India. *Refer,* http://www.sangeetnatak.gov.in/sna/sna1.htm

[48] The Gubbi Veeranna Award is bestowed by the Karnataka Government. Eminent theatre and film personality and founder of Rangayana, the late B V Karanth was a recipient of this prestigious award.

[49] The Companies Act 2013 as well as Companies (Corporate Social Responsibility Policy) Rules 2014 demands that every company, private or public, with a net worth of Rs 500 crore or a turnover of Rs 1,000 crore or net profit of Rs 5 crore, will be required to spend at least 2 per cent of its average net profit from preceding three financial years on corporate social responsibility. *Refer,* http://www.business-standard.com/article/companies/an-overview-of-csr-rules-under-companies-act-2013-114031000385_1.html

[50] http://www.vshsk.in/about

[51] http://www.sdmcujire.in/

4.5 Influence upon public policies, rules, regulations

NINASAM has been instrumental in inspiring the setting up of many theatre institutes in Karnataka. The NINASAM repertory, Tirugata, was the first theatre company in Karnataka which then influenced many people like B V Karanth[52] who started the first state-funded repertory in Mysore named Rangayana in 1989.

NINASAM, through the India Theatre Forum (ITF), has played a pivotal role in developing a social security module—named Kala Kalyana since the 2012 baseline. This project has been initiated to develop a participatory insurance scheme for artists and their dependents to provide security against ill health, accidents, infirmity, death and old age. NINASAM has developed the proposal and is working towards influencing the government to implement the scheme: petition started in October 2012 and recorded 1,000 supporters in July 2013[53].

Seven years ago, the Karnataka government introduced a new scheme of appointing drama teachers in over 50 or 60 schools in Karnataka. Most of the recruits for those posts were graduates from NINASAM. However, according to NINASAM staffers, this practice stopped after an initial few appointments. Towards this, the NINASAM Old Students' Association passed a resolution in 2013 to begin lobbying with the government to reinitiate the process and submitted a letter in this regard to the Minister of Education, Government of Karnataka; the result is awaited.

Score: 0

4.6 Influence upon private sector agencies' policies, rules, regulations

As compared to the baseline, where NINASAM staffers saw no role for them in influencing private sector policies, rules or regulations, positive changes have taken place in this context over the past two years. Between 2012 and 2014, NINASAM has influenced private institutes and groups to follow its curriculum model and come up with similar courses for their students.

For instance: a) NINASAM is working in collaboration with the Manipal University to start a Masters programme in Arts and Performance studies from the academic year 2015-16. The proposal involves NINASAM engagement with the planning of curriculum, teaching, and as a signatory in the final certification; b) NINASAM alumni have been appointed as teachers in private colleges which have started culture courses and/or have come up with (or are planning to come up with) exclusive dramatic drama departments or dramatic clubs. Two such colleges are the DVS College of Arts and Science54, Shivamogga, Karnataka and SDM College, Ujire c) the private theatre group, Ghooni Rangasanshodhna Kendra, has started its own school following the NINASAM model; d) new theatre groups have evolved such as Subbanarangsamuh and Voddoallaga; e) some private institutions conduct smaller courses influenced by NINASAM's culture course, such as a group in a village called Manchkeri.

It may be noted that instances listed c, d and e could not be verified independently by the evaluators.

Score: +1

5. Environment

The primary problem faced by NINASAM is the government's policy of disinvestment in the field of arts, culture and theatre in the past two years. This has led to a problem of mobilising basic funds.

[52] Babukodi Venkataramana Karanth (1929–2002) was a renowned film and theatre personality. He was director, actor and musician of modern Indian theatre both in Kannad as well as Hindi, and one of the pioneers of Kannada and Hindi new wave cinema. He was decorated with the Padmashri (1981), the Kalidas Samman, the Sangeet Natak Akademi Award (1976) and the Karnataka government's Gubbi Veeranna Award. In 1989, the Karnataka government invited him to set up a repertory in Mysore, which he named Rangayana and headed until 1995.

[53] http://theatreforum.in/m/itf-core/?tab=projects&object_id=3

[54] http://www.dvsdegreecollege.org/

The Institute employees do not get salaries on time because of the delay in state grants. Understandably, therefore, though the amount of grants provided by the state government to the NINASAM Institute has gone up slightly, this remains an insignificant relief for the staffers.

The Companies Act 2013 as well as Companies (Corporate Social Responsibility Policy) Rules 2014 provide an opportunity for organisations as Ninasam to obtain financial support. The Act and the Rules demand that every company, private or public, with a net worth of Rs 500 crore or a turnover of Rs 1,000 crore or net profit of Rs 5 crore, will be required to spend at least 2 per cent of its average net profit from preceding three financial years on corporate social responsibility[55].

Recognising the need for social security for theatre professionals, NINASAM has been working on influencing the government to implement a participatory insurance scheme for artists and their dependents, namely Kala Kalyana. The scheme aims to provide security against ill health, accidents, infirmity, death and old age. NINASAM has also been working on a proposal towards advocacy with the government on issues concerning filling of vacant positions—teaching as well as non-teaching—left by permanent employees in theatre and arts. The government at the moment allows such positions to be filled on an ad-hoc basis, thereby negatively impacting association and motivation of theatre professionals with the institute.

Another problem faced by the organisation is the arrival of satellite television and increasing affinity to such media attractions as television and mobiles. This easy availability has led to the audience shifting their focus from theatre to television. It has also meant growth of cultural insensitivity amongst the people, only to be further aggravated by affinity of the youth towards right wing politics and alienation from social problems. Trying to confront this challenge, NINASAM has tried to revitalise theatre culture through its activities like Oorumane Utsava featuring a medley of plays and other cultural activities.

NINASAM has always evolved contextually rather than focusing on one big vision which has led to a greater acceptance of difference and plurality.

To cope with the challenges posed from the outside world, NINASAM devised some small but significant activities over the past two years. For instance, in July 2012, NINASAM invited some critical thinkers and activists from various parts of Karnataka, and conducted a brainstorm session with them to ponder on the challenges being faced by contemporary arts organisations and the possible ways to cope with such problems.

Score: 0

[55] Refer, http://www.business-standard.com/article/companies/an-overview-of-csr-rules-under-companies-act-2013-114031000385_1.html

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Network of Northeast Tribes (NNET) end line report

MFS II country evaluations, Civil Society component

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This report describes the findings of the end line assessment of the Network of Northeast Tribes (NNET) in India that is a partner of Mensen met een Missie.

The evaluation was commissioned by NWO-WOTRO, the Netherlands Organisation for Scientific Research in the Netherlands and is part of the programmatic evaluation of the Co-Financing System - MFS II financed by the Dutch Government, whose overall aim is to strengthen civil society in the South as a building block for structural poverty reduction. Apart from assessing impact on MDGs, the evaluation also assesses the contribution of the Dutch Co-Funding Agencies to strengthen the capacities of their Southern Partners, as well as the contribution of these partners towards building a vibrant civil society arena.

This report assesses NNET's efforts in strengthening Civil Society in India based upon the CIVICUS analytical framework. It is a follow-up of a baseline study conducted in 2013. Key questions that are being answered comprise changes in the five CIVICUS dimensions to which CSA contributed; the nature of its contribution; the relevance of the contribution made and an identification of factors that explain CSA's role in civil society strengthening.

Keywords: Civil Society, CIVICUS, theory based evaluation, process-tracing

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List of abbreviations and acronyms

CBO	Community Based Organisation
CDC	Civic Driven Change
CDI	Wageningen UR Centre for Development Innovation
CDHR	Centre for Dalit Human Rights
CEC	Centre for Environment Concerns
CFAs	Co-Financing Agencies
CFO	Co-Financing Organisation
CS	Civil Society
CSC	Community Score Cards
Csc	Congregation of Holy Cross
CSO	Civil Society Organisation
DCNC	Development Coordination Network Committee
FCRA	Foreign Contribution Regulation Act
FIR	First Information Report
ICDS	Integrated Child Development Scheme
IDF	India Development Foundation
INC	Indian National Congress
JP	JalPrahari
LCHR	Legal Cell for Human Rights
MoFa	Ministry of Foreign Affairs
MFS	Dutch co-financing system
MSFS	Missionaries of St. Francis de Sales
MLA	Member of Legislative Assembly
MM	Mensen met een Missie
MNREGA	Mahatma Gandhi National Rural Employment Guarantee Act
MOBCs	Most Other Backward Castes
MoU	Memorandum of Understanding
NGO	Non-Governmental Organisation
NNET	Network of Northeast Tribes
NREGA	National Rural Employment Guarantee Act
NRHM	National Rural Health Mission
NSWC	National Social Watch Coalition
PAIRVI	Public Advocacy Initiatives for Rights and Values in India
PDS	Public Distribution System
PLP	Para Legal Person
PME	Planning Monitoring and Evaluation
PPP	Public Private Partnership
PRI	Panchayat Raj Institution
RTE	Right to Education
RTI	Right To Information (Act)
SDM	Sub Divisional Magistrate
SJ	Jesuit Fathers and Brothers, Society of Jesus
SPO	Southern Partner Organisation
SROI	Social Return on Investments
SSI	Semi-structured Interview
SWARAJ	Social Work Academy for Research and Action Jaipur
ToC	Theory of Change
UNCTAD	United Nations Conference on Trade and Development
VANI	Voluntary Action Network India
VDC	Village Development Committees
Wageningen UR	Wageningen University & Research centre

WNTA	Wada Na Todo Abhiyan
WSF	World Social Forum

1 Introduction

This report presents the civil society end line findings of the Network of Northeast Tribes (NNET) in India which is a partner of Mensen met een Missie under the Communities of Change alliance. It is a follow-up to the baseline assessment that was carried out in May 2013. According to the information provided during the baseline study NNET is working on the theme good governance and civil society building.

These findings are part of the overall evaluation of the joint MFS II evaluations to account for results of MFS II-funded or –co-funded development interventions implemented by Dutch CFAs and/or their Southern Partner Organisations (SPO) and to contribute to the improvement of future development interventions. The civil society evaluation uses the CIVICUS framework (see appendix 1) and seeks to answer the following questions:

- What are the changes in civil society in the 2012-2014 period, with particular focus on the relevant MDGs & themes in the selected country?
- To what degree are the changes identified attributable to the development interventions of the Southern partners of the MFS II consortia (i.e. measuring effectiveness)?
- What is the relevance of these changes?
- What factors explain the findings drawn from the questions above?

The CIVICUS framework that comprises five dimensions (civic engagement, level of organization, practice of values, perception of impact and contexts influencing agency by civil society in general) has been used to orient the evaluation methodology.

Changes in the civil society arena of the SPO
In the 2012 – 2014 period the two most important changes that took place in the civil society arena of the SPO are related to Civic Engagement and Perception of Impact. NNET was able to reach out to more Adivasis people, including more youth and women, as well as to more other marginalised groups although the involvement of these beneficiaries has not changed and remains very limited. Besides 3 members of NNET having won panchayat elections, NNET in Tripura has continued involving local political bodies. The number of applications filed by PLPs more than doubled between the period 2012-2013 and 2013-2014 and is to be interpreted as an increased satisfaction of the direct beneficiaries of NNET's programmes. PLPs are also involved in more complicated cases and have been able to trigger collective action which has been successful. Nevertheless, relationship and influence on public or private sector organisations have not improved and a change like ensuring ST status to Adivasis in Assam have not been achieved yet.

These findings were obtained through an analysis of documents, a workshop and follow-up interviews with the SPO, and interviews with external resources persons working in civil society organisations that receive support from the SPO; other civil society organisations with whom the SPO is collaborating; public or private sector agents and; external resource persons capable of overlooking the MDG or theme on which the SPO is concentrating.

Contribution analysis
Based upon an analysis of the projects and programmes financed by the Dutch CFAs a selection was made of SPOs to be included in an in-depth process tracing trajectory and those to be included for a quick contribution assessment. NNET was amongst those SPOs selected for in-depth-process tracing.

The outcome that tribal communities in Assam and Tripura in the villages where PLPs are active avail of their legal rights and entitlements can be explained by the following:
Factors valid for all villages in the state consist of; the above mentioned laws that create a conducive environment for both Adivasis and for NNET; improved accessibility of Tripura in terms of roads and mass media, which increases people's awareness about their rights and duties; easier access to education, and local governments showing commitment. Al these factors are *necessary but not sufficient (conditions)*to ensure Adivasi households their access to the schemes and welfare programmes.

Several actors, including NNET, support Adivasi to avail of their rights, whilst using different strategies: the PLPs of NNET file applications or if necessary RTI applications, other NGOs work as pressure groups or use the same approach as NNET does. All these interventions are sufficient on their own to explain the outcome (after the above mentioned conditions have been met). It is to be observed that the effectiveness of the NNET programme largely depend upon the capacities and the motivation of PLPs to support Adivasi communities.

Relevance
Interviews with staff of NNET, with external resource person, with the liaison officer of Mensen met een Missie (MM), as well as contextual information helped to assess the relevance of NNET's interventions in terms of; its Theory of Change (ToC) for Civil Society (SC) as designed during the baseline study; the context in which NNET is operating; the CS policies of MM.

With regards to the baseline ToC, the interventions and outcomes achieved are relevant because most of the interventions align with the condition 'legal awareness' . They have also partly contributed to the conditions 'gender equality', 'economic equality' and 'socio-cultural-political equality' but unfortunately, they have not been to achieve successes to align under the condition 'favourable policies'

With regards to the context in which NNET is operating, its interventions and outcomes achieved are relevant because they benefited the women and the Adivasi community, considered the poorest of the poor.

With regards to the CS policies of MM, NNET's interventions and outcomes are relevant because they align with MM's India overall strategy which is about strengthening the Adivasi group so that they are aware of their rights. Nevertheless, MM would have liked NNET to go beyond helping the community reaching programmes and schemes towards handling atrocities.

Explaining factors
The information related to factors that explain the above findings was collected at the same time as the data were gathered for the previous questions. The evaluation team looked at internal factors within NNET, the external context in which it operates and the relations between NNET and MM.
Internal factors within the SPO that explain the findings are: constant change in leadership, poor internal cohesion, disengagement between the two components of the programmes and possibly tensions between the partners and the resource team (LCHR).
External factors that explain the findings in both states are poor infrastructure, connectivity and lack of adequate modes of transportation. Specific to Assam, flooding and riots have interfered with NNET's work. In Tripura, the cadre-based party makes functioning difficult for organisations like NNET to work on rights-based issues and holding the government accountable.
Factors that explain the findings that are related to the relation between NNET and MM are the long relationship between the two organisations and investment in building the capacity of NNET which unfortunately but consciously is ending with MFS II.

The following chapter briefly describes the political context, the civil society context and the relevant background with regards to the MDG/theme NNET is working on. Chapter three provides background information on NNET, the relation of its MFS II interventions with the CIVICUS framework and specific information on the contract with MM. An evaluation methodology has been developed for the evaluation of the Civil Society component which can be found in the appendix to the country report; however, deviations from this methodology, the choices made with regards to the selection of the outcomes for contribution analysis, as well as difficulties encountered during data collection are to be found in chapter 4. The answers to each of the evaluation questions are being presented in chapter 5, followed by a discussion on the general project design in relation to CS development; an assessment of what elements of the project design may possibly work in other contexts or be implemented by other organisations in chapter 6. Conclusions are presented in chapter 7.

2 Context

This paragraph briefly describes the context NNET is working in. A description of the Civil Society Context assessed according to the CIVICUS framework is provided in appendix 3 of the country report for Civil Society.

2.1 Political context

Assam

Assam is a north-eastern Indian state that has protested long for being deprived of central government attention. Poverty has risen in most of the north-eastern part of India, including Assam which now counts 11.6 million persons below the poverty line[1].

The 2014 general elections unravelled the most important political change in Assam since the baseline. The Indian National Congress, which dominated the state's politics for most of its political history, was defeated in the state and the centre, the Bharatiya Janata Party (BJP) came to power in both.

The Assam Movement began with the United Liberation Front of Assam (ULFA) in 1979, because the northeast felt disconnected with mainstream India. The All Assam Students Union (AASU) raised the foreigners issue (Indian Bengalis and Bangladeshi immigrants), demanding their deportation. This anti-alien feeling shaped Assam's politics since, to be resolved on paper with the Assam Accord[2] in 1985.Agitations, however, turned militant. The State imposed the Armed Forces Special Powers Act[3]in 1990, unleashing human rights violations by the army.

The state has witnessed a number of ethnic clashes and riots. In July 2012, wide-scale violence took place targeting the Bengali immigrants. Riots broke out between the immigrants and the indigenous Bodo community. It pushed 400,000 people into relief camps and resulted in the death of 77 people. Since 2001, 2400 persons have been killed (2095 civilians and 306 security personnel) and over 5500 injured due to militancy related violence in Assam.[4] In May 2014, 31 people were killed in another ethnic violence against "outsiders".[5]

Tripura:

Tripura, another north-eastern state, has 19 tribal communities. Tripuri is the largest tribe, followed by the Reangs. The government has termed them as "primitive tribes"[6]. According to the 2011 census 31.8 per cent of Tripura's population are tribal groups and 69 per cent ethnic Bengalis.

Tripura's political context has not undergone dramatic changes since the baseline. The dominance of the Communist Party of India-Marxist (CPI-M) continues since 1993. In the state Assembly elections of 2013, CPI-M won 49 seats of 60 seats. The vote was for a status quo as Chief Minister Manik Sarkar's term since 1998 has seen peace and development.

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[1] The Planning Commissions Tendulkar Report of 2011,

[2] Assam Accord was a Memorandum of Settlement (MoS) signed in 1985 by the government of India and the representative of Assam movement. *Refer,*http://indianexpress.com/article/india/india-others/assam-accord-bjp-state-unit-chief-disowns-subramaniam-swamys-comments/

[3] AFSPA (Armed Forces Special Powers Act) is a 1958 act of Parliament imposed in the states of Manipur, Assam and Jammu & Kashmir which has witnessed many insurgent protests. On account of the many powers it gives to the armed forces there have been many human rights violations committed by them. *Refer,* http://www.hrdc.net/sahrdc/resources/armed_forces.htm

[4] According to the State Forest and Panchayat Minister Rockybul Hussain.

[5] Bodoland militants who have been demanding greater autonomy for themselves are suspected of the attack.

[6] Due to their economic dependence on hunting, shifting cultivation and poor literacy

The non-tribal ethnic Bengalis who have benefitted from CPI-M's rule is their major support base. The Indigenous Nationalist Party of Twipra (INPT) and Nationalist Socialist Party of Twipra are tribal parties opposed to Bengali domination.

The "the insurgency-politics nexus and the external support mechanism of insurgency" has shaped the politics of Tripura. The nexus between political parties and insurgent groups like the National Liberation Front of Tripura (NLFT) and All Tripura Tiger Force (ATTF) is clear when violence is often used as a method to change poll dynamics. Insurgent groups in neighbouring states of Mizoram and Manipur have fuelled the movement of arms and ammunitions in the region. The porous border with Bangladesh that many north-eastern states share is often held responsible for weaponry in the region; many also believe that Bangladesh serves as training ground for insurgency.

2.2 Civil Society context issues with regards to the theme good governance and civil society building

Assam:

Assam faces the same civil society issues as it did during the baseline: communal riots, Adivasi rights, and floods.

There are 23 Scheduled Tribes (ST) in Assam; Adivasis, also called "Tea Tribes" are a sub-group among them and considered outsiders by Assam's indigenous tribes as their ancestors were brought from the Chotanagpur region to work in the state's tea gardens. They mainly inhabit the state's Kokrajhar, Nagaon, Darrang, Tinsukia, Jorhat, Dibrugarh, North Cachar and KarbiAnglong regions. Adivasis are denied the ST statusbecause "...tribal identity is forever linked to her or his place of origin". The Adivasishave been fighting for their status because they suffer abject poverty, illiteracy and political disenfranchisement. Indigenous tribes like Boros and Bodos have threatened the government with dire consequences if Adivasis are given the same ST status as them.

In 2012 Assam had witnessed massive riots between the Bengali-speaking Muslims and the indigenous Bodos. 2014 also witnessed violence when Naga insurgents attacked villages killing 15 people in August and made 10,000 villagers internal refugees. Student groups blocked the highway leading to Nagaland in response. The police used batons and tear gas to clear the highway, which resulted in the death of two protestors.

The 2013 floods also exacerbate the civil society situation in Assam, destroying agricultural harvests, infrastructure and livelihoods: 11 out 27 districts were inundated at that time. The September 2014 flash floods again caused landslides in many areas.

Tripura:

Tripura has a primarily agrarian economy, is geographically isolated, has poor infrastructure and high-incidences of poverty. Despite its poor economic growth leading to rising poverty, the state has an encouraging Human Development Index (HDI): according to the 2001 and 2011 censuses the ratio of women per 1000 men has increased from 948 to 961 respectively, the literacy rate has risen from 73.19 per cent to 87.75 per cent.

Civil society continues to cope with the effects of poor development whilst the cadre-based CPI (M) party that has ruled the state since 1993 still exercises strong control over the local politics and government machineries.

Insurgency has declined over the years, although political parties continue to use it as an election issue to garner votes. In the last decade, the government has attacked insurgency and pushed for development. The Tripura Tribal Areas Autonomous District Council has been created to design development programmes for the state's tribal population. More than 95 per cent of population now has access to drinking water, and 80 per cent have electricity. Tripura is considered one of the best implementers of the employment guarantee scheme MNREGA.

3 Description of the SPO and its contribution to civil society/policy changes

3.1 Background of the SPO

The Network of North East Tribes (NNET) was founded in 2007 with a concerted focus on the Tribal community in the North East of India. Various organisations involved with the cause of the Adivasis and tribes of Assam, Tripura and Manipur[7] decided to work together on these complex issues.

At the moment of the endline, NNET is formed of 10 civil society organizations based in Assam or Tripura. These civil society organisations are mostly religious organisations/branches. Since the baseline, two partners have been replaced in Assam but the organisations in Tripura have remained the same. At the time of the end-line, NNET Assam is made of: SMI sisters (at Baganpara), Fatima sisters (at Kumarikatta) - replacing GanaChetanaSamaj and Human Empowerment and Development Centre (HEDC) at Mazbath, Sisters of our Lady of Fatima, Auxilium convent HEDC (at Tinsukia) and FAsCE India at Chapar in Bongaigaon District.

In Tripura, the partners are: Deepika Social Service Centre/ Bethany Sisters, PabitraAtma Society (both in Moharpara and in Gandacherra),Association for Social and Human Advancement (ASHA) - social department of the Society of the fathers of Holy Cross and St. Joseph of Annecy sisters in Kamranga.

The Network started with the women literacy programme in Assam and Tripura, and after much consultation it was decided to focus on understanding the rights of the Adivasis and tribes, safeguarding their rights and bringing justice. In 2010-2011, the Network with the help of Legal Cell for Human Rights (LCHR) implemented a pilot on capacity building and legal assistance for Adivasis in the areas where the co-partners are active.

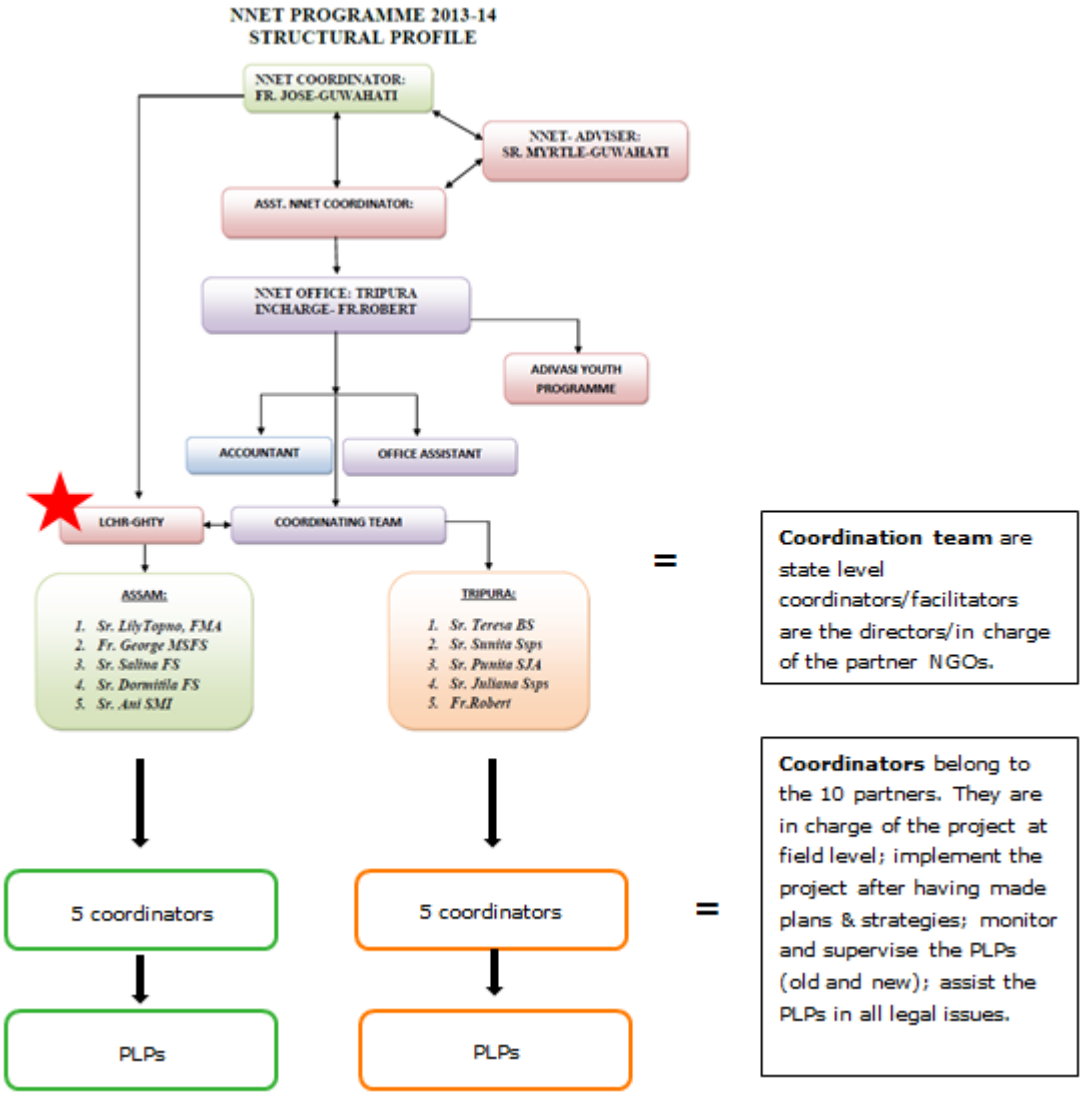
NNET is a network of a number of organisations with one vision 'to work as a catalyst in promoting Right Based Development to the Adivasis and indigenous tribal communities'.

NNET adopts a number of strategies that have been developed over time:

- Educational Empowerment- Adult Education and Educational Sponsorship;
- Legal Awareness, education and accompaniment to achieve the rights;
- Training of Para Legal activists in rural areas;
- Empower tribal leaders to analyse the social situations and understand the partisan system that denies them their rights;
- Generation of confidence and opportunities for skill development for youth and women.

[7] At the start of the project Manipur was also included, but due to small results and an instable area, it was decided to leave this state out of the project after the first year.

As of the 2013-2014 project is concerned, the structure is as follow[8]:



★ The resource team of the project is from LCHR-Legal cell for Human Rights, Guwahati. It has a distinct role in Assam and Tripura. At Tripura it serves only as a resource team responsible to provide legal training. However, in Assam it has accepted the responsibility of organizing, and conducting of the trainings as well as, implementing and following up of the legal components of the project at grass root level. It will also distribute the honorarium to the coordinators and PLPs and submit quarterly/ half yearly and annual reports to the NNET coordinator.

[8] This representation is based on the project proposal for the 2013-2014 period. Only some of the roles and responsibilities are mentioned. For all information please look at the project proposal.

3.2 MFS II interventions related to Civil Society

The 'Capacity building of tribal leaders through para legal & skill trainings' project is financed by MFS II and its goal is to build the legal capacities of Adivasis and other marginalized communities in Tripura and Assam as a means to empower them to claim their constitutional and legal rights. The project follows a rights based approach whose main strategy is to train local leaders (Para Legal Personnel) in new villages on a yearly basis who are in charge of addressing legal issues in their village. A recently added strategy is to organize women and youth groups in respective areas so that they can serve as pressure groups.

The project objectives are as follow:

1. To disseminate legal knowledge to the grass root level communities and individuals.
2. To train local leaders from villages in legal knowledge and advocacy skills
3. To empower local leaders to take up legal issues to fight for justice and protect human rights
4. To train and capacitate Para–Legal Personnel with legal knowledge, information and legal procedure.
5. To empower women and youth to organize themselves as pressure groups to take up issues of their community and also enhance their livelihood opportunities.
6. To build up legal capacity of voluntary organizations and MM partners

The first four objectives are closely linked to the CIVICUS dimensions 'civic engagement', whereas the last two objectives are associated with 'level of organisation'.

3.3 Basic information

Table 1

SPO basic information.

Heading	Heading	Heading	Heading	Heading
Name of SPO	Network of Northeast Tribes (NNET)			
Consortium and CFA	Mensen met een Missie as part of the Communities of Change Alliance (Cordaid is the leader of the Alliance)			
Project name	capacity building of tribal leaders through para legal & skill trainings			
MDG/theme on which the CS evaluation focusses	Good governance and civil society building			
Start date of cooperation between the CFA and the SPO	2007 with a literacy programme for women			
Contracts signed in the MFS II period:	Period	# months	Total budget[9]	Estimation of % for Civil Society
Ref 317.2995	01.04.2011 - 31.03.2012	12	Rs 4,887,245(audited statement) / € 76,000 (contract)	46%
Ref 317 3022	April 1st 2012 – March 31st 2013	12	€ 77,682 1st instalment €30,000 / Rs 2,111,509 (audited statement) 2nd instalment €? / Rs2,634,779 (audited statement)	55%
Ref 317.3047	April1st2013- March 31st2014	12	1st instalment €40,000(contract) 2nd instalment €40,000 (contract) Total €80,000 / Rs 6,438,090 (audited statement)	37%

Sources: 317.2995 audit Report 2011-2012; NNET Budget [year 2011-2012]; 317.3022 Audited statement [year 2012-2013]; 317.3047 Contract 2013-2014 1st instalment; 317.3047 Contract 2013-2014 2nd instalment; Audit 2013-2014 Budget.

[9] The amounts mentioned deviate from the amounts in the contract due to exchange rate losses. The exchange rates used are the averages for 2011 (1:66) and for 2012 (1:68)

4 Data collection and analytical approach

4.1 Adjustments made in the methodology of the evaluation

The evaluators had to adapt the field work such that it accommodated the following:

1. Home to tension and strife between different ethnicities, Assam went through an especially turbulent phase in 2012 with communal violence in two districts of Assam adjoining the Bangladesh border; displacing 400,000 people and with 73 dying in clashes by August 2012[10]. In consequence the MFS II baseline workshops which were supposed to take place in the second half of 2012 had to be postponed till May 2013. This, in turn, meant that the evaluators needed to push NNET's end line evaluation as far as possible to maximise the time gap between NNET's baseline and end line; the end line was finally held between 29 October to 6 November 2014, ensuring a one and a half year space between the two points of assessments as against two years for the other Indian SPOs being evaluated.
2. NNET (Network of North Eastern Tribes) is a network of 10 organisations working in Assam and Tripura. So, unlike for other SPOs being assessed, two evaluation workshops had to be conducted for NNET, one in Guwahati with the five Assam-based partners and the other in Agartala with the remaining five Tripura partners—this for both the baseline and the end line evaluations. There were 14 and 13 respondents for the Guwahati and Agartala workshops respectively; these included partners, executive leadership, coordinators, and personnel from the legal resource centre employed for the intervention (in the Guwahati workshop).

[10] The North Eastern part of India has been the site of unusual violence and natural calamities recently. In 2012, the Brahmaputra River basin flooded displacing 700000 people in four districts of Assam. About 70000 people were living in government camps and rehabilitation centres till July 2012. Before the floods could recede, communal violence started in two districts of Assam, adjoining the Bangladesh border. By August 2012, the national media had reported 400,000 displaced and 73 dead due to this violence,15 among the dead killed in relief camps, seven of them children, and four in police firing. By the Assam Chief Minister Tarun Gogoi's own admission in a statement released by him beginning August 2012, 65 companies of para-military forces were deployed in the affected districts and 95 police pickets set up in all the sensitive areas of the districts, with more pickets to be set up. The North Eastern part of India consists of seven states that are inhabited by multi ethnic and multi religious groups. Here tribalism and contesting territorial claims coexist with fear of losing identity and loss of land. The bone of contention is that under the Indian Constitution, Schedule V, people of these regions are entitled to special privileges regarding protecting their culture, land, and heritage. Illegal migration from Bangladesh and other parts of the country, like the 'Tea Tribes' brought in by the British, has resulted in the Bodos (an ethnic group) becoming a minority in their territory and losing out their land and resources to the "outsiders". The ongoing violence in Assam between the Bodos and Muslims has exposed the fault lines of the fragile social fabric of the Indian state and its policy of secular democracy. Communities in the Northeast live on the edge because of a number of contesting territorial claims. The states of Assam, Meghalaya, and West Bengal share a porous border with Bangladesh and migration to adjoining districts by Bangladeshis has given birth to conflict over identity and land. Small skirmishes by individuals from different communities erupt into major clashes. For example, the clashes between New Year revelers belonging to the Garos and Rabhas on the night of December 31, 2010, led to a full-scale ethnic conflict and displacement of about 50,000 Garos and Rabhas along the Assam-Meghalaya border. In the last one decade, Karbi Anglong, NC Hills and the Bodo Tribal Autonomous region have seen riots after riots but none of these was given a communal colour. There have been at least five major riots in Assam since 2005, including two between the Bodos and Muslims in 2008 and the recent one, but the fallout of these riots (except the latest) has never been felt outside the affected districts, not even in other districts of Assam. But in the riots last year, over 50000 people belonging to these regions fled from the southern states of India, after receiving anonymous messages threatening retaliatory vengeance for what has been done to the Muslims in Assam. The All Assam Students' Union (Aasu) has been raising the issue of illegal immigration since the 1970s. The United Liberation Front of Assam (Ulfa) was a product of the anti-foreigner agitation of the time and on that issue the Aasu leaders went on to occupy the state government seat straight from the university campuses, the first time anywhere in the world. The Bodoland movement was not started against illegal immigrants. It started against the failure of the Assamese leadership to address the plight of the Bodos. The founder of the All Bodo Students' Union (Absu), late Upendranath Brahma, was a leader of Aasu, but founded Absu after his colleagues in Aasu failed to address the demands of the Bodos for an autonomous region status in the state of Assam. The current situation in these states remain volatile and despite resource support. Political parties dare not resolve the issue fearing loss of votes and repercussions across India.

3. A decision was taken against filing separate data collection formats for the post-plenary interviews. Indeed, while macro-level information and perspective—in the case of both states—were concentrated with the executive leadership, others present could at best supplement these with field level anecdotes.
4. Information from data collection was compiled to make a combined MoC for both states, given that NNET's MFS II-funded interventions are not designed differently for Assam and Tripura.

4.2 Difficulties encountered during data collection

NNET's assessment presented the evaluators with the following challenges:

1. Mother tongue, for most participants, in Assam was Assamese and Kokborok in Tripura. For the workshop, however, the Assam participants spoke in Hindi and English to the extent they could manage. The participants in Tripura spoke largely in Bangla, one of the state's official languages. Fluent in English, Hindi and Bangla, the IDF facilitators asked the Reverends present to help with translation whenever necessary. Some of the nuances might have been lost in translation;
2. All ten partners in NNET are faith-based NGOs affiliated to different Catholic congregations, and are represented by nuns and priests temporarily deputed to service NNET by their respective congregations. Therefore, many who had represented their organisations during the baseline had been replaced by their newer counterparts at the time of the end line;
3. The nature of NNET's intervention is such that community youth are recruited as Para Legal Personnel (PLPs) for a term of one year. So, PLPs who were interviewed for the baseline had ceased to be a part of the project by the end line. Also, and understandably so, the current batch of PLPs was too new to have information or insight on the changes in the intervention with the baseline period (2012) as a reference point. The evaluators, thus, conducted interviews with former PLPs who were still pursuing the NNET's mandate in their villages in their independent capacity; these interviews were conducted over and above those with the presently deputed PLPs;
4. Sourcing documentation was a challenge on two counts: in the first place NNET was initially using the Assam-based NGO LCHR (Legal Cell for Human Rights) as its resource centre for all PLP related work, including training, in both states. In 2013, Tripura started managing its own planning and activities around PLPs. Until so far LCHR continues to be involved in Assam. Documentation on PLPs, therefore, had to be collected from two sources, with reporting formats that were often different. In the second place the women and youth capacity building component is being managed by nuns who are representatives of NNET's partner organisations. They are neither trained, nor temperamentally inclined to keep rigorous records of their activities in written. The coordinators in both Assam and Tripura therefore regretted the lack of comprehensive documentation for this component of the programme;
5. No other NGOs work on legal issues with Adivasis and tribals in Assam and Tripura. In Tripura, in fact, no other NGOs work in the remote regions that NNET works in. And NNET does not really interact with many other NGOs. These factors made identifying rival pathways particularly difficult; those that were finally offered were weak;
6. Not many among the external interviewees were aware of NNET as an entity. They were more familiar with the names of the individual partners that collaborate in NNET. Most external interviewees knew of the Legal Cell for Human Rights (LCHR), the Assam-based legal resource centre for NNET;
7. Most organisations that the NNET partners and personnel named as being occasional contacts/part contributors to NNET's claimed outcomes were impossible to reach for interviews. None of these organisations had registered landlines, email ids, or websites. Their mobile phone numbers (provided by NNET) were mostly out of coverage range, on the rare occasion that the evaluators got through the calls these were not received. The evaluators had to give up on pursuing some of these organisations after numerous failed attempts, including futile follow-up requests to NNET to connect the concerned organisations with the evaluators.

4.3 Identification of two outcomes for in-depth process tracing

Based on the percentage of MFS II funding allocated for civil society related activities it was decided to select NNET for Process Tracing.

At the time of preparing the end-line assessment in September 2014 and therefore reviewing the project documents, few new documents had been made available for analysis, as compared with the ones of the baseline.

Based on these, the following potential outcomes had been selected to assess the extent to which more people and more diverse people engage in NNET's activities and outcomes: the number of persons that received assistance from PLPs so that they can access government schemes and programmes; the extent to which NNET has been able to recruit more female PLPs and; the extent to which the voluntary character of the PLPs ensures the long term support of PLPs to those that ask for legal support.

With regards to strengthening of organisations supported by NNET, the evaluators thought of assessing whether the youth and women pressure groups mentioned in the progress reports were operational and performing. A second option was to look at the organisational capacity of NNET itself and how it engages in the wider CS arena.

During field work it became clear that the youth and pressure groups had only been recently created and that no outcomes had been clearly reported yet. The organisational capacity of NNET itself was not assessed either because no concrete plan existed for strengthening NNET, making it irrelevant to assess contribution according to the evaluation team. Results

4.4 Results obtained in relation to intervention logic

As explained under paragraph 4.2, the quality of the reports provided as well as the fact that most of these documents are Assam or Tripura specific made it challenging to draw a comprehensive overview of the results achieved. Moreover the reports do not reflect on results achieved, which is also complicated because those described in the 2013-2014 proposal are not specific enough. These shortcomings have been acknowledged by MM who provided a training on results based management in the end of 2013 which unfortunately and to the knowledge of the evaluators has not been translated into actions.

In general, NNET has implemented the interventions planned for the Para Legal Personnel (PLP): In the three year programme, 90 villages have been targeted and in each village a PLP was trained; the selection of the villages was based upon a needs assessment and social mapping and the PLP selection included a leadership assessment and orientation programme, a consultation programme, 3 trainings in each state, guided field work, a follow-up programme and an evaluation. Most PLP related activities are well planned in specific months. Only the follow-up meetings have not taken place every 12 months: in Tripura it seems to take place every October but not information is available for 2014[11] but in Assam it took place in February 2013 and was expected to take place in December 2014. The interactions between old and new PLPs do not seem to be planned structurally either.

With regards the youth and women programme and the creation of pressure groups, the strategy is different in each state with the team in Assam having quarterly meetings whereas the team in Tripura having monthly meetings for example. Some more activities have taken place but how they fit together is unclear so as the broader strategy sustaining this component.[12]

[11] Feed-back from NNET indicated that the follow up program for Tripura was conducted on Feb 3rd-6th 2015.

[12] Feed-back from NNET indicated the following "Partners meet quarterly in Assam due to distance. Tripura they plan their activities with coordinators every month. Village visits are planned accordingly."[13] Feed-back from NNET indicated the

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5.2 Changes in civil society in the 2012-2014 period

5.2.1 Civic engagement

Civic engagement describes the formal and informal activities and participation undertaken by individuals to advance shared interests at different levels. Participation within civil society is multi-faceted and encompasses socially-based and politically-based forms of engagement.

Since the baseline assessment in 2013, NNET has made slight improvements in advancing the interests of Adivasis and other marginalised groups in Assam and Tripura.

Both in Assam and Tripura 70 villages now have their Para Legal Person (PLP), which is 40 more villages reached out to in each state than during the baseline. The number of female PLPs increased from 1 person in 2011 to four persons in each state in 2014. The PLPs trained in the period 2013-2014 have been able to file more applications (including RTIs) than in the period before: 1327 applications were filed in the 2012-13 period and 3172 applications were filed in the 2013-14 period benefiting 9734 people directly and 7337 people indirectly. Generally speaking PLPs are more motivated and capable to work on their own, which also encourages more people to come for support. However challenges that hinder PLP's capacity to work appropriately consist of political inference in their work; PLP's being recruited lacking the education level needed to be able to communicate and report (16

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following "Partners meet quarterly in Assam due to distance. Tripura they plan their activities with coordinators every month. Village visits are planned accordingly."[14] source: Evaluation Report 2013-2014 NNET Project – Assam Unit

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PLPs recruited in a batch of 20); PLPs not taking their work seriously; ethnic violence keeping people away from awareness raising activities and; non-cooperation of village headmen and villagers. On the other hand, better education and more serious PLPs have helped to create legal awareness but are more likely to leave NNET for better paying jobs.

Since the baseline, NNET has put more emphasis on working on/with youth and women: 4 women groups were formed in each state and 4 youth groups were formed in Assam. These should play the role of pressure groups supporting PLP work but the strategy behind the component of the programme keeps on being unclear for MM. Five youth clubs have been registered in Tripura and specific activities for youth were implemented, for example a skill training programme that enabled boys and girls to start their own business or find work. Since the baseline, NNET has become more aware that other marginalised groups than Adivasi also needtheir attention; NNET in both states is reaching out to many communities other than the Adivasi: Nepalis, Boros, Assamese and other linguistic groups are also attending NNET meetings. Target group' involvement in NNET's programme is rather limited and did not change since the baseline: PLPs are only involved in the yearly evaluation of the programme: The executive leadership considers that target groups don't have the knowledge to plan for the legal education programme. Involvement of youth and women groups in decision making over the programme is said to have increased because they can voice their concerns and needs, however no evidence was found. Since the baseline it was acknowledged that the population is participating more in NNET activities.

NNET continues to invite panchayat members, ward members and village council members (Tripura) to participate in legal awareness programmes organised for the target groups. Three members of NNET have contested and won panchayat elections and some of them had difficulties in merging their PLP work to advance the causes of the marginalised groups with their new responsibilities. However after the initiation period in their new functions they identified ways to do so.

Score baseline 2013 on an absolute scale from 0-3:	**2**
Score end line 2014, relative change on a scale of -2 → +2	**+1**

5.2.2 Level of organization

This dimension assesses the organisational development, complexity and sophistication of civil society, by looking at the relationships among the actors within the civil society arena.

In general, NNET has shown almost no improvement in this dimension.

Since the baseline, NNET has intensified the relations between partners operating in each state although it showed to be difficult: "We learned that 'Networking' certainly is harder than individually operating."[14]In Assam joint trainings, followed by telephone calls and e-mailing are used for communication, and in Tripura the monthly prayer meeting is the time to come together. Relations between the partners between the two states have again proven to be very challenging and they only meet once a year as a team. The end line assessment showed again the sharp differences in network(ing) within NNET with the Tripura team being isolated whereas the Assam team having more contact with other organisations. NNET partners in Assam have engaged with 7 new organisations since the baseline(among which NEDSSS, partner of Cordaid under the Communities of Change alliance) and continues working with LCHR) and with 4 other organisations, based upon needs. NNET in Tripura has discontinued LCHR services since March 2013 and has only worked with one other organisation since the baseline. Partners in Tripura repeated the fact that hardly any other organisations work in the far-flung unconnected areas where they are working in. The PLPs have been mentioned as the ones being able to defend the best the interest of the marginalised groups. NNET has not diversified its financial resource base and Mensen met een Missie still is the only funder of the programme, apart from some contributions made by villagers.

Score baseline 2013 on an absolute scale from 0-3:	**1**
Score end line 2014, relative change on a scale of -2 → +2	**0**

[14] source: Evaluation Report 2013-2014 NNET Project – Assam Unit

5.2.3 Practice of Values

Practice of Values refers to the internal practice of values within the civil society arena. Important values that CIVICUS looks at such as transparency, democratic decision making, taking into account diversity that are deemed crucial to gauge not only progressiveness but also the extent to which civil society's practices are coherent with their ideals.

No changes occurred with regards to practice of values since the baseline: information is only passed and shared between the partners and the executive leadership on finances and project progress and not to the programme coordinators and the PLPs. So it can be concluded that no such information is being passed to NNET's target groups[15]. NNET is a network of partner organisations with partners having an equal say over issues pertaining to its functioning but it does not have a board, or any other form of permanent structure. External auditing keeps on taking place as requested by the government.

Score baseline 2013 on an absolute scale from 0-3:	**1**
Score end line 2014, relative change on a scale of -2 → +2	**0**

5.2.4 Perception of Impact

Perception of Impact assesses the perceived impact of civil society actors on politics and society as a whole as the consequences of collective action. In this, the perception of both civil society actors (internal) as actors outside civil society (outsiders) is taken into account. Specific sub dimensions for this evaluation are the extent to which the SPO has contributed to engage more people in social or political activities, has contributed to strengthening CSOs and their networks, has influenced public and private sector policies.

In general, the dimension on "perception of impact" shows no to slight improvements since the baseline.

The key concerns of NNET's target groups have remained the same: inability of the tribal communities to avail their rights and legal entitlements among others the right to education, right to information, land rights, and the right to livelihood as well as to access government schemes and programmes such as MGNREGA, Indira AwasYojana (IAY), Public Distribution System (PDS),Midday Meal Scheme, widow and old age pensions, student scholarships etc. The number of applications filed more than doubled between the period 2012-2013 and 2013-2014 is to be interpreted as an increased satisfaction of the direct beneficiaries of NNET's programmes. Apart from this PLPs are involved in more complicated cases (like kidnapping, rape, out of court settlement) and approached by non-project villages and non-Adivasi villagers for their support. NNET has triggered communities to organise themselves to take collective action like the women groups in the Kathalcherra centre of Dhalai district, which succeeded in getting liquor shops closed in their respective villages in October 2013.These communities increasingly dare to talk to other communities and to government officials and children parliaments become more performing, all indications that changes are happening at the level of the society as a whole.

PLPs, together with NNET coordinators, have also dared to put to light profound society problems such as human trafficking, school drop-outs or corruption in the tea gardens. These successes may have been due to the increased performance of the PLPs but their sustainability is questioned; political interference remains one of the obstacles to lasting changes. In short, an external resource person said that NNET's work has helped people develop awareness about rights, legalities, government schemes with respect to education, health, nutrition etc, as also increased the confidence and courage of communities to fight for their rights.

[15] Feed-back provided by NNET in February 2015 pointed out at the language barrier, documents being in English but actors not being fluent in that language. "You may take into account that we share the whole project with all concerned. Unfortunately many of them (Coordinators and PLPs) are not fluent in English to read up and follow on their own, nor are they capable of participating in the planning of the research designs. That makes it impossible to be totally transparent. All the communication of the project is done in English. At the project orientation time and training the whole concept is explained and the budget shared. More participation would be impractical due to the above mentioned reasons."

Since the baseline, there have not been any outstanding developments in regards to NNET's relationship with public or private sector organisations. In both state NNET continues to face resistance from the panchayats and the government in terms of the use of public funds for what they are meant for. By claiming that they are working for people's welfare, NNET manages to get more support. NNET until so far lobbied in vain to ensure ST (Scheduled Tribe) status for the Adivasi community which is a politically charged issue in the state of Assam. The Public Interest Litigation (PIL) filed at the time of the baseline to stop child labour and trafficking in Assam has been combined with two others by the Chief Justice of India for further process. NNET's work on the PDS system has continued as before. Although NNET mentioned to have been involved in influencing the policies on minimum wages in tea gardens, all other interviewees stated that NNET's role on that issue of influencing private companies has been very limited. PLPs on their part have been active in solving problems between workers and companies like in Simna, near Agartala, where the manager of an electric company was forced to pay adequate wages to his workers.

Score baseline 2013 on an absolute scale from 0-3:	**2**
Score end line 2014, relative change on a scale of -2 → +2	**+1**

5.2.5 Civil Society Environment

The social, political and economic environment in which civil society operates affects its room for manoeuvre. The civil society context has been described in chapter 3. In this section we describe how NNET is coping with that context.

The factors affecting negatively NNET's work have remained the same since the baseline: a) huge distances and poor connectivity between places, b) political tension resulting in regular shutdowns and road blocks, c) ethnic turmoil, d) trafficking of women and children, and e) suspicions over NNET as a faith-based organisation trying to convert people.

An additional issue affecting both States is the change in FCRA (Foreign Contribution Regulation Act) Rules which do not allow the transfer of funds from one state to another. In the first year of the project, the funds would be put in LCHR's FCRA account and then transferred to the partners in Tripura. To overcome this problem, partners in Assam receive cash after it has been withdraw in Tripura. Specific to Assam, floods that occurred in October 2014 and inter-communities violence in NNET's target area of Kumarikata, Baganpara and Bodo districts created frequent disruptions to NNET's work. In Tripura and due to the political context, NNET coordinators and field staff have often been threatened by officials but still continued their work.

Score baseline 2013 on an absolute scale from 0-3:	**3**
Score end line 2014, relative change on a scale of -2 → +2	**+1**

5.3 To what degree are the changes attributable to Southern partners?

This paragraph assesses the extent to which some outcomes achieved can be "attributed" to NNET. Starting with an outcome, the evaluation team developed a model of change that identifies different pathways that possibly explain the outcome achieved. Data collection was done to obtain evidence that confirms or rejects each of these pathways. Based upon this assessment, the evaluation team concludes about the most plausible explanation of the outcome and the most plausible relation between (parts of) pathways and the outcome. The relations between the pathways and the outcomes can differ in nature as is being explained in table 2.

Table 2

Nature of the relation between parts in the Model of Change

Nature of the relation between parts and other parts or outcome	
The part is the only causal explanation for the outcome. No other interventions or factors explain it. (necessary and sufficient)	
The part does not explain the outcome at all: other subcomponents explain the outcomes.	
The part explains the outcome but other parts explain the outcome as well: there are multiple pathways (sufficient but not necessary)	
The part is a condition for the outcome but won't make it happen without other factors (necessary but not sufficient)	
The part is a contributory cause it is part of a 'package' of causal actors and factors that together are sufficient to produce the intended effect.	

Sources: Mayne, 2012; Stern et al, 2012

The following paragraph assesses NNET's contribution to the outcome linked to civic engagement. The paragraph first describes the outcome achieved and the evidence obtained to confirm that the outcome has been achieved. It then presents the pathways identified that possibly explain the outcomes, as well as present information that confirms or refutes these pathways. The last section concludes in the first place about the most plausible explanation of the outcome, followed by a conclusion regarding the role of the SPO in explaining the outcome.

5.3.1 Civic engagement

The outcome achieved and information that confirms this

The outcome chosen is the 'improved engagement of Para Legal Personnel (PLPs) between 2012 and 2014so that people covered by the project access government schemes and programmes'. NNET's programme mandate is to expand its coverage to include 40 new villages every year[16].

In the year 2013-14, 3175 applications were filed (including RTIs) which is more than two times the amount filled in the period 2012-2013 (1327 applications had been filed)[17].Based upon information obtained through interviews it can be concluded that the new PLPs are more educated[18], motivated and proactive[19] in their involvement with the community and their problems than those of earlier phases of the project. Some of the PLPs have filed RTI applications and deputations on their own[20]. Some of them continue to work on the NNET mandate (that is to say continuing serving their communities so that they access government schemes and programmes) even after their one-year involvement in the project is over and therefore without receipt of any remuneration from NNET[21].The

[16] It should be noted that the list of villages for Assam is incomplete and that the information with regards Tripura does not include the name of the administrative boundaries.

[17] We can only compare number of applications filed and not the number of beneficiaries met or the number of issues solved since the figures are not available for each state and for both periods. We also lack comparative information between PLPs, between villages and between states.

[18] The evaluators were not provided with the level of education of each PLP and it does not seem that NNET keeps such a record. During interviews PLPs in Assam collectively said: "Unlike the previous requirement of recruiting PLPs who have at least passed their matriculation, the PLPs that are entering in the Assam programme (now) are much more educated." The increase level of education of the PLPs does not seem to apply to Tripura, according to Tripura staff.

[19] To sustain improved level of motivation and proactivity the evaluators used the following information: NNET in Assam stated the following: "Earlier we did not have the option to choose, but now, young boys apply to become PLPs, we have more than one option to choose from. We see the difference, the young generation now is keen to work with us, this was not the case initially. In the earlier phases of our programme we had to convince young people to become PLPs. Now we have large numbers offering their services, some are even ready to work just as volunteers. Now we ensure that a prospective PLP is at least a matriculate. The difference also shows up in the way the PLPs work now. Earlier, in 2012, we had to teach PLPs what RTI meant, how to file RTI applications. By 2014, the new batch seems to know much more about RTIs even at the time of joining." In Tripura, the following was shared "In terms of quality of PLP engagement in Tripura. In our context, they are class 8-10th educated, well known and identified among the villagers; they are most vocal and display leadership qualities among the villagers to be chosen as a PLP"

[20] NNET and Interview with a resource person associated with NNET and founder of Jana Kalyan Sansthan. Nevertheless, the evaluators don't have information about which PLPs have done this and for which villages.

[21] sources: NNET, Report field visit Mensen met een Missie – NNET, November 2012, Assam; Interview with Assam PLPs; interview with MM; field observation by evaluation team. The evaluators were nevertheless not provided with figures of PLPs and the work each of them do. It seems NNET does not monitor this aspect structurally.

success and sustainability of the programme depends therefore on PLPs' willingness and ability to continue working.

Information that confirms or rejects pathways

The first pathway that potentially explains the outcome consists of a variety of activities carried out by NNET and PLPs to implement the project, as well as to strengthen the capacities of PLPs that enable them to educate communities on their legal rights and entitlements. This is done through the provision of trainings to PLPs on legal knowledge, information and legal procedures that help to file RTIs and deputations; guided fieldwork and monitoring of their work which in turn has helped communities obtain benefits of government schemes relating to education, health, employment, housing etc. and services such as supply of drinking water, electricity, street lighting etc.[22]

The following information provides evidence *in favour of this pathway:*

- In every project village that NNET enters, they organise meetings with the villagers where they conduct a needs assessment. Based on this they identify the issues and concerns of the villagers. The coordinators and the PLPs then pursue these issues by filing applications, and if that does not work, they follow up with filing RTI applications and then, armed with the information obtained through such RTIs they approach officials to redress or resolve the problem at hand.[23] In Tripura heads of Panchayats were also involved as a means to obtain their support and consent for the PLP programme in their respective villages[24].
- NNET interacts with the government at various levels for ensuring entitlement of the beneficiaries, often even "forcing" government officials to do their duties.[25] NNET coordinators and PLPs interact with district magistrates, sub-division magistrates, BDOs (Block Development Officials), the women and child welfare department, the revenue department, electricity department, water supply department, agriculture department, public banks. etc. to achieve desired results for the communities. NNET's coordinators and PLPs also organised meetings with government officials of the Assam State Legal Services Authority[26] on mediation and resolving issues without approaching courts.[27]
- NNET networks with other organisations such as PAJHRA (Promotion and Advancement of Justice, Harmony and Rights of Adivasis)[28] and AAWAA(All Adivasi Women's Association of Assam)[29]to conduct surveys on the situation of Adivasis creates awareness about their rights and help them avail of such rights.[30]
- NNET's PLPs and coordinators in Assam organised village meetings to spread awareness on specific issues and subjects, like, human trafficking, women's rights etc. Six such village meetings have been organised for 2013-14 and these took place alongside other trainings and guided fieldwork.[31]
- NNET recruited interested PLPs (40 new PLPs for 40 new villages) on confirmation of basic level of education and a willingness to further NNET's programme mandate[32]. The final recruitment took

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[22] NNET, *Final Report for MM (Tripura, April 2013-March 2014)* prepared by ASHA *and* Quarterly Reports by Assam partners titled, *Capacity Building of Tribal leaders through Para legal & Skill training Phase – II(April 2013-June 2013, June 2013-September 2013, October 2013-December 2013, January 2014-March 2014)*

[23] Quarterly reports for both Assam and Tripura and interviews with PLPs in Assam and former PLPs of Tripura.

[24]NNET

[25] Quarterly reports where examples of interaction between government officials and PLPs and coordinators are described

[26] The National Legal Services Authority (NALSA) has been constituted under the Legal Services Authorities Act, 1987 to provide free Legal Services to the weaker sections of the society and to organize LokAdalats for amicable settlement of disputes. In every State, State Legal Services Authority has been constituted to give effect to the policies and directions of the NALSA and to give free legal services to the people and conduct LokAdalats in the State. The State Legal Services Authority is headed by Hon'ble the Chief Justice of the respective High Court who is the Patron-in-Chief of the State Legal Services Authority. *Refer* http://nalsa.gov.in/directory.html

[27]NNET Assam staff, *LCHR: Annual Report (2013-14)*

[28] PAJHRA, which in Adivasi (Sadri) language means 'life Spring', stands for Promotion and Advancement of Justice, Harmony and Rights of Adivasis. PAJHRA was formalized on 9th April 2002. It is an initiative of Adivasis of Assam from all walks of life. Adivasis who have lived peacefully and whose contribution is substantial to the economy of Assam believe that they deserve and can have a better status in North East India and it is up to them, in collaboration with other agencies to change their lot. *Refer,* http://www.pajhra.org/

[29] AAWAA was started in November 2002. They work with the Adivasi community, especially women of the community. They conduct awareness programmes on child care, cultural strengthening, child education, domestic violence, and women's health and status in society.

[30]Interview with PAJHRA, AAWAA

[31]NNET

place after an orientation programme in April-May 2013.[33]At the end of May the recruited PLPs received in-depth details about the programme and were briefly introduced to schemes like MGNREGA[34], PDS, IAY etc.[35]

- Former PLPs shared their experiences and learnings with new PLPs in March and May 2013.[36]
- PLPs received three trainings throughout the year, each training being followed by the preparation of an action plan, guided fieldwork and monitoring of PLPs' work. The purpose of these trainings and monitoring was to gauge the progress of PLPs' involvement with community issues and identify any new issues that might come up and take them up in subsequent trainings.[37] During the course of such trainings, PLPs were taught about basic rights, government schemes and entitlements, use of RTI, FIR and applications to avail access to rights and schemes and any community specific issue.[38] NNET continued to conduct follow up courses to train PLPs on specific topic such as human trafficking, PDS etc.[39][40]after their financial support to these PLPs ended by the end of the year;
- NNET evaluated the whole programme in March 2013 and March 2014.[41] NNET coordinators continued to monitor PLPs' work of those who finished their trainings to ensure sustainability of the programme.[42]
- Through the course of their training, the PLPs are capacitated to file applications independently without the support of the coordinators.[43]

Information that rejects the lasting role of NNET towards facilitating the community's access to their rights and legal entitlements is the following:

- Some PLPs are dropping out of the programme whereas they are being trained[44] and it is unclear how many old PLPs continue their work after the training trajectory ended and if there is structured contact between new and old PLPs[45]. These points question the design and the sustainability of the changes witnessed.
- The government has, over the years, passed some important laws and legislations like the RTI Act (2005)[46], the Protection of Women from Domestic Violence Act (2005)[47], MGNREGA (2005), Food Security Bill (2013)[48], Forest Rights Act (2006)[49], Right to Education (2009)[50], Protection of Children

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[32]NNET and Interview with Tripura new PLPs. As mentioned earlier this figure could not be triangulated with the reports provided. In Assam only 17 PLPs seem to have taken part in the project in the period 2013-2014 (see 'Assam- 1 qtrly report NNET Assam-sent to floor', 'Assam 2nd Quaterly report NNET Assam July -Sept 13', etc)

[33]NNET, *Final Report for MM (Tripura, April 2013-March 2014)* prepared by ASHA

[34] Mahatma Gandhi National Rural Employment Guarantee Act (MGNREGA), 2005, is designed to provide a guaranteed job (non-skilled) to all adult members of a family living in a rural area for at least 100 days. http://www.mgnrega.co.in/

[35]NNET

[36]NNET, *Report field visit Mensen met een Missie – NNET*, November 2012, Assam, Interview with Tripura former PLPs, Assam PLPs

[37]NNET, *LCHR: Annual Report (2013-14)*, Word documents of training modules, *Final Report for MM (Tripura, April 2013-March 2014)* prepared by ASHA, *Capacity Building of Tribal Leaders through Para Legal and Skill Training: Project Proposal, Phase II (2013-14)*, Interviews with academic from Tripura University, Tripura former PLPs, Tripura new PLPs, respondent from PAJHRA. Assam PLPs and AAWAA.

[38]NNET, Interview with Tripura former PLPs

[39] Public Distribution System (PDS) in the country facilitates the supply of food grains and distribution of essential commodities to a large number of poor people through a network of Fair price shops at a subsidised price on a recurring basis. *Refer,* http://epds.nic.in/

[40]NNET, *Final Report for MM (Tripura, April 2013-March 2014)* prepared by ASHA and Interview with a resource person associated with NNET and founder of Jana Kalyan Sansthan

[41]NNET; Evaluation- Assam- NNET &LCHR; 317.3047 Report SWOT analysis 2014

[42]NNET; A letter from Jose Karipadam, NNET to MM on Monitoring (October 2013)

[43] NNET staff in Tripura

[44] 317.3022 Report 2013

[45] Interviews with old and new PLPs.

[46] Right to Information Act 2005 mandates timely response to citizen requests for government information. It is an initiative taken by Department of Personnel and Training, Ministry of Personnel, Public Grievances and Pensions to provide a– RTI Portal Gateway to the citizens for quick search of information on the details of first Appellate Authorities, PIOs etc. amongst others, besides access to RTI related information / disclosures published on the web by various Public Authorities under the government of India. *Refer,* http://righttoinformation.gov.in/

[47] An Act to provide for more effective protection of the rights of women guaranteed under the Constitution who are victims of violence of any kind occurring within the family and for matters connected therewith or incidental thereto. *Refer,* http://wcd.nic.in/wdvact.pdf

[48] A BILL to provide for food and nutritional security in human life cycle approach, by ensuring access to adequate quantity of quality food at affordable prices to people to live a life with dignity and for matters connected therewith or incidental thereto. *Refer,*www.thehindu.com/multimedia/.../National_**Food**_Secu_1404268a.pdf

from Sexual Offences Act (2012)[51] which has created a conducive environment where villagers are much more inclined to accept NNET's mandate and messages.[52]

- Tripura now enjoys better infrastructure, roads are being built in the tribal areas. Today, accessibility to education is easier, and also, the spread of and access to mass media has increased awareness and knowledge, making people more curious towards understanding their rights and duties. In colleges and schools, students are given trainings on the purpose of RTIs and how to utilise them to bring transparency to government departments.
- The panchayats have become increasingly proactive in helping people access schemes for the betterment of the adivasis and marginalised communities.[53]
- Other organisations in Assam like PAJHRA, AAWAA, AASAA (All Adivasi Students Association of Assam)[54], Bosco Reach Out[55] have also been working on the rights of the Adivasis.[56] PAJHRA started by a group of Adivasi social activists, leaders and academicians works for the Adivasis in the tea gardens and villages of Assam on issues such as identity, Adivasis' constitutional rights, human trafficking, health, education and livelihood. AAWAA started in November 2002 work with the Adivasi community, especially women of the community and conduct awareness programmes on child care, cultural strengthening, child education, domestic violence, and women's health and status in society. AASAA, formed in 1996, is an Adivasi students organisation working in 17 districts of Assam. They mainly work as a pressure group, organising dharnas, roadblocks on issues of minimum wage for tea garden workers and the Scheduled Tribe (ST) status for Adivasis.
- In Tripura, Adivasi Unnayan Samiti (AUS)[57] in Unakoti district conducts surveys on Adivasi people and their literacy levels, how many live in tea estates, wages in tea estates, land ownership etc. SBU for the Reang community, an NGO which is based out of the North District's Kanchanpur village and Bru Student Union (BSU) also work on Adivasi rights and upliftment, although at a small scale.[58]

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[49] A BILL to recognise and vest the forest rights and occupation in forest land in forest dwelling Scheduled Tribes and other traditional forest dwellers who have been residing in such forests for generations but whose rights could not be recorded; to provide for a framework for recording the forest rights so vested and the nature of evidence required for such recognition and vesting in respect of forest land. *Refer,* http://www.forestrightsact.com/the-act

[50] The Constitution (Eighty-sixth Amendment) Act, 2002 inserted Article 21-A in the Constitution of India to provide free and compulsory education of all children in the age group of six to fourteen years as a Fundamental Right in such a manner as the State may, by law, determine. The Right of Children to Free and Compulsory Education (RTE) Act, 2009, which represents the consequential legislation envisaged under Article 21-A, means that every child has a right to full time elementary education of satisfactory and equitable quality in a formal school which satisfies certain essential norms and standards. *Refer,* http://mhrd.gov.in/rte

[51] An Act to protect children from offences of sexual assault, sexual harassment, and pornography and provide for establishment of Special Courts for trials of such offences and for matters connected therewith or incidental thereto. *Refer,* http://wcd.nic.in/childact/childprotection31072012.pdf

[52] NNET

[53] NNET

[54] AASAA is an Adivasi students' organisation working in 17 districts of Assam. They were formed in 1996. They mainly work as a pressure group, organising dharnas, roadblocks on issues of minimum wage for tea garden workers and the Scheduled Tribe (ST) status for Adivasis. They have been very effective on these two issues.

[55] Since 1983 Bosco Reach Out has been associated with the promotion of Self Help Groups, particularly focused on empowerment of women through group activities. Bosco Reach Out Self Help Group movement has encompassed the states of Assam and Meghalaya covering 16 districts. *Refer,* **boscoreachout**.org/ *and* http://www.indianngos.org/ngo_detail.aspx?nprof=5501241216

[56] NNET and Interviews with PAJHRA, AAWAA, AASAA

[57] Adivasi Unnayan Samiti (AUS) is a small NGO organisation in Tripura working on conducting surveys on Adivasi people and their level of literacy, how many live in tea estates, wages in tea estates, land ownership etc.

[58] NNET

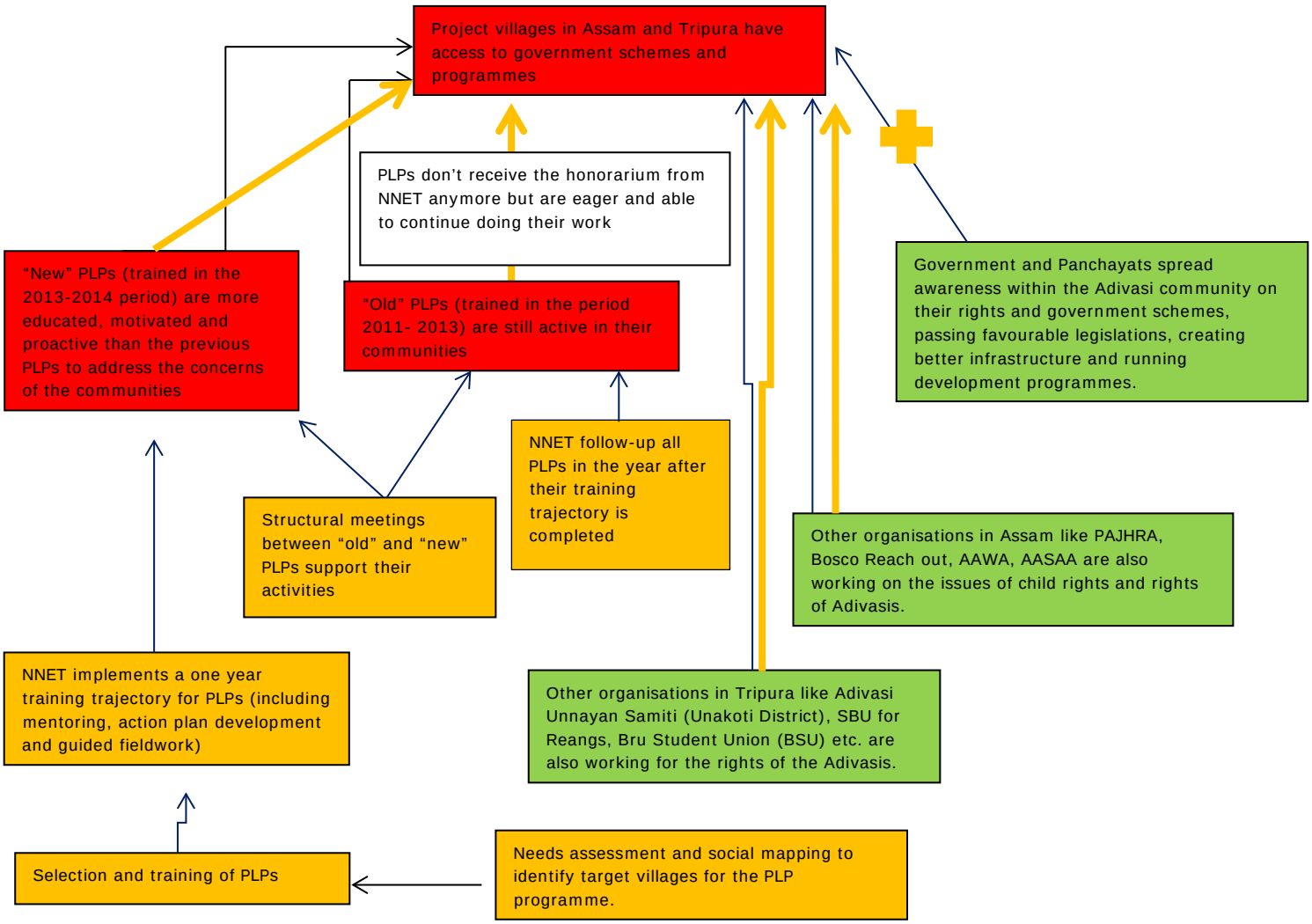

Figure 1: Pathways that possibly explain outcomes and conclusions about the nature of the relations between pathways and the outcome, Adivasi claiming their rights

Conclusion

The outcome that tribal communities in Assam and Tripura in the villages where PLPs are active avail of their legal rights and entitlements can be explained by the following:
Factors valid for all villages in the state consist of; the above mentioned laws that create a conducive environment for both Adivasis and for NNET; improved accessibility of Tripura in terms of roads and mass media, which increases people's awareness about their rights and duties; easier access to education, and local governments showing commitment. Al these factors are *necessary but not sufficient (conditions)*to ensure Adivasi households their access to the schemes and welfare programmes.
Several actors, including NNET, support Adivasi to avail of their rights, whilst using different strategies: the PLPs of NNET file applications or if necessary RTI applications, other NGOs work as pressure groups or use the same approach as NNET does. All these interventions are sufficient on their own to explain the outcome (after the above mentioned conditions have been met).

NNET through its legal awareness programme has trained and monitored PLPs in a selected number of villages. In these villages, the people have benefited from government schemes and programmes. As

noted by an external resource person and as concluded by the evaluation team, NNET is one of the organisations that support Adivasis to claim their rights. It is to be observed that the effectiveness of the NNET programme largely depend upon the capacities and the motivation of PLPs to support Adivasi communities.

5.4 What is the relevance of these changes?

5.4.1 Relevance of the changes in relation to the Theory of Change of 2013

According to the respondents from Assam and Tripura the changes achieved by NNET are in line with the ToC prepared in 2013. Since the baseline NNET's work has focused on enhancing 'legal awareness' described in the ToC with the PLP programme and to some extent on the condition 'gender equality' with the work done with women (pressure) groups and more female PLPs taking part in the programme. The increased number of people benefiting from government schemes and programmes and increased client satisfaction helped to make contributions to 'economic equality' and to some extent to 'socio-cultural-political equality'. NNET however has had limited influence on public and private policies and practices which would have been relevant under the condition 'favourable policies'. Maybe the fact that some NNET staff have won panchayat elections will influence some practices leading to favourable policies in the villages of the programme.

5.4.2 Relevance of the changes in relation to the context in which the SPO is operating

Most respondents agreed that the changes benefited the women and the Adivasi community in the villages targeted by the project. One has to keep in mind that the Adivasi community in the North East is not yet recognised as a tribe; all respondents said that the changes were relevant for the poorest of the poor. Women have become more confident and proactive in their communities and the villages are more aware of their rights, an initial step towards development said some respondents. Besides individual being aware of their rights, the communities have also started taking collective action which resulted in some cases in more children going to school, toilets being available in the villages and even closing liquor shops (alcoholism is a severe problem among men in the villages). Whereas changes might have been slow, some respondents hope that villages will become fully aware and that these villages could be seen as examples for other who have not benefited from the project.

5.4.3 Relevance of the changes in relation to the policies of the MFS II alliance and the CFA

Mensen met een Missie does not have per se a vision document on strengthening civil society but is developing every year a specific country strategy plan. In India and specific to the North East region it is about strengthening the Adivasi group so that they are aware of their rights[59]. Mensen met een Missie's website also mentions women as another of their target groups[60].Complementing what the State is offering in terms of services is essential to MM.

As seen earlier, NNET's programme managed to secure access to some government schemes and programmes for Adivasi families and has been addressing gender issues. As such NNET's work and the changes seen are relevant to the overall strategy of MM. Nevertheless, the rights-based approach advocated by MM has yet to be fully utilized by NNET. Most results achieved are at the level of schemes and programmes accessed by the communities whereas MM would like to see "atrocities" also picked up.[61]

[59] interview with MM respondent
[60] http://www.mensenmeteenmissie.nl/land/india, (23012015)
[61] Interview with MM respondent

5.5 Explaining factors

5.5.1 Internal factors

NNET is a network of 10 partner organisations in Assam and Tripura; all the partners in NNET are faith-based NGOs affiliated to different Catholic congregations, and are represented by nuns and priests temporarily deputed to service NNET. These routine transfers, in turn, make for constant changes in leadership.
The partners in the two states mainly work as independent units and not as one single organisation. The resource team, the Assam based Legal Cell for Human Rights (LCHR)initially was responsible for the training and mentoring of the PLPs in both the states. Tripura ceased to use LCHR's services in March 2013 after having built legal resources internally. LCHR is contracted to work with Assam NNET till October 2015.

Poor internal cohesion is also evident on examining the documentation provided by the partners in Assam and Tripura. The difference in formats is quite problematic as it prevents any pattern or single thread of information to emerge. This is for instance observable with regards to record keeping of numbers of applications filed and RTIs filed and the number of beneficiaries reached. Apart from this report formats differ from one year to another. This disconnect between the two shows how loosely connected the network is.

Another disconnect in NNET's work is the disengagement between the two components of its programmes—PLP programme and the women and youth capacity building programme. The women and youth capacity building programme has only taken off in 2013-14 in Assam, and for Tripura in 2014. The purpose of the programme was to work in tandem with the PLP programme and serve as a support system to it in the villages. This has not happened. The tensions between the partners and the resource team (LCHR) might be partly responsible for this, but also the almost informal nature of functioning of the women and youth programme. Since the programme is just taking off no results have been obtained yet.

5.5.2 External factors

NNET's external context poses challenges to its performance, and most so to its organisational cohesiveness. Assam and Tripura have poor infrastructure, connectivity and lack of adequate modes of transportation, making travelling tedious and time-consuming. This prevents the NNET partners from meeting frequently. The change in the FCRA (Foreign Contribution Regulation Act) Rules[62]has also made the cohesion between the partners in the two states problematic, as the new rules do not allow the transfer of funds from one state to another. In response to this, NNET's coordinator in Tripura is transferring these funds in cash to the Assam based coordinator.

Assam is marked with protests and demonstrations against the ignorance of the central government towards the northeast. Over the years, the region has paid socio-economically for this. According to the Planning Commission's Report of 2011, poverty has risen in most of the states in the north-east, including Assam which now has 11.6 million persons living below the poverty line.[63]

The two main problems that affect any and every form of organisation and people in the state are consist of flooding, ethnic clashes and riots. The state has had a long history of ethnic riots and violence between the various tribes and has been racked with demands for separation from the Indian state and faced violence because of this insurgency from the militants and the army.

Politically, Tripura has been ruled by the Left front (Communist Party of India-Marxist, CPI-M[64]) which has been in power in the state since 1993. As the ruling party is a cadre-based party, it often makes

[62] FCRA 2010, an act to regulate the acceptance and utilisation of foreign contribution by certain persons or associations. *Refer*, http://indianexpress.com/article/india/india-others/only-11-of-22-ngos-in-ib-report-are-fcra-compliant-none-filed-13-14-statement/99/

[63] *Refer,* http://www.telegraphindia.com/1120320/jsp/frontpage/story_15270991.jsp#.VCPEMhZFEuc

[64] Communist Party of India-Marxist (CPI-M) is a leading left party of India. It has a strong presence in the states of Kerala, Tripura and West Bengal.

functioning difficult for organisations like NNET to work on rights-based issues and holding the government accountable. Due to this, NNET coordinators and field staff have often been threatened by these officials to desist from creating trouble for them. The same happened in 2013, when a coordinator was threatened by members of the ruling party to discontinue trainings or workshops while election campaigning was taking place.

5.5.3 Relations CFA-SPO

Mensen met een Missie has been working with NNET since 2007, the inception of the network. According to the MM respondent and at least during the MFS II period, MM has visited NNET every year. MM also provided NNET with some trainings like in 2013 on results-based management. During the interview with MM respondent it appeared that MM would not finance NNET after MFS II funding is over. Whereas MM does not phase out of India they decided to focus on states in the South where partners are stronger and pick up atrocities directed to the Adivasi (in comparison with NNET partners who are more focusing on access to government schemes as success stories). According to MM respondent, the rights based approach (advocated by MM) has been picked up with difficulties by the partners of NNET who are more used to work on a needs based approach. The evaluators have not seen the official communication of the end of the partnership but it appeared clear when looking at the answers provided by NNET to the inquiries from MM. “Secondly, we are not in a position to redraft the project at this last phase of the project. Hence I believe that MM would consider the rationale“[65].

[65] Answer to Explanation asked by MM

6 Discussion

6.1 Design of the intervention

NNET works in two remote States of India where there is unrest, whether ethnical or political. NNET's works focuses on the Adivasi tribe which is not recognized by the government in these States. Their legal awareness programme with capacity building of para legal persons takes place every year in different villages with some follow-up done with the PLPs trained the year before. To strengthen the work of the PLPs some women and youth pressure groups are formed and trained.

The evaluation team noticed some limitations with regards the design of the programme. Whereas the PLP component is well structured, the pressure groups component lacks information and linkages with the PLP component. This has also been observed by MM. According to NNET the pressure groups also aim to raise the awareness of women and youth and inconsequence help them to claim their rights. Moreover, besides some follow-up done with the PLPs trained the year before, no specific activities have been foreseen in the programme to sustain the work of the PLPs: are they also empowered enough to stay updated with the schemes and programmes set by the government? How are they going to pay for the costs linked to filling deputations up? Having said this, the programme is suitable for the environment in which it is implemented where local leaders are trained for the legal work. This legal work is necessary for the population targeted. However more attention need to be paid to sustain the network of the PLPs after they have worked for one year with NNET.

With the necessary will to work in these remote villages, other organizations would be able to implement a similar programme, thinking more through the sustainable aspect of it.

7 Conclusion

Changes in the civil society arena of the SPO

In the 2012 – 2014 period the two most important changes that took place in the civil society arena of the SPO are related to Civic Engagement and Perception of Impact. NNET was able to reach out to more Adivasis people, including more youth and women, as well as to more other marginalised groups although the involvement of these beneficiaries has not changed and remains very limited. Besides 3 members of NNET having won panchayat elections, NNET in Tripura has continued involving local political bodies. The number of applications filed by PLPs more than doubled between the period 2012-2013 and 2013-2014 and is to be interpreted as an increased satisfaction of the direct beneficiaries of NNET's programmes. PLPs are also involved in more complicated cases and have been able to trigger collective action which has been successful. Nevertheless, relationship and influence on public or private sector organisations have not improved and a change like ensuring ST status to Adivasis have not been achieved yet.

Contribution analysis

The outcome that tribal communities in Assam and Tripura in the villages where PLPs are active avail of their legal rights and entitlements can be explained by the following:

Factors valid for all villages in the state consist of; the above mentioned laws that create a conducive environment for both Adivasis and for NNET; improved accessibility of Tripura in terms of roads and mass media, which increases people's awareness about their rights and duties; easier access to education, and local governments showing commitment. Al these factors are *necessary but not sufficient (conditions)*to ensure Adivasi households their access to the schemes and welfare programmes.

Several actors, including NNET, support Adivasi to avail of their rights, whilst using different strategies: the PLPs of NNET file applications or if necessary RTI applications, other NGOs work as pressure groups or use the same approach as NNET does. All these interventions are sufficient on their own to explain the outcome (after the above mentioned conditions have been met).

NNET through its legal awareness programme has trained and monitored PLPs in a selected number of villages. In these villages, the people have benefited from government schemes and programmes. As noted by an external resource person and as concluded by the evaluation team, NNET is one of the organisations that support Adivasis to claim their rights.

Relevance

Interviews with staff of NNET, with external resource person, with the liaison officer of Mensen met een Missie (MM), as well as contextual information helped to assess the relevance of NNET's interventions in terms of; its Theory of Change (ToC) for Civil Society (SC) as designed during the baseline study; the context in which NNET is operating; the CS policies of MM.

With regards to the baseline ToC, the interventions and outcomes achieved are relevant because most of the interventions align with the condition 'legal awareness' . They have also partly contributed to the conditions 'gender equality', 'economic equality' and 'socio-cultural-political equality' but unfortunately, they have not been to achieve successes to align under the condition 'favourable policies'

With regards to the context in which NNET is operating, its interventions and outcomes achieved are relevant because they benefited the women and the Adivasi community, considered the poorest of the poor.

With regards to the CS policies of MM, NNET's interventions and outcomes are relevant because they align with MM's India overall strategy which is about strengthening the Adivasi group so that they are aware of their rights. Nevertheless, MM would have liked NNET to go beyond helping the community reaching programmes and schemes towards handling atrocities.

Explaining factors

The information related to factors that explain the above findings was collected at the same time as the data were gathered for the previous questions. The evaluation team looked at internal factors within NNET, the external context in which it operates and the relations between NNET and MM.

Internal factors within the SPO that explain the findings are: constant change in leadership, poor internal cohesion, disengagement between the two components of the programmes and possibly tensions between the partners and the resource team (LCHR).

External factors that explain the findings in both states are poor infrastructure, connectivity and lack of adequate modes of transportation. Specific to Assam, flooding and riots have interfered with NNET's work. In Tripura, the cadre-based party makes functioning difficult for organisations like NNET to work on rights-based issues and holding the government accountable.

Factors that explain the findings that are related to the relation between NNET and MM are the long relationship between the two organisations and investment in building the capacity of NNET which unfortunately but consciously is ending with MFS II.

Table 2

Summary of findings.

When looking at the MFS II interventions of this SPO to strengthen civil society and/or policy influencing, how much do you agree with the following statements?	Score
The CS interventions were well designed	5
The CS interventions were implemented as designed	8
The CS interventions reached their objectives	7
The observed outcomes are attributable to the CS interventions	6
The observed CS outcomes are relevant to the beneficiaries of the SPO	8

Score between 1 to 10, with 1 being "not at all" and 10 being "completely".

References and resource persons

Documents by SPO

Title	*Year*
linked to project 317.2995	
Project Proposal "Capacity Building of Para Legal Personnel" 2011-2012	*2011*
317.2995 audit Report 2011-2012 (1)	2012
317.2995 audit Report 2011-2012 (2)	2012
317.2995 audit Report 2011-2012 (3)	2012
Covering Letter-PDF	2012
Completion report-PDF...	2012
Annexures-PDF	2012
NNET Budget	2012
NNET stories of change	2012
PPT NNET 2011-2012	Unknown
linked to project 317.3022	
Capacity Building of Tribal Leaders through Para Legal and Skill Training: Project Proposal, Phase II	2012-2013
Budget project no. 317.3022	unknown
317.3022 Audited statement (1)	2013
317.3022 Audited statement (2)	2013
317.3022 Monitoring 2013	2013
NNET- 2012-2013 FINAL REPORT:	
1. final report 12-13 Tripura	2013
2. final report 12-13 Assam	2013
3. ASHA-Completion Report	2013
Apendix-1-Follow up Assam-11-12 period	2013
Apendix-2. Follow up prog Tripura 11-12 period	2013
Apendix-3. Coordinator meet Assam	2013
Apendix-4. Coordinators meet Agartala	2013
Apendix-5. success stories-Out of Court Settlement	2013
Apendix-6. Exposure Programme,- Amaravati	2013
Apendix-7. women's meet- October-2012	2013
NNET Evaluation at BRO	2013
Powerpoint "Capacity Building of Tribal Leaders Trough Para Legal & Skills Training" Phase II 2012-2013	unknown
linked to project 317.3047	
Capacity Building of Tribal Leaders through Para Legal and Skill Training: Project Proposal, Phase III	2013-2014
1 Budget 2013-2014	2013
1 Project Proposal 2013-2014	2013
2 NNet- Asha-Budget 2013-2014	2013
3 Timeline	2013
4 Organogram	2013
5 Staff Name list for the year 2013	2013
6 Training schedule	2013
7 roles Responsibilities	2013
Capacity Building of Tribal Leaders through Para Legal and Skill Training (Assam)-Phase II-A quarterly report	October-December 2013
LCHR: Annual Report	2013-2014
1st quarterly report on Capacity Building of Tribal leaders through Para legal & Skill training (Assam) Phase – II	April 2013-June 2013
2nd Quarterly report – LCHR Guwahati, Assam	01-07-2013 – 30-09-2013
3rd Quarterly report – LCHR Guwahati, Assam	01-10-2013 – 31-12-2013
4th Quarterly report – LCHR Guwahati, Assam	01-01-2014 to 31-03-2014
Tripura MM report 2013-14	2014
Tripura-1 Quterlyrept April - sent to Floor	July 2013
Tripura-2nd quarterly report	Oct 2013
Minutes Report of Women's Capacity building Training under NNET	January 2014
Report of legal capacity building of local communities (Assam)	April-Oct 2013

Report of Women's Capacity Building of local Communities (Assam)	October-March 2014
Report of Legal Capacity Building of Local Communities	April-September 2013
Report of Women's Exposure Programme	2014
Name List of Women's PLPs (Tripura)	2013-2015
Women Training on Domestic Violence (Photograph)	aug-14
Youth Leadership Training (Photograph)	May 2013
Women Leadership Training (Photograph)	aug-13
Tailoring Training for 10 Women (Photograph)	September-October 2013
Live-in Camp for Adivasi Youth (Photograph)	March 2014
Adivasi Youth Exposure Visit to Agartala (Photograph)	March 2014
Audit 2013-2014 ASHA	2014
Audit 2013-2014 ASHA1	2014
Audit 2013-2014 Budget1	2014
Audit 2013-2014 Budget 2	2014
Audit 2013-2014 Budget 3	2014
Audit 2013-2014 Budget 4	2014
Audit 2013-2014 Budget 5	2014
Audit 2013-2014 Budget 6	2014
317.3047 Report SWOT analysis 2014	2014
Answer to Explanation asked by MM	2014
Evaluation- Assam- NNET &LCHR	2014
Forwarding letter	2014

others

Word documents of training modules	Undated (2012-2014)
A document containing news clippings around organisation of PLP trainings	Undated (2012-2014)
Survey lists	Undated (2012-2014)
Action Plan	October-November 2014

Documents by CFA

Title	*Year*
Letter of approval 2011-2012 (also called 317.2995_goedkeuring 1j_002)	2011
"Capaciteitsverklaring van tribale leiders" projectnummer 317.3022, programma Vrede en Verzoening 23-5-2012	2012
317.3022 Fieldreport NNET Nov 2012	2012
317.3047 Fieldreport NNET nov 2013	2013
Contract Mensen met een Missie- NNET "Capacity Building of Tribal Leaders trough paralegal & skill training ref. no. 317.3022	2012
317.3022 Structure NNET discussion	undated (probably end 2012 or early 2013)
317.3047 Contract 2013-2014 1st installment	2013
317.3047 Contract 2013-2014 2nd installment	2013

Documents by Alliance

Title	*Year*
Rapportage Conflict Transformation - COC baseline	2011
Progress report 2013 MFS II Alliance Communities of Change	2014
Annex C. civil society monitoring survey 2013	undated (most probably 2014)

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Resource persons consulted

For confidentiality reasons we have removed the names and details of the persons contacted.

Organisation	*Function in organisation*	*Relation with SPO*
Community Development Initiative	Not available	Collaborating with SPO
Tripura University	Assistant Professor	Other
NNET	Former PLP (Tripura)	
NNET	Former PLP (Tripura)	
NNET	Former PLP (Tripura)	
NNET	New PLP (Tripura)	
Jana KalyanSanstha	Founder	Collaborating with SPO
PAJHRA (Promotion and Advancement of Justice, Harmony and Rights of Adivasis)	Director	Collaborating with SPO
NNET	Former PLP (Assam)	
NNET	New PLP (Assam)	
NNET	New PLP (Assam)	
NNET	New PLP (Assam)	
NNET	New PLP (Assam)	
All Adivasi Students Association of Assam (AASAA)	Central President	Not applicable (Not-in 9b format)
All Adivasi's Women's Association of Assam (AAWAA)	President	Collaborating with SPO
Mensen met een Missie	Programme coordinator for Asia team.	

Appendix 1 Civil Society Scores

This table presents the appreciation of the evaluation team regarding changes occurred for each indicator between 2012 and 2014 on a scale of -2 to + 2

- 2 = Considerable deterioration
- 1 = A slight deterioration

0 = no change occurred, the situation is the same as in 2012

+1 = slight improvement

+2 = considerable improvement

Dimension		Indicators	Question	Change
Civic engagement	1	Needs of marginalised groups	How does your organisation take the needs of your beneficiaries/target groups, in particular marginalised groups into account in your planning, actions, activities, and/or strategies?	+1
	2	Involvement of target groups	What is the level of participation of your beneficiaries/target groups, in particular marginalised groups in the analysis, planning and evaluation of your activities?	+1
	3	Political engagement	How intense is your (individual staff or organisational) participation in locally-nationally elected bodies and/or sectoral user groups?	+1
Level of organisation	5	Relations with other organisations	In the past 12 months what has been the most intensive interaction you had with other CSOs?	0
	5	Frequency of dialogue with closest CSO	In the past 12 months how many meetings did you have with the CSO that you have most intensive interaction with?	0
	6	Defending the interests of marginalised groups	Which CSO are most effective in defending the interests of your target groups? In the past 12 months, how did you relate to those CSOs?	+1
	7	Composition current financial resource base	How does your organisation finance institutional costs such as workshops of the General Assembly (if applicable); attendance to workshops of other CSOs; costs for organisational growth and/or networking?	0
Practice of Values	8	Downward accountability	To what extent can mandatory social organs (steering committee, general assembly, internal auditing group) ask your executive leaders to be accountable to them?	0
	9	Composition of social organs	What % of members of your mandatory social organs belong to the marginalised target groups you are working with/for?	0
	10	External financial auditing	How regularly is your organisation audited externally?	0

Perception of impact	11	Client satisfaction	What are the most important concerns of your target groups? How do your services take into account those important concerns?	+1
	12	Civil society impact.	In the past 12 months, what impact did you have on building a strong civil society?	+1
	13	Relation with public sector organisations.	In the past 12 months, what interaction did you have with public sector organisations to realise your programme and organisations' objectives?	0
	14	Relation with private sector organisations	In the past 12 months, what interaction did you have with private sector organisations to realise your programme and organisations' perspective?	0
	15	Influence upon public policies, rules, regulations	How successful have you been in influencing public policies and practices in the past 2 years?	0
	16	Influence upon private sector agencies' policies, rules, regulations.	How successful have you been in influencing private sector policies and practices in the past 2 years?	0
CS context	17	Coping strategies	In the past 2 years, how did your organisation cope with these changes in the context that may have been positive or negative consequences for civil society.	+1

Appendix 2 Changes in civil society indicators between 2012 and 2014

1. Civic Engagement

1.1 Needs of marginalised groups

As at the time of the baseline, so also now, NNET continues to be a network of 10 organisations that works at "spreading legal awareness among Adivasis and primitive tribes in states of Assam and Tripura in the North Eastern part of India". Towards this NNET has two specific programme components. First, recruiting, training and guiding a Para Legal Personnel (PLP) in each of its project villages, who is paid an honorarium[66] for spreading awareness on rights and entitlements under government schemes, and assisting villagers avail of these. Second, capacitating women and youth in the project villages such that they evolve into pressure groups that complement the PLPs' work[67].

The PLP programme's outreach since the baseline has increased as per its fixed mandate. The PLP programme pilot in 2011 was implemented in 10 villages, with 10 PLPs recruited. Since then, the programme's expansion in geographical terms has been laid down—20 new villages are to be reached out to every year by each of the two states, and one PLP is to be employed per village. So, the period between 2011 and 2014 have seen NNET Assam and Tripura cumulatively reaching out to 140 villages (70 Assam and 70 Tripura), and 140 PLPs recruited and trained.

According to NNET Assam's Quarterly Reports and Tripura's Report for MM 2013-14 there has been improved engagement of PLPs so that 40 villages in Assam and Tripura have had access to government schemes through filing 3172 applications in 2013-14 (including RTIs) to benefit 9734 people directly and 7337 people indirectly. In comparison and in the period 2012-2013, 1327 applications were filed and through the awareness programme 5,586 people were reached (no similar figures as in 2013-2014 are available).

NNET staff reported improvement in the performance of the PLPs associated with its programme. The Tripura coordinators said that many PLPs now file applications on their own, motivate and mobilise people to participate in awareness programmes, and conduct follow-ups. The new PLPs, they said, are proactive, keen learners and motivated to help the community access their rights and entitlements. The villagers approach PLPs for receiving assistance in filing RTIs since they know that PLPs have the technical know-how and legal knowledge that can help them claim their rights. Community hesitation has also come down since PLPs do not charge anything for their services. The action plan and guided fieldwork has helped the PLPs in devising ways to solve issues on their own and take charge of situations. Such initiatives have helped for example revive the Anganwadi system in the Kamranga centre, Cachar district, in 2014. Moreover, some PLPs have graduated to the position of being full time employees of NNET and are now working as coordinators, assisting new PLPs in their work.

Even as these improvements in PLPs' performance were registered, NNET staff reported some challenges that still pose a problem for sustainability of the programme and as such supporting the changes the civil society is experiencing. The Assam coordinators feel that there is a need to expand the number of PLPs that are employed per village, but that is not possible unless funding constraints are released. The year-end evaluation of the 2013 PLP programme saw NNET Tripura partners, coordinators and PLPs discussing the strengths, weaknesses, opportunities and threats associated with the 20 PLPs that were hired for the programme. While the PLPs' dedication, enthusiasm and rapport

[66] The PLP honorarium is Rs 400 per month, and expenses incurred for travel, meeting's organised etc.

[67] This aspect includes according to us the skill training programme for youth implemented by one of Tripura's partner (ASHA)

with the target population formed the areas of strength of PLPs' work, political interference posed a problem for PLPs. Moreover, out of 20 PLPs who were recruited, only four had passed matriculation exams and most lacked good communication and reporting skills, creating a problem in mapping the success of their work. Similar difficulties were identified during evaluation of NNET Assam where in some cases, PLPs' lacked seriousness in their work and in others, ethnic violence kept people from participating in awareness programmes and non-cooperation from village headman and villagers led them to miss their mark in stopping human trafficking and sending drop-out children to schools.

The capacity building programme for women and youth, meanwhile, has been a more recent addition with money having been first budgeted for it in 2012 and ground activities beginning only in 2013.

The Assam partners spoke of having selected around 20 to 25 women in Kumarikata in Nalbari district, in 2013-14, based on their leadership[68] qualities. The Assam reports available[69] mention the formation of four women groups. An initial capacity building workshop was organised for them. After that monthly trainings were held; the subjects taught were decided by the partners and included issues such as domestic violence, human trafficking and women leadership. The women were also trained on dealing with local issues. For instance, in Kumarikata last year, about 50 people had worked under MNREGA without getting paid. The women and youth supported the PLPs in the struggle to get these people their dues. In Assam, four youth groups were formed and received quarterly meetings. 45 young people also attended a 3-day training.

The Tripura personnel had varied versions on what had been done under the women and youth programme component in 2013 and 2014. In that state four women groups were formed. According to the (April-September 2013) report, legal awareness meetings have been organised by them for the youth and women every month, in the four villages, under every centre. The programme managers said that these two years had seen them: a) holding meetings with 80 women and youth from their project villages in 2013 and 2014, on issues such as domestic violence, women's rights, health and hygiene; b) organising annual camps for about 40 to 45 Adivasi youth, the last held in October 2014, where the participants interacted with PLPs and coordinators and were lectured on subjects like tribal culture, leadership skills etc; c) organising four-days long workshops in May 2013 and January 2014 where 10 boys were taught mobile repairing and 10 girls were given trainings on embroidery and tailoring (Final Report for MM: 2013-14). This sub-component corresponds to the skill building training programme run by ASHA since 2013 and that helped 32 youth, including 11 girls, turn entrepreneurs and earn an average daily income of Rs. 250 to 350 in 2013. The field staff, on the other hand, stated that annual training had been organised for women, 24 monthly issue-based village meetings with both women and youth. At any rate, there seemed to be a consensus that this year would see a combined training organised for women and youth.

The participation of its target group, the Adivasis, is central to NNET which has, from its inception year, recruited unemployed youth, mostly Adivasis, from the project villages as PLPs. But the period since the baseline has seen NNET reflecting on its strategy to focus on a particular community alone. A NNET Field Report dated November 2013 asks: "Are we only concentrating on the Adivasis? There are multi communities where some partners work; therefore awareness programme (should reach out to) to all without any discrimination. Awareness programme may prevent stereotypes in the minds of the other communities."

And both states are indeed reaching out to many communities other than the Adivasis, as also more women, since the baseline. For instance, NNET Assam conducted a survey in July 2014 on human trafficking in Baganpara in Nalbari district aimed at identifying people and children who had left their homes for work but had not returned with their whereabouts unknown; the exercise had made no distinctions between Adivasis and non-Adivasis. With regards to women, in 2011 there was one female PLP in Assam and none in Tripura. In 2012, there was only one female PLP in Assam, but in the 2013 and 2014 batches there were four each. In Tripura, data is not available for 2012, but there were

[68] On further probing "leadership quality" was described being articulate, willingness and capability to attend meetings and maybe even travel out of the village if such a need arises. Education was seen as a contributing to the "leadership quality" but not an imperative, because there aren't many educated women in the villages.

[69] See 'Assam- Report of women group formation'; 'Assam-Report of Women'; 'Assam-Women's Capacity building Training; 'Assam-women's Exposure Programme'

three in 2013 and four women PLPs in 2014. Over the past two years Assam has had nine women PLPs and Tripura has had seven women PLPs. The NNET Tripura Report for MM 2013-14, in fact, states that 50 per cent of women in project villages now attend meetings and programmes. The Assam programme managers also said that larger numbers of women presently attend NNET meetings, they attribute this to a growth in the community's trust for NNET. They add that people from non-Adivasi communities have also now started attending NNET meetings. Tripura's leadership and field staff corroborate this and shared that the NNET beneficiaries have now expanded to include not just the Adivasis, but also Nepalis, Boros[70] , Assamese and other linguistic groups[71].

Everyone across the NNET hierarchies in both states was unanimous that there had been considerable improvement vis a vis outreach since the baseline. While NNET Assam admitted that the numbers had not risen remarkably because of a set geographical expansion plan, they emphasised that they looked at their work as a process and not just a multiplication of numbers—one PLP has the capability of influencing many people, so the expansion has been in qualitative terms.

Score: +1

1.2 Involvement of the target groups

Beginning 2011 till date, NNET continues to ensure the involvement of its target groups by selecting educated and unemployed youth from within the project villages as PLPs.

The improvement in PLP profile and work now finds reflection within the larger target group. NNET personnel in both states said that the participation and interest of target groups has risen since the baseline. Having said which, the executive leadership in both states was categorical its target group has had no role in the analysis, planning and evaluation of NNET's activities in the PLP component since the baseline. This part of the programme is about "legal education"—the target group is not considered to have competent technical knowledge to be planning project activities for this presently. They, however, qualified that this was not so for the women and youth capacity building component, and that the target population is consulted at planning and evaluation levels for it. The evaluators found no evidence, either by way of documentation or interview, backing this claim. It may be noted however that, according to the project documents, the PLPs take part in the evaluation of the PLP component of the programme.

Score: +1

1.3 Intensity of political engagement

NNET personnel across hierarchies, in both states, said that the network's engagement with elected representatives has improved since the baseline. This even as NNET has from the beginning, in fact, invited panchayat members, ward members and village council members (Tripura) to participate in legal awareness programmes organised for the target groups. Coordinators and PLPs have also, since the programme was initiated, routinely obtained information on government schemes available through the village panchayat and Village Development Centre (VDC), and passed it on to villagers.

The only remarkable change since the baseline seems to have been that some NNET personnel have contested and won panchayat elections. In 2013, a NNET Assam coordinator was elected ward member and another became Gaonburah (headman) of his village's VCDC (Village Council Development Committee) in 2014. A woman who was a participant in Tripura's capacity building workshop became a panchayat member in 2013 in a project village under the Gandacherra centre in Dhalai district. But these victories have also brought in a new set of challenges, said the Tripura

[70] Boro (Bodo) is the largest tribe in the Brahmaputra valley of Assam. The bodo 's have been economically and socially deprived compared to other communities in the region, giving rise to the Bodoland Movement. A Bodoland Territorial Council is a "territorial privilege" guaranteed to the Bodos' of Assam to protect their culture. *Refer,* http://www.indianmirror.com/tribes/bodotribe.html

[71] With regards the extension of NNET work to other groups than Adivasi, MM staff did not see it as part of a clear strategy. She agreed that as such NNET is a network not only for Adivasi but she questioned the relevance of such an expansion mentioning that often the Adivasi live in villages where no other groups are living.

personnel. A colleague became the Kamranga village (Dhalai District) sarpanch in 2014, only to realise that NNET's work, often done by pressurising the government to work effectively for people, stood to disconnect him from the state's larger politics. His subsequent efforts at stalling NNET's work had to be stymied through discussions. Convinced, he now informs villagers of government schemes and also, recently, gave a talk on land rights.

Score: +1

2. Level of Organisation

2. 1 Relations with other organisations

As in the baseline, so also now, NNET's most intensive relations are amongst its own network partners, followed by that with LCHR which is the resource organisation for the network's collective project under MFS II. And though the NNET teams largely gave positive scores for this indicator these scores seem to be incongruous given that the period since the baseline, in fact, saw a stress in the primary relations within the network. An Evaluation Report 2013-2014 NNET Project – Assam Unit states: "The NNET project in Assam was operated in 20xx [72]under lots of new circumstances. New 'working arrangements' were required to enhance networking among the stakeholders such as NNET team, partners and LCHR. There were occasions of strains and misunderstanding among these stakeholders. It taught all of us new lessons of cooperation and working together. We learned that 'Networking' certainly is harder than individually operating.'

As they had during the baseline, NNET teams in both states continued to cite the partners' inability to intervene in or influence each other's work as a major weakness. Remote locations and long distances, meanwhile, continue to keep the partners from physically meeting each other frequently. LCHR was active in both Assam and Tripura at the time of the baseline, but NNET in Tripura discontinued its LCHR services in March 2013 having built a legal resource team within its staff. Whether NNET Assam continues to seek LCHR's services post its contract ending in October 2015 remains to be seen; the evaluators got no clear response pertaining to this either from NNET or LCHR.

Meanwhile, NNET Assam's interactions with other organisations appeared to be informal. Most of these collaborations, moreover, are new, in that they were not named during the baseline. The Assam field staff said that they work with: a) Discover in Kokrajhar on women's issues, livelihoods and marginalised communities; b) Bongaigaon Gana Seva Society (BGSS)[73] on women's issues, livelihoods and rights-based issues; c) EkalVidyalayaAbhiyan (EVA)[74] on education and RTI in Tinsukia District; d) Seva Kendra (SK)[75] in Dibrugarh on awareness programmes on legal rights. The programme managers said they work with: a) Human Empowerment and Development Centre (HEDC)[76] on legal awareness, children's parliament and vocational issues; b) North Eastern Community Health Association (NECHA)[77] on women's health and hygiene. Assam's executive

[72] This information remains missing, also after feed-back provided by NNET.

[73]BongaigaonGanaSeva Society (BGSS) is an NGO based out of Bongaigaon in Assam. It works on the issues of dalitupliftment, disaster management, legal awareness, tribal affairs and women empowerment etc. It was registered in 1998. *Refer,*http://www.indiamapped.com/ngo-in-assam/guwahati/bongaigaon-gana-seva-society-2616/

[74]EkalVidyalayaAbhiyan (EKV) is part of the EkalVidyalaya Foundation, a not-for profit organisation working to bring basic education and village development to rural India. *Refer,*https://www.google.co.in/search?q=kamranga&oq=kamranga&aqs=chrome..69i57j0l5.1553j0j4&sourceid=chrome&es_sm=93&ie=UTF-8#q=Ekkal+Vidyalaya+Abhiyaan+

[75]Seva Kendra (SK) in Dibrugarh was established in 1982. It's a not-for profit organisation, and "an official organ of the Diocese of Dibrugarh for planning social and development programmes". *Refer,* http://sk-dib.org/

[76] Human Empowerment and Development Centre (HEDC) based out of Guwahati in Assam, works on "social transformation and economic development of backward communities" in the states of Assam, Nagaland, Manipur and Arunachal Pradesh. *Refer,* http://fmandf.org/guwahati/origin/

[77] North Eastern Community Health Association (NECHA) works as a not-for profit. Its goal is to, "community health a people's initiative in the village of North East India". *Refer,* http://nechaindia.org/vision.htm

leadership spoke of a newfound cooperation with the Guwahati-based NEDSSS (North East Diocesan Social Service Society)[78] towards monitoring the situation in the North East.

Apart from these new alliances, NNET Assam seems to have had continued collaborations with five organisations since the baseline: i) AIDA-ANMA (Integrated Development Association-Assam, Nagaland, Manipur, and Arunachal Pradesh)[79] which also works to provide legal awareness to the marginalised communities; ii) All Adivasi Women's Association of Assam (AAWAA), which was commissioned by NNET to conduct a survey in 2014 on trafficking/migration out of the region for domestic work. The survey was conducted in GuhaibitiBasti, Dahelua and Kampour of Naigaon district; iii) PAJHRA (Promotion and Advancement of Justice, Harmony and Rights of Adivasis)[80] with whom NNET in Assam has been collaborating on the advocacy concerning hike in minimum wages for tea workers; iv) GanaChetnaSamaj[81]

The Tripura team, meanwhile, said hardly any organisations work in the far-flung unconnected areas they work in, which makes forging and nurturing relationships difficult. According to the partners and field staff, 12 health camps were organised in July-August 2014, for malaria affected villages, with the social service organisation called JUST based out of Agartala. Also, in October 2014, in Kamranga, Cachar district, they organised a health camp and through all of health camps combined they managed to reach out to 1200 people. Apart from this, most of Tripura's interactions with others since the baseline seem to have been through one-of exposure visits. One was for the coordinators, organised in collaboration with JeevanVikasSanstha (JVS)[82] in Amravati, Pune and Central India, in March 2013, objective being to observe the income generation activities and work with farmers' suicides families by JVS. Another was a programme managers' visit to observe SHG groups in Shillong, in November 2013, on an exposure programme with Bethany Development Society[83] who work on forming SHGs and livestock promotion. The field staff reported occasional interactions with BSU (Bru Student Union) on legal awareness (the evaluators could not connect with BSU to confirm this despite many attempts). No mention was made of SHAKTI—Legal Aid and Human Rights Centre (LAHRC) in Surat, Gujarat and TUDI (Tribal Unity and Development Initiative) in Kerala, the two organisations NNET Tripura had said it was working with at the time of the baseline.

Score: 0

2.2 Frequency of dialogue with closest civil society organisation

Remote locations and long distances continue to keep the NNET partners from physically meeting each other frequently. The Assam partners usually come together only during training programmes, but keep in touch over regular emails and phone calls. The Tripura partners manage to meet once in a month at the office of a partner, ASHA Holy Cross[84] , in Agartala, a day before the Bishops Monthly Recollection (monthly prayer meeting) where the congregations meet. By having the partner meeting

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[78] The North East Diocesan Social Forum is a voluntary non-governmental organisation. "It is the official organisation of all the Catholic Dioceses of North East India, for the facilitation and promotion of the integrated development of the region. The Social Forum is collectively owned by all the dioceses of the North East".*Refer,* http://www.nedsf.net/

[79]ANMA (Assam, Nagaland, Manipur, and Arunachal Pradesh) Integrated Development Association (AIDA**)** is the social development wing of the Salesians of Don Bosco, Province of Dimapur. *Refer,* http://aidasdb.org/

[80] PAJHRA (Promotion and Advancement of Justice, Harmony and Rights of Adivasis) is an organisation which was started by a group of Adivasi social activists, leaders and academicians. The main issues that they address are similar to the ones picked by NNET like – identity, Adivasis' constitutional rights, human trafficking, health, education and livelihood. They work with Adivasi institutions, strengthening them and promoting those that require it. *Refer,*www.pajhra.org

[81]GanaChetanaSamaj (GCS) is an offshoot of the Nagaland Jesuit Society (NJS). It works with tea tribe workers and also helps tribal and Adivasi women to form self-help groups (SHGs). *Refer,* http://www.jesaonline.org/index.php?option=com_content&view=article&id=632:case-study-ii-chapaguri-village-community&catid=14:programmes&Itemid=18

[82]JeevanVikasSanstha (JVS) is a voluntary, not-for-profit, social development wing of the Catholic diocese of Amravati in Maharashtra. *Refer,*http://www.ngojvsindia.org/

[83]Bethany Development Society is based in East Garo Hills of Meghalaya and is a not-for profit charitable trust. It works with disabled people, training and strengthening SHGs, training teachers etc. *Refer,*http://bethanysociety.in/highlights/

[84] Asha (Association for Social and Human Advancement) is an official social service wing of the Society of the Fathers of Holy Cross, North-East India. They have been involved in formal and informal education and performance of social service, aimed towards a higher socio-economic and human development in north-east India since 1937. Refer, http://www.ashaholycross.org/

at the same time as the prayer meetings, they have managed to increase communication and contact between the partners in Tripura. And partners from both the states meet once a year in Guwahati. NNET Assam's interactions with other organisations seem largely on a needs basis. While one or two weekly phone calls are made to Discover on work related issues, BGSS is met on a monthly basis, or whenever the need arises, and KS is met three to four times a year. HEDC meets three to four times a year and NECHA about four times a year. NNET Assam's interactions with AIDA-ANMA and AAWAA have been consistent and frequent since the baseline. The Tripura team, meanwhile, seems to have very minimal interactions with other organisations. The Tripura field staff, for instance, regretted that their last interaction even with their Assam counterparts, or indeed LCHR, had been in 2010-11. Some coordinators, however, claimed to be interacting with BSU on a monthly basis; the evaluators could not establish contact with BSU for a confirmation of this claim.
Barring the Tripura programme managers who saw no change as compared to the baseline, NNET teams across hierarchies in both states reported an improvement in the frequency of interactions with other organisations. However, there seemed to be little by way of evidence to substantiate this.

Score: 0

2.3 Defending the interests of marginalised groups

At the time of the baseline, the NNET executive named the ten partner organisations that comprise the network as best defendants of the interests of the marginalised. The end line had them highlighting the PLPs' work as illustrative of the best efforts made to defend the interests of NNET's target groups.
The other organisations named by the Assam and Tripura NNET partners and staff in this context were: PAJHRA, Chetna Society (CS), Guwahati-based NEDSSS (North East Diocesan Social Service Society), and Seva Kendra (SK), GramyaVikashManch[85], BongaigaonGanaSeva Society (GSS) and EkalVidyalayaAbhiyan (EVA).

Score: +1

2.4 Composition of Financial Resource Base

As in the baseline, MM continues to be the sole funder of NNET. This funding is being utilised for the PLP trainings as well as capacity building trainings for youth and women. Apart from this staff salaries, programme costs and consultation costs etc. are also being sustained with the help of MM funding. This funding will be ending in March 2015; NNET is yet to arrange for alternative funding when this happens.

The executive leadership also listed their religious congregations as another monetary source for the network partners but the Tripura executive leadership disagreed.

The field staff and programme managers in Assam also added that, at times, the community also takes responsibility for a particular programme. As such, the villagers would make arrangements on their own for venues, seating, and snacks etc. As for the field staff, they said that little information is passed to them in terms of finances and monetary entitlements which often force them to pay out of their own pockets for official work.

Score: 0

[85] GramyaVikash Mancha is a non-profit people oriented development organization working in rural areas of Assam, it has mainly worked to train people in disaster management and also, provides support to help strengthen SHGs. *Refer,* http://www.aidprojects.org/ngos-edit.aspx?cmd=0&login=guest&id=430

3. Practice of Values

3.1 Downward accountability

Since the baseline, NNET's leadership has continued to consider the organisation's structure horizontal rather than vertical, with all the ten partners being equal. Although, information is passed and shared between the partners and the executive leadership on finances and project progress, no such information is being passed to the programme coordinators and the PLPs. And it can, therefore, be concluded that no such information is being passed to NNET's target groups.

The programme coordinators and the PLPs claimed that they are not provided any information with regards to funding. They are given a fixed amount and are required to make all and any arrangements for the project through that. They make monthly reports which are passed on to the executive leadership but once these field reports are compiled they are not shared with the field workers and PLPs. Also, as in the baseline, the PLPs continued to regret that there is little information passed on to them, in terms of, funds, budgets, travel expenses etc, and that they are often forced to spend out of their own pocket for official work.

Score: 0

3.2 Composition of Social Organs

NNET is a network of partner organisations with the partners having an equal say over issues pertaining to its functioning. NNET does not have a board, or any other form of permanent structure. The partner organisations belong to different Catholic congregations and are represented by nuns and priests, liable to be transferred to other posts by their respective congregations. The coordinator and assistant coordinator of the network are priests.
Since the baseline, there has been no change in this structure.
The field staff in Assam continued to insist that the leadership should preferably be from the target villages and the marginalised communities as they will be more readily accepted by the people. But this has not happened, as the partners or the coordinators after almost two years are still not chosen from the marginalised communities or the target groups. What also becomes apparent is the disconnect between the Assam and Tripura partners, as according to the field staff in Tripura, they do not have any idea about the leadership of Assam partners.

Score: 0

3.3 External financial auditing

As at the time of the baseline, external auditing continues to take place once a year.

Score: 0

4. Perception of Impact

4.1 Client satisfaction

At the time of the baseline, the NNET executive leadership mentioned the inability of the tribal communities to avail their rights and legal entitlements as the most important concern of their target groups. Their rights and entitlements include, among others, the right to education, right to information, land rights, and the right to livelihood. The target groups also need to get access to government schemes and programmes such as MGNREGA[86] , Indira AwasYojana (IAY)[87] , Public

[86] Mahatma Gandhi National Rural Employment Guarantee Act (MGNREGA), 2005, is designed to provide a guaranteed job (non-skilled) to all adult members of a family living in a rural area for at least 100 days. *Refer,* http://www.mgnrega.co.in/

Distribution System (PDS)[88] , Midday Meal Scheme[89] , widow and old age pensions, student scholarships etc. Towards this, NNET aims to empower Adivasi and marginalised tribes to build their legal skills and knowledge so they are able to exercise and claim the above mentioned rights and entitlements.

During the end line workshop, NNET maintained that the key concerns of its target groups have remained the same but that NNET's work since the baseline has expanded its outreach such that many more people now have access to their rights and entitlements. Showcasing the varied nature of their work, the Tripura team shared that the PLPs' efforts in the period between 2012 and 2014 brought BPL (Below Poverty Line) cards for 27 families in Kathalcherra in Dhalai district of Assam, old age pensions for 60 families, widow pensions for 21, job cards under NREGA for 60 families, permanent residence certificate for 30 people, panchayat certificates for 35 families, income certificate for 40 families, handicapped pensions for 25 families, death and birth certificates for 15 and 21 families respectively.

Other examples were cited by the Assam PLPs: several people from a project village recovered dues for their NREGA work from the Panchayat head; women benefitted from the National Rural Health Mission (NRHM)[90]scheme after a RTI was filed by the PLPs and coordinators to help them get their dues since 2009.According to the quarterly reports for Assam and Tripura, the PLPs have in the period of 2013-14, helped 105 people open bank accounts, irrespective of which community they belonged to. The Assam staff reported having assisted 76 girls and boys in Saint Mary's in Margherita town receive scholarships reserved for minority communities. For this they helped the students obtain the required paperwork such as minority certificate, income certificate etc, and facilitated the opening of bank accounts for them so that their scholarships could be deposited for the 2013-14 academic year.

Beyond getting access to government schemes and programmes there is an increased number of examples where PLPs (sometimes together with communities as collective action) took action in more complicated cases (like atrocities): In July 2014, PLPs in Simna intervened when a teacher was found treating children belonging to the "lower castes" as untouchables and throwing their midday meal at them. The PLPs and coordinators built community opinion against the teacher, and the teacher had to stop under such pressure. Another new issue that was dealt with was kidnapping, which is common in these regions of Tripura. In August 2014, the project village Gandacherra, in Dhalai district, saw two men who had been kidnapped for three months being released only after a ransom was paid. This was followed by two more kidnappings in a neighbouring village. The PLPs decided to intervene by campaigning with people about the ills of kidnapping, how to protect oneself against such an eventuality, and speaking to concerned authorities on the matter. On their part, the Tripura team narrated an instance when a PLP lodged an FIR (First Information Report) with the police in September 2014 after two adolescent girls were raped in his project village of Purna Kishore Para. The PLP was beaten up by the villagers, upon which he filed yet another FIR which saw the accused being arrested, and the girls being admitted into a hospital. PLPs from Assam shared instances of Jagun centre of Tinsukia district, where they served as mediators to settle local issues of under-age girl marriage and domestic violence after the plaintiffs approached them for assistance.

All the successes achieved have reinforced the villagers' trust in PLPs' and NNET's work and they have started approaching PLPs for assistance on a number of legal issues concerning their rights and entitlements and the PLPs then help them take necessary action. Also, an increase in the number of participants for the awareness programmes, especially women (NNET Tripura said that women's

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[87]Indira AwaasYojana (IAY) was launched during 1985-86 as a sub-scheme of Rural Landless Employment Guarantee Programme (RLEGP) and continued as a sub-scheme of JawaharRozgarYojana (JRY) since its launching from April, 1989. It is a social welfare programme aimed at providing housing for the poor. *Refer*, http://odishapanchayat.gov.in/english/IAY.asp

[88]Public Distribution System (PDS) in the country facilitates the supply of food grains and distribution of essential commodities to a large number of poor people through a network of Fair price shops at a subsidised price on a recurring basis. *Refer,* http://epds.nic.in/

[89]The Midday Meal scheme was introduced in 1952. Through this, the *State Governments/Union Territories have to provide every child in every Government and Government assisted Primary School with a prepared mid-day meal. Refer,* http://mdm.nic.in/

[90] The National Rural Health Mission (NRHM) was launched in 2005. Its aim was to provide affordable and quality health care to the rural population, especially the vulnerable groups. *Refer,* http://nrhm.gov.in

participation has reached an average of 50 per cent in most of their village meetings), has been registered over the past two years as people have developed confidence and are eager to learn about schemes beneficial for them. Increasing numbers of people now enquire as to when NNET will conduct its next trainings. Like during the baseline, the changes that took place in the villages supported by the programme led people from non-project villages to approach the PLPs with their problems as well as non-Adivasi groups to solicit NNET's help.

Overall, NNET partners and staff in both Assam and Tripura agreed that there had been considerable improvement vis a vis client satisfaction since the baseline. NNET personnel in both states said that the participation and interest of target groups has risen since the baseline. Also, that there is lot more repeat participation in the village meetings compared to earlier.

Score: +1

4.2 Civil Society impact

The objective of NNET's programmes and campaigns is to spread general awareness on rights and entitlements at the community level, while ensuring that individual claims to government schemes and benefits are realised.

As a result of the interventions made by PLPs and the coordinators, village communities at large have claimed various benefits provided under government schemes and programmes by using RTI (see descriptions of the results under indicator 4.1). The capacity building tribal youth initiative of NNET Tripura has enabled a number of Adivasi youth to become entrepreneurs and to become financially independent[91] in 2013 after having undertaken skills training in mobile repairing, computer applications and working as beauticians. The example cited earlier (see under indicator 1.3) of a colleague who became the Kamranga village (Dhalai District) sarpanch in 2014 but did not automatically embrace the cause of the Adivasi and has needed some extra sensitization shows the difficulty in bringing changes but is a great behavior and mind change example of the impact of NNET's work on society.

Beyond individual changes, the knowledge shared through the programme has helped the communities to organise themselves to take collective action to achieve desired results in many instances such as closing down liquor shops, getting mid-day meals and uniforms for their children etc. Former Tripura PLPs reported to have contributed towards organising women groups in the Kathalcherra centre of Dhalai district, which succeeded in getting liquor shops closed in their respective villages in October 2013.PLPs, with the help of the communities, have also picked up some more complicated problems which deal with recurrent behaviors among villagers (please refer to the examples of rape and kidnapping under indicator 4.1). Apart from this, the PLPs and coordinators succeeded in establishing communications with government officials and ministers to uncover corruption in the tea gardens of Assam where one labourer is made to do the work of two at minimal wages, reported Assam coordinators. Moreover, the surveys on human trafficking and school drop-outs[92] conducted with the help of PLPs have borne positive results: NNET Assam field staff reported having being ableto send six students back to school and in the sense that the survey on human trafficking in July 2014 in the villages covered under the Baganparacentre of Nalbari district also included non-Adivasi communities. According to MM, the fact that the backward communities are willing and able to talk to other communities, that these marginalized people dare to talk to government officials or that children parliaments seem to be functioning are more example of improvement of the society.

Despite challenges linked to PLPs as mentioned under indicator 1.1, staff from both the states agreed that the intensity of PLPs' engagement as also the quality of their work has improved since the baseline. The former PLPs from Tripura, residents themselves from the project villages, said that their work has helped empower people and created a positive impact for the communities of villages

[91] As quoted in Asha's report (2013) "[…] students have become self-entrepreneurs by earning their livelihood. They also help the family to be stable in terms of finance and status".

[92] The survey was conducted in Kumarikatacentre of Nalbari district, in September 2014

associated with Kathalcherracentre, Dhalai district, where people have managed to get toilets for their homes through the knowledge given by the PLPs. Most importantly, they said, members from the marginalised groups, especially women, have learnt to actively fight for their due as citizens.

An external resource person said that NNET's work has helped people develop awareness about rights, legalities, government schemes with respect to education, health, nutrition etc, as also increased the confidence and courage of communities to fight for their rights.

Score: +1

4.3 Relations with Public Sector Organisations

As at the time of baseline, there have not been any outstanding developments in regards to NNET's relationship with public sector organisations.

NNET in both the states faces resistance from the panchayats and the government in the process of their work that involves getting the panchayats and the government to work with diligence, and use funds for what they are meant for, instead of corrupt officials pocketing it for themselves. This often creates friction between the state machineries and the organisation. NNET has tried to cope with this by getting the officials involved in their work, making it clear that they are apolitical and are only working for the people's welfare. In some areas, the panchayats now support NNET in carrying out their mandate.

One new development has been a one-off interaction with NABARD (National Bank for Agriculture and Rural Development). The bank got in touch with the PLPs of Assam and informed them about certain schemes relevant to the target groups NNET works with, and asked them to spread this information to Self-Help Groups (SHGs) in their area.

Score: 0

4.4 Relations with Private Sector Agencies

At the time of the baseline, NNET partners in Assam said their relationship with private sector agencies was on a case to case basis and at times only limited to receiving donations from them. An organisation called IDEA, in Dimapur (Nagaland) was casually mentioned by the executive leadership with whom they have started initial discussions. The Tripura staff had denied having any relationship at all with the private sector. Similarly, almost two years later, the situation remains the same; there has been no interaction with the private sector in the period since the baseline either in Tripura or Assam.

Score: 0

4.5 Influence upon public policies, rules, regulations

In terms of influencing public policies, rules and regulations NNET, at the time of the baseline, was working to ensure ST (Scheduled Tribe) status for the Adivasi community through advocacy and networking. They were also filing a Public Interest Litigation (PIL) with child-rights NGO BachpanBachaoAndolan (BBA)[93] to stop child labour and trafficking in Assam. Apart from this they had been able to strengthen the functioning of the Integrated Child Development Scheme (ICDS) and the Public Distribution System (PDS) by filing RTI applications.

There has not been much progress over the ST status issue. This issue is a politically charged matter in the state of Assam, preventing any rapid developments. The Assam partners on their part interacted with a member of parliament on the issue. Also, a group of its staff had visited the Andaman & Nicobar Islands to study the Adivasi communities there and thus, understand the issue better. But no change in public policy has been achieved.

[93]BachpanBachaoAndolan (BBA) is a child rights NGO formed in 1980, to fight against slavery, forced labour and trafficking of children. *Refer,*http://www.bba.org.in/?q=content/about-us

In Tripura, the issue of rights of Adivasis' is comparatively not as politically charged a matter as in Assam. Nevertheless, NNET partners in Tripura organised a five-day awareness programme on culture, in March 2014, in an effort to influence and shape opinions of the people over the issue of recognition of Adivasi and linguistic groups' rights by the state.

External resource persons interviewed during the workshop did not have any information about NNET's role in relation to the ST status movement for the Adivasi community. The name of All Adivasi Students Association of Assam (AASAA) was mentioned for spearheading this movement by PAJHRA who NNET collaborates with on building legal awareness over the minimum wage issue.

On the issue of PIL on child trafficking and labour there have been new developments since the baseline. The PIL filed by NNET in 2013 has now been clubbed by the court with two other PILs submitted on the matter—a suo-moto and a letter written on the matter by another organisation to the Chief Justice of India. These three have now been combined and will be treated as a single case file.

NNET's work on the Public Distribution System has continued as before, by bringing changes in its functioning in areas where NNET operates. For instance, in Margherita in Tinsukia district of Assam, NNET coordinators spoke to the Sub-Divisional Officer in-charge of ration shops which were before located far away and inaccessible and managed to get them shifted to their area.

Score: 0

4.6 Influence upon private sector agencies' policies, rules, regulations

NNET's executive leadership, at the time of the baseline, was involved in trying to influence the policies on minimum wages for tea garden labourers. During the period since the baseline, the minimum wage has increased from Rs 62 in 2012 to Rs 94 in 2014 for tea garden workers and Rs 120 in 2012 to Rs 167 for NREGA workers.

NNET on its part has been involved in advocacy on the issue of minimum wage of tea garden workers along with PAJHRA. PAJHRA confirmed that they had taken support of and consulted with LCHR (NNET's resource organisation) on this issue. PAJHRA, however, qualified that the change in wage is mainly been driven by AASAA which has played a very active role in ensuring a wage hike. AASAA, meanwhile, made available to the evaluators a number of news clippings outlining their efforts for this cause; NNET has not been mentioned in these news clippings, nor was the AASAA representative interviewed aware of NNET.

NNET's executive leadership mentioned that their role on changing policies of tea garden workers' wages has been only as a supportive organisation: together with PAJHRA they focused on creating legal awareness on the issue. Even NNET's field staff in Assam has named AASAA as the main runner behind this change.

In Tripura, the PLPs have been involved in ensuring that the existing policies of private agencies are being followed. For instance, in Simna, near Agartala, an electric company was not paying its workers the promised wages. The workers brought this to the attention of the PLP who took the manager of the company to the police station, following which he was forced to pay adequate wages to the workers.

Also, Reangs[94] , a scheduled tribe, working in Jhum[95] cultivation were not receiving adequate wages. The PLPs from Kathalchhera, Dhalai district, Assam, filed a complaint with the labour office following which the workers started getting Rs 200; this was an increase from Rs 75 which they were getting earlier.

NNET has had very limited, if any role over influencing private policies, rule and regulations.

[94]The Reangs are the second largest tribal community of Tripura. Most of them even today are nomadic and involved heavily in Jhum cultivation. *Refer,*http://www.tritripura.in/tri/Tribes/Reang.aspx

[95]Jhum cultivation is also referred to as slash and burn, shifting cultivation. It is a cultivation practice mostly in prevalent in the north-eastern hills of India. *Refer,*http://indiatogether.org/jhum-agriculture

Score: 0

5. Environment

5.1 Coping Strategies

At the time of the baseline, the challenges that the environment in which NNET works were as follows: a) huge distances and poor connectivity between places, b) political tension resulting in regular shutdowns and road blocks, c) ethnic turmoil, d) trafficking of women and children, and e) suspicions over NNET as a faith-based organisation trying to convert people.

In the past two 1,5 years, these same challenges continued to pose problems in addition to a new set of issues.

Assam and Tripura, like most of the north-east states, have poor infrastructure, connectivity and lack of adequate modes of transportation from one place to another, making travelling tedious and time-consuming. Some of these issues are chronic problems in the region with no immediate resolution. The NNET partners from both the states only meet once a year, as they are situated far-away from each other making physical meetings difficult. This is especially problematic for a network like NNET, as according to its executive leadership, coordinating the different and often conflicting interests of the partners is quite a demanding task which reduces efficiency.

The change in FCRA (Foreign Contribution Regulation Act) Rules [96] has also made the cohesion between the partners in two states problematic, as the new rules do not permit transfer of funds from one state to another. In the first year of the project, the funds would be put in LCHR's FCRA account and then transferred to the partners in Tripura. They have managed to overcome these new regulations, as for now, the funds are first transferred to ASHA FC in Tripura, and then they are given by Cheques to Father Jose in Assam, who distributes it to the Assam partners.

Issues relevant from the baseline still affect the workings of NNET. There is still a fear of conversion when NNET enters a new target area; they try to counter this by making it a point to talk about people's rights rather than religion.

According to external resource persons, the positive has been that the youth are today more aware and educated which has helped in creating legal awareness easier to a more attentive audience. NNET has also had to made peace with the fact that with increasing levels of education of the PLPs, they are more likely to leave for better paying jobs.

Score: +1

[96] FCRA 2010, an act to regulate the acceptance and utilisation of foreign contribution by certain persons or associations. *Refer*, http://indianexpress.com/article/india/india-others/only-11-of-22-ngos-in-ib-report-are-fcra-compliant-none-filed-13-14-statement/99/

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Prithvi Theatre end line report

MFS II country evaluations, Civil Society component

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Report CDI-15-027

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This report describes the findings of the end line assessment Prithvi Theatre, former partner of Hivos.

The evaluation was commissioned by NWO-WOTRO, the Netherlands Organisation for Scientific Research in the Netherlands and is part of the programmatic evaluation of the Co-Financing System - MFS II financed by the Dutch Government, whose overall aim is to strengthen civil society in the South as a building block for structural poverty reduction. Apart from assessing impact on MDGs, the evaluation also assesses the contribution of the Dutch Co-Funding Agencies to strengthen the capacities of their Southern Partners, as well as the contribution of these partners towards building a vibrant civil society arena.

This report assesses Prithvi Theatre's contribution towards strengthening Civil Society in India and it used the CIVICUS analytical framework. It is a follow-up of a baseline study conducted in 2012, when in fact its partnership with Hivos was already ended. This report presents very briefly the situation as it is in 2014.

Keywords: Civil Society, CIVICUS, theory based evaluation, process-tracing

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List of abbreviations and acronyms

CDI	Wageningen UR Centre for Development Innovation
CFAs	Co-Financing Agencies
CFO	Co-Financing Organisation
CS	Civil Society
FCRA	Foreign Contribution Regulation Act
IDF	India Development Foundation
ITF	India Theatre Forum
MoFA	Ministry of Foreign Affairs
MFS	Dutch co-financing system
PT	Prithvi Theatre
SPO	Southern Partner Organisation
SSI	Semi-structured Interview
ToC	Theory of Change
Wageningen UR	Wageningen University & Research centre

1. Introduction

This report presents the civil society end line findings of Prithvi Theatre in India which is a partner of HIVOS under the People Unlimited 4.1 Alliance. It is a follow-up to the baseline assessment that was carried out in 2012. According to the information provided during the baseline study Prithvi Theatre is working on the theme good governance.

These findings are part of the overall evaluation of the joint MFS II evaluations to account for results of MFS II-funded or –co-funded development interventions implemented by Dutch CFAs and/or their Southern Partner Organisations (SPO) and to contribute to the improvement of future development interventions. The civil society evaluation uses the CIVICUS framework (see appendix 1) and seeks to answer the following questions:

- What are the changes in civil society in the 2012-2014 period, with particular focus on the relevant MDGs & themes in the selected country?
- To what degree are the changes identified attributable to the development interventions of the Southern partners of the MFS II consortia (i.e. measuring effectiveness)?
- What is the relevance of these changes?
- What factors explain the findings drawn from the questions above?

The CIVICUS framework that comprises five dimensions (civic engagement, level of organization, practice of values, perception of impact and contexts influencing agency by civil society in general) has been used to orient the evaluation methodology.

The following chapter briefly describes the political context, the civil society context and the relevant background with regards to the governance issues Prithvi Theatre is working on. Chapter three provides background information on Prithvi Theatre, the relation of its MFS II interventions with the CIVICUS framework and specific information on the contract with Hivos. Chapter 4 provides the analysis of information available. Conclusions are presented in chapter 5.

2. Context

This paragraph briefly describes the context Prithvi Theatre is working in. A description of the Civil Society Context assessed according to the CIVICUS framework is provided in appendix 3 of the country report for Civil Society.

2.1. Political context

The state of Maharashtra which had been a Congress (a national political party) bastion for the last three assembly elections lost the recent assembly elections of 2014 to the right-wing, Bharatiya Janata Party (BJP). The BJP fell a little short of majority but has now formed the government with its long-term ally, the regionally dominant and ultra-right-wing Shiv Sena party. The new Chief Minister of the state is Devendra Fadnavis of the BJP. Although the impact of this political change on the state's theatre and cultural life has been unremarkable yet, intolerance is considered to be increasing. For instance, Ali J, a play produced by the Chennai group Evam, was banned from being performed in Mumbai and Chennai in early 2014 after a fundamentalist group called Hindu Janajagruti Samiti, called it "anti-national".

But the political context for theatre in India cannot be restricted to Maharashtra alone. The story of arts and theatre in India begins with Jawaharlal Nehru, India's first Prime Minister, establishing the Sangeet Natak Akademi (Music and Performing Arts Academy) and National School of Drama (NSD), both in Delhi, in an effort to ensure that culture continues to flourish in independent India. The two are funded by the government and they function autonomously. These academies keep the theatre culture alive by giving awards, having theatre festivals, providing funds and NSD as a theatre repertory trains young students from across the country.

In January 2011, former Prime Minister Manmohan Singh announced a studio theatre scheme for performing arts groups in the country. The scheme aims at helping such groups to build "creative spaces for themselves" with the government footing the major share of the project cost. With theatre groups often facing the problem of non-availability of space to either rehearse or perform, he said, he hoped the scheme will enable to build creative spaces. Towards this end, the government under the scheme will be chipping in with up to 60 per cent of the project cost with a grant that can go up to INR 5 million in the metropolitan towns and INR 2,5 million in other places if the performing groups contribute 40 per cent of the project cost. The scheme seeks to address the long felt need by creative groups engaged in the performing arts to have their own space for their shows. In August 2013, the government extended the grants under this scheme to the tune of INR 200,000,000.

For its part, the Maharashtra state government does not levy entertainment tax on theatre unless a foreigner/foreign troupe is performing. Then a tax of 25 per cent per ticket is levied. Also, apart from the entertainment tax on tickets, there are no exemptions or concessions on electricity and water charges, property taxes etc. for theatre spaces and institutions. Prithvi Theatre, considered as a Trust because of ticket sales, continues not qualifying for income tax exemptions.

2.2. Civil Society context issues with regards to the theme

There have been no significant changes in the civil society context in which Prithvi Theatre functions since the baseline. The multi-lingual Mumbai theatres roughly stage 1500 to 1800 shows every year in Marathi, English, Gujarati and Hindi.

Over the years, Bollywood—at least as far as popular perception and engagement are concerned—has taken over the cultural landscape of Mumbai. This at the expense of the rich tradition of theatre in the city; especially Marathi theatre (Marathi are the people and culture of Maharashtra) that had seen playwrights like Vishnu Das Bhave pioneering innovations by including everyday ordinary encounters in his plays while exaggerated theatrics were the norm, and introducing western theatre production techniques, like changeable scenery. Anna Saheb Kirloskar had laid the foundation of commercial repertories in Marathi theatre with his theatre group Kirloskar Natya Mandal, starting regular theatre as early as 1880 with the play Abhigyan Shakuntalam. Among the notables who continued Kirloskar's tradition forward were renowned playwrights like V V Shirwadkar, Satish Alekar, Jayavant Dalvi and Govinda Deshpande. During this period Marathi troupes began to travel to other states, including Andhra Pradesh and met with great acceptance and success. Till, in the contemporary context, Marathi playwright Vijay Tendulkar's plays evoked popular response despite Bollywood's onslaught; Tendulkar passed away in 2008.

Apart from Marathi theatre, Mumbai had also been the stage for many other theatre traditions from across the country. Gujarati theatre and Parsi theatre had thrived here. IPTA (Indian People's Theatre Association), the cultural wing of the Communist Party of India, has always had strong presence in Mumbai since its inception in 1942. Its ideology has motivated its workers to use theatre for the education, entertainment and inspiration of the people in the hope of achieving a finer sensibility in each citizen. Prithvi Raj Kapoor was himself associated with IPTA, and he went on to set up the Prithvi Theatres, a travelling theatre company based in Mumbai, in 1942.

Over the years, some of the best known theatre spaces in the country came up in Mumbai: the Prithvi Theatre in Juhu, Dinanath Natyagruha at Vile Parle, Shanmukhananda Hall at Matunga, Prabhodankar Thackeray Theatre at Rang Sharda in Bandra and the theatres at the National Centre of Performing Arts (NCPA) in Nariman Point.

Theatres in Mumbai have witnessed a departure from their main themes of focus in the 1950s of– "Hindu-Muslim relations, the modernisation of farming and the problems of current life and politics in the villages". But theatre in Mumbai today is unable to reap benefits from its rich roots. The Gujarati theatre that does well in the city now is unabashedly commercial, mostly just playing to the galleries through bawdy humour. For the rest, experimental theatre has been confined to some small enclaves, with a very niche (mostly English speaking) audience patronising it. Most actors see theatre as a stepping stone to a career in television and movies, given that the current theatre economy cannot provide sustenance as fulltime occupation. Corporate sponsors too see less and less financial sense in investing in plays that reach such small numbers. Many theatre spaces have started opening themselves up to functions like award ceremony, fashion shows, and even marriages, to make money. There are hardly any spaces that can be afforded by young, new and experimental theatre groups; and even less so for rehearsals. And though builders in the ever-expanding metro today are putting in theatre spaces to up the attraction quotient of their new properties, these are uninspired and uninformed by theatre aesthetics.

3. Prithvi Theatre and its contribution to civil society/policy changes

3.1. Background of Prithvi Theatre

History

Prithvi Theatre (PT), a registered Trust, was established in Mumbai in 1975 for the development of Hindi theatre in India. PT was promoted by a family having formidable reputation for their contribution to theatre culture in India. The work started with a 200-seat theatre in Mumbai with a view to bring-in professionalism in theatre culture, and to provide a base for sustaining theatre groups. Nowadays, an average of 550 theatre performances is held every year. PT constantly tries to promote alternative performance venues and reaches out to diverse audiences. Since 1991, summer-time children's workshops are conducted using theatre-related skills, focusing on child growth, building theatre appreciation and a future audience for theatre. An annual Prithvi Festival is organised since 1983, where the best of national and international theatre is brought in for performances at venues across the city.

PT has been successful in reaching out to audience of about 3,000 through monthly on-line news letters, about 150,000 per annum through plays and exhibitions, about 800 children per annum through summertime workshops and 10,000 children through season of plays. PT has established synergistic links with organisations having technical skills in the sector at the local, national and international level. PT has initiated a Theatre Forum –ITF (a network) to formulate a policy for Theatre in India by bringing the experts together.

Vision, mission and strategy (general)

The Vision of Prithvi Theatre is to build a vibrant theatre culture to enhance skills, capabilities, openings and opportunities for theatre groups “a catalyst for theatre” as said on their website. The strategy is to provide a sustainable platform for theatre groups to perform.

Prithvi's main aims are (a) Theatre to be embraced & sustained as a respected, vibrant and viable profession (b) Theatre community to take responsibility for the future of theatre. Within this broad vision, Prithvi will work towards (a) providing a low-risk, economically viable professional platform for theatre groups and audiences (b) creating an environment that provides exposure, experience and inspiration (c) Establishing the India Theatre Forum (ITF) as an enabling network for the sharing of ideas and resources amongst the theatre community.

3.2. MFS II interventions related to Civil Society

With the support of Hivos, Prithvi Theatre has in particular worked on the conditions 'development of artists', and on networking for productions. These are the CIVICUS dimensions civic engagement, level of organisation and impact upon civil society.

Key result areas for Prithvi Theatre relating to its partnership with HIVOS who provided core-funding are:

1. Prithvi Theatre established as a vibrant cultural hub by offering space and programming to old and new theatre groups to bring a diversity of rich cultural experiences and provide space for those who are unable to afford theatre space in Mumbai;
2. Prithvi Theatre to achieve self-sufficiency in maintaining its staff and its basic daily running and maintenance;
3. Restoration of Prithvi Theatre Building;
4. India Theatre Forum grows into an enabling network for the theatre community in India;
5. Professionalizing Prithvi Theatre Management so that new generation of audience and creative groups are able to interact in one space.

3.3. Basic information

Table 1
SPO basic information.

Name of SPO	Prithvi Theatre
Consortium and CFA	People Unlimited 4.1
Project name	IN142C03 Prithvi Trust, Strengthening PT and India Theatre Forum
MDG/theme on which the CS evaluation focusses	Good governance
Start date of cooperation between the CFA and the SPO	2004 (contract 1: 01-10-2004 to 30-09-2006 € 61,820; contract 2: 01-10-2006 to 31-03-2010 € 165,090)

Contracts signed in the MFS II period	**Period**	**# months**	**Total budget**	**Estimation of % for Civil Society**
	01-04-2010 – 31-03-2012	24	€ 80,000	10,5%

Source: project documents

4. Results

4.1. Results obtained in relation to project logframe

The inputs-outputs-outcomes analysis which is based on the progress reports of the 2010 – 2012 contract shows the achievements along Hivos' objectives:

1. Prithvi Theatre (PT) established as a vibrant cultural hub by offering space and programming to other groups to bring a diversity of rich cultural experiences. Under this objective PT started to publish monthly PT notes (stopped at the end of the Hivos funding), to increase the number of partnership programmes from 6 to 7 partnerships, valid for 84 performances a year (out of 120 planned), including workshops and activities for children, performances in many languages (social diversity) and working with VIKALP, a network of documentary film makers to defend freedom of expression and to resist censorship;
2. Restoration of Prithvi Theatre Building: This improved the accessibility for artists and for the audience;
3. The India Theatre Forum grew into an enabling network for the theatre community in India. Of the 6 activities planned 4 were implemented. These are the launch of a website and e-journal, publishing guidelines for best practices and designing a proposal for a social security/welfare scheme for artists. A Theatre survey and an art management programme were not implemented (due to lack of funds and time). PT decided to dissociate itself from the India Theatre Forum in April 2012;
4. To support core costs of Prithvi to:

- enable them to expand their staff strength (Prithvi was also able to hire three new staff in 2011);
- diversify their fund sources. Corporates were not willing to fund core costs but because Hivos supported Prithvi core costs they were able to fundraise from corporates especially for their festivals and other events;
- To ensure that in mainstream and yet alternate places like Prithvi there is still enough space for theatre in the regional languages.

4.2. Explaining factors

4.2.1. Relation CFA-SPO

The organisation's goals and objectives of promoting serious and wholesome theatre and creating a discerning audience have a high synergy with that of Hivos policy on Art and Culture[1].
Prithvi Theatre and Hivos ended their partnership by October 2012. The following reasons were mentioned for ending the eight year relationship[2]:

- Prithvi Theatre has been able to make considerable progress with regards to their financial sustainability;
- Originally the India Theatre Forum (ITF)[3] was part of Prithvi Theatre and Hivos supported its formative stage but ITF and Prithvi Theatre became two independent organisations after a management change within Prithvi. Without this component of the project, it became less interesting for Hivos to support Prithvi Theatre.

[1] Kenshets
[2] Devi K A" <devi@hivos-india.org> e-mail message dd 20 October 2012
[3] ITF has not been able to secure a Foreign Contribution Regulation Act agreement which made it impossible for Hivos to support ITF directly. Nevertheless, Ninasam, who also received funds from Hivos and was included in the end line study, has become active in the ITF forum. Please see Ninasam's endline report.

- Hivos changed its policy in favour of supporting more art and culture spaces within rural areas, which meant an end of its support to Prithvi: It is easier to find resources in urban areas and as such to be financially sustainable;
- A former Hivos staff, contact person for Prithvi Theatre, reflected back in 2014 by stating that the Hivos' partnership with PT was an uncomfortable one, because it is a family trust.

Since then and to the knowledge of the evaluators, no communication between the two organisations is taking place. The evaluation team has not been able to secure an interview with Prithvi Theatre to address questions about sustainability after Hivos withdrew. Instead, the evaluation team received a mail from Prithvi Theatre's leadership criticising the information included in the baseline report, feedback which was not received in 2012.

Since the baseline study Hivos closed its office in Bangalore in December 2013, and expected to open its new office in the second semester of 2014 in Mumbai.

4.2.2. External factors

Important external factors that impacted upon Prithvi and upon its establishment as a vibrant cultural hub to other groups and to bring a diversity of rich cultural experiences during the implementation of its programme with Hivos are the recession that reduced the purchasing power as well as difficulties to attract a younger audience. The new 2011 rule that stipulates that no tax exemptions are given to Trusts which act for profit is also an important factor that influences Prithvi' s impact upon building a strong civil society.

5. Conclusion

The end-line assessment for Prithvi Theatre did not take place as expected: since October 2012 the relationship between Hivos and Prithvi Theatre has ended and no communication between the two organisations seems to take place. The evaluation team was not able to secure an interview with the SPO on questions regarding sustainability and achievements made in 2014. The review of the progress reports of the two year- contract shows that objectives have been achieved partially. External factors that may explain these results are the recession that reduced the purchasing power as well as difficulties to attract a younger audience. The new 2011 rule that stipulates that no tax exemptions are given to Trusts which act for profit is also an important factor that influences Prithvi' s impact upon building a strong civil society.

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Prithvi	Annexure 3: Language breakup of shows	2011
Prithvi	Annual Narrative Report 2010-2011	2011
Prithvi	Annual Narrative Report 2011-2012	2012
Prithvi	About us	2010
Prithvi	ANNEXURE 4: Report on India Theatre Forum submitted to Sir Ratan Tata Trust, on the completion of the Project Funding by SRTT	2010
Prithvi	Prithvi Theatre Summary	unknown
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Find for Peace (FFP)	Country data and trends for India in 2014	http://ffp.statesindex.org/2014-india	August 2014
Freedom House	Freedom scores India	https://freedomhouse.org/report/freedom-world/2014/india-0#.VGCiRvlwtcQ	August 2014
World Values Survey	India information	http://www.worldvaluessurvey.org/WVSContents.jsp	November 2014
Vision of Humanity	Global Peace Index for India	http://www.visionofhumanity.org/#page/indexes/global-peace-index/2014/IND/OVER	November 2014
FMSF	Foreign Contribution Regulation Act of NGOs	http://www.fcraforngos.org/	September 2014
The Times of India	Lens on foreign funds to NGOs featuring on IB report	http://timesofindia.indiatimes.com/india/Lens-on-foreign-funds-to-NGOs-featuring-on-IB-report/articleshow/37801293.cms	September 2014
The Times of India	Govt may ignore RSS pressure and back GM-crop field trials	http://timesofindia.indiatimes.com/india/Govt-may-ignore-RSS-pressure-and-back-GM-crop-field-trials/articleshow/45313236.cms	November 2014

Resource persons consulted

For confidentiality reasons, the names and details of the persons were removed.

Organisation	*Function in the Organisation*	*Relationship with SPO*
Hivos	Former employee	CFA
Prithvi Theatre		n/a

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REDS end line report

MFS II country evaluations, Civil Society component

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Klaver, D.C., Desalos, C., Hofstede, M., Mohapatra B. P., Madaan A., February 2015, REDS *end line report; MFS II country evaluations, Civil Society component,* Centre for Development Innovation, Wageningen UR (University & Research centre) and India Development Foundation (IDF). Report CDI-15-076. Wageningen.

This report describes the findings of the end line assessment of Rural Education for Development Society (REDS) that is a partner of ICCO.

The evaluation was commissioned by NWO-WOTRO, the Netherlands Organisation for Scientific Research in the Netherlands and is part of the programmatic evaluation of the Co-Financing System - MFS II financed by the Dutch Government, whose overall aim is to strengthen civil society in the South as a building block for structural poverty reduction. Apart from assessing impact on MDGs, the evaluation also assesses the contribution of the Dutch Co-Funding Agencies to strengthen the capacities of their Southern Partners, as well as the contribution of these partners towards building a vibrant civil society arena.

This report assesses REDS' contribution towards strengthening Civil Society in India for which it used the CIVICUS analytical framework. It is a follow-up of a baseline study conducted in 2012. Key questions that are being answered comprise changes in the five CIVICUS dimensions to which REDS contributed; the nature of its contribution; the relevance of the contribution made and an identification of factors that explain REDS' role in civil society strengthening.

Keywords: Civil Society, CIVICUS, theory based evaluation, process-tracing

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The Centre for Development Innovation accepts no liability for any damage arising from the use of the results of this research or the application of the recommendations.

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List of abbreviations and acronyms

ANM	Auxiliary Nurse Midwife
AP	Adijan Panchayat
APM	Adijan Panchayat Movement
CDI	Wageningen UR Centre for Development Innovation
CDM	Clean Development Mechanism
CERI	Campaign for Electoral Reforms in India
CFAs	Co-Financing Agencies
CFO	Co-Financing Organisation
CS	Civil Society
CT&D	Conflict Transformation and Democratization
DJS	Dalit Jagruti Samiti
DSS	Dalit Sangharsh Samiti
FCRA	Foreign Contribution Regulation Act
IDF	India Development Foundation
IGA	Income Generating Activity
KDMV	Karnataka Dalit Mahila Vedike
LARR	Land Acquisition Rehabilitation and Resettlement Act
MoFa	Ministry of Foreign Affairs
MFS	Dutch co-financing system
PoA	Prevention of Atrocities
PTLC	Prohibition of Transfer of Certain Lands
REDS	Rural Education for Development Society
SC	Scheduled Caste
SPO	Southern Partner Organisation
SSI	Semi-structured Interview
ST	Scheduled Tribes
ToC	Theory of Change
Wageningen UR	Wageningen University & Research centre

1 Introduction

This report presents the civil society end line findings of REDS in India which is a partner of ICCO under the ICCO Alliance. It is a follow-up to the baseline assessment that was carried out in 2012. According to the information provided during the baseline study REDS is working on Governance.

These findings are part of the overall evaluation of the joint MFS II evaluations to account for results of MFS II-funded or –co-funded development interventions implemented by Dutch CFAs and/or their Southern Partner Organisations (SPO) and to contribute to the improvement of future development interventions. The civil society evaluation uses the CIVICUS framework (see appendix 1) and seeks to answer the following questions:

- What are the changes in civil society in the 2012-2014 period, with particular focus on the relevant MDGs & themes in the selected country?
- To what degree are the changes identified attributable to the development interventions of the Southern partners of the MFS II consortia (i.e. measuring effectiveness)?
- What is the relevance of these changes?
- What factors explain the findings drawn from the questions above?

The CIVICUS framework that comprises five dimensions (civic engagement, level of organization, practice of values, perception of impact and contexts influencing agency by civil society in general) has been used to orient the evaluation methodology.

Changes in the civil society arena of the SPO
In the 2012 – 2014 period the most important changes that took place in the civil society arena of REDS are the following:

1. The number of Adijan Panchayats[1], hobli and taluk councils in Tumkur district declined from respectively 1000, 45 and 10 entities in 2010 to 165, 12 and 3 entities in 2014, the most important factor being the end of the support given by ICCO and Cordaid *(level of organisation).* Instead of supporting this Adijan Panchayat Movement (APM), REDS reoriented its interventions towards the implementation of a solar lamp project (also in Tumkur district), a land campaign and one for electoral reforms in India.
2. Yet those Adijan people still member of the APM where capable to claim their economic rights and they made a conscious vote during the 2013 state elections. Co-existence and acceptance of Adijan people by caste people is said to have increased since the baseline *(civic engagement).*
3. Collaboration with public authorities was constructive and intensified after the positive election results at Karnataka state level. Yet efforts to positively influence the land bill and proceed to electoral reforms at national level did not yet materialise. To this end REDS engaged with relevant networks at national level.

These findings were obtained through an analysis of documents, a workshop and follow-up interviews with the SPO, and interviews with external resources persons working in civil society organisations that receive support from the SPO; other civil society organisations with whom the SPO is collaborating; public or private sector agents and; external resource persons capable of overlooking the MDG or theme on which the SPO is concentrating.

Contribution analysis
Based upon an analysis of the projects and programmes financed by the Dutch CFAs a selection was made of SPOs to be included in an in-depth process tracing trajectory and those to be included for a quick contribution assessment. REDS was amongst those SPOs selected for in-depth-process tracing.

[1] In the 2012 – 2014 period, REDS decided to use the term Adijan people instead of Dalit people, the terminology still used in official texts and regulations, including the terminology of untouchables and scheduled castes or tribes

The first outcome achieved to some extent consists of Adijan (Dalit) people being better integrated and socially accepted in Tumkur district. Three rival pathways were identified: 1) During MFS II 76 Adijan youth were trained in install solar lamp systems in not only Adijan houses but also in non-Adijan houses who wanted to pay for these systems (4,163 families); 2) REDS has empowered the Adijan people and helped them to claim their rights and dignity in Tumkur district since 1984 and; 3) other actors and factors explain this outcome. Each of these pathways themselves provides a sufficient but not necessary explanation for the outcome achieved. Although the solar lamp project is part of contractual obligations signed between ICCO and REDS as well as being reported on in progress reports, two German NGOs, Bread for the World and Andheri Hilfe are said to have financially contributed to this project. However more substantial contributions come from interventions supported *before the MFS II* period and financed by ICCO and Cordaid.

The second outcome consists of Adijan Panchayats and their organisations at hobli and taluk level increasingly being capable of claiming their rights, in particular with regards to reclaiming their land. Three pathways were identified, being 1) interventions by REDS to create the Adijan Panchayat movement with structures at village, hobli, taluk, district and state level; 2) lobby and advocacy activities for improved policies and regulations that provide access to land, and; 3) a conducive environment caused by the state. Whereas the second explanation was rejected, the two other pathways provide a sufficient but not necessary explanation of the outcome. REDS has possibly been far more effective *before MFS II* in explaining this outcome than *during MFS II*.

Relevance
Interviews with staff of REDS, with external resource person, with the programme coordinator of REDS, as well as contextual information helped to assess the relevance of REDS changes achieved in terms of; its Theory of Change (ToC) for Civil Society (SC) as designed during the baseline study; the context in which REDS is operating; the CS policies of the ICCO alliance.

With regards to its Theory of Change, REDS' changes achieved are relevant to some extent, although REDS' strategic orientation has negatively impacted upon those changes important in the ToC, in particular relating to the creation of a strong Adijan Panchayat Movement, access to land and to other entitlements.

With regards to the external context in which REDS is operating, changes introduced are relevant. However these changes have not yet helped to create one not fragmented movement at Karnataka state level to further claim political, economic and social rights.

With regards to the policies of the ICCO alliance, the changes achieved by REDS are relevant, but the performance of the APM in Tumkur in terms of Adijan Panchayats operational and acreage of land claimed has declined, whilst women empowerment is still high on the agenda. No traces were found of REDS engaging with other ICCO partners in a programmatic coalition to address land issues.

Explaining factors
The information related to factors that explain the above findings was collected at the same time as the data were gathered for the previous questions. The evaluation team looked at internal factors within REDS, the external context in which it operates and the relations between REDS and ICCO.

The most important internal factors that explain the explanation of the rather diluted outcomes, such as the better integration of Adijan people in society and the acreage of land reclaimed consist of REDS having drastically changed its strategic orientation, its organogram and staff.

External factors that positively influence the outcomes obtained by REDS are the conducive environment provided by the government of Karnataka with regards to land rights and procedures to obtain land rights and an increased attention for the enforcement of the Prevention of Atrocities Act.

The relations between ICCO and REDS have been constructive until 2012, but the end of ICCO's financial support explains the shift in REDS strategic orientation.

The following chapter briefly describes the political context, the civil society context and the relevant background with regards to the MDG/theme REDS is working on. Chapter three provides background information on REDS, the relation of its MFS II interventions with the CIVICUS framework and specific information on the contract with ICCO. An evaluation methodology has been developed for the evaluation of the Civil Society component which can be found in appendix 2 of the country report; however, deviations from this methodology, the choices made with regards to the selection of the

outcomes for contribution analysis, as well as difficulties encountered during data collection are to be found in chapter 4. The answers to each of the evaluation questions are being presented in chapter 5, followed by a discussion on the general project design in relation to CS development; an assessment of what elements of the project design may possibly work in other contexts or be implemented by other organisations in chapter 6. Conclusions are presented in chapter 7.

2 Context

This paragraph briefly describes the context REDS is working in. A description of the Civil Society Context assessed according to the CIVICUS framework is provided in appendix 3 of the country report for Civil Society.

2.1 Political context

The issues facing Karnataka as a state have largely remained the same since the baseline with, Dalit identities continuing to influence politics, scam allegations emerging against the political parties and continued decadence of the political class. The major change in the political context has been the defeat of the right-wing Bharatiya Janata Party (BJP) in the 2013 Assembly Elections. The BJP during its tenure was plagued with issues of scam allegations, corruption, internal bickering, subtle promotion and leeway to communal elements in the state. With voters pushing them out, the Indian National Congress has now come to power by winning 121 seats in a house of 225.[2]

Dalit identity plays an important role in influencing the vote banks of the political parties in Karnataka. Major political parties like the BJP, Janata Dal - Secular (a regionally strong party), and the Congress have not shied away from using caste as a political plank. The political battle between the Janata Dal (Secular) Party and the BJP has been discernible with them being seen as representatives of and supporting the interests of the two dominant social groups of Karnataka – Vokalligas[3] and Lingayats[4], respectively.[5]

The dominant position of the above two communities has ensured that they have collectively controlled a high number of seats in the Assembly of the state.[6] There has been documentation of various instances of violence and injustices committed against Dalits' in the state by the caste Hindus who hold political power. For instance, in August 2014, three Dalit houses in Markumbi village were set on fire, and 27 people were injured in retaliation to the Dalits' filing a complaint against caste discrimination in the village.[7] According to figures published by the National Crime Records Bureau, 2566 atrocities have been committed against members of the Scheduled Castes (SC), in Karnataka, in 2013. This is an increase from 1643 such cases reported in 2004.

Apart from caste politics, the political context in Karnataka has also been shaped in a large way because of issues like, illegal mining and corruption. The Supreme Court has been scrutinising several government officials and ministers, including former Chief Minister BS Yeddyurappa for their involvement in the racket. According to the report of the Karnataka Lokayukta (an anti-corruption ombudsman organisation), this has resulted in the loss of Rs 12,228 crores to the state where there are other sources claiming that the figure actually stands at Rs 1 lakh crore. Apart from a major loss in revenue this has also caused irreparable damage to the environment.[8] The industry-political nexus

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[2] http://www.hindustantimes.com/India-news/KarnatakaElections2013/Karnataka-casts-out-BJP-gives-Congress-absolute-power/Article1-1056593.aspx

[3] Vokkaligas constitute between 15 and 17 percent of the state population and they are concentrated in districts of South Karnataka.

[4] "Lingayats constitute 17% of the total population in Karnataka and are the largest community followed by the Vokkaligas. They're dominant in close to 100 of the 224 assembly seats, mostly in North Karnataka, and there have been nine chief ministers from the community." http://timesofindia.indiatimes.com/city/bengaluru/Lingayats-renew-demand-for-separate-religion/articleshow/23846654.cms

[5] http://timesofindia.indiatimes.com/city/mysuru/Lingayats-and-Vokkaligas-rule-the-roost-in-Karnataka-politics/articleshow/14807930.cms

[6] http://www.bangaloremirror.com/bangalore/civic/Vokkaliga-Lingayat-leaders-oppose-states-caste-census/articleshow/44927686.cms

[7] http://www.caravanmagazine.in/lede/fair-cut

[8] http://www.thehindu.com/news/national/karnataka/karnataka-lost-rs-1-lakh-cr-from-20062010/article4820758.ece

is so strong that during the rule of the BJP, there were four chief ministerial changes in the course of four years due to allegations of corruption.

The decadence and corruption of the political class has become obvious in the last few years, with minister after minister being inspected for their involvement in some scandal or a scam. With the issue of gender rights and safety of women in India making news, the ministers in the state have been quite unaffected by the issue. For instance, ministers have been caught on camera watching porn during a session of the Karnataka state assembly.[9] Also, former Minister Haratalu Halappa was arrested following an allegation of him sexually assaulting the wife of a friend.[10]

2.2 Civil Society context issues with regards to the MDG

The civil society in Karnataka, works in an environment that is widely influenced by its politics. There have not been any radical changes in its civil society context since the baseline. As communal violence, land acquisition, Dalit rights and rural-urban imbalance continue to be the main issues of concern.

The right-wing Bharatiya Janata Party's tenure was marked by an increasing and continued persecution of religious minorities. In 2011, the state topped the list of incidences targeting the Christian community. Their persecution has continued over the years, with a slight variation in intensity. As recent as the year 2014, the state still accounted for the highest number of incidences against the community, in the form of, murder, assault, rape, and church attacks.[11]

The stories around land acquisition and the consequent protests have been rampant all across India. The government in its rush towards "development" and nexus with the corporates, often tries to acquire land which the people are unwilling to part with, or it doesn't offer adequate compensation and rehabilitation, leading to protests. In Karnataka, protests have erupted over the government's move to acquire land in Mysore in 2008. The farmers accused the government of acquiring more land than they paid for including the fertile lands, which are their source of livelihoods.[12] The POSCO steel plant in 2011 which failed clearances in Orissa at the time, was also denied entry in Karnataka, as the farmers refused to part with their land.[13]

The SCs and Scheduled Tribes (STs) in Karnataka make up 23.5 per cent of the total population and have lawful claims over 18 per cent reservation in government and educational sectors.[14] Dalit rights are largely influenced by a lack of space for them in the political sphere but also the splintering interests of the various caste groups that come under the umbrella term of "Dalits", preventing the emergence of a unified leadership in the state.

The growing rural-urban imbalance has largely been linked to the growing shift and emphasis towards the development of Bangalore as an Information Technology (IT) hub. The government has been building upon this image of Bangalore as India's IT hub at the cost of development of other parts of the state. In 2013, the Raghuram Rajan panel, categorised Karnataka as a "less developed state" which came as quite a shock to many people, but this was a result of the differences in the human indicators of the urban and rural areas of the state.[15]

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[9] http://www.ndtv.com/article/karnataka/karnataka-porn-scandal-ruckus-in-assembly-three-ministers-may-be-asked-to-quit-as-mlas-174294

[10] http://timesofindia.indiatimes.com/india/Karnataka-rape-case-Ex-minister-Halappa-arrested/articleshow/5910459.cms

[11] http://www.thehindu.com/news/national/karnataka/43-cases-of-antichristian-violence-in-karnataka-csf/article5631448.ece

[12] http://www.thehindu.com/todays-paper/tp-national/tp-karnataka/farmers-protest-against-land-acquisition/article1221322.ece

[13] http://www.newindianexpress.com/states/karnataka/article415048.ece?service=print

[14] http://timesofindia.indiatimes.com/city/bengaluru/Why-there-is-no-Jupiter-among-dalits-in-Karnataka/articleshow/24149666.cms

[15] http://timesofindia.indiatimes.com/india/Karnatakas-less-developed-status-comes-as-a-shocker/articleshow/23132443.cms

3 The SPO and its contribution to civil society/policy changes

3.1 Background of the SPO

REDS was created in 1984 to work on for the empowerment and liberation of Dalits and other marginalised people, by restoring the primacy of women in every field of its engagement with the world. Major highlights of REDS until 2015 are the following:

- The creation of a Dalit Panchayat Movement (DPM) in Karnataka for internal governance, for negotiations with the Indian society and for greater dignity, equality and peace to all human beings through Dalit values.
- The restoration of land rights for Dalits, which amounts up to 10,500 acres of lost land being given back to Dalit people
- REDS's implementation of a Clean Development Mechanism (CDM) project with the UNFCCC, which consists of providing rural communities in Karnataka with solar lamps.
- REDS's campaign for a proportional electoral system to strengthen democracy and inclusive governance in India.
- The creation of Booshakthi Kendra in 2003, for the promotion of Dalit values and the recovery of Dalit spirituality, Dalit history, Dalit culture, Dalit economy, Dalit Psyche and Dalit governance.
- The founders of REDS have written and produced more than 25 books and trained 15,000 leaders

REDS' Vision:
"We, who have been the victims of untouchability and caste inequality established by Brahminism, will establish a new society based on Dalitism. This will bring in Freedom born out of self-respect. From out of this freedom will emerge social equality of all people, especially the Dalit people through which will a holistic development be made possible. The two eyes of this new society will be gender equality and fraternity.

We, who have been the victims of Capitalism, which has established an inhuman society by constantly pushing the disempowered poor out of the development circle, will endeavour selflessly and with commitment to dream and realize a socialistic order in society. We visualize the establishment of a self-sustaining society, which will have human dignity and justice at its foundation".

REDS' 14 objectives are:

1. REDS will strive to enhance the political bargaining power of the Dalits
2. REDS will strive to bring about qualitative changes in the situation of women in an effort to bring about gender equality
3. REDS will grow more and more as a Resource Organisation for the holistic development of Dalits
4. REDS will work towards the realisation and actualisation of the Dalit potential in the community. However, its consistent effort will be directed towards the strengthening of the leadership capacities within the Dalit communities
5. Within its area of operation as well as outside REDS will make a concerted attempt to proclaim the 21st Century as Ambedkar Era (This was done in the year 2000)
6. The Ambedkar Era will aim at bringing about qualitative changes in the socio-economic and cultural situations of the Dalits by focusing on enhanced bargaining power for Dalit in all spheres.
7. REDS will strengthen its capacity to the extent that it will become an effective instrument of internationalizing the Dalit cause.
8. REDS will provide the necessary educational and organisational support to the Dalit movements in Karnataka and enable the movements to actively get involved in the struggles for the human rights of the Dalit people.

9. REDS will enhance the spread of Ambedkar's liberation philosophy and alternative Dalit thinking as brought out in Dalitology in different parts of India and other part of the world, especially Europe, South Africa and Bangladesh through research, training and an Ambedkar Academy.
10. REDS will develop pragmatic alternative models in the areas of agriculture, health, culture and Panchayat Raj, which will be in the course of time spread all over Karnataka to offset the negative influences of Globalisation.
11. REDS will create the necessary economic support services to the Dalit movements in Karnataka so that the educational, organisational and struggle dimensions will be sustained till the final liberation and development of the Dalits are achieved.
12. REDS will internationalise the Dalit cause by active propagation of the Dalit ideology all over the world. REDS will give a concrete shape to the history and culture of the Dalit people and will strive hard to evolve principles of internal governance of the Dalit communities. REDS will establish Dalit Panchayats as the instrument of internal governance and International Dalit Cultural Centre knows as Booshakthi Kendra as a springboard of all Dalit liberation endeavours.
13. REDS will get involved in all global efforts at Climate Change issues and global warming mitigation.
14. REDS will works towards the emergence of lasting peace among different caste groups on the basis of negotiations for a dignified life with rights for all caste people.

A major change that took place in the 2012 – 2014 period is that the Dalit Panchayat Movement decided to change all usage of 'Dalit' into the word 'Adijan'.

3.2 MFS II interventions related to Civil Society

REDS is working in 16 states of India, but started its movement in Karnataka state. ICCO has supported REDS' activities in Tumkur district in particular, which is in Karnataka state.

Major outcomes to be achieved in the 2008 – 2012 contract period address improved access to justice and to land, by means of Dalits in Tumkur district claiming their rights, and human rights violations of Dalits being put on the political agenda and local, national and international level.

The 2012-2013 contract was granted in order to empower members of Dalit communities through increased access to basic services such as, access to health insurance schemes, land ownership of a at least 5 acres for 80 % of the Dalit population and access to education, loans, solar lamps and the like.

Enhanced quality of life and dignity and making government policies and rules pro-poor are the two outcomes to be achieved in the 2013-2014 contract. Indicators for the first outcome will be measured through research conducted to measure increases in the self-esteem of Dalits and to identify cases of human rights abuses regarding self-esteem; an end to conflicts in villages where Dalit populations live with other casts and; the celebration of Dalit festivals in the 1000 Dalit Panchayats created at village level. Important policies and rules to change are India's electorate bill and a law for the redistribution of land at the rate of 5 acres per family.

These outcomes to be achieved fit well into the CIVICUS framework in the following sense:
- Interventions that aim to enhance the dignity and quality of life of Dalit population are part of the CIVICUS dimension 'civic engagement' and also 'perception of impact'.
- Interventions that aim to support Dalit communities to claim their rights are part of 'level of organisation' if social organisation is part of the intervention; and they are also part of 'perception of impact'.
- Interventions that aim to influence policies and practices or to ensure that Dalit populations have access to public services are part of the CIVICUS dimension 'perception of impact'.

Observations with regards to contracts between ICCO and REDS: Whereas several contracts signed between ICCO and REDS, as well as progress reports mention outcomes related to the solar lamp project, REDS categorically denies contributions made by ICCO in the 2012 -2014 period, and information from ICCO does not provide further clarification. Two German organisations, Bread for the World and Andheri Hilfe, are said to have paid for the solar lamps. This has implications for the contributions made under MFS II.

3.3 Basic information

Table 1

SPO basic information.

Criteria				
Name of SPO				
Consortium and CFA				
Project names	REDS programme 10.2008 - 09.2011 Advocacy on Dalit Rights - Part 2, extended until March 2012			
MDG/theme on which the CS evaluation focusses	Governance			
Start date of cooperation between the CFA and the SPO	28-10-2005			
Contracts signed in the MFS II period	Period	# months	Total budget	Estimation of % for Civil Society
71-03-03-010 (partially)	01/10/2008 – 01/09/2011	36	ICCO € 300,000 Cordaid € 300,000	56 %
71-03-03-033	01/04/2012 – 31/03/2013	12	€ 40,000 €	
71-03-03-040	01/04/2013 – 31/03/2014	12	€ 40,000 €	

Sources: project documents

4 Data collection and analytical approach

4.1 Difficulties encountered during data collection

REDS received support from ICCO and Cordaid until September 2011, after which ICCO continued its support for two more years as of April 2012. The end line workshop caused a lot of confusions and misunderstandings about ICCO and Cordaid's support being mixed up.
REDS informed the evaluation team that since the baseline study, the SPO has shifted from expanding and capacitating the Adijan Panchayat Movement (APM) towards implementing two programmes; that related to the Campaign for Electoral Reforms in India (CERI) on which REDS has been working since 2008 and the implementation of the Solar Lamp and Clean Development Mechanism (CDM) for which preparations were started in the 2008-2012 period with ICCO. REDS currently supports 550 Adijan Panchayats in Tumkur district whereas this used to be 1000. REDS supports another 500 Adijan Panchayats in other districts. In consequence, since the baseline, all senior staff has been replaced except for the founder and the executive director of REDS (his wife) and all staff that worked in the ICCO and the project have been given a 'golden handshake' early 2012.
With regards to the two programmes on which REDS is currently working, only German organisations were mentioned as partners, whereas both orientations also are part of the contracts with ICCO in the 2012 – 2014 period.

The consequences for this evaluation were as follows;

- It was difficult to obtain information in particular about the ICCO funded programme, because many of those knowledgeable about this programme and APM in Tumkur district had left REDS, which was felt during the end line workshop.
- At the end of the workshop it proved to be difficult for the evaluators to find outcomes that would have a relation with ICCO's programme, in particular with the APM and that would be appropriate to do an in-depth process tracing.

4.2 Identification of two outcomes for in-depth process tracing

A consultation between IDF and CDI, followed by a consultation with REDS to clarify existing misunderstandings led ultimately to the selection of two outcomes.

1. Adijan Panchayats at Hobli level are capable of claiming the rights of their constituents with regards to land. Adijans claiming their land back has been part of ICCO's programme since 2008 and was continued in the 2012 -2013 contract. This outcome also aims to say something about the capacity of the Adijan Panchayats as CBOs that are capable to file requests to local authorities to claim back their land.
2. Dalit people are better integrated and respected by other communities in the villages. In particular the 2013 – 2014 contract formulates objectives that aim to increase the self-esteem and dignity of life of the Adijan people. Other elements that support this outcome are related to interventions by REDS to end untouchability and atrocities since 2009 but explicitly mentioned in the 2012 -2013 and 2013 – 2014 contract, as well as the solar lamp programme that mentions a better integration of Adijan people in society (2012 -2013 contract).

5 Results

5.1 Results obtained in relation to intervention logic

Despite the change in RED's strategic orientation, the three contracts and progress reports provide information on the same indicators, reason for which we have clubbed together some of the outcomes and outputs against which reports have been made.

Table 2
Overview of major outcomes achieved 2008-2014, in particular in relation to Tumkur district

Contract	Outcome/output planned				Objective achieved
2008-2011	Expanding the movement in Tumkur district	*# of APs*	*Year from April to March*		*Objective not continued* after Cordaid withdrew in 2012
		800 + 1 district AP	2009 - 2010		
		1000 + 1 State AP	2010 - 2011		
		616	2013 – 2014		
		550	2014 October		
2008-2011	Functioning of the movement; frequency of meetings: norm = 1 per month Tumkur district	76 hobli, 24 taluk and 8 Tumkur district meetings held in 2012 – 2013 128 hobli, 24 taluk meetings held in 2013-2014.			*Not possible to measure functioning* in terms of frequency of meetings, because the # of taluk and hobli APs differs from one year to another and is not systematically reported.
		616 of the 1000 APs are active and 350 are functioning effectively in 2010 -2011			
		800 APs monitor Tumkur district budget in 2010-2011			
		Motivation of volunteers (hobli coordinators is an issue 2009-2010)			
2008-2011, 2012 – 2013 and 2013-2014	Contributions mobilised by Adijan people such as for transport to attend meetings; No targets set. Tumkur district	*Amount in Indian Rupees*	*Year from April to March*		A decline in local contributions in the 2009-2012 period, but an increase in 2013-2014. Figures from 6 of the 10 taluks in Tumkur district
		3,999,065	2009-2010		
		1,585,886	2010-2011		
		882,927	2011-2012		
		xxx	2012-2013		
		2,631,010	2013-2014		
2008-2011	# of examples where violations of rights have been put on the political and public agenda Tumkur district	In 2011 – 163 cases put on the agenda No other figures available			*Objective not measured*
2008 – 2011 and 202 - 2013	Reclamation of land Target in 2012 -2013 is 450 households @ 5 acres Tumkur district	*Acreage reclaimed*	*Year from April to March*		*Not achieved*: • Target 2012 -2013 = 450 households @ 5 acres = 2,250 acres reclaimed, but in reality this is 16 acres for 7 families • In 2013 -2014 51 acres reclaimed for 145 households.
		8,341.25 acres	Until September 2011		
		10,597.14 acres	Until December 2014		
2013-2014	Passing the land redistribution bill in 2014	REDS has joined Ekta Parishad in 2012 to address the issue at national level. The central government has set up a National Task Force to work on this demand and the Director of REDS was nominated in this task force. With this movement, national campaigns are organised, but until so far without success. In Karnataka state, REDS' centre has become an advisory hub for people who want to reclaim their land. Bi-monthly meetings attract important numbers of people who file requests to reclaim their land. However with the new government in place as of 2014, private companies seem to gain priority in land access			*Partially achieved*
2008 – 2011 and 2012	# of Dalits who have improved access to 'justice' partly thanks to REDS: Access to government	*Amount in Indian Rupees*	*# of families*	*Year from April to March*	*Partially Achieved:* • Figures seem to decline after 2012 • Figures from 6 of the 10 taluks in Tumkur district
		10,611,830	628	2009-2010	
		8,227,730	700	2010-2011	

- 2013	schemes and subsidies Tumkur district	6,562,200	700	2011-2012 •	
		2,320,700	579	2012-2013	
		6,274,500	858 in 338 villages[16]	2013-2014	
2012-2013	Solar lamps, 500 (???) mentioned in the contract as a target without further specification	• In 2012-2013, 14652 solar lamps were installed for 3663 families in Tumkur district and 76 mechanics trained • In 2013-2014, in total 4163 families have solar lamps in Tumkur district.			*Achieved, however it is not clear what financial contributions were made by ICCO*
2013-2014	Quality of life and dignity enhanced: end to bonded labour	Year	# villages that stopped	Support from police	*Improvement of the enhancement of dignity, though no targets set*
		2010	109		
		2011- 2012	116	529	
		2012-2013	148	649	
		2013-2014	64	182	
	Adijan People have increased self - esteem	Research not implemented			*Not achieved*
	In at least 1000 APs no conflicts	Not measured, and in 2013 only 616 APs received support			*Not measured*
2012-2013, 2013-2014	No cases of atrocities and untouchability practiced: target 2013	Year	Reduction of untouchability		*Objective achieved already in 2012, but not measured again in 2013.* Not clear how 'reduction of untouchability is measured
		2009	80 %		
		2011	90%		
		2012	100%		
2012-2013	Government passes bill for proportionate electorate	In 2012, REDS obtains support from major political parties and eminent government authorities. Support obtained from district and state government. CERI faces challenges in terms of dealing with different personalities and insecurities experienced in the party leadership. No information in 2013 report			*Many campaigns but objective not yet achieved*

AP = Adijan Panchayat

5.2 Changes in civil society in the 2012-2014 period

5.2.1 Civic engagement

Civic engagement describes the formal and informal activities and participation undertaken by individuals to advance shared interests at different levels. Participation within civil society is multi-faceted and encompasses socially-based and politically-based forms of engagement.

The most significant changes that took place since the baseline study in 2012 consist of:

1. An increase of non - Adijan but poor people also being reached by the interventions of REDS and the Adijan Panchayat Movement.
2. A decrease in the number of APs and volunteers active in Tumkur district, the intervention zone of ICCO.
3. Contributions made by Adijan people and other backward castes increased nearly nine-fold since 2010, but did not increase with the same rate in Tumkur district.
4. The Adijan Panchayat Movement is increasing its political engagement

Increasingly, non Adijan people but poor or backward casts approach REDS for support: in 2014, REDS estimates that some 80 percent of the people who come for the two-monthly meetings at the centre of REDS are Adijans and the other 20 percent are from other castes. REDS also estimates that 80 percent of land reclaimed is being given back to Adijans and the remaining is for other castes. Similar percentages hold for the distribution of the solar lamps under the Clean Development Mechanism.

Since the baseline the number of Adijan Panchayats in Tumkur district actively involved in the APM

[16] Figure obtained during field visit in October 2014

has declined, as did the number of volunteers involved of which 50 percent is female (ten volunteers per AP). In 2010 some 1000 villages had their own Adijan Panchayat[17], but this number declined to 616 APs in 2013[18] and to 550 in 2014. A decrease in the number of APs involved in Tumkur district also had implications for the number of volunteers working at hobli and taluk level, where APs decide upon actions to be taken during monthly meetings. From the 45 hobli leaders operational in 2009, 14 were left in 2014, and from the 10 taluk leaders operational in 2009, 3 were left in 2014[19][20]. APs are in charge of creating the awareness of their constituents on government schemes and land issues.

Although the total amount of contributions mobilised by Adijan People to pay for their travel and food when attending REDS activities is said to have increased from IDR 715,154 in 2010 to IDR 6,467,878 in 2013-14, contributions in Tumkur district showed a decline in the 2009-2012 period but increased again in 2013 (see paragraph 5.1). These contributions clearly show the involvement of the Adijan People and other backward castes in REDS' programme.

The entire Adijan Panchayat Movement is politically engaged and trying to defend the interests of its constituents. In 2012 an Adijan Panchayat women leader was elected as the speaker for Karnataka Adijan Parliament. After weighing all pros and cons the APM members supported a representative of the Adijan people in the 2013 Karnataka state elections, after which a new party (instead of the congress party) gained power.

Over the years, Adijan people have been elected in the Gram Panchayats in Tumkur district. During the general Gram Panchayat elections in 2010, 296 Adijans of which 126 women were sworn in in Tumkur Gram Panchayats: In all 12 districts in total 1,039 AP leaders contested and 703 of them got elected, of which 10 were subsequently elected as President and 11 Vice-Presidents, amongst which 10 women. People's participation in the Gram Sabhas[21] has increased manifold in the last two years with new Gram Panchayat elections being scheduled for 2015.

Score baseline 2013 on an absolute scale from 0-3: 3
Score end line 2014, relative change on a scale of -2 → +2 0

5.2.2 Level of organization

This dimension assesses the organisational development, complexity and sophistication of civil society, by looking at the relationships among the actors within the civil society arena.

According to REDS, the APM in Tumkur district has become rather autonomous from REDS in the 2012-2014 period, but there are no figures to substantiate this. The pace with which land reclamation is currently takes place is slowing down and the extent to which the movement is able to obtain access to government schemes decreased in 2012-2013, but recovered in 2013-2014. As already mentioned the numbers of Adijan Panchayats, hobli and taluk councils still supported by REDS also declined. REDS uses two arguments for this, in the first place stating that the end of support from Cordaid and ICCO meant a withdrawal of REDS' support to the APM for financial reasons, in the second place REDS advances that the structures created have become self-sustaining.
Unfortunately no recent figures are available to show the current performance of both supported and not supported APs in Tumkur district. In 2010-2011, 616 of the 1000 APs were active and 350 functioning effectively[22]. At that moment 19,606 families were members of Adijan Panchayats whereas the total number of families in these villages was 28,089 families at that moment.
In the meanwhile Adijan people are actively involved in the APM and take part in lobby and advocacy activities organized by REDS to introduce changes in the land bill such as in 2013, when 7000 people of which 5000 from Tumkur district gathered to take part in the state level land convention in the presence of amongst others the Karnataka Revenue Minister and the Law Minister.

[17] Progress report 2010 – 2011
[18] ICCO, March 2014, Feedback on end Report Reds-Tumkur (REDS)
[19] REDS, Progress report 2009-2010
[20] REDS, Annual Report of Activities from April 2013 to March 2014
[21] The Gram Sabha includes all the adult citizens of the village. It is empowered to elect the Gram Panchayat. The Sabha can influence decisions taken by the Panchayat and can modify weak decisions whenever they feel.
[22] ICCO, Feedback on progress report 2010-2011.

In Karnataka State many organisations are defending the interests of Adijan people, but in Tumkur district REDS is the only organization addressing these issues. Relations between REDS and these other organisations are weak or do not exist. The same applies for the collaboration of the Adijan Panchayat Parliament created in 2011 at Karnataka state level. This Parliament has not become visible during the end line evaluation, nor its relations with other Adijan networks existing at state level. REDS is active in 12 districts in Karnataka state where it supports the creation of APs and in 7 of these with the solar lamp initiative. In five of these districts district councils of Adijan people have been established.

Since the baseline REDS has increased its presence at the international and the national level. REDS became part of a solidarity network at international level including other Asian countries, European countries and the USA. Since the baseline REDS engaged in mutual exchange programmes with other indigenous communities. Its experience with the Tumkur based Adijan Panchayat Parliament and that of the SAMI Parliament in Norway became a real inspiration for having a World Parliament of Indigenous People.
At the national level, REDS engaged with Ekta Parishad in 2012 which regroups some 2000 land right organisations in the country to claim at least 5 acres of land for Adijan and poor people. In the same year the director of REDS was nominated in a national task force to work on this demand[23]. Since then the 2014 change in government has pushed the issue to the back burner.
Since REDS started its Campaign for Electoral Reforms in India (CERI) in 2009[24], it became national in 2010 for the first time[25]. As of 2012[26], REDS managed to obtain support from major political parties and government authorities as well as from the district and Karnataka state government. During the field visit REDS reported support from 20 states, from 3 national and 5 regional political parties. This coalition has taken a turn for more intensive confrontation with the government because of the recent amendments to the Land Acquisition Resettlement and Rehabilitation Act by the new government.

Since the baseline REDS has been able to diversify its resource base and it reduced its dependency upon ICCO to a maximum of 10 percent of its budget (2012-2013). In the first place Adijan people in Tumkur district increased their contributions to REDS' interventions from 882,927 Rps in 2012-2013 to 2,631,010 Rps in 2013-2014, but this increase does not equal contributions made in 2009-2010 (4,000,000 RPs). In the second place, REDS developed a business model for the solar lamp project, by creating a company called Cosmic Rumble which already sold 36,000 lamps in Karnataka state: Incomes received from solar lamp users by this company are used to create a revolving fund to be used for maintenance activities and to foresee the purchase of new solar lamps when donor support for the project comes to an end. In the third place REDS has attracted new donors.

Score baseline 2013 on an absolute scale from 0-3: 3
Score end line 2014, relative change on a scale of -2 → +2 0

5.2.3 Practice of Values

Practice of Values refers to the internal practice of values within the civil society arena. Important values that CIVICUS looks at such as transparency, democratic decision making, taking into account diversity that are deemed crucial to gauge not only progressiveness but also the extent to which civil society's practices are coherent with their ideals.

Generally speaking no changes occurred with regards to 'practice of values' by REDS since the baseline.
REDS avails of a governing Board of seven members, 5 Adijans and two other castes of which four are female. The composition of the Board did not change in the past years, although this is mandatory according to REDS' bylaws[27]nor did it improve its effectiveness. REDS' executive director is a women seconded by her husband, the organisation having been managed by this couple for the last 30 years.

[23] REDS, Progress report April – December 2012.
[24] Feedback on the Report of REDS Our Response, REDS, 2009
[25] Project / Programmatic Cooperation Update 2011
[26] ICCO feedback on progress report 2012-2013
[27] ICCO, (November 2012), Partner Visit Report

These are accountable to the Board and at the same time to the Adijan Panchayat Parliament of Karnataka state which was created in 2011. This change in accountability relations has apparently not been documented in organisational reports. Information about REDS is not trickling down through the Parliament to its constituent members (APs) and to the many volunteers that work with the movement.

REDS' financial reports have been audited by the same firm for the last 25 years whereas ICCO suggested changing the auditor every 3-5 years in November 2012[28]. During the field visit in October 2014, no change was observed with regards to this aspect. Audits give the financial situation per project rather than by REDS as an entity.

The evaluation team did not obtain clarity with regards to the use of funds released by ICCO in the 2012 -2014 period. In the first place REDS states that the relationship came to an end in March 2013 instead of March 2014, and in the second place interventions related to the solar lamp project, CERI and the land bill are said to have been financed by other donors, whilst being explicitly mentions in the contracts between REDS and ICCO.

Score baseline 2013 on an absolute scale from 0-3: 3
Score end line 2014, relative change on a scale of -2 → +2 0

5.2.4 Perception of Impact

Perception of Impact assesses the perceived impact of civil society actors on politics and society as a whole as the consequences of collective action. In this, the perception of both civil society actors (internal) as actors outside civil society (outsiders) is taken into account. Specific sub dimensions for this evaluation are the extent to which the SPO has contributed to engage more people in social or political activities, has contributed to strengthening CSOs and their networks, has influenced public and private sector policies.

There are several indications that Adijan and other backward castes are satisfied with the services delivered by REDS.

1. Financial contributions made by Adijan people to attend meetings by REDS and to seek support to access government schemes and claim back their land has increased in Tumkur district.
2. Less convincing is the acreage of land reclaimed in Tumkur district in the March 2011 – 2014 period: whereas the 2012-2013 contract with ICCO aimed for 450 families having reclaimed at least 5 acres land each (2,250 acres in total), the total acreage successfully reclaimed between April 2012 and March 2014 is 67.23 acres for 152 families. Recently, in December 2014, REDS succeeded in claiming 800 acres of land from the Forestry Department.
3. 700 families on average in Tumkur district access various government schemes each year.
4. Significant advantages in terms of health, education, IGA and social integration of Adijan people have been reported with regards to the solar lamps introduced in 4163 households by March 2014.
5. The number of villages where bonded labour has stopped has increased. REDS claims that Tumkur district is 'atrocity free' as of 2012 but this could not be sustained by figures presented in the Karnataka status report on the prevention of atrocities for SCSTs.

As mentioned above, the APM on the one side is said to have become self-sustaining, on the other hand it seems to be functioning in a limited number of villages, hobli and taluks as compared to the baseline. There is evidence that land reclamation and obtaining access to government schemes is still happening and that the APM still financially contributes to activities organised by REDs. The APM has helped to raise the political consciousness of its members regarding the value of vote, as has been shown in the last state elections in Karnataka when Adijan People massively voted for an Adijan candidate.

Apart from these contributions towards building a civil society, REDS' work with regards to the national CERI campaign which is currently being joined by many organisations has become visible as well as its collaboration with Ekta Parishad. However, relations with civil society at Karnataka state

[28] ICCO, (November 2012), Partner Visit Report

level seem to be non-existent or weak, as well as the visibility of the Adijan Panchayat Parliament of Karnataka.

Relations between public sector officials, REDS and the APM have become more constructive and have resulted in claims regarding access to land or to government schemes being honoured, support to improve the wellbeing of Adijan girls, police supporting the APM to stop acts of bonded labour and a stronger enforcement of existing rules and regulations.
With regards to policy influencing activities at Karnataka state level, demands formulated by APM with regards to land are in the process of being answered by the new Government in place as of 2013. Apart from this, REDS' director was nominated in the national task force body for land reforms which is however currently defunct given the new regime in New Delhi that was elected in 2014. However the changes introduced in the new land bill are considered to be controversial by both civil society and companies changes. No policy changes have been realised with regards to CERI.

REDS, apart from having created its own company to run the solar lamp project, does not engage with private sector organisations, nor influence their policies.

Score baseline 2013 on an absolute scale from 0-3: 2
Score end line 2014, relative change on a scale of -2 → +2 1

5.2.5 Civil Society Environment

The social, political and economic environment in which civil society operates affects its room for manoeuvre. The civil society context has been described in chapter 3. In this section we describe how REDS is coping with that context.

Since the baseline the socio political environment of Karnataka has changed in favour of supporting marginalised categories in society when the new government came into power in 2013. Many laws which were disregarded by the previous government were re-established and the enforcement of existing policies was strengthened such as is the case with the PoA Act, SC/ST sub plan grants to local bodies, stricter and faster action in controlling crimes etc.

However, the APM movement, without continuing support from REDS (and donor organisations like ICCO and Cordaid who funded the movement in particular) is dwindling. Although the founders of REDS claim that the movement has become self-sustaining, at the same time the level of activities is decreasing.

Score baseline 2013 on an absolute scale from 0-3: 2
Score end line 2014, relative change on a scale of -2 → +2 0

5.3 To what degree are the changes attributable to the Southern partners?

This paragraph assesses the extent to which some outcomes achieved can be "attributed" to REDS. Starting with an outcome, the evaluation team developed a model of change that identifies different pathways that possibly explain the outcome achieved. Data collection was done to obtain evidence that confirms or rejects each of these pathways. Based upon this assessment, the evaluation team concludes about the most plausible explanation of the outcome and the most plausible relation between (parts of) pathways and the outcome. The relations between the pathways and the outcomes can differ in nature as is being explained in table 3.

Table 3
Nature of the relation between parts in the Model of Change

Nature of the relation between parts and other parts or outcome	
The part is the only causal explanation for the outcome. No other interventions or factors explain it. (necessary and sufficient)	→
The part does not explain the outcome at all: other subcomponents explain the outcomes.	✖
The part explains the outcome but other parts explain the outcome as well: there are multiple	→ ✚

pathways (sufficient but not necessary)
The part is a condition for the outcome but won't make it happen without other factors (necessary but not sufficient)
The part is a contributory cause it is part of a 'package' of causal actors and factors that together are sufficient to produce the intended effect.

Sources: Mayne, 2012; Stern et al, 2012

The following paragraph assesses REDS' contribution to the outcome linked to civic engagement. The paragraph first describes the outcome achieved and the evidence obtained to confirm that the outcome has been achieved. It then presents the pathways identified that possibly explain the outcomes, as well as present information that confirms or refutes these pathways. The last section concludes in the first place about the most plausible explanation of the outcome, followed by a conclusion regarding the role of the SPO in explaining the outcome.

5.3.1 Civic engagement – Adijans are better integration and socially accepted by other communities in Tumkur district

The outcome achieved

One of the outcomes achieved according to REDS consists of Adijan people being better integrated and socially accepted in Tumkur district. Evidence provided for this achievement is very scarce and only confirmed by REDS' reports and oral information provided by REDS. Indications are the following:

- Adijan Panchayat leaders are invited by caste people to settle their disputes already as of 2010[29]. The same observation was made in 2012[30].
- The trainings given to Adijan people have impacted their psyche and their self-esteem.[31] Findings of a research planned to assess the self-esteem of Adijan people mentioned in the 2013-2014 contract have not been made available to substantiate this finding.
- In Tumkur district and the 12 other districts where REDS is intervening, the buffalo festival that represents the caste free labour to be provided by Adijan people to caste people was already stopped in 2010. Police were physically present in the villages together with AP leaders[32]. Also in 2012 the buffalo festival was stopped in other villages[33]
- In 2010 one AP member, a woman was unanimously elected as the representative of all people in one Gram Panchayat[34]
- Gram Panchayat representatives and local administration participate in monthly Adijan hobli council meetings in 2010. Also caste people accept invitations of APs to share their views and opinions[35]. In 2012, 76 Hobli level council meetings were organized and 1727 Dalit Panchayat leaders participated in the council meetings. 33 Government officers also participated in these meetings and discussed about government schemes and polices[36]. In 2013 only 27 Gram Panchayat representatives and local administration attended Hobli and Taluk Council meetings[37]
- In 2012 some caste people have started to eat beef with Adijan people, whereas normally they do not eat beef and in particular do not eat together with Adijan people[38]. In 2012 caste people are serving food to Adijan people inside their homes, whereas previously Adijans were not allowed to enter houses of castes[39][40].
- The solar lamp project teaches maintenance skills to Adijan youth who then provide technical support to both Adijan and caste families. This implies that caste households have to grant access to

[29] ICCO,(2012), Feedback on the narrative report 2010
[30] ICCO, (2013), Feedback on the narrative report 2012-2013:
[31] ICCO, (2012), Feedback on the narrative report 2010
[32] REDS, (2010), Half Year Report April – September
[33] REDS, (2013), Narrative Report April – December 2012
[34] REDS, (2010), Half Year Report April – September
[35] REDS, (2010) Half Year Report April – September
[36] REDS, (2013), Narrative Report April – December 2012
[37] REDS, (2014), Narrative Report April 2013 to March 2014
[38] REDS, (2010), Half Year Report April – September
[39] REDS, (2013), Progress report 2012
[40] REDS, (2013), Narrative Report April – December 2012

these mechanics in their houses[41]. 76 mechanics were trained in 2012 and until sofar have installed solar lamps in 4163 families in Tumkur districts (caste background of these families unknown) [42].

- In 2012, REDS declared Tumkur an Adijan atrocity free district although they also mention that SC/ST increasingly make use of the Prevention of Atrocity Act to settle political scores[43].

The Karnataka status report of 2011 and 2012 contradicts REDS' claim that Tumkur is an atrocity free district[44]. It states that Tumkur district had the highest number of reported cases compared to other districts in these two years (112 cases in 2011 and 121 cases in 2012). In line with these findings Tumkur was declared a sensitive district by the Government monitoring committee for atrocities against Adijan people. Most of the atrocities are said to be related to land issue where Adijan people are specifically targeted for occupying reclaimed land. REDS has not been a part of any legal proceedings defending Adijan rights over land. According to REDS, the recorded atrocity cases are not of the *untouchable* Adijans, but refer to *touchable* Adijans.

The above information questions the achievement of the outcome as stated above. It also highlights that if social integration is taking place, this already started *before MFS II:* Quantitative data are missing to a great extent. Despite this the evaluation team has made an effort to explain this outcome, taking into account that Tumkur district is *not* an atrocity free district which affects the social integration of Adijan people.

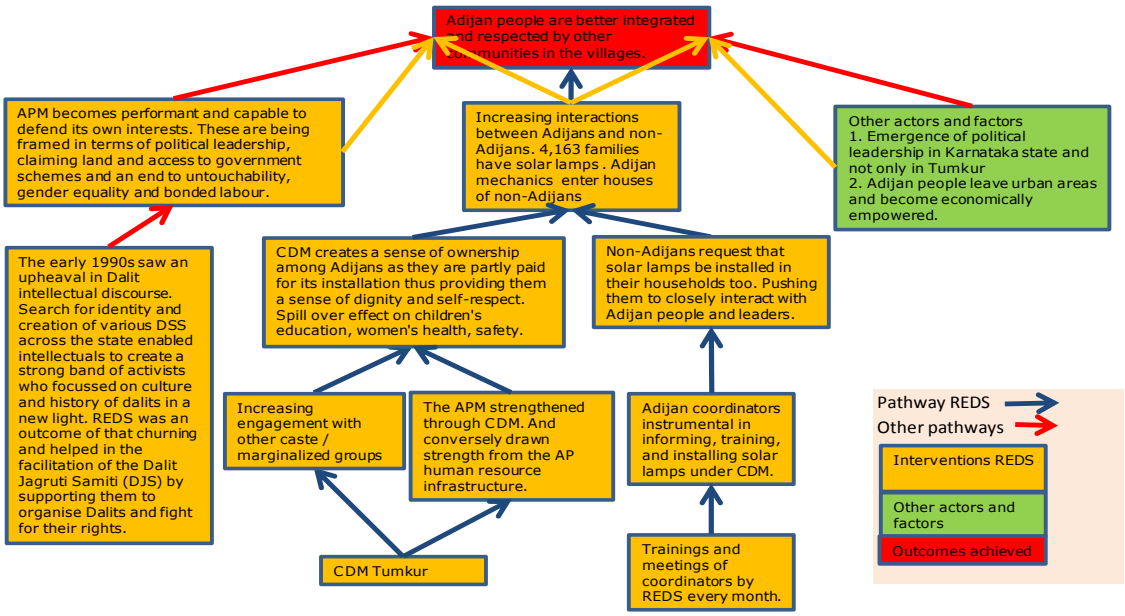

Figure 1: *Pathways that possibly explain outcomes and conclusions about the nature of the relations between pathways and the better integration of Adijan people in society*

Pathways that explain the outcome and information that confirms or rejects these pathways

1. The first pathway explains the outcome by the Clean Development Mechanism, the solar lamp project that was implemented in Tumkur district between March 2012 and 2014 with support from ICCO according to contractual obligations, although according to REDS also Bread for the World and Andheri Hilfe financed this intervention for the same number of households. In this period 12,489 solar lamps have been installed in 4,163 families and 76 mechanics were trained to ensure the installation and the maintenance of these lamps at household level. The AP coordinators at hobli level and its representatives were the first to be trained and educated about the solar lantern project and its usage and benefits. They were also trained to train others (mostly women) who could repair simple parts or rectify any technical faults. The lantern was not free of charge. One

[41] ICCO, (unknown), Project Plan Considerations 2012-2013
[42] REDS, (2013), Narrative Report April – December 2012
[43] REDS, (2013), Narrative Report April – December 2012
[44] KDMV, SCST (PoA) Implementation in Karnataka status report 2013

had to pay 100 rupees a month for 23 months to REDS in order to own it. Any technical fault during this period was taken care of by REDS and the initial corpus was deposited by REDS.

Information that *confirms* the contribution of the solar lamp project towards a better integration is in the first place based upon the fact that the lamps are not only made available for Adijan people but also for other caste people who are poor but also can afford to pay 2300 rupees per lamp.[45]
In the second place, only Adijan youth was trained for the installation and maintenance of these lamps, therefore they have to enter houses of Non-Adijan people. Until so far only 76 mechanics are operational in Tumkur district[46][47][48][49]. This economic power in the hands of Adijans also is said to change social relations between Adijans and non-Adijans, because previously Adijans were the only ones to ask for support from non-Adijans, whereas now non-Adijans also seek support from the Adijans[50]. Adijans are now able to mingle with other castes, including the dominant castes like Gowdas, Kurubas, Lingayats[51], and Vokkaligas[52] on an equal footing. These communities are now accepting Adijan leadership for solar lamp related issues[53].
In the third place due to the solar lamp project, social relationships are said to have changed. From being considered an "untouchable" Adijans are now being welcomed and even served food inside the homes of caste people. Adijan Panchayats have also started experiencing "mutual understanding, respect and harmony in their respective villages especially after the distribution of solar lamps".[54]

Information that *rejects* the contribution of the solar lamp project is the following:
When taking into account that until so far only 76 mechanics are operational in Tumkur district, who are reaching 4,163 families of which their origin (Adijan or non-Adijan) is unknown, the contribution of the CDM project towards better integration of Adijan people seems to have a limited outreach.
Further it is to be observed from the evidence collected for the *outcome achieved* that many signs of better integration of Adijan people have been reported *before* the solar lamp project.

2. The second explanation for the outcome is that REDS has empowered the Adijan people and helped them to claim their rights and dignity in Tumkur district since 1984. Main interventions consisted of creating the APM, stopping the buffalo sacrifice festivals, ending other atrocities, supporting Adijan people to claim their rights with regards to land and access to government schemes.

Information that *confirms* this pathway has been already described in other sections of the report and mainly consists of the fact that REDS has been building the APM for the past 30 years, starting in Tumkur district. Based upon information only provided by REDS, this movement has shown to be; financially independent from REDS; able to reclaim land and obtain access to government schemes for an average of 700 people per year; able to stop the buffalo festivals that associate Adijan people with providing free of charge labour to caste people; able to end atrocities in Tumkur district, and to build relationships between Adijan Panchayats, Hobli and Taluk councils on the one side and Gram Panchayats and local administrations on the other site. Increasingly and in particular since 2012, non-Adijans have become aware of these results and have started to seek support with regards to land reclamation and other claims for themselves, whilst at the same time REDS has started to support these people. An external resource person also confirms that Adijan leaders know a lot about rights and processes and are able to clearly put forth their demands[55].

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[45] Interview REDS field staff
[46] Interview REDS field staff
[47] Interview with REDS programme managers
[48] Interview with REDS Executive Leadership
[49] Interview with REDS staff
[50] Interview REDS field staff
[51] "Lingayats constitute 17% of the total population in Karnataka and are the largest community followed by the Vokkaligas. They're dominant in close to 100 of the 224 assembly seats, mostly in North Karnataka, and there have been nine chief ministers from the community." *Refer,* http://timesofindia.indiatimes.com/city/bengaluru/Lingayats-renew-demand-for-separate-religion/articleshow/23846654.cms
[52] Vokkaligas constitute between 15 and 17 percent of the state population and they are concentrated in districts of South Karnataka.
[53] Interview with REDS Field Staff
[54] REDS Annual Report 2013-14
[55] Interview with Ekta Parishad

Information that *rejects* this is the following:
One of the respondents attributes the improved relations between castes to the fact that the Adijan people have been organised to address issues collectively, which the Gram Panchayats cannot ignore. Also the fact that Adijans obtain the support of REDS helps them to claim their rights and entitlements vis-à-vis Gram Panchayats[56]. This does not automatically mean that Adijan people are being respected and better integrated in society.

Interventions by REDS in Tumkur district became less intensive as of 2012: the number of APs, hobli and taluk councils that are still being supported by REDS were considerably reduced from 1000 APs in 2011 to 550 in 2014; from 45 hobli and 10 taluk councils in 2011 to 14 hobli and 3 taluk councils in 2014. Two reasons mentioned by REDS are that at least 350 APs were capable to function autonomously from REDS as of 2010 and another reason is the withdrawal of Cordaid and ICCO.

3. The third explanation for the outcome achieved relates to other actors and factors not associated with REDS

A first explanation is provided by Prahalladappa (2013)[57] who states that 'the emergence of political leadership of Adijan and Backward classes is widely spread and equally popular in all districts of Karnataka state' (*and not only in Tumkur*). His conclusions are based upon the movement created in the 1980[ties], when REDS came into existence. According to him, this situation in the past explains the recent victories of Adijans and backward classes in assembly and parliamentary elections, where the Adijan Movement (not those associated with REDS) became a platform for other people belonging to deprived castes and sections in society. This statement kind of confirms the experiences witnessed by REDS since 2012, where also non-Adijan people started to engage with the movement and asked support to claim their rights, but it also highlights the fact that similar trends are being observed in other districts where REDS does not intervene.

A second explanation refers to increasing education levels amongst Adijan people providing them with opportunities to migrate to urban areas. Karnataka state is characterised by a shortage of agricultural labour force, reason for which people from other states migrate seasonally to Karnataka. In consequence, Adijan people have been partly liberated from socially binding activities to be fulfilled for upper castes, and have enhanced their economic position in society. These small changes have effectively brought the caste barrier down and allowed Adijan people to avoid discrimination and raise a voice against it if at all such things occur, with or without REDS' support.[58]

Conclusion
Assuming that Adijan people are to some extent better integrated into society and socially accepted, although Adijan people in Tumkur district are victims of atrocities committed by caste people, its role in better integration and social acceptance of Adijans by other communities in Tumkur is to be categorized as *not necessary but sufficient,* implying that other actors and factors also explain this outcome. These include changing of the social landscape with increasing importance and evolution of discourse on Dalit rights, and the economic landscape that created a shortage of agricultural labour force in Karnataka state and increased education levels amongst Adijan people who moved to urban areas.
The contribution of the CDM project is the most recent contribution that according to the contracts has been financed under MFS II, but has been contradicted by REDS. This contribution only concerns 76 Adijan mechanics, entering houses of a maximum of 4,163 families in Tumkur district. A more substantial contribution seems to come from interventions that date from before the MFS II period, whereas these interventions did only partially continue during MFS II.

5.3.2 Intermediate Organisations – Adijan Panchayats increasingly are able to claim their rights

The outcome achieved

[56] Interview with Indian Social Institute
[57] M.H.Prahalladappa, Impact of DSS and Dalit Movement in Emerging Karnataka, Research Direction, vol-1, issue-2, August 2013.
[58] M.H.Suryanarayanan, K. Seeta Prabhu, Ankush Agarwal, Inequality Adjusted India Human development Index, 2013

One other outcome claimed by REDS is that Adijan Panchayats and their organisations at hobli level are increasingly capable of claiming their rights, in particular with regards to reclaiming their land. Between April 2010 and March 2014, 2163.25 acres were reclaimed for 1438 families in Tumkur district, and 1106.10 acres for 489 families in other districts. In the March 2012-2014 (24 months) period a total of 68.29 acres of land was reclaimed and given to 153 families in Tumkur district[59][60]. This is a considerable *decrease* when compared to the April 2010 – March 2012 period (24 months) when 2084.36 acres of land were reclaimed for 886 families. More recently REDS reports a considerable increase of land reclamation in December 2014, when the Forest Department handed over 800 acres of land to Adijan and other poor people.

Reasons that explain the decline of the acreage of land being successfully claimed during the 2012 – 2014 possibly consist data not systematically being collected, because apart from organising a monthly gathering in the REDSs compound in Tumkur, APs and hobli councils increasingly deal with this issue at their own level as a means to reduce traveling costs and time, and because REDS only supported 550 APs in 2014.

During the same March 2012 – 2014 period, not only Adijan people were supported by REDS and the APs, also non-Adijan people started to seek support from REDS, but no disaggregated figures exist with regards to this variable[61].

Pathways that explain the outcome and information that confirms or rejects these pathways
Three different pathways have been identified that possibly explain the outcome:

1. The first pathway consists of the interventions by REDS to raise the awareness and train the AP leaders and hobli and taluk council coordinators for at least the past 5 years.

Information that *confirms* this pathway is the following:
Hobli coordinators and AP representatives have been trained by REDS since the 2008 – 2012 project. Land related issues focused amongst others on the PTCL Act, different types of land classification and ownership titles and processes to reclaim land, including how to use the Right to Information Act to demand insight into land titles. Coordinators are in charge of making an inventory of landless people[62]. *Common land* resources are then being identified at the taluk office, after which the coordinator ensures that individual claims are filed in an organised manner with the revenue department and any other department that has been occupying that land. Once the applications are filed, REDS provides legal, para legal and interactions with officials to the claimants.

In the March 2012 – 2014 period monthly meetings of hobli and taluk councils continued to take place to discuss land issues and even are said to have intensified at the village level on the issue of land reclamation. The evaluation team did not obtain evidence that these meetings still take place in all 1000 APs, 45 hobli and 10 taluk councils; the most recent figures made available in October 2014 consisted of 550 APs still receiving support from REDS, 14 hobli councils are still meeting and three taluks[63][64].
Apart from these, monthly meetings take place at Booshakthi Kendra where land issues are being taken up as well as land reclaiming procedures are being explained[65]. In the March 2013- 2014 period 49 land cases were identified, involving 716 families', resulting in 51 acres being successfully reclaimed for 145 families[66][67].

The most important information that *rejects* this pathway of capacitating APs and hobli and taluk coordinators consists of the above mentioned fact that hardly any detailed information is available about the functioning of the 1000 APs, 45 hobli and 10 taluk councils that have been created by REDS

[59] REDS Annual Report 2012-13
[60] REDS Annual Report 2013-14
[61] Interview with REDS Field Staff
[62] in particular Adijan people in the 2008-2012 period, but opening up to requests from non-Adijan people in the March 2012 – 2014 period
[63] REDS, (2014), Progress report March 2013 - 2014
[64] Interview with REDS Field Staff
[65] Interview with REDS Programme Managers
[66] REDS, (2014), Progress report March 2013 - 2014
[67] Interview with a resource person associated with Ekta Parishad

in Tumkur district and that according to the information available, numbers have been reduced considerably.

An external resource person (who wants to remain anonymous)[68] states that many land conflicts in Tumkur target Adijan people for occupying reclaimed land, and that no cases are known where

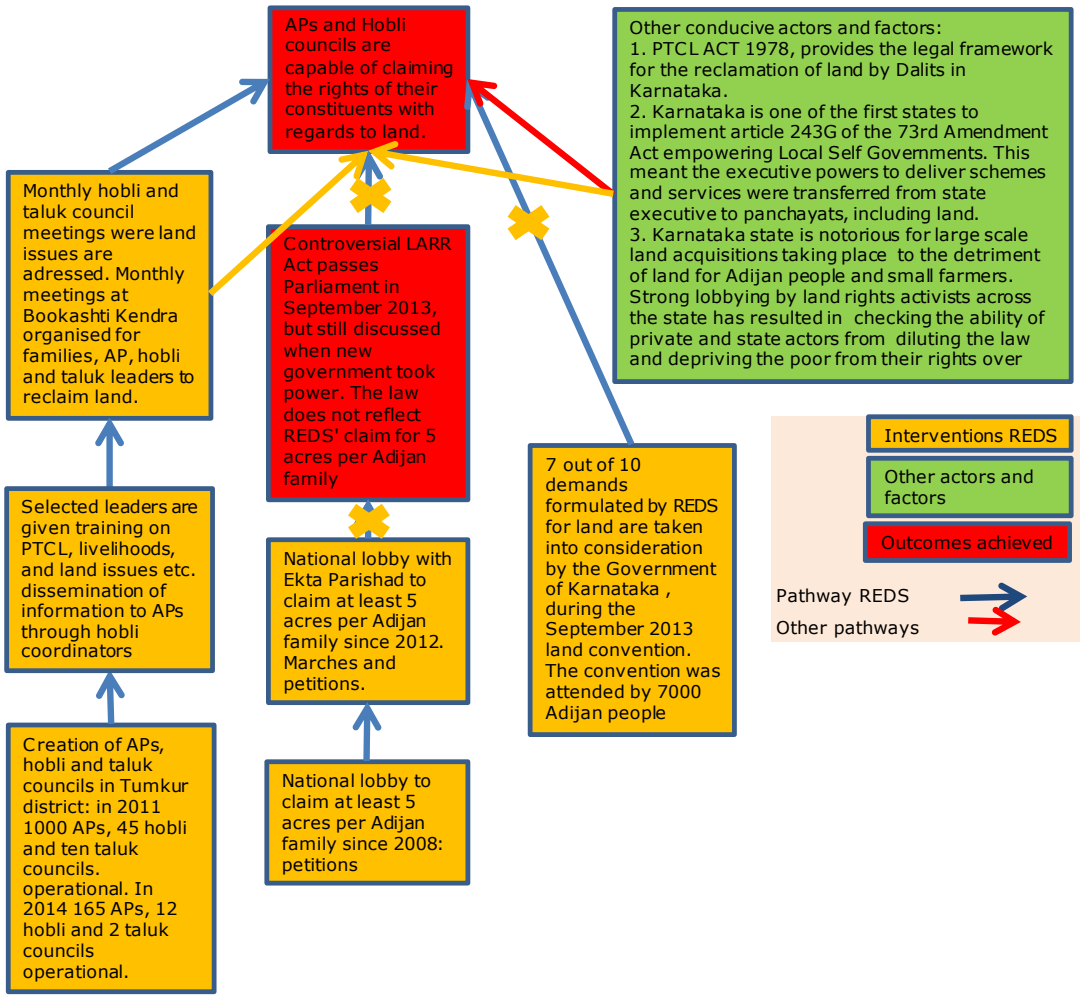

Figure 2: *Pathways that possibly explain outcomes and conclusions about the nature of the relations between pathways and successful land reclamation by APs, hobli and taluk leaders*

REDS.is part of any legal proceedings to defend its constituents in Tumkur Special Court.

2. The second pathway consists of the collaboration of REDS with Ekta Parishad to lobby for a land ill that entitles each Adijan household with at least 5 acres of land at the national level. REDS organised a land convention on 4th September 2013 in Tumkur.

REDS' campaign for 5 acres of land for each Adijan family was already part of the 2008 – 2012 contract with ICCO but was temporally put on hold because REDS awaited the removal of the BJP government which only happened in May 2013. Despite of this situation, REDS organised a petition in 2009, collecting 170,000 signatures through the APs to be sent to the relevant authorities at state and national level, which according to REDS helped to table the issue[69][70](no evidence found). As of 2012, REDS started its collaboration with Ekta Parishad, which regroups 2000 land rights organisations of the biggest land rights movement in India under the leadership of Ekta Parishad[71]. In the same year the Director of REDS was nominated in the national task force for land reforms.

[68] Contact details available with evaluation team
[69] ICCO, (2010), Feedback on progress report 2009 - 2012
[70] REDS, (2010), Progress report 2009-2010
[71] REDS, (2013), Progress report on April – December 2012

In September 2013, the Government of India passed the Land Acquisition Rehabilitation and Resettlement Act which however raised severe opposition from both farmers and industry side that continue until to date. Until so far this campaign has not helped to realise REDS' ambition to give Adijan people the right to at least 5 acres per family.

In Karnataka state REDS organised a convention in January 2013 to lobby for access to land for women, followed by a convention in September 2013. 7000 people from the 12 districts where REDS intervenes attended this last convention during which a petition with 500,000 signatures was handed over to the Revenue Minister of Karnataka. A memorandum was also submitted to the state government that presented 10 demands formulated by Adijan people with regards to land, of which 7 demands were taken into consideration by the State Government[72][73].
An external resource person observes that REDS failed to benefit from this momentum created in September 2014 to ensure appropriate follow up in 2014. REDS reoriented its energy to the CERI campaign and did not follow up on land issues.[74]

3. The third pathway explains the outcome by the fact that Karnataka state has a conducive environment for granting Adijans access to land.

Several factors justify that Karnataka state has a conducive environment with regards to land access for poor people, including Adijan people.
In the first place the Prohibition of Transfer of Certain Lands (PTCL Act) provides the legal framework for land reclamation by Adijan people supported by REDS. Caste people have in consequence started to confirm to rules in the fear of a PTCL case being filed against them.[75] However processes to effectively reclaim land are delayed because of land becoming scarce for this purpose[76].
Until so far REDS has taken advantage of this conducive environment by reclaiming land that was common property resource and by reclaiming only small plots that did not challenge the power relations between Adijan and caste people[77].

In the second place, Karnataka is one of the first states to implement article 243G of the 73rd Amendment Act empowering Local Self Governments as of 1992. This meant that executive powers to deliver schemes and services were transferred from state executives to panchayats.[78] Implications for REDS and other organisations defending the interests of Adijan people consist of APs, hobli and taluk councils being the appropriate channel to address land and other issues at Panchayat or taluk level.
In the meanwhile the revenue department of Karnataka also has started to digitize land ownership titles and their transfers as requested by farmers. Taluks are in charge of keeping these digital records and serve farmers. The land ownership data base will become publicly available and is meant to make land deals more transparent. Until so far REDS has not mentioned this as a positive trend.

This conducive environment is however countered by large scale land acquisitions increasingly taking place by companies in Karnataka, including Tumkur district. Strong lobbying by land rights activists across the state has resulted in checking the ability of private and state actors from diluting the law and depriving the poor from their rights over land.

Conclusion
The outcome is in the first place to be explained by REDS' efforts since the past 30 years to create and train Adijan Panchayats, hobli and taluk leaders about possibilities to reclaim land. This strategy possibly has been more effective *before* 2012 than in the March 2012-2014 period, when REDS reduced its efforts to support the APs and the APM. It is a *sufficient but not necessary cause* that explains the outcome, because also the conducive environment provided by the government explains the outcome and is also a *sufficient but not necessary* cause. REDS' lobby and advocacy efforts until so far do not explain the outcome, since no changes have occurred in land policies and in particular their procedures.

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[72] REDS Annual Report 2013-14
[73] Interview with REDS Executive Leadership
[74] Interview with Ekta Parishad
[75] REDS and Ekta Parishad
[76] Progress report of another organisation, known to the evaluation team
[77] Indian Social Institute
[78] http://rdpr.kar.nic.in/English/index.asp

5.4 What is the relevance of these changes?

5.4.1 Relevance of the changes in relation to the Theory of Change of 2012

REDS, in its 2012 Theory of Change aimed to ensure self-respect and dignity for Adijans and women in social, political, economic and cultural spheres'. In order to reach this goal, the most important condition to be fulfilled consists of 'reclaiming Dalit history and culture' which has been operationalised by the Booshakthi Kendra in 2003. This condition was further decomposed in six other conditions of equal importance: Increasing Dalit political participation; eradication of untouchability and reducing atrocities on Dalits by mobilizing them and making them aware of their Rights; strengthening internal governance within Dalit community; strengthening of women leadership in politics; economic development of Dalits and achieving basic (fundamental) rights' of Dalits.

Since the baseline study in 2012, REDS has changed its strategic orientation, intensifying its efforts on mainly two programmes: CERI coalition on electoral reforms on which it is working since 2008 and the Solar Lamp and Clean Development Mechanism (CDM) programme. These two programmes are very indirectly relating to the 2012 Theory of Change.
The changes obtained through the solar lamp project seem relevant in the ToC in terms of contributing to the economic development of the Adijan people. The CERI has not yet resulted in changes. Other changes that are relevant in the light of the ToC is the ongoing reclamation of land and claims to access government schemes , but the considerable dilution of the APM is negatively impacting upon these changes, weakening their relevance .

5.4.2 Relevance of the changes in relation to the context in which the SPO is operating

The changes introduced in Tumkur district are relevant in the context that Adijan people are living. SCST represent 23.5 percent of the total population but they are not sufficiently represented in the political domain, reason that their rights are regularly violated or not respected[79]. Another factor however consists of SCST or Adijan people not being able to become operational as one movement at the state level.

Against this background the movement created by REDS in Tumkur district, for which REDS has been commended by external resource persons is just one relevant step towards the creation of a movement at state level. However, no traces were found that provide evidence of REDS engaging with other Adijan movements operational at Karnataka state level in in other districts, nor evidence about the relation of the Adijan Panchayat Parliament created at state level in 2011 with these networks such as Karnataka Dalit Mahila Vedike and Dalit Sangharsh Samiti.

The increased involvement of non-Adijan people in the movement is also relevant in terms of creating a bigger constituency as a means to enhance political leadership at state level.

5.4.3 Relevance of the changes in relation to the policies of the MFS II alliance and the CFA

REDS' partnership with the ICCO alliance is part of its global Conflict Transformation and Democratization programme. The program distinguishes four thematic areas of work, which are closely linked: Empowerment for conflict transformation; Human rights and rule of law; Gender and United Nations Security Council Resolution 1325 (UNSCR 1325) and; Democratic society.
In a number of countries coalition-forming of organisations working on similar issues is part of the CT&D programme we have stimulated the development of program coalitions in which civil society

[79] http://timesofindia.indiatimes.com/city/bengaluru/Why-there-is-no-Jupiter-among-dalits-in-Karnataka/articleshow/24149666.cms

organizations collaborate. Issues that could be addressed were for instance access to land and natural resources for marginalised groups, human rights or conflict transformation[80].

In India this programme has been translated into the democratisation and peace building programme, with a particular focus on addressing structural issues like caste, class and land issues.
Apart from this, ICCO supported the creation of an Empowerment & Entitlements Platform in 2008 aiming to take collective action on land issues and untouchability. REDS has been member of the platform and also held administrative functions[81].

In its 2013 Alliance report, ICCO, the Karnataka State Assembly passed the Scheduled Castes Sub-Plan and Tribal Sub-Plan (SCP/TSP) Act that included a budget allocation to purchase land for an organization of landless Dalits. This enabled 3,086 Dalit families to attain ownership of 2,186 acres of land. Similarly, total 4104 acres of land was allocated as communal land, or forestland. This was the result of extensive lobbying and advocacy work in which several of ICCO's partners were involved.

According to the ICCO CT&D coordinator, REDS' interventions have been relevant in the light of the CT&D programme, because REDS addressed land issues, explicitly worked on women empowerment, was able to create an entire Adijan movement which is capable to engage with Gram Panchayat representatives and local administration and is currently working on CERI. Together with the National Campaign on Dalit Human Rights, land issues have been tabled at the national level.

The evaluation team observes however that since REDS made its strategic change in 2012 and only actively intervened in two programmes; CERI and the CDM; the performance of the APM in Tumkur has declined in terms of number of APs still supported and acreage of land reclaimed, whilst women empowerment still is on the agenda.
The field visitors to REDS did not find traces of REDS having participated in the Empowerment & Entitlements Platform, nor interventions that are associated with the Scheduled Castes Sub-Plan and Tribal Sub-Plan (SCP/TSP) Act of 2013.

The changes to which REDS contributed since the baseline study are still relevant for ICCOs MFS II policies, though were limited in scale.

5.5 Explaining factors

5.5.1 Internal factors

As mentioned in chapter 4, REDS informed the evaluation team that it has changed its strategic orientation since the baseline and concentrated on the the CERI campaign and the CDM by means of the solar lamp project. At the same time it limited its efforts to expand the Adijan Panchayat Movement.
In consequence the organogram has changed; senior and other staff has been replaced or sent away early 2012, whereas according to contractual obligations with ICCO, still interventions were planned in relation to the APM, access to government schemes and to land issues. According to REDS, the CERI and the CDM programmes have been implemented with support of German organisations, although they are also part of the contracts signed with ICCO.

Apart from these strategic and operational changes, the founders of REDS kept their executive leadership positions whilst at the same time creating a company to manage incomes generated through the solar lamp project.
Many people associate REDS with these founders according to the founders themselves and to some outsiders, although some also state that a change of leadership might also be necessary.

The shift in the strategic orientation of REDS might be one of the explanations of rather diluted outcomes reported like a better integration of Adijan people in society, a decrease in the acreage of

[80] ICCO Alliance Progress report 2011
[81] Interview with programme coordinator CT&D India

land successfully reclaimed by Adijans and lobby activities with regards to land not having been successful.

5.5.2 External factors

No particular external factors have been identified that impacted negatively upon REDS' outcomes achieved.
Some conducive elements were identified, such as the Congress party taking over power in Karnataka state as of 2013, increased attention for land rights in the policies and procedures to be followed in order to obtain land titles, and increased attention for the enforcement of the Prevention of Atrocities Act.

5.5.3 Relations ICCO –REDS

Relations between ICCO and REDS have been constructive and until 2012 the programme was implemented appropriately. The end of financial support from ICCO explains the strategic reorientation of REDS and the non-convincing outcomes reported.
A major reason for ICCO to end the support to REDS is a change in geographic focus in India, in favour of the North East: although ICCO will not provide financial support to REDS, technical support is still possible and they will continue to engage with REDS as a member of the Empowerment and Entitlement coalition as well as on land issues because REDS is a member of the national commission on land reforms.

6 Discussion

6.1 Design of the intervention

The design of the intervention strategy has drastically changed since the baseline, the most important reason being an end to the financial support given to REDS to further support the APM. The introduction of the solar lamp project and the importance it gained in financial terms has resulted in another intervention design.

The change in the strategic orientation has not taken into account existing positive outcomes already achieved upon which to build, nor has foreseen an exit strategy that enabled the APM to continue on its own. For example, the creation of the Adijan Panchayat Parliament at Karnataka state in 2011, did not receive further material and technical support to become a performing apex body of the APM.

Whereas the business model developed for the solar lamp project is possibly replicable in other districts and states; that of creating the APM is not replicable in a time frame neither of five years nor by another organisation.
The APM is the result of a project of the two founders of REDS, who are the very charismatic leaders of REDS. This process started in 2001. It is curious to see how quickly this strategy for movement building came to an end when financial support became difficult.

7 Conclusion

Changes in the civil society arena of the SPO
In the 2012 – 2014 period the most important changes that took place in the civil society arena of REDS are the following:

1. The number of Adijan Panchayats, hobli and taluk councils in Tumkur district declined from respectively 1000, 45 and 10 entities in 2010 to 550, 14 and 3 entities in 2014, the most important factor being the end of the support given by ICCO and Cordaid *(level of organisation).* Instead of supporting this Adijan Panchayat Movement (APM), REDS reoriented its interventions towards the implementation of a solar lamp project (also in Tumkur district), a land campaign and one for electoral reforms in India.
2. Yet those Adijan people still member of the APM where capable to claim their economic rights and they made a conscious vote during the 2013 state elections. Co-existence and acceptance of Adijan people by caste people is said to have increased since the baseline *(civic engagement).*
3. Collaboration with public authorities was constructive and intensified after the positive election results at Karnataka state level. Yet efforts to positively influence the land bill and proceed to electoral reforms at national level did not yet materialise. To this end REDS engaged with relevant networks at national level.

Contribution analysis
Based upon an analysis of the projects and programmes financed by the Dutch CFAs a selection was made of SPOs to be included in an in-depth process tracing trajectory and those to be included for a quick contribution assessment. REDS was amongst those SPOs selected for in-depth-process tracing.

The first outcome achieved to some extent consists of Adijan (Dalit) people being better integrated and socially accepted in Tumkur district. Three rival pathways were identified: 1) During MFS II 76 Adijan youth were trained in install solar lamp systems in not only Adijan houses but also in non-Adijan houses who wanted to pay for these systems (4,163 families); 2) REDS has empowered the Adijan people and helped them to claim their rights and dignity in Tumkur district since 1984 and; 3) other actors and factors explain this outcome. Each of these pathways in themselve provide a sufficient but not necessary explanation for the outcome achieved. Although the solar lamp project is part of contractual obligations signed between ICCO and REDS as well as being reported on in progress reports, two German NGOs, Bread for the World and Andheri Hilfe are said to have financially contributed to this project. However more substantial contributions come from interventions supported *before the MFS II* period and financed by ICCO and Cordaid.

The second outcome consists of Adijan Panchayats and their organisations at hobli and taluk level increasingly being capable of claiming their rights, in particular with regards to reclaiming their land. Three pathways were identified, being 1) interventions by REDS to create the Adijan Panchayat movement with structures at village, hobly, taluk, district and state level; 2) lobby and advocacy activities for improved policies and regulations that provide access to land, and; 3) a conducive environment caused by the state. Whereas the second explanation was rejected, the two other pathways provide a sufficient but not necessary explanation of the outcome. REDS has possibly been far more effective *before MFS II* in explaining this outcome than *during MFS II*.

Relevance
With regards to its Theory of Change, REDS' changes achieved are relevant to some extent, although REDS' strategic orientation has negatively impacted upon those changes important in the ToC, in particular relating to the creation of a strong Adijan Panchayat Movement, access to land and to other entitlements.

With regards to the external context in which REDS is operating, changes introduced are relevant. However these changes have not yet helped to create one not fragmented movement at Karnataka state level to further claim political, economic and social rights.

With regards to the policies of the ICCO alliance, the changes achieved by REDS are relevant, but the performance of the APM in Tumkur in terms of Adijan Panchayats operational and acreage of land claimed has declined, whilst women empowerment is still high on the agenda. No traces were found of REDS engaging with other ICCO partners in a programmatic coalition to address land issues.

Explaining factors

The most important internal factors that explain the explanation of the rather diluted outcomes, such as the better integration of Adijan people in society and the acreage of land reclaimed consist of REDS having drastically changed its strategic orientation, its organogram and staff.

External factors that positively influence the outcomes obtained by REDS are the conducive environment provided by the government of Karnataka with regards to land rights and procedures to obtain land rights and an increased attention for the enforcement of the Prevention of Atrocities Act.

The relations between ICCO and REDS have been constructive until 2012, but the end of ICCO's financial support explains the shift in REDS strategic orientation.

Design

The business model developed for the solar lamp project is replicable by other organisations and in other contexts. That of the creation of the APM however is not replicable.

Table 4

Summary of findings.

When looking at the MFS II interventions of this SPO to strengthen civil society and/or policy influencing, how much do you agree with the following statements?	
The CS interventions were well designed	5
The CS interventions were implemented as designed	5
The CS interventions reached their objectives	5
The observed outcomes are attributable to the CS interventions	5
The observed CS outcomes are relevant to the beneficiaries of the SPO	8

Score between 1 to 10, with 1 being "not at all" and 10 being "completely".

References and resource persons

Documents by SPO

Title

REDS (2010) Half Year Report April – September
REDS, 2013, Progress report 2012
REDS (2013) Narrative Report April – December 2012
REDS (2014) Narrative Report April 2013 to March 2014
13_056891-project plan-01042013-31032014
2009_Clarifications
annual-project-update 02022012
half-year-report2011-2012-REDS71-03-03-033
mail062010
REDS (unknown) Staff policy

Documents by CFA

Title

ICCO (2012). Feedback on the narrative report 2010
ICCO (unknown) project plan REDS (Repaired)
ICCO, (unknown),Project Plan Considerations 2012-2013
ICCO (2013) Feedback on the narrative report 2012-2013:
13_054773-project-plan-consideration--01042013-31032014
feed-back-letter-08012012
13_067582-project-closure-01042012-31032013
feed-back-letter71-03-03-010
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ICCO (2012) REDS final visit report
ICCO (2013) Alliance Progress Report 2012 – Narrative part
ICCO (2014) beleidsbrochure (proef4)
ICCO (2014) Progress Report 2013 Final 1 May Part 1 Narrative
ICCO (2014) Progress Report 2013 Final 1 May Part 2 Annexes
ICCO (2014) MIC's 2011-2 Prefinal pp Version02-05Final
ICCO (unknown) ReportPoliticalSpace(def)

Resource persons consulted

Name of Key Informant	Organisation	Function in Organisation	Relation with SPO	Contact Details
Mrs. Jyothiraj	REDS	Director		jyothiraj53@yahoo.com
Mr. M C Raj	REDS	Chief Functionary		mcraj.reds@gmail.com
Kambanna, 2009	REDS	Taluk Coordinator		7259586245
Narayanappa, 2000	REDS	Division Coordinator, CDM and Taluk Coordinator, (Adijan Panchayat)		7259586238
Gangalakshmamma, 2009	REDS	Hubli Coordinator (Adijan Panchayat and CDM)		7259586246
Asha	REDS	Programme Coordinator CDM, January 1st 2014		9886416901
Rangaiah	REDS	Programme Coordinator, Land Department, Since 2006		9900045875
Hemalatha	REDS	Documentation, 2006		7259999869
Kusuma	REDS	Karnataka solar project, data manager, December 2013		9164428282
	AP (Thippanahalli Village)	Leader	Receives support to work with beneficiaries/households	9663460073
	AP (Lingikatte Village)	Leader	Receives support to work with beneficiaries/households	8762470296
	AP (Lakshmisagara Village)	Leader	Receives support to work with beneficiaries/households	N/A
	AP (Lakshmisagara Village)	Leader	Receives support to work with beneficiaries/households	N/A
	Indian Social Institute	Director	Other	09481263142
	Ekta Parishad Dalit Mahila Vedike and Sanchaya Nele	Convenor Representative	Collaborating with SPO External resource person	09993592424

Appendix 1 Civil Society Scores

This table presents the appreciation of the evaluation team regarding changes occurred for each indicator between 2012 and 2014 on a scale of -2 to + 2

- 2 = Considerable deterioration
- 1 = A slight deterioration

0 = no change occurred, the situation is the same as in 2012

+1 = slight improvement

+2 = considerable improvement

Dimension		Indicators	Question	Change
Civic engagement	1	Needs of marginalised groups	How does your organisation take the needs of your beneficiaries/target groups, in particular marginalised groups into account in your planning, actions, activities, and/or strategies?	-1
	2	Involvement of target groups	What is the level of participation of your beneficiaries/target groups,in particular marginalised groups in the analysis, planning and evaluation of your activities?	0
	3	Political engagement	How intense is your (individual staff or organisational) participation in locally-nationally elected bodies and/or sectoral user groups?	+1
Level of organisation	5	Relations with other organisations	In the past 12 months what has been the most intensive interaction you had with other CSOs?	+1
	5	Frequency of dialogue with closest CSO	In the past 12 months how many meetings did you have with the CSO that you have most intensive interaction with?	0
	6	Defending the interests of marginalised groups	Which CSO are most effective in defending the interests of your target groups? In the past 12 months, how did you relate to those CSOs?	-1
	7	Composition current financial resource base	How does your organisation finance institutional costs such as workshops of the General Assembly (if applicable); attendance to workshops of other CSOs; costs for organisational growth and/or networking?	+1
Practice of Values	8	Downward accountability	To what extent can mandatory social organs (steering committee, general assembly, internal auditing group) ask your executive leaders to be accountable to them?	0
	9	Composition of social organs	What % of members of your mandatory social organs belong to the marginalised target groups you are working with/for?	0
	10	External financial auditing	How regularly is your organisation audited externally?	0
Perception of impact	11	Client satisfaction	What are the most important concerns of your target groups? How do your services take into account those important concerns?	+1
	12	Civil society impact.	In the past 12 months, what impact did you have on building a strong civil society?	0
	13	Relation with public sector organisations.	In the past 12 months, what interaction did you have with public sector organisations to realise your programme and organisations' objectives?	1
	14	Relation with private sector organisations	In the past 12 months, what interaction did you have with private sector organisations to realise your programme and organisations' perspective?	0
	15	Influence upon public policies, rules, regulations	How successful have you been in influencing public policies and practices in the past 2 years?	0

	16	Influence upon private sector agencies' policies, rules, regulations.	How successful have you been in influencing private sector policies and practices in the past 2 years?	NA
CS context	17	Coping strategies	In the past 2 years, how did your organisation cope with these changes in the context that may have been positive or negative consequences for civil society.	0

Appendix 2 Changes in civil society indicators between 2012 and 2014

1.1. Needs of marginalised groups SPO

Between the period 2011 and 2014 REDS claims that there has been a dramatic increase in the number of poor, Dalits and other backward class people being attracted by its activities. REDS has adopted three main components which complement and incrementally support their objective of Dalit dignity. The first one is centered on education, the second on livelihood, and the third around clean environment. These three paths have sub paths which are complimentary to achieving its objective. The number of participants in meetings and trainings at Bhooshakthi Kendra, Nalihella village, on every 2nd Monday of the month, in 2013-14 for non Dalits have increased to 859, and in the same period the taluka office visitors' book shows more than 1000 people of all castes approaching for government entitlements and schemes out of which more than 500 were women. In only 2013-14, 12 489 solar lamps have been installed in 4163 households in 3 talukas of Tumkur.

In the case of land reclamation, REDS has made some progress. While in 2011, 2029 petitions for land were filed by APs in District and Taluka courts, by 700 families for 3353 acres. The total amount of land mentioned here are those that were taken up by the land department and not actually reclaimed or distributed. Till date (2011-2014) the total land cases filed by APs stands at 8341.24 acres with a total worth of INR 11,397,090.While at the same time Bhooshakthi Vedike, the wider platform which covers 9 districts, has been able to file cases for 10,38.04 acres worth INR 155,73,90,000 catering to 2786 families. (Source 2012-13 Annual Report; Feed Back Report 2012; the calculation of monetary amount is done through the revenue being received by the land department for these lands).

These numbers have been culled from the cumulative figures in annual reports to donor by REDS for 2012-13 and 2013-14. But overall land allotment by Karnataka Government and especially in the district of Tumkur in the period of 2011 to 2014 does not bear out the fact. Similarly accessing government schemes has also paid great results to REDS' claim to success. By 2013 it had accessed schemes worth INR 11,397,000 for the target groups. The conversion of accessing government schemes in monetary terms is calculated from total entitlements in terms of central, state, and SC/ST sub plan allocations in the district. Whether REDS can claim it as a success of its activities is doubtful, because Sanchaya Nelle's Report for 2013-14 states that for the first time in July 2012 the newly elected Chief Minister declared that the 30 year old central rule of special allocation for SC/STs were to be implemented seriously in the state. This was turned into an ACT and special allocations under SC/ST sub plan were distributed to all districts according to their population.

Here it must be clarified that while earlier REDS focused mainly on Dalits/untouchables only in the last two years other SC (touchable castes) and Other Backward Class and middle castes have received support.

Score: -1

1.2. Involvement of target groups SPO

REDS has created a structure of decision making through their Adijan Parliament and Hobli level Panchayats. There is more than 50 percent of representation of women in such groups. All the decisions regarding entitlement, needs, trainings and addressing specific local issues are taken at this level. REDS' executive leadership does not interfere in such processes according to their interviews to the evaluators. Decentralised decision making has been possible because over the last ten years REDS has created an accountable and equity based structure at all levels and made them self-sufficient. According to the executive leadership's assessment form conclusion of Cordaid funding and constant confusion regarding ICCO funding for 2013-2014 had forced their hands to give a golden handshake to most of the project staff. Their coverage of Talukas has also come down accordingly where ever they could find trained and committed volunteers.

Local contributions to REDS have increased from INR 715,154 in 2010 to INR 6,467,878 in 2013-14. People pay for their travel and food when attending functions and conventions and trainings. The estimated figure of the participants' travel and lodge has been calculated by REDS as contribution in the 2013-14 report. Whereas between 2009-12 the actual contribution through the APs, selling of literature and bearing the cost of REDS staff to Taluk and district offices were taken into account as contribution. (Source Half Yearly Report 2010; Annual Report 2012-13 and 2013-14).

There were taluk and district parliament level meetings held every month and twice in 3 months respectively. Bhooshakthi Vedike holds every second Monday the Adijan Darshan, which resolves concurrent problems faced by people. Celebration of land day in 2013, creating a human chain to state their demands in 2013, and land convention with attendance from all stake holders including government servants and coalition partners like Ekta Parishad has proven that Dalit Panchayat leaders are articulate and well informed about their rights. (Interview with Ekta Parishad).

Monthly meetings in Vedike level, taluka level, and district panchayat level, with training material and coordinators (85 locally recruited out of which only one is not adijan and more than 50 % are women) helped to achieve the decentralised governance and empowerment in decision making process. This is corroborated by the field staff and coordinators and the review report of 2013 by the donor. CMASK and Dalit Mahila Vedike and Sanchaya Nelle annual Report for 2013-14, suggest that these networks were responsible for pressuring the government to implement the decentralisation norms to be followed by government officials.

Score: 0

1.3. Intensity of political engagement SPO

In case of REDS, internal and external governance is most important in making a formal stake for empowerment. According to the Indian FCRA law organisations receiving foreign funding are barred from indulging in political activities. But as is evident every movement and action to reclaim rights and entitlements involves politics. Formally, these activities are undertaken through interventions of the SPO.

People's participation in the Gram Sabhas[82] has increased in the last two years. This is also because of their political strength with which they managed to elect 703 Gram Panchayat members. REDS also conducts voter's education and promotes active participation of Adijans in the electoral processes. REDS claims that mobilising Adijans has resulted in their bargaining power during elections. Of particular achievement are the recently concluded elections to the Karnataka State Assembly. Two main contestants approached the Movement for support several times. One was a very powerful son of a former minister. The other one was from the Adijan community. After weighing all pros and cons it was decided to support the Adijan candidate. The Adijan people also voted as one force and he won against a very powerful candidate and also much against the general trend where people elected Congress party. But this candidate was from the Janata Dal party (Source: Self-Assessment form of REDS executive leadership)

Score: 1

2.1. Relations with other organisations SPO

REDS says it is operational in 12 districts in Karnataka state and for its solar lamp project it intervenes in 7 districts. In Tumkur district it worked with 1000 Adijan Panchayats in 2010 in 6 talukas, but in 2014 it still worked with 550 Adijan Panchayats in three talukas.

At the international level, REDS networks with organisations in the United Kingdom; the Netherlands; Germany; Belgium; Sweden; Norway; Bangladesh; Pakistan; Nepal; Thailand; Sri Lanka; Switzerland; the United States of America and Nepal.

In Karnataka, many organisations are working on dalit issues, such as Alternative Law Forum, Aneka, Environment Support Group, Garment and Textile Workers Union, Hengasara Hakkina Sangha, Jyothi

[82] The Gram Sabha is the lowest level of Panchayati Raj system where every eligible voter in the village is a member. The gram sabha is empowered to put forward demands to the Panchayats. Two gram sabhas, at the least, in a year are mandatory under the law for each panchayat.

Mahila Sangha, Karnataka Dalit Mahila Vedike, Karnataka Komusouhardha Vedike, Karnataka Sexual Minorities Forum, Karnataka Sexworkers Union, LesBiT, Lawyers Collective, Openspace, Pedestrian Pictures, People's Democratic Forum, People's Union for Civil Liberties, Sadhane, Samanatha Mahila Vedike, Sadhana Mahila Gumpu, Samara, Samvada, Sanchaya Nele, Sangama, Suraksha, Vijaya Mahila Sangha, Vimochana and many other individuals and organizations. Although some of these organisations work in several districts, none of them works with REDS in Tumkur district, nor does REDs work with these organisations to join forces at state level.

An Adijan Panchayat State level Parliament was created in 2011, where each hobli elected 10 (5 men and 5 women) members to the taluk and each taluk to the state level parliament. The life of this elected body is 5 years. Dodamma, a REDS activist women was chosen as the speaker of the parliament. The Adijan Panchayat Movement supports the efforts taken up by one of the biggest land rights movement in India under the leadership of Ekta Parishad which has a network capacity of around 2000 land rights organizations in the country. (Source: Annual Report 2012-13, Interview with Executive leadership)

Score: 1

2.2. Frequency of dialogue with closest civil society organisation SPO

Ekta Parishad is the organization that REDS has interacted with most frequently in the last two years. There have been 13 mutual meetings both in Tumkur and in Delhi. It resulted in a meeting with Mr. Jairam Ramesh, then Environment Minister, twice and a policy document was prepared by the National Task Force for ministerial decision in the central government. Since then the change in government has pushed the issue to the back burner. The possible reason could be the fact that Tumkur elected an opposition candidate as MLA against the state trend.

As pointed out earlier, though many organisations work on Dalit issues in Karnataka, Tumkur is somehow left out by most of them and apart from REDS, as corroborated by Prakash Lewis, external interview, Dalit scholar, no other organisation's presence is evident. REDS does not engage with or is a part of CMASK and Dalit Mahila Vedike and Sanchaya Nelle, who work across 25 districts of Karnataka. This is corroborated by Yashoda.P who is the convenor of both the networks and is the founder of the third. (Source: Dalit Mahila Vedike and Sanchaya Nele)

Score: 0

2.3. Defending the interests of marginalised groups SPO

Number of Adijan Panchayats that know how to claim their land rights and acted upon it:
Though the annual reports do not share the exact data on the land claimed by each of the existing Dalit Panchayats, the statistics on land rights indicated petition for reclamation of 3353 (2028 in October 2010 to March 2011 and 1325 in April to September 2011) acres of land for the Dalit community which is a very significant achievement. In fact the grand total of land reclaimed is 10,382.04 acres for 2786 families until December 2014. In Tumkur districts 67.19 acres of land were reclaimed between 2012 and 2014 for 152 families. In addition to filing petitions for land Dalit Panchayat members are now aware of the legal protection to their land, under the PTCL Act which states that buying and selling lands occupied by Dalits is prohibited.

10 major demands related to land reclamation, protection, promotion and development were placed before the Government of Karnataka in September 2013 at a land convention held in collaboration with Ekta Parishad and out of these 10 demands 7 are under consideration by the State Government. Tumkur is also the only district to have laid down the land reclamation process to the minute details with functionaries, functions and financial allocations. www.tumkur.org

Number of Adijan Panchayats that know how to claim access to government schemes and acted upon it
REDS is able to motivate local administrations to ensure that facilities reach people in the villages. Of late REDS is also expanding their inclusive attitude of bringing all the poor together and not just Adijans. Every Gram Panchayats has to execute 22.75 % of its budget for Adijan issues. When the government announces relevant schemes for Adijan people, REDS immediately sends out pamphlets in the villages entitled to the scheme, to inform them about their rights and act on it. Trainings are organised for movement leaders to be able to approach the government accordingly. Until sofar

Government Schemes worth INR 6,274,500 have reached 858 families in 338 villages in Tumkur district in 2012 - 2013. (Source: Annual Reports 2012-13, 2013-14; interview with staff and executive leadership).

Crime against Dalits: a perspective
According to progress reports by REDS, untouchability practices were reduced in Tumkur district by 80 percent in 2009, by 90 percent in 2011 and the district was declared free of atrocities in 2012. Despite this outcome being achieved, the contracts with ICCO in the 2012 – 2014 period still include interventions to stop atrocities. The information provided by REDS is being contradicted by the SCST Prevention of Atrocities Karnataka status report that covers 2011 and 2012; This states that Tumkur district had the highest reported cases of atrocities in 2011 (112 cases) and 2012 (121 cases). This is a significant increase with 73 percent in just one year. In the same period however the district vigilance and monitoring committee meetings met the legal requirements of quarterly meetings for the first time.

There is one crime reported against the Scheduled Castes (SCs) or Scheduled Tribes (STs) every 5 hours. Almost every week sees an SC or ST person murdered (45 in 2012) and an SC or ST woman raped (47 in 2012). Bangalore City (126) and Tumkur (121) had the highest reported cases of atrocities in 2012. Tumkur was the highest (112) in 2011. There is a sharp variation in performance of the police and prosecution. While the police have a charge sheeting rate of over 97%, the prosecution has a conviction rate of just 7%. Though the police rate of charge sheeting is marginally higher in the case of crimes against SCs and STs under the Prevention of Atrocities Act compared to other crimes, the conviction rate of the special public prosecutors (SPP) is drastically lower for crimes against SCs and STs (7%) than for crimes under the Indian Penal Code (31.5%). This report, by CMASK, which is based on public domain data procured through RTI, reviews the performance of the Government of Karnataka in the discharge of its duties under POA for the years 2011 and 2012.The government has not held a single meeting of the State Vigilance and Monitoring Committee (SVMC) for the duration. Indeed, there has not been a single meeting of the SVMC at the designated time in the whole five year period from 2007-2013. This is despite several reminders and petitions to the highest levels of the government by CMASK. The present government has issued the notification constituting the SVMC under Rule 16(1) on 19 July 2013, and therefore could not hold the statutory meeting in July 2013.

Score: -1

2.4. Composition financial resource base SPO

Internal revenue generation model: The pattern of own contribution by the project shows the internal resource generation through members' contribution has been a big step towards sustainability. While REDS has used project support to train community members and to establish Adijan Panchayats, the expenses for the battle of justice fought by members are met from membership fees and internal contributions. Therefore, as REDS steps out, the struggle for demand for justice by the Dalit Panchayat will continue effectively in other districts through the membership fees. (Interview with Executive Leadership)

Linkage with the solar lamps project: As part of its initiative to answer the multiplicity of the problems like caste based discrimination along with enhancing access of Dalit community to basic needs and climate change, REDS started its solar lamp project which is now emerging as a business model. The intensive presence of the business model of the Solar Lamp project in 7 other districts of Karnataka will pave the way for self-sustainability of the Organization. Incomes received from solar lamp users are put in a separate company called Cosmic Rumble. REDS has also undertaken the sustenance of the project for the next 10 years through self-financing once the contract with present donors is over.

Apart from ICCO, REDS is receiving its funding from other donors such as Bread for the world, Misereor, Germany, and Andheri Hilfe, Germany etc. Therefore REDS has a wider donor base, which is good for long term sustainability of the organisation. Percentage of ICCO funds to total donor funds have come down substantially to 10% in 2012 -13, therefore dependency on ICCO funds is very low. In order to achieve self-sustainability in the project, REDS has made the members to pay for their own struggle from the beginning to make them independent from any grants. Therefore the matching grant for this project is high (82%). This increases the chances of sustainability of the project as internal revenue generation will continue even after the grant support ends. During this reporting period 5 taluks have mobilized INR 1,086,370 as local contribution in terms of kind. Leaders from Dalit

Panchayats attend special events, government programmes, visit to various departments to enable them to access support and services from government by contributing towards their travel, food cost etc. (Source: Annual Report 2012-13 and Project plan 2012)

Other interventions
Activities related to Adijan Panchayats in Tumkur district were supported by ICCO funding. Though the contract between REDS and ICCO for 2013-14 clearly mentions that the money will be used for CDM, APM, and Land Rights, repeatedly in interviews and the project plan for 2012, REDS insists that ICCO funding was only used for Land Rights training and conventions. The rest were managed by funding from German donors. CERI has a group of voluntary coordinators in 18 states. No one is paid a salary in CERI except the National Coordinator and M C Raj. The registration of REDS' solar lamp project with UNFCCC was a major milestone for REDS. Seeing the initial success of the project within two years, which was funded by Cordaid and ICCO, the German Government came forward to support another solar lamp project in 11 other districts of Karnataka with 46,000 solar lamps. Already 36,000 lamps have been distributed. None of these lamps is free. People contribute to a revolving fund which goes into training, maintenance and put in the Cosmic Rumble Company for further spread. (REDS Annual Reports 2012-13, 2013-14)

It is to be noted that while according to the contract available with us ICCO funding continued till 2014 March, according to the executive and field staff forms, it ended in 2013 March. This discrepancy of information gives rise to confusions in contributing Dutch funding for CDM, APM, Land activities for the year 2013-14. (ICCO Contract with REDS 2013-14)

Score: 1

3.1. Downward accountability SPO

REDS has a well-defined organizational structure that takes care of downward accountability. There is a Governing Body and its members are responsible for the performance of the Director. The Director is responsible for the overall functioning of the organization; for both external representations; alliance building; coordination and programme design and implementation; fund raising and; networking. The Director has departments headed by senior staff most of whom have come through the ranks and who are responsible for the functioning and performance of their own teams. Apart from this, auditing is the responsibility of the finance department and they engage an external firm to carry out the necessary audits and project specific audits.

The coordinators and staff are invited at annual general meetings with the board. Everything is shared; there is an information system where information on the monthly, weekly, financial meetings, sharing meetings, celebration meetings is made available widely. (Source: Interviews with Executive leadership, field staff and evaluators interviews with the APM leaders)

This above mentioned system was not borne out by the staff in private interviews. Nor were there documents showing clear cut job description and accountability structure. That it is an organisation which is solely run on the intellectual and informal capacity of the executive leadership, which by the way has not changed in the last 30 years, shows that downward accountability is far from achieved despite repeated nudges from the donors. The members of Adijan Panchayats who were interviewed were not aware of the financials or the programmatic outlays. Given the fact that the geographical area of operation for REDS has drastically reduced to 3 talukas now, and financial liability has reduced, and in fact the solar lamp project ensures a steady cash flow, down ward accountability in the structure has gone down.

Score: 0

3.2. Composition of social organs SPO

The Board of REDS comprises eminent people from different walks of life and they meet every quarter. The seven persons of the Board count 5 Adijans and two other castes, amongst which 4 are women.

It was pointed out in the final review report that REDS must make its board more effective and not have permanent members. "In the bye-laws, members of the board have permanent membership and there is no rotation policy for the appointment of members of board. Secondly REDS has not explored the possibility of seeking support from board members in its fund raising efforts to attain sustainability in the long run. It is suggested to REDS to look into these aspects in order to make its board more

effective". (Source: Review Report by ICCO for 2012-13) This has been partially followed by changing some members annually.

All Coordinators are from the Adijan community. The management of REDS consists of only Adijans except one person who is the CDM coordinator. Total staff strength is 50 including auxiliary staff. Most of the positions are occupied by Adijan people. The strength of departments has been reduced since the baseline.

Score: 0

3.3. External financial auditing SPO

As far as financial Management of REDS is concerned, REDS has a policy document but it is not printed. All the affairs of the REDS are conducted according to this policy document. This has been discussed in the board of REDS and approved. It is felt that over the years this document needs revision. With the appointment of new auditor in 2013-14, REDs will revise its policy document in the next year.

M A Braganza & Associates have been the auditors of REDS for the last 25 years. Half yearly and annual reports were prepared separately for all donors and then they were put together as one report for REDS' documentation. REDS is required to change its auditors for the next financial year and thereafter has to change auditor every 3-5 years. REDS has changed its auditors as of 2013.

Overall organizational audits for the last two years i.e. 2010-11 and 2011-12 have been submitted by REDS. REDS has introduced quarterly auditing recently. Thus we have quarterly, half yearly and annual auditing done by external auditors.

Score: 0

4.1. Client satisfaction SPO

There are several indications that Adijan and other backward castes are satisfied with the services delivered by REDS.

In the first place the contributions of these people in Tumkur district to attend meetings organised by REDS at its centre and to seek support in claiming their rights have increased since the baseline.

In the second place, more people have successfully claimed their land back, although by the end of 2014 only 10,597.04 acres had been successfully reclaimed out of 64,309.2 acres claimed. Table 5 shows that the acreage of land reclaimed in Tumkur district did not reach the target of set in the 2012-2013 contract with ICCO; 450 families receive 5 acres land each, which is 2,250 acres.

Table 5

Land reclaimed in Tumkur district and in all Karnataka state in acres Table caption (e.g. title).

Period	Acreage reclaimed in Tumkur per year	# of families benefitting Tumkur district	Total acreage reclaimed at state level	# of families benefitting at state level
April 2010 – March 2011	2028	834	286.30	52
April 2011 – March 2012	56.36	452	300	121
April 2012 – March 2013	16.04	7	357	150
April 2013 – March 2014	51.19	145	162.20	166

Sources: progress reports from REDS and feedback reports from ICCO.

In the third place, REDS has supported families to get access to government schemes, as can be seen in the following table which represents figures of only six of the ten taluks in Tumkur district. These figures show a significant decline in 2012-2013, which was recovered in the next year.

Table 6

Access to government schemes in Tumkur district.

Year	IDR	*# of families*
2009-2010	10,611,830	628
2010-2011	8,227,730	700
2011-2012	6,562,200	700
2012-2013	2,320,700	579

2013-2014	6,274,500	858 in 338 villages[83]

Sources: progress reports from REDS and feedback reports from ICCO.

In the fourth place, the solar lamp project reached 4163 families in Tumkur district by March 2014, who together received 12,489 lamps. Outside Tumkur district 36000 lamps out of 45000 planned have been solved. Advantages mentioned at household level consist of improved health conditions because kerosene lamps have been abandoned; children being able to study more at night and women having more time to prepare IGAs; Adijan people in charge of installing and repairing the lamps in the houses of other castes are better integrated in society and caste people starting to ask them questions instead of vice-versa (caste equation).

In the fifth place REDS claims a reduction in the presence of bonded labour, abusing Adijan people and declared Tumkur district 'atrocity free' as of 2012[84].
The number of villages where bonded labour was stopped increased from 109 to 148 villages in Tumkur districts between 2011 and March 2014. According to REDS this has a rippling effect to the seven to ten neighbouring villages that also decide to stop bonded labour. In the same period police has become more supportive to REDS to stop the practice.
However the SCST (PoA) Karnataka status report for 2011 and 2012 states that Tumkur district had the highest reported cases of atrocities in 2011 (112 cases) and 2012 (121 cases) in Karnataka state. This is a significant increase with 73 percent in just one year.

Score: 1

4.2. Civil society impact SPO

The Adijan Panchayat model has been spread to 12 other districts of Karnataka state.

The Adijan Panchayat Movement, since the creation of the AP Parliament at Karnataka State level in 2011, has become a well-structured movement (having Adijan Panchayats at village level, councils at hobli and taluk level and Parliaments at District and State level) with the following competencies:

- Each level knows how to claim its rights to government schemes and to land
- Each level negotiates with ordinary Panchayats, government departments and commissions.
- The APM is capable to mobilise and manage its own resources to be used for interventions serving the movement and its members.
- Members have become politically conscious and use their vote accordingly, as has been shown in the 2013 Karnataka Assembly elections (see 5.2.1)
- AP leaders and coordinators are capable to organise press conferences on their own.

On 15 April 2011 the Karnataka state Adijan Parliament was established by members of District Council from 12 Districts of Karnataka. The entire event was organized by REDS staff and the APM, coordinators from the Karnataka network and Tumkur.

The Parliament decided that in the year 2011, four important tasks would be taken up. Intensify land reclamation process by expanding the team. Secondly the signature campaign to be completed by September 2011.Thirdly, consolidate and regularize of District Council meetings and the parliament meetings. Fourthly link Coordinators meetings with council meetings to enhance accountability, transparency and collective action to enhance the strength of the movement. (Annual Report 2012-13).

The basis for human resource in the movement is the Dalit Community in General, the members of Dalit Panchayats, leaders at various levels, starting from village, Hobli, Taluk, District and Karnataka coordinators, REDS staff and with different departments and board of REDS. These resources are channelized into various councils and Parliaments to build the leadership within the Movement. With the help of the newfound leadership the leaders are able to negotiate with various government departments and commissions. As a result the Government Departments respond to the movement through written communication. (Source: Annual Report 2012-13, Interview with executive leadership).

[83] Figure obtained during field visit in October 2014
[84] REDS, progress report April – December 2012

The structured organizations of Dalit people called the Adijan Panchayat is now a popular body which has emerged as a strong and independent organization and can be described as the most prominent achievement of REDS. Through the creation of these APs, REDS has installed a permanent agent of change in the society which will continue the struggle because it is comprised of affected people and hence will always remain close to the ground. As a part of sustainability, Dalit people have also managed to mobilize resources which are raised and controlled by the members themselves. (There was no substantiation of the last fact while interviewing the APM members during evaluation.)

Socially, the Adijan people have started moving away from free caste labour to wage based labour. One positive result achieved in a particular hobli, taluk or district has its own impact on the entire area.

Culturally, the internalization of land as a mother has resulted in the celebration of land based festivals and resurgence. Accepting women leadership as part of a culture is increasing and women are recognized as important decision makers at all levels. This attitude was seen very clearly during the selection of leaders to the councillor and election to the parliament both in Tumkur and in Karnataka.

Economically, the understanding of the value of labour is increasing. No more rendering of free caste labour to the caste people, but demand for rightful wages for the work done. Dalit people are able to stand on their own with the attitude of self-reliance.

Political consciousness related to the value of vote is catching up. The Adijan people are able to discuss and assess the performances of individual candidates, parties and are able to negotiate and bargain on the basis of their strength. The AP leaders and coordinators are able to organize press conferences on their own both at the district and state levels.

With regards to the Campaign for Electoral Reforms in India, many political parties (DMK, CPI, CPI (M), IUML and TMMK) have made official declarations of support and have actually demanded a Proportional Electoral system for India. The All India Milli Council has publicly announced its support for CERI and PR system and invites REDS' founder M C Raj for many of its public debates. The National Alliance of People's Movements led by Medha Patkar has openly pledged it allegiance to Proportional Representation system. It was after many discussions. The All India Progressive Forum has partnered with CERI in the recent past to spearhead the CERI campaign all over India. Some of their members have taken up coordination of some States for CERI work. At least five hundred NGOs have joined hands in the CERI campaign all over the country. This is not substantiated by any research or publication or calculation made of organisations who are part of CERI across the country.

Score: 1

4.3. Relation with public sector organisations SPO

The APM has been the vehicle for building rapport with the government line agencies which are mandated to provide services and government schemes. In this regard, REDS has built over a period good relation with the line department officials and with the change in government in 2013, it has succeeded in getting major benefits for the Adijan people. Leakages are low since REDS trains people in the process of claiming rights. (Source: PDS and MGNAREGA data, Ministry of Panchayati Raj, GOI).

The government officials are increasingly attending the Adijan Panchayat, Hobli and Taluk Council meetings to discuss issues to be solved and to take into consideration the views of the Adijan people. The Police Department has taken a very special effort in stopping the buffalo sacrifice in the district. For example: 40 police personnel's and the Tahasildar took personal interest by visiting Naliganahalli in Pavagada taluk and stopped the sacrifice. This is yet another unprecedented impact in the entire district as it is for the first time in history that this sacrifice was stopped on a mass scale. REDS took it up as it is in this festival that the free caste labor system gets strengthened year after year. How far this could be attributed to REDS is a matter of debate. According to the 19 July 2013 GO notification, this is mandated in all districts of Karnataka.

People are directly demanding and receiving government facilities to their home and villages. Earlier people would go to government offices, now they invite them to their villages, or Hobli council or district parliaments to address their demands. Because of this the receiving of government facilities has increased. The rapport between the APM and government officials has improved. The political

party leaders are in direct contact with Adijan Panchayat leaders. Zilla Panchayat members, Taluk Panchayat members, Gram Panchayat members and presidents are in good rapport with Adijan Panchayats.

Since 2012, with the Social Welfare Dept, regular meetings take place every 3 months. In these meetings, the coordinators attend and raise the issue of girls' education and the need for starting more hostels for them. They also visit these hostels, therefore, the quality of food of these hostels have improved. The basic facilities within these hostels are being regularly upgraded. The Gram Panchayats have started giving extra support to children who are doing well in their studies. These hostels were started by governments, due to the intervention from the Adijan panchayat. Under SC/ST commission, the cases related to atrocities that have not been resolved at the district level have gone to the commission.

Under the SC/ST Atrocity Prevention Act, there is a provision for immediate compensation, the people are availing themselves of this provision. Before 2012 they were given INR 2,000 compensation which has been increased to INR 8,000-15,000. (Source: POA Act 1989, Amendment 2009). This is applicable in all states of India.

Score: 1

4.4. Relation with private sector agencies SPO

There is hardly any interaction with the private sector by REDS in India. They do not wish to take advantage of the CSR law which has recently come into force to promote private sector and NGO partnerships.

But they have had help from foreign private sector companies such as Villageboom, a German Company that supplied them with the 36000 solar lamps for the CDM project. Also a business deal with Grameen Surya Bijlee Foundation has successfully fructified in the implementation of REDS CDM Project.

REDS has become NGO supporter of Gold Standard Foundation. This has led to the successful verification of the CERs (Certified Emission Reduction) of REDS. (Source: Annual Report 2012-13)

Score: 0

4.5. Influence upon public policies, rules, regulations SPO

The director of REDS' nomination in the national task force body for land reforms is also an indication of its successful work on land rights. This task force is currently defunct given the change in the law brought about by the new regime in New Delhi.

Out of 10 demands, steps have been already taken for fulfilling 7 demands by the Government of Karnataka. Amongst these is the reservation of two acres of burial ground for Adijan people in every village in Karnataka.

REDS is a member of the Joint Committee of the Forest and Revenue departments to resolve the long pending problem between these two departments. But very little impact of this has come out. This is substantiated by the high number of cases regarding land still pending and the low amount of land reclaimed in last 2 years by REDS.

Score: 1

4.6. Influence upon private sector agencies' policies, rules, regulations SPO

Not applicable.

Score: NA

5.1 Civil Society Environment: Coping Strategy

There has been a sea of change in the socio political environment of Karnataka since the base line. The State Government then had the dubious reputation of being corrupt, casteist and anti-poor. Three Chief Ministers were changed in 5 years of BJP rule. Two chief Ministers and 8 Ministers were indicted by the Ombudsman (Lokpal) for participating and abetting communal violence and corruption. The then ruling party being a right wing one, gave an immense push to local organisations and fringe Hindutva elements, who committed violations of human rights without any fear of police action.

Intolerance in the name of Western civilisation was wide spread. Even in cities like Bengaluru, women were beaten up on camera for being in a pub or being with a boy on Valentine's Day. The most affected part was the prominence the previous government gave to mining in the name of industrial growth. But in reality it ended up allocating mines and minerals to big industry at a throw away price and shipping the oars to countries like China, while India's internal needs were not met by mining. Communal violence in the form of persecution of minorities and Dalits, disregarding rule of law, and encouraging conversion to Hinduism started in the rural areas. After the 2013 elections, the Congress Party came to power. There were major reshuffle in the government and bureaucracy.

Many laws which were disregarded by the BJP government earlier were re-established. Police, judiciary and Civil Society were given better platforms like implementation POA Act, SC/ST sub plan grants to local bodies, stricter and faster action in controlling crimes etc.

REDS believes that the present government in the state is favourable though the central government, which changed in the meanwhile is pro rich and anti-poor. Adijans, women and other marginalised groups are treated with less favourable policies by the centre. Since REDS works with Adijan people and organises them in a way that enhances their dignity, the friction at social level are imminent. The other level of fear is the co-option of Dalit youth into the Hindutva ideology. The withdrawal of funds by Cordaid and ICCO at this juncture, hurts the activities of Reds on the issue of Land Rights and the Adijan Movement. They squarely blame the donors for slowing down the pace of their work. "Dutch funding was involved more for its withdrawal than for its greater involvement with REDS". (Interview with Executive leadership) Their staff strength has reduced drastically.

At the same time REDS has been able to strategically find donors like Andheri Hilfe, Miserior, and Bread for the World to support their activities. It has also opened a company called 'Cosmic Rumble' which works as a revolving fund for the CDM project.

The most fruitful expansion beyond Karnataka for REDS has been through CERI and Land Rights movement allying with Ekta Parishad. While CERI has brought them to the fore of national map by attracting about 20 state organisations, the Land rights movement has found resonance in Ekta Parishad's wide network and reputation. The environment in Karnataka has also become favourable due to a progressive chief minister who happens to be from the OBC.

Score: 0

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Basic Information:

Country	India
Consortium	ICCO Alliance
Responsible Dutch NGO	Edukans (on behalf of ICCO)
Project (if applicable)	D4. Dahar
Southern partner organization	Lohardaga Gram Swaraiya Sansthan (LGSS)

The project/partner is part of the sample for the following evaluation component(s):

	X
Achievement of MDGs and themes	**X**
Capacity development of Southern partner organisations	
Efforts to strengthen civil society	

1. Introduction

The paper evaluates the impact of an education program in three districts of Jharkand in India. The objective of the program was increased access to relevant and quality education for marginalized children aged of 6 – 14 years. It also aimed to guarantee relevant vocational training for youngsters in the age group of 15 – 18 years. To achieve this objective, the program envisaged extending the existing curriculum to life-skills training and in skills that result in income generating activities. Teachers were to be trained and special courses organized on how to engage children with an educational disadvantage in the schools. Also, each village was to have a children's club and this was expected to improve and guard the quality of education that was being imparted.

The program had other objectives also but these could not be evaluated for a number of different reasons. (a) The program was implemented in a conflict zone by local NGOs who had credibility in these areas. It was, therefore, not possible for us, third party outsiders, to collect data on the ground for the entire area. (b) Given that there was no M&E framework built into the program design, it was impossible for us to get any information on certain outputs. It was also impossible for us to use the understanding gained from the areas we could go into in estimating possible impacts in regions we could not enter. With an M&E framework, we could have connected the MIS reports from the M&E framework to the evaluation results in the regions we could go into and use that relationship to estimate outcomes in the regions we could not go into.

Section 2 describes the context; section 3 describes the project and section 4 the survey design, descriptive statistics and the problems we faced with data collection. Section 5 gives our empirical results and section 6 discusses the implications. Our main finding is that with our evaluation design, we have positive results. However, the efficacy of the results have to be read along with the data caveats we mention in section 4. Section 7 concludes.

2. Context

Project D4 took place in Lohardaga, Latehar and Palamau districts of Jharkhand State, India. In 2000, Jharkhand, the twenty-eighth state of India had been carved out from the state of Bihar. This newly formed state has 79,714 sq. km. of area and is surrounded by Bihar in the North, Orissa in the South, West Bengal in the East and Madhya Pradesh in the West. It is situated at an altitude of approximately one thousand feet above the mean sea level. This state is very rich in its reserve of various natural resources, especially coal. Ranchi is its state capital. The state has a very rich population of different tribes, like Santhal, Oraon, Munda, Paharia, Kharia, Birhor, Ho and many more. Jharkhand has a population of 33 million, 28 percent of which are tribal peoples and 12 percent are scheduled castes.

Jharkhand was formed with 18 districts, which were formerly part of south Bihar. Presently, the state has 24 districts. Jharkhand is one of the thirteen states in which the Naxalite (Maoist) rebels have considerable influence. In 2007, a member of the national parliament was shot dead by Naxalite rebels in Jharkhand.

The majority of the population of Jharkhand is socio-economically deprived and falls well below the poverty line. Almost 80 per cent of Jharkhand's people are farmers. Although it contains 40 per cent of India's mineral reserves, it has some of India's poorest people. In 2009 the state was threatened by drought, with people criticizing the government for not providing food aid or assistance. The literacy rate in 2011 was 68 per cent. The literacy rates are even lower among scheduled casts and scheduled tribes, and is also lower for females (56 per cent in 2011). These low literacy rates (at least partly) reflect poor accessibility and quality of education at the primary level. Jharkhand has a network of government and privately run schools, although standards of teaching vary considerably from place to place, as also from school to school. Jharkhand has made primary education so accessible that 95 per cent of children aged 6–11 are enrolled in school, as opposed to 56 per cent in 1993–94, so this will likely improve literacy a lot over the coming years.

In certain areas of Jharkhand, poverty and consequent malnutrition have given rise to diseases like tuberculosis (TB). In fact, TB has assumed epidemic proportions in certain areas of the state.

3. Project description

The project initiators envisioned setting up an education program in the three districts to increase the access to relevant and quality education for marginalized children in the age group of 6 – 14 years. They also aimed to guarantee relevant vocational training for youngsters in the age group of 15 – 18 years. The existing curriculum was to be extended with life-skills training and in skills that result in income generating activities. Teachers were to be trained and special courses organized on how to engage children with an educational disadvantage in the schools. Also, each village was to have a children's club and this was expected to improve and guard the quality of education that was being imparted.

At the level of the community also activities that would impact the quality of learning were planned. The capacity of local organizations was strengthened to enable them to initiate changes in the educational policies at the local level and to participate in lobby activities for qualitatively better education. Finally, the community, its various councils, the parents, NGOs and local government were to be made aware of the importance of the availability of good and relevant education.

The final outcomes envisioned were:
(a) Training of drop out children would lead to 80 per cent of the trained children either finding employment or starting their own business;
(b) Formation of the SHGs would lead to 75 per cent of them (90 new SHGs) demanding relevant quality education from the education department and people's representatives; and
(c) Workshops and meetings with stakeholders would lead to 75 per cent of the stakeholders addressing the issue of relevant quality education at the village level.

At the beginning, the project implementation was according to design. However, two things were not accounted for in the planning stage. First, when the local NGO entered the villages to implement the education project, it became apparent that a number of other issues (different from, but related to, education) also had to be resolved. Education could not be viewed as an

isolated activity. Children's needs needed to be viewed in the context of the family and the family's needs in the larger context of the community. Concomitant factors like child protection, care, health, development, and socioeconomic empowerment also needed to be considered. For marginalized children, educational mainstreaming together with protection, health care and socio-economic mainstreaming makes it more relevant and meaningful.

Second, teachers' striking work and Naxal activities were commonplace phenomena in the reporting period. The organizers of the project had good rapport with the target community and, hence, some of their adverse effects were mitigated but, due to the Naxal situation, government officials hesitated to visit the area. This kept the area isolated from the mainstream of development. Consequently, these had some impact on the implementation of the project.

The beneficiaries of the project included school going children; dropped out children; Bal Sabhas (children's clubs); child leaders; schools; self-help groups; village education committees; Gram Sabha (local government); traditional leaders and teachers. The beneficiaries were the same groups that had been targeted in the first phase of the project. The local NGO implementing the project (LGSS) ensured that various ratios that were planned were actually maintained. Thus, ratio of boys to total number of children was maintained at 0.48 (834/1734) while that of male teachers to total teachers was maintained at 0.76 (26/34).

The first phase of the project ran from May 2009 until April 2011 and was financed under MFS I with a total project budget of 136,000 Euros. The second phase of the project, which is financed under MFS II and which we are studying, was approved for the years 2011-2013 and was extended to 31 October 2014. For the first year (2011-12) MFS contributed 35,000 Euros and kept 20,000 Euros on the shelf (MFS – "op de plank"). For the second year (2012-2013), the project budget was 13,447 Euros. There was some local contribution as well but there were no records of this.

In terms of outputs,
(a) 1280 drop-out youths were to be trained on soft and livelihood skills;
(b) 120 new women Self Help Groups (SHGs) were to be formed; and
(c) Village level advocacy workshops and meetings with stakeholders were to be organized in the 139 targeted villages.

4. Data collection

4.1 Description of the surveys

This project was implemented with the help of 7 cluster partner organizations ((LGSS, LEADS, BPYP, MSUS, MMKK, Vedic Society and SPARK) in 139 villages of three districts (Lohardaga, Latehar, Palamu) in the state of Jharkhand, India. Three of the 7 cluster partner organizations (LGSS, MMKK and SPARK) operated in 20 villages each in Lohardaga. LGSS's 20 villages are located in the "Sadar" Block; MMKK's 20 villages are located in the "Kuru" Block; and SPARK's 20 villages are also located in the "Kuru" Block. In the baseline survey of 2009, LGSS surveyed a total of 428 households in 20 villages of Lohardaga, MMKK surveyed a total of 309 households in 13 villages in Lohardaga (remaining 7 MMKK villages were not surveyed); and SPARK surveyed a total of 363 households in 20 villages of Lohardaga. Our own

2012 survey focused exclusively on the Lohardaga district as Palamu and Latehar districts were inaccessible for security reasons.

4.2 Sampling design and sample sizes

Observe that outcomes (b) and (c) (mentioned in the last paragraph section 3) were not measurable in outcomes though in terms of outputs they were. However, we were restricted to one district only for reasons explained in section 3. This created a problem for us as the outputs and outcomes were not described per district. In addition, there were more than one implementation partner in Lohardaga itself and it was not clear at all who was responsible for what. This forced us to design the evaluation in a way that will allow us to see the impact on the ultimate objective --- learning outcomes in children in villages where the program was carried out.

The evaluation method chosen was propensity score matching with difference-in-difference on the outcome variables (a) school attendance and (b) performance in tests. These methods were chosen because, given that the project had already started when we started our evaluation, a randomized controlled trial was not possible. There is a baseline survey that was done by the local NGOs but the interventions were not randomized and only households in the treatment villages were surveyed (no households in control villages). Our own October 2012 survey includes both treatment and control villages and we followed it up with an end-line survey in 2013. This allowed us a before/after comparison between matched control and treatment households. However, we do not have baseline data on control households but only in 2012 when the program was already under way.

Starting from the list of 1100 households (in the 60 villages) that were interviewed in 2009, we selected 450 of these households as “treatment” households. We did this in the following manner. We first randomly selected 10 of the 20 LGSS villages, 10 of the 13 MMKK villages and 10 of the 20 SPARK villages in Lohardaga that were surveyed in 2009. This gives us 30 “treatment” survey villages. Out of all households in all of these 30 villages that were interviewed in 2009, we randomly selected 450 households as “treatment” households to be interviewed as part of our 2012 survey.

In addition to the 450 “treatment” households, we selected a total of 225 control households in the following manner. We had received a list of 60 potential control villages: 20 to be used as control villages for the LGSS villages, 20 to be used as control villages for the MMKK villages, and 20 to be used as control villages for the SPARK villages. After eliminating the villages that are not included in the DISE[1] dataset, we were left with 16 potential control villages for the LGSS villages, 17 potential control villages for the SPARK villages, and 19 potential control villages for the MMKK villages. Out of these 16, 17, and 19 potential control villages, we randomly selected 5, 5, and 5 control villages to be included in our 2012 survey. This gave us 15 control villages. In each village, we then randomly selected 15 households to be interviewed.

[1] The DISE data set is a census of the schools in a district.

In total we surveyed 45 villages. With a number of villages ("groups") below 50, we run into a "grouped data" or "clustering" problem, i.e. each household is not an independent observation as all households within one village are certainly not independent of each other but depend on the common village characteristics, for example.

To assess the school attendance of children in the villages, we asked the survey team to return to the villages on a monthly basis to document attendance. So next to the "snap-shot" survey, we documented attendance every month for a total of 12 months.

The evaluation of the "vocational training" part of the Dahar (D4) project is particularly difficult because the vocational training has been targeted at those with high potential and so the selection is endogenous, making it difficult to establish a proper counterfactual. It is likely that high-potential candidates would have done better than others even in the absence of the vocational training, making it almost impossible to distinguish the progress that was due to the training from the progress that would have been made anyway.

4.3 Implication of power calculations

As stated in the data section, we were restricted to a sub-area of the entire project area as the project was being carried in the middle of a conflict zone. Also, our baseline was not a strict baseline as a prior phase of the project was already in existence when we did our first survey. Our power calculations were, therefore, conducted after the data were collected.

We have used three outcome variables:

a. Average attendance (att_pc),
b. Percentage of marks scored in the exam (pc_marks), and
c. Score obtained in the math test (math_test_pc).

The power calculation being attempted is a *post hoc* or retrospective analysis and therefore, we have information on the sample means, standard deviations, and more importantly, whether the differences between the treatment and control units can be attributed to the programme or not. We will use this information and answer the following question:

Whether there was enough power to test hypotheses based on the outcome variables listed above?

Also note that the analysis followed a matching procedure which resulted in attrition to the sample size. Further, we know that in the matched sample, there is no significant difference in all the variables. It is only for the difference in difference estimate for attendance that we found positive impacts.

Algorithm:

In what follows, we follow a common algorithm. We will assume no cluster effects.

Step-1: We take the baseline means for att_pc, pc_marks and math_test_pc . The means and standard deviations are given below.

Comparison group	att_pc_b	pc_marks_b	math_test_b
Control Group	69.5	26.79	11.04
	12.13	4.91	8.98
Treatment Group	65.56	26.07	11.49
	13.92	6.37	9.98

Step-2: We calculate the power for different hypothetical magnitudes of differences between control group mean and treatment group mean. .

The actual sample size after matching (baseline) is given in the table below.

Status	Sample Size
Control	135
Treatment	257
Total	392

In the exercise below, we assume a hypothesis of equality of means with different standard deviations against a two-sided alternative.

$$H_0: \mu_0 = \mu_1, where\ \mu_0 = mean\ for\ control\ group, \mu_1 = mean\ of\ treatment\ group$$

$$H_1: \mu_0 \neq \mu_1$$

Attendance:

We take the look at the most conservative scenario below. Here alpha is the type-1 error, N1 is the control group sample size and N2 is the treatment group sample size. "delta" gives the standardised effect size. m1 and m2 give the control and treatment means," diff" gives the difference in means, sd1 is the standard deviation for the control group and sd2 gives the standard deviation for the treatment group. The means and the standard deviations were plugged in from the data we have.

alpha	power	N	N1	N2	delta	m1	m2	diff	sd1	sd2
.05	.1137	392	135	257	.7364	69.5	70.5	1	12.13	13.92
.05	.3118	392	135	257	1.473	69.5	71.5	2	12.13	13.92
.05	.5958	392	135	257	2.209	69.5	72.5	3	12.13	13.92
.05	**.8356**	**392**	**135**	**257**	**2.946**	**69.5**	**73.5**	**4**	**12.13**	**13.92**
.05	.9564	392	135	257	3.682	69.5	74.5	5	12.13	13.92

For impacts of magnitude 4 (difference in means) or above, we do have enough power (>83%).

Exam Scores:

alpha	power	N	N1	N2	delta	m1	m2	diff	sd1	sd2

0.05	0.4049	392	135	257	1.724	26.58	27.58	1	4.91	6.37
0.05	0.9303	392	135	257	3.448	26.58	28.58	2	4.91	6.37
0.05	0.9993	392	135	257	5.172	26.58	29.58	3	4.91	6.37
0.05	1	392	135	257	6.896	26.58	30.58	4	4.91	6.37
0.05	1	392	135	257	8.62	26.58	31.58	5	4.91	6.37

It can be seen that for impacts of magnitude 2 or above, we have enough power. But, this also corresponds to a standardised effect size (delta) of 3.44. A standardised effect size of 3.44 is a large impact. So, if the treatment resulted in smaller impacts in exam scores, our sample size corresponds to a power in the region of 40%.

Mathematics test scores

For the hypothesis mathematical test scores, we seem to have enough power if effect size (delta) is 3 or higher.

alpha	power	N	N1	N2	delta	m1	m2	diff	sd1	sd2
0.05	0.1713	392	135	257	1.008	11.04	12.04	1	8.97	9.98
0.05	**0.5201**	**392**	**135**	**257**	**2.017**	**11.04**	**13.04**	**2**	**8.97**	**9.98**
0.05	0.8543	392	135	257	3.025	11.04	14.04	3	8.97	9.98
0.05	0.9803	392	135	257	4.033	11.04	15.04	4	8.97	9.98
0.05	0.9989	392	135	257	5.042	11.04	16.04	5	8.97	9.98

4.4 Attrition to follow-up

Please see section 4.3

4.5 Other data problems

One big data issue that came up during the second survey was missing observations. For our evaluation we conducted learning outcome tests on the children who went through the project and those who did not. In the second survey, we were unable to conduct all the tests on all the children because of the volatile situation in the district.

4.6 Availability of financial data

Audited accounts were made available to us on the second phase of the project. This data was meticulously itemized according to the project activities and the corresponding amounts. This was done for all the partner groups separately and there were 8 of them one of which was the lead. One of the documents given was an auditor's report and a utilization certificate that certified the use of funds in accordance with the plan.

4.7 Descriptive analysis

The outcome data will be described in the next section as part of the analysis. In the Annexure an extensive overview of all the control variables is given for the control and treatment group, separated between baseline and endline.

5. Analyses and results

We have tried to measure the impact of D4 programme along 3 variables as given below. The hypothesis is that D4 will affect attendance and educational attainment of the participants positively. For this purpose, we will be utilising 3 outcome variables whose definitions are given below.

Variable Description	Connected hypothesis	In short
1. **Average Attendance** (Calculated as average over monthly attendance percentages. Monthly attendance percentage is the percent of days a participant is coming to school out of the number of working days in the month.)	Average attendance has increased because of programme **D4**	a. End line: att_pc_e b. Baseline: att_pc_b
2. **Percentage of Marks** scored in the last exam conducted by the schools	% of marks has increased because of programme **D4**	a. End line: pc_marks_e b. Baseline: pc_marks_b
3. **Percentage of correct answers** in the mathematics test conducted during the baseline and the end line	% of correct answers in the test has increased because of programme **D4**	a. Endline: math_test_pc_e b. Baseline: math_test_pc_b

Methodology and Results

Two exercises were conducted to combine double difference with matching. The details are given below.

Exercise-1

In the first exercise, we used a nearest neighbourhood algorithm. The distance metric utilised will be Mahalanobis distance.[2]

[2] The algorithm used was the default algorithm implemented in STATA command ***teffects nnmatch***

Step-1: Take the baseline covariates that are exogenous to the treatment and perform the matching exercise. This process provides treatment and control observations that are closely matched to each other.

Step-2: Drop all observations that are not matched. This gives us a reduced baseline dataset.

Step-3: Locate end-line outcomes for the reduced dataset.

Step-4: Impacts at End-line: Calculate the impact of the programme (i.e. average treatment effect for treated or ATT) for the end-line outcomes (only) as a difference of averages of outcomes between treatment and control groups.

Step-5: Difference in Difference Impacts: Calculate the first differences as $\Delta_t = y_{1t} - y_{0t}$, where Δ refers to change, y refers to outcomes and the subscripts, $t, 1$ & 0, refer to treatment status , end-line identifier and baseline identifier respectively. From the first differences, the ATT is calculated as:

$$ATT = Average(\Delta_{treatment}) - Average(\Delta_{control})$$

The table given below captures the results.

Indicator	ATT	z-value#
Attendance (End line)	0.98	1.37
Attendance Change (Endline-Baseline)	5.79	2.51*
Percentage of marks scored (End line)	-0.94	-0.95
Change in percentage of marks scored (Endline-Baseline)	-0.78	-0.58
Math test score (End line)	2.51	1.36
Change in math test score (Endline-Baseline)	4.27	1.6

*: Significance at 1%; #: The z-values were calculated using Abadie-Imbens (2012) standard errors

Exercise-2

A double difference estimation of average treatment effect was also implemented using a regression method to see if the results hold. The method combined propensity score matching with double differences. The algorithm followed was:

1. A PSM (nearest neighbourhood one-one match with replacement) routine was implemented on the baseline.[3]

2. All observations that were matched and were within the common support (i.e. **[.17493, .9713]**) were retained. This truncated baseline contained only the matched treatment-control cases.

3. The matched treatment-control cases were located in the end-line data and a panel was created.

The sample-size after matching is given below:

	Baseline	End-line	Total
Control	81	81	162
Treatment	257	257	514
Total	338	338	676

Note: Since the matching was with replacement, more than one control case was matched to some treatment cases. The weights were retained to be used in the regression below as frequency weights.

4. A regression with the following general specification was estimated under OLS.

$$\boldsymbol{Outcome_{it} = \beta_0 + \beta_{Time}Time_t + \beta_{Treat}Treat_i + \beta_{dd}Time_t * Treat_i + \beta_{control}Control_{it} + \epsilon_{it},}$$

In the equation above, the variables are defined as

Outcome= attendance or marks obtained
Time=time dummy (baseline=0; end-line=1)
Treat=treatment identifier (treatment=1; control=0)
Time*Treat=Interaction of time and treatment
Control=control variables

Note that β_{dd} is the coefficient of interest and captures the double difference estimate of the impact of the programme on the outcome. The results are captured in the table below. One can see that the double difference estimation after propensity score matching using regression methods provide results in the line of the results reported earlier. The main results are:

- In all cases the change from baseline to end-line (i.e. change over time) is significant.
- The interaction term between time and treatment (i.e. the double difference estimate of the impact) is significant only for attendance.
- The result holds even after a host of controls were used.

[3] We used PSMATCH2 (default set up) in STATA. This performs a nearest neighbourhood matching on estimated propensity scores. The procedure matches each treatment household to a specific control household with replacement. That is, it allows for the same control household to be matched to multiple treatment housholds.

VARIABLES	(1) att_pc	(2) att_pc	(3) pc_marks	(4) pc_marks	(5) math_test_pc	(6) math_test_pc
time dummy	9.801***	10.09***	-8.373***	-8.539***	8.894***	9.059***
	(1.118)	(1.312)	(0.616)	(0.715)	(1.348)	(1.425)
treatment dummy	-3.333***	-2.901***	-0.252	-0.441	0.783	1.425
	(0.962)	(0.988)	(0.545)	(0.560)	(1.349)	(1.306)
time*treatment	3.947**	4.142**	-0.898	-0.717	-1.627	-0.974
	(1.644)	(1.709)	(0.894)	(0.920)	(1.908)	(1.862)
household size		-0.843**		0.288		-1.494***
		(0.354)		(0.196)		(0.323)
education of head of the household		0.0281		0.118		-0.0370
		(0.170)		(0.0946)		(0.200)
formal training dummy		0.0136		-1.163		2.601
		(1.490)		(0.834)		(1.793)
no. of school going children in the household		1.317***		-0.236		4.094***
		(0.431)		(0.240)		(0.430)
Asset Index		0.291		0.118		-1.248**
		(0.490)		(0.277)		(0.606)
Monthly consumption expenditure		-5.83e-05		-7.28e-05		0.000409***
		(0.000109)		(6.07e-05)		(0.000125)
Constant	68.89***	69.98***	26.32***	25.63***	10.71***	5.284***
	(0.675)	(1.760)	(0.385)	(0.979)	(0.953)	(1.833)
Observations	772	772	821	821	1,030	1,030
R-squared	0.220	0.231	0.323	0.328	0.066	0.158

Standard errors in parentheses;
*** p<0.01, ** p<0.05, * p<0.1

6. Discussion

The project was well designed and, given the interventions planned through community participation, it should have made a difference. The region chosen being a conflict zone, some allowances, however, should have been made to innovate on the ground. Since there was no continual monitoring and evaluation (M&E) framework for capturing data (especially outputs), the fact that we could not visit some of the districts keeps us blind about how the program fared there. Creating an M&E framework along with the project design should be essential for all future projects, It is important to understand that the M&E framework is not to evaluate outcomes but to continually learn about what is happening on the ground, where one needs to innovate and what experiments to try to bring sagging programs back on track. For instance, we calculated attendance each month rather than wait for the end-line survey only and the very fact that this data was being collected resulted in greater attendance in schools. Obviously, a large part of this was due to the implementers working towards better attendance especially in schools and areas where attendance was flagging. Not surprisingly, this resulted in better learning outcomes as the end-line evaluation suggests.

This leaves us with commenting on the efficiency of the program. Recall that we could go into some regions only but found that the targets were more or less met in the places that we visited. The only problem was that there was some selection bias in the skilling of school dropouts. However, when we come to the total cost and the number of children affected by the program the range is between USD 1.56 and USD 2.15 making it favourably comparable to bench mark figures provided by the synthesis team.

7. Conclusion

The three specific evaluation questions were:

(a) Did the program improve school attendance?
(b) Did the language learning outcome improve?
(c) Did the mathematics learning outcome improve?

Subject to certain data caveats referred to in the body of the report, we can say that the program did have positive results.

On a scale of 1 to 10, with 1 being “not at all” and 10 being “completely”, for this project, how much do you agree with the following statements?

Question	Point
The project was well designed	8 (No M&E framework)
The project was implemented as designed	6 (Program was in a conflict zone)
The project reached all its objectives	8 (For the measurable objectives only)
The observed results are attributable to the project interventions	7
The observed results are relevant to the project beneficiaries	10
The project was implemented efficiently	Do not know

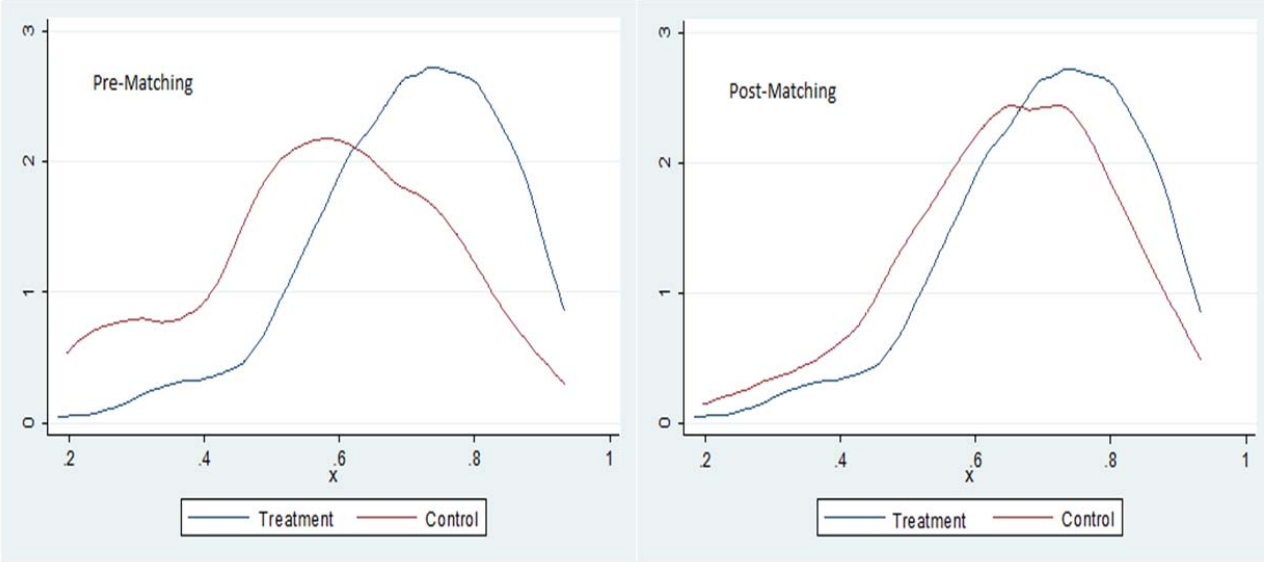
Annexure to Approach-2:

1. The propensity score model

VARIABLES	(1) treat
self Employed, dummy	0.487**
	(0.246)
religion dummy	-0.0144
	(0.253)
social category dummy	0.293
	(0.282)
pucca floor dummy	0.412
	(0.389)
pucca roof dummy	-1.110**
	(0.505)
pucca walls dummy	1.139***
	(0.377)
electicity dummy	-0.421
	(0.272)
own toilet dummy	0.517
	(0.415)
max educational level in the household	0.0603
	(0.0942)
sex of the household head	-0.876
	(0.610)
age of the household head	0.0438***
	(0.0136)
no. of dependents in the household	0.385***
	(0.126)
Constant	-2.110**
	(1.055)
Observations	397

Standard errors in parentheses
*** p<0.01, ** p<0.05, * p<0.1

Overlap pre and post matching



Annexure: Descriptive statistics of control variables

	Household type and religion									
baseline	Self-employed in non-agriculture	Agriculture labour	Other labour	Self-employed in agriculture	Others	Hinduism	Islam	Christianity	Buddhism	Others
Control										
Mean	0.321	0.099	0.399	0.082	0.099	0.597	0.259	0.033	0.000	0.111
SD	0.468	0.299	0.491	0.275	0.299	0.492	0.439	0.179	0.000	0.315
Min	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Max	1.000	1.000	1.000	1.000	1.000	1.000	1.000	1.000	0.000	1.000
N	243	243	243	243	243	243	243	243	243	243
Treatment										
Mean	0.380	0.096	0.347	0.121	0.051	0.615	0.266	0.045	0.000	0.074
SD	0.486	0.295	0.476	0.326	0.221	0.487	0.442	0.207	0.000	0.262
Min	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Max	1.000	1.000	1.000	1.000	1.000	1.000	1.000	1.000	0.000	1.000
N	447	447	447	447	447	447	447	447	447	447
Total										
Mean	0.359	0.097	0.365	0.107	0.068	0.609	0.264	0.041	0.000	0.087
SD	0.480	0.296	0.482	0.310	0.252	0.488	0.441	0.197	0.000	0.282
Min	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Max	1.000	1.000	1.000	1.000	1.000	1.000	1.000	1.000	0.000	1.000
N	690	690	690	690	690	690	690	690	690	690

Follow up	Self-employed in non-agriculture	Agriculture labour	Other labour	Self-employed in agriculture	Others	Hinduism	Islam	Christianity	Buddhism	Others
Control										
Mean	0.107	0.012	0.498	0.337	0.041	0.296	0.239	0.029	0.008	0.428
SD	0.310	0.111	0.501	0.474	0.199	0.458	0.427	0.168	0.091	0.496
Min	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Max	1.000	1.000	1.000	1.000	1.000	1.000	1.000	1.000	1.000	1.000
N	243	243	243	243	243	243	243	243	243	243
Treatment										
Mean	0.128	0.047	0.309	0.470	0.047	0.298	0.291	0.034	0.000	0.378
SD	0.334	0.212	0.462	0.500	0.212	0.458	0.455	0.180	0.000	0.485
Min	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Max	1.000	1.000	1.000	1.000	1.000	1.000	1.000	1.000	0.000	1.000
N	447	447	447	447	447	447	447	447	447	447
Total										
Mean	0.120	0.035	0.375	0.423	0.045	0.297	0.272	0.032	0.003	0.396
SD	0.326	0.183	0.485	0.494	0.207	0.457	0.446	0.176	0.054	0.489
Min	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Max	1.000	1.000	1.000	1.000	1.000	1.000	1.000	1.000	1.000	1.000
N	690	690	690	690	690	690	690	690	690	690

Social groups and type of house

baseline	Scheduled Tribe	Scheduled caste	Other backward class	Other	floor==Kutcha	floor==Pucca	roof==Kutcha	ro ca
Control								
Mean	0.333	0.255	0.403	0.008	0.757	0.243	0.885	
SD	0.472	0.437	0.492	0.091	0.430	0.430	0.320	
Min	0.000	0.000	0.000	0.000	0.000	0.000	0.000	
Max	1.000	1.000	1.000	1.000	1.000	1.000	1.000	
N	243	243	243	243	243	243	243	
Treatment								
Mean	0.466	0.184	0.316	0.034	0.850	0.150	0.868	
SD	0.499	0.388	0.465	0.180	0.357	0.357	0.339	
Min	0.000	0.000	0.000	0.000	0.000	0.000	0.000	
Max	1.000	1.000	1.000	1.000	1.000	1.000	1.000	
N	446	446	446	446	447	447	447	
Total								
Mean	0.419	0.209	0.347	0.025	0.817	0.183	0.874	
SD	0.494	0.407	0.476	0.155	0.387	0.387	0.332	
Min	0.000	0.000	0.000	0.000	0.000	0.000	0.000	
Max	1.000	1.000	1.000	1.000	1.000	1.000	1.000	
N	689	689	689	689	690	690	690	

Follow up	Scheduled Tribe	Scheduled caste	Other backward class	Other	floor==Kutcha	floor==Pucca	roof==Kutcha	ro ca
Control								
Mean	0.539	0.099	0.342	0.021	0.872	0.128	0.786	
SD	0.499	0.299	0.475	0.142	0.334	0.334	0.411	
Min	0.000	0.000	0.000	0.000	0.000	0.000	0.000	
Max	1.000	1.000	1.000	1.000	1.000	1.000	1.000	
N	243	243	243	243	243	243	243	
Treatment								
Mean	0.501	0.114	0.345	0.040	0.848	0.152	0.761	
SD	0.501	0.318	0.476	0.197	0.360	0.360	0.427	
Min	0.000	0.000	0.000	0.000	0.000	0.000	0.000	
Max	1.000	1.000	1.000	1.000	1.000	1.000	1.000	
N	447	447	447	447	447	447	447	
Total								
Mean	0.514	0.109	0.343	0.033	0.857	0.143	0.770	
SD	0.500	0.311	0.475	0.180	0.351	0.351	0.421	
Min	0.000	0.000	0.000	0.000	0.000	0.000	0.000	
Max	1.000	1.000	1.000	1.000	1.000	1.000	1.000	
N	690	690	690	690	690	690	690	

	Social groups and type of house									
baseline	Scheduled Tribe	Scheduled caste	Other backward class	Other	floor== Kutcha	floor== Pucca	roof== Kutcha	roof== Pucca	walls== Kutcha	walls== Pucca
Control										
Mean	0.333	0.255	0.403	0.008	0.757	0.243	0.885	0.115	0.728	0.272
SD	0.472	0.437	0.492	0.091	0.430	0.430	0.320	0.320	0.446	0.446
Min	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Max	1.000	1.000	1.000	1.000	1.000	1.000	1.000	1.000	1.000	1.000
N	243	243	243	243	243	243	243	243	243	243
Treatment										
Mean	0.466	0.184	0.316	0.034	0.850	0.150	0.868	0.132	0.817	0.183
SD	0.499	0.388	0.465	0.180	0.357	0.357	0.339	0.339	0.387	0.387
Min	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Max	1.000	1.000	1.000	1.000	1.000	1.000	1.000	1.000	1.000	1.000
N	446	446	446	446	447	447	447	447	447	447
Total										
Mean	0.419	0.209	0.347	0.025	0.817	0.183	0.874	0.126	0.786	0.214
SD	0.494	0.407	0.476	0.155	0.387	0.387	0.332	0.332	0.411	0.411
Min	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Max	1.000	1.000	1.000	1.000	1.000	1.000	1.000	1.000	1.000	1.000
N	689	689	689	689	690	690	690	690	690	690
Follow up	Scheduled Tribe	Scheduled caste	Other backward class	Other	floor== Kutcha	floor== Pucca	roof== Kutcha	roof== Pucca	walls== Kutcha	walls== Pucca
Control										
Mean	0.539	0.099	0.342	0.021	0.872	0.128	0.786	0.214	0.835	0.165
SD	0.499	0.299	0.475	0.142	0.334	0.334	0.411	0.411	0.372	0.372
Min	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Max	1.000	1.000	1.000	1.000	1.000	1.000	1.000	1.000	1.000	1.000
N	243	243	243	243	243	243	243	243	243	243
Treatment										
Mean	0.501	0.114	0.345	0.040	0.848	0.152	0.761	0.239	0.783	0.217
SD	0.501	0.318	0.476	0.197	0.360	0.360	0.427	0.427	0.413	0.413
Min	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Max	1.000	1.000	1.000	1.000	1.000	1.000	1.000	1.000	1.000	1.000
N	447	447	447	447	447	447	447	447	447	447
Total										
Mean	0.514	0.109	0.343	0.033	0.857	0.143	0.770	0.230	0.801	0.199
SD	0.500	0.311	0.475	0.180	0.351	0.351	0.421	0.421	0.399	0.399
Min	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Max	1.000	1.000	1.000	1.000	1.000	1.000	1.000	1.000	1.000	1.000
N	690	690	690	690	690	690	690	690	690	690

	Source of cooking and source of light									
baseline	Source of cooking : Coal	Source of cooking : Firewood and chips	Source of cooking : Dung cake	Source of cooking : Kerosene	Source of cooking : LPG	Source of cooking : Others	Source of light : Kerosene lantern	Source of light : Electricity	Source of light : Candle	Source of light : Others
Control										
Mean	0.029	0.881	0.074	0.000	0.016	0.000	0.613	0.387	0.000	0.000
SD	0.168	0.325	0.262	0.000	0.128	0.000	0.488	0.488	0.000	0.000
Min	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Max	1.000	1.000	1.000	0.000	1.000	0.000	1.000	1.000	0.000	0.000
N	243	243	243	243	243	243	243	243	243	243
Treatment										
Mean	0.016	0.893	0.078	0.000	0.013	0.000	0.714	0.284	0.002	0.000
SD	0.124	0.310	0.269	0.000	0.115	0.000	0.453	0.451	0.047	0.000
Min	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Max	1.000	1.000	1.000	0.000	1.000	0.000	1.000	1.000	1.000	0.000
N	447	447	447	447	447	447	447	447	447	447
Total										
Mean	0.020	0.888	0.077	0.000	0.014	0.000	0.678	0.320	0.001	0.000
SD	0.141	0.315	0.266	0.000	0.120	0.000	0.467	0.467	0.038	0.000
Min	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Max	1.000	1.000	1.000	0.000	1.000	0.000	1.000	1.000	1.000	0.000
N	690	690	690	690	690	690	690	690	690	690
Follow up	Source of cooking : Coal	Source of cooking : Firewood and chips	Source of cooking : Dung cake	Source of cooking : Kerosene	Source of cooking : LPG	Source of cooking : Others	Source of light : Kerosene lantern	Source of light : Electricity	Source of light : Candle	Source of light : Others
Control										
Mean	0.004	0.926	0.004	0.000	0.041	0.025	0.807	0.193	0.000	0.000
SD	0.064	0.262	0.064	0.000	0.199	0.156	0.396	0.396	0.000	0.000
Min	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Max	1.000	1.000	1.000	0.000	1.000	1.000	1.000	1.000	0.000	0.000
N	243	243	243	243	243	243	243	243	243	243
Treatment										
Mean	0.018	0.879	0.018	0.004	0.031	0.049	0.783	0.208	0.002	0.007
SD	0.133	0.326	0.133	0.067	0.174	0.217	0.413	0.406	0.047	0.082
Min	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Max	1.000	1.000	1.000	1.000	1.000	1.000	1.000	1.000	1.000	1.000
N	447	447	447	447	447	447	447	447	447	447
Total										
Mean	0.013	0.896	0.013	0.003	0.035	0.041	0.791	0.203	0.001	0.004
SD	0.114	0.306	0.114	0.054	0.183	0.197	0.407	0.402	0.038	0.066
Min	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Max	1.000	1.000	1.000	1.000	1.000	1.000	1.000	1.000	1.000	1.000
N	690	690	690	690	690	690	690	690	690	690

	Source of water and type of toilet							
baseline	Open well	Hand pump	Pond/lake/river	Private tap in house	Others	Toilet at home	Toilet at neighbour's home	In the open
Control								
Mean	0.514	0.449	0.000	0.037	0.000	0.099	0.000	0.901
SD	0.501	0.498	0.000	0.189	0.000	0.299	0.000	0.299
Min	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Max	1.000	1.000	0.000	1.000	0.000	1.000	0.000	1.000
N	243	243	243	243	243	243	243	243
Treatment								
Mean	0.519	0.447	0.000	0.031	0.002	0.136	0.002	0.861
SD	0.500	0.498	0.000	0.174	0.047	0.344	0.047	0.346
Min	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Max	1.000	1.000	0.000	1.000	1.000	1.000	1.000	1.000
N	447	447	447	447	447	447	447	447
Total								
Mean	0.517	0.448	0.000	0.033	0.001	0.123	0.001	0.875
SD	0.500	0.498	0.000	0.180	0.038	0.329	0.038	0.331
Min	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Max	1.000	1.000	0.000	1.000	1.000	1.000	1.000	1.000
N	690	690	690	690	690	690	690	690
Follow up	Open well	Hand pump	Pond/lake/river	Private tap in house	Others	Toilet at home	Toilet at neighbour's home	In the open
Control								
Mean	0.272	0.695	0.008	0.012	0.012	0.066	0.000	0.934
SD	0.446	0.461	0.091	0.111	0.111	0.249	0.000	0.249
Min	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Max	1.000	1.000	1.000	1.000	1.000	1.000	0.000	1.000
N	243	243	243	243	243	243	243	243
Treatment								
Mean	0.327	0.667	0.000	0.007	0.000	0.094	0.000	0.906
SD	0.470	0.472	0.000	0.082	0.000	0.292	0.000	0.292
Min	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Max	1.000	1.000	0.000	1.000	0.000	1.000	0.000	1.000
N	447	447	447	447	447	447	447	447
Total								
Mean	0.307	0.677	0.003	0.009	0.004	0.084	0.000	0.916
SD	0.462	0.468	0.054	0.093	0.066	0.278	0.000	0.278
Min	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Max	1.000	1.000	1.000	1.000	1.000	1.000	0.000	1.000
N	690	690	690	690	690	690	690	690

	Household characteristics and marital satus of household head								
baseline	Household size	Age of the head of the household	Gender of the head of the household	Number of adults in the household	Number of males in the household	Never married	Currently married	Widow/ Widower	Divorced/ separated
Control									
Mean	4.329	36.788	1.021	2.337	2.395	0.004	0.988	0.008	0.000
SD	1.083	7.353	0.143	0.705	0.848	0.065	0.111	0.091	0.000
Min	2.000	1.000	1.000	0.000	0.000	0.000	0.000	0.000	0.000
Max	8.000	56.000	2.000	5.000	5.000	1.000	1.000	1.000	0.000
N	243	240	240	243	243	240	240	240	240
Treatment									
Mean	5.356	40.792	1.050	3.002	2.810	0.002	0.959	0.038	0.000
SD	1.301	9.478	0.218	1.241	1.047	0.048	0.198	0.193	0.000
Min	2.000	13.000	1.000	0.000	0.000	0.000	0.000	0.000	0.000
Max	12.000	70.000	2.000	8.000	7.000	1.000	1.000	1.000	0.000
N	447	443	442	447	447	442	442	442	442
Total									
Mean	4.994	39.385	1.040	2.768	2.664	0.003	0.969	0.028	0.000
SD	1.322	8.991	0.195	1.128	1.001	0.054	0.173	0.165	0.000
Min	2.000	1.000	1.000	0.000	0.000	0.000	0.000	0.000	0.000
Max	12.00	70.000	2.000	8.000	7.000	1.000	1.000	1.000	0.000
N	690	683	682	690	690	682	682	682	682
Follow up	Household size	Age of the head of the household	Gender of the head of the household	Number of adults in the household	Number of males in the household	Never married	Currently married	Widow/Widower	Divorced/ separated
Control									
Mean		43.512	1.050	9.366	2.988	0.000	0.921	0.070	0.008
SD		9.852	0.218	1.533	1.235	0.000	0.270	0.256	0.091
Min		24.000	1.000	3.000	1.000	0.000	0.000	0.000	0.000
Max		82.000	2.000	12.000	9.000	0.000	1.000	1.000	1.000
N		242	242	243	243	242	242	242	242
Treatment									
Mean		44.791	1.075	9.264	3.051	0.011	0.907	0.075	0.005
SD		10.671	0.264	1.404	1.240	0.106	0.291	0.264	0.067
Min		3.000	1.000	5.000	0.000	0.000	0.000	0.000	0.000
Max		85.000	2.000	12.000	8.000	1.000	1.000	1.000	1.000
N		440	440	447	447	440	440	440	440
Total									
Mean		44.337	1.066	9.300	3.029	0.007	0.912	0.073	0.006
SD		10.398	0.248	1.450	1.238	0.085	0.283	0.261	0.076
Min		3.000	1.000	3.000	0.000	0.000	0.000	0.000	0.000
Max		85.000	2.000	12.000	9.000	1.000	1.000	1.000	1.000
N		682	682	690	690	682	682	682	682

	Education of household head									
baseline	Illiterate	Literate, non-formal	Pre-primary	Primary	Middle	Secondary	Senior secondary	Diploma or certificate	Graduate (B.A, B.Sc., B.Com)	Post graduate and above
Control										
Mean	0.351	0.008	0.067	0.192	0.088	0.213	0.059	0.004	0.013	0.004
SD	0.478	0.091	0.250	0.395	0.284	0.411	0.235	0.065	0.112	0.065
Min	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Max	1.000	1.000	1.000	1.000	1.000	1.000	1.000	1.000	1.000	1.000
N	239	239	239	239	239	239	239	239	239	239
Treatment										
Mean	0.312	0.061	0.048	0.161	0.174	0.154	0.059	0.005	0.027	0.000
SD	0.464	0.240	0.213	0.368	0.380	0.361	0.236	0.067	0.163	0.000
Min	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Max	1.000	1.000	1.000	1.000	1.000	1.000	1.000	1.000	1.000	0.000
N	442	442	442	442	442	442	442	442	442	442
Total										
Mean	0.326	0.043	0.054	0.172	0.144	0.175	0.059	0.004	0.022	0.001
SD	0.469	0.202	0.227	0.377	0.351	0.380	0.235	0.066	0.147	0.038
Min	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Max	1.000	1.000	1.000	1.000	1.000	1.000	1.000	1.000	1.000	1.000
N	681	681	681	681	681	681	681	681	681	681
Follow up	Illiterate	Literate, non-formal	Pre-primary	Primary	Middle	Secondary	Senior secondary	Diploma or certificate	Graduate (B.A, B.Sc., B.Com)	Post graduate and above
Control										
Mean	0.285	0.037	0.004	0.244	0.157	0.169	0.033	0.004	0.050	0.008
SD	0.452	0.190	0.064	0.430	0.365	0.376	0.179	0.064	0.218	0.091
Min	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Max	1.000	1.000	1.000	1.000	1.000	1.000	1.000	1.000	1.000	1.000
N	242	242	242	242	242	242	242	242	242	242
Treatment										
Mean	0.364	0.041	0.009	0.166	0.143	0.193	0.043	0.000	0.034	0.005
SD	0.482	0.198	0.095	0.372	0.351	0.395	0.203	0.000	0.182	0.067
Min	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Max	1.000	1.000	1.000	1.000	1.000	1.000	1.000	0.000	1.000	1.000
N	440	440	440	440	440	440	440	440	440	440
Total										
Mean	0.336	0.040	0.007	0.194	0.148	0.185	0.040	0.001	0.040	0.006
SD	0.473	0.195	0.085	0.395	0.355	0.388	0.195	0.038	0.195	0.076
Min	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Max	1.000	1.000	1.000	1.000	1.000	1.000	1.000	1.000	1.000	1.000
N	682	682	682	682	682	682	682	682	682	682

Final Report MFS II Joint Evaluations

Country	India
Consortium	ICCO Alliance
Responsible Dutch NGO	ICCO
Project (if applicable)	VBN Poultry Coalition
Southern partner organisation	Pradan

The project/partner is part of the sample for the following evaluation component(s):

	X
Achievement of MDGs and themes	X
Capacity development of Southern partner organisations	
Efforts to strengthen civil society	

1. Introduction

This report presents the findings of the evaluation of a project funded and supported by ICCO and implemented by the VBN Poultry Coalition in rural areas of Jharkhand, India. The project was initiated to alleviate the poverty of women and also empower them by engaging them in small scale poultry farming. We begin the report by describing the context of the project. This is followed by a description of the data collection and analyses and results. The final section contains a discussion and concluding remarks. We find that the VBN project achieved two out of the three outcomes that were outlined in the initial project description. The third outcome which was of an increase in income was based on our results only partially achieved. Our results are based on a baseline survey only, as due to safety issues we were unable to conduct an endline survey.

2. Context

In 2000, Jharkhand, the twenty-eighth state of India was carved out from the state of Bihar. This newly formed state has 79714 sq. km. of area and is surrounded by Bihar in the North, Orissa in the South, West Bengal in the East and Madhya Pradesh in the West. This state is very rich in its reserves of various natural resources, especially coal. Jharkhand was formed with 18 districts, which were formerly part of south Bihar. Presently, the state has 24 districts. Jharkhand is one of the thirteen states in which the Naxalite (Maoist) rebels have considerable influence. The majority of the population of Jharkhand is socio-economically deprived and falls well below the poverty line. Although it contains 40 per cent of India's mineral reserves, it has some of India's poorest people. Jharkhand also lags behind in education with a 67.3 per cent literacy rate compared to the national average at 74.04 per cent. The literacy rates are even lower among scheduled castes and scheduled tribes, and are also lower for females (56 per cent in 2011). Jharkhand has 32 tribes, and among them eight are under the PGT (Primitive Tribe Groups) classification. The tribal population account for 26.3 per cent of the state's population of 33 million and the scheduled castes are 12 per cent.

The struggle for the formation of the state, in fact, dates back to India's pre-independence era. Adivasis (which means tribals but literally means 'the first inhabitants') of the region had

resisted British rule, as well as that of the landlords. The first ever struggle for the liberation of the adivasis was led by Tilka Manjhi in 1789, it was the result of a revolt against the exploitation of native resources. Later, Birsa Munda (1875-1900) led the struggle against British efforts at transforming the region's agrarian system from a tribal to a feudal one.

The tribal system of agriculture grew around small communities led by their chiefs; these groups practiced subsistence agriculture, often shifting agriculture, and the control over resources was shared by all the members in a group. Interactions within tribal communities were at this time not hierarchical and are still not. As opposed to this, the feudal agrarian system introduced by the British was based on marked differences in property, income, power and prestige among members of the community, with a minority of people known as feudal lords and rent seekers controlling resources. Even today, control over natural resources, protection of tribal culture and more autonomy for tribals still remain issues of struggle in Jharkhand.

Apart from these issues, Jharkhand faces many other challenges. Politically, Jharkhand has seen tumultuous times. The last ten years have seen the state go through nine coalition governments, two spells of President Rule, and the scam tainted tenure of Madhu Koda (the state's chief minister between 2006 and 2010) who is currently serving a jail term for disproportionate accumulation of assets against known source of income.

Poverty is the starkest of Jharkhand's problems. Even though the Planning Commission data earlier this year has been criticised for undercounting the nation's poor, it still shows Jharkhand's performance at poverty alleviation as dismal compared to states like Odisha, Tamil Nadu and Uttarakhand. The Commission suggests that the number of poor in Jharkhand dipped by only 6.2 per cent between 2004-05 and 2009-10: and this dip only in the rural regions by 10 per cent to log 41.60 per cent from 51.60 per cent, while its urban areas saw poverty levels rising to 31.10 per cent from 23.80 per cent.

One of the main reasons for the region's abject poverty is the large number of people engaged in agriculture despite the fact that most of its terrain is not conducive to agriculture. Ironically, as per the Planning Commission Report of 2011-12, this state, which is so rich in minerals, only employs 2.25 per cent of its people in its mining related workforce, and 9.8 per cent in its manufacturing sector, compared to 60 per cent in agriculture.

Even the available cultivable land, that is anyway only 47.6 per cent, is under-utilized, with the net sown area only a 29.63 per cent of it. Consecutive droughts and failures to implement irrigation schemes have adversely impacted the livelihood situation even more. In such a situation, livelihoods can only be protected through sustainable agriculture practices such as those implementing water management strategies or through alternative sustainable livelihood options such as small scale poultry farming.

Pradan, the SPO who initiated the VBN poultry project, specifically wanted to start a project in which women could be empowered and also alleviate poverty. In addition, increasing prosperity in cities has resulted in an increase in the demand for chicken. Small scale poultry farming is a suitable activity for rural women with very little land as the amount of land needed for this activity is very little. Pradan already has been working on community development, and the existence of self-help groups (SHGs) facilitates the progression of women into small scale poultry farmers. Pradan has also been working on the infrastructure and allied services needed for small scale poultry farming to be successful and sustainable by arranging a feed mill (so feed supply is reliable), ensuring the health of chickens by arranging access to veterinarians, and working on brand development (the brand "Fresco" chicken, which is marketed in cities and nearby towns in special shops).

3. Project description

a. Project duration and budget

The project was initiated in December 2009 and it is a follow-up of an earlier project. ICCO has a long association with Pradan (since 1985), the SPO associated with this project. This is a continuation of the project funded under MFS-I. VBN is based in Jharkhand and Orissa and is in fact a network of 16 partner NGOs. VBN serves as an administrative clearing house for the 16 NGOs (of which Pradhan is also member and

assists in administration). Since VBN is not yet a legal entity, Pradan serves as the channel for funds transfer from ICCO to the 16 partner NGOs.

ICCO funding for this project was supposed to end in September 2011 but was then extended until March 2012 and institutional support was extended till 2013. From this network of 16 partners associated with VBN only 7 partners are part of the poultry value chain development. The total budget of the project was EUR 230,629 and the amount funded by MFS II was EUR 111,486. The remaining part of the budget EUR 119,143 was funded by local government and other parties.

Project objectives, activities, theory of change

The VBN Poultry Project aimed to improve livelihood options and alleviate the poverty of women by introducing them to small scale poultry farming. More specifically, the project aimed to introduce 1030 women to poultry farming in order to enhance their income by 10,000- 15,000 INR per year. The project also aimed to build 70 sheds for poultry farming. A secondary goal is that seven member organizations would be engaged in poultry value chain development work to take it to a higher level.

The inputs for this project are financial resources from ICCO which are used towards institutional support. VBN engages in a number of activities. Among others, the actions envisaged were trainings given to women to teach them to become poultry farmers, construction of sheds to house poultry, veterinary support, organizing the women poultry farmers into cooperatives, brand promotion for chicken produced by the poultry farmers. In addition, the project also aimed at the development of a coalition on broiler poultry farming so that members can collaborate with each other on technical expertise.

Stylized result chain

Input:

Financial resources from ICCO which are used for institutional support.

Activities:

Among others, the actions envisaged were trainings given to women to teach them to become poultry farmers, construction of sheds to house poultry, veterinary support, organizing the women poultry farmers into cooperatives, brand promotion for chicken produced by the poultry farmers. In addition, the project aimed at the development of a coalition on broiler poultry farming so that members can collaborate with each other on technical expertise.

Output:

At the end of the project, 1030 women poultry farmers would be organized into 10 structured cooperatives. There would be 70 new sheds constructed for housing poultry. Income would be enhanced by 10,000- 15,000 INR per year.

Impact/outcomes:

Through this output, the final outcome of poverty alleviation would be achieved as the women would be trained in small scale poultry farming and through the sale of their poultry would be able to achieve additional income. The brand promotion activities are designed to foster the profitable sales of chicken.

4. Data Collection

a. Household Survey

Given that one of the aims of the project is that women experience an increase in income through raising poultry, we have tried to identify the effect of the project intervention on socio-economic well-being by measuring socio-economic indicators from a household survey administered in 2012. The region where the project was implemented was plagued by Naxalite activity. Even the collection of the baseline data was extremely challenging and the surveyors at a certain point refused to visit certain areas for risk of their lives. For this reason, we were not able to do an endline survey. The decision to not do an endline survey was approved by the Synthesis team and WOTRO.

The main focus of the evaluation is on measuring the differences in income between treatment and control groups as a result of participating in this program. To this end, we compare household-level outcomes in treatment and control households in 2012. Since

measuring income is fraught with measurement issue problems in this setting and there is very little saving, we instead measure monthly household consumption.

b. Field Visits

To obtain a better understanding of the context of the project, and to obtain qualitative data, we also visited project offices and made field visits. We first visited the local ICCO representative and the VBN office in New Delhi where we interacted with project staff and received a presentation describing the project. There was a later visit and discussion meeting to the local Pradan office where the head of VBN, Ms. Bala Devi and other partners of VBN such as NEEDS, LOKPRERNA, AGARGATI, TSRD, RDA and were also present. We also had a meeting with the ex-CEO of the poultry federation Mr. Pawan Ojha in which a presentation was made on the poultry value chain, the number of members in the federation, output figures, sales etc. We were also able to view the usage of database software which records accounting information on the production of chicks by the members.

We visited the village Tikko Pokhra Toli in the Kuru block of Lohardaga District where activities relating to this project were taking place. We interacted with women engaged in poultry production (poultry producers). We found that one of the motivations for participation is that mothers wish to supplement income to pay for children's education. All the members we interacted with had joined the associated self-help group (SHG) around 8 years ago which also gives credit in emergency situations.

All the women poultry famers maintain record keeping. They each have a producer book having details of the vaccination schedule, feed, weight etc., which is filled by the supervisor who visits poultry producers in about 3-4 villages nearby. Given that the women are functionally literate, they vaccinate the chicks themselves. The mortality rate is marked by producers by marking lines on the wall for counting the number of chicks that die on a particular day. This is then recorded in the producer book at the time of the supervisor's visit to the producer. Producers typically raise about 300 chicks but this has been increased to 400-500 chicks in newer areas. We received documentation about the project during our visits to the project offices. Regarding financial data, detailed financial information is provided in the

annual reports of Pradan (the SPO) for the last 10 years which are downloadable from the website of Pradan.

c. Sampling Design

The sample decided by the project implementation team for this project was a total of 300 observations. Given this total sample size, we planned for a balanced split between controls and treatment (150 controls and 150 treatments). The survey collected a range of information on socio-economic characteristics and demographic structure of households. VBN Poultry had lists of all members of self-help groups associated with the SPO Pradan and among these also those who were beneficiaries of the project. From the list of beneficiaries, we randomly selected 75 beneficiaries for our sample for the treatment group from Gumla district. In a similar way, we selected 75 beneficiaries from Bokaro district (this was eventually reduced to 73 and 74). This was because there were not enough beneficiaries to sample from a single district. We also used the database of members of self-help groups associated with the SPO Pradan to select a control group. These were women who were not engaged in poultry farming. Similar to the selection of beneficiaries, we selected our sample for the control group by randomly selecting 125 from Gumla district and an additional 25 from Bokaro district due to shortfall of sufficient controls from Gumla district (we were able to sample an additional 3 controls making the total number of control group members from Bokaro a total of 28). To summarize:

Treatment groups

We divided the treatment group into two groups based on district.

1. 73 female poultry producers from Gumla district.
2. 74 female poultry producers from Bokaro district.

Control group

125 women who do not participate in poultry farming from Gumla district and 28 women who do not participate in poultry farming from Bokaro district.

d. Descriptive Analysis of Key Variables

We now briefly describe some features of the socio-demographic characteristics collected in the household survey and differences between the control and treatment groups. Regarding religion, we find that treatment group poultry producers are more likely to be Hindu while the control group is more likely to follow one of the tribal religions prevalent in this region.

Almost all households in both treatment and control groups own their homes and live in 'pucca' homes (solid/concrete constructed homes). Similarly, along other characteristics relating to the household there is no statistical difference between control and treatment groups. Both groups are most likely to use firewood and chips as the primary source of energy for cooking. The main source of energy for lighting is kerosene lamp with 68% of the respondents stating this to be the main energy source for lighting. However, 30% report electricity as the main source of lighting. There is no statistical difference between control and treatment groups in this regard. Similarly, most households both in the control and treatment groups report using a hand pump to access water and use open defecation.

Those in the treatment group are much more likely to have a bank account and are much more likely to have taken out a loan. In most cases, the reason for taking out the loan is to expand their business. The most common source for this loan is the self-help group, and in some cases a bank. Control group families are much less likely to have taken out a loan. The total amount of outstanding loans taken out by a treatment group household is Rs. 10,493.98 while this is Rs. 7,673.65 for a control group household (and is statistically significantly higher for the treatment group). Treatment group households and control group households do not differ in terms of their average monthly savings or average monthly expenditures.

We now present some descriptive statistics on our main outcome variable.

Table 1a. **Summary Statistics on Monthly Consumption across Treatment and Control Groups measured at the time of the Baseline Survey**

Treatment	**Definition (Monthly Household**	**Sample size**	**Mean**

and control groups	Consumption)		(std. dev) in Rs.
Treatment Group	Poultry Producers	147	5824.60 (2536.70)
Control Group	Women not engaged in Poultry Farming	153	5269.87 (2330.38)

Table 1b. **Summary Statistics on Monthly Consumption across Treatment and Control and District measured at the time of the Baseline Survey**

Treatment groups	Definition (Monthly Household Consumption)	Sample size	Mean (std. dev) in Rs.
Treatment Group	Poultry Producers in Bokaro District	74	5622.37 (2617.51)
Treatment Group	Poultry Producers in Gumla District	71	6035.37 (2450.33)

Treatment groups	Definition (Monthly Household Consumption)	Sample size	Mean (std. dev) in Rs.
Treatment Group	Women not engaged in Poultry Farming in Bokaro District	28	5039.75 (2538.06)
Treatment Group	Women not engaged in Poultry Farming in Gumla District	128	5321.83 (2536.05)

Based on the tables, we note that treatment group households have on average Rs. 554.73 more in terms of average monthly consumption than control group households. This difference is statistically significant. Although based on the data, it appears that households in Gumla district have greater monthly consumption on average than households in Bokaro district, the differences are not statistically significant (this is the case even when we compare treatment and control groups within a district).

5. Analyses and Results

Given that we do not have endline data for this project, our empirical strategy has been to compare the treatment and control group households using the baseline data. We estimated a variety of regression models with average monthly consumption as the dependent variable and various subsets of the independent variables grouped by context. A subset of these results is given in the Appendix. Results for religion are omitted as they were statistically insignificant. Overall from the results we can conclude that average total consumption is affected by household size and by membership in the treatment group. The results are similar to the univariate results presented above. However, when we estimated a parsimonious regression model in which we included a subset of regressors corresponding to the different contexts, we found that the effect of the treatment group was no longer statistically significant. The only variable that is statistically significant in this case is household size. Larger households have larger monthly consumption. Therefore, in the presence of household size, the effect of the treatment group (or participating in the poultry project) does not have a significant effect on income. Across the models, the difference in average monthly consumption between treatment group households and control group households ranged from Rs. 500- Rs 350 per month. This translates into an annual difference of Rs. 6000 to Rs. 4200. This is lower than the outcome that the project had aimed for which is Rs. 10,000 to Rs. 15,000 a year. However, our measure is based on a single point in time. Based on literature on small scale sustainable farming, we know that the gains to participating in such activities may take some time to appear. Based on our baseline data, it appears that the households did not gain as much in terms of income from participating in the poultry project.

These findings are of course based only on the baseline data, and we do not have in this case the richness of an endline survey. We are also not able to say very much about the long term effects of participating in the project which may well be positive.

Efficiency of the Project

To assess the efficiency of the project, we use the benchmarks provided by the Synthesis Team (AIID, 2014) which are based on the studies of Tearfund (2013), Isern (2007) and Harper (2002). The estimated costs of such intervention based on these studies range from USD 105 to USD 1670 (based on studies on lending and empowering communities). We

apply the efficiency calculation to one of the outputs of the project which was to have 1030 women who would then participate in SHGs/cooperative and be trained in poultry farming. The MFS-II funding was EUR 111,486. This implies a cost of EUR 108.24 per woman in terms of assistance in becoming a member of an SHG/cooperative, training in poultry farming etc. The total budget for the project was EUR 230,629 as the project received funding from other sources as well. If we take this to be total budget for the project, we find the cost to then be EUR 223.91. In both cases, these values are well within the ranges based on the studies of Tearfund (2013), Isern (2007) and Harper (2002). They are on the low end of the range of the estimates from past studies. By these measures, the interventions to organize women into SHGs and train them in poultry farming can be deemed efficient.

The other outcome of the project was to build 70 sheds for poultry farming. During our field visit, we were told in fact that in fact 86 sheds were built. According to the benchmarks provided in the report of the Synthesis Team which are based on a report from the Ministry of Rural Development based on the construction of sheds for poultry in Lohardaga district (a neighbouring district to the ones from which we sampled our treatment and control groups), the costs of building such sheds is about USD 1937 for a 300 square feet shed (USD 6.50 per square feet). If we calculate the cost of such sheds based on the entire MFS II budget, we obtain a cost of building a shed to be EUR 1296.35. Applying the average annual exchange rate between the euro and the US dollar for 2012, we obtain USD 1507.38 which is below the benchmark of USD 1937.

From these calculations for both the organization of women into SHGs/cooperatives and training of women in poultry farming and the construction of sheds for poultry, we can infer that the project is efficient.

6. Discussion and Conclusion

In this paper, we have assessed the impact of the poultry value chain project of VBN funded by MFS II (through ICCO). The project had three outputs. It has achieved two of the outputs of building sheds for poultry and organizing women into SHGs/cooperatives and training them in poultry farming. Regarding the outcome of improving income, we were not able to discern this from our analysis of the baseline data. From our baseline data, it appears that the

gain in income is lower than the goal set by the project. This is to some extent also corroborated by qualitative data based on interviews with poultry farmers who told us that although they gained income, they also had more expenditures as a result of the project (due to illness of chicks etc.). We have seen from our baseline data that the treatment group is far more likely to have taken out a loan to expand their business, implying that participating in the poultry project involves financial investments by the participating women. This could also be a reason why the households reported lower than expected consumption as we assume that some of the income they earn is re-invested in the business via loan repayment.

Based mainly on the qualitative evidence based on our fieldwork, it is our conclusion that the project is well-designed and suitable for the environment in which is it being implemented. We are not able to assess the design of the project from the household survey. Poultry farming of this nature is well-suited to Jharkhand where most of the potential beneficiaries of this project own very little land. Poultry farming requires far less land usage than agricultural crops. Also, the climate in Jharkhand is prone to unpredictable rains and poultry farming is affected less by weather and rainfall than agricultural crops. Given changing diets in India and the increasing demand for poultry meat, a project such as this is a way to meet this demand in a small scale way which is also more sustainable than factory farming which we see in developed countries and see also as a growing trend in India (Kanchana and Yesodha Devi 2009, Jothilakshmi et. al. 2011).Women are introduced to poultry farmers through experiencing it through their peers. Women also experience empowerment and participate in local governmental bodies such as gram panchayats.

We were of course hampered by the lack of an endline survey and for this reason are not able to expand on our findings from this study.

Regarding improvements to the impact evaluation, we were severely constrained by safety issues in the survey area. We realize that this is not an issue that can be anticipated but it this would be an issue to which we need to pay attention to in terms of future evaluations. Based on our findings, we assign the scores below.

The project was well-designed 10

The project was implemented as designed 10

The project reached all its objectives 7

The observed results are attributable to the project interventions 5

The observed results are relevant to the project beneficiaries 7

The project was implemented efficiently 10

Note that the score on “The observed results are attributable to the project interventions” reflects how well we could evaluate the program. Therefore, it is not a score of the program. The objectives used to score on this aspect are given in the country summary.

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Appendix (Dependent Variable is Average Monthly Consumption)

Table A1. Home Related Variables

Independent	
variables	
Own Home	-1,130
	(-0.595)
Pukka (permanent)	205.3
	(0.250)
Firewood main source of fuel	776.8
	(0.878)
Kerosene lamp main source of light	-864.2
	(-0.656)
Electricity main source of light	-952.9
	(-0.715)
Hand Pump usage	352.2
	(1.162)
Constant	6,541***
	(2.638)
Observations	300
R-squared	0.011
t-statistics in parentheses *** p<0.01, ** p<0.05, * p<0.1	

Table A2. Financial Variables

Independent	
Variables	
Has Bank account	362.0
	(1.462)
SHG is source of loan	497.8
	(1.135)
Bank is source of loan	1,002
	(1.546)
Loan is for expanding business	753.2*
	(1.677)
Loan for health reasons	-118.6
	(-0.215)
Constant	4,721***
	(19.59)
Observations	293
R-squared	0.072

Table A3. Household Variables

Independent	
Variables	
Household size	707.0***
	(7.258)
Number of children	-196.2*
	(-1.686)
Education level	39.36
	(0.628)
Constant	1,800***
	(3.563)
Observations	276
R-squared	0.202
t-statistics in parentheses *** p<0.01, ** p<0.05, * p<0.1	

Table A4. Treatment and District Indicators

Independent	
Variables	
Treatment Group	588.3*
	(1.855)
District Dummy	244.5
	(0.730)
Constant	4,203***
	(4.912)
Observations	300
R-squared	0.011
t-statistics in parentheses *** p<0.01, ** p<0.05, * p<0.1	

Endline report – India, NEDSSS MFS II country evaluations

Capacity of Southern Partner Organisations (5C) component

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This report presents the findings of the endline of the evaluation of the organisational capacity component of the MFS II country evaluations. The focus of this report is India, NEDSSS. The format is based on the requirements by the synthesis team and NWO/WOTRO. The endline was carried out in 2014. The baseline was carried out in May 2013.

Key words: 5C (five core capabilities); attribution; baseline; causal map; change; CFA (Co-financing Organisation) endline; organisational capacity development; SPO (Southern Partner Organisation).

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The India 5C evaluation team

List of abbreviations and acronyms

BTAD	Bodoland Territorial Autonomous District
Causal map	Map with cause-effect relationships. See also 'detailed causal map'.
Causal mechanisms	The combination of parts that ultimately explains an outcome. Each part of the mechanism is an individually insufficient but necessary factor in a whole mechanism, which together produce the outcome
CBO	Community Based Organisation
CDI	Centre for Development Innovation, Wageningen UR
CEO	Chief Executive Officer
CFA	Co-Financing Agency
CHARM	Community Health in Assam and Rural Meghalaya
CSR	Corporate Social Responsibility
Detailed causal map	Also 'model of change'. the representation of all possible explanations – causal pathways for a change/ outcome. These pathways are that of the intervention, rival pathways and pathways that combine parts of the intervention pathway with that of others. This also depicts the reciprocity of various events influencing each other and impacting the overall change. In the 5C evaluation identified key organisational capacity changes and underlying reasons for change (causal mechanisms) are traced through process tracing (for attribution question).
DSSS	Diocesan Social Service Society
FCRA	Foreign Contribution Regulation Act
General causal map	Causal map with key organisational capacity changes and underlying reasons for change (causal mechanisms), based on SPO perception.
GMC	Government Medical College
HIV/AIDS	Human Immunodeficiency Virus infection/ Acquired Immune Deficiency Syndrome
HRE	Human Rights Education
IAG	Inter Agency Group
ICAR	Indian Council for Agricultural Research
IDF	India Development Foundation
IDS	Institute of Development Studies, U.K.
IFAD	International Fund for Agricultural Development
IGSSS	Indo-Global Social Service Society
IIE	Indian Institute of Entrepreneurship
KVK	KrishiVigyan Kendra
M&E	Monitoring and Evaluation
MFS	Dutch co-financing system
MIS	Management Information System
NABARD	National Bank for Agriculture and Rural Development
NACO	National AIDS Control Organisation
NC	North Cachar
NEDSSS	North East Diocesan Social Service Society
NESRC	North East Social Research Centre
NGO	Non-Governmental Organisation
NIRD	National Institute of Rural Development
OD	Organisational Development
PLHIV	People Living with HIV
PME	Planning, Monitoring and Evaluation
Process tracing	Theory-based approach to trace causal mechanisms
RBM	Results Based Management
SHG	Self-Help Group

SIRD	State Institute of Rural Development
SPO	Southern Partner Organisation
SSI	Semi-structured Interview
TISS	Tata Institute of Social Sciences
ToC	Theory of Change
UNDP	United Nations Development Programme
Wageningen UR	Wageningen University & Research centre
5 C	Capacity development model which focuses on 5 core capabilities

1 Introduction & summary

1.1 Purpose and outline of the report

The Netherlands has a long tradition of public support for civil bi-lateral development cooperation, going back to the 1960s. The Co-Financing System (*Medefinancieringsstelsel*, or 'MFS') is its most recent expression. MFS II is the 2011-2015 grant framework for Co-Financing Agencies (CFAs), which is directed at achieving a sustainable reduction in poverty. A total of 20 consortia of Dutch CFAs have been awarded €1.9 billion in MFS II grants by the Dutch Ministry of Foreign Affairs (MoFA).

The overall aim of MFS II is to help strengthen civil society in the South as a building block for structural poverty reduction. CFAs receiving MFS II funding work through strategic partnerships with Southern Partner Organisations.

The MFS II framework stipulates that each consortium is required to carry out independent external evaluations to be able to make valid, evaluative statements about the effective use of the available funding. On behalf of Dutch consortia receiving MFS II funding, NWO-WOTRO has issued three calls for proposals. Call deals with joint MFS II evaluations of development interventions at country level. Evaluations must comprise a baseline assessment in 2012 and a follow-up assessment in 2014 and should be arranged according to three categories of priority result areas as defined by MoFA:

Achievement of Millennium Development Goals (MDGs) & themes;

Capacity development of Southern partner organisations (SPO) (5 c study);

Efforts to strengthen civil society.

This report focuses on the assessment of capacity development of southern partner organisations. This evaluation of the organisational capacity development of the SPOs is organised around **four key evaluation questions**:

1. What are the changes in partner organisations' capacity during the 2012-2014 period?
2. To what degree are the changes identified in partner capacity attributable to development interventions undertaken by the MFS II consortia (i.e. measuring effectiveness)?
3. Were the efforts of the MFS II consortia efficient?
4. What factors explain the findings drawn from the questions above?

The purpose of this report is to provide endline information on one of the SPOs involved in the evaluation: NEDSSS in India. The baseline report is described in a separate document.

Chapter 2 describes general information about the Southern Partner Organisation (SPO). Here you can find general information about the SPO, the context in which the SPO operates, contracting details and background to the SPO. In chapter 3 a brief overview of the methodological approach is described. You can find a more detailed description of the methodological approach in appendix 1.Chapter 4 describes the results of the 5c endline study. It provides an overview of capacity development interventions of the SPO that have been supported by MFS II. It also describes what changes in organisational capacity have taken place since the baseline and why (evaluation question is 1 and 4). This is described as a summary of the indicators per capability as well as a general causal map that provides an overview of the key organisational capacity changes since the baseline, as experienced by the SPO. The complete overview of descriptions per indicator, and how these have changed since the baseline is described in appendix 3. The complete visual and narrative for the key organisational capacity changes that have taken place since the baseline according to the SPO staff present at the endline workshop is presented in appendix 4.

Chapter 5 presents a discussion on the findings and methodology and a conclusion on the different evaluation questions.

The overall methodology for the endline study of capacity of southern partner organisations is coordinated between the 8 countries: Bangladesh (Centre for Development Studies, University of Bath; INTRAC); DRC (Disaster Studies, Wageningen UR); Ethiopia (CDI, Wageningen UR); India (CDI, Wageningen UR: Indonesia (CDI, Wageningen UR); Liberia (CDI, Wageningen UR); Pakistan (IDS; MetaMeta); (Uganda (ETC). Specific methodological variations to the approach carried out per country where CDI is involved are also described in this document.

This report is sent to the Co-Financing Agency (CFA) and the Southern Partner Organisation (SPO) for correcting factual errors and for final validation of the report.

1.2 Brief summary of analysis and findings

Over the last year and four months NEDSSS has very slightly improved in its capability to act and commit. Important improvements have been that the leader is more responsive and provides more strategic guidance, financial incentives for staff increased very slightly, the funding situation improved and staff improved in their proposal writing capacity. In the capability to adapt and self-renew NEDSSS also improved very slightly. This was mainly due to solid M&E application in the Cordaid project and improved M&E input from now trained partners, more critical reflection and NEDSSS being more responsive to non-church stakeholders. NEDSSS showed a very minor improvement in the capability to deliver on development objectives, as through NEDSSS' direct project implementation they know better if services meet beneficiaries' needs and balancing quality and efficiency also improved. The organisation had a very minor improvement in the capability to relate because engagement with non-church stakeholders improved and NEDSSS has become more visible as an organisation in its network. Finally there was a very minor improvement in the capability to achieve coherence because they introduced a HIV/AIDS work policy.

The evaluators considered it important to also note down the SPO's perspectives on the most important changes in in the organisation since the baseline. During the endline workshop the key organisational capacity changes that were brought up by NEDSSS' staff were: improved systems in place, increased visibility and diversification of funding. An MFS II supported capacity development intervention has played a role in improved systems in place. MFS II co-funded with MISEREOR a training on Society Registration and Documentation for the Governing Board and General Body, which made the board and body more proactive in improving systems. Trainings on financial management FCRA and government regulations, mostly funded by Missio München also were important to increase the knowledge of the director and governing body and led to a legal way of documentations. These trainings were triggered by changes in government rules and regulations concerning foreign funded NGOs. NEDSSS improved its visibility because the organisation produced many publications and improved their networking. Of these publications the HRE Modules were funded by MFS II. The diversification of funding was triggered by a need to diversify funding because of a changing donor environment and changing government regulation on foreign funding. An organisational assessment funded by CARITAS India led also to NEDSS focussing more on financial sustainability of the organisation. Staff skills in proposal writing and diversification of intervention areas allowed NEDSSS to attract new donors. According to NEDSSS, MFS II funded capacity development interventions have played a role, particularly in terms of the governing board and general body becoming more proactive and in terms of part of the publications that helped NEDSS become more visible since the baseline in May 2013.

2 General Information about the SPO – NEDSSS

2.1 General information about the Southern Partner Organisation (SPO)

Country	India
Consortium	Communities of Change Alliance
Responsible Dutch NGO	Cordaid
Project (if applicable)	Supported by Misereor and Cordaid: Capacity Building of DSSS Phase III Supported by Cordaid: Peace Building in North Eastern Region Human Rights Education in North Eastern States Peace Initiatives in Northeast India
Southern partner organisation	North East Diocesan Social Service Society (NEDSSS), the secretariat of NEDSSS is also referred to as "the Social Forum"

The project/partner is part of the sample for the following evaluation component(s):

Achievement of MDGs and themes	
Capacity development of Southern partner organisations	X
Efforts to strengthen civil society	

2.2 The socio-economic, cultural and political context in which the partner operates

NEDSSS is the official organisation of 15 catholic Dioceses of North East India to support and promote development initiatives undertaken by member Diocesan Social Service Societies, partner NGOs and other CBOs (Community Based Organisations).

The North Eastern part of India comprising Assam, Manipur, Arunachal Pradesh, Tripura, Nagaland, Mizoram, Meghalaya and Sikkim, is a conglomeration of different tribal cultures and practices. In comparison to other regions, the states in North East have a high sex ratio[1] and literacy rate.[2] For the whole of India there are on average 940 females per 1000 males, while there are generally more females per 1000 males in the North Eastern states. The average literacy rate is 74.04 percent for India and in most North Eastern states this is higher. Despite a favourable literacy rate and with a potential for economic development the region continues to remain underdeveloped. Underdevelopment of the region is attributed to the instability caused by conflict.

This region has been under turmoil since independence with integration of North East with the Indian Union during independence of the country from British colonial rule marked the beginning of incessant struggle in the region. With Armed forces on the one side and the militants on the other side, the struggle continued with moments of ceasefire and signing of treaties. In addition to differences with the Indian Union, there are conflicts among different tribal groups in the region. For instance, the North Cachar (NC) Hills and Karbi Anglong inhabited by indigenous tribes Karbi, Dimasa, Kuki, Khasi,

[1] Sex Ratio (females per thousand males) of the North Eastern States as per 2011 Census are: Assam 954; Arunachal Pradesh 920; Manipur 987; Meghalaya 986; Mizoram 975; Nagaland 931; Sikkim 889;Tripura 961.

[2] Literacy rates of North East are: Assam 73.18%; Arunachal Pradesh 66.95%;Manipur 70.50%;Meghalaya 75.48%; Mizoram 91.58%; Nagaland 80.11%; Sikkim 82.2% and Tripura 87.75%.

Jaintia, Hmar, Bodo, Tiwa and Zeme Naga often face ethnic clashes over control of land. In Manipur the clashes between Kuki-Naga over years, continue to disrupt both peace and development in the region. At present, Kukis and Naga want separate administrative arrangements in the hills with Kukis fighting for Kukiland and Nagas for greater Nagaland. In Manipur the clash continues between Meiteis, Naga Tribes and Kuki-Chin-Mizo tribes. Different communities in Manipur are divided into hill and valley-based communities. While valley is inhabited by non-tribals Meitei and Meitei-Pangal (i.e. Muslims of Manipur), Kuki-Chin-Mizo and Naga tribes comprise the hill tribes in the region. These tribes are again sub-divided into several other tribes. Intra-group clashes and those between police/military and the insurgent groups have continued for years in this region. Mizoram tensions arise between Mizos and Reang (Bru) community, the latter claiming their autonomy in the state.

In addition to the tribal conflicts, geographical location of North East, surrounded by Bangladesh, Bhutan and China continue to remain a major law and order issue with illegal migration posing threat and demographic imbalance of the region. In July 2012, violence in the state of Assam (where NEDSSS is located) broke out with riots between the indigenous Bodos and Muslims. Between 20 July and 8 August 2012, 77 people had died and over 400,000 people were taking shelter in 270 relief camps, after being displaced from almost 400 villages. The Bodo tribe of Assam views this growing assertion of the migrant Muslims as a threat and have alleged that the Muslim population of the region has increased, boosted by refugees from the erstwhile East Pakistan (prior to the 1971 Indo-Pakistan War) and by subsequent illegal migrants from Bangladesh. Previously in 1983, more than 3000 people had been killed after the controversial Assam state elections as an outcome of the simmering anger and hatred between the two communities. Social tension and instability in Assam – themselves related to perceptions of difference that are generated by past migration – have also found uneasy and disturbing reflection in the rapid spread of rumours that affected migrants from the north-eastern region living in other parts of India. In order to address this issue, NEDSSS initiated the Peace and Reconciliation Dialogue on BTAD (Bodoland Territorial Autonomous District) in Assam held at TISS (Tata Institute of Social Sciences, North East Chapter). The aim of this dialogue was to weave together relationships that connect village elders, church leaders, women groups, citizens, resource persons for rebuilding and strengthening relationships among members of the community.[3]

While lack of peace and order has destabilised development of the region, spread of HIV has also led to detrimental impact on income, employment, savings and consumption of households, education of children and health. As per Report of the Workshop on HIV/AIDS Mainstreaming in Health and Development Work[4], there is a slight decrease in reported cases in Manipur, Mizoram and Nagaland; there is a rise in cases of HIV in Assam. Women suffering from HIV are worst affected by social and family exclusion specially if these women are pregnant, widow or those from high risk groups.

NEDSSS has addressed the issue of HIV through its HIV/AIDS workplace policy, which states that employees with HIV/AIDS shall have the same rights and obligations as all other employees and it is mandated that there will be no discrimination of any form against them. This way it observes zero toleration against stigma attached and discrimination meted out to PLHIV people, remove fears and create awareness among the employees about HIV/AIDS.[5]

In these conflicts there are violations of human rights at various levels leading to loss of human lives, property and lack of development in the region. NEDSSS has also been working towards spread of human rights education, which in turn will lead to peace and development in the region. To that end, they have initiated programmes in schools, published a human rights manual (2014) with information on understanding, utilizing and disseminating information regarding human rights and also provided books for children. NEDSSS believes that it is only through an integrated analysis of development and peace-building that there could be mapping of economic development.

[3] Narrative Report 12-2013 to 5-2013.doc
[4] Report of HIV AIDS Workshop NEDSF_2013.pdf
[5] NEDSSS HIV AIDS Workplace policy.doc

2.3 Contracting details

When did cooperation with this partner start: 1997

What is the MFS II contracting period: 2011-2015

The following projects fall in this period, some of which have started before 2011:

Name of the Project	Project number	From	Till	Covered by MFS II
Capacity Building of DSSS Phase III	Project No. 317/ 4909E	01/07/2009	01/09/2012	from January 2011 – September 2012
Peace Building through a Concerted Response of Organisations in North Eastern India	Project No. 317/ 10543	01/11/2008	01/11/2011	from January 2011 – November 2011
Human Rights Education in North Eastern States	Project No. 317/ 10562	01/10/2010	31/12/2014	From January 2011 – December 2014
Peace Initiatives in Northeast India	Project No: 321-903-1030zg/108102	June 2012	30/01/2014	Whole period

Did cooperation with this partner end? Yes.

If yes, when did it finish? 31 December 2014.

What is the reason for ending the cooperation with this partner: General phasing out of programme in India. Only some of the counterparts will be supported further during some months in 2015, in case they contribute in a very direct way to the planned achievements of Cordaid's Unit "Women's Leadership for Peace and Security." This is not the case for NEDSSS.

2.4 Background to the Southern Partner Organisation

History

North East Diocesan Social Service Society (NEDSSS), is a Church based NGO, playing the role of Facilitator. It facilitates in building capacity of the staff of partners and other NGOs of North East Region through trainings, workshops, exposures, seminars, guidance and coordination. It extends its arms to various agencies for financial support in order to provide support to its partner organizations. Inception of the organisation took place in 1986, with an unregistered office in Dimapur, Nagaland by the initiative of Fr. P. Remegius and Fr. Sebastian Ousepparampil, Diocesan director of Social Work and CRS, Diocese of Kohima and regional convenor for SW. Some amount of money was given for training purposes, the staff being 2 men and 2 women (the money was by Cordaid through CARITAS until registration had been done). The vision and the mission (see below) of the organisation have remained the same throughout the years.

In the beginning of 1986, the Directors of social works of the North East Dioceses felt the need of NEDSSS to coordinate the social activities in the dioceses. The idea of the forum originated from the then Executive Director of CARITAS India. NEDSSS was established with an aim to coordinate all programmes which are designed in a way to train community workers (referred to as Animators) at Diocesan level. However, it also undertook training programmes for resource persons who in turn trained the animators in the remote areas. From the beginning, they did not want to just restrict their activities to evangelism but also do value addition to the community life (e.g., education, health and other social interventions). Therefore, the Archbishop of Shillong decided to move the organisation in the direction of working for the community. In due course of time, the Shillong Diocese was divided into 5 Dioceses, which then were further divided into 15 Dioceses.

Caritas India has been one of the main donors for NEDSSS, as Caritas is the organisation of all Bishops of the country, whereas NEDSSS is the organisation of Bishops of the North East Region. Hence, there exists a direct link between NEDSSS and Caritas India.

In 1988, there was a plan to shift the office to Guwahati. A plan was proposed for NEDSSS Centre. Archbishop of Shillong was ready to part with the previously acquired land at Joypur, Kharguli in Guwahati and thus the process of shifting the office from Dimapur to Guwahati was put into action.

In 1989 the first Animator (Ms Myrtle Fernandez) was appointed. By the end of 1989, the temporary office of NEDSSS commenced functioning in the Bishop's House, Dimapur with two full time office staff – Ms Celine Concessio and Ms Jeanatte D'Souza.

By 1997-98, a lot had changed. The building of the NEDSSS had been inaugurated in Guwahati in 1994 along with bi annual newsletter. In 1996, staff consisted of a Director, 2 monitors, 2 Office Staff, 1 Driver and 2 Supporting Staff. In 1998, the CARITAS office started functioning from the office of the Social Forum. In the year 1997, one of the main changes was additional focus on Religion-cultural approaches to the problems of violence and communalism. A management course for Diocesan Directors was organized in 1995. A training course for the Diocesan Directors was organised by Caritas India in 1997. In 2002, an evaluation study was published of NEDSSS for the period of 1986-2002. (Evaluation study of NEDSSS, Fr Gerry and Dr Richard, 2002). Also by this time, NEDSSS started functioning independently. The staff then comprised of the Director, 2 coordinators at social forum, 5 support staff. DSS had 20 animators in the field.

In 2003-04, while the focus of earlier training programs was pastoral oriented awareness building and centred mostly around CRS Food Aid programme and projects like Tribal hostels, there emerged a significant paradigm shift towards the use of animators and awareness building among women and other marginalized groups to ensure sustainability of the projects. In 2003-04, the first annual report of NEDSSS was published. In 2004, Expansion of the office complex took place with construction of a conference hall on higher floors. The funders of NEDSSS in 2003 included DK Austria for women empowerment programme, Caritas India for Community disaster management programme and CRS for Peace Program. UNICEF funded for carrying out a need assessment survey for a project on Behaviour change communication for 10 NGOs in Assam. This project began in 2004 and is still in operation.

Capacity building programs were begun after an ASK Evaluation (in 2003), to carry out trainings for partner organisations and these programmes in turn developed capacity of NEDSSS staff (co funded by MISEREOR and Cordaid). In 2009 NEDSSS took steps to finalise strategic plans and streamlining the finance policy.

In 2011, financial management training was organised in NEDSSS Guwahati and funded by Cordaid. Based on this training NEDSSS is streamlining its processes. It has improved its documentation in the last two years (2012-2014). Better documentation has been a part of the process of change for bidding for new projects. NEDSSS has also worked towards developing the capacity of its 15 partners.

In 2011, the Social Forum revisited its Gender policy and HR Policy. There was also expansion of the office premises, with laying down of the foundation for the training venue. New programmes on Human rights education and HIV AIDS have been initiated and mainstreamed as one of the organisation's main programs. At present, the number of staff is 27 at the Social Forum. The Social Forum or North East Diocesan Social Forum is the secretariat of NEDSSS.

In 2012, NEDSSS conducted a two-day workshop for the director of DSSSs on Society Registration and Documentation by Director of MASK, Nagpur. The training was on maintenance of registers of General Body Members, Governing Body Members, assets, minutes of annual general body meetings and governing body meetings. Emphasis was given on how to keep systematic records of the Minutes of the General Body and Governing Body meetings and the Amendments of Memorandum of the Organization. In these workshops, clarifications of Foreign Contribution Regulation Act 2010 were also made.

In 2013, NEDSSS introduced the HIV/AIDS Workplace policy with an aim to promote and respect the dignity of individuals irrespective of his/her status of HIV/AIDS and non-acceptance of any kinds of discrimination against PLHIV 1 and those affected by HIV and AIDS. The Policy outlines the procedures for interacting with employees who have medically been diagnosed with HIV or who are suspected of

being HIV positive or having developed AIDS and guidelines were provided to the staff on HIV/AIDS workplace policy.

In 2013, Cordaid extended the funding period of NEDSSS for its project on 'Human Rights Education in North Eastern States' from 1st January 2013 to 31st December, 2013. Staff of NEDSSS has been actively involved in the publication: Human Rights Manual-2014 (an understanding and guide to teachers) by Sr. Prema Chawalur, Chief Coordinator NEDSSS, Publication of Family Health Kit-2013 written Fr. S. Melookunnel SJ and team and Portraits of Change edited and compiled by Mr. Jaison Varghese M&E Officer NEDSSS, The Church in North East, Human Rights Mode-III. NEDSSS introduced Human Rights Education (HRE) in 258 schools and trained 253 teachers on the values of human rights (till date February 2015). NEDSSS also published HRE Modules—I and II for class IV and VII and Module III for class VIII. Training of Trainers on Human Rights as part of Human Rights Education in North East India programme in Madurai; exposure visits and workshops are organized for the staffs.

There had also been extension of Cordaid funding until 31 December 2014 for the project 'Peace Initiatives in North East India' of an amount of EUR, 52.000 (Rs.3894386.60). Now NEDSSS is in the process of implementing projects directly to sustain itself as well as to get more visibility through innovative ideas/models and will be developing operational plans independently.

Vision [Source: Annual report_2014]

A society where people live in unity amid diversity based on the Gospel values of justice and love.

Mission [Source: Annual report_2014]

To enable member associations to empower the poor and marginalised and ethnic groups in the region for promotion of peaceful just and equitable society through a participatory and sustainable development process.

Strategies

NEDSSS aims at building the capacity of the dioceses, strengthen the Human Resource system, Planning, Monitoring, Evaluation system and facilitate in developing the networks and linkages for the partners for mobilizing resources and schemes so that the poor and marginalised communities empowered and developed. To achieve these objectives it developed the following strategic plans:

1. Capacity building
   a. Training
      I. Centre Based training at Forum
      II. Centre level training for new Dioceses at NEDSF
      III. Handholding support to strengthen/develop system in the Dioceses
      IV. Customized Need Based Training at Diocesan level
      V. Training for Forum personnel

   b. Support system for new and weak diocesan organization:
   The social Forum provides sustained support going beyond trainings. This support will mean working together with the diocesan staff, first to perform a task and demonstrate them to have the staff do in the facilitators' presence and finally beginning to do it independently.

   c. Information, collection and dissemination:
   This is a strategy which is planned to strengthen the RBA initiative among the dioceses.

   d. Facilitating Inter-learning among members:
   The team members of Social Forum periodically visits the Dioceses and identify success stories and role models, document them and circulate to all the member institutions so that those can be replicated by others.

   e. Collective reflection:
   Besides the capacity building support provided by the forum to the diocesan member organizations, the social forum plays a role in the reflection on the capacity building process.

   f. Facilitating networking and linkage with outside agencies:
   The Forum appoints a professional who will network and linkage with different Government department, NGOs and other institutions.

2. Lobbying and advocacy

The strategy for lobbying and advocacy would be as given below:

- Develop own capacity in this field
- Conceptual knowledge and skills in advocacy
- Evolve common strategies together with dioceses
- Achieve convergence of opinion and efforts
- Develop documentation on issues-researched by others
- Highlight the issues facing north East in general and the specific communities in the media
- Network with NGO's
- Use media to create public opinion and influence the policy makers
- Also create public opinion through poster, campaigns, and rallies
- Influence the policy makers by inter acting with them directly or in public meetings, seminars organised by Social Forum or by others.

3 Methodological approach and reflection

3.1 Overall methodological approach and reflection

This chapter describes the methodological design and challenges for the assessment of capacity development of Southern Partner Organisations (SPOs), also called the '5C study'. This 5C study is organised around **four key evaluation questions**:

1. What are the changes in partner organisations' capacity during the 2012-2014 period?
2. To what degree are the changes identified in partner capacity attributable to development interventions undertaken by the MFS II consortia (i.e. measuring effectiveness)?
3. Were the efforts of the MFS II consortia efficient?
4. What factors explain the findings drawn from the questions above?

It has been agreed that the question (3) around efficiency cannot be addressed for this 5C study. The methodological approach for the other three questions is described below. At the end, a methodological reflection is provided.

Note: this methodological approach is applied to 4 countries that the Centre for Development Innovation, Wageningen University and Research centre is involved in in terms of the 5C study (Ethiopia, India, Indonesia, Liberia). The overall approach has been agreed with all the 8 countries selected for this MFS II evaluation. The 5C country teams have been trained and coached on this methodological approach during the evaluation process. Details specific to the SPO are described in chapter 5.1 of the SPO report A detailed overview of the approach is described in appendix 1.

The first (changes in organisational capacity) and the fourth evaluation question are addressed together through:

- **Changes in the 5C indicators since the baseline:** standard indicators have been agreed upon for each of the five capabilities of the five capabilities framework (see appendix 2) and changes between the baseline, and the endline situation have been described. For data collection a mix of data collection methods has been used, including self-assessments by SPO staff; interviews with SPO staff and externals; document review; observation. For data analysis, the Nvivo software program for qualitative data analysis has been used. Final descriptions per indicator and per capability with corresponding scores have been provided.
- **Key organisational capacity changes – 'general causal map':** during the endline workshop a brainstorm has been facilitated to generate the key organisational capacity changes as perceived by the SPO since the baseline, with related underlying causes. For this purpose, a visual as well as a narrative causal map have been described.

In terms of the attribution question (2 and 4), **'process tracing'** is used. This is a theory-based approach that has been applied to a selected number of SPOs since it is a very intensive and costly methodology, although it provides rich information and can generate a lot of learning within the organisations. This approach was presented and agreed-upon during the synthesis workshop on 17-18 June 2013 by the 5C teams for the eight countries of the MFS II evaluation. A more detailed description of the approach was presented during the synthesis workshop in February 2014. The synthesis team, NWO-WOTRO, the country project leaders and the MFS II organisations present at the workshop have accepted this approach. It was agreed that this approach can only be used for a selected number of SPOs since it is a very intensive and costly methodology. Key organisational capacity changes/ outcomes of the SPO were identified, based on their relationship to the two selected capabilities, the capability to act and commit the capability to adapt and self-renew, and an expected relationship with CFA supported capacity development interventions (MFS II funding). It was agreed to

focus on these two capabilities, since these are the most targeted capabilities by the CFAs, as established during the baseline process.

Please find below an explanation of how the above-mentioned evaluation questions have been addressed in the 5C evaluation.

At the end of this appendix a brief methodological reflection is provided.

3.2 Assessing changes in organisational capacity and reasons for change - evaluation question 1 and 4

This section describes the data collection and analysis methodology for answering the first evaluation question: **What are the changes in partner organisations' capacity during the 2012-2014 period?** And the fourth evaluation question: **"What factors explain the findings drawn from the questions above?"**

In order to explain the changes in organisational capacity development between baseline and endline (evaluation question 1) the CDI and in-country evaluation teams needed to review the indicators and how they have changed between baseline and endline and what reasons have been provided for this. This is explained below. It has been difficult to find detailed explanations for changes in each of the separate 5c indicators, but the 'general causal map' has provided some ideas about some of the key underlying factors actors and interventions that influence the key organisational capacity changes, as perceived by the SPO staff.

The evaluators considered it important to also note down a consolidated SPO story and this would also provide more information about what the SPO considered to be important in terms of organisational capacity changes since the baseline and how they perceived these key changes to have come about. Whilst this information has not been validated with sources other than SPO staff, it was considered important to understand how the SPOs has perceived changes in the organisation since the baseline.

For those SPOs that are selected for process tracing (evaluation question 2), more in-depth information is provided for the identified key organisational capacity changes and how MFS II supported capacity development interventions as well as other actors, factors and interventions have influenced these changes. This is integrated in the next session on the evaluation question on attribution, as described below and in the appendix 1.

How information was collected and analysed for addressing evaluation question 1 and 4, in terms of description of changes in indicators per capability as well as in terms of the general causal map, based on key organisational capacity changes as perceived by the SPO staff, is further described below.

During the baseline in 2012 information has been collected on each of the 33 agreed upon indicators for organisational capacity. For each of the five capabilities of the 5C framework indicators have been developed as can be seen in Appendix 2. During this 5C baseline, a summary description has been provided for each of these indicators, based on document review and the information provided by staff, the Co-financing Agency (CFA) and other external stakeholders. Also a summary description has been provided for each capability. The results of these can be read in the baseline reports.

The description of indicators for the baseline in 2012 served as the basis for comparison during the endline in 2014. In practice this meant that largely the same categories of respondents (preferably the same respondents as during the baseline) were requested to review the descriptions per indicator and indicate whether and how the endline situation (2014) is different from the described situation in 2012[6].

[6] The same categories were used as during the baseline (except beneficiaries, other funders): staff categories including management, programme staff, project staff, monitoring and evaluation staff, field staff, administration staff; stakeholder categories including co-financing agency (CFA), consultants, partners.

Per indicator they could indicate whether there was an improvement or deterioration or no change and also describe these changes. Furthermore, per indicator the interviewee could indicate what interventions, actors and other factors explain this change compared to the baseline situation. See below the specific questions that are asked for each of the indicators. Per category of interviewees there is a different list of indicators to be looked at. For example, staff members were presented with a list of all the indicators, whilst external people, for example partners, are presented with a select number of indicators, relevant to the stakeholder.

The information on the indicators was collected in different ways:

1) **Endline workshop at the SPO - self-assessment and 'general causal map'**: similar to data collection during the baseline, different categories of staff (as much as possible the same people as during the baseline) were brought together in a workshop and requested to respond, in their staff category, to the list of questions for each of the indicators (self-assessment sheet). Prior to carrying out the self-assessments, a brainstorming sessions was facilitated to develop a 'general causal map', based on the key organisational capacity changes since the baseline as perceived by SPO staff. Whilst this general causal map is not validated with additional information, it provides a sequential narrative, based on organisational capacity changes as perceived by SPO staff;
2) **Interviews with staff members**: additional to the endline workshop, interviews were held with SPO staff, either to provide more in-depth information on the information provided on the self-assessment formats during the workshop, or as a separate interview for staff members that were not present during the endline workshop;
3) **Interviews with externals**: different formats were developed for different types of external respondents, especially the co-financing agency (CFA), but also partner agencies, and organisational development consultants where possible. These externals were interviewed, either face-to-face or by phone/Skype. The interview sheets were sent to the respondents and if they wanted, these could be filled in digitally and followed up on during the interview;
4) **Document review**: similar to the baseline in 2012, relevant documents were reviewed so as to get information on each indicator. Documents to be reviewed included progress reports, evaluation reports, training reports, etc. (see below) since the baseline in 2012, so as to identify changes in each of the indicators;
5) **Observation**: similar to what was done in 2012, also in 2014 the evaluation team had a list with observable indicators which were to be used for observation during the visit to the SPO.

Below the key steps to assess changes in indicators are described.

Key steps to assess changes in indicators are described

1. Provide the description of indicators in the relevant formats – CDI team
2. Review the descriptions per indicator – in-country team & CDI team
3. Send the formats adapted to the SPO to CFA and SPO – in-country team (formats for SPO) and CDI team (formats for CFA)
4. Collect, upload & code the documents from CFA and SPO in NVivo – CDI team
5. Organise the field visit to the SPO – in-country team
6. Interview the CFA – CDI team
7. Run the endline workshop with the SPO – in-country team
8. Interview SPO staff – in-country team
9. Fill-in observation sheets – in-country team
10. Interview externals – in-country team
11. Upload and auto-code all the formats collected by in-country team and CDI team in NVivo – CDI team
12. Provide to the overview of information per 5c indicator to in-country team – CDI team
13. Analyse data and develop a draft description of the findings per indicator and for the general questions – in-country team
14. Analyse data and develop a final description of the findings per indicator and per capability and for the general questions – CDI team
15. Analyse the information in the general causal map –in-country team and CDI-team

Note: the CDI team include the Dutch 5c country coordinator as well as the overall 5c coordinator for the four countries (Ethiopia, India, Indonesia, Liberia). The 5c country report is based on the separate SPO reports.

Please see appendix 1 for a description of the detailed process and steps.

3.3 Attributing changes in organisational capacity - evaluation question 2 and 4

This section describes the data collection and analysis methodology for answering the second evaluation question*: **To what degree are the changes identified in partner capacity attributable to (capacity) development interventions undertaken by the MFS II consortia*** **(i.e. measuring effectiveness)?** and the fourth evaluation question: **"What factors explain the findings drawn from the questions above?"**

In terms of the attribution question (2), 'process tracing' is used. This is a theory-based approach that has been applied to a selected number of SPOs since it is a very intensive and costly methodology, although it provides rich information and can generate a lot of learning within the organisations. Key organisational capacity changes/ outcomes of the SPO were identified, based on their relationship to the two selected capabilities, the capability to act and commit the capability to adapt and self-renew, and an expected relationship with CFA supported capacity development interventions (MFS II funding). It was agreed to focus on these two capabilities, since these are the most targeted capabilities by the CFAs, as established during the baseline process.

Below, the selection of SPOs for process tracing as well as the different steps involved for process tracing in the selected SPOs, are further explained.

3.3.1 Selection of SPOs for 5C process tracing

Process tracing is a very intensive methodology that is very time and resource consuming (for development and analysis of one final detailed causal map, it takes about 1-2 weeks in total, for different members of the evaluation team). It has been agreed upon during the synthesis workshop on 17-18 June 2013 that only a selected number of SPOs will take part in this process tracing for the purpose of understanding the attribution question. The selection of SPOs is based on the following criteria:

- MFS II support to the SPO has not ended before 2014 (since this would leave us with too small a time difference between intervention and outcome);
- Focus is on the 1-2 capabilities that are targeted most by CFAs in a particular country;
- Both the SPO and the CFA are targeting the same capability, and preferably aim for similar outcomes;
- Maximum one SPO per CFA per country will be included in the process tracing.

The intention was to focus on about 30-50% of the SPOs involved. Please see the tables below for a selection of SPOs per country. Per country, a first table shows the extent to which a CFA targets the five capabilities, which is used to select the capabilities to focus on. A second table presents which SPO is selected, and takes into consideration the selection criteria as mentioned above.

For the detailed results of this selection, in the four countries that CDI is involved in, please see appendix 1. The following SPOs were selected for process tracing:

Ethiopia: AMREF, ECFA, FSCE, HUNDEE (4/9)

India: BVHA, COUNT, FFID, SMILE, VTRC (5/10)

Indonesia: ASB, ECPAT, PtPPMA, YPI, YRBI (5/12)

Liberia: BSC, RHRAP (2/5).

3.3.2 Key steps in process tracing for the 5C study

In the box below you will find the key steps developed for the 5C process tracing methodology. These steps will be further explained here. Only key staff of the SPO is involved in this process: management; programme/ project staff; and monitoring and evaluation staff, and other staff that could provide information relevant to the identified outcome area/key organisational capacity change. Those SPOs selected for process tracing had a separate endline workshop, in addition to the ' general endline workshop. This workshop was carried out after the initial endline workshop and the interviews

during the field visit to the SPO. Where possible, the general and process tracing endline workshop have been held consecutively, but where possible these workshops were held at different points in time, due to the complex design of the process. Below the detailed steps for the purpose of process tracing are further explained. More information can be found in Appendix 1.

Key steps in process tracing for the 5C study

1. Identify the planned MFS II supported capacity development interventions within the selected capabilities (capability to act and commit and capability to adapt and self-renew) – CDI team

2. Identify the implemented MFS II supported capacity development interventions within the selected capabilities (capability to act and commit and capability to adapt and self-renew) – CDI team

3. Identify initial changes/ outcome areas in these two capabilities – CDI team & in-country team

4. Construct the detailed, initial causal map (theoretical model of change) – CDI team & in-country team

5. Identify types of evidence needed to verify or discard different causal relationships in the model of change – in-country teams, with support from CDI team

6. Collect data to verify or discard causal mechanisms and construct workshop based, detailed causal map (model of change) – in-country team

7. Assess the quality of data and analyse data and develop final detailed causal map (model of change) – in-country team with CDI team

8. Analyse and conclude on findings– CDI team, in collaboration with in-country team

3.3.3 Methodological reflection

Below a few methodological reflections are made by the 5C evaluation team. These can also be found in appendix 1.

Use of the 5 core capabilities framework and qualitative approach: this has proven to a be very useful framework to assess organisational capacity. The five core capabilities provide a comprehensive picture of the capacity of an organisation. The capabilities are interlinked, which was also reflected in the description of standard indicators, that have been developed for the purpose of this 5C evaluation and agreed upon for the eight countries. Using this framework with a mainly qualitative approach has provided rich information for the SPOs and CFAs, and many have indicated this was a useful learning exercise.

Using standard indicators and scores: using standard indicators is useful for comparison purposes. However, the information provided per indicator is very specific to the SPO and therefore makes comparison difficult. Whilst the description of indicators has been useful for the SPO and CFA, it is questionable to what extent indicators can be compared across SPOs since they need to be seen in context, for them to make meaning. In relation to this, one can say that scores that are provided for the indicators, are only relative and cannot show the richness of information as provided in the indicator description. Furthermore, it must be noted that organisations are continuously changing and scores are just a snapshot in time. There cannot be perfect score for this. In hindsight, having rubrics would have been more useful than scores.

General causal map: whilst this general causal map, which is based on key organisational capacity changes and related causes, as perceived by the SPO staff present at the endline workshop, has not been validated with other sources of information except SPO feedback, the 5C evaluation team considers this information important, since it provides the SPO story about how and which changes in the organisation since the baseline, are perceived as being important, and how these changes have come about. This will provide information additional to the information that has been validated when

analysing and describing the indicators as well as the information provided through process tracing (selected SPOs). This has proven to be a learning experience for many SPOs.

Using process tracing for dealing with the attribution question: this theory-based and mainly qualitative approach has been chosen to deal with the attribution question, on how the organisational capacity changes in the organisations have come about and what the relationship is with MFS II supported capacity development interventions and other factors. This has proven to be a very useful process, that provided a lot of very rich information. Many SPOs and CFAs have already indicated that they appreciated the richness of information which provided a story about how identified organisational capacity changes have come about. Whilst this process was intensive for SPOs during the process tracing workshops, many appreciated this to be a learning process that provided useful information on how the organisation can further develop itself. For the evaluation team, this has also been an intensive and time-consuming process, but since it provided rich information in a learning process, the effort was worth it, if SPOs and CFAs find this process and findings useful.

A few remarks need to be made:

- Outcome explaining process tracing is used for this purpose, but has been adapted to the situation since the issues being looked at were very complex in nature.
- Difficulty of verifying each and every single change and causal relationship:
  - Intensity of the process and problems with recall: often the process tracing workshop was done straight after the general endline workshop that has been done for all the SPOs.In some cases, the process tracing endline workshop has been done at a different point in time, which was better for staff involved in this process, since process tracing asks people to think back about changes and how these changes have come about. The word difficulties with recalling some of these changes and how they have come about. See also the next paragraph.
  - Difficulty of assessing changes in knowledge and behaviour: training questionnaire is have been developed, based on Kirkpatrick's model and were specifically tailored to identify not only the interest but also the change in knowledge and skills, behaviour as well as organisational changes as a result of a particular training. The retention ability of individuals, irrespective of their position in the organisation, is often unstable. The 5C evaluation team experienced that it was difficult for people to recall specific trainings, and what they learned from those trainings. Often a change in knowledge, skills and behaviour is a result brought about by a combination of different factors , rather than being traceable to one particular event. The detailed causal maps that have been established, also clearly pointed this. There are many factors at play that make people change their behaviour, and this is not just dependent on training but also internal/personal (motivational) factors as well as factors within the organisation, that stimulate or hinder a person to change behaviour. Understanding how behaviour change works is important when trying to really understand the extent to which behaviour has changed as a result of different factors, actors and interventions. Organisations change because people change and therefore understanding when and how these individuals change behaviour is crucial. Also attrition and change in key organisational positions can contribute considerably to the outcome.

Utilisation of the evaluation

The 5C evaluation team considers it important to also discuss issues around utility of this evaluation. We want to mention just a few.

Design – mainly externally driven and with a focus on accountability and standard indicators and approaches within a limited time frame, and limited budget: this MFS II evaluation is originally based on a design that has been decided by IOB (the independent evaluation office of the Dutch Ministry of Foreign Affairs) and to some extent MFS II organisations. The evaluators have had no influence on the overall design and sampling for the 5C study. In terms of learning, one may question whether the most useful cases have been selected in this sampling process. The focus was very much on a rigorous evaluation carried out by an independent evaluation team. Indicators had to be streamlined across countries. The 5C team was requested to collaborate with the other 5C country teams (Bangladesh, Congo, Pakistan, Uganda) to streamline the methodological approach across the eight sampled countries. Whilst this may have its purpose in terms of synthesising results, the 5C evaluation team

has also experienced the difficulty of tailoring the approach to the specific SPOs. The overall evaluation has been mainly accountability driven and was less focused on enhancing learning for improvement. Furthermore, the timeframe has been very small to compare baseline information (2012) with endline information (2014). Changes in organisational capacity may take a long, particularly if they are related to behaviour change. Furthermore, there has been limited budget to carry out the 5C evaluation. For all the four countries (Ethiopia, India, Indonesia, Liberia) that the Centre for Development Innovation, Wageningen University and Research centre has been involved in, the budget has been overspent.

However, the 5C evaluation team has designed an endline process whereby engagement of staff, e.g. in a workshop process was considered important, not only due to the need to collect data, but also to generate learning in the organisation. Furthermore, having general causal maps and detailed causal maps generated by process tracing have provided rich information that many SPOs and CFAs have already appreciated as useful in terms of the findings as well as a learning process.

Another issue that must be mentioned is that additional requests have been added to the country teams during the process of implementation: developing a country based synthesis; questions on design, implementation, and reaching objectives of MFS II funded capacity development interventions, whilst these questions were not in line with the core evaluation questions for the 5C evaluation.

Complexity and inadequate coordination and communication: many actors, both in the Netherlands, as well as in the eight selected countries, have been involved in this evaluation and their roles and responsibilities, were often unclear. For example, 19 MFS II consortia, the internal reference group, the Ministry of Foreign Affairs, Partos, the Joint Evaluation Trust, NWO-Wotro, the evaluators (Netherlands and in-country), 2 external advisory committees, and the steering committee. Not to mention the SPO's and their related partners and consultants. CDI was involved in 4 countries with a total number of 38 SPOs and related CFAs. This complexity influenced communication and coordination, as well as the extent to which learning could take place. Furthermore, there was a distance between the evaluators and the CFAs, since the approach had to be synchronised across countries, and had to adhere to strict guidelines, which were mainly externally formulated and could not be negotiated or discussed for the purpose of tailoring and learning. Feedback on the final results and report had to be provided mainly in written form. In order to enhance utilisation, a final workshop at the SPO to discuss the findings and think through the use with more people than probably the one who reads the report, would have more impact on organisational learning and development. Furthermore, feedback with the CFAs has also not been institutionalised in the evaluation process in the form of learning events. And as mentioned above, the complexity of the evaluation with many actors involved did not enhance learning and thus utilization.

5C Endline process, and in particular thoroughness of process tracing often appreciated as learning process: The SPO perspective has also brought to light a new experience and technique of self-assessment and self-corrective measures for managers. Most SPOs whether part of process tracing or not, deeply appreciated the thoroughness of the methodology and its ability to capture details with robust connectivity. This is a matter of satisfaction and learning for both evaluators and SPOs. Having a process whereby SPO staff were very much engaged in the process of self-assessment and reflection has proven for many to be a learning experience for many, and therefore have enhanced utility of the 5C evaluation.

4 Results

4.1 MFS II supported capacity development interventions

Below an overview of the different MFS II supported capacity development interventions of NEDSSS that have taken place since 2011 are described. The information is based on the information provided by Cordaid.

Table 1

Information about MFS II supported capacity development interventions since baseline

Title of the MFS II supported capacity development intervention	Objectives	Activities	Timing and duration	Budget
Training of Trainers on Do No Harm for peace staff. One staff member of NEDSSS, Catherine Chopfoza, who is a coordinator, participated in the training.	Objective of the training was to increase peace staff understanding of Do No Harm concept & tools and methods to train others on Do No Harm. Training was given by Dr. Richard Devadoss from Cornerstone Trust, Chennai.	Training	1-10 February 2011	INR 9650/ EUR 161.29 (*Exchange rate OANDA, on 1st of January 2011, 59.83 INR = 1EUR)*
A follow up training of the Training of Trainers on Do No Harm, was conducted by the same trainer. Ms. Chopfoza from NEDSSS also participated in the follow-up training	To revisit the Do No Harm concept & tools and provide guidance on implementation in the field.	Training	11 – 14 July 2011	INR 86400 / EUR 1444.09 (*Exchange rate OANDA, on 1st of January 2011, 59.83 INR = 1EUR)*
Financial Management Capacity Building Support.	Organisation (staff & leadership/ director) has improved understanding of strengths and gaps in the financial management of the organisation; Steps have been formulated by organisation (leadership & staff) together with accountant to address weaknesses and gaps in financial management of the organisation (through formulation of FMIP); and Gaps and formulated steps in the Financial Management Implementation Plan (FMIP) are monitored by organisation and gradually taken.	Support is provided by M. Kandasami, Chartered Accountant in Chennai and team. A process of 3 steps is envisaged: Financial management study undertaken by mentioned accountant, at the NEDSSS office in Guwahati. On the basis of identified weaknesses, a financial management improvement plan (FMIP) is drawn up. Visit 4 days and meeting with 12 staff & director at NEDSSS. Follow up visit by accountant to monitor progress in FMIP and provide guidance in following up points of FMIP. Visit of 2 days & meeting with director and main staff. Final follow up visit by accountant – to monitor progress of FMIP and provide guidance on remaining difficulties.	 February 2011 July 2011 Beginning 2013	Feb 2011: INR 61768 July 2011: INR 99761 2013: INR 70000 Total: INR 231529 Applying the same historical exchange rate of OANDA on January 1st 2011: INR 231.529 = EUR 3.869,78

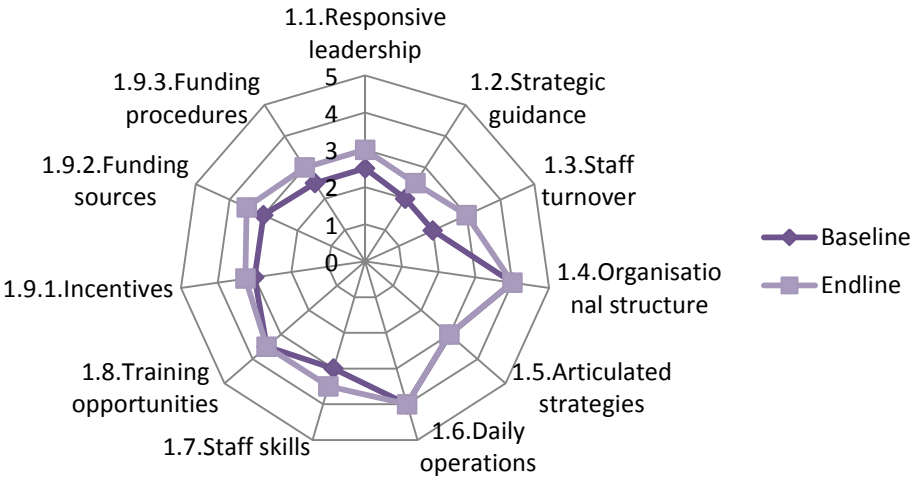
Most capacity development interventions have been done before MFS II, during MFS I and even before that. No other capacity building interventions planned for 2013-2014, were mentioned by Cordaid.

4.2 Changes in capacity and reasons for change - evaluation question 1 and 4

Below you can find a description of the changes in each of the five core capabilities. This information is based on the analysis of the information per each of the indicators. This detailed information for each of the indicators describes the current situation, and how and why it has changed since the baseline. See also annex 3.

4.2.1 Changes in the five core capabilities

Capability to act and commit



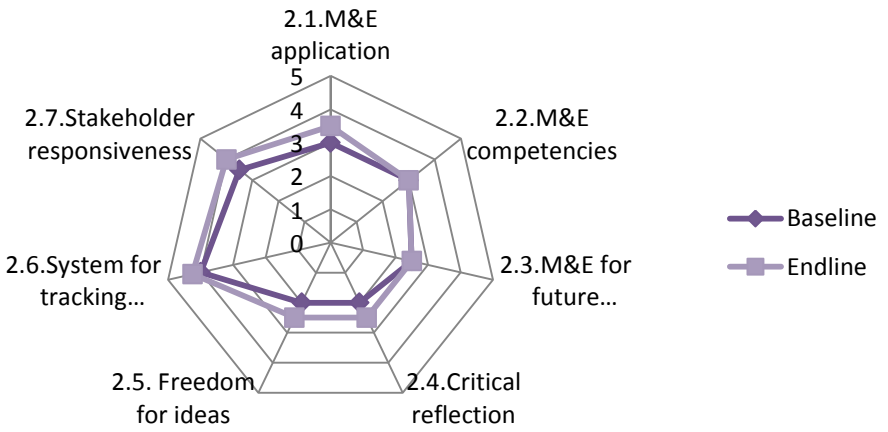
The current leader has now been leading the organization for four years and as the years passed the staff has become more free to express their opinions. He also has concern for NEDSSS's partners and his wider vision ensures that partners are made aware of changes in the external environment, e.g. with regard to changes in the law. The present Governing Body members have many years of experience in the field of development and their interaction with the leader keeps him up to date and creative. The leader has streamlined operations of the organisation by putting systems in place to streamline the work of NEDSSS so that it is governed professionally. With the introduction of positions like chief programme coordinator, second line leadership will be developed. The leader provides strategic guidance to both NEDSSS staff as well as its 15 partner organisations. There is an increased focus on developing the capacities of the partner organisations by organising workshops on legal and financial documentation. The leader has ample pastoral, administrative and teaching experience and has been working in the development sector for more than 14 years. The Governing Board provides guidance to the director through increased meetings of which proper minutes are taken. Staff are actively involved in the planning process and leadership is receiving positive responses on his functioning from the partner organisations. NEDSSS has less permanent staff as they work with interns and project related staff. After the baseline in May 2013 no staff has left the organisation. Staff has stayed have access to an increased Staff Welfare fund, health insurance and a rather decent salary. NEDSSS continues to base its strategies on its M&E findings (in case of the Capacity Building Project) and good situational analysis and learnings from previous experience (in case of the Peace Initiative project). The Revised Strategy Document from 2009 has, has to be revised as early as possible so that the organisation can go along with the changing trend and needs of the regions. The day to day operations continue to be in line with strategic plans. The organisation still has a well-defined and documented organogram in the HR policy that all staff members are aware of. In general,

staff have the necessary skills to do their work. Staff has been trained in financial management (on different intervals both before and after May 2013), gender policy development (in May 2014), and personality development (August 2013). Staff now share what they have learned after attending a training session, during the monthly staff meetings. If NEDSSS wants to become a resource centre that develops modules and conducts pilot projects that can be replicated by partners, staff needs to improve their skills on research methodology. Staff at NEDSSS continue to receive quite a lot of opportunities for training both on programme content as well as organisational development skills. It is unclear whether issues in selecting the right candidates for training were solved. During the baseline often staff members that were well versed in English or Hindi were sent for the training. As a result, sometimes the eligible participants would not attend the training. With increased surveillance by the government over foreign funding, tapping domestic funding sources has become necessary. NEDSSS has started to strengthen the capacity of their partner organisation in mobilising funds from government departments, semi-government departments and the corporate sector (through CSR). In total NEDSSS is funded by 15 funders compared to 8 during the baseline in May 2013. The organisation still has no clear procedures for exploring new funding opportunities. However, a dedicated staff member was hired to write project proposals and there is an improved capacity of other staff to showcase their work, prepare financial and legal documents needed for getting new funding and streamline their work for CSR rules. NEDSSS has initiated dialogues with various departments and organisations who can potentially fund them.

Score baseline: 3.0

Score endline: 3.3 (very slight improvement)

Capability to adapt and self-renew



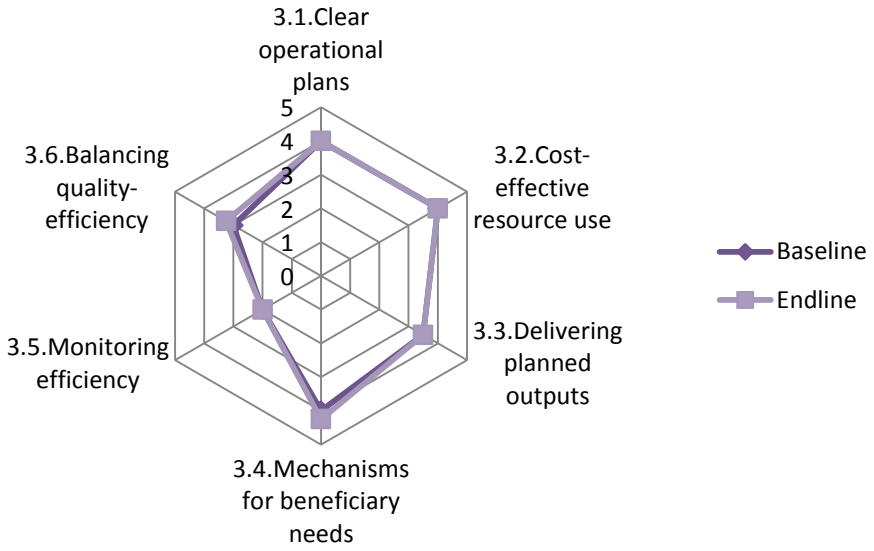
NEDSSS still has PME guidelines and staff have basic PME skills and have been trained in this, although there is no dedicated person in place for monitoring and evaluation. At the level of projects, M&E information is still used to improve and fine-tune project interventions. There is still a difference in how M&E is applied in different projects, which relates to different donor guidelines for M&E. In the Cordaid funded Peace Initiatives in North East India project, there is an elaborate and detailed M&E plan in place which looks at activities, outputs and outcomes and also has mechanisms in place to promote learning. As NEDSSS is dependent on its partners for the successful application of M&E, they have given trainings to their partner organisations in documentation for timely and good submission of reports. Reporting formats have been developed based on Results Based Management. There have been many external evaluations and the recommendations are used for project implementation and making strategic decisions. Most of the monitoring is done by partner organisations who are trained to deliver timely reports. Frequent changes in the formats for documentation because of donor demands, cause problems for partners in following a uniform pattern of documentation. Having different donor requirements in terms of monitoring and evaluation makes it difficult for the organisation to have an overall and comprehensive monitoring and evaluation system. The staff meet every month to discuss

the project progress, challenges and issues. The staff has become more self-confident and articulate since baseline in May 2013 and are given the space to share and discuss their concerns with the director and their colleagues. Most junior staff still do not feel comfortable to come up with ideas for the implementation of objectives. During the endline workshop the director gave space to the staff to present their views. Even though there is still no formal system to track developments, the organisation continues to be well-informed of general trends and developments at local, regional, national and international level through its extensive network of church based organisations, but now also through networks linking to research and government organisations. The organisation continues to be open and responsive to its stakeholders. NEDSSS interacts with leaders of civil society, leaders of NGOs, officials of different government departments, implementing partners, CBOs, religious heads, institutes – educational, research and scholars with an aim to address the issues in the target area effectively, to avoid duplication of work and create understanding among them.

Score baseline: 2.9

Score endline: 3.2 (very slight improvement)

Capability to deliver on development objectives

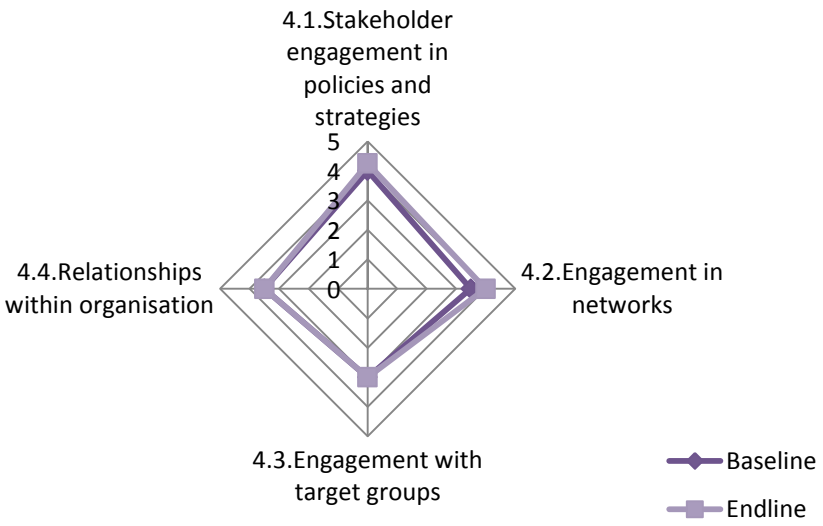


There continue to be clear operational plans for carrying out projects. Regular monthly meetings of the staff are held to discuss the project progress. In the projects were NEDSSS works through its partners the planning process is done in consultation with them. In two projects where NEDSSS is the implementing organisation the planning process is done independently. NEDSSS continues to make cost-effective use of its resources. Utilisation of funds are in line with the contract with the donor and expenses are kept low by multi-tasking and keeping travel costs low. A large percentage (around 80%) of planned outputs are still delivered as planned. There are several factors that prevent timely delivery of outputs, including natural disasters, protests and staff turnover. For instance, in September 2013 there were spurts of violence in the Bodo dominated districts and there was a flood in Assam in July 2014. NEDSSS still works mostly through its 15 partner organisations, who in turn work with the beneficiaries. For its partners, NEDSSS conducts meetings to make sure that the services NEDSSS offers its partners meet their needs. Over the last years, the organisation started implementing projects and working directly with beneficiaries. NEDSSS bases these projects on a needs assessment among the target group. Monitoring efficiency through relating inputs to outputs is not done, but NEDSSS balances quality with efficiency by efficient utilisation of the staff's capabilities and of resources through multi-tasking and at the same time enhancing staff's quality of work through trainings. Since the baseline, NEDSSS has worked towards increasing their quality and efficiency by streamlining their work, putting in place the legal documentation as per the FCRA and Indian Tax Laws.

Score baseline: 3.4

Score endline: 3.5 (very minor improvement)

Capability to relate

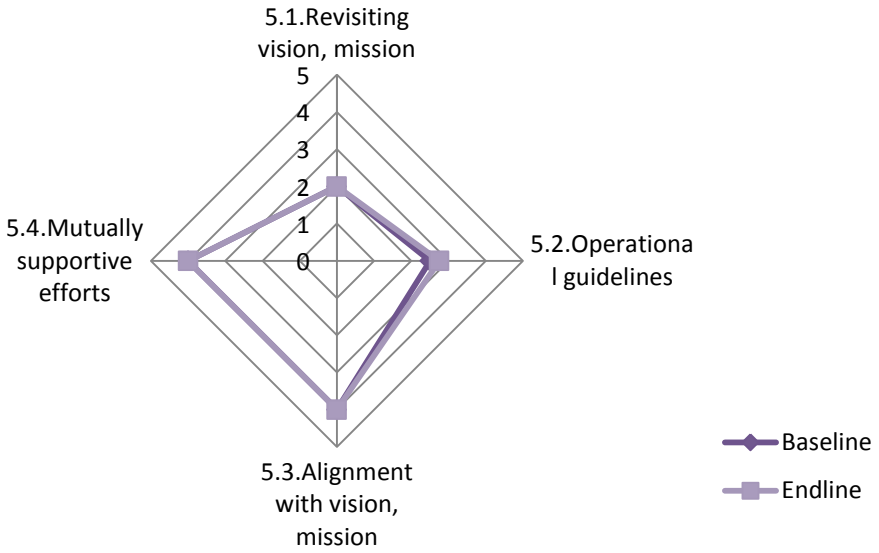


The organisation continues to have systematic engagement with its stakeholders. Their partner organisations actively participate to express their views and suggest required changes. NEDSSS gets input from other stakeholders like religious heads, leaders of civil society and NGOs, officials of different government departments and CBOs through consultation, workshops and one-to-one meetings. Apart from their immediate partners, they engage with various Faith Based Organisations and CBOs (SHGs, Farmers groups and Cooperatives) working in North East. They have started working with networks such as the North East Social Research Centre (NESRC), Tata Institute of Social Sciences (TISS) and other regional networks. As advocacy and lobbying plays a greater role in various projects, NEDSSS improved its relation with the government and has had meetings with various government departments like Government Medical College (GMC), NABARD and the Social Welfare Department. NEDSSS has two kinds of target groups: 1) their partner organisations which they visit regularly for monitoring and trainings, and 2) direct beneficiaries in recently started projects in which NEDSSS is the implementing organisations, here they have visited their target groups to do a situational analysis to develop appropriate strategies. NEDSSS continues to have a culture and office space that facilitates open interaction amongst its staff members. There are regular staff meetings each month where people communicate and express their ideas. Minutes of the meetings were circulated after some of these meetings.

Score baseline: 3.5

Score endline: 3.7 (very slight improvement)

Capability to achieve coherence



The organisation still has a clear vision and mission statement that has not changed over the years and staff members are made aware of them during induction programmes. NEDSSS has introduced a HIV/AIDS Workplace policy, which was developed on 12th July 2013 and was approved by the Governing Body on 9th September 2013. While achieving gender equity through women empowerment remains a mandate in their programmes, NEDSSS has failed to adopt a similar policy with regard to their internal governance. All projects and strategies remain to be in line with the vision and mission of NEDSSS and the church, as they are all aimed at strengthening the capacity of church (related) institutions to better address the needs of the population and to improve services for the poor. NEDSSS projects are still complimentary, and efforts in one project support another project. Based in a conflict region of North East India, NEDSSS work has been planned in a manner whereby impact of one project would be able to influence another.

Score baseline: 3.1

Score endline: 3.2 (very minor improvement)

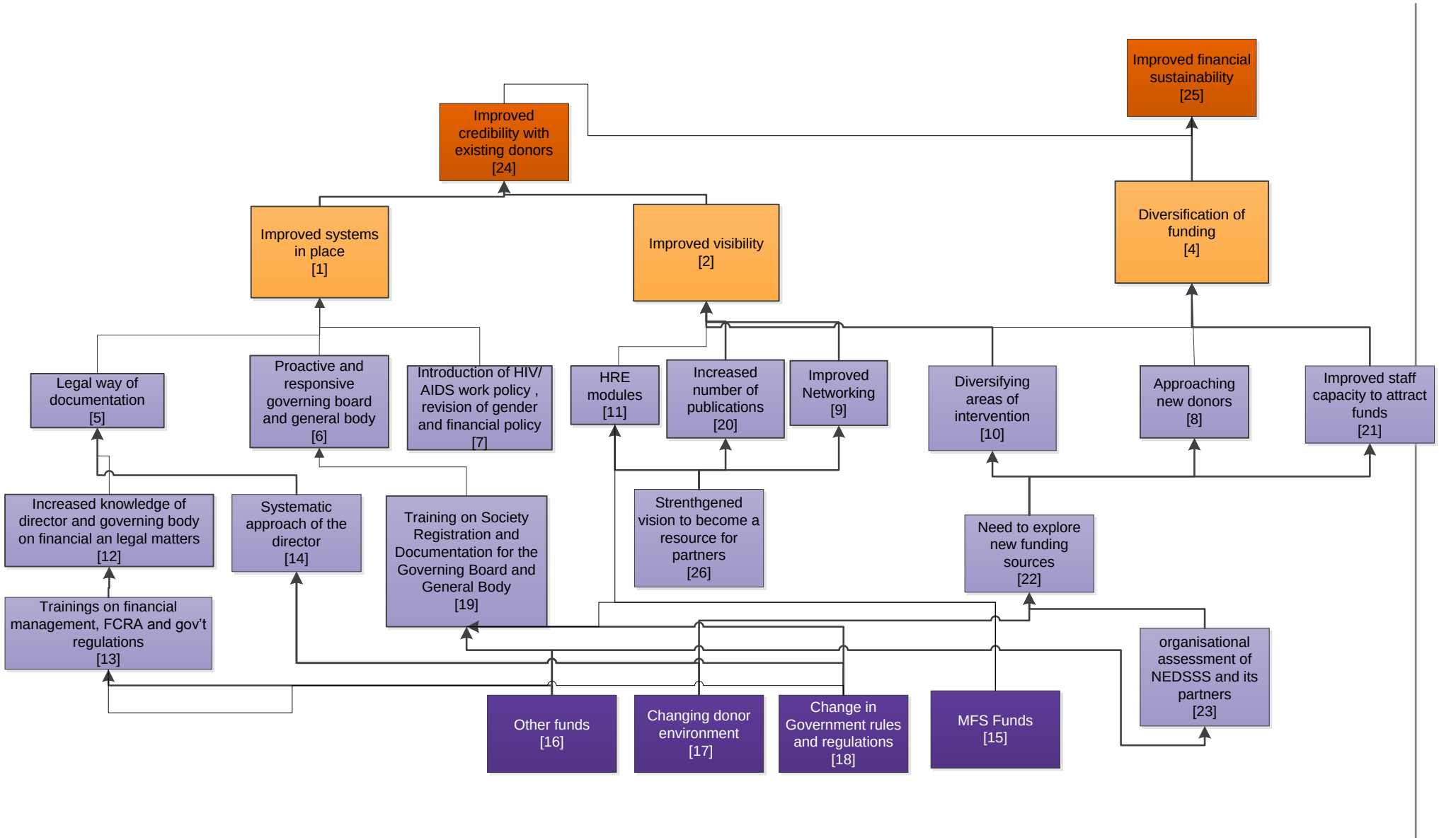
4.2.2 General changes in the organisational capacity of the SPO

During the endline workshop at the SPO, a discussion was held around what were the main changes in organisational capacity since the baseline and why these changes have taken place. The discussion was visualised in a general causal map as can be seen below. The narrative for the general causal map is also described below. It gives a more general picture of what was seen as important changes in the organisation since the baseline, and how these changes have come about , and that tells the more general story about the organisational changes in the SPO. The evaluators considered it important to also note down the SPO's story and this would also provide more information about reasons for change, which were difficult to get for the individual indicators. Also for some issues there may not have been relevant indicators available in the list of core indicators provide by the evaluation team. The detailed narrative can be found in Annex 4.

The evaluation team carried out an endline assessment at NEDSSS from 23 to 24 September 2014. During this workshop, the team made a recap of key features of the organisation in the baseline in May 2013 (such as vision, mission, strategies, clients, partnerships). The gap between the baseline and endline was short (one year and four months). Therefore some of the changes that are discussed here started before the baseline and were further strengthened in the post baseline period. This was the basis for discussing changes that had happened to the organisation since the baseline. The three main changes that happened in the organisation since the baseline, as identified by the staff during self-assessments, interviews and during the endline workshop were:

- Improved systems in place [1]
- Increased visibility [2]
- Diversification of funding [4]

The three main organisational capacity changes are described in the light orange boxes and some of their key consequences are noted above these cards in dark orange. Light purple boxes represent factors and aspects that influence the key organisational capacity changes (in light orange). Key underlying factors that have impacted the organisation are listed at the bottom in dark purple. The narrative describes per organisational capacity change, the contributing factors as described from the top down. The numbers in the visual correspond with the numbers in the narrative. Below each of these key changes and how these have come about are described.


Improved financial sustainability [25]
Improved credibility with existing donors [24]
Improved systems in place [1]
Improved visibility [2]
Diversification of funding [4]
Legal way of documentation [5]
Proactive and responsive governing board and general body [6]
Introduction of HIV/ AIDS work policy , revision of gender and financial policy [7]
HRE modules [11]
Increased number of publications [20]
Improved Networking [9]
Diversifying areas of intervention [10]
Approaching new donors [8]
Improved staff capacity to attract funds [21]
Increased knowledge of director and governing body on financial an legal matters [12]
Systematic approach of the director [14]
Training on Society Registration and Documentation for the Governing Board and General Body [19]
Strenthgened vision to become a resource for partners [26]
Need to explore new funding sources [22]
Trainings on financial management, FCRA and gov't regulations [13]
organisational assessment of NEDSSS and its partners [23]
Other funds [16]
Changing donor environment [17]
Change in Government rules and regulations [18]
MFS Funds [15]

Improved Systems in place [1]

The Director wanted to streamline the processes in the organisation. For this he wanted to ensure that the systems were in place [14]. He was able to convince the Governing body to change the way of working of NEDSSS from being a charity based organisation to a more professionally governed organisation. The grant agreement between Cordaid and NEDSSS for the project "Peace Initiative in North East India" demands submission of narrative and financial report and every 6 months NEDSSS is expected to submit a report with details of expenditure and to verify legal compliances of its 15 partners. Improved systems in place is expected to lead to improved credibility of NEDSSS with its existing donors [24], including MISSIO München, the Professionalising actors of Church Ministry, MISSIO Aachen and the Raskob Foundation. This in turn is expected to lead to improved financial sustainability [25].

NEDSSS improved its systems because they now have a legal way of documentation [5], a proactive and responsive governing board and general body [6], and a HIV/AIDS work policy, revised gender and financial policy [7]. Each of these changes are further discussed below.

Legal way of documentation [5]

There was a continuous improvement in the legal documentation of NEDSSS. This was due to the increased knowledge of not only the Director of NEDSSS but also that of the members of the governing body [12] and because of the systematic approach of the director [14]. This is further explained below.

- **Knowledge of the director and governing body [12]** increased because of trainings on financial management, FCRA, and government regulations [13]. The following trainings [13] were financed through other funds [16] such as MISSO München:
  - **Accounting and Tally Management Training Workshop** was organised for 3 days on 29th to 31st August, 2013. There were 21 participants from NEDSSS who were trained in proper method of accounting and documentation. They were also equipped with basic accounting information on Tally. This training was funded by MISSIO München [16].
  - **Legal Administration and Governance of Organizations/Trusts (FCRA/Income Tax) seminar** was organised and conducted by Charted Accountant from Lancy D'Souza and Company and Director of Mask Organization from 5th to 7th February, 2014. This seminar highlighted the legal implication of FCRA and Income Tax laws on Religious Institutions. There were 76 participants from NEDSSS. This training was funded by MISSIO München [16].
  - **Leadership and Communication Training** was held from 7th to 14th January, 2014 with 26 participants. The objective of the seminar was to train the participants on improving their leadership qualities and communication. This training was funded by MISSIO München [16].

These trainings [13] were triggered by the changes in government rules and regulations [18].

- **Systematic approach of the director [14]** to streamline processes led to a legal way of documentation [5] and was triggered by changes in the donor environment [17], with the donors demanding more transparency and accountability from the NGOs and the government rules and regulations with regard to the FCRA [18].

A Proactive and responsive governing board and general body [6]

The minutes of meetings of the General and the Governing Bodies are maintained in separate registers. The General and Governing body members are better informed on the changing trends in the development sector and the changes in government policies. The governing board and general body became more proactive and responsive because of a *training on Society Registration and Documentation for the Governing Board and General Body [19].* On 18-19 October, 2012, NEDSSS conducted a two-day workshop for the director of DSSSs on Society Registration and Documentation by the Director of MASK Organisation, Nagpur. The training was on maintenance of registers of General Body Members, Governing Body Members, assets, minutes of annual general body meetings and governing body meetings. Emphasis was given to keeping systematic records of the Minutes of the General Body and Governing Body meetings and the Amendments of Memorandum of the Organization. In these workshop clarifications of Foreign Contribution Regulation Act 2010 were also made. This workshop was also triggered by changes in government regulations [18] with regard to the FCRA and was co-funded by MFS II (Cordaid) [15] and non-MFS II (MISEREOR) funds [16].

Introduction of HIV/AIDS work policy, revision of gender and financial policy [7]

In 2013, NEDSSS introduced the HIV/AIDS Workplace policy with an aim to promote and respect the dignity of individuals irrespective of his/her status of HIV/AIDS and non-acceptance of any kinds of discrimination against PLHIV[7] and those affected by HIV and AIDS. The Policy outlines the procedures for interacting with employees who have medically been diagnosed with HIV or who are suspected of being HIV positive or having developed AIDS. This policy was developed to internally mainstream acceptance of HIV/AIDS in the organization. NEDSSS has revised and modified Gender and Finance policies.

Increased visibility [2]

During the endline workshop the staff of NEDSSS stated that they wanted to strengthen their vision of becoming a resource for their partner organisations [26]. This means for them that they would like their partners to be able to turn to them for any information or training they need on a particular topic or even turn to them for implementation of projects or resource mobilisation. NEDSSS wants to be looked upon as a role model and also implement innovative pilot projects so that their partners can replicate them in their respective areas. Thus in order to follow through with this vision, it was important to showcase their work and be well connected. This was possible if they increased their visibility [2]. This increased visibility is expected to lead to increased credibility with existing donors [24] like Missio München, Missio Aachen, Raksob Foundation and Professionalising Actors of Church Ministry. This increased credibility is in turn expected to lead to improved financial sustainability of the organisation [25].

In moving closer to that, NEDSSS has already started working towards increasing their number of publications [20]. NEDSSS, furthermore increased its visibility through their HRE modules [11], and through improved networking [9].

- *HRE Modules [11]*.

For instance, NEDSSS introduced Human Rights Education (HRE) in 258 schools and trained 253 teachers on the values of human rights. NEDSSS also published HRE Modules—I and II for class IV and VII and Module III for class VIII, which were published in June 2013. These modules were developed under the MFS II, Cordaid funded project [15]: Human Rights Education in North Eastern States from 1st January 2013 to 31st December 2013. The development of these modules were also triggered by NEDSSS's strengthened vision to become a resource for its partners [26].

- *Increased number of publications [20].*

Staff of NEDSSS has been actively involved in the publication since the baseline in May 2013: Human Rights Education Book III, released on 16th May 2013; Portraits of Change, published in January 2014 edited and compiled by the M&E officer of NEDSSS; Herbal Medicine Family Health Kit-2013, published in February 2014 written by a member of the MASK organisation and team; Human Rights Manual (an understanding and guide to teachers), released on 22nd November 2014 by the Chief Coordinator NEDSSS; The Silver Milestones (History of NEDSSS), released on 22nd November 2014, compiled by the Project Manager Capacity Building at NEDSSS. The increased number of publication was triggered by NEDSSS's strengthened vision to become a resource for its partners [26].

- *Improved Networking[9].*

Apart from publications, NEDSSS has formed networks with a wide range of organisations such as: as NABARD, IIE (Indian Institute of Entrepreneurship), KVK (KrishiVigyan Kendra), NIRD (National Institute of Rural Development), and SIRD (State Institute of Rural Development).These networks were formed before May 2013 and in the last year (2014) these networks have improved because they are working more closely together. On 24 October 2013, NEDSSS staff and staff of Tezpur, AIDA had participated the training on Entrepreneurship conducted by IIE. NEDSSS has also held consultations, meetings and trainings with and by government departments, like NABARD and the Social Welfare department. In order to increase its visibility, NEDSSS is also working with networks such as North East Social Research Centre (NESRC), Tata Institute of Social Sciences (TISS) and other regional networks. NEDSSS interacted with North East women network for its gender programme and

[7] PLHIV stands for "People Living with HIV". This abbreviation is used throughout the text.

with SarvaShikshaAbhiyan for Human Rights Education. The improved networking was triggered by NEDSSS's strengthened vision to become a resource for its partners [26].

Diversification of funding [4]

Over the last two years NEDSSS is trying to be self-reliant and diversify its funding sources given the changing donor environment in the country [17] and the change in government rules and regulations [18] concerning foreign funding. These two developments led to the need to explore new funding sources [22]. There have been efforts taken to widen the horizon of interventions in order to access government resources and CSR funding. The management feels that the staff capacities have also been increased for drawing funding opportunities such as the World Bank Grant Fund Award for the institution in India Market Development Place for replicating NEDSSS's health interventions.

Currently NEDSSS receives funding for different projects from the following diversified set of funders [4]:

• Caritas India is funding a project that supports 5 of NEDSSS's partner organisation to tap government resources.
• Shelter Project for Rickshaw Pullers is funded by IGSSS;
• Professionalising Actors of Church Ministry is funded by Missio München;
• Facilitating Regional Exercise towards an Effective Church in North East India is funded by Missio Aachen;
• The Income Generation Programme on financial empowerment of 80 families below poverty line is funded by Raskob Foundation;
• Community Health in Assam and Rural Meghalaya (CHARM) programme is funded by the World Bank;
• KINDERMISSIONWERK funds NEDSSS's work on education;
• Nursery Teacher Training for pre-primary and primary school teachers is funded by Advance Information in Early Childhood Care & Education, New Delhi;
• St. Peter Claver Foundation, MISEREOR, UNICEF, Dreikönigsaktion, Manos Unidas Spain are also funding NEDSSS's work.

In total NEDSSS is now funded by 13 funders compared to 8 during the baseline.

NEDSSS has diversified its funding [4] because they are approaching new donors [8], diversifying their of areas of intervention [10] and because staff have improved their capacity to attract funds [21]. These changes are further explained below

• *Approaching new donors [8]*
NEDSSS has been supported by Caritas India for a period of time and many of the projects are funded by CORDAID and MISEREOR till date. With their active support the organization has grown and improved in their implementation of the development programmes. Within the last years NEDSSS has approached new donors to fund new projects such as the World Bank (CHARM Project Health, June 2014-May 2016), MISSIO Aachen, MISSIO Munchen (June 2013-May 2014) and Kindermission Germany (since 2012) and Raskob Foundation USA (since 2013). Since May 2013, NEDSSS is also working with organisations such as NACO (National AIDS Control Organisation); IIE (Indian Institute of Entrepreneurship; Indian Council for Agricultural Research (ICAR); Department of Social Welfare, Guwahati to identify opportunities for collaboration and support. NEDSSS continues to work with KVK (Krishi Vigyan Kendra) and NIRD (National Institute of Rural Development). NEDSSS started to approach new donors because of the need to explore funding sources [22]. This need was triggered by the changing donor environment [17] and change in government regulations [18], but the decision of NEDSSS management to focus towards improving the financial sustainability of the organisation was also triggered by an organisational assessment of NEDSSS and its partners. This assessment was done during the partners workshop 'A Way Forward' on 20th and 21st January 2014.The objective of the assessment was to have an in-depth knowledge of organisations. This assessment was done by NEDSSS with support and funding from CARITAS India [16].
• *Diversification of areas of intervention [10]*
In order to increase its visibility [2], scaling up its work and diversify its funding, NEDSSS is intervening in new areas. To this end, NEDSSS is taking up projects in which they are the

implementing organisation. They have projects with rickshaw pullers, agriculture and children that have dropped out of school. As a resource centre, NEDSSS is not confined to training but has worked towards innovative interventions. These innovative ways are used for reaching out to the communities, which will be further replicated by the partners. For instance, the shelter project where rickshaw pullers were organised so that they could demand their rights from the government through increased ability to bargain. NEDSSS's approach was innovative with regard to adopting an innovative path in removing the misconceptions about communities or groups by going and finding out first from the target group the reasons behind their inability to access certain resources. In this project of NEDSSS, it was found out that it was not lack of knowledge of the available resources rather there was lack of advocacy or lobbying for them. There was a need to get attention from the government. There was lack of legal stand which was found out through the Public Interest Litigation. Through expanding into new projects in which NEDSSS is the implementer they have been able to attract funding from the World Bank and IGSSS. These are new and ongoing projects. NEDSSS started to diversify its areas of intervention [10] because of a need to explore new funding sources [22].

- *Improved staff capacity to attract funds [21]*

NEDSSS has trained its staff in proposal writing, showcasing their work, preparing legal and financial documents that are required for proposals and also prepare documentation in line with the CSR rules. As NEDSSS continues to work with and through its partner organisations, they have also started to strengthen their capacity in mobilising funds from government departments, semi-government departments and the corporate sector (through CSR). In support of this, NEDSSS does the dissemination of Caritas India's policy on Local Fund Mobilisation to its partners to implement the institutional Local Resource Mobilisation policy for all partner organisations. All efforts are taken to tap into more domestic sources (CSR and government) while also keeping an eye out for international donors. Improving the staff's capacity to attract funds [21] was triggered by the need to explore new funding sources [22], which in turn was because of changes in the donor environment [17] and in government regulations. With increased surveillance by the government over foreign funding, tapping domestic funding sources has become necessary.

5 Discussion and conclusion

5.1 Methodological issues

In order to get detailed information on the capacity development of the staff, self–assessment forms were filled out by the management (CEO and Director), programme staff (Programme Manager, Regional Coordinator, Technical cum Document officer, gender coordinator, peace coordinator, programme coordinator and city maker coordinator), and the HR/Administration staff (Account officer and two accountants). Except for the CEO, Technical cum document officer, city maker coordinator, one accountant, the rest participated in the baseline workshop. Except for CEO, Technical cum document officer, city maker coordinator, one accountant, the rest of the staff also participated in the baseline workshop. Self-assessment forms were filled in by the CEO and the Director separately, to get impartial views on the organisational changes and different perspectives on the key changes. The capacity development sheet was not filled in for the interventions under MFS II supported funding. NEDSSS did not fill this in as there were no MFS II supported capacity development interventions since the baseline.

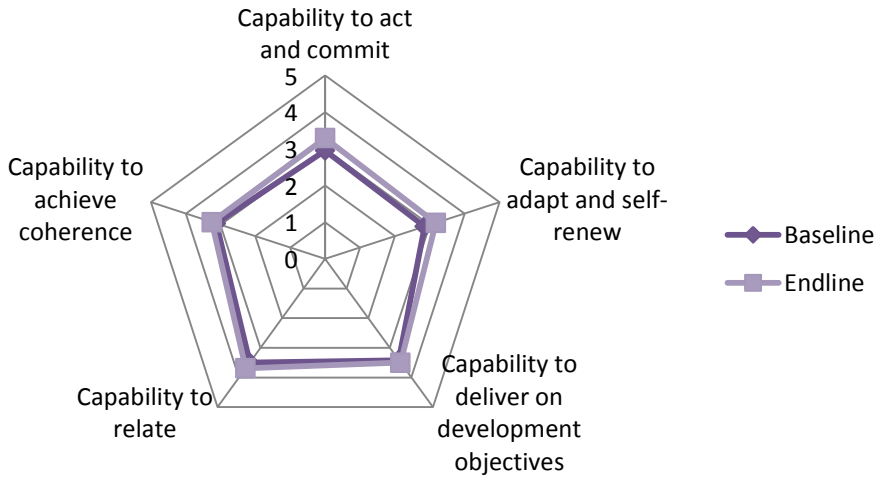
During the workshop it was a challenge for the evaluation team to go back to the 5C methodology, the findings of the baseline report and the areas where the SPO was falling short. However, this effort made the job for the endline participants' work clearer. After filling up the forms, it became easier for the staff to identify and create the general causal map, based on their perceived key organisational capacity changes since the baseline. Two members of the governing body of NEDSSS were interviewed, as the Board Members of NEDSSS are also their partners. One Organisation Development Consultant of NEDSSS was interviewed.

The CFA was not able to provide information on the organisational capacity indicators as the officers in charge of NEDSSS could not visit the organisation due to complications and denial of visa by the government. The North Eastern part of the country is a sensitive area and hence there are restrictions. The person in charge for NEDSSS at Cordaid was transferred in 2012. The new person in charge could not provide any information on the capacity development interventions other than based on the project documents.

5.2 Changes in organisational capacity

This section aims to provide an answer to the first and fourth evaluation questions:

1. *What are the changes in partner organisations' capacity during the 2012-2014 period?*
4. *What factors explain the findings drawn from the questions above?*



Improvements took place in all of the five core capabilities. Below the changes in each of the capabilities are further explained, by referring to the specific indicators that changed.

Over the last year and four months some improvements took place in the indicators under the capability to act and commit. The leader of NEDSSS is now a bit more settled and staff feel more free to share their opinions with him. The leader considers these when making decisions. The leader now provides strategic guidance to NEDSSS and the 15 partner organisations. Second line leadership is being developed. There was an improvement in the indicator on staff turnover. No staff have left the organisation in the last year and 4 months (since the baseline in May 2013). There is less permanent staff but NEDSSS works more with interns and project staff. Some gaps in skills have been addressed since the baseline. There have been trainings on personality development and financial management. Staff are now better at sharing what they have learned during trainings and have improved their skills in writing proposals, showcasing their work and meeting financial and legal requirements. The incentives for staff improved very slightly. The amount of staff welfare fund has increased and health insurance is now covered. NEDSSS' funding situation improved slightly. They now receive funding from 13 different donors compared to 8 donors during the baseline in 2012. Although there are still no funding procedures, staff have been trained in writing proposals and a person has been hired who spends most of his time on preparing project proposals.

In the capability to adapt and self-renew NEDSSS also improved in many indicators. The application of M&E is different per project. In the Cordaid funded project there is a solid M&E system in place. NEDSSS is also dependent on its partners for good M&E applications. They have now trained them in many aspects of M&E so the input from partners is improving. Reporting formats are now based on RBM. Staff feels more confident and is more articulate to share concerns with their colleagues and director. There is slightly more freedom for ideas and critical reflection. There has been a very slight improvement in tracking NEDSSS' operating environment. They now have strengthened their network with non-church based actors to discuss trends. NEDSSS has also become more responsive to non-church stakeholders including civil society, NGO's, government, CBOs and educational institutions.

In terms of the capability to deliver on development objectives, there has been a very slight improvement in the mechanisms to ensure services meet beneficiary meets. NEDSSS is now involved in direct project implementation. For these projects, they first go to the project area to study what the needs are before implementing the project. There has also been a very slight improvement in balancing quality and efficiency because of improved legal and financial documentation and improved capacity of partners which leads to more quality and efficiency in the work of NEDSSS.

In the capability to relate, NEDSSS improved its engagement of stakeholders in policy development and has increased its network. The organisation now receives input for their policies and plans from non-church actors through workshops, seminars, one-on-one meetings with NGOs and governments. NEDSSS has more partners that they work with, e.g. with government through going to meetings and trainings organised by government agencies. They have in this way increased their visibility.

Finally, NEDSSS there was hardly any change in the capability to achieve coherence, and there was only a slight improvement in its operational guidelines. They introduced a HIV/AIDS work policy.

During the endline workshop some key organisational capacity changes were brought up by NEDSSS's staff, these have been captured in the general causal map in 4.2.2: improved systems in place, increased visibility and diversification of funding. NEDSSS staff experienced these as the most important capacity changes in the organisation since the baseline. The evaluators considered it important to also note down the SPO's story and this would also provide more information about reasons for change, which were difficult to get for the individual indicators. Also for some issues there may not have been relevant indicators available in the list of core indicators provide by the evaluation team.

According to staff present at the workshop, the systems in place improved because of a legal way of documentation, a proactive and responsive governing board and general body; introduction of HIV/AIDS work policy and revision of gender and finance policies, which was also observed in the relevant indicator in the capability to achieve coherence. NEDSSS obtained a more legal way of documentation because of increased knowledge of the director and governing body on financial and legal matters and the systematic approach of the director. Their knowledge increased because of trainings on financial management, FCRA and government regulations, most of which were funded by Missio München. This was also partly reflected in the relevant indicators on training and staff skills in the capability to act and commit. These trainings were triggered by the changes in government rules and regulations. The governing board and general body became more proactive because of a training on Society Registration and Documentation for the Governing Board and General Body co-funded by Cordaid (MFS II) and MISEREOR.

NEDSSS wanted to increase its visibility because their vision is to become a resource for their partner organisations, so that their partners turn to them for any information or training they need on a particular topic. NEDSSS increased its visibility by publishing HRE Modules, other publications (for example human rights manual), and because of improved networking. The improved networking, which was also observed in the capability to relate, was triggered by NEDSSS's strengthened vision to become a resource for its partners.

NEDSSS diversified its funding base, and this was also reflected in the related indicator, where it was indicated that NEDSSS diversified its funding base from 8 to 13 donors. This was because they are approaching new donors, diversifying their of areas of intervention and because staff have improved their capacity to attract funds. NEDSSS started to approach new donors because of the need to explore funding sources, which was triggered by the changing donor environment and change in government regulations. With increased surveillance by the government over foreign funding, tapping domestic funding sources has become necessary. The decision of NEDSSS to focus on improving financial sustainability was triggered by an organisational assessment done by NEDSSS itself and its partners with funding from CARITAS India. NEDSSS started to diversify its areas of intervention because of a need to explore new funding sources. NEDSSS improved its capacity to attract funds because staff gained skills in proposal writing, showcasing their work, preparing legal and financial documents that are required for proposals and also preparing documentation in line with the CSR rules. This was also triggered by the need to explore new funding sources. MFS II funded capacity development interventions thus, according to NEDSSS, did contribute to the two of the key organisational capacity changes they experienced as important in the last year and 4 months, since the baseline in May 2013: improved systems in place (through the governing board and general body becoming more proactive) and to visibility of the organisation (funding of part of the publications).

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Human Resource Policy.doc
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Financial Management Study Report of NEDSF- March 2011.pdf
MODIFIED PROPOSAL ON HRE.doc
Revised budget 0n 1-9-10.xls
9- Project Proposal 2012.docx
10- Project Summary for Approval in 2012.docx
7- Narrative REport 12-2013 to 5-2013.docx
8- Narrative Report June - November 12.docx
1- Budget 2012.xlsx
2- Considerations for Approval in 2012.docx
4- Contract Extension 2013.docx
5- Follow-up for approval in 2012.doc
6- Follow-up forextension in 2013.doc
Narrative REport 04-2012 to 06-2012.docx
Follow-Up for Project Approval in 2010.docx
Narrative REport 07-2012 to 12-2012.docx
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Contract 2010.docx
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NEDSSS HIV AIDS Workplace policy.doc
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Annualreport 2013.pdf
3-Contract 2012.pdf
NEDSF GENDER POLICY.docx
Document NEDSS extention.docx
Document NEDSS.docx
317 10562 adendum.docx
317 10562 report.docx
108102 letter NEDSSS.docx
108102 peace half yearly report December 13 - May 2014 NEDSF.docx

Fieldwork data:

5c endline interview guide_partners_selected indicators_India_NEDSSS.doc
5c endline interview guide_partners2_selected indicators_India_NEDSSS.docx
5c endline self-assessment sheet_programme staff_India_NEDSSS.docx
5c endline self-assessment sheet_admin HRM staff_India NEDSSS.docx (finance).docx
5c endline self-assessment sheet_management_India_NEDSSS 1.doc
5c endline self-assessment sheet_management_India_NEDSSS2.docx
5c endline self-assessment sheet_programme staff_India_NEDSSS 1.docx
Annex K.NEDSSSdocx.docxAnnex K_5c endline workshop_key changes and factors_SPO perspective_country_name SPO NEDSSS.docx
ATTENDANCE SHEET for NEDSF 23 & 24 SEPT Workshop.docx
5c endline observation sheet - observations by in-country evaluators during the endline capacity assessment at the SPO_NEDSSS.doc 2.doc

List of Respondents

NEDSSS staff:

Name	Designation	23rd sept	24th sept
Varghese Velickakam	Director	Present	Present
Sr. Prema Chowalur	Chief Coordinator	Present	Present
Alphonsa Monsang	Gender Coordinator	Present	Present
Genevafa Behphat	Program Manager	Present	Present
Catherine	Peace Project Coordinator	Present	Present
Jonathan Gangmei	Accounts officer	Present	Present
Dulumoni Deka (Anamika)	Accountant	Present	Present
Daniel Rona	Accountant		
Mr. Tennyson Saiphu	Technical-cum documentation Officer	Present	Present
Francis Maringmei	Program Coordinator	Present	Present
Martin Jojo	Regional coordinator	Present	Present
Bernett Thiangla	City Makers Area Coordinator SHELTER Project	Present	Present
Deepa Mundaden	Regional Coordinator	Present	Present

Others:

Sister Betey from Sisters of the Cross of Chavonod, Member of the Governing Body of NEDSSS. Interviewed on 1 October 2014.

Fr. Jeevan from JUST Agartala, Member of the Governing Body of NEDSSS. Interviewed on 8 October 2014.

CFA:

Eliane Faerstein, Programme Officer at Cordaid.

Rens Rutten, Research and Evaluation Officer at Cordaid.

Appendix 1 Methodological approach & reflection

1 Introduction

This appendix describes the methodological design and challenges for the assessment of capacity development of Southern Partner Organisations (SPOs), also called the '5C study'. This 5C study is organised around four key evaluation questions:

1. What are the changes in partner organisations' capacity during the 2012-2014 period?
2. To what degree are the changes identified in partner capacity attributable to development interventions undertaken by the MFS II consortia (i.e. measuring effectiveness)?
3. Were the efforts of the MFS II consortia efficient?
4. What factors explain the findings drawn from the questions above?

It has been agreed that the question (3) around efficiency cannot be addressed for this 5C study. The methodological approach for the other three questions is described below. At the end, a methodological reflection is provided.

In terms of the attribution question (2), 'process tracing' is used. This is a theory-based approach that has been applied to a selected number of SPOs since it is a very intensive and costly methodology, although it provides rich information and can generate a lot of learning within the organisations. This approach was presented and agreed-upon during the synthesis workshop on 17-18 June 2013 by the 5C teams for the eight countries of the MFS II evaluation. A more detailed description of the approach was presented during the synthesis workshop in February 2014. The synthesis team, NWO-WOTRO, the country project leaders and the MFS II organisations present at the workshop have accepted this approach. It was agreed that this approach can only be used for a selected number of SPOs since it is a very intensive and costly methodology. Key organisational capacity changes/ outcomes of the SPO were identified, based on their relationship to the two selected capabilities, the capability to act and commit the capability to adapt and self-renew, and an expected relationship with CFA supported capacity development interventions (MFS II funding). It was agreed to focus on these two capabilities, since these are the most targeted capabilities by the CFAs, as established during the baseline process.

Please find below an explanation of how the above-mentioned evaluation questions have been addressed in the 5C evaluation.

Note: the methodological approach is applied to 4 countries that the Centre for Development Innovation, Wageningen University and Research centre is involved in in terms of the 5C study (Ethiopia, India, Indonesia, Liberia). The overall approach has been agreed with all the 8 countries selected for this MFS II evaluation. The 5C country teams have been trained and coached on this methodological approach during the evaluation process. Details specific to the SPO are described in chapter 5.1 of the SPO report. At the end of this appendix a brief methodological reflection is provided.

2. Changes in partner organisation's capacity – evaluation question 1

This section describes the data collection and analysis methodology for answering the first evaluation question: **What are the changes in partner organisations' capacity during the 2012-2014 period?**

This question was mainly addressed by reviewing changes in 5c indicators, but additionally a 'general causal map' based on the SPO perspective on key organisational capacity changes since the baseline

has been developed. Each of these is further explained below. The development of the general causal map is integrated in the steps for the endline workshop, as mentioned below.

During the baseline in 2012 information has been collected on each of the 33 agreed upon indicators for organisational capacity. For each of the five capabilities of the 5C framework indicators have been developed as can be seen in Appendix 2. During this 5C baseline, a summary description has been provided for each of these indicators, based on document review and the information provided by staff, the Co-financing Agency (CFA) and other external stakeholders. Also a summary description has been provided for each capability. The results of these can be read in the baseline reports.

The description of indicators for the baseline in 2012 served as the basis for comparison during the endline in 2014. In practice this meant that largely the same categories of respondents (preferably the same respondents as during the baseline) were requested to review the descriptions per indicator and indicate whether and how the endline situation (2014) is different from the described situation in 2012.[8] Per indicator they could indicate whether there was an improvement or deterioration or no change and also describe these changes. Furthermore, per indicator the interviewee could indicate what interventions, actors and other factors explain this change compared to the baseline situation. See below the specific questions that are asked for each of the indicators. Per category of interviewees there is a different list of indicators to be looked at. For example, staff members were presented with a list of all the indicators, whilst external people, for example partners, are presented with a select number of indicators, relevant to the stakeholder.

The information on the indicators was collected in different ways:

6) **Endline workshop at the SPO - self-assessment and 'general causal map'**: similar to data collection during the baseline, different categories of staff (as much as possible the same people as during the baseline) were brought together in a workshop and requested to respond, in their staff category, to the list of questions for each of the indicators (self-assessment sheet). Prior to carrying out the self-assessments, a brainstorming sessions was facilitated to develop a 'general causal map', based on the key organisational capacity changes since the baseline as perceived by SPO staff. Whilst this general causal map is not validated with additional information, it provides a sequential narrative, based on organisational capacity changes as perceived by SPO staff;
7) **Interviews with staff members**: additional to the endline workshop, interviews were held with SPO staff, either to provide more in-depth information on the information provided on the self-assessment formats during the workshop, or as a separate interview for staff members that were not present during the endline workshop;
8) **Interviews with externals**: different formats were developed for different types of external respondents, especially the co-financing agency (CFA), but also partner agencies, and organisational development consultants where possible. These externals were interviewed, either face-to-face or by phone/Skype. The interview sheets were sent to the respondents and if they wanted, these could be filled in digitally and followed up on during the interview;
9) **Document review**: similar to the baseline in 2012, relevant documents were reviewed so as to get information on each indicator. Documents to be reviewed included progress reports, evaluation reports, training reports, etc. (see below) since the baseline in 2012, so as to identify changes in each of the indicators;
10) **Observation**: similar to what was done in 2012, also in 2014 the evaluation team had a list with observable indicators which were to be used for observation during the visit to the SPO.

Below the key steps to assess changes in indicators are described.

Key steps to assess changes in indicators are described

16. Provide the description of indicators in the relevant formats – CDI team
17. Review the descriptions per indicator – in-country team & CDI team

[8] The same categories were used as during the baseline (except beneficiaries, other funders): staff categories including management, programme staff, project staff, monitoring and evaluation staff, field staff, administration staff; stakeholder categories including co-financing agency (CFA), consultants, partners.

18. Send the formats adapted to the SPO to CFA and SPO – in-country team (formats for SPO) and CDI team (formats for CFA)
19. Collect, upload & code the documents from CFA and SPO in NVivo – CDI team
20. Organise the field visit to the SPO – in-country team
21. Interview the CFA – CDI team
22. Run the endline workshop with the SPO – in-country team
23. Interview SPO staff – in-country team
24. Fill-in observation sheets – in-country team
25. Interview externals – in-country team
26. Upload and auto-code all the formats collected by in-country team and CDI team in NVivo – CDI team
27. Provide to the overview of information per 5c indicator to in-country team – CDI team
28. Analyse data and develop a draft description of the findings per indicator and for the general questions – in-country team
29. Analyse data and develop a final description of the findings per indicator and per capability and for the general questions – CDI team
30. Analyse the information in the general causal map –in-country team and CDI-team

Note: the CDI team include the Dutch 5c country coordinator as well as the overall 5c coordinator for the four countries (Ethiopia, India, Indonesia, Liberia). The 5c country report is based on the separate SPO reports.

Below each of these steps is further explained.

*Step 1. Provide the **description of indicators** in the relevant formats – CDI team*

- These formats were to be used when collecting data from SPO staff, CFA, partners, and consultants. For each of these respondents different formats have been developed, based on the list of 5C indicators, similar to the procedure that was used during the baseline assessment. The CDI team needed to add the 2012 baseline description of each indicator. The idea was that each respondent would be requested to review each description per indicator, and indicate whether the current situation is different from the baseline situation, how this situation has changed, and what the reasons for the changes in indicators are. At the end of each format, a more general question is added that addresses how the organisation has changed its capacity since the baseline, and what possible reasons for change exist. Please see below the questions asked for each indicator as well as the more general questions at the end of the list of indicators.

General questions about key changes in the capacity of the SPO

What do you consider to be the key changes in terms of how the organisation/ SPO has developed its capacity since the baseline (2012)?

What do you consider to be the main explanatory reasons (interventions, actors or factors) for these changes?

List of questions to be asked for each of the 5C indicators (The entry point is the the description of each indicator as in the 2012 baseline report):

1. *How has the situation of this indicator changed compared to the situation during the baseline in 2012? Please tick one of the following scores:*
   - -2 = Considerable deterioration
   - -1 = A slight deterioration
   - 0 = No change occurred, the situation is the same as in 2012
   - +1 = Slight improvement
   - +2 = Considerable improvement
2. *Please describe what exactly has changed since the baseline in 2012*
3. *What interventions, actors and other factors explain this change compared to the baseline situation in 2012? Please tick and describe what interventions, actors or factors influenced this indicator, and how. You can tick and describe more than one choice.*
   - Intervention, actor or factor at the level of or by **SPO**: ..... .
   - Intervention, actor or factor at the level of or by the **Dutch CFA (MFS II funding)**: .... .
   - Intervention, actor or factor at the level of or by the **other funders**: ..... .
   - **Other** interventions, actors or factors: ..... .

○ Don't know.

Step 2. ***Review*** *the descriptions per indicator – in-country team & CDI team*

Before the in-country team and the CDI team started collecting data in the field, it was important that they reviewed the description for each indicator as described in the baseline reports, and also added to the endline formats for review by respondents. These descriptions are based on document review, observation, interviews with SPO staff, CFA staff and external respondents during the baseline. It was important to explain this to respondents before they filled in the formats.

Step 3. ***Send the formats*** *adapted to the SPO to CFA and SPO – in-country team (formats for SPO) and CDI team (formats for CFA)*

The CDI team was responsible for collecting data from the CFA:

- 5C Endline assessment Dutch co-financing organisation;
- 5C Endline support to capacity sheet – CFA perspective.

The in-country team was responsible for collecting data from the SPO and from external respondents (except CFA). The following formats were sent before the fieldwork started:

- 5C Endline support to capacity sheet – SPO perspective.
- 5C Endline interview guides for externals: partners; OD consultants.

Step 4. ***Collect, upload & code the documents*** *from CFA and SPO in NVivo – CDI team*

The CDI team, in collaboration with the in-country team, collected the following documents from SPOs and CFAs:

- Project documents: project proposal, budget, contract (Note that for some SPOs there is a contract for the full MFS II period 2011-2015; for others there is a yearly or 2-yearly contract. All new contracts since the baseline in 2012 will need to be collected);
- Technical and financial progress reports since the baseline in 2012;.
- Mid-term evaluation reports;
- End of project-evaluation reports (by the SPO itself or by external evaluators);
- Contract intake forms (assessments of the SPO by the CFA) or organisational assessment scans made by the CFA that cover the 2011-2014 period;
- Consultant reports on specific inputs provided to the SPO in terms of organisational capacity development;
- Training reports (for the SPO; for alliance partners, including the SPO);
- Organisational scans/ assessments, carried out by the CFA or by the Alliance Assessments;
- Monitoring protocol reports, especially for the 5C study carried out by the MFS II Alliances;
- Annual progress reports of the CFA and of the Alliance in relation to capacity development of the SPOs in the particular country;
- Specific reports that are related to capacity development of SPOs in a particular country.

The following documents (since the baseline in 2012) were requested from SPO:

- Annual progress reports;
- Annual financial reports and audit reports;
- Organisational structure vision and mission since the baseline in 2012;
- Strategic plans;
- Business plans;
- Project/ programme planning documents;
- Annual work plan and budgets;
- Operational manuals;
- Organisational and policy documents: finance, human resource development, etc.;
- Monitoring and evaluation strategy and implementation plans;

- Evaluation reports;
- Staff training reports;
- Organisational capacity reports from development consultants.

The CDI team will coded these documents in NVivo (qualitative data analysis software program) against the 5C indicators.

Step 5. ***Prepare and organise the field visit*** *to the SPO – in-country team*

Meanwhile the in-country team prepared and organised the logistics for the field visit to the SPO:

- **General endline workshop** consisted about one day for the self-assessments (about ½ to ¾ of the day) and brainstorm (about 1 to 2 hours) on key organisational capacity changes since the baseline and underlying interventions, factors and actors ('general causal map'), see also explanation below. This was done with the five categories of key staff: managers; project/ programme staff; monitoring and evaluation staff; admin & HRM staff; field staff. Note: for SPOs involved in process tracing an additional 1 to 1½ day workshop (managers; program/project staff; monitoring and evaluation staff) was necessary. See also step 7;
- **Interviews with SPO staff** (roughly one day);
- **Interviews with external respondents** such as partners and organisational development consultants depending on their proximity to the SPO. These interviews coulc be scheduled after the endline workshop and interviews with SPO staff.

General causal map

During the 5C endline process, a 'general causal map' has been developed, based on key organisational capacity changes and underlying causes for these changes, as perceived by the SPO. The general causal map describes cause-effect relationships, and is described both as a visual as well as a narrative.

As much as possible the same people that were involved in the baseline were also involved in the endline workshop and interviews.

Step 6. ***Interview the CFA*** *– CDI team*

The CDI team was responsible for sending the sheets/ formats to the CFA and for doing a follow-up interview on the basis of the information provided so as to clarify or deepen the information provided. This relates to:

- 5C Endline assessment Dutch co-financing organisation;
- 5C Endline support to capacity sheet - CFA perspective.

Step 7. ***Run the endline workshop*** *with the SPO – in-country team*

This included running the endline workshop, including facilitation of the development of the general causal map, self-assessments, interviews and observations. Particularly for those SPOs that were selected for process tracing all the relevant information needed to be analysed prior to the field visit, so as to develop an initial causal map. Please see Step 6 and also the next section on process tracing (evaluation question two).

An endline workshop with the SPO was intended to:

- Explain the purpose of the fieldwork;
- Carry out in the self-assessments by SPO staff subgroups (unless these have already been filled prior to the field visits) - this may take some 3 hours.
- Facilitate a brainstorm on key organisational capacity changes since the baseline in 2012 and underlying interventions, factors and actors.

***Purpose of the fieldwork*:** to collect data that help to provide information on what changes took place in terms of organisational capacity development of the SPO as well as reasons for these changes. The baseline that was carried out in 2012 was to be used as a point of reference.

Brainstorm on key organisational capacity changes and influencing factors: a brainstorm was facilitated on key organisational capacity changes since the baseline in 2012. In order to kick start the discussion, staff were reminded of the key findings related to the historical time line carried out in the baseline (vision, mission, strategies, funding, staff). This was then used to generate a discussion on key changes that happened in the organisation since the baseline (on cards). Then cards were selected that were related to organisational capacity changes, and organised. Then a 'general causal map' was developed, based on these key organisational capacity changes and underlying reasons for change as experienced by the SPO staff. This was documented as a visual and narrative.This general causal map was to get the story of the SPO on what they perceived as key organisational capacity changes in the organisation since the baseline, in addition to the specific details provided per indicator.

***Self-assessments*:** respondents worked in the respective staff function groups: management; programme/ project staff; monitoring and evaluation staff; admin and HRM staff; field staff. Staff were assisted where necessary so that they could really understand what it was they were being asked to do as well as what the descriptions under each indicator meant.

Note: for those SPOs selected for process tracing an additional endline workshop was held to facilitate the development of detailed causal maps for each of the identified organisational change/ outcome areas that fall under the capability to act and commit, and under the capability to adapt and self-renew, and that are likely related to capacity development interventions by the CFA. See also the next section on process tracing (evaluation question two). It was up to the in-country team whether this workshop was held straight after the initial endline workshop or after the workshop and the follow-up interviews. It could also be held as a separate workshop at another time.

Step 8. ***Interview SPO staff*** *– in-country team*

After the endline workshop (developing the general causal map and carrying out self-assessments in subgroups), interviews were held with SPO staff (subgroups) to follow up on the information that was provided in the self-assessment sheets, and to interview staff that had not yet provided any information.

Step 9. ***Fill-in observation sheets*** *– in-country team*

During the visit at the SPO, the in-country team had to fill in two sheets based on their observation:

- 5C Endline observation sheet;
- 5C Endline observable indicators.

Step 10. ***Interview externals*** *– in-country team & CDI team*

The in-country team also needed to interview the partners of the SPO as well as organisational capacity development consultants that have provided support to the SPO. The CDI team interviewed the CFA.

Step 11. ***Upload and auto-code all the formats*** *collected by in-country team and CDI team – CDI team*

The CDI team was responsible for uploading and auto-coding (in Nvivo) of the documents that were collected by the in-country team and by the CDI team.

Step 12. Provide the ***overview of information*** *per 5C indicator to in-country team – CDI team*

After the analysis in NVivo, the CDI team provided a copy of all the information generated per indicator to the in-country team for initial analysis.

Step 13. ***Analyse the data and develop a draft description*** *of the findings per indicator and for the general questions – in-country team*

The in-country team provided a draft description of the findings per indicator, based on the information generated per indicator. The information generated under the general questions were linked to the general causal map or detailed process tracing related causal map.

Step 14. ***Analyse the data and finalize the description*** *of the findings per indicator, per capability and general – CDI team*

The CDI team was responsible for checking the analysis by the in-country team with the Nvivo generated data and to make suggestions for improvement and ask questions for clarification to which the in-country team responded. The CDI team then finalised the analysis and provided final descriptions and scores per indicator and also summarize these per capability and calculated the summary capability scores based on the average of all indicators by capability.

Step 15. ***Analyse the information*** *in the general causal map –in-country team & CDI team*

The general causal map based on key organisational capacity changes as perceived by the SPO staff present at the workshop, was further detailed by in-country team and CDI team, and based on the notes made during the workshop and where necessary additional follow up with the SPO. The visual and narrative was finalized after feedback by the SPO. During analysis of the general causal map relationships with MFS II support for capacity development and other factors and actors were identified. All the information has been reviewed by the SPO and CFA.

3. Attributing changes in partner organisation's capacity – evaluation question 2

This section describes the data collection and analysis methodology for answering the second evaluation question: ***To what degree are the changes identified in partner capacity attributable to (capacity) development interventions undertaken by the MFS II consortia (i.e. measuring effectiveness)?***

In terms of the attribution question (2), 'process tracing' is used. This is a theory-based approach that has been applied to a selected number of SPOs since it is a very intensive and costly methodology, although it provides rich information and can generate a lot of learning within the organisations. Key organisational capacity changes/ outcomes of the SPO were identified, based on their relationship to the two selected capabilities, the capability to act and commit the capability to adapt and self-renew, and an expected relationship with CFA supported capacity development interventions (MFS II funding). It was agreed to focus on these two capabilities, since these are the most targeted capabilities by the CFAs, as established during the baseline process. The box below provides some background information on process tracing.

Background information on process tracing

The essence of process tracing research is that scholars want to go beyond merely identifying correlations between independent variables (Xs) and outcomes (Ys). Process tracing in social science is commonly defined by its addition to trace causal mechanisms (Bennett, 2008a, 2008b; Checkle, 2008; George & Bennett, 2005). A causal mechanism can be defined as "a complex system which produces an outcome by the interaction of a number of parts" (Glennan, 1996, p. 52). Process tracing involves "attempts to identify the intervening causal process – the causal chain and causal mechanism – between an independent variable (or variables) and the outcome of the dependent variable" (George & Bennett, 2005, pp. 206-207).

Process tracing can be differentiated into three variants within social science: theory testing, theory building, and explaining outcome process tracing (Beach & Pedersen, 2013).

Theory testing process tracing uses a theory from the existing literature and then tests whether evidence shows that each part of hypothesised causal mechanism is present in a given case, enabling within case inferences about whether the mechanism functioned as expected in the case and whether the mechanism as a whole was present. No claims can be made however, about whether the mechanism was the only cause of the outcome.

Theory building process tracing seeks to build generalizable theoretical explanations from empirical evidence, inferring that a more general causal mechanism exists from the fact of a particular case.

Finally, explaining outcome process tracing attempts to craft a minimally sufficient explanation of a puzzling outcome in a specific historical case. Here the aim is not to build or test more general theories but to craft a (minimally) sufficient explanation of the outcome of the case where the ambitions are more case centric than theory oriented.

Explaining outcome process tracing is the most suitable type of process tracing for analysing the causal mechanisms for selected key organisational capacity changes of the SPOs. This type of process tracing can be thought of as a single outcome study defined as seeking the causes of the specific outcome in a single case (Gerring, 2006; in: Beach & Pedersen, 2013). Here the ambition is to craft a minimally sufficient explanation of a particular outcome, with sufficiency defined as an explanation that accounts for all of the important aspects of an outcome with no redundant parts being present (Mackie, 1965).

Explaining outcome process tracing is an iterative research strategy that aims to trace the complex conglomerate of systematic and case specific causal mechanisms that produced the outcome in question. The explanation cannot be detached from the particular case. Explaining outcome process tracing refers to case studies whose primary ambition is to explain particular historical outcomes, although the findings of the case can also speak to other potential cases of the phenomenon. Explaining outcome process tracing is an iterative research process in which 'theories' are tested to see whether they can provide a minimally sufficient explanation of the outcome. Minimal sufficiency is defined as an explanation that accounts for an outcome, with no redundant parts. In most explaining outcome studies, existing theorisation cannot provide a sufficient explanation, resulting in a second stage in which existing theories are re-conceptualised in light of the evidence gathered in the preceding empirical analysis. The conceptualisation phase in explaining outcome process tracing is therefore an iterative research process, with initial mechanisms re-conceptualised and tested until the result is a theorised mechanism that provides a minimally sufficient explanation of the particular outcome.

Below a description is provided of how SPOs are selected for process tracing, and a description is provided on how this process tracing is to be carried out. Note that this description of process tracing provides not only information on the extent to which the changes in organisational development can be attributed to MFS II (evaluation question 2), but also provides information on other contributing factors and actors (evaluation question 4). Furthermore, it must be noted that the evaluation team has developed an adapted form of 'explaining outcome process tracing', since the data collection and analysis was an iterative process of research so as to establish the most realistic explanation for a particular outcome/ organisational capacity change. Below selection of SPOs for process tracing as well as the different steps involved for process tracing in the selected SPOs, are further explained.

Selection of SPOs for 5C process tracing

Process tracing is a very intensive methodology that is very time and resource consuming (for development and analysis of one final detailed causal map, it takes about 1-2 weeks in total, for different members of the evaluation team). It has been agreed upon during the synthesis workshop on 17-18 June 2013 that only a selected number of SPOs will take part in this process tracing for the purpose of understanding the attribution question. The selection of SPOs is based on the following criteria:

- MFS II support to the SPO has not ended before 2014 (since this would leave us with too small a time difference between intervention and outcome);
- Focus is on the 1-2 capabilities that are targeted most by CFAs in a particular country;
- Both the SPO and the CFA are targeting the same capability, and preferably aim for similar outcomes;
- Maximum one SPO per CFA per country will be included in the process tracing.

The intention was to focus on about 30-50% of the SPOs involved. Please see the tables below for a selection of SPOs per country. Per country, a first table shows the extent to which a CFA targets the five capabilities, which is used to select the capabilities to focus on. A second table presents which SPO is selected, and takes into consideration the selection criteria as mentioned above.

ETHIOPIA

For Ethiopia the capabilities that are mostly targeted by CFAs are the capability to act and commit and the capability to adapt and self-renew. See also the table below.

Table 1

The extent to which the Dutch NGO explicitly targets the following capabilities – Ethiopia

Capability to:	AMREF	CARE	ECFA	FSCE	HOA-REC	HUNDEE	NVEA	OSRA	TTCA
Act and commit	5	4	5	5	5	3	4	4	3
Deliver on development objectives	2	1	1	1	2	1	1	2	1
Adapt and self-renew	4	2	3	4	2	5	3	3	3
Relate	3	1	2	2	3	2	1	3	1
Achieve coherence	2	2	1	1	1	1	1	1	1

Note: Number 1 stands for not targeted, 5 for intensively targeted. These scores are relative scores for the interventions by the CFA to strengthen the capacity of the SPO. The scores are relative to each other, a higher score means that this capability gets more attention by the CFA compared to other capabilities.

Source: country baseline report, Ethiopia.

Below you can see the table describing when the contract with the SPO is to be ended, and whether both SPO and the CFA expect to focus on these two selected capabilities (with MFS II funding). Based on the above-mentioned selection criteria the following SPOs are selected for process tracing: AMREF, ECFA, FSCE, HUNDEE. In fact, six SPOs would be suitable for process tracing. We just selected the first one per CFA following the criteria of not including more than one SPO per CFA for process tracing

Table 2

SPOs selected for process tracing – Ethiopia

Ethiopia – SPOs	End of contract	Focus on capability to act and commit– by SPO	Focus on capability to act and commit – by CFA	Focus on capability to adapt and self-renew – by SPO	Focus on capability to adapt and self-renew – by CFA	CFA	Selected for process tracing
AMREF	Dec 2015	Yes	Yes	Yes	Yes	AMREF NL	Yes
CARE	Dec 31, 2015	Partly	Yes	Yes	Yes – slightly	CARE Netherlands	No - not fully matching
ECFA	Jan 2015	Yes	Yes	Yes	Yes	Child Helpline International	Yes
FSCE	Dec 2015	Yes	Yes	Yes	Yes	Stichting Kinderpostzegels Netherlands (SKN); Note: no info from Defence for Children – ECPAT Netherlands	Yes
HOA-REC	Sustainable Energy project (ICCO Alliance): 2014 Innovative WASH (WASH Alliance): Dec 2015	Yes	Yes	Yes	Yes - slightly	ICCO	No - not fully matching
HUNDEE	Dec 2014	Yes	Yes	Yes	Yes	ICCO & IICD	Yes
NVEA	Dec 2015 (both)	Yes	Yes	Yes	Yes	Edukans Foundation (under two consortia); Stichting Kinderpostzegels Netherlands (SKN)	Suitable but SKN already involved for process tracing FSCE
OSRA	C4C Alliance project (farmers marketing): December 2014 ICCO Alliance project (zero grazing: 2014 (2nd phase)	Yes	Yes	Yes	Yes	ICCO & IICD	Suitable but ICCO & IICD already involved for process tracing - HUNDEE
TTCA	June 2015	Partly	Yes	No	Yes	Edukans Foundation	No - not fully matching

INDIA

For India the capability that is mostly targeted by CFAs is the capability to act and commit. The next one in line is the capability to adapt and self-renew. See also the table below in which a higher score means that the specific capability is more intensively targeted.

Table 3

The extent to which the Dutch NGO explicitly targets the following capabilities – India[9]

Capability to:	BVHA	COUNT	DRISTI	FFID	Jana Vikas	Samarthak Samiti	SMILE	SDS	VTRC
Act and commit	5	3	4	4	4	4	4	3	5
Deliver on development objectives	1	5	1	1	1	1	1	2	1
Adapt and self-renew	2	2	1	3	1	1	4	1	4
Relate	3	1	1	1	1	1	2	1	2
Achieve coherence	1	1	1	4	1	1	1	1	2

Note: Number 1 stands for not targeted, 5 for intensively targeted. These scores are relative scores for the interventions by the CFA to strengthen the capacity of the SPO. The scores are relative to each other, a higher score means that this capability gets more attention by the CFA compared to other capabilities.

Source: country baseline report, India.

Below you can see a table describing when the contract with the SPO is to be ended and whether SPO and the CFA both expect to focus on these two selected capabilities (with MFS II funding). Based on the above-mentioned selection criteria the following SPOs are selected for process tracing: BVHA, COUNT, FFID, SMILE and VTRC. Except for SMILE (capability to act and commit only), for the other SPOs the focus for process tracing can be on the capability to act and commit and on the capability to adapt and self-renew.

Table 4

SPOs selected for process tracing – India

India – SPOs	End of contract	Focus on capability to act and commit– by SPO	Focus on capability to act and commit – by CFA	Focus on capability to adapt and self-renew –by SPO	Focus on capability to adapt and self-renew – by CFA	CFA	Selected for process tracing
BVHA	2014	Yes	Yes	Yes	Yes	Simavi	Yes; both capabilities
COUNT	2015	Yes	Yes	Yes	Yes	Woord en Daad	Yes; both capabilities
DRISTI	31-03-2012	Yes	Yes	No	no	Hivos	No - closed in 2012
FFID	30-09-2014	Yes	Yes	Yes	Yes	ICCO	Yes

[9] RGVN, NEDSF and Women's Rights Forum (WRF) could not be reached timely during the baseline due to security reasons. WRF could not be reached at all. Therefore these SPOs are not included in Table 1.

India – SPOs	End of contract	Focus on capability to act and commit– by SPO	Focus on capability to act and commit – by CFA	Focus on capability to adapt and self-renew –by SPO	Focus on capability to adapt and self-renew – by CFA	CFA	Selected for process tracing
Jana Vikas	2013	Yes	Yes	Yes	No	Cordaid	No - contract is and the by now; not fully matching focus
NEDSF							No – delayed baseline
RGVN							No - delayed baseline
Samarthak Samiti (SDS)	2013 possibly longer	Yes	Yes	Yes	No	Hivos	No - not certain of end date and not fully matching focus
Shivi Development Society (SDS)	Dec 2013 intention 2014	Yes	Yes	Yes	No	Cordaid	No - not fully matching focus
Smile	2015	Yes	Yes	Yes	Yes	Wilde Ganzen	Yes; first capability only
VTRC	2015	Yes	Yes	Yes	Yes	Stichting Red een Kind	Yes; both capabilities

INDONESIA

For Indonesia the capabilities that are most frequently targeted by CFAs are the capability to act and commit and the capability to adapt and self-renew. See also the table below.

Table 5

The extent to which the Dutch NGO explicitly targets the following capabilities – Indonesia

Capability to:	ASB	Daya kologi	ECPAT	GSS	Lem baga Kita	Pt. PPMA	Rifka Annisa	WIIP	Yad upa	Yayasan Kelola	YPI	YRBI
Act and commit	4	4	4	5	4	4	5	3	3	2	5	4
Deliver on development objectives	1	1	1	2	2	1	2	1	1	1	1	1
Adapt and self-renew	3	1	2	4	2	3	4	4	1	1	4	3
Relate	1	1	2	3	3	2	1	2	2	2	3	2
Achieve coherence	1	1	1	2	1	1	2	2	1	1	2	1

Note: Number 1 stands for not targeted, 5 for intensively targeted. These scores are relative scores for the interventions by the CFA to strengthen the capacity of the SPO. The scores are relative to each other, a higher score means that this capability gets more attention by the CFA compared to other capabilities.

Source: country baseline report, Indonesia.

The table below describes when the contract with the SPO is to be ended and whether both SPO and the CFA expect to focus on these two selected capabilities (MFS II funding). Based on the above-mentioned selection criteria the following SPOs are selected for process tracing: ASB, ECPAT, Pt.PPMA, YPI, YRBI.

Table 6

SPOs selected for process tracing – Indonesia

Indonesia – SPOs	End of contract	Focus on capability to act and commit– by SPO	Focus on capability to act and commit – by CFA	Focus on capability to adapt and self-renew – by SPO	Focus on capability to adapt and self-renew – by CFA	CFA	Selected for process tracing
ASB	February 2012; extension Feb,1, 2013 – June,30, 2016	Yes	Yes	Yes	Yes	Hivos	Yes
Dayakologi	2013; no extension	Yes	Yes	Yes	No	Cordaid	No: contract ended early and not matching enough
ECPAT	August 2013; Extension Dec 2014	Yes	Yes	Yes, a bit	Yes	Free Press Unlimited - Mensen met een Missie	Yes
GSS	31 December 2012; no extension	Yes	Yes	Yes, a bit	Yes	Free Press Unlimited - Mensen met een Missie	No: contract ended early
Lembaga Kita	31 December 2012; no extension	Yes	Yes	No	Yes	Free Press Unlimited - Mensen met een Missie	No - contract ended early
Pt.PPMA	May 2015	Yes	Yes	No	Yes	IUCN	Yes, capability to act and commit only
Rifka Annisa	Dec, 31 2015	No	Yes	No	Yes	Rutgers WPF	No - no match between expectations CFA and SPO
WIIP	Dec 2015	Yes	Not MFS II	Yes	Not MFS II	Red Cross	No - Capacity development interventions are not MFS II financed. Only some overhead is MFS II

Indonesia – SPOs	End of contract	Focus on capability to act and commit– by SPO	Focus on capability to act and commit – by CFA	Focus on capability to adapt and self-renew – by SPO	Focus on capability to adapt and self-renew – by CFA	CFA	Selected for process tracing
Yayasan Kelola	Dec 30, 2013; extension of contract being processed for two years (2014-2015)	Yes	Not really	Yes	Not really	Hivos	No - no specific capacity development interventions planned by Hivos
YPI	Dec 31, 2015	Yes	Yes	Yes	Yes	Rutgers WPF	Yes
YRBI	Oct, 30, 2013; YRBI end of contract from 31st Oct 2013 to 31st Dec 2013. Contract extension proposal is being proposed to MFS II, no decision yet.	Yes	Yes	Yes	Yes	ICCO	Yes
Yadupa	Under negotiation during baseline; new contract 2013 until now	Yes	Nothing committed	Yes	Nothing committed	IUCN	No, since nothing was committed by CFA

LIBERIA

For Liberia the situation is arbitrary which capabilities are targeted most CFA's. Whilst the capability to act and commit is targeted more often than the other capabilities, this is only so for two of the SPOs. The capability to adapt and self-renew and the capability to relate are almost equally targeted for the five SPOs, be it not intensively. Since the capability to act and commit and the capability to adapt and self-renew are the most targeted capabilities in Ethiopia, India and Indonesia, we choose to focus on these two capabilities for Liberia as well. This would help the synthesis team in the further analysis of these capabilities related to process tracing. See also the table below.

Table 7

The extent to which the Dutch NGO explicitly targets the following capabilities – Liberia

Capability to:	BSC	DEN-L	NAWOCOL	REFOUND	RHRAP
Act and commit	5	1	1	1	3
Deliver on development objectives	3	1	1	1	1
Adapt and self-renew	2	2	2	2	2
Relate	1	2	2	2	2
Achieve coherence	1	1	1	1	1

Note: Number 1 stands for not targeted, 5 for intensively targeted. These scores are relative scores for the interventions by the CFA to strengthen the capacity of the SPO. The scores are relative to each other, a higher score means that this capability gets more attention by the CFA compared to other capabilities.

Source: country baseline report, Liberia.

Below you can see the table describing when the contract with the SPO is to be ended, and whether both SPO and the CFA expect to focus on these two selected capabilities (with MFS II funding). Also, for two of the five SPOs capability to act and commit is targeted more intensively compared to the other capabilities. Based on the above-mentioned selection criteria the following SPOs are selected for process tracing: BSC and RHRAP.

Table 8

SPOs selected for process tracing – Liberia

Liberia – SPOs	End of contract	Focus on capability to act and commit– by SPO	Focus on capability to act and commit – by CFA	Focus on capability to adapt and self-renew –by SPO	Focus on capability to adapt and self-renew – by CFA	CFA	Selected for process tracing
BSC	Dec 31, 2015	Yes	Yes	Yes	Yes	SPARK	Yes
DEN-L	2014	No	No	Unknown	A little	ICCO	No – not matching enough
NAWOCOL	2014	Yes	No	No	A little	ICCO	No – not matching enough
REFOUND	At least until 2013 (2015?)	Yes	No	Yes	A little	ICCO	No – not matching enough
RHRAP	At least until 2013 (2014?)	Yes	Yes	Yes	Yes	ICCO	Yes

Key steps in process tracing for the 5C study

In the box below you will find the key steps developed for the 5C process tracing methodology. These steps will be further explained here. Only key staff of the SPO is involved in this process: management; programme/ project staff; and monitoring and evaluation staff, and other staff that could provide information relevant to the identified outcome area/key organisational capacity change. Those SPOs selected for process tracing had a separate endline workshop, in addition to the ' general endline workshop. This workshop was carried out after the initial endline workshop and the interviews during the field visit to the SPO. Where possible, the general and process tracing endline workshop have been held consecutively, but where possible these workshops were held at different points in time, due to the complex design of the process. Below the detailed steps for the purpose of process tracing are further explained.

Key steps in process tracing for the 5C study

1. Identify the planned MFS II supported capacity development interventions within the selected capabilities (capability to act and commit and capability to adapt and self-renew) – CDI team
2. Identify the implemented MFS II supported capacity development interventions within the selected capabilities (capability to act and commit and capability to adapt and self-renew) – CDI team
3. Identify initial changes/ outcome areas in these two capabilities – CDI team & in-country team
4. Construct the detailed, initial causal map (theoretical model of change) – CDI team & in-country team
5. Identify types of evidence needed to verify or discard different causal relationships in the model of change – in-country teams, with support from CDI team
6. Collect data to verify or discard causal mechanisms and construct workshop based, detailed causal map (model of change) – in-country team
7. Assess the quality of data and analyse data and develop final detailed causal map (model of change) – in-country team with CDI team
8. Analyse and conclude on findings– CDI team, in collaboration with in-country team

Some definitions of the terminology used for this MFS II 5c evaluation

Based upon the different interpretations and connotations the use of the term causal mechanism we use the following terminology for the remainder of this paper:

A **detailed causal map** (or **model of change)** = the representation of all possible explanations – causal pathways for a change/ outcome. These pathways are that of the intervention, rival pathways and pathways that combine parts of the intervention pathway with that of others. This also depicts the reciprocity of various events influencing each other and impacting the overall change.

A **causal mechanism** = is the combination of parts that ultimately explains an outcome. Each part of the mechanism is an individually insufficient but necessary factor in a whole mechanism, which together produce the outcome (Beach and Pedersen, 2013, p. 176).

Part or **cause** = one actor with its attributes carrying out activities/ producing outputs that lead to change in other parts. The final part or cause is the change/ outcome.

Attributes of the actor = specificities of the actor that increase his chance to introduce change or not such as its position in its institutional environment.

*Step 1. Identify the **planned MFS II supported capacity development interventions** within the selected capabilities (capability to act and commit and capability to adapt and self-renew) – CDI team*

Chapter 4.1 and 4.2 in the baseline report were reviewed. Capacity development interventions as planned by the CFA for the capability to act and commit and for the capability to adapt and self-renew were described and details inserted in the summary format. This provided an overview of the capacity development activities that were originally planned by the CFA for these two capabilities and assisted in focusing on relevant outcomes that are possibly related to the planned interventions.

*Step 2. Identify the **implemented capacity development interventions** within the selected capabilities (capability to act and commit and capability to adapt and self-renew) – CDI team*

The input from the CFA was reviewed in terms of what capacity development interventions have taken place in the MFS II period. This information was be found in the 'Support to capacity development sheet - endline - CFA perspective' for the SPO, based on details provided by the CFA and further discussed during an interview by the CDI team.

The CFA was asked to describe all the MFS II supported capacity development interventions of the SPO that took place during the period 2011 up to now. The CDI team reviewed this information, not only the interventions but also the observed changes as well as the expected long-term changes, and

then linked these interventions to relevant outcomes in one of the capabilities (capability to act and commit; and capability to adapt and self-renew).

*Step 3. Identify **initial changes/ outcome areas** in these two capabilities – by CDI team & in-country team*

The CDI team was responsible for coding documents received from SPO and CFA in NVivo on the following:

- 5C Indicators: this was to identify the changes that took place between baseline and endline. This information was coded in Nvivo.
- Information related to the capacity development interventions implemented by the CFA (with MFS II funding) (see also Step 2) to strengthen the capacity of the SPO. For example, the training on financial management of the SPO staff could be related to any information on financial management of the SPO. This information was coded in Nvivo.

In addition, the response by the CFA to the changes in 5C indicators format, was auto-coded.

The in-country team was responsible for timely collection of information from the SPO (before the fieldwork starts). This set of information dealt with:

- MFS II supported capacity development interventions during the MFS II period (2011 until now).
- Overview of all trainings provided in relation to a particular outcome areas/organisational capacity change since the baseline.
- For each of the identified MFS II supported trainings, training questionnaires have been developed to assess these trainings in terms of the participants, interests, knowledge and skills gained, behaviour change and changes in the organisation (based on Kirkpatrick's model), one format for training participants and one for their managers. These training questionnaires were sent prior to the field visit.
- Changes expected by SPO on a long-term basis ('Support to capacity development sheet - endline - SPO perspective').

For the selection of change/ outcome areas the following criteria were important:

- The change/ outcome area is in one of the two capabilities selected for process tracing: capability to act and commit or the capability to adapt and self-renew. This was the first criteria to select upon.
- There was a likely link between the key organisational capacity change/ outcome area and the MFS II supported capacity development interventions. This also was an important criteria. This would need to be demonstrated through one or more of the following situations:
  - In the 2012 theory of change on organisational capacity development of the SPO a link was indicated between the outcome area and MFS II support;
  - During the baseline the CFA indicated a link between the planned MFS II support to organisational development and the expected short-term or long-term results in one of the selected capabilities;
  - During the endline the CFA indicated a link between the implemented MFS II capacity development interventions and observed short-term changes and expected long-term changes in the organisational capacity of the SPO in one of the selected capabilities;
  - During the endline the SPO indicated a link between the implemented MFS II capacity development interventions and observed short-term changes and expected long-term changes in the organisational capacity of the SPO in one of the selected capabilities.

Reviewing the information obtained as described in Step 1, 2, and 3 provided the basis for selecting key organisational capacity change/ outcome areas to focus on for process tracing. These areas were to be formulated as broader outcome areas, such as 'improved financial management', 'improved monitoring and evaluation' or 'improved staff competencies'.

Note: the outcome areas were to be formulated as intermediates changes. For example: an improved monitoring and evaluation system, or enhanced knowledge and skills to educate the target group on

climate change. Key outcome areas were also verified - based on document review as well as discussions with the SPO during the endline.

*Step 4. Construct the **detailed, initial causal map** (theoretical model of change) – CDI & in-country team*

A detailed initial causal map was developed by the CDI team, in collaboration with the in-country team. This was based on document review, including information provided by the CFA and SPO on MFS II supported capacity development interventions and their immediate and long-term objectives as well as observed changes. Also, the training questionnaires were reviewed before developing the initial causal map. This detailed initial causal map was to be provided by the CDI team with a visual and related narrative with related references. This initial causal map served as a reference point for further reflection with the SPO during the process tracing endline workshop, where relationships needed to be verified or new relationships established so that the second (workshop-based), detailed causal map could be developed, after which further verification was needed to come up with the final, concluding detailed causal map.

It's important to note that organisational change area/ outcome areas could be both positive and negative.

For each of the selected outcomes the team needed to make explicit the theoretical model of change. This meant finding out about the range of different actors, factors, actions, and events etc. that have contributed to a particular outcome in terms of organisational capacity of the SPO.

A model of change of good quality includes:

- The causal pathways that relate the intervention to the realised change/ outcome;
- Rival explanations for the same change/ outcome;
- Assumptions that clarify relations between different components or parts;
- Case specific and/or context specific factors or risks that might influence the causal pathway, such as for instance the socio-cultural-economic context, or a natural disaster;
- Specific attributes of the actors e.g. CFA and other funders.

A model of change (within the 5C study called a 'detailed causal map') is a complex system which produces intermediate and long-term outcomes by the interaction of other parts. It consists of parts or causes that often consist of one actor with its attributes that is implementing activities leading to change in other parts (Beach & Pedersen, 2013). A helpful way of constructing the model of change is to think in terms of actors carrying out activities that lead to other actors changing their behaviour. The model of change can be explained as a range of activities carried out by different *actors* (including the CFA and SPO under evaluation) that will ultimately lead to an outcome. Besides this, there are also '*structural*' elements, which are to be interpreted as external factors (such as economic conjuncture); and *attributes* of the actor (does the actor have the legitimacy to ask for change or not, what is its position in the sector) that should be looked at (Beach & Pedersen, 2013). In fact Beach and Pedersen, make a fine point about the subjectivity of the actor in a dynamic context. This means, in qualitative methodologies, capturing the changes in the actor, acted upon area or person/organisation, in a non sequential and non temporal format. Things which were done recently could have corrected behavioural outcomes of an organisation and at the same ime there could be processes which incrementally pushed for the same change over a period of time. Beach and Pedersen espouse this methodology because it captures change in a dynamic fashion as against the methodology of logical framework. For the MFS II evaluation it was important to make a distinction between those paths in the model of change that are the result of MFS II and rival pathways.
The construction of the model of change started with the identified key organisational capacity change/ outcome, followed by an inventory of all possible subcomponents that possibly have caused the change/ outcome in the MFS II period (2011-up to now, or since the baseline). The figure below presents an imaginary example of a model of change. The different colours indicate the different types of support to capacity development of the SPO by different actors, thereby indicating different pathways of change, leading to the key changes/ outcomes in terms of capacity development (which in this case indicates the ability to adapt and self-renew).

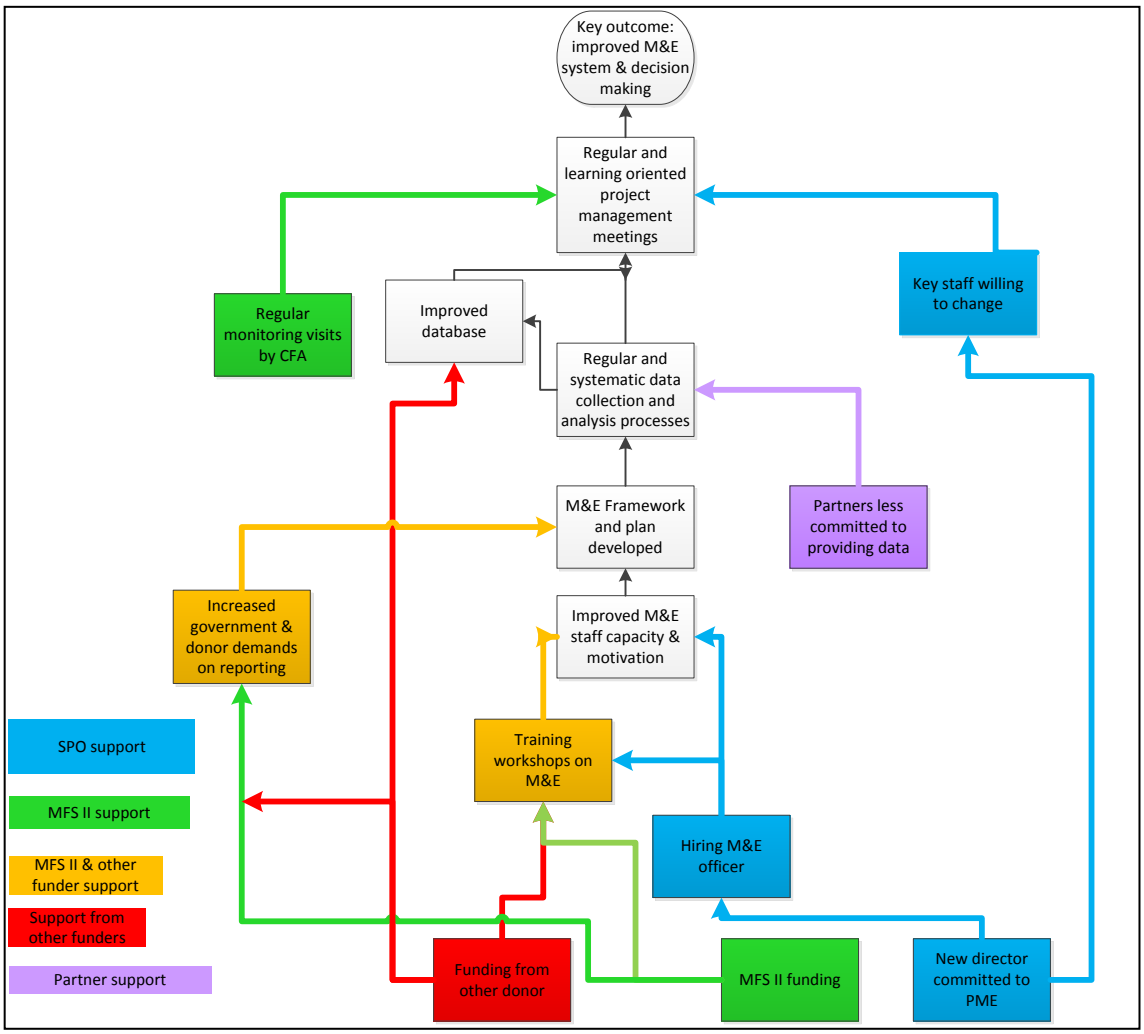


Figure 1 *An imaginary example of a model of change*

Step 5. Identify ***types of evidence*** *needed to verify or discard different causal relationships in the model of change – in-country teams with support from CDI team*

Once the causal mechanism at theoretical level were defined, empirical evidence was collected so as to verify or discard the different parts of this theoretical model of change, confirm or reject whether subcomponents have taken place, and to find evidence that confirm or reject the causal relations between the subcomponents.

A key question that we needed to ask ourselves was, *"What information do we need in order to confirm or reject that one subcomponent leads to another, that X causes Y?"*. The evaluation team needed to agree on what information was needed that provides empirical manifestations for each part of the model of change.

There are four distinguishable types of evidence that are relevant in process tracing analysis: *pattern, sequence, trace, and account*. Please see the box below for descriptions of these types of evidence.

The evaluation team needed to agree on the types of evidence that was needed to verify or discard the manifestation of a particular part of the causal mechanism. Each one or a combination of these different types of evidence could be used to confirm or reject the different parts of the model of change. This is what is meant by robustness of evidence gathering. Since causality as a concept can bend in many ways, our methodology, provides a near scientific model for accepting and rejecting a particular type of evidence, ignoring its face value.

Types of evidence to be used in process tracing

Pattern evidence relates to predictions of statistical patterns in the evidence. For example, in testing a mechanism of racial discrimination in a case dealing with employment, statistical patterns of employment would be relevant for testing this part of the mechanism.

Sequence evidence deals with the temporal and spatial chronology of events predicted by a hypothesised causal mechanism. For example, a test of the hypothesis could involve expectations of the timing of events where we might predict that if the hypothesis is valid, we should see that the event B took place after event A took place. However, if we found that event B took place before event A took place, the test would suggest that our confidence in the validity of this part of the mechanism should be reduced (disconfirmation/ falsification).

Trace evidence is evidence whose mere existence provides proof that a part of a hypothesised mechanism exists. For example, the existence of the minutes of a meeting, if authentic ones, provide strong proof that the meeting took place.

Account evidence deals with the content of empirical material, such as meeting minutes that detail what was discussed or an oral account of what took place in the meeting.

Source: Beach and Pedersen, 2013

Below you can find a table that provides guidelines on what to look for when identifying types of evidence that can confirm or reject causal relationships between different parts/ subcomponents of the model of change. It also provides one example of a part of a causal pathway and what type of information to look for.

Table 9

Format for identifying types of evidence for different causal relationships in the model of change (example included)

Part of the model of change	Key questions	Type of evidence needed	Source of information
Describe relationship between the subcomponents of the model of change	Describe questions you would like to answer a so as to find out whether the components in the relationship took place, when they took place, who was involved, and whether they are related	Describe the information that we need in order to answer these questions. Which type of evidence can we use in order to reject or confirm that subcomponent X causes subcomponent Y? Can we find this information by means of : Pattern evidence; Sequence evidence; Trace evidence; Account evidence?	Describe where you can find this information
Example: Training workshops on M&E provided by MFS II funding and other sources of funding	Example: What type of training workshops on M&E took place? Who was trained? When did the training take place? Who funded the training? Was the funding of training provided before the training took place? How much money was available for the training?	Example: Trace evidence: on types of training delivered, who was trained, when the training took place, budget for the training Sequence evidence on timing of funding and timing of training Content evidence: what the training was about	Example: Training report SPO Progress reports interviews with the CFA and SPO staff Financial reports SPO and CFA

Please note that for practical reasons, the 5C evaluation team decided that it was easier to integrate the specific questions in the narrative of the initial causal map. These questions would need to be

addressed by the in country team during the process tracing workshop so as to discover, verify or discard particular causal mechanisms in the detailed, initial causal map. Different types of evidence was asked for in these questions.

Step 6. ***Collect data*** *to verify or discard causal mechanisms and develop workshop-based, detailed causal map – in-country team*

Once it was decided by the in-country and CDI evaluation teams what information was to be collected during the interaction with the SPO, data collection took place. The initial causal maps served as a basis for discussions during the endline workshop with a particular focus on process tracing for the identified organisational capacity changes. But it was considered to be very important to understand from the perspective of the SPO how they understood the identified key organisational capacity change/outcome area has come about. A new detailed, workshop-based causal map was developed that included the information provided by SPO staff as well as based on initial document review as described in the initial detailed causal map. This information was further analysed and verified with other relevant information so as to develop a final causal map, which is described in the next step.

Step 7. ***Assess the quality*** *of data and* ***analyse data****, and develop the* ***final detailed causal map*** *(model of change) – in-country team and CDI team*

Quality assurance of the data collected and the evidence it provides for rejecting or confirming parts of causal explanations are a major concern for many authors specialised in contribution analysis and process-tracing. Stern et al. (2012), Beach and Pedersen (2013), Lemire, Nielsen and Dybdal (2012), Mayne (2012) and Delahais and Toulemonde (2012) all emphasise the need to make attribution/ contribution claims that are based on pieces of evidence that are rigorous, traceable, and credible. These pieces of evidence should be as explicit as possible in proving that *subcomponent X causes subcomponent Y* and ruling out other explanations. Several tools are proposed to check the nature and the quality of data needed. One option is, Delahais and Toulemonde's Evidence Analysis Database, which we have adapted for our purpose.

Delahais and Toulemonde (2012) propose an Evidence Analysis Database that takes into consideration three criteria:

Confirming/ rejecting a causal relation (yes/no);
Type of causal mechanism: intended contribution/ other contribution/ condition leading to intended contribution/ intended condition to other contribution/ feedback loop;
Strength of evidence: strong/ rather strong/ rather weak/ weak.

We have adapted their criteria to our purpose. The in-country team, in collaboration with the CDI team, used the criteria in assessing whether causal relationships in the causal map, were strong enough. This has been more of an iterative process trying to find additional evidence for the established relationships through additional document review or contacting the CFA and SPO as well as getting their feedback on the final detailed causal map that was established. Whilst the form below has not been used exactly in the manner depicted, it has been used indirectly when trying to validate the information in the detailed causal map. After that, the final detailed causal map is established both as a visual as well as a narrative, with related references for the established causal relations.

Example format for the adapted evidence analysis database (example included) **Description of causal relation**	**Confirming/ rejecting a causal relation (yes/no)**	**Type of information providing the background to the confirmation or rejection of the causal relation**	**Strength of evidence: strong/ rather strong/ rather weak/ weak**	**Explanation for why the evidence is (rather) strong or (rather) weak, and therefore the causal relation is confirmed/ rejected**
e.g. Training staff in M&E leads to enhanced M&E knowledge, skills and practice	e.g. Confirmed	e.g. Training reports confirmed that staff are trained in M&E and that knowledge and skills increased as a result of the training		

Step 8. ***Analyse and conclude*** *on findings– in-country team and CDI team*

The final detailed causal map was described as a visual and narrative and this was then analysed in terms of the evaluation question two and evaluation question four: *"To what degree are the changes identified in partner capacity attributable to development interventions undertaken by the MFS II consortia (i.e. measuring effectiveness)?"* and *"What factors explain the findings drawn from the questions above?"* It was analysed to what extent the identified key organisational capacity change can be attributed to MFS II supported capacity development interventions as well as to other related factors, interventions and actors.

4. Explaining factors – evaluation question 4

This paragraph describes the data collection and analysis methodology for answering the fourth evaluation question: **"What factors explain the findings drawn from the questions above?"**

In order to explain the changes in organisational capacity development between baseline and endline (evaluation question 1) the CDI and in-country evaluation teams needed to review the indicators and how they have changed between baseline and endline and what reasons have been provided for this. This has been explained in the first section of this appendix. It has been difficult to find detailed explanations for changes in each of the separate 5c indicators, but the 'general causal map' has provided some ideas about some of the key underlying factors actors and interventions that influence the key organisational capacity changes, as perceived by the SPO staff.

For those SPOs that are selected for process tracing (evaluation question 2), more in-depth information was procured for the identified key organisational capacity changes and how MFS II supported capacity development interventions as well as other actors, factors and interventions have influenced these changes. This is integrated in the process of process tracing as described in the section above.

5. Methodological reflection

Below a few methodological reflections are made by the 5C evaluation team.

Use of the 5 core capabilities framework and qualitative approach: this has proven to a be very useful framework to assess organisational capacity. The five core capabilities provide a comprehensive picture of the capacity of an organisation. The capabilities are interlinked, which was also reflected in

the description of standard indicators, that have been developed for the purpose of this 5C evaluation and agreed upon for the eight countries. Using this framework with a mainly qualitative approach has provided rich information for the SPOs and CFAs, and many have indicated this was a useful learning exercise.

Using standard indicators and scores: using standard indicators is useful for comparison purposes. However, the information provided per indicator is very specific to the SPO and therefore makes comparison difficult. Whilst the description of indicators has been useful for the SPO and CFA, it is questionable to what extent indicators can be compared across SPOs since they need to be seen in context, for them to make meaning. In relation to this, one can say that scores that are provided for the indicators, are only relative and cannot show the richness of information as provided in the indicator description. Furthermore, it must be noted that organisations are continuously changing and scores are just a snapshot in time. There cannot be perfect score for this. In hindsight, having rubrics would have been more useful than scores.

General causal map: whilst this general causal map, which is based on key organisational capacity changes and related causes, as perceived by the SPO staff present at the endline workshop, has not been validated with other sources of information except SPO feedback, the 5C evaluation team considers this information important, since it provides the SPO story about how and which changes in the organisation since the baseline, are perceived as being important, and how these changes have come about. This will provide information additional to the information that has been validated when analysing and describing the indicators as well as the information provided through process tracing (selected SPOs). This has proven to be a learning experience for many SPOs.

Using process tracing for dealing with the attribution question: this theory-based and mainly qualitative approach has been chosen to deal with the attribution question, on how the organisational capacity changes in the organisations have come about and what the relationship is with MFS II supported capacity development interventions and other factors. This has proven to be a very useful process, that provided a lot of very rich information. Many SPOs and CFAs have already indicated that they appreciated the richness of information which provided a story about how identified organisational capacity changes have come about. Whilst this process was intensive for SPOs during the process tracing workshops, many appreciated this to be a learning process that provided useful information on how the organisation can further develop itself. For the evaluation team, this has also been an intensive and time-consuming process, but since it provided rich information in a learning process, the effort was worth it, if SPOs and CFAs find this process and findings useful.

A few remarks need to be made:

- Outcome explaining process tracing is used for this purpose, but has been adapted to the situation since the issues being looked at were very complex in nature.
- Difficulty of verifying each and every single change and causal relationship:
- Intensity of the process and problems with recall: often the process tracing workshop was done straight after the general endline workshop that has been done for all the SPOs.In some cases, the process tracing endline workshop has been done at a different point in time, which was better for staff involved in this process, since process tracing asks people to think back about changes and how these changes have come about. The word difficulties with recalling some of these changes and how they have come about. See also the next paragraph.
- Difficulty of assessing changes in knowledge and behaviour: training questionnaire is have been developed, based on Kirkpatrick's model and were specifically tailored to identify not only the interest but also the change in knowledge and skills, behaviour as well as organisational changes as a result of a particular training. The retention ability of individuals, irrespective of their position in the organisation, is often unstable. The 5C evaluation team experienced that it was difficult for people to recall specific trainings, and what they learned from those trainings. Often a change in knowledge, skills and behaviour is a result brought about by a combination of different factors , rather than being traceable to one particular event. The detailed causal maps that have been established, also clearly pointed this. There are many factors at play that make people change their behaviour, and this is not just dependent on training but also internal/personal (motivational) factors as well as factors within the organisation, that stimulate or hinder a person to change behaviour. Understanding how behaviour change works is important when trying to really understand the extent to which behaviour has changed as a

result of different factors, actors and interventions. Organisations change because people change and therefore understanding when and how these individuals change behaviour is crucial. Also attrition and change in key organisational positions can contribute considerably to the outcome.

Utilisation of the evaluation

The 5C evaluation team considers it important to also discuss issues around utility of this evaluation. We want to mention just a few.

Design – mainly externally driven and with a focus on accountability and standard indicators and approaches within a limited time frame, and limited budget: this MFS II evaluation is originally based on a design that has been decided by IOB (the independent evaluation office of the Dutch Ministry of Foreign Affairs) and to some extent MFS II organisations. The evaluators have had no influence on the overall design and sampling for the 5C study. In terms of learning, one may question whether the most useful cases have been selected in this sampling process. The focus was very much on a rigorous evaluation carried out by an independent evaluation team. Indicators had to be streamlined across countries. The 5C team was requested to collaborate with the other 5C country teams (Bangladesh, Congo, Pakistan, Uganda) to streamline the methodological approach across the eight sampled countries. Whilst this may have its purpose in terms of synthesising results, the 5C evaluation team has also experienced the difficulty of tailoring the approach to the specific SPOs. The overall evaluation has been mainly accountability driven and was less focused on enhancing learning for improvement. Furthermore, the timeframe has been very small to compare baseline information (2012) with endline information (2014). Changes in organisational capacity may take a long, particularly if they are related to behaviour change. Furthermore, there has been limited budget to carry out the 5C evaluation. For all the four countries (Ethiopia, India, Indonesia, Liberia) that the Centre for Development Innovation, Wageningen University and Research centre has been involved in, the budget has been overspent.

However, the 5C evaluation team has designed an endline process whereby engagement of staff, e.g. in a workshop process was considered important, not only due to the need to collect data, but also to generate learning in the organisation. Furthermore, having general causal maps and detailed causal maps generated by process tracing have provided rich information that many SPOs and CFAs have already appreciated as useful in terms of the findings as well as a learning process.

Another issue that must be mentioned is that additional requests have been added to the country teams during the process of implementation: developing a country based synthesis; questions on design, implementation, and reaching objectives of MFS II funded capacity development interventions, whilst these questions were not in line with the core evaluation questions for the 5C evaluation.

Complexity and inadequate coordination and communication: many actors, both in the Netherlands, as well as in the eight selected countries, have been involved in this evaluation and their roles and responsibilities, were often unclear. For example, 19 MFS II consortia, the internal reference group, the Ministry of Foreign Affairs, Partos, the Joint Evaluation Trust, NWO-Wotro, the evaluators (Netherlands and in-country), 2 external advisory committees, and the steering committee. Not to mention the SPO's and their related partners and consultants. CDI was involved in 4 countries with a total number of 38 SPOs and related CFAs. This complexity influenced communication and coordination, as well as the extent to which learning could take place. Furthermore, there was a distance between the evaluators and the CFAs, since the approach had to be synchronised across countries, and had to adhere to strict guidelines, which were mainly externally formulated and could not be negotiated or discussed for the purpose of tailoring and learning. Feedback on the final results and report had to be provided mainly in written form. In order to enhance utilisation, a final workshop at the SPO to discuss the findings and think through the use with more people than probably the one who reads the report, would have more impact on organisational learning and development. Furthermore, feedback with the CFAs has also not been institutionalised in the evaluation process in the form of learning events. And as mentioned above, the complexity of the evaluation with many actors involved did not enhance learning and thus utilization.

5C Endline process, and in particular thoroughness of process tracing often appreciated as learning process: The SPO perspective has also brought to light a new experience and technique of self-assessment and self-corrective measures for managers. Most SPOs whether part of process tracing or not, deeply appreciated the thoroughness of the methodology and its ability to capture details with robust connectivity. This is a matter of satisfaction and learning for both evaluators and SPOs. Having a process whereby SPO staff were very much engaged in the process of self-assessment and reflection has proven for many to be a learning experience for many, and therefore have enhanced utility of the 5C evaluation.

Appendix 2 Background information on the five core capabilities framework

The 5 capabilities (5C) framework was to be used as a framework for the evaluation of capacity development of Southern Partner Organisations (SPOs) of the MFS II consortia. The 5C framework is based on a five-year research program on 'Capacity, change and performance' that was carried out by the European Centre for Development Policy Management (ECDPM). The research included an extensive review of the literature and sixteen case studies. The 5C framework has also been applied in an IOB evaluation using 26 case studies in 14 countries, and in the baseline carried out per organisation by the MFS II organisations for the purpose of the monitoring protocol.

The 5C framework is structured to understand and analyse (changes in) the capacity of an organization to deliver (social) value to its constituents. This introduction briefly describes the 5C framework, mainly based on the most recent document on the 5C framework (Keijzer et al., 2011).

The 5C framework sees capacity as an **outcome** of an **open system**. An organisation or collaborative association (for instance a network) is seen as a system interacting with wider society. The most critical practical issue is to ensure that relevant stakeholders share a common way of thinking about capacity and its core constituents or capabilities. Decisive for an organisation's capacity is the context in which the organisation operates. This means that **understanding context issues** is crucial. The use of the 5C framework requires a multi-stakeholder approach because shared values and results orientation are important to facilitate the capacity development process. The 5C framework therefore needs to **accommodate the different visions** of stakeholders and conceive different strategies for raising capacity and improving performance in a given situation.

The 5C framework defines capacity as '**producing social value'** and identifies five core capabilities that together result in that overall capacity. Capacity, capabilities and competences are seen as follows:

Capacity is referred to as the overall ability of an organisation or system to create value for others;

Capabilities are the collective ability of a group or a system to do something either inside or outside the system. The collective ability involved may be technical, logistical, managerial or generative (i.e. the ability to earn legitimacy, to adapt, to create meaning, etc.);

Competencies are the energies, skills and abilities of individuals.

Fundamental to developing capacity are inputs such as human, material and financial resources, technology, and information. To the degree that they are developed and successfully integrated, capabilities contribute to the overall capacity or ability of an organisation or system to create value for others. A single capability is not sufficient to create capacity. All are needed and are strongly interrelated and overlapping. Thus, to achieve its development goals, the 5C framework says that every organisation or system must have **five basic capabilities:**

- The capability to act and commit;
- The capability to deliver on development objectives;
- The capability to adapt and self-renew;
- The capability to relate (to external stakeholders);
- The capability to achieve coherence.

In order to have a common framework for evaluation, the five capabilities have been reformulated in outcome domains and for each outcome domain performance indicators have been developed.

There is some overlap between the five core capabilities but together the five capabilities result in a certain level of capacity. Influencing one capability may have an effect on one or more of the other

capabilities. In each situation, the level of any of the five capabilities will vary. Each capability can become stronger or weaker over time.

Appendix 3 Changes in organisational capacity of the SPO - 5C indicators

Below you will find a description for each of the indicators under each of the capabilities, what the situation is as assessed during the endline, how this has changed since the baseline and what are the reasons for change.

Capability to act and commit

Level of Effective Leadership

1.1.Responsive leadership: 'Leadership is responsive, inspiring, and sensitive'

This is about leadership within the organisation (operational, strategic). If there is a larger body then you may also want to refer to leadership at a higher level but not located at the local organisation.

The current leader has now been leading the organization for four years and as the years passed the staff has become more free to express their opinions. The leader is open to the opinions and suggestions related to the projects whenever that is needed. He can give guidance and provide necessary support whenever asked for. Staff can express their views regarding the programme's activities and aspirations to the leader during staff meetings or stop by and discuss this with him personally. Opinions of staff are considered when the leadership makes decisions. Management level decisions are openly shared and communicated with staff. The present leader is responsive, efficient, vocal and genuine in expressing his vision. He also has concern for NEDSSS's partners and his wider vision ensures that partners are made aware of changes in the external environment, e.g. with regard to changes in the law. The leader gives freedom to project staff to plan and decide on project implementation as long as staff take into account the project's proposal and budget. During the endline process, the in evaluation team observed that the endline workshop was carried out in a democratic and participatory way. The director gave space to the staff to express their views. The present Governing Body members have many years of experience in the field of development. Their interaction with the leader keeps him up to date and creative. As the organisation is a coordinating body for 15 partners, they always have to be a step ahead. They do this by constant capacity building of the organisation.

Score baseline: 2.5

Score endline: 3 (slight improvement)

1.2.Strategic guidance: 'Leaders provide appropriate strategic guidance (strategic leader and operational leader)'

This is about the extent to which the leader(s) provide strategic directions

During the baseline in May 2013, the leader was still new and partners were still in the process of settling down to his style of functioning. Now, the leader provides strategic guidance to both NEDSSS staff as well as its 15 partner organisations. There is an increased focus on developing the capacities of the partner organisations by organising workshops on legal and financial documentation and sharing of knowledge related to the FCRA and Indian tax laws. The leader has worked in the development sector for more than 14 years and has pastoral, administrative and teaching experience. He is known among the people of the region as well as the leaders of the partner organisations and other institutions. While during the baseline there were ideas of developing a second line of leaders, now the positions chief programme coordinator and programme coordinator have been introduced to

strengthen this second line leadership. Furthermore, there is an institutional culture of following written documents and customary practices. For example the experienced Governing Board provides guidance to the director through increased interaction in meetings with the Governing Board and General Body. General Body Meetings are regular and proper minutes are being taken. There are discussions on which projects to undertake and on utilisation of resources among the leader and the staff. Staff are actively involved in the planning process of new interventions and undertakings. Leadership is receiving positive responses on his functioning from the partner organisations.

Score baseline: 2.0

Score endline: 2.5 (slight improvement)

1.3.Staff turnover: 'Staff turnover is relatively low'

This is about staff turnover.

During the baseline in 2013 staff turnover was high.

Now NEDSSS has less staff working permanently at the organisations. In 2013 they have started working with social work trainees as interns and they continue to work with project related staff that are only hired for the project. No staff has left the organisation since the baseline in May 2013. Having worked at NEDSSS, staff are valued better when they apply for a job elsewhere. Staff that stay with the organisation do so because their work is related to their qualification in social work and this gives them job satisfaction. The salary is rather decent and staff benefits have been introduced. Staff are now rewarded for their extra hours and input when they provide extra services to partners or other organisations. The Staff Welfare fund has increased in July 2014; staff is now contributing 540 INR a month (first 200 INR) and the organisation contributes 540 INR (200 INR before). Health insurance for staff has been introduced in 2013.

Score baseline: 2.0

Score endline: 3.0 (improvement)

Level of realistic strategic planning

1.4.Organisational structure: 'Existence of clear organisational structure reflecting the objectives of the organisation'

Observable indicator: Staff have copy of org structure and understand this

The organisation still has a well-defined and documented organogram in the HR policy. All the staff members are aware of the organisational structure. The Executive Director reports to a Governing Board and General Body. He is assisted by an Assistant Director who in turn is supported by a Programme Coordinator.

Score baseline: 4.0

Score endline: 4.0 (no change)

1.5.Articulated strategies: 'Strategies are articulated and based on good situation analysis and adequate M&E'

Observable indicator: strategies are well articulated. Situation analysis and monitoring and evaluation are used to inform strategies.

NEDSSS continues to base its strategies on its M&E findings (in case of the Capacity Building Project) and good situational analysis and learnings from previous experience (in case of the Peace Initiative project). In the Capacity Building of DSSS Phase III project, NEDSSS articulated its strategies based on the final evaluation of the second phase of the same project. The third phase of this project has ended in September 2012 and a new phase was started in October 2012. They continue to work on the capacity building needs that were identified for all the dioceses: common training for all DSSS (on e.g. system and policy development), customised trainings for individual dioceses (on e.g. team

building) and trainings based on the needs of sub-regions (based on location, issues or language). One of the other large projects that NEDSSS is working on is the Peace Initiative project. Based on the successes and learning of their past project "Research Study on Traditional Conflict Management Practices of three tribes of the North East", NEDSSS with its partner organisations has proposed the project "Peace Initiative in North East India." This project builds upon the first project and is reaching out to new areas and people. The main strategies of this project are: increase resilience of communities through greater understanding and interaction of co-inhabiting tribes and strengthened knowledge of rights and entitlements; sensitization, capacity and skill building to let communities develop and engage in peace building process and partners and other peace enablers like peace activist, professionals and media will improve their emergency understanding, skills and practices.

NEDSSS is now framing its strategies to tap into the Government and corporate sector resources and towards sustainability. The Revised Strategic Plan Document of 2009 has not been revised since 2009.

Score baseline: 3.0

Score endline: 3.0 (no change)

Level of translation of strategy into operations

1.6.Daily operations: 'Day-to-day operations are in line with strategic plans'

This is about the extent to which day-to-day operations are aligned with strategic plans.

The day to day operations continue to be in line with strategic plans. There is proper delegation of responsibilities to the concerned staff and they are exactly aware of their roles. The activities are planned on a yearly, half yearly, quarterly and monthly basis, based on project plans and their budget allocations. Regarding the strategic plan of the organization (last reviewed in 2009) this has to be revised as early as possible so that the organization can go along with the changing trends and needs of the regions.

Score baseline: 4.0

Score endline: 4.0 (no change)

Level of Staff Capacity and Motivation

1.7.Staff skills: 'Staff have necessary skills to do their work'

This is about whether staff have the skills necessary to do their work and what skills they might they need.

There has been a slight improvement in this indicator. In general, staff have the necessary skills to do their work. Some of the gaps that were identified in the baseline evaluation have been addressed. The leader has ample pastoral, administrative and teaching experience and has been working in the development sector for more than 14 years. Staff has received training on gender policy development from 27th to 29th of May 2014 and personality development from 19th to 21st of August 2013. Staff training on financial management was organised on different intervals before and after the baseline in May 2013. Staff that is hired is qualified and experienced in the social sector. While during the baseline there was a lack of institutionalised sharing of learning from trainings, staff now share what they have learned after attending a training session, during the monthly staff meetings. Staff feel confident and capable to conduct trainings and workshops themselves for the partner organisations. In order to deal with the decreasing funding situation, NEDSSS has trained their staff in writing project proposals, in showcasing their work, preparing legal and financial documents as per the changes in the FCRA rules and streamlining its work in accordance with the demand of CSR rules. If NEDSSS wants to become a resource centre that develops modules and conducts pilot projects that can be replicated by partners, staff need to improve their skills on research methodology and technical skills of data collection, analysis and building research questionnaires.

Score baseline: 3.0

Score endline: 3.5 (slight improvement)

1.8.Training opportunities: 'Appropriate training opportunities are offered to staff'

This is about whether staff at the SPO are offered appropriate training opportunities

Staff at NEDSSS continue to receive quite a lot of opportunities for training both on programme content (such as peace building) as well as organisational development skills (like strategy development). The following trainings, workshops and exposure visits were conducted since the baseline in 2013:

- Exposure visits for Health Coordinators to Vellore CHAD from 1st- 8th February 2013;
- Personality development workshop was organized for staff members from 19th to 21st of August 2013;
- Training on gender policy development from 27th to 29th of May 2014;
- NEDSSS's Capacity Building Team leader was sent to Hyderabad for almost a month long training on 'Community Driven Development' from 7th-31st January 2013.
- The Chief Coordinator was sent for training on the 'Community College' Concept, from 11 to 16 of June 2013 and to a training on 'Research Methodology' conducted by NERD from 9th-15th March 2013
- Project based training on Documentation Skills was offered to staff supported by Indo-Global Social Service Society (IGSSS) from 27th to 28th February 2014.

It is unclear whether issues in selecting the right candidates for training were solved. During the baseline often staff members that were well versed in English or Hindi were sent for the training. As a result, sometimes the eligible participants (for whom the training is meant) could not attend the training.

Score baseline: 3.5

Score endline: 3.5 (no change)

1.9.1.Incentives: 'Appropriate incentives are in place to sustain staff motivation'

This is about what makes people want to work here. Incentives could be financial, freedom at work, training opportunities, etc.

During the baseline in May 2013 there already was a variety of benefits mentioned in the human resource policy manual. The Staff Welfare fund has increased in July 2014; staff is now contributing 540 INR a month (first 200 INR) and the organisation contributes 540 INR (200 INR before). Health insurance for staff has been introduced in 2013. The salary is rather decent and staff are now rewarded for their extra hours and input when they provide extra services to partners or other organisations. Incentives in terms of skill building of the staff through training programs and exposure visits are in place to keep the staff motivated. Having worked at NEDSSS, staff are valued better when they apply for a job elsewhere. Staff that stay with the organisation do so because their work is related to their qualification in social work and this gives them job satisfaction.

Score baseline: 3.0

Score endline: 3.25 (very slight improvement)

Level of Financial Resource Security

1.9.2.Funding sources: 'Funding from multiple sources covering different time periods'

This is about how diversified the SPOs funding sources are over time, and how the level of funding is changing over time.

Changes in the donor environment have triggered the organisation to explore new funding sources. Cordaid was funding NEDSSS up to 31st of May 2014. With increased surveillance by the government over foreign funding, tapping domestic funding sources has become necessary. Towards that end, NEDSSS has focused on streamlining its work, improving its legal and financial documentation and capabilities of their staff. NEDSSS has started to strengthen the capacity of their partner organisation

in mobilising funds from government departments, semi-government departments and the corporate sector (through CSR). NEDSSS does the dissemination of Caritas India's policy on Local Fund Mobilisation to its partners to implement the institutional Local Resource Mobilisation policy for all partner organisations.

Currently NEDSSS receives funding for different projects from the following funders:

- Caritas India is funding a project that supports 5 of NEDSSS's partner organisation to tap government resources.
- Shelter Project for Rickshaw Pullers is funded by IGSSS;
- Professionalising Actors of Church Ministry is funded by Missio München;
- Facilitating Regional Exercise towards an Effective Church in North East India is funded by Missio Aachen;
- The Income Generation Programme on financial empowerment of 80 families below poverty line is funded by Raskob Foundation;
- Community Health in Assam and Rural Meghalaya (CHARM) programme is funded by the World Bank;
- KINDERMISSIONWERK funds NEDSSS's work on education; the "Bridge school project for tribal children in Kamrarup District."
- Nursery Teacher Training for pre-primary and primary school teachers is funded by Advance Information in Early Childhood Care & Education, New Delhi;
- St. Peter Claver Foundation, MISEREOR, UNICEF, Dreikönigsaktion, Manos Unidas Spain are also funding NEDSSS's work.
- World Bank: NEDSSS is the Awardee of "World Bank India Development Market Grand Award 2014"
- Caritas Denmark funds " Capacity building, coordination and advocacy for Civil Society Organizations in NE India".

In total NEDSSS is funded by 15 funders compared to 8 during the baseline in May 2013. 12 new projects are in the pipeline after the Director travelled to Europe at the end of 2014.

Score baseline: 3.0

Score endline: 3.5 (slight improvement)

1.9.3.Funding procedures: 'Clear procedures for exploring new funding opportunities'

This is about whether there are clear procedures for getting new funding and staff are aware of these procedures.

The organisation still has no clear procedure for exploring new funding opportunities. However, individual staff makes use of their knowledge and have their own methods and procedures for funding. During the baseline there were discussions about hiring a dedicated staff member who would explore opportunities and write proposals. This person is now hired and dedicates most of his time to project proposal writing. NEDSSS similar to other organisations has to work towards bidding for new projects. Shrinking of foreign funding has led to increased competition with other organisations working in the same field. NEDSSS has trained their staff in writing project proposals, in showcasing their work, preparing legal and financial documents as per the changes in the FCRA rules and streamlining its work in accordance with the demand of CSR requirements. NEDSSS has initiated dialogues with departments and organizations such as IFAD, UNDP, UNICEF, NABARD, IIE, State Institute of Rural Development of Assam (SIRD) and other international donors.

Score baseline: 2.5

Score endline: 3.0 (slight improvement)

Summary of capability to act and commit

The current leader has now been leading the organization for four years and as the years passed the staff has become more free to express their opinions. He also has concern for NEDSSS's partners and his wider vision ensures that partners are made aware of changes in the external environment, e.g.

with regard to changes in the law. The present Governing Body members have many years of experience in the field of development and their interaction with the leader keeps him up to date and creative. The leader has streamlined operations of the organisation by putting systems in place to streamline the work of NEDSSS so that it is governed professionally. With the introduction of positions like chief programme coordinator, second line leadership will be developed. The leader provides strategic guidance to both NEDSSS staff as well as its 15 partner organisations. There is an increased focus on developing the capacities of the partner organisations by organising workshops on legal and financial documentation. The leader has ample pastoral, administrative and teaching experience and has been working in the development sector for more than 14 years. The Governing Board provides guidance to the director through increased meetings of which proper minutes are taken. Staff are actively involved in the planning process and leadership is receiving positive responses on his functioning from the partner organisations. NEDSSS has less permanent staff as they work with interns and project related staff. After the baseline in May 2013 no staff has left the organisation. Staff has stayed have access to an increased Staff Welfare fund, health insurance and a rather decent salary. NEDSSS continues to base its strategies on its M&E findings (in case of the Capacity Building Project) and good situational analysis and learnings from previous experience (in case of the Peace Initiative project). The Revised Strategy Document from 2009 has, has to be revised as early as possible so that the organisation can go along with the changing trend and needs of the regions. The day to day operations continue to be in line with strategic plans. The organisation still has a well-defined and documented organogram in the HR policy that all staff members are aware of. In general, staff have the necessary skills to do their work. Staff has been trained in financial management (on different intervals both before and after May 2013), gender policy development (May 2014), and personality development (August 2013). Staff now share what they have learned after attending a training session, during the monthly staff meetings. If NEDSSS wants to become a resource centre that develops modules and conducts pilot projects that can be replicated by partners, staff needs to improve their skills on research methodology. Staff at NEDSSS continue to receive quite a lot of opportunities for training both on programme content as well as organisational development skills. It is unclear whether issues in selecting the right candidates for training were solved. During the baseline often staff members that were well versed in English or Hindi were sent for the training. As a result, sometimes the eligible participants would not attend the training. With increased surveillance by the government over foreign funding, tapping domestic funding sources has become necessary. NEDSSS has started to strengthen the capacity of their partner organisation in mobilising funds from government departments, semi-government departments and the corporate sector (through CSR). In total NEDSSS is funded by 13 funders compared to 8 during the baseline in May 2013. The organisation still has no clear procedures for exploring new funding opportunities. However, a dedicated staff member was hired to write project proposals and there is an improved capacity of other staff to showcase their work, prepare financial and legal documents needed for getting new funding and streamline their work for CSR rules. NEDSSS has initiated dialogues with various departments and organisations who can potentially fund them.

Score baseline: 3.0

Score endline: 3.3 (very slight improvement)

Capability to adapt and self-renew

Level of effective application of M&E

2.1.M&E application: 'M&E is effectively applied to assess activities, outputs and outcomes'

This is about what the monitoring and evaluation of the SPO looks at, what type of information they get at and at what level (individual, project, organisational).

NEDSSS still has PME guidelines and staff have basic PME skills and have been trained in this. At the project and activity level, information is systematically gathered and processed by staff and used to improve activities. Monitoring is mostly project based and more can be done to systematically gather information regarding the long term impacts of projects in order to fine-tune strategies for programmes in the future for the organisation as a whole. There is still a difference in how M&E is applied in different projects, which relates to different donor guidelines for M&E. Cordaid's

reimbursements are linked to periodic submissions of the narrative and financial reports. For the Peace Initiatives in North East India project, which is funded by Cordaid, NEDSSS has had to develop a detailed M&E plan to assess activities, outputs and outcomes. In the M&E plan it is said that the proposed monitoring system will ensure: a) timely implementation of activities with appropriate technical and program management inputs; b) identification and addressing of any grassroots level implementation challenges; c) regular monitoring of program indicators; and d) learning exchange and appropriate documentation of project processes and learning. The following mechanisms are built into the project to promote learning:

- Quarterly meetings of a peace team of partner staff: to plan and better implement activities, half yearly meetings will be held among all partner peace teams at NEDSSS where the NEDSSS Coordinator will be present to review project progress and plan for the next half year based on progress toward targets.
- Quarterly meetings of CBOs at the state level will be organized in each project area for project monitoring information to be shared with project stakeholders for increased information dissemination and transparency.
- Partner level monitoring: The responsibility for day-to-day monitoring of the programme activities and outputs rests primarily with partner staff. They share their progress reports on a monthly basis with NEDSSS who will prepare the reports focussed on the outcome level indicators to send to the donor.
- Monitoring is done continuously to ensure quality results in all the peace activities through the tools already developed and evaluation is carried out at the end of every activity, one to one interactions and focus group discussions to check how much has been taken in, to enhance and improve further.

As NEDSSS is dependent on its partners for the successful application of M&E, they have given trainings to their partner organisations in documentation for timely and good submission of quarterly reports, financial report and receipts of their expenditures, which are used in the M&E of NEDSSS. Partners are now closely monitored and funds are only released to them when reports have been submitted. Reporting formats have been developed based on RBM (Results Based Management) in which timely performance and efficient fund utilisation are emphasised. There have been many external evaluations and the recommendations have been incorporated into the governance and policy framework of the organisation and these are taken into account in the project implementation. NEDSSS finances are inspected by auditing firms. Different donor demands in terms of monitoring and evaluation makes it difficult for the organisation to have one overall monitoring and evaluation system.

Score baseline: 3.0

Score endline: 3.5 (slight improvement)

2.2.M&E competencies: 'Individual competencies for performing M&E functions are in place'

This is about whether the SPO has a trained M&E person; whether other staff have basic understanding of M&E; and whether they know what information to collect, how to process the information, how to make use of the information so as to improve activities etc.

The staff continues to have basic skills in PME and has been trained on this. However, competence for conducting M&E efficiently remains to only lie with a few people. As NEDSSS is dependent on its partners for the successful application of M&E, they have given trainings to their partner organisations in documentation for timely and good submission reports. NEDSSS in the process of developing the M&E competencies of their partners, but often have to change the format of documentation because of donor demands, this causes frequent trainings and problems in following a uniform pattern of documentation for partners. The responsibility for day-to-day monitoring of the programme at the beneficiary level rests primarily with partner staff. They share their progress reports with NEDSSS who prepares the reports to send to the donor. There is still no mention of having one person specifically responsible for monitoring and evaluation, since this is mainly project based.

Score baseline: 3.0

Score endline: 3.0 (no change)

Level of strategic use of M&E

2.3.M&E for future strategies: 'M&E is effectively applied to assess the effects of delivered products and services (outcomes) for future strategies'

This is about what type of information is used by the SPO to make decisions; whether the information comes from the monitoring and evaluation; and whether M&E info influences strategic planning.

There has been no change in this indicator. At the level of projects, M&E information is still used to improve and fine-tune project interventions. Monitoring is mostly project based and there is a monthly, quarterly and half yearly review to assess the progress of the project. As an example for the peace project, NEDSSS holds meetings with the partners where they were required to present as well as review project progress and plan for the next half year based on the achievement of targets. Thus data that is collected is reviewed and analysed by partners to allow for project coordinators to make mid-course correction, if and when required. NEDSSS also continues to use information obtained from external evaluations for making strategic decisions.

Score baseline: 2.5

Score endline: 2.5 (no change)

Level of openness to strategic learning

2.4.Critical reflection: 'Management stimulates frequent critical reflection meetings that also deal with learning from mistakes'

This is about whether staff talk formally about what is happening in their programs; and, if so, how regular these meetings are; and whether staff are comfortable raising issues that are problematic.

The staff meet every month to discuss the project progress, challenges and issues. Project Review meetings continue to be held quarterly and half yearly in case of some projects. Often the staff faces implementation issues which require a timely solution as directions have to be given to their implementation partners in the field. While during the baseline in May 2013, staff was uncomfortable in raising problematic issues with the leadership, staff has now become more self-confident and articulate and are given the space to share and discuss their concerns with the director and their colleagues.

Score baseline: 2.0

Score endline: 2.5 (slight improvement)

2.5. Freedom for ideas: 'Staff feel free to come up with ideas for implementation of objectives

This is about whether staff feel that ideas they bring for implementation of the program are welcomed and used.

Most junior staff still do not feel comfortable to come up with ideas for the implementation of objectives. This is related to the way the church is structured, but this is changing. The evaluation team noticed that the endline workshop was carried out in a democratic and participatory way. The director gave space to the staff to present their views.

Score baseline: 2.0

Score endline: 2.5 (slight improvement)

Level of context awareness

2.6.System for tracking environment: 'The organisation has a system for being in touch with general trends and developments in its operating environment'

This is about whether the SPO knows what is happening in its environment and whether it will affect the organization.

Even though there is still no formal system to track developments, the organisation continues to be well-informed of general trends and developments at local, regional, national and international level through its extensive network of church based organisations. NEDSSS, being a coordinating body and resource for 15 partners, has to keep in touch with general trends and developments in its operating environment. Besides this, being in the North Eastern part of India, which is sensitive to ethnic clashes, human rights violation and struggle between the militants and army, NEDSSS leadership has to be aware of the latest developments. Further, being a faith based organisation and receiving foreign funding the organisation it is under the scanner of the Government. This means NEDSSS has to be aware of any changes in laws or requirement of compliances under the FCRA Act.

The director interacts regularly with the governing body members who are very experienced and he participates in network meetings and workshops to keep himself posted about the changes in the development sector. NEDSSS is closely working with the North East Social Research Centre (NESRC), Tata Institute of Social Sciences (TISS) and other regional networks. The Inter Agency Group (IAG) allows NEDSSS to get invited and informed about government programmes. NEDSSS has thus strengthened its networks with non-church organisations to discuss changing trends in its operating environment.

Score baseline: 4.0

Score endline: 4.25 (very slight improvement)

2.7.Stakeholder responsiveness: 'The organisation is open and responsive to their stakeholders and the general public'

This is about what mechanisms the SPO has to get input from its stakeholders, and what they do with that input.

The organisation continues to be open and responsive to its stakeholders. Since NEDSSS works on issues like peace as in the North East region it cannot work in isolation. All the partners come together for meetings for discussions, preparation of plans and setting of priorities in the quarterly and yearly meetings. NEDSSS gives scope to express their stakeholders concerns in the General Body Meetings. The NEDSSS staff also still visits the beneficiaries to understand whether the programme benefits are being transferred to them. While during the baseline engagement with other non-church stakeholders like other civil society and government was lacking, NEDSSS interacts now not just with religious heads but also with leaders of civil society, leaders of NGOs, officials of different government departments, implementing partners, CBOs, institutes – educational, research and scholars with an aim to address the issues in the target area effectively, to avoid duplication of work and create understanding among them.

Score baseline: 3.5

Score endline: 4.0 (slight improvement)

Summary of capability to adapt and self-renew

NEDSSS still has PME guidelines and staff have basic PME skills and have been trained in this, although there is no dedicated person in place for monitoring and evaluation. At the level of projects, M&E information is still used to improve and fine-tune project interventions. There is still a difference in how M&E is applied in different projects, which relates to different donor guidelines for M&E. In the Cordaid funded Peace Initiatives in North East India project, there is an elaborate and detailed M&E plan in place which looks at activities, outputs and outcomes and also has mechanisms in place to promote learning. As NEDSSS is dependent on its partners for the successful application of M&E, they have given trainings to their partner organisations in documentation for timely and good submission of reports. Reporting formats have been developed based on Results Based Management. There have been many external evaluations and the recommendations are used for project implementation and making strategic decisions. Most of the monitoring is done by partner organisations who are trained to deliver timely reports. Frequent changes in the formats for documentation because of donor demands, cause problems for partners in following a uniform pattern of documentation. Having different donor requirements in terms of monitoring and evaluation makes it difficult for the organisation to have an

overall and comprehensive monitoring and evaluation system. The staff meet every month to discuss the project progress, challenges and issues. The staff has become more self-confident and articulate since baseline in May 2013 and are given the space to share and discuss their concerns with the director and their colleagues. Most junior staff still do not feel comfortable to come up with ideas for the implementation of objectives. During the endline workshop the director gave space to the staff to present their views. Even though there is still no formal system to track developments, the organisation continues to be well-informed of general trends and developments at local, regional, national and international level through its extensive network of church based organisations, but now also through networks linking to research and government organisations. The organisation continues to be open and responsive to its stakeholders. NEDSSS interacts with leaders of civil society, leaders of NGOs, officials of different government departments, implementing partners, CBOs, religious heads, institutes – educational, research and scholars with an aim to address the issues in the target area effectively, to avoid duplication of work and create understanding among them.

Score baseline: 2.9

Score endline: 3.2 (very slight improvement)

Capability to deliver on development objectives

Extent to which organisation delivers on planned products and services

3.1.Clear operational plans: 'Organisation has clear operational plans for carrying out projects which all staff fully understand'

This is about whether each project has an operational work plan and budget, and whether staff use it in their day-to-day operations.

There continue to be clear operational plans for carrying out projects. Regular monthly meetings of the staff are held to discuss the project progress. The operational plans are streamlined through Results Based Monitoring and monitoring tools with an emphasis on timely delivery. Since NEDSSS is still implementing projects through its partners and in these projects the operational plans are made in consultation with the partners. Now NEDSSS is in the process of starting to implement projects themselves to get more visibility through using innovative models. One example is the CHARM project supported by the World Bank in which the combination of mother, child and community health has been identified as a model that can be scaled up. Another example is the Rickshaw project funded by IGSSS. In these projects NEDSSS does not involve their partners in the planning process, as NEDSSS is the implementer.

Score baseline: 4.0

Score endline: 4.0 (no change)

3.2.Cost-effective resource use: 'Operations are based on cost-effective use of its resources'

This is about whether the SPO has the resources to do the work, and whether resources are used cost-effectively.

Since NEDSSS has to follow a proper procedure of documentation to be submitted to the donor, resource use has to be done judiciously. The funds utilised are already pre-determined as per the contract. Trainings on how to use funds and how to document , results and expenditures are given to their 15 partner organisations. The details of the expenditure are scrutinized by an auditor. All expenses including travel expenditure will be reported according to actual expenses, expenditure on travel is kept as low as possible. The organization makes use of human resources and material resources diligently in implementation and in planning so that no resources are wasted. Multi-tasking is appreciated and encouraged. With easier monitoring formats, expenses could be reduced. Staff members still have desk tops, laptops, internet access at their disposal to do their work.

Score baseline: 4.0

Score endline: 4.0 (no change)

3.3.Delivering planned outputs: 'Extent to which planned outputs are delivered'

This is about whether the SPO is able to carry out the operational plans.

There has been no change in this indicator. A large percentage (around 80%) of planned outputs are still delivered as planned. There are several hurdles that prevent timely delivery of outputs. These include natural calamities that bring in gaps in communications, strikes and protests due to the volatile situation in State, distant projects locations which limit the number of interactions with their implementing partners, etc. For instance, there was a flood in Assam in July 2014 and the Bodo tribe dominated the district which spurted violence in September 2013. There have also been instances of curfew and bandhs (general strike) called by different groups in Assam every year. One or more of these reasons may mean that activities have to be rescheduled resulting in a delay of outputs.

Score baseline: 3.5

Score endline: 3.5 (no change)

Extent to which delivered products and services are relevant for target population in terms of the effect they have

3.4.Mechanisms for beneficiary needs: 'The organisation has mechanisms in place to verify that services meet beneficiary needs'

This is about how the SPO knows that their services are meeting beneficiary needs

NEDSSS still works mostly through its 15 partner organisations, who in turn work with the beneficiaries. For its partners, NEDSSS conducts meetings for situational analysis, capacity building need assessment and training needs assessment to make sure that the services NEDSSS offers its partners meet their needs. Trainings to partners are evaluated for the same reason. Over the last years, they have, however, started to implement projects directly and work with beneficiaries like rickshaw pullers, agriculture workers and children that have dropped out of school. In these last projects, NEDSSS goes to find out first from the target group the reasons behind their inability to access certain resources, in this way removing misconceptions about the group. For the rickshaw pullers, it was found out that it was not the lack of knowledge but there was a lack of advocacy and lobbying for them and thus a need to get attention from the government. Efforts were then made to bridge the gap, directly responding to meeting beneficiary needs.

Score baseline: 4.0

Score endline: 4.25 (very slight improvement)

Level of work efficiency

3.5.Monitoring efficiency: 'The organisation monitors its efficiency by linking outputs and related inputs (input-output ratio's)'

This is about how the SPO knows they are efficient or not in their work.

There is still no tool developed to measure input-output ratios . Staff feels that their work is related to human behaviour and social transformation and thus concerns a qualitative change which is hard to measure in terms of input-output ratios. Also, since NEDSSS's work still involves more of coordination and less of implementation, it becomes difficult to judge efficiency based on the progress of project related work. A lot is dependent on the Dioceses. High staff turnover at Dioceses level creates problems as trainings have to be repeated and a lot of time and financial resources get wasted in the process.

Score baseline: 2.0

Score endline: 2.0 (no change)

3.6.Balancing quality-efficiency: 'The organisation aims at balancing efficiency requirements with the quality of its work'

This is about how the SPO ensures quality work with the resources available

The organisation still constantly motivates its staff to multitask to ensure efficient utilisation of the staff's capabilities and of resources. The organisation continues to provide training opportunities to its staff to ensure improvement in the quality of outputs they produce. The partners also have to report regularly as per the formats provided to them. During the baseline in May 2013 budget linked activity reporting was absent. Since then, NEDSSS has worked towards increasing their quality and efficiency by streamlining their work, putting in place the legal documentation as per the FCRA and Indian Tax Laws. Financial auditing is also being done by an expert in the field. Following the requirements of the donor, expenditures are done as per the allocated funds. Now the capacities of the partners are increased through trainings in financial and legal documentation and monitoring of their programmes in the field which enables them to link budget to the reported activities. The accounting department tallies the report with the expenditure reports and unit cost and frequency are checked by the finance department. Financial procedures are communicated to the partners.

Score baseline: 3.0

Score endline: 3.25 (very slight improvement)

Summary of capability to deliver on development objectives

There continue to be clear operational plans for carrying out projects. Regular monthly meetings of the staff are held to discuss the project progress. In the projects were NEDSSS works through its partners the planning process is done in consultation with them. In two projects where NEDSSS is the implementing organisation the planning process is done independently. NEDSSS continues to make cost-effective use of its resources. Utilisation of funds are in line with the contract with the donor and expenses are kept low by multi-tasking and keeping travel costs low. A large percentage (around 80%) of planned outputs are still delivered as planned. There are several factors that prevent timely delivery of outputs, including natural disasters, protests and staff turnover. For instance, in September 2013 there were spurts of violence in the Bodo dominated districts and there was a flood in Assam in July 2014. NEDSSS still works mostly through its 15 partner organisations, who in turn work with the beneficiaries. For its partners, NEDSSS conducts meetings to make sure that the services NEDSSS offers its partners meet their needs. Over the last years, the organisation started implementing projects and working directly with beneficiaries. NEDSSS bases these projects on a needs assessment among the target group. Monitoring efficiency through relating inputs to outputs is not done, but NEDSSS balances quality with efficiency by efficient utilisation of the staff's capabilities and of resources through multi-tasking and at the same time enhancing staff's quality of work through trainings. Since the baseline, NEDSSS has worked towards increasing their quality and efficiency by streamlining their work, putting in place the legal documentation as per the FCRA and Indian Tax Laws.

Score baseline: 3.4

Score endline: 3.5 (no change)

Capability to relate

Level of involving external parties in internal policy/strategy development

4.1.Stakeholder engagement in policies and strategies: 'The organisation maintains relations/ collaboration/alliances with its stakeholders for the benefit of the organisation'

This is about whether the SPO engages external groups in developing their policies and strategies, and how.

The organisation continues to have systematic engagement with its stakeholders. Their partner organisations actively participate to express their views, suggesting the required changes, highlighting their issues, reviews and feedback with regard to the projects in the General Body

Meetings. When policies are framed and strategies undertaken a common understanding is created avoiding conflict and disagreements. Through workshops, seminars, consultation and one-to-one meetings with NGOs and government departments, NEDSSS gets input from stakeholders for its policies and strategies. While during the baseline, engagement with other non-church stakeholders was lacking, now there is interaction with not only religious heads, but also leaders of civil society and NGOs, officials of different government departments and CBOs.

Score baseline: 4.0

Score endline: 4.25 (very slight improvement)

Level of engagement of organisation in networks, alliances and collaborative efforts

4.2.Engagement in networks: 'Extent to which the organization has relationships with existing networks/alliances/partnerships'

This is about what networks/alliances/partnerships the SPO engages with and why; with they are local or international; and what they do together, and how do they do it.

NEDSSS implements most of its projects by working with its 15 network partners. Apart from their immediate partners, they engage with various Faith Based Organisations and CBOs (SHGs, Farmers groups and Cooperatives) working in North East. In the peace project they also work with ethnic and religious groups, government departments, law enforcing agencies, youth clubs, students bodies, media and academic institutions. In order to increase its visibility, NEDSSS is also working with networks such as the North East Social Research Centre (NESRC), Tata Institute of Social Sciences (TISS) and other regional networks. NEDSSS interacted with North East women network for its gender programme and with SarvaShikshaAbhiyan for the programme on Human Rights Education. As far as funding is concerned networking with funding agencies has also increased. For instance, NEDSSS is working with World Bank, Missio Aachen, Missio Munchen, Kindermission, Raskob foundation and St. Peter Claver. NEDSSS takes up combined trainings, workshops, seminars, campaigns, joint publications and peace missions with its network. They also share their available resources (e.g. their publications) with partners and likeminded organisations. As advocacy and lobbying plays a greater role in various projects there is a slight improvement in NEDSSS's approach and relationship with the government. Consultations, trainings and meetings have been held with various government departments like the State Institute of Rural Development (SIRD), Government Medical College (GMC), NABARD, the Social Welfare Department, Krishi Vigyan Kendra (KVK, the Farm Science Centre which is a district level organisation of the Indian Council of Agricultural Research (ICAR)), National Institute of Rural Development (NIRD) and the Indian Institute of Entrepreneurship (IIE). For example on 24 October 2013, NEDSSS staff participated in a training on Entrepreneurship conducted by IIE.

Score baseline: 3.5

Score endline: 4.0 (slight improvement)

Extent to which organisation is actively engaging with target groups

4.3.Engagement with target groups: 'The organisation performs frequent visits to their target groups/ beneficiaries in their living environment'

This is about how and when the SPO meets with target groups.

NEDSSS has two kinds of target groups. In the projects in which they work through their 15 partner organisations, their partners are their target group. NEDSSS staff visits them to monitor and discuss their work on a regular basis. NEDSSS also engages its partner organisations by letting them actively participate to express their views, suggesting the required changes, highlighting their issues, reviews and feedback with regard to the projects in the General Body Meetings. Besides this, the partners also undergo several trainings at the NEDSSS office. The Development Dynamic Course programme has been started by NEDSSS in 2014, to train partner organisations to become effective facilitators in development initiatives. Under the Peace Initiatives in North East India (June 2012-May 2014), partners are trained on issues of peace building, conflict resolution skills, human rights, child psychology, peer mediation, documentation, personal and leadership development; workshops and

seminars on peace and related issues; street plays, consultation and lobbying; media outreach and research. NEDSSS has also initiated direct implementation of projects. Therefore, their second target group are the direct beneficiaries of these project. As these projects are still in the beginning phase, staff have visited their target groups to do a situational analysis so that appropriate strategies could be formulated to solve their issues.

Score baseline: 3.0

Score endline: 3.0 (no change)

Level of effective relationships within the organisation

4.4.Relationships within organisation: 'Organisational structure and culture facilitates open internal contacts, communication, and decision-making'

How do staff at the SPO communicate internally? Are people free to talk to whomever they need to talk to? When and at what forum? What are the internal mechanisms for sharing information and building relationships?

NEDSSS continues to have a culture that facilitates open interaction amongst its staff members. The office space is divided into cubicles for all its staff members. There are different cabins, for the Director, the Assistant Director and the accounts staff but they are all on the same floor which facilitates interaction. There are regular staff meetings each month where people communicate and express their ideas. The minutes of meetings of the General and the Governing Bodies are maintained in separate registers. The General and Governing body members are better informed on the changing trend in the field of development sector and the change of the government policies. Minutes of staff meetings were circulated after some of these meetings.

Score baseline: 3.5

Score endline: 3.5 (no change)

Summary of capability to relate

The organisation continues to have systematic engagement with its stakeholders. Their partner organisations actively participate to express their views and suggest required changes. NEDSSS gets input from other stakeholders like religious heads, leaders of civil society and NGOs, officials of different government departments and CBOs through consultation, workshops and one-to-one meetings. Apart from their immediate partners, they engage with various Faith Based Organisations and CBOs (SHGs, Farmers groups and Cooperatives) working in North East. They have started working with networks such as the North East Social Research Centre (NESRC), Tata Institute of Social Sciences (TISS) and other regional networks. As advocacy and lobbying plays a greater role in various projects, NEDSSS improved its relation with the government and has had meetings with various government departments like Government Medical College (GMC), NABARD and the Social Welfare Department. NEDSSS has two kinds of target groups: 1) their partner organisations which they visit regularly for monitoring and trainings, and 2) direct beneficiaries in recently started projects in which NEDSSS is the implementing organisations, here they have visited their target groups to do a situational analysis to develop appropriate strategies. NEDSSS continues to have a culture and office space that facilitates open interaction amongst its staff members. There are regular staff meetings each month where people communicate and express their ideas. Minutes of the meetings were circulated after some of these meetings.

Score baseline: 3.5

Score endline: 3.7 (very slight improvement)

Capability to achieve coherence

Existence of mechanisms for coherence

5.1.Revisiting vision, mission: 'Vision, mission and strategies regularly discussed in the organisation'

This is about whether there is a vision, mission and strategies; how often staff discuss/revise vision, mission and strategies; and who is involved in this.

This indicator has not changed since the baseline evaluation. The organisation still has a clear vision and mission statement and staff members are made aware of them during induction programmes. However, vision and mission have remained the same over the years. Strategic plans are revisited every five years. Strategies are discussed amongst (some) diocesan directors, bishops and peace partners. The discussions with staff tend to be limited to projects, not overall strategies and trends.

Score baseline: 2.0

Score endline: 2.0 (no change)

5.2.Operational guidelines: 'Operational guidelines (technical, admin, HRM) are in place and used and supported by the management'

This is about whether there are operational guidelines, which operational guidelines exist; and how they are used.

NEDSSS has introduced the HIV/AIDS Workplace policy, which was developed on 12 July 2013 and approved by the Governing Body on 9th September 2013. This policy had the aim to promote and respect the dignity of individuals irrespective of his/her status of HIV/AIDS and non-acceptance of any kinds of discrimination against PLHIV and those affected by HIV and AIDS. The Policy outlines the procedures for interacting with employees who have medically been diagnosed with HIV or who are suspected of being HIV positive or having developed AIDS and guidelines were provided to the staff on HIV/AIDS workplace policy.

While there has been a gender policy in place since the baseline in May 2013 and achieving gender equity through women empowerment remains a mandate in their programmes, NEDSSS has failed to adopt a similar policy with regard to their internal governance. Leadership positions (President, Vice-President, Director and Secretary, Treasurers) are held by Fathers with overarching authority in comparison to the Sisters.

Score baseline: 2.5

Score endline: 2.75 (very slight improvement)

Level of coherence of various efforts of organisation

5.3.Alignment with vision, mission: 'Projects, strategies and associated operations are in line with the vision and mission of the organisation'

This is about whether the operations and strategies are line with the vision/mission of the SPO.

All projects and strategies remain to be in line with the vision and mission of NEDSSS and the church. It is aimed at strengthening the capacity of church (related) institutions to better address the needs of the population, to improve services for the poor. It also works towards peace and peaceful relations within the community.

Score baseline: 4.0

Score endline: 4.0 (no change)

5.4.Mutually supportive efforts: 'The portfolio of project (activities) provides opportunities for mutually supportive efforts'

This is about whether the efforts in one project complement/support efforts in other projects.

This indicator has not changed since the baseline. NEDSSS projects are still complimentary, and efforts in one project support another project. Not only the activities within a project but the projects that have been taken on by NEDSSS mutually support and complement each other as the broader aim of all the projects and interventions is to strengthen the ability to analyse, plan, strategize, implement

services for communities and for peace of church institutions and linked organisations throughout the region and in different states. Also, the projects and interventions foster engagement and learning between the various stakeholders, though this can be further increased. Based in a conflict region of North East India, NEDSSS work has been planned in a manner whereby impact of one project would be able to influence another. For instance, the peace project requires a long term commitment and a close monitoring of the changes within the community with regard to the mind-set and approach of the community members. To that end, human rights education has been given a focus which would enable children to develop as responsible individuals who despise violence.

Score baseline: 4.0

Score endline: 4.0 (no change)

Summary of capability to achieve coherence

The organisation still has a clear vision and mission statement that has not changed over the years and staff members are made aware of them during induction programmes. NEDSSS has introduced a HIV/AIDS Workplace policy which was approved by the governing board in September 2013. While achieving gender equity through women empowerment remains a mandate in their programmes, NEDSSS has failed to adopt a similar policy with regard to their internal governance. All projects and strategies remain to be in line with the vision and mission of NEDSSS and the church, as they are all aimed at strengthening the capacity of church (related) institutions to better address the needs of the population and to improve services for the poor. NEDSSS projects are still complimentary, and efforts in one project support another project. Based in a conflict region of North East India, NEDSSS work has been planned in a manner whereby impact of one project would be able to influence another.

Score baseline: 3.1

Score endline: 3.2 (very minor improvement)

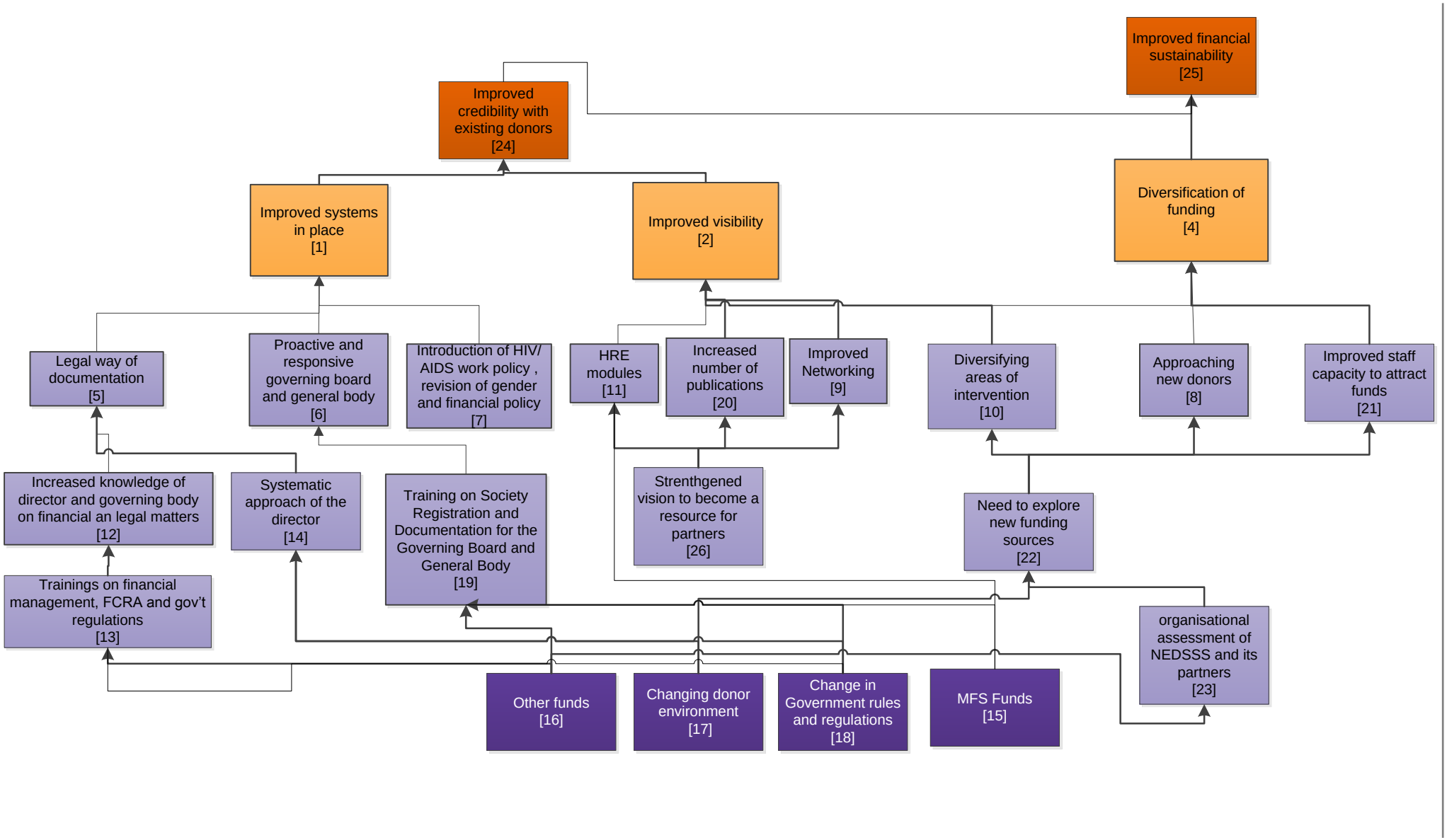
Appendix 4 Results - key changes in organisational capacity - general causal map

Below you will find a description of the general causal map that has been developed for the SPO during the endline workshop. Key changes in organisational capacity since the baseline as identified by the SPO during this endline workshop are described as well as the expected effects and underlying causal factors, actors and events. This is described in both a visual as well as a narrative.

The evaluation team carried out an endline assessment at NEDSSS from 23 to 24 September 2014. During this workshop, the team made a recap of key features of the organisation in the baseline in May 2013 (such as vision, mission, strategies, clients, partnerships). The gap between the baseline and endline was short (one year and four months). Therefore some of the changes that are discussed here started before the baseline and were further strengthened in the post baseline period. This was the basis for discussing changes that had happened to the organisation since the baseline. The three main changes that happened in the organisation since the baseline, as identified by the staff during self-assessments, interviews and during the endline workshop were:

- Improved systems in place [1]
- Increased visibility [2]
- Diversification of funding [4]

The three main organisational capacity changes are described in the light orange boxes and some of their key consequences are noted above these cards in dark orange. Light purple boxes represent factors and aspects that influence the key organisational capacity changes (in light orange). Key underlying factors that have impacted the organisation are listed at the bottom in dark purple. The narrative describes per organisational capacity change, the contributing factors as described from the top down. The numbers in the visual correspond with the numbers in the narrative. Below each of these key changes and how these have come about are described.


Improved financial sustainability [25]
Improved credibility with existing donors [24]
Improved systems in place [1]
Improved visibility [2]
Diversification of funding [4]
Legal way of documentation [5]
Proactive and responsive governing board and general body [6]
Introduction of HIV/ AIDS work policy , revision of gender and financial policy [7]
HRE modules [11]
Increased number of publications [20]
Improved Networking [9]
Diversifying areas of intervention [10]
Approaching new donors [8]
Improved staff capacity to attract funds [21]
Increased knowledge of director and governing body on financial an legal matters [12]
Systematic approach of the director [14]
Training on Society Registration and Documentation for the Governing Board and General Body [19]
Strenthgened vision to become a resource for partners [26]
Need to explore new funding sources [22]
Trainings on financial management, FCRA and gov't regulations [13]
organisational assessment of NEDSSS and its partners [23]
Other funds [16]
Changing donor environment [17]
Change in Government rules and regulations [18]
MFS Funds [15]

Improved Systems in place [1]
The Director wanted to streamline the processes in the organisation. For this he wanted to ensure that the systems were in place [14]. He was able to convince the Governing body to change the way of working of NEDSSS from being a charity based organisation to a more professionally governed organisation [Source: Interview with the OD consultant]. The grant agreement between Cordaid and NEDSSS for the project "Peace Initiative in North East India" demands submission of narrative and financial report and every 6 months NEDSSS is expected to submit a report with details of expenditure and to verify legal compliances of its 15 partners [Source: Contract 2012.pdf]. Improved systems in place is expected to lead to improved credibility of NEDSSS with its existing donors [24], including MISSIO München, the Professionalising actors of Church Ministry, MISSIO Aachen and the Raskob Foundation. This in turn is expected to lead to improved financial sustainability [25].

NEDSSS improved its systems because they now have a legal way of documentation [5], a proactive and responsive governing board and general body [6], and a HIV/AIDS work policy, revised gender and financial policy [7]. Each of these changes are further discussed below.

Legal way of documentation [5]
There was a continuous improvement in the legal documentation of NEDSSS. This was due to the *increased knowledge of not only the Director of NEDSSS but also that of the members of the governing body* [12] and because of the *systematic approach of the director [14]*. This is further explained below.

- **Knowledge of the director and governing body [12]** increased because of *trainings on financial management, FCRA, and government regulations* [13]. The following trainings [13] were financed through other funds [16] such as Missio München:
  - **Accounting and Tally Management Training Workshop was organised for 3 days on** 29th to 31st August, 2013. There were 21 participants from NEDSSS who were trained in proper method of accounting and documentation. They were also equipped with basic accounting information on Tally [Source: Munchan REPORT-Final.docx]. This training was funded by MISSIO München [16].
  - **Legal Administration and Governance of Organizations/Trusts (FCRA/Income Tax)** seminar was organised and conducted by Charted Accountant from Lancy D'Souza and Company and Director of Mask Organization from 5th to 7th February, 2014. This seminar highlighted the legal implication of FCRA and Income Tax laws on Religious Institutions. There were 76 participants from NEDSSS [Source: Munchan REPORT-Final.docx]. This training was funded by MISSIO München [16].
  - **Leadership and Communication Training** was held from 7th to 14th January, 2014 with 26 participants. The objective of the seminar was to train the participants on improving their leadership qualities and communication [Source: Munchan REPORT-Final.docx]. This training was funded by MISSIO München [16].

These trainings [13] were triggered by the changes in government rules and regulations [18].

- **Systematic approach of the director [14]** to streamline processes led to a legal way of documentation [5] and was triggered by changes in the donor environment [17], with the donors demanding more transparency and accountability from the NGOs and the government rules and regulations with regard to the FCRA [18] [Source: Interview with the OD consultant].

A Proactive and responsive governing board and general body [6]
The minutes of meetings of the General and the Governing Bodies are maintained in separate registers. The General and Governing body members are better informed on the changing trends in the development sector and the changes in government policies [Source: 5c endline self-assessment sheet_programmestaff_India_NEDSSS 1.docx]. The governing board and general body became more proactive and responsive because of a *training on Society Registration and Documentation for the Governing Board and General Body [19].* On 18-19 October, 2012, NEDSSS conducted a two-day workshop for the director of DSSSs on Society Registration and Documentation by the Director of MASK Organisation, Nagpur. The training was on maintenance of registers of General Body Members, Governing Body Members, assets, minutes of annual general body meetings and governing body

meetings. Emphasis was given to keeping systematic records of the Minutes of the General Body and Governing Body meetings and the Amendments of Memorandum of the Organization. In these workshop clarifications of Foreign Contribution Regulation Act 2010 were also made [Source: Annual report 2013.pdf]. This workshop was also triggered by changes in government regulations [18] with regard to the FCRA and was co-funded by MFS II (Cordaid) [15] and non-MFS II (MISEREOR) funds [16].

Introduction of HIV/AIDS work policy, revision of gender and financial policy [7]
In 2013, NEDSSS introduced the HIV/AIDS Workplace policy with an aim to promote and respect the dignity of individuals irrespective of his/her status of HIV/AIDS and non-acceptance of any kinds of discrimination against PLHIV[10] and those affected by HIV and AIDS. The Policy outlines the procedures for interacting with employees who have medically been diagnosed with HIV or who are suspected of being HIV positive or having developed AIDS [Source: NEDSSS HIV AIDS Workplace policy]. This policy was developed to internally mainstream acceptance of HIV/AIDS in the organization. NEDSSS has revised and modified Gender and Finance policies [Source: 5c endline self-assessment sheet_programmestaff_India_NEDSSS 1.docx].

Increased visibility [2]
During the endline workshop the staff of NEDSSS stated that they wanted to strengthen their vision of becoming a resource for their partner organisations [26]. This means for them that they would like their partners to be able to turn to them for any information or training they need on a particular topic or even turn to them for implementation of projects or resource mobilisation. NEDSSS wants to be looked upon as a role model and also implement innovative pilot projects so that their partners can replicate them in their respective areas. Thus in order to follow through with this vision, it was important to showcase their work and be well connected. This was possible if they increased their visibility [2]. This increased visibility is expected to lead to increased credibility with existing donors [24] like Missio München, Missio Aachen, Raksob Foundation and Professionalising Actors of Church Ministry and has led to NEDSSS receiving the World Bank India Development Market Grand Award 2014. This increased credibility is in turn expected to lead to improved financial sustainability of the organisation [25].

In moving closer to that, NEDSSS has already started working towards increasing their number of publications [20]. NEDSSS, furthermore increased its visibility through their HRE modules [11], and through improved networking [9].

- *HRE Modules* [11].
  For instance, NEDSSS introduced Human Rights Education (HRE) in 200 schools and trained 199 teachers on the values of human rights. NEDSSS also published HRE Modules—I and II for class IV and VII and Module III for class VIII, which were published in June 2013 [Source: Project Proposal - extension contract in 2013.docx]. These modules were developed under the MFS II, Cordaid funded project [15]: Human Rights Education in North Eastern States from 1st January 2013 to 31st December 2013. The development of these modules were also triggered by NEDSSS's strengthened vision to become a resource for its partners [26].
- *Increased number of publications [20].*
  Staff of NEDSSS has been actively involved in the publication since the baseline in May 2013: Human Rights Education Book III, released on 16th May 2013; Portraits of Change, published in January 2014 edited and compiled by the M&E officer of NEDSSS; Herbal Medicine Family Health Kit-2013, published in February 2014 written by a member of the MASK organisation and team; Human Rights Manual (an understanding and guide to teachers), released on 22nd November 2014 by the Chief Coordinator NEDSSS; The Silver Milestones (History of NEDSSS), released on 22nd November 2014, compiled by the Project Manager Capacity Building at NEDSSS; The March of Seven Sisters of North East (Jubilee Brochure edited by Sr. Prema .SCS on Nov.22nd, 2014). The increased number of publication was triggered by NEDSSS's strengthened vision to become a resource for its partners [26].

[10] PLHIV stands for "People Living with HIV". This abbreviation is used throughout the text.

- *Improved Networking[9].*
  Apart from publications, NEDSSS has formed networks with a wide range of organisations such as: as NABARD, IIE (Indian Institute of Entrepreneurship), KVK (KrishiVigyan Kendra), NIRD (National Institute of Rural Development), and SIRD (State Institute of Rural Development).These networks were formed before May 2013 and in the last year (2014) these networks have improved because they are working more closely together. On 24 October 2013, NEDSSS staff and staff of Tezpur, AIDA had participated the training on Entrepreneurship conducted by IIE. NEDSSS has also held consultations, meetings and trainings with and by government departments, like NABARD and the Social Welfare department [Source: 5c endline self-assessment sheet_programme_staff_India_NEDSSS 1.docx]. In order to increase its visibility, NEDSSS is also working with networks such as North East Social Research Centre (NESRC), Tata Institute of Social Sciences (TISS) and other regional networks. NEDSSS interacted with North East women network for its gender programme and with SarvaShikshaAbhiyan for Human Rights Education [Source: 5c endline self-assessment sheet_management_India_NEDSSS 25.doc]. The improved networking was triggered by NEDSSS's strengthened vision to become a resource for its partners [26].

Diversification of funding [4]

Over the last two years NEDSSS is trying to be self-reliant and diversify its funding sources given the changing donor environment in the country [17] and the change in government rules and regulations [18] concerning foreign funding. These two developments led to the need to explore new funding sources [22]. There have been efforts taken to widen the horizon of interventions in order to access government resources and CSR funding. The management feels that the staff capacities have also been increased for drawing funding opportunities such as the World Bank Grant Fund Award for the institution in India Market Development Place for replicating NEDSSS's health interventions [Source: http://blogs.worldbank.org/dmblog/2014-india-dm-finalist-story-NEDSSS-helping-people-become-agents-change].

Currently NEDSSS receives funding for different projects from the following diversified set of funders [4]:

- Caritas India is funding a project that supports 5 of NEDSSS's partner organisation to tap government resources.
- Shelter Project for Rickshaw Pullers is funded by IGSSS;
- Professionalising Actors of Church Ministry is funded by Missio München;
- Facilitating Regional Exercise towards an Effective Church in North East India is funded by Missio Aachen;
- The Income Generation Programme on financial empowerment of 80 families below poverty line is funded by Raskob Foundation;
- Community Health in Assam and Rural Meghalaya (CHARM) programme is funded by the World Bank;
- KINDERMISSIONWERK funds NEDSSS's work on education;
- Nursery Teacher Training for pre-primary and primary school teachers is funded by Advance Information in Early Childhood Care & Education, New Delhi;
- St. Peter Claver Foundation, MISEREOR, UNICEF, Dreikönigsaktion, Manos Unidas Spain are also funding NEDSSS's work.
- World Bank: NEDSSS is the Awardee of "World Bank India Development Market Grand Award 2014"
- Caritas Denmark funds " Capacity building, coordination and advocacy for Civil Society Organizations in NE India".

In total NEDSSS is now funded by 15 funders compared to 8 during the baseline.
NEDSSS has diversified its funding [4] because they are approaching new donors [8], diversifying their of areas of intervention [10] and because staff have improved their capacity to attract funds [21]. These changes are further explained below

- *Approaching new donors [8]*
  NEDSSS has been supported by Caritas India for a period of time and many of the projects are funded by CORDAID and MISEREOR till date. With their active support the organization has grown and improved in their implementation of the development programmes. Within the last years NEDSSS has approached new donors to fund new projects such as the World Bank (CHARM

Project Health, June 2014-May 2016), MISSIO Aachen, MISSIO Munchen (June 2013-May 2014) and Kindermission Germany (since 2012) and Raskob Foundation USA (since 2013) [Source: 5c endline self-assessment sheet_programmestaff_India_NEDSSS 1.docx; endline workshop minutes]. Since May 2013, NEDSSS is also working with organisations such as NACO (National AIDS Control Organisation); IIE (Indian Institute of Entrepreneurship; Indian Council for Agricultural Research (ICAR); Department of Social Welfare, Guwahati to identify opportunities for collaboration and support. NEDSSS continues to work with KVK (Krishi Vigyan Kendra) and NIRD (National Institute of Rural Development) [Source: Workshop details]. NEDSSS started to approach new donors because of the need to explore funding sources [22]. This need was triggered by the changing donor environment [17] and change in government regulations [18], but the decision of NEDSSS management to focus towards improving the financial sustainability of the organisation was also triggered by an organisational assessment of NEDSSS and its partners. This assessment was done during the partners workshop 'A Way Forward' on 20th and 21st January 2014.The objective of the assessment was to have an in-depth knowledge of organisations. This assessment was done by NEDSSS with support and funding from CARITAS India [16] [Source: Consolidated Report of the Organizational Assessment.pptx].

- *Diversification of areas of intervention [10]*
  In order to increase its visibility [2], scaling up its work and diversify its funding, NEDSSS is intervening in new areas. To this end, NEDSSS is taking up projects in which they are the implementing organisation. They have projects with rickshaw pullers, agriculture and children that have dropped out of school. As a resource centre, NEDSSS is not confined to training but has worked towards innovative interventions. These innovative ways are used for reaching out to the communities, which will be further replicated by the partners. For instance, the shelter project where rickshaw pullers were organised so that they could demand their rights from the government through increased ability to bargain. NEDSSS's approach was innovative with regard to adopting an innovative path in removing the misconceptions about communities or groups by going and finding out first from the target group the reasons behind their inability to access certain resources. In this project of NEDSSS, it was found out that it was not lack of knowledge of the available resources rather there was lack of advocacy or lobbying for them. There was a need to get attention from the government. There was lack of legal stand which was found out through the Public Interest Litigation. Through expanding into new projects in which NEDSSS is the implementer they have been able to attract funding from the World Bank and IGSSS. These are new and ongoing projects. NEDSSS started to diversify its areas of intervention [10] because of a need to explore new funding sources [22].

- *Improved staff capacity to attract funds [21]*
  NEDSSS has trained its staff in proposal writing, showcasing their work, preparing legal and financial documents that are required for proposals and also prepare documentation in line with the CSR rules. As NEDSSS continues to work with and through its partner organisations, they have also started to strengthen their capacity in mobilising funds from government departments, semi-government departments and the corporate sector (through CSR). In support of this, NEDSSS does the dissemination of Caritas India's policy on Local Fund Mobilisation to its partners to implement the institutional Local Resource Mobilisation policy for all partner organisations. All efforts are taken to tap into more domestic sources (CSR and government) while also keeping an eye out for international donors. Improving the staff's capacity to attract funds [21] was triggered by the need to explore new funding sources [22], which in turn was because of changes in the donor environment [17] and in government regulations. With increased surveillance by the government over foreign funding, tapping domestic funding sources has become necessary.

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Endline report – India, Shivi Development Society
MFS II country evaluations

Capacity of Southern Partner Organisations (5C) component

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This report presents the findings of the endline of the evaluation of the organisational capacity component of the MFS II country evaluations. The focus of this report is India, Shivi Development Society. The format is based on the requirements by the synthesis team and NWO/WOTRO. The endline was carried out in 2014. The baseline was carried out in 2012.

Key words: 5C (five core capabilities); attribution; baseline; causal map; change; CFA (Co-financing Organisation) endline; organisational capacity development; SPO (Southern Partner Organisation).

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Report CDI-15-013

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The India 5C evaluation team

List of abbreviations and acronyms

5 C	Capacity development model which focuses on 5 core capabilities
AIDMAM	All India Dalit Mahila AdhikarManch
BBO	Bridging People and Politics
CASH	Committee Against Sexual Harassment
Causal map	Map with cause-effect relationships. See also 'detailed causal map'.
Causal mechanisms	The combination of parts that ultimately explains an outcome. Each part of the mechanism is an individually insufficient but necessary factor in a whole mechanism, which together produce the outcome
CDI	Centre for Development Innovation, Wageningen UR
CFA	Co-Financing Agency
CSO	Civil Society Organisation
CSR	Corporate Social Responsibility
Detailed causal map	Also 'model of change'. the representation of all possible explanations – causal pathways for a change/ outcome. These pathways are that of the intervention, rival pathways and pathways that combine parts of the intervention pathway with that of others. This also depicts the reciprocity of various events influencing each other and impacting the overall change. In the 5C evaluation identified key organisational capacity changes and underlying reasons for change (causal mechanisms) are traced through process tracing (for attribution question).
FCRA	Foreign Contribution Regulation Act
FK	Fredskorpset
General causal map	Causal map with key organisational capacity changes and underlying reasons for change (causal mechanisms), based on SPO perception.
HR	Human Resources
IDF	India Development Foundation
INSEC	Informal Sector Service Center
IPAC	Indraprastha Public Affairs Centre
M&E	Monitoring and Evaluation
MFIC	Migration Facilitation and Information Centre
MFS	Dutch co-financing system
MIS	Management Information System
NCR	National Capital Region
NGO	Non-Governmental Organisation
OD	Organisational Development
PME	Planning, Monitoring and Evaluation
Process tracing	Theory-based approach to trace causal mechanisms
SDS	Shivi Development Society
SPO	Southern Partner Organisation
ToC	Theory of Change
UNHCR	United Nations High Commissioner for Refugees
Wageningen UR	Wageningen University & Research centre
WHRD	Women Human Rights Defenders
WinG	Women in Governance

1 Introduction& summary

1.1 Purpose and outline of the report

The Netherlands has a long tradition of public support for civil bi-lateral development cooperation, going back to the 1960s. The Co-Financing System (*Medefinancieringsstelsel*, or 'MFS') is its most recent expression. MFS II is the 2011-2015 grant framework for Co-Financing Agencies (CFAs), which is directed at achieving a sustainable reduction in poverty. A total of 20 consortia of Dutch CFAs have been awarded €1.9 billion in MFS II grants by the Dutch Ministry of Foreign Affairs (MoFA).

The overall aim of MFS II is to help strengthen civil society in the South as a building block for structural poverty reduction. CFAs receiving MFS II funding work through strategic partnerships with Southern Partner Organisations.

The MFS II framework stipulates that each consortium is required to carry out independent external evaluations to be able to make valid, evaluative statements about the effective use of the available funding. On behalf of Dutch consortia receiving MFS II funding, NWO-WOTRO has issued three calls for proposals. Call deals with joint MFS II evaluations of development interventions at country level. Evaluations must comprise a baseline assessment in 2012 and a follow-up assessment in 2014 and should be arranged according to three categories of priority result areas as defined by MoFA:

- Achievement of Millennium Development Goals (MDGs) & themes;
- Capacity development of Southern partner organisations (SPO) (5 c study);
- Efforts to strengthen civil society.

This report focuses on the assessment of capacity development of southern partner organisations. This evaluation of the organisational capacity development of the SPOs is organised around **four key evaluation questions**:

1. What are the changes in partner organisations' capacity during the 2012-2014 period?
2. To what degree are the changes identified in partner capacity attributable to development interventions undertaken by the MFS II consortia (i.e. measuring effectiveness)?
3. Were the efforts of the MFS II consortia efficient?
4. What factors explain the findings drawn from the questions above?

The purpose of this report is to provide endline information on one of the SPOs involved in the evaluation: FFID in India. The baseline report is described in a separate document.

Chapter 2 describes general information about the Southern Partner Organisation (SPO). Here you can find general information about the SPO, the context in which the SPO operates, contracting details and background to the SPO. In chapter 3 a brief overview of the methodological approach is described. You can find a more detailed description of the methodological approach in appendix 1.Chapter 4 describes the results of the 5c endline study. It provides an overview of capacity development interventions of the SPO that have been supported by MFS II. It also describes what changes in organisational capacity have taken place since the baseline and why (evaluation question is 1 and 4). This is described as a summary of the indicators per capability as well as a general causal map that provides an overview of the key organisational capacity changes since the baseline, as experienced by the SPO. The complete overview of descriptions per indicator, and how these have changed since the baseline is described in appendix 3.The complete visual and narrative for the key organisational capacity changes that have taken place since the baseline according to the SPO staff present at the endline workshop is presented in appendix 4.

For those SPOs involved in process tracing a summary description of the causal maps for the identified organisational capacity changes in the two selected capabilities (capability to act and commit; capability to adapt and self-renew) is provided (evaluation questions 2 and 4). These causal maps describe the identified key organisational capacity changes that are possibly related to MFS II

interventions in these two capabilities, and how these changes have come about. More detailed information can be found in appendix 5.

Chapter 5 presents a discussion on the findings and methodology and a conclusion on the different evaluation questions.

The overall methodology for the endline study of capacity of southern partner organisations is coordinated between the 8 countries: Bangladesh (Centre for Development Studies, University of Bath; INTRAC); DRC (Disaster Studies, Wageningen UR); Ethiopia (CDI, Wageningen UR); India (CDI, Wageningen UR: Indonesia (CDI, Wageningen UR); Liberia (CDI, Wageningen UR); Pakistan (IDS; MetaMeta); (Uganda (ETC). Specific methodological variations to the approach carried out per country where CDI is involved are also described in this document.

This report is sent to the Co-Financing Agency (CFA) and the Southern Partner Organisation (SPO) for correcting factual errors and for final validation of the report.

1.2 Brief summary of analysis and findings

Over the last two years, SDS has very slightly improved in its capability to act and commit. Important improvements have been less staff turnover at the Delhi office, a well-defined organogram in place, situational analysis is now used to articulate strategies, improved staff skills, improved funding procedures. The funding situation deteriorated slightly because SDS now only has one funder (MISEREOR). In the capability to adapt and self-renew SDS also improved very slightly. This was mainly due to taking a more community centric approach, improved communication between the head and regional offices, more critical reflection, more freedom for ideas and more responsiveness to stakeholders. SDS showed a very slight improvement in the capability to deliver on development objectives, as SDS works more cost-effectively and is now monitoring its inputs and outputs through activity related financial reporting. While the organisation overall showed no change in the capability to relate, SDS is now working with more partners in networks at different levels. Finally there was a slight improvement in the capability to achieve coherence because they now have a formulated mission, revised their vision, have better aligned projects and improved in their operational guidelines on procurement and sexual harassment.

The evaluators considered it important to also note down the SPO's perspectives on the most important organisational capacity changes since the baseline. During the endline workshop the key organisational capacity changes that were brought up by SDS' staff were: improved research capacity, improved documentation related to FCRA and improved focus on community outreach programme and action research. SDS said it improved its research capacity because of hiring skilled new staff, training existing staff (both mentioned above) and experience they gained by doing more research. The underlying reasons for these changes were the new vision and mission of SDS and the separation of IPAC, so that SDS could focus on research. SDS improving its documentation related to FCRA was triggered by a documentation training and a changing donor environment in which the government regulations for foreign-funded NGOs became stricter and the CSR Act was implemented. SDS improved its focus on community outreach programme and action research because of their new vision and mission. The vision and mission were changed because of the changing donor environment and IPAC becoming a separate entity. MFS II funded capacity development interventions were not mentioned as having played in important role in the organisational capacity changes that SDS identified as being key, during the endline workshop.

2 General Information about the SPO – Shivi Development Society

2.1 General information about the Southern Partner Organisation (SPO)

Country	India
Consortium	Communities of Change
Responsible Dutch NGO	Cordaid
Project (if applicable)	Women in Governance Assam (until 31 March 2013) National support to coalition on environment & national resources (until 31 May 2014)
Southern partner organisation	Shivi Development Society (SDS)

The project/partner is part of the sample for the following evaluation component(s):

Achievement of MDGs and themes	
Capacity development of Southern partner organisations	X
Efforts to strengthen civil society	

2.2 The socio-economic, cultural and political context in which the partner operates

Shivi Development Society (SDS) is a civil society organisation works on the issues of human rights, good governance, and promotion of people's participation with gender as a cross cutting theme undertaking development initiatives to positively influence the lives and improve the quality of living of poor and marginalized sections of the society. Therefore, SDS also strives to support the policy work through lobby and advocacy strategies of the grassroots voluntary organizations by engaging them in capacity building in lobbying, undertakes direct community outreach programmes and analysing grassroots actions.

SDS from 2006 started receiving funds from foreign donors such as ICCO, Cordaid and Entrée. In 2008, SDS through Cordaid funding organised capacity building programme for Guwahati based partners of Cordaid: Women in Governance[1] and those working with Dalit women. In 2010, it also started working with Fredskorpset, Norway and Western Union Foundation on various capacity building programmes, safe migration etc. In 2012, with the termination of ICCO funding, MISEREOR became the major funder for Chhattisgarh programme on Women Human Rights Defenders. In these years, SDS's area of intervention has been in the conflict zones of the country: states of North East and Chhattisgarh.

Since 2010, NGOs working in conflict areas started coming under the radar of Intelligence Bureau of India. NGO activities especially in the North East were seen as processes aimed at derailing the developmental objectives of the government of India[2]. Despite putting all the legal and financial compliances in place and training its staff to fulfil the requirements of FCRA (Foreign Contribution

[1] Women in Governance is not a network of SDS at present and receives funds through Chindu, a Hyderabad based organisation.

[2] http://timesofindia.indiatimes.com/india/Dutch-funded-NGO-trying-to-stall-oil-drilling-in-northeast-IB-report/articleshow/36513963.cms

Regulation Act, 2010, implemented for regulating foreign funding) the external environment of government suspicion continued with regard to lobbying activities. North Eastern region sharing its international borders with China, Bangladesh and Myanmar continued to remain a major law and order issue for the state[3]. An on-going separatist struggle has continued in the region since the late 1940s, making it the longest running separatist struggle in South Asia. In order to ensure law and order situation there has been imposition of Armed Forces (Special Powers) Act, 1958 with special powers granted to the armed forces resulting in human rights violation. AFSPA has been criticized from different sections and commissions such as the Jeevan Reddy Commission of 2005 and the Verma Commission of 2012, demanded repeal of this Act from the region for ensuring peace. While AFSPA is not in place in Chhattisgarh, there is often escalation of conflict in the Baster region of Chhattisgarh between Maoist groups and Central Reserve Police Force leading to similar violation of rights.

SDS changed its focus on increasing its research capabilities over lobbying due to legal and political changes in the external environment. In working directly with the community, SDS focused on issues of women with the rise in cases of crime against them across the country. According to National Crime Records Bureau of India Statistics, there has been an increase in crime against women in the last two years; its rate of crime in 2013 is 5.69 against 4.26 in 2012[4]; and incidence of immoral trafficking of 2579 female in 2013 as against 2563 in 2012.

Women in conflict regions are more vulnerable to human rights violation, being placed between the militant outfits on the one hand and the army or police personnel on the other hand.

In addition to this, the socio-economic situations of women in tribal areas have often led to their vulnerable condition. For instance, in North East there is community control over resources and presence of customary laws among different tribes. Economic participation of women includes clearing jungles, collection of food and firewood from the forest. However, economic participation of women could not increase their status due to the presence of customary practices being followed in these areas, such as differential allocation of resources in land and their control by the community as a whole.[5]Continuance of customary laws over resources has found an explicit support in the Sixth Schedule of the Constitution. Sixth Schedule of the Constitution of India allows the District Councils and Regional Councils of the areas mentioned under the Schedule to make laws in certain specific areas such as: use of water and land resources, cultivation, inheritance of property, marriage and divorce, social customs etc. In recent times, oil extraction has started in the North Eastern regions adversely impacting the situation of women who hardly have been able to impact the decision-making processes in the region, such as articulating their needs, negotiating compensation through participation in decision making bodies at the community as well as, the state level. Taking into account the complexity of the situation research based intervention by SDS helped them to get an overall understanding of the situation.

2.3 Contracting details

When did cooperation with this partner start: 2007 (discussions), 2008 (projects).

What is the MFS II contracting period:

- Women in Governance Assam, under MFS II: 1 January 2011 until 31 March 2013 (Chindu became the legal holder of Women in Governance Assam);
- National support to coalition on environment & national resources: 1 September 2013 – 31 June 2014.

Did cooperation with this partner end? Yes.

What is the reason for ending the cooperation with this partner: General phasing out of programme in India. Only some of the counterparts will be supported further during some months in 2015, in case

[3] Mridula Dhekial Phukan, 'Ethnicity, Conflict and Population Displacement in Northeast India',*Asian Journal of Humanities and Social Sciences,* Volume 1, Issue 2, August 2013

[4]http://ncrb.nic.in/CD-CII2012/Statistics2012.pdf

[5] http://ncw.nic.in/pdfreports/Customary%20Law.pdf

they contribute in a very direct way for the planned achievements of Cordaid's Unit "Women's Leadership for Peace and Security." This is not the case for SDS.

Is there any expected future collaboration with this partner? No future collaboration is expected with SDS.

2.4 Background to the Southern Partner Organisation

History

Shivi Development Society (SDS) started in 1995 as a small, volunteer based initiative to work towards the empowerment of disadvantaged sections of the society. The organization was initiated with the objective of enabling the vulnerable and socially excluded by building up their capabilities for a decent, dignified and independent life.

Until 2002, SDS's work was sustained through contributions made by members and the activities were operated on a small scale with a very limited budget (in 2002, budget of maximum 2,500 Euros). From 2002 onwards, SDS members decided that activities needed to be more organized and systematic. The Board was reconstituted and new members were taken in. Funds were organized by way of donations mainly from individual donors. Executive committee meetings were made regular and accounts were audited.

SDS got its FCRA registration in 2006 (the Foreign Contribution Regulation Act is a pre requisite to receive funding from foreign donors) and began in that year after to have contacts with foreign funders: ICCO, CORDAID and Entrée. ICCO funded a one year project as an experiment which enabled the organisation to better organise itself and to find people within the sector to work with. Also in 2007, a lobby and advocacy support centre began: the Indraprastha Public Affairs Centre (IPAC). The mission of IPAC is to provide and organize professional lobby support to client organisations in not-for-profit sector, to influence decision makers in the selected areas of policy regime. Entrée contacted SDS for lobbying. The same year, discussions with CORDAID were successful and SDS/IPAC was made the Indian counterpart for capacity building for all CORDAID partners. Therefore, in 2008, SDS organized capacity building program in Guwahati for all CORDAID partners and in the process, some programs came to the forefront, such as- Women in Governance and issues of Dalit women.

In 2009, SDS started its activities in Assam and the North East region through network of women titled: Women in Governance (WinG). After 2009, SDS has obtained many more funders and it has been able to diversify its operations and their geographical spread.

In 2010, SDS got new projects sponsored by different funders. In 2010, SDS also begun a program on Staff Exchange, funded by Fredskorpset, Norway where SDS is part of group of 4 organisations focusing on issues of Human Rights. This has been an extremely useful exercise in terms of skill development, exposure and capacity building for employees of SDS. Also, this is a logical culmination of an organisation working on capacity Development and advocacy to openly choose Rights based Approach and a network approach to make its voice heard in policy circles.

In 2011 the focus had centred on developing SDS as a centre for excellence in research. A step towards this was started with a pilot project to explore the extent of malnutrition and nutritional deficiencies among the age-group of 0-6 yrs. of children in Northern Delhi area and also review/analyse the causative factors of its existence. This was funded by Child Rights and You (CRY) and expanded to cover the whole state in 2012.

Safe migration program began in 2011 through funding given by Western Union Foundation, expanding geographical spread of SDS to Bihar and Rajasthan. As there has been a rise in funders and projects, the total budget of the organization has grown and SDS has also been able to hire qualified and skilled staff- bringing the total number of employees to 17 including the staff of WinG. In 2014 the SDS staff consists of 8.

In 2012, ICCO funding ended for the project Women Human Rights Defender in Chhattisgarh and on July 2012 MISEREOR began to fund for to continue the project. The total funding of SDS was about 140,000 Euros in 2012.

Over time, SDS has organized many training workshops and sends its employees to other organisations as resource persons. The present situation indicates that SDS is moving towards its aim to become a resource organisation for capacity development for other organisations and help them in skill development and advocacy work.

To that end, SDS has been working towards improving its documentation process. In August 2013, SDS has sent one of its staffs to Bangkok to receive training in documentation skills. There have also been programmes with INSEC Nepal to develop staff capacity for putting all legal compliances in place.

Till 31st March 2013, SDS received funds from ICCO Netherlands on Action for Empowerment of Marginalized Communities Supported by ICCO; Women in Governance India 2012 supported by Cordaid; Personality Development Training Support by Netherlands, FK Partnership Agreement Supported by INSEC, Nepal; Promotion of Women Human Rights Defenders in Chhattisgarh supported by MISEREOR, Germany; BBO Training Supported by BBO Netherlands; A Study on Malnutrition Among Children in Delhi supported by CRY; India lobby Support Supported by Cordaid, Netherlands.

In 2013, SDS received fund from CORDAID for the project Manipur Coalition Support 2013, later named *National support to coalition on environment & national resources* for the project period September 2013 to May 2014. It got an extension of one month for this project. As per the contract, Cordaid contribution was EUR 19.200,00.

Among other changes, WinG which was earlier a part of SDS, started working with its new legal holder, a Hyderabad based organisation Chindu. WinG received a project extension fund from Cordaid from 1st September, 2013 to 31st March, 2014. Now MISEREOR is the only funder for the SDS who will support still 2016 for the Chhattisgarh project.

Vision

SDS vision is to foster a growth oriented, just and equitable society based on the respect for the rights of the individuals and non-discrimination among the caste, communities and gender by enabling the under-privileged and uninitiated secure their rights.

Mission

Using rights based approach to development, SDS works towards capability building of its partner communities, with a focus on marginalised women, children and youth, so that they are able to achieve their lasting well-being.

Strategies

SDS works on the issues of child development, human rights, good governance and promotion of people's participation with gender as a cross cutting theme. SDS undertakes the following strategies to achieve its objectives:

- Community Engagement and Outreach Intervention: SDS undertakes engagement with communities either directly or through its partner organizations to understand the existing realities within the communities and identify the gaps. Targeted interventions and Community Outreach are then undertaken to support the development of the communities in an inclusive and holistic manner.
- Capacity Building: SDS undertakes capacity building initiatives within communities to enhance the community's ability to access their rights and efficiently organize themselves in order to empower and support community based development.
- Promoting Self-Help Initiatives: SDS also promotes either directly or through its partners to enable the creation and development of self-help groups to empower and create opportunities for access to sustainable means of livelihoods.
- Advocacy and Education: SDS undertakes academic and policy oriented research on important issues related to its thematic focus to better inform its own actions as well as to make a case for policy work and engagement with public sector. In addition, advocacy initiatives are also be routed through SDS partner/sister organization and Indraprastha Public Affairs Centre (IPAC). It further promotes education within the communities on the relevant issues in order to equip the communities to participate in the decision making process.

- Coalition Building and Networking: SDS engages extensively with coalitions and other likeminded CSO's in order to create a network of supporters to facilitate policy dialogues and policy change. Networking with Parliamentarians to initiate effective policy change is also a core strategy at SDS.

3 Methodological approach and reflection

3.1 Overall methodological approach and reflection

This chapter describes the methodological design and challenges for the assessment of capacity development of Southern Partner Organisations (SPOs), also called the '5C study'. This 5C study is organised around **four key evaluation questions**:

1. What are the changes in partner organisations' capacity during the 2012-2014 period?
2. To what degree are the changes identified in partner capacity attributable to development interventions undertaken by the MFS II consortia (i.e. measuring effectiveness)?
3. Were the efforts of the MFS II consortia efficient?
4. What factors explain the findings drawn from the questions above?

It has been agreed that the question (3) around efficiency cannot be addressed for this 5C study. The methodological approach for the other three questions is described below. At the end, a methodological reflection is provided.

Note: this methodological approach is applied to 4 countries that the Centre for Development Innovation, Wageningen University and Research centre is involved in in terms of the 5C study (Ethiopia, India, Indonesia, Liberia). The overall approach has been agreed with all the 8 countries selected for this MFS II evaluation. The 5C country teams have been trained and coached on this methodological approach during the evaluation process. Details specific to the SPO are described in chapter 5.1 of the SPO report A detailed overview of the approach is described in appendix 1.

The first (changes in organisational capacity) and the fourth evaluation question are addressed together through:

- **Changes in the 5C indicators since the baseline:** standard indicators have been agreed upon for each of the five capabilities of the five capabilities framework (see appendix 2) and changes between the baseline, and the endline situation have been described. For data collection a mix of data collection methods has been used, including self-assessments by SPO staff; interviews with SPO staff and externals; document review; observation. For data analysis, the Nvivo software program for qualitative data analysis has been used. Final descriptions per indicator and per capability with corresponding scores have been provided.
- **Key organisational capacity changes – 'general causal map':** during the endline workshop a brainstorm has been facilitated to generate the key organisational capacity changes as perceived by the SPO since the baseline, with related underlying causes. For this purpose, a visual as well as a narrative causal map have been described.

In terms of the attribution question (2 and 4), **'process tracing'** is used. This is a theory-based approach that has been applied to a selected number of SPOs since it is a very intensive and costly methodology, although it provides rich information and can generate a lot of learning within the organisations. This approach was presented and agreed-upon during the synthesis workshop on 17-18 June 2013 by the 5C teams for the eight countries of the MFS II evaluation. A more detailed description of the approach was presented during the synthesis workshop in February 2014. The synthesis team, NWO-WOTRO, the country project leaders and the MFS II organisations present at the workshop have accepted this approach. It was agreed that this approach can only be used for a selected number of SPOs since it is a very intensive and costly methodology. Key organisational capacity changes/ outcomes of the SPO were identified, based on their relationship to the two selected capabilities, the capability to act and commit the capability to adapt and self-renew, and an expected relationship with CFA supported capacity development interventions (MFS II funding). It was agreed to

focus on these two capabilities, since these are the most targeted capabilities by the CFAs, as established during the baseline process.

Please find below an explanation of how the above-mentioned evaluation questions have been addressed in the 5C evaluation.

At the end of this appendix a brief methodological reflection is provided.

3.2 Assessing changes in organisational capacity and reasons for change - evaluation question 1 and 4

This section describes the data collection and analysis methodology for answering the first evaluation question: **What are the changes in partner organisations' capacity during the 2012-2014 period?** And the fourth evaluation question: **"What factors explain the findings drawn from the questions above?"**

In order to explain the changes in organisational capacity development between baseline and endline (evaluation question 1) the CDI and in-country evaluation teams needed to review the indicators and how they have changed between baseline and endline and what reasons have been provided for this. This is explained below. It has been difficult to find detailed explanations for changes in each of the separate 5c indicators, but the 'general causal map' has provided some ideas about some of the key underlying factors actors and interventions that influence the key organisational capacity changes, as perceived by the SPO staff.

The evaluators considered it important to also note down a consolidated SPO story and this would also provide more information about what the SPO considered to be important in terms of organisational capacity changes since the baseline and how they perceived these key changes to have come about. Whilst this information has not been validated with sources other than SPO staff, it was considered important to understand how the SPOs has perceived changes in the organisation since the baseline.

For those SPOs that are selected for process tracing (evaluation question 2), more in-depth information is provided for the identified key organisational capacity changes and how MFS II supported capacity development interventions as well as other actors, factors and interventions have influenced these changes. This is integrated in the next session on the evaluation question on attribution, as described below and in the appendix 1.

How information was collected and analysed for addressing evaluation question 1 and 4, in terms of description of changes in indicators per capability as well as in terms of the general causal map, based on key organisational capacity changes as perceived by the SPO staff, is further described below.

During the baseline in 2012 information has been collected on each of the 33 agreed upon indicators for organisational capacity. For each of the five capabilities of the 5C framework indicators have been developed as can be seen in Appendix 2. During this 5C baseline, a summary description has been provided for each of these indicators, based on document review and the information provided by staff, the Co-financing Agency (CFA) and other external stakeholders. Also a summary description has been provided for each capability. The results of these can be read in the baseline reports.

The description of indicators for the baseline in 2012 served as the basis for comparison during the endline in 2014. In practice this meant that largely the same categories of respondents (preferably the same respondents as during the baseline) were requested to review the descriptions per indicator and indicate whether and how the endline situation (2014) is different from the described situation in 2012[6].

[6] The same categories were used as during the baseline (except beneficiaries, other funders): staff categories including management, programme staff, project staff, monitoring and evaluation staff, field staff, administration staff; stakeholder categories including co-financing agency (CFA), consultants, partners.

Per indicator they could indicate whether there was an improvement or deterioration or no change and also describe these changes. Furthermore, per indicator the interviewee could indicate what interventions, actors and other factors explain this change compared to the baseline situation. See below the specific questions that are asked for each of the indicators. Per category of interviewees there is a different list of indicators to be looked at. For example, staff members were presented with a list of all the indicators, whilst external people, for example partners, are presented with a select number of indicators, relevant to the stakeholder.

The information on the indicators was collected in different ways:

1. **Endline workshop at the SPO - self-assessment and 'general causal map'**: similar to data collection during the baseline, different categories of staff (as much as possible the same people as during the baseline) were brought together in a workshop and requested to respond, in their staff category, to the list of questions for each of the indicators (self-assessment sheet). Prior to carrying out the self-assessments, a brainstorming sessions was facilitated to develop a 'general causal map', based on the key organisational capacity changes since the baseline as perceived by SPO staff. Whilst this general causal map is not validated with additional information, it provides a sequential narrative, based on organisational capacity changes as perceived by SPO staff;
2. **Interviews with staff members**: additional to the endline workshop, interviews were held with SPO staff, either to provide more in-depth information on the information provided on the self-assessment formats during the workshop, or as a separate interview for staff members that were not present during the endline workshop;
3. **Interviews with externals**: different formats were developed for different types of external respondents, especially the co-financing agency (CFA), but also partner agencies, and organisational development consultants where possible. These externals were interviewed, either face-to-face or by phone/Skype. The interview sheets were sent to the respondents and if they wanted, these could be filled in digitally and followed up on during the interview;
4. **Document review**: similar to the baseline in 2012, relevant documents were reviewed so as to get information on each indicator. Documents to be reviewed included progress reports, evaluation reports, training reports, etc. (see below) since the baseline in 2012, so as to identify changes in each of the indicators;
5. **Observation**: similar to what was done in 2012, also in 2014 the evaluation team had a list with observable indicators which were to be used for observation during the visit to the SPO.

Below the key steps to assess changes in indicators are described.

Key steps to assess changes in indicators are described

1. Provide the description of indicators in the relevant formats – CDI team
2. Review the descriptions per indicator – in-country team & CDI team
3. Send the formats adapted to the SPO to CFA and SPO – in-country team (formats for SPO) and CDI team (formats for CFA)
4. Collect, upload & code the documents from CFA and SPO in NVivo – CDI team
5. Organise the field visit to the SPO – in-country team
6. Interview the CFA – CDI team
7. Run the endline workshop with the SPO – in-country team
8. Interview SPO staff – in-country team
9. Fill-in observation sheets – in-country team
10. Interview externals – in-country team
11. Upload and auto-code all the formats collected by in-country team and CDI team in NVivo – CDI team
12. Provide to the overview of information per 5c indicator to in-country team – CDI team
13. Analyse data and develop a draft description of the findings per indicator and for the general questions – in-country team
14. Analyse data and develop a final description of the findings per indicator and per capability and for the general questions – CDI team
15. Analyse the information in the general causal map –in-country team and CDI-team

Note: the CDI team include the Dutch 5c country coordinator as well as the overall 5c coordinator for the four countries (Ethiopia, India, Indonesia, Liberia). The 5c country report is based on the separate SPO reports.

Please see appendix 1 for a description of the detailed process and steps.

3.3 Attributing changes in organisational capacity - evaluation question 2 and 4

This section describes the data collection and analysis methodology for answering the second evaluation question*: **To what degree are the changes identified in partner capacity attributable to (capacity) development interventions undertaken by the MFS II consortia* (i.e. measuring effectiveness)?** and the fourth evaluation question: **"What factors explain the findings drawn from the questions above?"**

In terms of the attribution question (2), 'process tracing' is used. This is a theory-based approach that has been applied to a selected number of SPOs since it is a very intensive and costly methodology, although it provides rich information and can generate a lot of learning within the organisations. Key organisational capacity changes/ outcomes of the SPO were identified, based on their relationship to the two selected capabilities, the capability to act and commit the capability to adapt and self-renew, and an expected relationship with CFA supported capacity development interventions (MFS II funding). It was agreed to focus on these two capabilities, since these are the most targeted capabilities by the CFAs, as established during the baseline process.

Below, the selection of SPOs for process tracing as well as the different steps involved for process tracing in the selected SPOs, are further explained.

3.3.1 Selection of SPOs for 5C process tracing

Process tracing is a very intensive methodology that is very time and resource consuming (for development and analysis of one final detailed causal map, it takes about 1-2 weeks in total, for different members of the evaluation team). It has been agreed upon during the synthesis workshop on 17-18 June 2013 that only a selected number of SPOs will take part in this process tracing for the purpose of understanding the attribution question. The selection of SPOs is based on the following criteria:

- MFS II support to the SPO has not ended before 2014 (since this would leave us with too small a time difference between intervention and outcome);
- Focus is on the 1-2 capabilities that are targeted most by CFAs in a particular country;
- Both the SPO and the CFA are targeting the same capability, and preferably aim for similar outcomes;
- Maximum one SPO per CFA per country will be included in the process tracing.

The intention was to focus on about 30-50% of the SPOs involved. Please see the tables below for a selection of SPOs per country. Per country, a first table shows the extent to which a CFA targets the five capabilities, which is used to select the capabilities to focus on. A second table presents which SPO is selected, and takes into consideration the selection criteria as mentioned above.

For the detailed results of this selection, in the four countries that CDI is involved in, please see appendix 1. The following SPOs were selected for process tracing:

- Ethiopia: AMREF, ECFA, FSCE, HUNDEE (4/9)
- India: BVHA, COUNT, FFID, SMILE, VTRC (5/10)
- Indonesia: ASB, ECPAT, PtPPMA, YPI, YRBI (5/12)
- Liberia: BSC, RHRAP (2/5).

3.3.2 Key steps in process tracing for the 5C study

In the box below you will find the key steps developed for the 5C process tracing methodology. These steps will be further explained here. Only key staff of the SPO is involved in this process: management; programme/ project staff; and monitoring and evaluation staff, and other staff that could provide information relevant to the identified outcome area/key organisational capacity change.

Those SPOs selected for process tracing had a separate endline workshop, in addition to the ‘ general endline workshop. This workshop was carried out after the initial endline workshop and the interviews during the field visit to the SPO. Where possible, the general and process tracing endline workshop have been held consecutively, but where possible these workshops were held at different points in time, due to the complex design of the process. Below the detailed steps for the purpose of process tracing are further explained. More information can be found in Appendix 1.

Key steps in process tracing for the 5C study

1. Identify the planned MFS II supported capacity development interventions within the selected capabilities (capability to act and commit and capability to adapt and self-renew) – CDI team
2. Identify the implemented MFS II supported capacity development interventions within the selected capabilities (capability to act and commit and capability to adapt and self-renew) – CDI team
3. Identify initial changes/ outcome areas in these two capabilities – CDI team & in-country team
4. Construct the detailed, initial causal map (theoretical model of change) – CDI team & in-country team
5. Identify types of evidence needed to verify or discard different causal relationships in the model of change – in-country teams, with support from CDI team
6. Collect data to verify or discard causal mechanisms and construct workshop based, detailed causal map (model of change) – in-country team
7. Assess the quality of data and analyse data and develop final detailed causal map (model of change) – in-country team with CDI team
8. Analyse and conclude on findings– CDI team, in collaboration with in-country team

3.3.3 Methodological reflection

Below a few methodological reflections are made by the 5C evaluation team. These can also be found in appendix 1.

Use of the 5 core capabilities framework and qualitative approach: this has proven to a be very useful framework to assess organisational capacity. The five core capabilities provide a comprehensive picture of the capacity of an organisation. The capabilities are interlinked, which was also reflected in the description of standard indicators, that have been developed for the purpose of this 5C evaluation and agreed upon for the eight countries. Using this framework with a mainly qualitative approach has provided rich information for the SPOs and CFAs, and many have indicated this was a useful learning exercise.

Using standard indicators and scores: using standard indicators is useful for comparison purposes. However, the information provided per indicator is very specific to the SPO and therefore makes comparison difficult. Whilst the description of indicators has been useful for the SPO and CFA, it is questionable to what extent indicators can be compared across SPOs since they need to be seen in context, for them to make meaning. In relation to this, one can say that scores that are provided for the indicators, are only relative and cannot show the richness of information as provided in the indicator description. Furthermore, it must be noted that organisations are continuously changing and scores are just a snapshot in time. There cannot be perfect score for this. In hindsight, having rubrics would have been more useful than scores.

General causal map: whilst this general causal map, which is based on key organisational capacity changes and related causes, as perceived by the SPO staff present at the endline workshop, has not been validated with other sources of information except SPO feedback, the 5C evaluation team considers this information important, since it provides the SPO story about how and which changes in the organisation since the baseline, are perceived as being important, and how these changes have come about. This will provide information additional to the information that has been validated when analysing and describing the indicators as well as the information provided through process tracing (selected SPOs). This has proven to be a learning experience for many SPOs.

Using process tracing for dealing with the attribution question: this theory-based and mainly qualitative approach has been chosen to deal with the attribution question, on how the organisational capacity changes in the organisations have come about and what the relationship is with MFS II

supported capacity development interventions and other factors. This has proven to be a very useful process, that provided a lot of very rich information. Many SPOs and CFAs have already indicated that they appreciated the richness of information which provided a story about how identified organisational capacity changes have come about. Whilst this process was intensive for SPOs during the process tracing workshops, many appreciated this to be a learning process that provided useful information on how the organisation can further develop itself. For the evaluation team, this has also been an intensive and time-consuming process, but since it provided rich information in a learning process, the effort was worth it, if SPOs and CFAs find this process and findings useful.

A few remarks need to be made:

- Outcome explaining process tracing is used for this purpose, but has been adapted to the situation since the issues being looked at were very complex in nature.
- Difficulty of verifying each and every single change and causal relationship:
  - Intensity of the process and problems with recall: often the process tracing workshop was done straight after the general endline workshop that has been done for all the SPOs.In some cases, the process tracing endline workshop has been done at a different point in time, which was better for staff involved in this process, since process tracing asks people to think back about changes and how these changes have come about. The word difficulties with recalling some of these changes and how they have come about. See also the next paragraph.
  - Difficulty of assessing changes in knowledge and behaviour: training questionnaire is have been developed, based on Kirkpatrick's model and were specifically tailored to identify not only the interest but also the change in knowledge and skills, behaviour as well as organisational changes as a result of a particular training. The retention ability of individuals, irrespective of their position in the organisation, is often unstable. The 5C evaluation team experienced that it was difficult for people to recall specific trainings, and what they learned from those trainings. Often a change in knowledge, skills and behaviour is a result brought about by a combination of different factors , rather than being traceable to one particular event. The detailed causal maps that have been established, also clearly pointed this. There are many factors at play that make people change their behaviour, and this is not just dependent on training but also internal/personal (motivational) factors as well as factors within the organisation, that stimulate or hinder a person to change behaviour. Understanding how behaviour change works is important when trying to really understand the extent to which behaviour has changed as a result of different factors, actors and interventions. Organisations change because people change and therefore understanding when and how these individuals change behaviour is crucial. Also attrition and change in key organisational positions can contribute considerably to the outcome.

Utilisation of the evaluation

The 5C evaluation team considers it important to also discuss issues around utility of this evaluation. We want to mention just a few.

Design – mainly externally driven and with a focus on accountability and standard indicators and approaches within a limited time frame, and limited budget: this MFS II evaluation is originally based on a design that has been decided by IOB (the independent evaluation office of the Dutch Ministry of Foreign Affairs) and to some extent MFS II organisations. The evaluators have had no influence on the overall design and sampling for the 5C study. In terms of learning, one may question whether the most useful cases have been selected in this sampling process. The focus was very much on a rigorous evaluation carried out by an independent evaluation team. Indicators had to be streamlined across countries. The 5C team was requested to collaborate with the other 5C country teams (Bangladesh, Congo, Pakistan, Uganda) to streamline the methodological approach across the eight sampled countries. Whilst this may have its purpose in terms of synthesising results, the 5C evaluation team has also experienced the difficulty of tailoring the approach to the specific SPOs. The overall evaluation has been mainly accountability driven and was less focused on enhancing learning for improvement. Furthermore, the timeframe has been very small to compare baseline information (2012) with endline information (2014). Changes in organisational capacity may take a long, particularly if they are related to behaviour change. Furthermore, there has been limited budget to carry out the 5C evaluation. For all the four countries (Ethiopia, India, Indonesia, Liberia) that the

Centre for Development Innovation, Wageningen University and Research centre has been involved in, the budget has been overspent.

However, the 5C evaluation team has designed an endline process whereby engagement of staff, e.g. in a workshop process was considered important, not only due to the need to collect data, but also to generate learning in the organisation. Furthermore, having general causal maps and detailed causal maps generated by process tracing have provided rich information that many SPOs and CFAs have already appreciated as useful in terms of the findings as well as a learning process.

Another issue that must be mentioned is that additional requests have been added to the country teams during the process of implementation: developing a country based synthesis; questions on design, implementation, and reaching objectives of MFS II funded capacity development interventions, whilst these questions were not in line with the core evaluation questions for the 5C evaluation.

Complexity and inadequate coordination and communication: many actors, both in the Netherlands, as well as in the eight selected countries, have been involved in this evaluation and their roles and responsibilities, were often unclear. For example, 19 MFS II consortia, the internal reference group, the Ministry of Foreign Affairs, Partos, the Joint Evaluation Trust, NWO-Wotro, the evaluators (Netherlands and in-country), 2 external advisory committees, and the steering committee. Not to mention the SPO's and their related partners and consultants. CDI was involved in 4 countries with a total number of 38 SPOs and related CFAs. This complexity influenced communication and coordination, as well as the extent to which learning could take place. Furthermore, there was a distance between the evaluators and the CFAs, since the approach had to be synchronised across countries, and had to adhere to strict guidelines, which were mainly externally formulated and could not be negotiated or discussed for the purpose of tailoring and learning. Feedback on the final results and report had to be provided mainly in written form. In order to enhance utilisation, a final workshop at the SPO to discuss the findings and think through the use with more people than probably the one who reads the report, would have more impact on organisational learning and development. Furthermore, feedback with the CFAs has also not been institutionalised in the evaluation process in the form of learning events. And as mentioned above, the complexity of the evaluation with many actors involved did not enhance learning and thus utilization.

5C Endline process, and in particular thoroughness of process tracing often appreciated as learning process: The SPO perspective has also brought to light a new experience and technique of self-assessment and self-corrective measures for managers. Most SPOs whether part of process tracing or not, deeply appreciated the thoroughness of the methodology and its ability to capture details with robust connectivity. This is a matter of satisfaction and learning for both evaluators and SPOs. Having a process whereby SPO staff were very much engaged in the process of self-assessment and reflection has proven for many to be a learning experience for many, and therefore have enhanced utility of the 5C evaluation.

4 Results

4.1 MFS II supported capacity development interventions

Below an overview of the different MFS II supported capacity development interventions of Shivi Development Society that have taken place since 2011 are described. The information is based on the information provided by Cordaid.

Table 1
Information about MFS II supported capacity development interventions since baseline

Title of the MFS II supported capacity development intervention	Objectives	Activities	Timing and duration	Budget
Capacity building support for SDS Assam staff and stakeholders on engagement with UN		In region training course is organized in Guwahati on international humanitarian and human rights law, UN mechanisms and engagement with UN bodies by an expert from Geneva for Human Rights, in which 7 members from SDS Assam office and main stakeholders participated	December 2011, 4 days	About 6,600 EUR
		The SDS director, SDS regional coordinator Assam and selected WinG Assam member participated in an exposure visit to Geneva to learn about the UPR (Universal Periodic Review) is a new and unique mechanism of the Human Rights Council (HRC) aiming at improving the human rights situation on the ground) process for India at the UN HRC. It was more a political exposure and to see in practice how lobby is going on and how the following steps are designed.	May 2012	About 3,600 EUR

Source: Baseline report

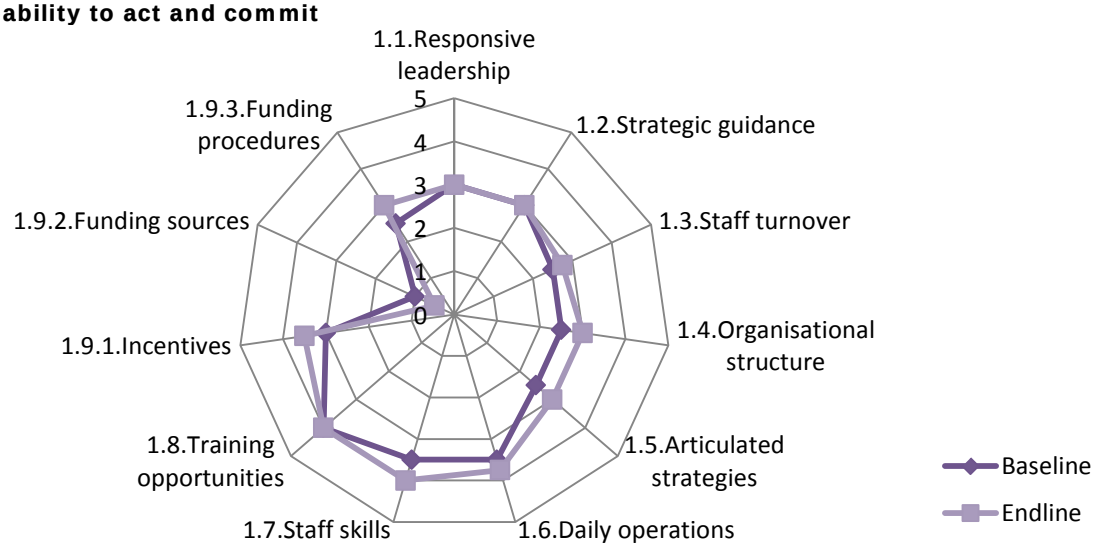
Between the baseline and the 31st of March 2013 when the WinG Assam project changed its legal holder from SDS to Chindu, there have not been any capacity development interventions supported by Cordaid for SDS. In the new project that ran until June 2014 is a small project, in which SDS functions as a consultancy/ support organization. It is not a project aimed at capacity building, but more like a consultancy assignment.

4.2 Changes in capacity and reasons for change - evaluation question 1 and 4

Below you can find a description of the changes in each of the five core capabilities. This information is based on the analysis of the information per each of the indicators. This detailed information for each of the indicators describes the current situation, and how and why it has changed since the baseline. See also annex 3.

4.2.1 Changes in the five core capabilities

Capability to act and commit



The director of SDS continues to be responsive and sensitive. However, there is still no second line leadership, and everything depends on the chief functionary, and a fall back option is needed for when he is not there. SDS leadership continues to provide strategic directions, and there is still clarity as to how different initiatives, interventions lead to one goal. In the last two years SDS leadership has identified women empowerment and gender justice to be its core thematic area. SDS's chief functionary has focused on research capacity of the organisation to better inform its own actions, and this is done by hiring staff who have good research knowledge and skills. An important change in the organisational structure of SDS is that its advocacy initiative IPAC was registered as an independent organisation in April 2008, however, the independent operations on a significant level could start only in July 2014 when it got its FCRA registration. The director is part of both SDS and IPAC and is now expanding the area of operation for both organizations (IPAC is now separated from SDS). They are in the process of selecting a chief functionary for IPAC who will then take-over this task. In the last two years there has been a change in the organisational structure as SDS no longer hosts the WinG Assam office. The leadership has not changed, but staff turnover remains high in the Delhi office because staff are often hired on a project-basis and new graduates leave SDS after a short period to move on to other jobs or post-graduate studies. New staff have a good understanding of policy related work and are hindered less by travelling alone and having no social security, compared to the baseline situation. SDS now has a well-defined organogram so that it is clear to all staff who is responsible for what. SDS has revised its strategies, and over the last two years they worked on improving their research capacity, improving their documentation related to FCRA and they have increased their focus on community outreach programme and action research. Strategies are based on research and needs assessment, but there are no mechanisms to use M&E findings systematically in the strategic planning process. SDS's daily operations are still in line with their strategic plans. Staff at SDS pointed out that in the last two years, their staff have a better understanding of annual action plans and leadership now provides guidance on a daily basis. SDS has sufficient capacity, knowledge base, technical skills, as well as capacity to co-ordinate, train and empower persons at community level in order to foster community mobilization within local communities. In the last two years staff has improved their skills in: accounting , financial management and monitoring in adherence to all accounting standards, documentation and computer related skills. As SDS envisages to become an excellent research centre,

staff that has been longer with the organisation still have to develop more research skills. External resource persons were invited by SDS to train their staff members in research skills. Appropriate training is being given to the staff, and also communication among the internal staff is also very helpful. Staff has also attended trainings in Thailand and Nepal, on legal compliances and women human rights. SDS remains a small organization with a dedicated team that enjoys the freedom and flexibility at workplace and trainings. There are now more financial incentives in place which are linked to a regular performance appraisal system, but the director takes the final decision on increment. In the last two years SDS has had challenges in terms of exploring and mobilizing new donors as the two consistent resource agencies that have been supporting SDS in its development pursuits are facing severe resource constraints. Several projects that received funding are coming to an end and at the moment SDS is not receiving adequate funds, since several projects of Cordaid, MISEREOR and BBO end in 2014.The donor environment has changed over the last two years. The donor base is shrinking and foreign NGOs, including Cordaid, are under the radar of the Indian government as they are suspected of activism that stalls India's development projects for example in the extractive industry. SDS now has a systematized approach to access and look for funding opportunities: they are member of "Fund for NGOs" and " Global Giving" websites, are responding to UN requests for interests, have undertaken an extensive scanning of corporate funding under CSR, a new staff member was hired for writing proposals for funding, a yearly report of is made of which proposals are sent and staff meet monthly to discuss this. Unfortunately, this hasn't led to any concrete results at the moment.

Score baseline: 2.8

Score endline: 3.0 (very slight imporvement)

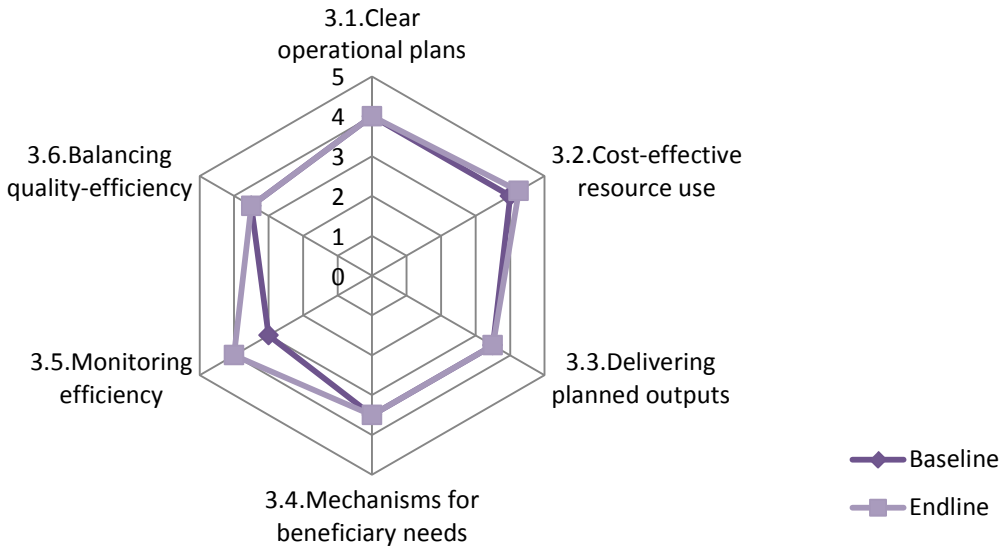
Capability to adapt and self-renew

SDS still gathers information at the output level. Depending on the donors' requirements they use log-frame or results-based management to report on objectives, activities and expected results of projects. The information is compiled at project level. Long term monitoring of projects is still underway. There is still no dedicated person for taking on M&E for all projects. Most field and programme staff has a sufficient knowledge of M&E in relation to their specific projects and consult their senior staff and management when in doubt. SDS uses the findings from their needs assessments to develop their programme strategies in order to ensure that the work they do for the community is aligned with their needs. There is still a need to set up a mechanism to systematically gather longer term results of their interventions and to use this information in strategic planning. Every year SDS continues to conduct Annual Retreats with all staff members to review the existing programmes, job responsibilities of staff and future possibilities and strategies. Staff is given the opportunity to voice their opinions and contribute to the organizational thinking. In the last two years weekly staff meetings were introduced for more frequent reflection. Staff continue to feel free to share their ideas. Staff are taking more ownership and responsibility to implement new ideas. SDS continues to keep track of the changing external environment through newspaper articles, parliamentary proceedings, information through network partners, policy briefings and legislations. As SDS is focussing more on research, they first do research in their operating environment before starting project implementation. SDS continues to be responsive to its stakeholders through various events of different civil society networks. Meetings with stakeholders are regular. There is now some engagement with government functionaries in the state of Chhattisgarh where the WHRD (Women Human Rights Defenders) project is ongoing.

Score baseline: 3.2

Score endline: 3.4 (very slight improvement)

Capability to deliver on development objectives

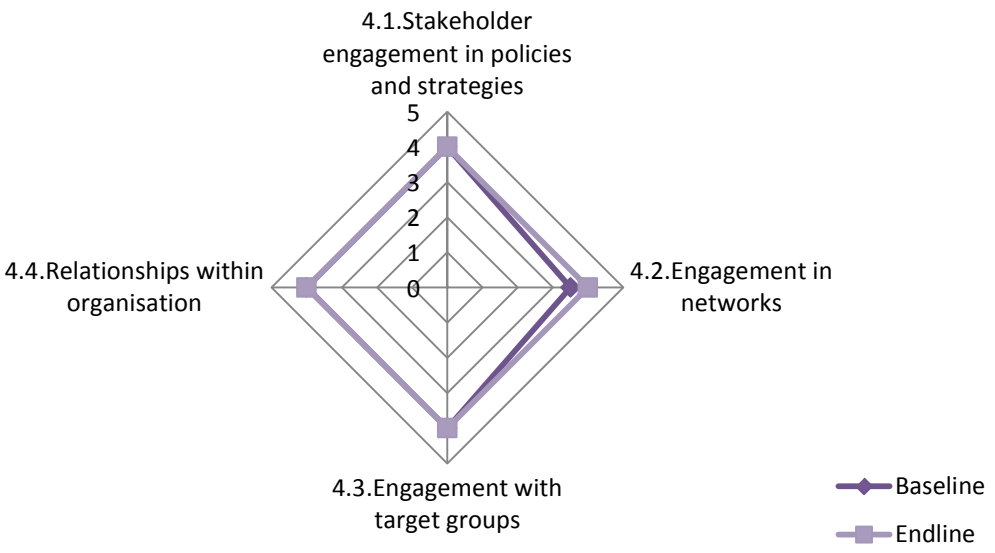


SDS continues to prepare its proposals and plans in consultation with all staff, and staff members follow annual plans and even daily activities plans. During monthly meetings the finished work and occasional deviations from the planned activities are discussed. Cost effectiveness is still a highly valued operational principle at SDS. If there is deviation of budget vis – a – vis activities, it is well documented and conveyed to the donors. Every year, SDS submits the reports to the Ministry of Home Affairs as required under FCRA and income tax returns as required under the Income Tax Act. SDS now follows a procurement policy for purchase of goods and services. This is done to ensure cost-effective utilisation of resource use. SDS continues to deliver most of its outputs as planned, except for when there are delays due to external factors like natural disasters and unrest in the North East, delays in transfer of funds or delays in implementation by other stakeholders. SDS continues to base its services on needs assessments, which is part of its project design process. The needs assessments are discussed with the beneficiaries of its services. SDS still does not have a formal mechanism to ascertain whether beneficiaries are happy with the benefits and services they receive (after receiving them) or to what extent the different target groups benefit. They have now started working directly with their target groups which will help them to get an idea of whether their services meet beneficiary needs. Efficiency in finance is kept under check by not increasing the expenses beyond the allotted budget. All staff members are given targets to be achieved. SDS has put in place a system monitoring of inputs related to outputs through activity related financial reporting. SDS continues to aim at balancing efficiency requirements with the quality of their work, they ensure this by doing proper research and background work. Sometimes due to limited availability of resources, quality work is hindered and work is often hurried up.

Score baseline: 3.6

Score endline: 3.8 (very slight improvement)

Capability to relate

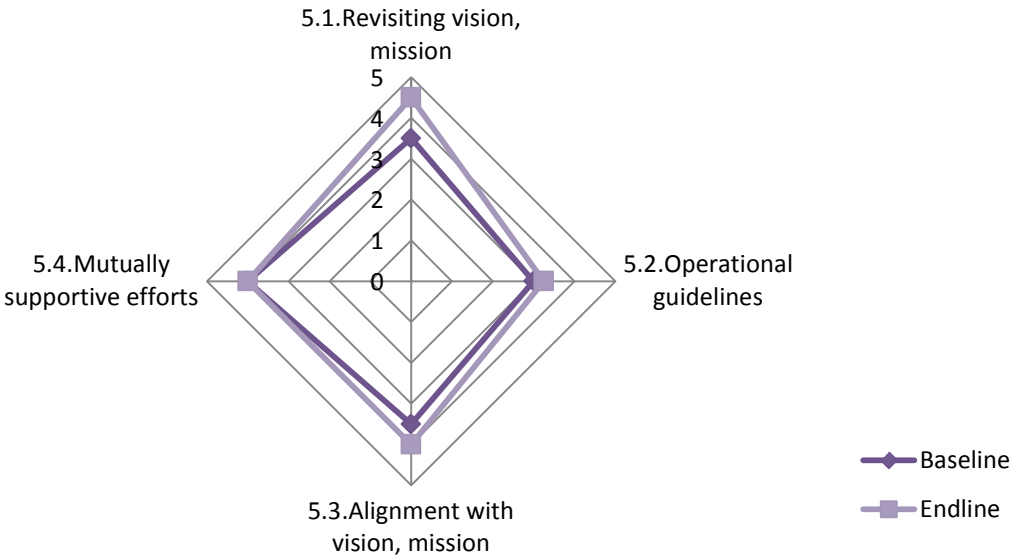


The organisation continues to actively engage with its stakeholders in policy and strategy development through meetings, workshops and consultations. An example is that they have organised a get together with friends of SDS in December 2013. Through consultations like these SDS informs its strategies and policies for the benefit of the organisation. In the past two years SDS has significantly increased the number of partners, including NGOs, CSOs, government agencies, international networks, UN agencies and parliamentarians. SDS has engaged with local NGOs, CSOs, lobby groups and local administration, which increased its knowledge of the ground situation. SDS staff continue to meet beneficiaries frequently: during needs assessment, research, implementation and follow up. SDS continues to be a small organization providing ample space for staff to interact and communicate freely. A dedicated team has been working for SDS, which is spread over three offices and one field centre. SDS has also put in place an office management, communication, monitoring and reporting system; communication between state office and central office is improving because of this.

Score baseline: 3.9

Score endline: 4.0 (no change)

Capability to achieve coherence



The organisation continues to organise annual retreats for leadership and staff to reflect on vision, mission and strategies. Since the baseline SDS has revised its vision and has formulated its mission. SDS works on research and project implementation with a specific focus on women empowerment and gender justice and is using a rights-based approach. The organisation continues to have a financial (from 2009), HR (from 2011) and gender policy (from 2007) in place. To implement the gender policy, the Committee Against Sexual Harassment (CASH)was formed during the Annual Retreat in 2013. SDS also adheres to the FCRA, Income Tax Act and now has a procurement policy in place. As IPAC is now a separate entity working on lobby and advocacy, SDS's research and project implementation are all aligned with its revisited and now consolidated vision of working on the wellbeing of marginalised women and children through women empowerment, gender justice and a rights based approach. SDS continues to take up different programmes which mutually support each other, and now documents the experiences, which informs future planning in the same regions or elsewhere. The areas in which SDS continues to work are: community outreach and research. Its research work informs their activities in the community.

Score baseline: 3.5

Score endline: 3.9 (slight improvement)

4.2.2 General changes in the organisational capacity of the SPO

During the endline workshop at the SPO, a discussion was held around what were the main changes in organisational capacity since the baseline and why these changes have taken place. The discussion was visualised in a general causal map as can be seen below. The narrative for the general causal map is also described below. It gives a more general picture of what was seen as important changes in the organisation since the baseline, and how these changes have come about , and that tells the more general story about the organisational changes in the SPO. The evaluators considered it important to also note down the SPO's story and this would also provide more information about reasons for change, which were difficult to get for the individual indicators. Also for some issues there may not have been relevant indicators available in the list of core indicators provide by the evaluation team. The detailed narrative can be found in Annex 4.

The evaluation team carried out an endline assessment at SDS from 16 to 17 August 2014. During this workshop, the team made a recap of key features of the organisation in the baseline in 2012 (such as vision, mission, strategies, clients, partnerships). This was the basis for discussing changes that had happened to the organisation since the baseline.

According to the staff present at the endline workshop, the three key changes in SDS over the last two years since the baseline in 2012 have been:

- Improved research capacity [2];
- Improved documentation related to FCRA [3];
- Increased focus on community outreach programme and action research [4].

The three main organisational capacity changes are described in the light orange boxes. These are expected to lead to improved organisational capacity [1], visualised in dark orange. Light purple boxes represent factors and aspects that influence the key organisational capacity changes (in light orange). Key underlying factors that have impacted the organisation are listed at the bottom in dark purple. The narrative describes per organisational capacity change, the contributing factors as described from the top down. The numbers in the visual correspond with the numbers in the narrative.

1. Improved Research Capacity [2]

SDS in the course of the last two years (2012-2014) has been working towards establishing its research capabilities and working directly with the community. SDS initiated research work to better inform its own actions as well as to make a case for policy work and engagement with public sector. Improved research capacity of SDS has been due to:

- Hiring of staff trained in research and data collection methods [3] SDS hired staff trained in research and data collection methods.

- Training of existing staff in research [5]: External resource persons were invited by SDS to train their staff members in research. SDS thus claims that their staff with the presence of trained colleagues and trainings have increased their capacity in the field of research.
- Experience acquired while working in projects [4] In order to expand its research based work, SDS conducted a research for CRY on the Study on Malnutrition among Children in the State of Delhi of children between the age-group of 0-3 years in Delhi and study on quality of education among government schools in Delhi. Under this project, 500 persons were interviewed of which 220 were from resettled colonies, 220 from JJ colonies and 60 were homeless.

Each of these changes has been informed by a change in the vision and mission of the organisation. During the last two years, SDS began envisaging itself as a centre for excellence in research with a specific focus on women [11]. The mission of the organisation which was not very clear during the baseline became focused on women related issues and women empowerment. The organisation is now directing its efforts towards working with the community through women centric community based programmes instead of lobbying and advocacy. When IPAC became independent organisation [8] , this helped the organisation to refocus its orientation which was an important change happening in the organisation. Thus the focus of SDS became research and programme implementation while that of IPAC became lobbying and advocacy.

2. Improved Documentation related to FCRA [5]

NGOs working in conflict areas in the North East are in general under the radar of Intelligence Bureau of India. The report of the Intelligence Bureau under the Ministry of Home Affairs "Concerted efforts by select foreign funded NGOs to 'take down' Indian development projects" stated explicitly the work of NGOs especially the foreign funded donors like CORDAID, whom they fear anti-development activities in the country with reference to the extractive project in North East:

"Furthering its efforts on the North-East, Netherlands-based, Dutch Government funded, donor, CORDAID, has recently added 'Extractive Industries in the North East' as the fourth focal point for its interventions in India. It organized another 'Side-Event on Extractive Industries Operations on the Enjoyment of Human Rights (September 14,2012/Geneva) with Swami Agnivesh as the prominent speaker…..To assess the potential for civil rights activism, Senior Policy Officer, CORDAID, Eelco De Groot (earlier associated with the Dutch Ministry of Economic Affairs), has planned a visit to Manipur from March 5-12, 2013, which was denied. He has planned the visit under the cover of an organization called Extractive Industries Transparency Initiative…"

In a latest report in a national daily in India the negative impacts that foreign funded NGOs working in India, including Cordaid, are stalling oil drilling in the North East. With foreign funded NGOs being brought under the radar of the government [10], NGOs have to put in place an improved process of documentation both financially and programme related. To that end, SDS worked on improving their legal compliances of aligning with the FCRA (Foreign Contribution Regulation Act) [10] and drawing the focus of companies engaged in CSR (Corporate Social Responsibility) initiative [9]. In August 2013, SDS sent one of the staff members to Bangkok to receive training in 'Documentation Skills'. There was also an exchange programme with INSEC[7], Nepal. These trainings were based on putting all legal compliances in place. So SDS improved its documentation related to FCRA [5] because of the changing donor environment [6], which was influenced by government regulations for foreign funded NGOs [10] and the CSR Act in 2014 [9] helps to improve the documentation related to FCRA.

3. Increased focus on Community outreach programme and Action Research [7]

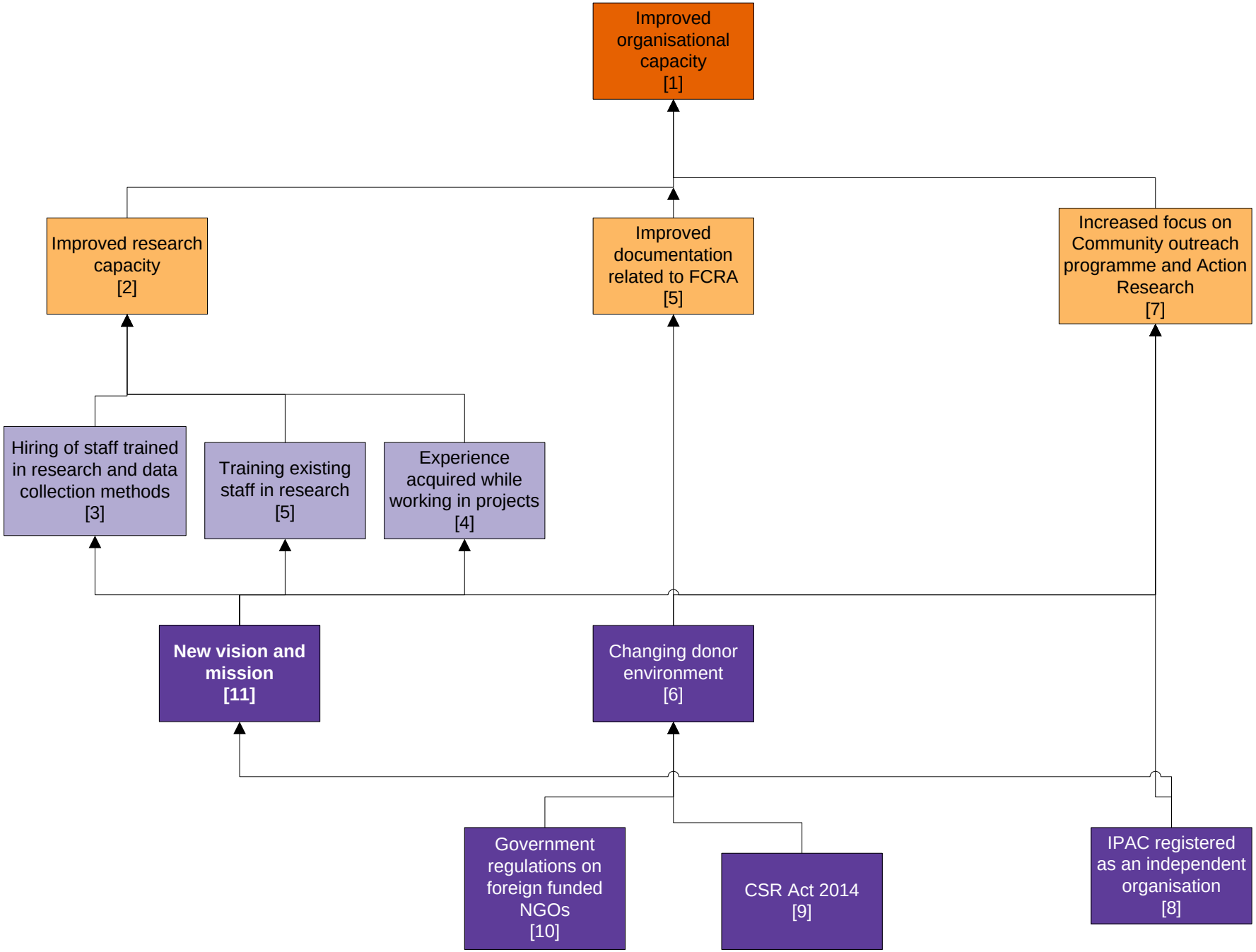
Some examples of SDS' work on community outreach and action research are mentioned below:

- SDS also published "Experiences of Women Human Rights Defenders (WHRD) in the South Asian Context" in November 2013, a documented report on issues of human rights violation of women across South Asia.

[7] Informal Sector Service Centre

- Mining Extraction Project since 1st September 2013 to 31st May, 2014 in Manipur is supported through the Cordaid funding and is based on SDS's research on the impact of mining on women working in the field.
- Shivi Development Society has improved its focus on community outreach programmes and action research [7], as a result of their revised vision and new mission [11]. This change was also made because of:
- Change in the donor environment [6]: With the Corporate Social Responsibility(CSR[8]) Act coming into force in 2014 [9], SDS realized that in order to approach the corporate sector they had to focus on community related interventions as the corporate sector did not fund lobbying and advocacy initiatives.
- IPAC became registered as an independent organization [8]: Another important change that occurred was that the advocacy initiative within SDS i.e. IPAC, became registered as an independent organisation. Thus the focus of SDS became research and programme implementation while that of IPAC became lobbying and advocacy.

[8] The new Companies Act 2014, with a very strong CSR Clause, mandates companies with an average profit of INR 50 million in last three years, to proactively design and undertake welfare and other developmental activities.


Improved organisational capacity [1]
Improved research capacity [2]
Improved documentation related to FCRA [5]
Increased focus on Community outreach programme and Action Research [7]
Hiring of staff trained in research and data collection methods [3]
Training existing staff in research [5]
Experience acquired while working in projects [4]
New vision and mission [11]
Changing donor environment [6]
Government regulations on foreign funded NGOs [10]
CSR Act 2014 [9]
IPAC registered as an independent organisation [8]

5 Discussion and conclusion

5.1 Methodological issues

During the SDS baseline, WinG (Women in Governance) was still their network partner. During the endline this was no longer the case. It was decided by the evaluation team to document an interview with WinG separately and not to follow the questions in the self-assessment form, since the secretary of WinG did not want to be interviewed, as their partnership with SDS was over. Evaluators conducted a telephonic interview with WinG which is based in the North Eastern part of India and at the time of baseline it was not possible to travel to that part due to security reasons, as explained in the baseline report. Currently, WinG is not working with SDS and has no knowledge of organisational level changes in SDS. They are being hosted by a different organisation and have severed their funding links with SDS. However, since SDS was the unit of analysis, the evaluation team proceeded with focusing on SDS as a unit of analysis for the endline process, even though the links with WinG were not established any more. It must be noted that Cordaid still collaborates with SDS but then on different issues.

There was some difference in the baseline and endline situation of Shivi Development Society. The baseline evaluation, while taking SDS as the unit of analysis, focussed mostly on their Assam Office from which the Women in Governance programme was hosted. This programme was funded by Cordaid. The baseline took place in June 2012 and in March 2013 the legal holder of WinG changed from SDS to Chindu, a Hyderabad based organisation. Cordaid continued to fund this programme but no longer through SDS. Cordaid was funding a smaller project of SDS until June 2014, but because of complications in getting visa for Cordaid staff to travel to India a proper verification of the organisational capacity development interventions could not be carried out. Further, this smaller project did not involve any capacity development support to SDS. Cordaid could provide very little information about SDS and its organisational changes during the evaluation period. For the endline, SDS remained the unit of analysis, but the focus was no longer on WinG.

In order to get detailed information on the capacity development of the staff, self–assessment forms were filled up by the management (Chief functionary, Special invitee to EC, Program Coordinator), programme staff (Daily operations help, Program Associate), HR/Administration (Administration, HR and Finance). Except for the Program Coordinator, Daily operations help, Program Associate, all staff also participated in the baseline process. The financial situation did not allow SDS to form a separate M&E unit and staff. There are no field staff, as SDS works with its networking partners. The agreed questionnaire was aimed at teasing out information from various levels of staff without putting them in any awkward situation. The modified and nuanced repetition of questions when translated to an audience not properly exposed to the English language, created a sense of repetitiveness. Evaluators tried to resolve this, by clarifying the responses by a follow-up interview after studying the responses.

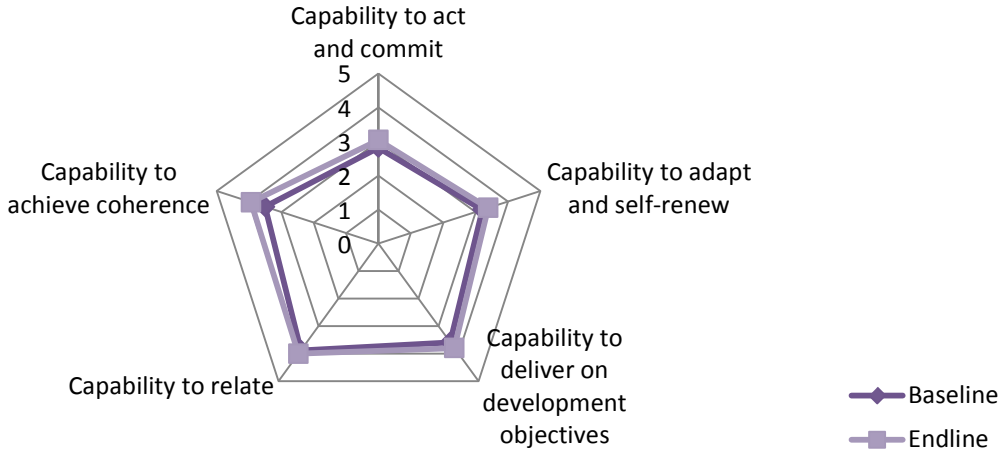
The Organisation Development Consultant of the organisation, who was interviewed during the baseline, is now a special invitee to the Executive Council of SDS. He was part of the endline assessment and filled in the self-assessment forms with the management. So it was decided not to interview him separately.

SDS did not fill in the support to capacity development sheet because they did not receive any MFS II support intervention training programme in the post baseline period. Cordaid also did not fill this in. However, since this organisation was not involved in process tracing the consequences of this was minimal for the analysis.

5.2 Changes in organisational capacity

This section aims to provide an answer to the first and fourth evaluation questions:

1. *What are the changes in partner organisations' capacity during the 2012-2014 period?*
4. *What factors explain the findings drawn from the questions above?*



Whilst changes took place in all of the five core capabilities. Below the changes in each of the capabilities are further explained, by referring to the specific indicators that changed.

Over the last two years most improvements took place in the indicators under the capability to act and commit. There was a very slight improvement in the indicator on staff turnover, as there was less staff turnover at the Delhi office. The reason for this was that all staff now have a good understanding of policy related work and know what kind of work to expect. There is now a well-defined organogram that clearly explains who is responsible for what, which was lacking during the baseline. A slight improvement in the indicator on articulation of strategies was noted because of SDS' improved focus on research and programme implementation and the fact that they use situational analysis; research and M&E for their strategies. Staff now has a better understanding of annual action plans. New staff that was hired is skilled in research and the accounting staff has improved their skills. The financial incentives for staff have improved since the baseline. There has, however, been a slight deterioration in the funding situation of SDS as they now only have one funder, MISEREOR. To improve their funding situation SDS has slightly improved their funding procedures as they now have a more systematised approach to look for funding opportunities.

In the capability to adapt and self-renew SDS also improved slightly in various indicators. SDS improved their M&E because of taking a more community centric approach and improving the communication between the head office and regional office through an office management, communication, monitoring and reporting system. There is more time for critical reflection through weekly staff meetings and more freedom for ideas because of more flexible leadership and staff taking more ownership. SDS has also increased its engagement with stakeholders, especially with government functionaries in the state Chhatisgarh.

In terms of the capability to deliver on development objectives, there has been a very slight improvement in cost-effectiveness as SDS now has a procurement policy to ensure the cost-effective utilisation of resources. There has also been improvement in the monitoring of inputs and outputs as SDS put in place a system for activity related financial reporting.

In the capability to relate SDS improved in its networking capacity. During the baseline there was a need to increase the number of partners. There are now more partners that SDS works with, including local NGOs, CSOs, lobby groups, government agencies and international networks.

Finally, SDS has slightly improved in its capability to achieve coherence as they have now formulated their mission (which was absent during the baseline), have revised their vision and were able to align their projects better with their mission and vision because of IPAC becoming a separate entity. SDS

now focusses on research and project implementation. SDS has also adopted a procurement policy and has formed a Committee against Sexual Harassment.

During the endline workshop some key organisational capacity changes were brought up by SDS' staff: improved research capacity, improved documentation related to FCRA and improved focus on community outreach programme and action research. SDS said it improved its research capacity because of hiring skilled new staff, training existing staff (both mentioned above) and experience they gained by doing more research. The underlying reasons for these changes were the new vision and mission of SDS and the separation of IPAC, so that SDS could focus on research. SDS improving its documentation related to FCRA was triggered by a changing donor environment in which the government regulations for foreign-funded NGOs became stricter and the CSR Act was implemented. SDS improved its focus on community outreach programme and action research because of their new vision and mission. The vision and mission were changed because of the changing donor environment and IPAC becoming a separate entity. MFS II funded capacity development interventions have played no role in the organisational capacity changes that SDS identified as being key, during the endline workshop.

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List of documents available:

List of Staff_2014.docx
1.Shivi-factsheet140401docx.docx
Project Proposal 2012.doc
Project Proposal 2013.doc
Budget Coaltion on Extractive industries.docx
Considerations for Project Approval in 2012.docx

Considerations for Project Approval in 2012_EN.docx
Project Propsal for extension of the period of the project.docx
Small Project Decision Form 2013.docx
Summary of Project for Approval in 2012.docx
1. 'Manipuri Madhumathi' (Theatre workshop), Imphal, Manipur.pdf
2. 'Let's Watch (PBT training, Kandhamal, Orissa).pdf
3. 'GENDER AND CULTURE' (A workshop for WinG, India, Cordaid Partner.._.pdf
3a. Wing Words - an experience of Gender and Culture workshop.pdf
4. 'Sun Sabho' - Who Am I - Tripura report.pdf
Contract.pdf
Budget Extension Project Sept 13 to Mar 14 - Swadikhar.xls
Budget 2012 overall & sub budgets.xls
Budget 2013-14.xls
Budget 108469 Sub 2 revised groot contract.xlsx
Budget Project.xlsx
SHIVI 108469 - Summary of expenses for Sep 2012 - Aug 2013 (1).xlsx
Table of activities for extension of the period of the project.xlsx
Chindu Narrative report.doc
Follow Up 110237.doc
My experiences.doc
Gender Policy.PDF
Finance Policy.PDF
FCRA Consolidate 2013.PDF
Consolidated Audit 2013.docx
Conslolidate Audit2013.PDF
Concept note_Shivi Development Society.doc
WHRD News.PDF
Summary of FK activities report from Tanka.doc
Submission to UN SR on VAW by IPAC.docx
State Level Workshop on Women Human Rights Defenders.docx
SHIVI 2013.PDF
SDS Annual Report 2012-2013.pdf
Report of retreat Program by SDS (1).doc
Proucrement Policy.PDF
News cliping.PDF
News cliping 2.PDF
Minute of Staff Meeting on 20th February 2013..doc
Intelligence Bureau.docx
Intelligence Bureau Report-NGO.pdf
IB-Report-NGO.pdf
Human resource Manual and staff rules.docx
HRA.PDF

Fieldwork data:

5c endline self-assessment of the SPO on organisational capacity – management_India_Shivi.doc
5c endline self-assessment of the SPO on organisational capacity – program_India_Shivi.doc
5c endline self-assessment of the SPO on organisational capacity – HRADMIN_India_Shivi.doc
ATTENDANCE SHEET for SDS 16 17 SEPT Workshop.docx
Interview with WinG.doc
Annex K.docx shivi.docxAnnex K_5c endline workshop_key changes and factors_SPOperspective_country_name SPO SHIVI.docx
5c endline observation sheet - observations by in-country evaluators during the endline capacity assessment at the SPO_SHIVI.doc

List of Respondents

SDS staff:

NAME	DESIGNATION	16th Sept	17th Sept
Narendar Kumar	Chief functionary	Present	Present
LaxmiNarain	Special invitee to EC	Present	Present
Hanuman Sahay Sharma	Admin, H.R and Finance (Delhi)	Present	Present
Lokesh Kumar	Daily operations help	Present	Present
Shreya Banerjee	Program Associate	Present	Present
SuparvaNarsimahaiah	Program Coordinator	Present	Present

Others:

Bondita Acharya, Head of WinG, Assam. Interviewed on 19th of September 2014.

CFA:

Eliane Faerstein, Programme Officer at Cordaid. Email correspondence between June –November 2014.

Stephanie Joubert, Specialist in Women's Leadership at Cordaid. Email correspondence in April 2014 and December 2014.

Appendix 1 Methodological approach & reflection

Introduction

This appendix describes the methodological design and challenges for the assessment of capacity development of Southern Partner Organisations (SPOs), also called the '5C study'. This 5C study is organised around four key evaluation questions:

1. What are the changes in partner organisations' capacity during the 2012-2014 period?
2. To what degree are the changes identified in partner capacity attributable to development interventions undertaken by the MFS II consortia (i.e. measuring effectiveness)?
3. Were the efforts of the MFS II consortia efficient?
4. What factors explain the findings drawn from the questions above?

It has been agreed that the question (3) around efficiency cannot be addressed for this 5C study. The methodological approach for the other three questions is described below. At the end, a methodological reflection is provided.

In terms of the attribution question (2), 'process tracing' is used. This is a theory-based approach that has been applied to a selected number of SPOs since it is a very intensive and costly methodology, although it provides rich information and can generate a lot of learning within the organisations. This approach was presented and agreed-upon during the synthesis workshop on 17-18 June 2013 by the 5C teams for the eight countries of the MFS II evaluation. A more detailed description of the approach was presented during the synthesis workshop in February 2014. The synthesis team, NWO-WOTRO, the country project leaders and the MFS II organisations present at the workshop have accepted this approach. It was agreed that this approach can only be used for a selected number of SPOs since it is a very intensive and costly methodology. Key organisational capacity changes/ outcomes of the SPO were identified, based on their relationship to the two selected capabilities, the capability to act and commit the capability to adapt and self-renew, and an expected relationship with CFA supported capacity development interventions (MFS II funding). It was agreed to focus on these two capabilities, since these are the most targeted capabilities by the CFAs, as established during the baseline process.

Please find below an explanation of how the above-mentioned evaluation questions have been addressed in the 5C evaluation.

Note: the methodological approach is applied to 4 countries that the Centre for Development Innovation, Wageningen University and Research centre is involved in in terms of the 5C study (Ethiopia, India, Indonesia, Liberia). The overall approach has been agreed with all the 8 countries selected for this MFS II evaluation. The 5C country teams have been trained and coached on this methodological approach during the evaluation process. Details specific to the SPO are described in chapter 5.1 of the SPO report. At the end of this appendix a brief methodological reflection is provided.

Changes in partner organisation's capacity – evaluation question 1

This section describes the data collection and analysis methodology for answering the first evaluation question: **What are the changes in partner organisations' capacity during the 2012-2014 period?**

This question was mainly addressed by reviewing changes in 5c indicators, but additionally a 'general causal map' based on the SPO perspective on key organisational capacity changes since the baseline has been developed. Each of these is further explained below. The development of the general causal map is integrated in the steps for the endline workshop, as mentioned below.

During the baseline in 2012 information has been collected on each of the 33 agreed upon indicators for organisational capacity. For each of the five capabilities of the 5C framework indicators have been developed as can be seen in Appendix 2. During this 5C baseline, a summary description has been provided for each of these indicators, based on document review and the information provided by staff, the Co-financing Agency (CFA) and other external stakeholders. Also a summary description has been provided for each capability. The results of these can be read in the baseline reports.

The description of indicators for the baseline in 2012 served as the basis for comparison during the endline in 2014. In practice this meant that largely the same categories of respondents (preferably the same respondents as during the baseline) were requested to review the descriptions per indicator and indicate whether and how the endline situation (2014) is different from the described situation in 2012.[9] Per indicator they could indicate whether there was an improvement or deterioration or no change and also describe these changes. Furthermore, per indicator the interviewee could indicate what interventions, actors and other factors explain this change compared to the baseline situation. See below the specific questions that are asked for each of the indicators. Per category of interviewees there is a different list of indicators to be looked at. For example, staff members were presented with a list of all the indicators, whilst external people, for example partners, are presented with a select number of indicators, relevant to the stakeholder.

The information on the indicators was collected in different ways:

1. **Endline workshop at the SPO - self-assessment and 'general causal map'**: similar to data collection during the baseline, different categories of staff (as much as possible the same people as during the baseline) were brought together in a workshop and requested to respond, in their staff category, to the list of questions for each of the indicators (self-assessment sheet). Prior to carrying out the self-assessments, a brainstorming sessions was facilitated to develop a 'general causal map', based on the key organisational capacity changes since the baseline as perceived by SPO staff. Whilst this general causal map is not validated with additional information, it provides a sequential narrative, based on organisational capacity changes as perceived by SPO staff;
2. **Interviews with staff members**: additional to the endline workshop, interviews were held with SPO staff, either to provide more in-depth information on the information provided on the self-assessment formats during the workshop, or as a separate interview for staff members that were not present during the endline workshop;
3. **Interviews with externals**: different formats were developed for different types of external respondents, especially the co-financing agency (CFA), but also partner agencies, and organisational development consultants where possible. These externals were interviewed, either face-to-face or by phone/Skype. The interview sheets were sent to the respondents and if they wanted, these could be filled in digitally and followed up on during the interview;
4. **Document review**: similar to the baseline in 2012, relevant documents were reviewed so as to get information on each indicator. Documents to be reviewed included progress reports, evaluation reports, training reports, etc. (see below) since the baseline in 2012, so as to identify changes in each of the indicators;
5. **Observation**: similar to what was done in 2012, also in 2014 the evaluation team had a list with observable indicators which were to be used for observation during the visit to the SPO.

[9] The same categories were used as during the baseline (except beneficiaries, other funders): staff categories including management, programme staff, project staff, monitoring and evaluation staff, field staff, administration staff; stakeholder categories including co-financing agency (CFA), consultants, partners.

Below the key steps to assess changes in indicators are described.

Key steps to assess changes in indicators are described

1. Provide the description of indicators in the relevant formats – CDI team
2. Review the descriptions per indicator – in-country team & CDI team
3. Send the formats adapted to the SPO to CFA and SPO – in-country team (formats for SPO) and CDI team (formats for CFA)
4. Collect, upload & code the documents from CFA and SPO in NVivo – CDI team
5. Organise the field visit to the SPO – in-country team
6. Interview the CFA – CDI team
7. Run the endline workshop with the SPO – in-country team
8. Interview SPO staff – in-country team
9. Fill-in observation sheets – in-country team
10. Interview externals – in-country team
11. Upload and auto-code all the formats collected by in-country team and CDI team in NVivo – CDI team
12. Provide to the overview of information per 5c indicator to in-country team – CDI team
13. Analyse data and develop a draft description of the findings per indicator and for the general questions – in-country team
14. Analyse data and develop a final description of the findings per indicator and per capability and for the general questions – CDI team
15. Analyse the information in the general causal map –in-country team and CDI-team

Note: the CDI team include the Dutch 5c country coordinator as well as the overall 5c coordinator for the four countries (Ethiopia, India, Indonesia, Liberia). The 5c country report is based on the separate SPO reports.

Below each of these steps is further explained.

*Step 1. Provide the **description of indicators** in the relevant formats – CDI team*

- These formats were to be used when collecting data from SPO staff, CFA, partners, and consultants. For each of these respondents different formats have been developed, based on the list of 5C indicators, similar to the procedure that was used during the baseline assessment. The CDI team needed to add the 2012 baseline description of each indicator. The idea was that each respondent would be requested to review each description per indicator, and indicate whether the current situation is different from the baseline situation, how this situation has changed, and what the reasons for the changes in indicators are. At the end of each format, a more general question is added that addresses how the organisation has changed its capacity since the baseline, and what possible reasons for change exist. Please see below the questions asked for each indicator as well as the more general questions at the end of the list of indicators.

General questions about key changes in the capacity of the SPO

What do you consider to be the key changes in terms of how the organisation/ SPO has developed its capacity since the baseline (2012)?

What do you consider to be the main explanatory reasons (interventions, actors or factors) for these changes?

List of questions to be asked for each of the 5C indicators (The entry point is the the description of each indicator as in the 2012 baseline report):

1. *How has the situation of this indicator changed compared to the situation during the baseline in 2012? Please tick one of the following scores:*
   - -2 = Considerable deterioration
   - -1 = A slight deterioration
   - 0 = No change occurred, the situation is the same as in 2012
   - +1 = Slight improvement
   - +2 = Considerable improvement
2. *Please describe what exactly has changed since the baseline in 2012*

3. *What interventions, actors and other factors explain this change compared to the baseline situation in 2012? Please tick and describe what interventions, actors or factors influenced this indicator, and how. You can tick and describe more than one choice.*
   - o Intervention, actor or factor at the level of or by **SPO**: ..... .
   - o Intervention, actor or factor at the level of or by the **Dutch CFA (MFS II funding)**: .... .
   - o Intervention, actor or factor at the level of or by the **other funders**: ..... .
   - o **Other** interventions, actors or factors: ..... .
     - o Don't know.

Step 2. ***Review*** *the descriptions per indicator – in-country team & CDI team*

Before the in-country team and the CDI team started collecting data in the field, it was important that they reviewed the description for each indicator as described in the baseline reports, and also added to the endline formats for review by respondents. These descriptions are based on document review, observation, interviews with SPO staff, CFA staff and external respondents during the baseline. It was important to explain this to respondents before they filled in the formats.

Step 3. ***Send the formats*** *adapted to the SPO to CFA and SPO – in-country team (formats for SPO) and CDI team (formats for CFA)*

The CDI team was responsible for collecting data from the CFA:

- 5C Endline assessment Dutch co-financing organisation;
- 5C Endline support to capacity sheet – CFA perspective.

The in-country team was responsible for collecting data from the SPO and from external respondents (except CFA). The following formats were sent before the fieldwork started:

- 5C Endline support to capacity sheet – SPO perspective.
- 5C Endline interview guides for externals: partners; OD consultants.

Step 4. ***Collect, upload & code the documents*** *from CFA and SPO in NVivo – CDI team*

The CDI team, in collaboration with the in-country team, collected the following documents from SPOs and CFAs:

- Project documents: project proposal, budget, contract (Note that for some SPOs there is a contract for the full MFS II period 2011-2015; for others there is a yearly or 2-yearly contract. All new contracts since the baseline in 2012 will need to be collected);
- Technical and financial progress reports since the baseline in 2012;.
- Mid-term evaluation reports;
- End of project-evaluation reports (by the SPO itself or by external evaluators);
- Contract intake forms (assessments of the SPO by the CFA) or organisational assessment scans made by the CFA that cover the 2011-2014 period;
- Consultant reports on specific inputs provided to the SPO in terms of organisational capacity development;
- Training reports (for the SPO; for alliance partners, including the SPO);
- Organisational scans/ assessments, carried out by the CFA or by the Alliance Assessments;
- Monitoring protocol reports, especially for the 5C study carried out by the MFS II Alliances;
- Annual progress reports of the CFA and of the Alliance in relation to capacity development of the SPOs in the particular country;
- Specific reports that are related to capacity development of SPOs in a particular country.

The following documents (since the baseline in 2012) were requested from SPO:

- Annual progress reports;
- Annual financial reports and audit reports;
- Organisational structure vision and mission since the baseline in 2012;
- Strategic plans;

- Business plans;
- Project/ programme planning documents;
- Annual work plan and budgets;
- Operational manuals;
- Organisational and policy documents: finance, human resource development, etc.;
- Monitoring and evaluation strategy and implementation plans;
- Evaluation reports;
- Staff training reports;
- Organisational capacity reports from development consultants.

The CDI team will coded these documents in NVivo (qualitative data analysis software program) against the 5C indicators.

Step 5. ***Prepare and organise the field visit*** *to the SPO – in-country team*

Meanwhile the in-country team prepared and organised the logistics for the field visit to the SPO:

- **General endline workshop** consisted about one day for the self-assessments (about ½ to ¾ of the day) and brainstorm (about 1 to 2 hours) on key organisational capacity changes since the baseline and underlying interventions, factors and actors ('general causal map'), see also explanation below. This was done with the five categories of key staff: managers; project/ programme staff; monitoring and evaluation staff; admin & HRM staff; field staff. Note: for SPOs involved in process tracing an additional 1 to 1½ day workshop (managers; program/project staff; monitoring and evaluation staff) was necessary. See also step 7;
- **Interviews with SPO staff** (roughly one day);
- **Interviews with external respondents** such as partners and organisational development consultants depending on their proximity to the SPO. These interviews coulc be scheduled after the endline workshop and interviews with SPO staff.

General causal map

During the 5C endline process, a 'general causal map' has been developed, based on key organisational capacity changes and underlying causes for these changes, as perceived by the SPO. The general causal map describes cause-effect relationships, and is described both as a visual as well as a narrative.

As much as possible the same people that were involved in the baseline were also involved in the endline workshop and interviews.

Step 6. ***Interview the CFA*** *– CDI team*

The CDI team was responsible for sending the sheets/ formats to the CFA and for doing a follow-up interview on the basis of the information provided so as to clarify or deepen the information provided. This relates to:

- 5C Endline assessment Dutch co-financing organisation;
- 5C Endline support to capacity sheet - CFA perspective.

Step 7. ***Run the endline workshop*** *with the SPO – in-country team*

This included running the endline workshop, including facilitation of the development of the general causal map, self-assessments, interviews and observations. Particularly for those SPOs that were selected for process tracing all the relevant information needed to be analysed prior to the field visit, so as to develop an initial causal map. Please see Step 6 and also the next section on process tracing (evaluation question two).

An endline workshop with the SPO was intended to:

- Explain the purpose of the fieldwork;
- Carry out in the self-assessments by SPO staff subgroups (unless these have already been filled prior to the field visits) - this may take some 3 hours.
- Facilitate a brainstorm on key organisational capacity changes since the baseline in 2012 and underlying interventions, factors and actors.

***Purpose of the fieldwork*:** to collect data that help to provide information on what changes took place in terms of organisational capacity development of the SPO as well as reasons for these changes. The baseline that was carried out in 2012 was to be used as a point of reference.

Brainstorm on key organisational capacity changes and influencing factors: a brainstorm was facilitated on key organisational capacity changes since the baseline in 2012. In order to kick start the discussion, staff were reminded of the key findings related to the historical time line carried out in the baseline (vision, mission, strategies, funding, staff). This was then used to generate a discussion on key changes that happened in the organisation since the baseline (on cards). Then cards were selected that were related to organisational capacity changes, and organised. Then a 'general causal map' was developed, based on these key organisational capacity changes and underlying reasons for change as experienced by the SPO staff. This was documented as a visual and narrative.This general causal map was to get the story of the SPO on what they perceived as key organisational capacity changes in the organisation since the baseline, in addition to the specific details provided per indicator.

***Self-assessments*:** respondents worked in the respective staff function groups: management; programme/ project staff; monitoring and evaluation staff; admin and HRM staff; field staff. Staff were assisted where necessary so that they could really understand what it was they were being asked to do as well as what the descriptions under each indicator meant.

Note: for those SPOs selected for process tracing an additional endline workshop was held to facilitate the development of detailed causal maps for each of the identified organisational change/ outcome areas that fall under the capability to act and commit, and under the capability to adapt and self-renew, and that are likely related to capacity development interventions by the CFA. See also the next section on process tracing (evaluation question two). It was up to the in-country team whether this workshop was held straight after the initial endline workshop or after the workshop and the follow-up interviews. It could also be held as a separate workshop at another time.

Step 8. ***Interview SPO staff*** *– in-country team*

After the endline workshop (developing the general causal map and carrying out self-assessments in subgroups), interviews were held with SPO staff (subgroups) to follow up on the information that was provided in the self-assessment sheets, and to interview staff that had not yet provided any information.

Step 9. ***Fill-in observation sheets*** *– in-country team*

During the visit at the SPO, the in-country team had to fill in two sheets based on their observation:

- 5C Endline observation sheet;
- 5C Endline observable indicators.

Step 10. ***Interview externals*** *– in-country team & CDI team*

The in-country team also needed to interview the partners of the SPO as well as organisational capacity development consultants that have provided support to the SPO. The CDI team interviewed the CFA.

Step 11. ***Upload and auto-code all the formats*** *collected by in-country team and CDI team – CDI team*

The CDI team was responsible for uploading and auto-coding (in Nvivo) of the documents that were collected by the in-country team and by the CDI team.

Step 12. Provide the ***overview of information*** *per 5C indicator to in-country team – CDI team*

After the analysis in NVivo, the CDI team provided a copy of all the information generated per indicator to the in-country team for initial analysis.

Step 13. ***Analyse the data and develop a draft description*** *of the findings per indicator and for the general questions – in-country team*

The in-country team provided a draft description of the findings per indicator, based on the information generated per indicator. The information generated under the general questions were linked to the general causal map or detailed process tracing related causal map.

Step 14. ***Analyse the data and finalize the description*** *of the findings per indicator, per capability and general – CDI team*

The CDI team was responsible for checking the analysis by the in-country team with the Nvivo generated data and to make suggestions for improvement and ask questions for clarification to which the in-country team responded. The CDI team then finalised the analysis and provided final descriptions and scores per indicator and also summarize these per capability and calculated the summary capability scores based on the average of all indicators by capability.

Step 15. ***Analyse the information*** *in the general causal map –in-country team & CDI team*

The general causal map based on key organisational capacity changes as perceived by the SPO staff present at the workshop, was further detailed by in-country team and CDI team, and based on the notes made during the workshop and where necessary additional follow up with the SPO. The visual and narrative was finalized after feedback by the SPO. During analysis of the general causal map relationships with MFS II support for capacity development and other factors and actors were identified. All the information has been reviewed by the SPO and CFA.

Attributing changes in partner organisation's capacity – evaluation question 2

This section describes the data collection and analysis methodology for answering the second evaluation question: ***To what degree are the changes identified in partner capacity attributable to (capacity) development interventions undertaken by the MFS II consortia (i.e. measuring effectiveness)?***

In terms of the attribution question (2), 'process tracing' is used. This is a theory-based approach that has been applied to a selected number of SPOs since it is a very intensive and costly methodology, although it provides rich information and can generate a lot of learning within the organisations. Key organisational capacity changes/ outcomes of the SPO were identified, based on their relationship to the two selected capabilities, the capability to act and commit the capability to adapt and self-renew, and an expected relationship with CFA supported capacity development interventions (MFS II funding). It was agreed to focus on these two capabilities, since these are the most targeted capabilities by the CFAs, as established during the baseline process. The box below provides some background information on process tracing.

Background information on process tracing

The essence of process tracing research is that scholars want to go beyond merely identifying correlations between independent variables (Xs) and outcomes (Ys). Process tracing in social science is commonly defined by its addition to trace causal mechanisms (Bennett, 2008a, 2008b; Checkle, 2008; George & Bennett, 2005). A causal mechanism can be defined as "a complex system which produces an outcome by the interaction of a number of parts" (Glennan, 1996, p. 52). Process tracing involves "attempts to identify the intervening causal process – the causal chain and causal mechanism – between an independent variable (or variables) and the outcome of the dependent variable" (George & Bennett, 2005, pp. 206-207).

Process tracing can be differentiated into three variants within social science: theory testing, theory building, and explaining outcome process tracing (Beach & Pedersen, 2013).

Theory testing process tracing uses a theory from the existing literature and then tests whether evidence shows that each part of hypothesised causal mechanism is present in a given case, enabling within case inferences about whether the mechanism functioned as expected in the case and whether the mechanism as a whole was present. No claims can be made however, about whether the mechanism was the only cause of the outcome.

Theory building process tracing seeks to build generalizable theoretical explanations from empirical evidence, inferring that a more general causal mechanism exists from the fact of a particular case.

Finally, explaining outcome process tracing attempts to craft a minimally sufficient explanation of a puzzling outcome in a specific historical case. Here the aim is not to build or test more general theories but to craft a (minimally) sufficient explanation of the outcome of the case where the ambitions are more case centric than theory oriented.

Explaining outcome process tracing is the most suitable type of process tracing for analysing the causal mechanisms for selected key organisational capacity changes of the SPOs. This type of process tracing can be thought of as a single outcome study defined as seeking the causes of the specific outcome in a single case (Gerring, 2006; in: Beach & Pedersen, 2013). Here the ambition is to craft a minimally sufficient explanation of a particular outcome, with sufficiency defined as an explanation that accounts for all of the important aspects of an outcome with no redundant parts being present (Mackie, 1965).

Explaining outcome process tracing is an iterative research strategy that aims to trace the complex conglomerate of systematic and case specific causal mechanisms that produced the outcome in question. The explanation cannot be detached from the particular case. Explaining outcome process tracing refers to case studies whose primary ambition is to explain particular historical outcomes, although the findings of the case can also speak to other potential cases of the phenomenon. Explaining outcome process tracing is an iterative research process in which 'theories' are tested to see whether they can provide a minimally sufficient explanation of the outcome. Minimal sufficiency is defined as an explanation that accounts for an outcome, with no redundant parts. In most explaining outcome studies, existing theorisation cannot provide a sufficient explanation, resulting in a second stage in which existing theories are re-conceptualised in light of the evidence gathered in the preceding empirical analysis. The conceptualisation phase in explaining outcome process tracing is therefore an iterative research process, with initial mechanisms re-conceptualised and tested until the result is a theorised mechanism that provides a minimally sufficient explanation of the particular outcome.

Below a description is provided of how SPOs are selected for process tracing, and a description is provided on how this process tracing is to be carried out. Note that this description of process tracing provides not only information on the extent to which the changes in organisational development can be attributed to MFS II (evaluation question 2), but also provides information on other contributing factors and actors (evaluation question 4). Furthermore, it must be noted that the evaluation team has developed an adapted form of 'explaining outcome process tracing', since the data collection and analysis was an iterative process of research so as to establish the most realistic explanation for a particular outcome/ organisational capacity change. Below selection of SPOs for process tracing as well as the different steps involved for process tracing in the selected SPOs, are further explained.

Selection of SPOs for 5C process tracing

Process tracing is a very intensive methodology that is very time and resource consuming (for development and analysis of one final detailed causal map, it takes about 1-2 weeks in total, for different members of the evaluation team). It has been agreed upon during the synthesis workshop on 17-18 June 2013 that only a selected number of SPOs will take part in this process tracing for the purpose of understanding the attribution question. The selection of SPOs is based on the following criteria:

- MFS II support to the SPO has not ended before 2014 (since this would leave us with too small a time difference between intervention and outcome);
- Focus is on the 1-2 capabilities that are targeted most by CFAs in a particular country;
- Both the SPO and the CFA are targeting the same capability, and preferably aim for similar outcomes;
- Maximum one SPO per CFA per country will be included in the process tracing.

The intention was to focus on about 30-50% of the SPOs involved. Please see the tables below for a selection of SPOs per country. Per country, a first table shows the extent to which a CFA targets the five capabilities, which is used to select the capabilities to focus on. A second table presents which SPO is selected, and takes into consideration the selection criteria as mentioned above.

ETHIOPIA

For Ethiopia the capabilities that are mostly targeted by CFAs are the capability to act and commit and the capability to adapt and self-renew. See also the table below.

Table 1

The extent to which the Dutch NGO explicitly targets the following capabilities – Ethiopia

Capability to:	AMREF	CARE	ECFA	FSCE	HOA-REC	HUNDEE	NVEA	OSRA	TTCA
Act and commit	5	4	5	5	5	3	4	4	3
Deliver on development objectives	2	1	1	1	2	1	1	2	1
Adapt and self-renew	4	2	3	4	2	5	3	3	3
Relate	3	1	2	2	3	2	1	3	1
Achieve coherence	2	2	1	1	1	1	1	1	1

Note: Number 1 stands for not targeted, 5 for intensively targeted. These scores are relative scores for the interventions by the CFA to strengthen the capacity of the SPO. The scores are relative to each other, a higher score means that this capability gets more attention by the CFA compared to other capabilities.

Source: country baseline report, Ethiopia.

Below you can see the table describing when the contract with the SPO is to be ended, and whether both SPO and the CFA expect to focus on these two selected capabilities (with MFS II funding). Based on the above-mentioned selection criteria the following SPOs are selected for process tracing: AMREF, ECFA, FSCE, HUNDEE. In fact, six SPOs would be suitable for process tracing. We just selected the first one per CFA following the criteria of not including more than one SPO per CFA for process tracing

Table 2

SPOs selected for process tracing – Ethiopia

Ethiopia – SPOs	End of contract	Focus on capability to act and commit– by SPO	Focus on capability to act and commit – by CFA	Focus on capability to adapt and self-renew – by SPO	Focus on capability to adapt and self-renew – by CFA	CFA	Selected for process tracing
AMREF	Dec 2015	Yes	Yes	Yes	Yes	AMREF NL	Yes
CARE	Dec 31, 2015	Partly	Yes	Yes	Yes – slightly	CARE Netherlands	No - not fully matching
ECFA	Jan 2015	Yes	Yes	Yes	Yes	Child Helpline International	Yes
FSCE	Dec 2015	Yes	Yes	Yes	Yes	Stichting Kinderpostzegels Netherlands (SKN); Note: no info from Defence for Children – ECPAT Netherlands	Yes
HOA-REC	Sustainable Energy project (ICCO Alliance): 2014 Innovative WASH (WASH Alliance): Dec 2015	Yes	Yes	Yes	Yes - slightly	ICCO	No - not fully matching
HUNDEE	Dec 2014	Yes	Yes	Yes	Yes	ICCO & IICD	Yes
NVEA	Dec 2015 (both)	Yes	Yes	Yes	Yes	Edukans Foundation (under two consortia); Stichting Kinderpostzegels Netherlands (SKN)	Suitable but SKN already involved for process tracing FSCE
OSRA	C4C Alliance project (farmers marketing): December 2014 ICCO Alliance project (zero grazing: 2014 (2nd phase)	Yes	Yes	Yes	Yes	ICCO & IICD	Suitable but ICCO & IICD already involved for process tracing - HUNDEE
TTCA	June 2015	Partly	Yes	No	Yes	Edukans Foundation	No - not fully matching

INDIA

For India the capability that is mostly targeted by CFAs is the capability to act and commit. The next one in line is the capability to adapt and self-renew. See also the table below in which a higher score means that the specific capability is more intensively targeted.

Table 3

The extent to which the Dutch NGO explicitly targets the following capabilities – India[10]

Capability to:	BVHA	COUNT	DRISTI	FFID	Jana Vikas	Samarthak Samiti	SMILE	SDS	VTRC
Act and commit	5	3	4	4	4	4	4	3	5
Deliver on development objectives	1	5	1	1	1	1	1	2	1
Adapt and self-renew	2	2	1	3	1	1	4	1	4
Relate	3	1	1	1	1	1	2	1	2
Achieve coherence	1	1	1	4	1	1	1	1	2

Note: Number 1 stands for not targeted, 5 for intensively targeted. These scores are relative scores for the interventions by the CFA to strengthen the capacity of the SPO. The scores are relative to each other, a higher score means that this capability gets more attention by the CFA compared to other capabilities.

Source: country baseline report, India.

Below you can see a table describing when the contract with the SPO is to be ended and whether SPO and the CFA both expect to focus on these two selected capabilities (with MFS II funding). Based on the above-mentioned selection criteria the following SPOs are selected for process tracing: BVHA, COUNT, FFID, SMILE and VTRC. Except for SMILE (capability to act and commit only), for the other SPOs the focus for process tracing can be on the capability to act and commit and on the capability to adapt and self-renew.

Table 4

SPOs selected for process tracing – India

India – SPOs	End of contract	Focus on capability to act and commit– by SPO	Focus on capability to act and commit – by CFA	Focus on capability to adapt and self-renew –by SPO	Focus on capability to adapt and self-renew – by CFA	CFA	Selected for process tracing
BVHA	2014	Yes	Yes	Yes	Yes	Simavi	Yes; both capabilities
COUNT	2015	Yes	Yes	Yes	Yes	Woord en Daad	Yes; both capabilities
DRISTI	31-03-2012	Yes	Yes	No	no	Hivos	No - closed in 2012
FFID	30-09-2014	Yes	Yes	Yes	Yes	ICCO	Yes

10 RGVN, NEDSF and Women's Rights Forum (WRF) could not be reached timely during the baseline due to security reasons. WRF could not be reached at all. Therefore these SPOs are not included in Table 1.

India – SPOs	End of contract	Focus on capability to act and commit– by SPO	Focus on capability to act and commit – by CFA	Focus on capability to adapt and self-renew –by SPO	Focus on capability to adapt and self-renew – by CFA	CFA	Selected for process tracing
Jana Vikas	2013	Yes	Yes	Yes	No	Cordaid	No - contract is and the by now; not fully matching focus
NEDSF							No – delayed baseline
RGVN							No - delayed baseline
Samarthak Samiti (SDS)	2013 possibly longer	Yes	Yes	Yes	No	Hivos	No - not certain of end date and not fully matching focus
Shivi Development Society (SDS)	Dec 2013 intention 2014	Yes	Yes	Yes	No	Cordaid	No - not fully matching focus
Smile	2015	Yes	Yes	Yes	Yes	Wilde Ganzen	Yes; first capability only
VTRC	2015	Yes	Yes	Yes	Yes	Stichting Red een Kind	Yes; both capabilities

INDONESIA

For Indonesia the capabilities that are most frequently targeted by CFAs are the capability to act and commit and the capability to adapt and self-renew. See also the table below.

Table 5

The extent to which the Dutch NGO explicitly targets the following capabilities – Indonesia

Capability to:	ASB	Daya kologi	ECPAT	GSS	Lem baga Kita	Pt. PPMA	Rifka Annisa	WIIP	Yad upa	Yayasan Kelola	YPI	YRBI
Act and commit	4	4	4	5	4	4	5	3	3	2	5	4
Deliver on development objectives	1	1	1	2	2	1	2	1	1	1	1	1
Adapt and self-renew	3	1	2	4	2	3	4	4	1	1	4	3
Relate	1	1	2	3	3	2	1	2	2	2	3	2
Achieve coherence	1	1	1	2	1	1	2	2	1	1	2	1

Note: Number 1 stands for not targeted, 5 for intensively targeted. These scores are relative scores for the interventions by the CFA to strengthen the capacity of the SPO. The scores are relative to each other, a higher score means that this capability gets more attention by the CFA compared to other capabilities.

Source: country baseline report, Indonesia.

The table below describes when the contract with the SPO is to be ended and whether both SPO and the CFA expect to focus on these two selected capabilities (MFS II funding). Based on the above-mentioned selection criteria the following SPOs are selected for process tracing: ASB, ECPAT, Pt.PPMA, YPI, YRBI.

Table 6

SPOs selected for process tracing – Indonesia

Indonesia – SPOs	End of contract	Focus on capability to act and commit– by SPO	Focus on capability to act and commit – by CFA	Focus on capability to adapt and self-renew – by SPO	Focus on capability to adapt and self-renew – by CFA	CFA	Selected for process tracing
ASB	February 2012; extension Feb,1, 2013 – June,30, 2016	Yes	Yes	Yes	Yes	Hivos	Yes
Dayakologi	2013; no extension	Yes	Yes	Yes	No	Cordaid	No: contract ended early and not matching enough
ECPAT	August 2013; Extension Dec 2014	Yes	Yes	Yes, a bit	Yes	Free Press Unlimited - Mensen met een Missie	Yes
GSS	31 December 2012; no extension	Yes	Yes	Yes, a bit	Yes	Free Press Unlimited - Mensen met een Missie	No: contract ended early
Lembaga Kita	31 December 2012; no extension	Yes	Yes	No	Yes	Free Press Unlimited - Mensen met een Missie	No - contract ended early
Pt.PPMA	May 2015	Yes	Yes	No	Yes	IUCN	Yes, capability to act and commit only
Rifka Annisa	Dec, 31 2015	No	Yes	No	Yes	Rutgers WPF	No - no match between expectations CFA and SPO
WIIP	Dec 2015	Yes	Not MFS II	Yes	Not MFS II	Red Cross	No - Capacity development interventions are not MFS II financed. Only some overhead is MFS II

Indonesia – SPOs	End of contract	Focus on capability to act and commit– by SPO	Focus on capability to act and commit – by CFA	Focus on capability to adapt and self-renew – by SPO	Focus on capability to adapt and self-renew – by CFA	CFA	Selected for process tracing
Yayasan Kelola	Dec 30, 2013; extension of contract being processed for two years (2014-2015)	Yes	Not really	Yes	Not really	Hivos	No - no specific capacity development interventions planned by Hivos
YPI	Dec 31, 2015	Yes	Yes	Yes	Yes	Rutgers WPF	Yes
YRBI	Oct, 30, 2013; YRBI end of contract from 31st Oct 2013 to 31st Dec 2013. Contract extension proposal is being proposed to MFS II, no decision yet.	Yes	Yes	Yes	Yes	ICCO	Yes
Yadupa	Under negotiation during baseline; new contract 2013 until now	Yes	Nothing committed	Yes	Nothing committed	IUCN	No, since nothing was committed by CFA

LIBERIA

For Liberia the situation is arbitrary which capabilities are targeted most CFA's. Whilst the capability to act and commit is targeted more often than the other capabilities, this is only so for two of the SPOs. The capability to adapt and self-renew and the capability to relate are almost equally targeted for the five SPOs, be it not intensively. Since the capability to act and commit and the capability to adapt and self-renew are the most targeted capabilities in Ethiopia, India and Indonesia, we choose to focus on these two capabilities for Liberia as well. This would help the synthesis team in the further analysis of these capabilities related to process tracing. See also the table below.

Table 7

The extent to which the Dutch NGO explicitly targets the following capabilities – Liberia

Capability to:	BSC	DEN-L	NAWOCOL	REFOUND	RHRAP
Act and commit	5	1	1	1	3
Deliver on development objectives	3	1	1	1	1
Adapt and self-renew	2	2	2	2	2
Relate	1	2	2	2	2
Achieve coherence	1	1	1	1	1

Note: Number 1 stands for not targeted, 5 for intensively targeted. These scores are relative scores for the interventions by the CFA to strengthen the capacity of the SPO. The scores are relative to each other, a higher score means that this capability gets more attention by the CFA compared to other capabilities.

Source: country baseline report, Liberia.

Below you can see the table describing when the contract with the SPO is to be ended, and whether both SPO and the CFA expect to focus on these two selected capabilities (with MFS II funding). Also, for two of the five SPOs capability to act and commit is targeted more intensively compared to the other capabilities. Based on the above-mentioned selection criteria the following SPOs are selected for process tracing: BSC and RHRAP.

Table 8

SPOs selected for process tracing – Liberia

Liberia – SPOs	End of contract	Focus on capability to act and commit– by SPO	Focus on capability to act and commit – by CFA	Focus on capability to adapt and self-renew –by SPO	Focus on capability to adapt and self-renew – by CFA	CFA	Selected for process tracing
BSC	Dec 31, 2015	Yes	Yes	Yes	Yes	SPARK	Yes
DEN-L	2014	No	No	Unknown	A little	ICCO	No – not matching enough
NAWOCOL	2014	Yes	No	No	A little	ICCO	No – not matching enough
REFOUND	At least until 2013 (2015?)	Yes	No	Yes	A little	ICCO	No – not matching enough
RHRAP	At least until 2013 (2014?)	Yes	Yes	Yes	Yes	ICCO	Yes

Key steps in process tracing for the 5C study

In the box below you will find the key steps developed for the 5C process tracing methodology. These steps will be further explained here. Only key staff of the SPO is involved in this process: management; programme/ project staff; and monitoring and evaluation staff, and other staff that could provide information relevant to the identified outcome area/key organisational capacity change. Those SPOs selected for process tracing had a separate endline workshop, in addition to the ‘ general endline workshop. This workshop was carried out after the initial endline workshop and the interviews during the field visit to the SPO. Where possible, the general and process tracing endline workshop have been held consecutively, but where possible these workshops were held at different points in time, due to the complex design of the process. Below the detailed steps for the purpose of process tracing are further explained.

Key steps in process tracing for the 5C study

1. Identify the planned MFS II supported capacity development interventions within the selected capabilities (capability to act and commit and capability to adapt and self-renew) – CDI team
2. Identify the implemented MFS II supported capacity development interventions within the selected capabilities (capability to act and commit and capability to adapt and self-renew) – CDI team
3. Identify initial changes/ outcome areas in these two capabilities – CDI team & in-country team
4. Construct the detailed, initial causal map (theoretical model of change) – CDI team & in-country team
5. Identify types of evidence needed to verify or discard different causal relationships in the model of change – in-country teams, with support from CDI team
6. Collect data to verify or discard causal mechanisms and construct workshop based, detailed causal map (model of change) – in-country team
7. Assess the quality of data and analyse data and develop final detailed causal map (model of change) – in-country team with CDI team
8. Analyse and conclude on findings– CDI team, in collaboration with in-country team

Some definitions of the terminology used for this MFS II 5c evaluation

Based upon the different interpretations and connotations the use of the term causal mechanism we use the following terminology for the remainder of this paper:

A **detailed causal map** (or **model of change)** = the representation of all possible explanations – causal pathways for a change/ outcome. These pathways are that of the intervention, rival pathways and pathways that combine parts of the intervention pathway with that of others. This also depicts the reciprocity of various events influencing each other and impacting the overall change.

A **causal mechanism** = is the combination of parts that ultimately explains an outcome. Each part of the mechanism is an individually insufficient but necessary factor in a whole mechanism, which together produce the outcome (Beach and Pedersen, 2013, p. 176).

Part or **cause** = one actor with its attributes carrying out activities/ producing outputs that lead to change in other parts. The final part or cause is the change/ outcome.

Attributes of the actor = specificities of the actor that increase his chance to introduce change or not such as its position in its institutional environment.

*Step 1. Identify the **planned MFS II supported capacity development interventions** within the selected capabilities (capability to act and commit and capability to adapt and self-renew) – CDI team*

Chapter 4.1 and 4.2 in the baseline report were reviewed. Capacity development interventions as planned by the CFA for the capability to act and commit and for the capability to adapt and self-renew were described and details inserted in the summary format. This provided an overview of the capacity development activities that were originally planned by the CFA for these two capabilities and assisted in focusing on relevant outcomes that are possibly related to the planned interventions.

*Step 2. Identify the **implemented capacity development interventions** within the selected capabilities (capability to act and commit and capability to adapt and self-renew) – CDI team*

The input from the CFA was reviewed in terms of what capacity development interventions have taken place in the MFS II period. This information was be found in the 'Support to capacity development sheet - endline - CFA perspective' for the SPO, based on details provided by the CFA and further discussed during an interview by the CDI team.

The CFA was asked to describe all the MFS II supported capacity development interventions of the SPO that took place during the period 2011 up to now. The CDI team reviewed this information, not only the interventions but also the observed changes as well as the expected long-term changes, and

then linked these interventions to relevant outcomes in one of the capabilities (capability to act and commit; and capability to adapt and self-renew).

*Step 3. Identify **initial changes/ outcome areas** in these two capabilities – by CDI team & in-country team*

The CDI team was responsible for coding documents received from SPO and CFA in NVivo on the following:

- 5C Indicators: this was to identify the changes that took place between baseline and endline. This information was coded in Nvivo.
- Information related to the capacity development interventions implemented by the CFA (with MFS II funding) (see also Step 2) to strengthen the capacity of the SPO. For example, the training on financial management of the SPO staff could be related to any information on financial management of the SPO. This information was coded in Nvivo.

In addition, the response by the CFA to the changes in 5C indicators format, was auto-coded.

The in-country team was responsible for timely collection of information from the SPO (before the fieldwork starts). This set of information dealt with:

- MFS II supported capacity development interventions during the MFS II period (2011 until now).
- Overview of all trainings provided in relation to a particular outcome areas/organisational capacity change since the baseline.
- For each of the identified MFS II supported trainings, training questionnaires have been developed to assess these trainings in terms of the participants, interests, knowledge and skills gained, behaviour change and changes in the organisation (based on Kirkpatrick's model), one format for training participants and one for their managers. These training questionnaires were sent prior to the field visit.
- Changes expected by SPO on a long-term basis ('Support to capacity development sheet - endline - SPO perspective').

For the selection of change/ outcome areas the following criteria were important:

- The change/ outcome area is in one of the two capabilities selected for process tracing: capability to act and commit or the capability to adapt and self-renew. This was the first criteria to select upon.
- There was a likely link between the key organisational capacity change/ outcome area and the MFS II supported capacity development interventions. This also was an important criteria. This would need to be demonstrated through one or more of the following situations:
  - In the 2012 theory of change on organisational capacity development of the SPO a link was indicated between the outcome area and MFS II support;
  - During the baseline the CFA indicated a link between the planned MFS II support to organisational development and the expected short-term or long-term results in one of the selected capabilities;
  - During the endline the CFA indicated a link between the implemented MFS II capacity development interventions and observed short-term changes and expected long-term changes in the organisational capacity of the SPO in one of the selected capabilities;
  - During the endline the SPO indicated a link between the implemented MFS II capacity development interventions and observed short-term changes and expected long-term changes in the organisational capacity of the SPO in one of the selected capabilities.

Reviewing the information obtained as described in Step 1, 2, and 3 provided the basis for selecting key organisational capacity change/ outcome areas to focus on for process tracing. These areas were to be formulated as broader outcome areas, such as 'improved financial management', 'improved monitoring and evaluation' or 'improved staff competencies'.

Note: the outcome areas were to be formulated as intermediates changes. For example: an improved monitoring and evaluation system, or enhanced knowledge and skills to educate the target group on

climate change. Key outcome areas were also verified - based on document review as well as discussions with the SPO during the endline.

*Step 4. Construct the **detailed, initial causal map** (theoretical model of change) – CDI & in-country team*

A detailed initial causal map was developed by the CDI team, in collaboration with the in-country team. This was based on document review, including information provided by the CFA and SPO on MFS II supported capacity development interventions and their immediate and long-term objectives as well as observed changes. Also, the training questionnaires were reviewed before developing the initial causal map. This detailed initial causal map was to be provided by the CDI team with a visual and related narrative with related references. This initial causal map served as a reference point for further reflection with the SPO during the process tracing endline workshop, where relationships needed to be verified or new relationships established so that the second (workshop-based), detailed causal map could be developed, after which further verification was needed to come up with the final, concluding detailed causal map.

It's important to note that organisational change area/ outcome areas could be both positive and negative.

For each of the selected outcomes the team needed to make explicit the theoretical model of change. This meant finding out about the range of different actors, factors, actions, and events etc. that have contributed to a particular outcome in terms of organisational capacity of the SPO.

A model of change of good quality includes:

- The causal pathways that relate the intervention to the realised change/ outcome;
- Rival explanations for the same change/ outcome;
- Assumptions that clarify relations between different components or parts;
- Case specific and/or context specific factors or risks that might influence the causal pathway, such as for instance the socio-cultural-economic context, or a natural disaster;
- Specific attributes of the actors e.g. CFA and other funders.

A model of change (within the 5C study called a 'detailed causal map') is a complex system which produces intermediate and long-term outcomes by the interaction of other parts. It consists of parts or causes that often consist of one actor with its attributes that is implementing activities leading to change in other parts (Beach & Pedersen, 2013). A helpful way of constructing the model of change is to think in terms of actors carrying out activities that lead to other actors changing their behaviour. The model of change can be explained as a range of activities carried out by different *actors* (including the CFA and SPO under evaluation) that will ultimately lead to an outcome. Besides this, there are also '*structural*' elements, which are to be interpreted as external factors (such as economic conjuncture); and *attributes* of the actor (does the actor have the legitimacy to ask for change or not, what is its position in the sector) that should be looked at (Beach & Pedersen, 2013). In fact Beach and Pedersen, make a fine point about the subjectivity of the actor in a dynamic context. This means, in qualitative methodologies, capturing the changes in the actor, acted upon area or person/organisation, in a non sequential and non temporal format. Things which were done recently could have corrected behavioural outcomes of an organisation and at the same ime there could be processes which incrementally pushed for the same change over a period of time. Beach and Pedersen espouse this methodology because it captures change in a dynamic fashion as against the methodology of logical framework. For the MFS II evaluation it was important to make a distinction between those paths in the model of change that are the result of MFS II and rival pathways.
The construction of the model of change started with the identified key organisational capacity change/ outcome, followed by an inventory of all possible subcomponents that possibly have caused the change/ outcome in the MFS II period (2011-up to now, or since the baseline). The figure below presents an imaginary example of a model of change. The different colours indicate the different types of support to capacity development of the SPO by different actors, thereby indicating different pathways of change, leading to the key changes/ outcomes in terms of capacity development (which in this case indicates the ability to adapt and self-renew).

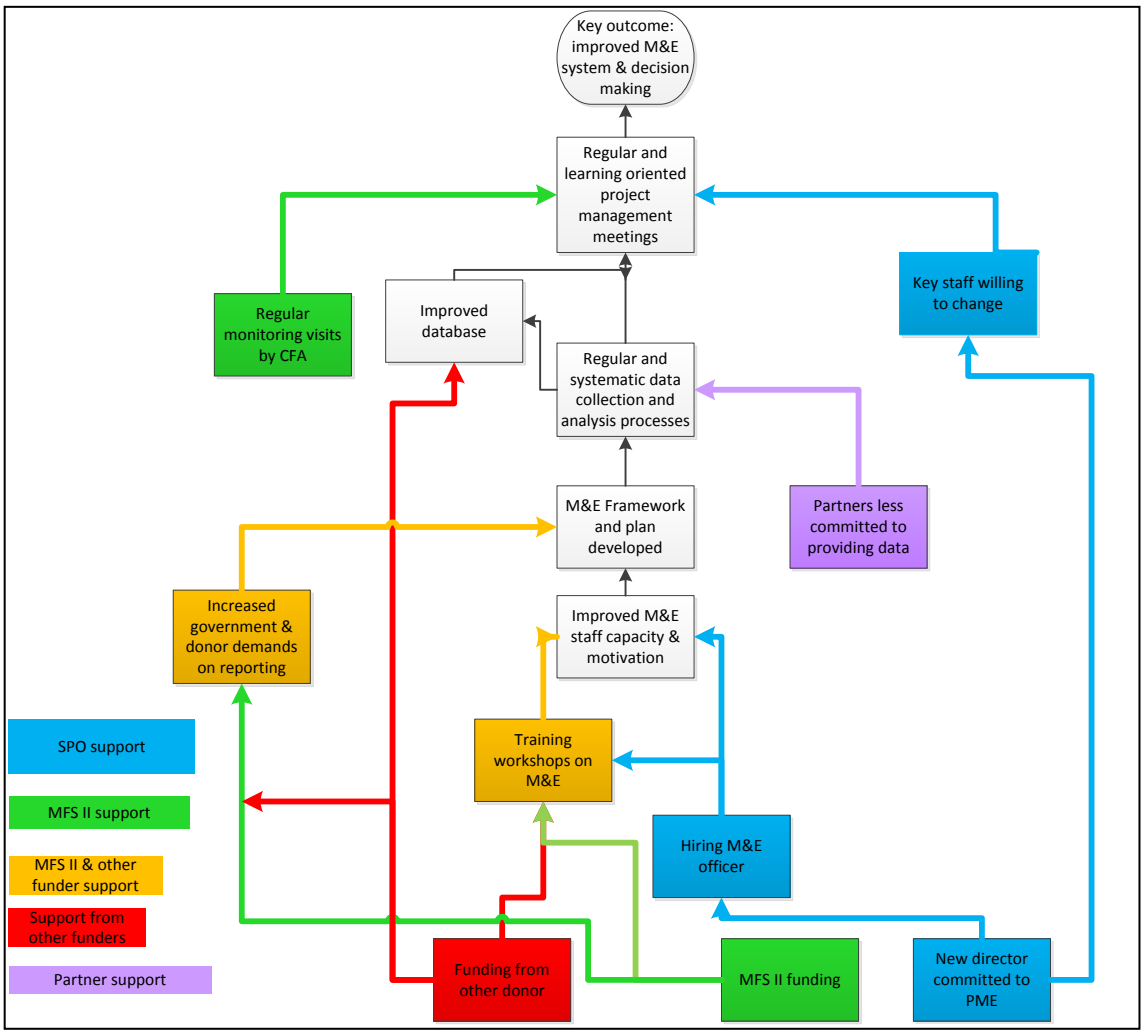


Figure 1 *An imaginary example of a model of change*

Step 5. Identify ***types of evidence*** *needed to verify or discard different causal relationships in the model of change – in-country teams with support from CDI team*

Once the causal mechanism at theoretical level were defined, empirical evidence was collected so as to verify or discard the different parts of this theoretical model of change, confirm or reject whether subcomponents have taken place, and to find evidence that confirm or reject the causal relations between the subcomponents.

A key question that we needed to ask ourselves was, *"What information do we need in order to confirm or reject that one subcomponent leads to another, that X causes Y?"*. The evaluation team needed to agree on what information was needed that provides empirical manifestations for each part of the model of change.

There are four distinguishable types of evidence that are relevant in process tracing analysis: *pattern, sequence, trace, and account*. Please see the box below for descriptions of these types of evidence.

The evaluation team needed to agree on the types of evidence that was needed to verify or discard the manifestation of a particular part of the causal mechanism. Each one or a combination of these different types of evidence could be used to confirm or reject the different parts of the model of change. This is what is meant by robustness of evidence gathering. Since causality as a concept can bend in many ways, our methodology, provides a near scientific model for accepting and rejecting a particular type of evidence, ignoring its face value.

Types of evidence to be used in process tracing

Pattern evidence relates to predictions of statistical patterns in the evidence. For example, in testing a mechanism of racial discrimination in a case dealing with employment, statistical patterns of employment would be relevant for testing this part of the mechanism.

Sequence evidence deals with the temporal and spatial chronology of events predicted by a hypothesised causal mechanism. For example, a test of the hypothesis could involve expectations of the timing of events where we might predict that if the hypothesis is valid, we should see that the event B took place after event A took place. However, if we found that event B took place before event A took place, the test would suggest that our confidence in the validity of this part of the mechanism should be reduced (disconfirmation/ falsification).

Trace evidence is evidence whose mere existence provides proof that a part of a hypothesised mechanism exists. For example, the existence of the minutes of a meeting, if authentic ones, provide strong proof that the meeting took place.

Account evidence deals with the content of empirical material, such as meeting minutes that detail what was discussed or an oral account of what took place in the meeting.

Source: Beach and Pedersen, 2013

Below you can find a table that provides guidelines on what to look for when identifying types of evidence that can confirm or reject causal relationships between different parts/ subcomponents of the model of change. It also provides one example of a part of a causal pathway and what type of information to look for.

Table 9

Format for identifying types of evidence for different causal relationships in the model of change (example included)

Part of the model of change	Key questions	Type of evidence needed	Source of information
Describe relationship between the subcomponents of the model of change	Describe questions you would like to answer a so as to find out whether the components in the relationship took place, when they took place, who was involved, and whether they are related	Describe the information that we need in order to answer these questions. Which type of evidence can we use in order to reject or confirm that subcomponent X causes subcomponent Y? Can we find this information by means of : Pattern evidence; Sequence evidence; Trace evidence; Account evidence?	Describe where you can find this information
Example: Training workshops on M&E provided by MFS II funding and other sources of funding	Example: What type of training workshops on M&E took place? Who was trained? When did the training take place? Who funded the training? Was the funding of training provided before the training took place? How much money was available for the training?	Example: Trace evidence: on types of training delivered, who was trained, when the training took place, budget for the training Sequence evidence on timing of funding and timing of training Content evidence: what the training was about	Example: Training report SPO Progress reports interviews with the CFA and SPO staff Financial reports SPO and CFA

Please note that for practical reasons, the 5C evaluation team decided that it was easier to integrate the specific questions in the narrative of the initial causal map. These questions would need to be addressed by the in country team during the process tracing workshop so as to discover, verify or discard particular causal mechanisms in the detailed, initial causal map. Different types of evidence was asked for in these questions.

*Step 6. **Collect data** to verify or discard causal mechanisms and develop workshop-based, detailed causal map – in-country team*

Once it was decided by the in-country and CDI evaluation teams what information was to be collected during the interaction with the SPO, data collection took place. The initial causal maps served as a basis for discussions during the endline workshop with a particular focus on process tracing for the identified organisational capacity changes. But it was considered to be very important to understand from the perspective of the SPO how they understood the identified key organisational capacity change/outcome area has come about. A new detailed, workshop-based causal map was developed that included the information provided by SPO staff as well as based on initial document review as described in the initial detailed causal map. This information was further analysed and verified with other relevant information so as to develop a final causal map, which is described in the next step.

*Step 7. **Assess the quality** of data and **analyse data**, and develop the **final detailed causal map** (model of change) – in-country team and CDI team*

Quality assurance of the data collected and the evidence it provides for rejecting or confirming parts of causal explanations are a major concern for many authors specialised in contribution analysis and process-tracing. Stern et al. (2012), Beach and Pedersen (2013), Lemire, Nielsen and Dybdal (2012), Mayne (2012) and Delahais and Toulemonde (2012) all emphasise the need to make attribution/ contribution claims that are based on pieces of evidence that are rigorous, traceable, and credible. These pieces of evidence should be as explicit as possible in proving that *subcomponent X causes subcomponent Y* and ruling out other explanations. Several tools are proposed to check the nature and the quality of data needed. One option is, Delahais and Toulemonde's Evidence Analysis Database, which we have adapted for our purpose.

Delahais and Toulemonde (2012) propose an Evidence Analysis Database that takes into consideration three criteria:

Confirming/ rejecting a causal relation (yes/no);
Type of causal mechanism: intended contribution/ other contribution/ condition leading to intended contribution/ intended condition to other contribution/ feedback loop;
Strength of evidence: strong/ rather strong/ rather weak/ weak.

We have adapted their criteria to our purpose. The in-country team, in collaboration with the CDI team, used the criteria in assessing whether causal relationships in the causal map, were strong enough. This has been more of an iterative process trying to find additional evidence for the established relationships through additional document review or contacting the CFA and SPO as well as getting their feedback on the final detailed causal map that was established. Whilst the form below has not been used exactly in the manner depicted, it has been used indirectly when trying to validate the information in the detailed causal map. After that, the final detailed causal map is established both as a visual as well as a narrative, with related references for the established causal relations.

Example format for the adapted evidence analysis database (example included) Description of causal relation	Confirming/ rejecting a causal relation (yes/no)	Type of information providing the background to the confirmation or rejection of the causal relation	Strength of evidence: strong/ rather strong/ rather weak/ weak	Explanation for why the evidence is (rather) strong or (rather) weak, and therefore the causal relation is confirmed/ rejected
e.g. Training staff in M&E leads to enhanced M&E knowledge, skills and practice	e.g. Confirmed	e.g. Training reports confirmed that staff are trained in M&E and that knowledge and skills increased as a result of the training		

Step 8. ***Analyse and conclude*** *on findings– in-country team and CDI team*

The final detailed causal map was described as a visual and narrative and this was then analysed in terms of the evaluation question two and evaluation question four: *"To what degree are the changes identified in partner capacity attributable to development interventions undertaken by the MFS II consortia (i.e. measuring effectiveness)?"* and *"What factors explain the findings drawn from the questions above?"* It was analysed to what extent the identified key organisational capacity change can be attributed to MFS II supported capacity development interventions as well as to other related factors, interventions and actors.

Explaining factors – evaluation question 4

This paragraph describes the data collection and analysis methodology for answering the fourth evaluation question: **"What factors explain the findings drawn from the questions above?"**

In order to explain the changes in organisational capacity development between baseline and endline (evaluation question 1) the CDI and in-country evaluation teams needed to review the indicators and how they have changed between baseline and endline and what reasons have been provided for this. This has been explained in the first section of this appendix. It has been difficult to find detailed explanations for changes in each of the separate 5c indicators, but the 'general causal map' has provided some ideas about some of the key underlying factors actors and interventions that influence the key organisational capacity changes, as perceived by the SPO staff.

For those SPOs that are selected for process tracing (evaluation question 2), more in-depth information was procured for the identified key organisational capacity changes and how MFS II supported capacity development interventions as well as other actors, factors and interventions have influenced these changes. This is integrated in the process of process tracing as described in the section above.

Methodological reflection

Below a few methodological reflections are made by the 5C evaluation team.

Use of the 5 core capabilities framework and qualitative approach: this has proven to a be very useful framework to assess organisational capacity. The five core capabilities provide a comprehensive picture of the capacity of an organisation. The capabilities are interlinked, which was also reflected in the description of standard indicators, that have been developed for the purpose of this 5C evaluation

and agreed upon for the eight countries. Using this framework with a mainly qualitative approach has provided rich information for the SPOs and CFAs, and many have indicated this was a useful learning exercise.

Using standard indicators and scores: using standard indicators is useful for comparison purposes. However, the information provided per indicator is very specific to the SPO and therefore makes comparison difficult. Whilst the description of indicators has been useful for the SPO and CFA, it is questionable to what extent indicators can be compared across SPOs since they need to be seen in context, for them to make meaning. In relation to this, one can say that scores that are provided for the indicators, are only relative and cannot show the richness of information as provided in the indicator description. Furthermore, it must be noted that organisations are continuously changing and scores are just a snapshot in time. There cannot be perfect score for this. In hindsight, having rubrics would have been more useful than scores.

General causal map: whilst this general causal map, which is based on key organisational capacity changes and related causes, as perceived by the SPO staff present at the endline workshop, has not been validated with other sources of information except SPO feedback, the 5C evaluation team considers this information important, since it provides the SPO story about how and which changes in the organisation since the baseline, are perceived as being important, and how these changes have come about. This will provide information additional to the information that has been validated when analysing and describing the indicators as well as the information provided through process tracing (selected SPOs). This has proven to be a learning experience for many SPOs.

Using process tracing for dealing with the attribution question: this theory-based and mainly qualitative approach has been chosen to deal with the attribution question, on how the organisational capacity changes in the organisations have come about and what the relationship is with MFS II supported capacity development interventions and other factors. This has proven to be a very useful process, that provided a lot of very rich information. Many SPOs and CFAs have already indicated that they appreciated the richness of information which provided a story about how identified organisational capacity changes have come about. Whilst this process was intensive for SPOs during the process tracing workshops, many appreciated this to be a learning process that provided useful information on how the organisation can further develop itself. For the evaluation team, this has also been an intensive and time-consuming process, but since it provided rich information in a learning process, the effort was worth it, if SPOs and CFAs find this process and findings useful.

A few remarks need to be made:

- Outcome explaining process tracing is used for this purpose, but has been adapted to the situation since the issues being looked at were very complex in nature.
- Difficulty of verifying each and every single change and causal relationship:
- Intensity of the process and problems with recall: often the process tracing workshop was done straight after the general endline workshop that has been done for all the SPOs.In some cases, the process tracing endline workshop has been done at a different point in time, which was better for staff involved in this process, since process tracing asks people to think back about changes and how these changes have come about. The word difficulties with recalling some of these changes and how they have come about. See also the next paragraph.
- Difficulty of assessing changes in knowledge and behaviour: training questionnaire is have been developed, based on Kirkpatrick's model and were specifically tailored to identify not only the interest but also the change in knowledge and skills, behaviour as well as organisational changes as a result of a particular training. The retention ability of individuals, irrespective of their position in the organisation, is often unstable. The 5C evaluation team experienced that it was difficult for people to recall specific trainings, and what they learned from those trainings. Often a change in knowledge, skills and behaviour is a result brought about by a combination of different factors , rather than being traceable to one particular event. The detailed causal maps that have been established, also clearly pointed this. There are many factors at play that make people change their behaviour, and this is not just dependent on training but also internal/personal (motivational) factors as well as factors within the organisation, that stimulate or hinder a person to change behaviour. Understanding how behaviour change works is important when trying to really understand the extent to which behaviour has changed as a result of different factors, actors and interventions. Organisations change because people

change and therefore understanding when and how these individuals change behaviour is crucial. Also attrition and change in key organisational positions can contribute considerably to the outcome.

Utilisation of the evaluation

The 5C evaluation team considers it important to also discuss issues around utility of this evaluation. We want to mention just a few.

Design – mainly externally driven and with a focus on accountability and standard indicators and approaches within a limited time frame, and limited budget: this MFS II evaluation is originally based on a design that has been decided by IOB (the independent evaluation office of the Dutch Ministry of Foreign Affairs) and to some extent MFS II organisations. The evaluators have had no influence on the overall design and sampling for the 5C study. In terms of learning, one may question whether the most useful cases have been selected in this sampling process. The focus was very much on a rigorous evaluation carried out by an independent evaluation team. Indicators had to be streamlined across countries. The 5C team was requested to collaborate with the other 5C country teams (Bangladesh, Congo, Pakistan, Uganda) to streamline the methodological approach across the eight sampled countries. Whilst this may have its purpose in terms of synthesising results, the 5C evaluation team has also experienced the difficulty of tailoring the approach to the specific SPOs. The overall evaluation has been mainly accountability driven and was less focused on enhancing learning for improvement. Furthermore, the timeframe has been very small to compare baseline information (2012) with endline information (2014). Changes in organisational capacity may take a long, particularly if they are related to behaviour change. Furthermore, there has been limited budget to carry out the 5C evaluation. For all the four countries (Ethiopia, India, Indonesia, Liberia) that the Centre for Development Innovation, Wageningen University and Research centre has been involved in, the budget has been overspent.

However, the 5C evaluation team has designed an endline process whereby engagement of staff, e.g. in a workshop process was considered important, not only due to the need to collect data, but also to generate learning in the organisation. Furthermore, having general causal maps and detailed causal maps generated by process tracing have provided rich information that many SPOs and CFAs have already appreciated as useful in terms of the findings as well as a learning process.

Another issue that must be mentioned is that additional requests have been added to the country teams during the process of implementation: developing a country based synthesis; questions on design, implementation, and reaching objectives of MFS II funded capacity development interventions, whilst these questions were not in line with the core evaluation questions for the 5C evaluation.

Complexity and inadequate coordination and communication: many actors, both in the Netherlands, as well as in the eight selected countries, have been involved in this evaluation and their roles and responsibilities, were often unclear. For example, 19 MFS II consortia, the internal reference group, the Ministry of Foreign Affairs, Partos, the Joint Evaluation Trust, NWO-Wotro, the evaluators (Netherlands and in-country), 2 external advisory committees, and the steering committee. Not to mention the SPO's and their related partners and consultants. CDI was involved in 4 countries with a total number of 38 SPOs and related CFAs. This complexity influenced communication and coordination, as well as the extent to which learning could take place. Furthermore, there was a distance between the evaluators and the CFAs, since the approach had to be synchronised across countries, and had to adhere to strict guidelines, which were mainly externally formulated and could not be negotiated or discussed for the purpose of tailoring and learning. Feedback on the final results and report had to be provided mainly in written form. In order to enhance utilisation, a final workshop at the SPO to discuss the findings and think through the use with more people than probably the one who reads the report, would have more impact on organisational learning and development. Furthermore, feedback with the CFAs has also not been institutionalised in the evaluation process in the form of learning events. And as mentioned above, the complexity of the evaluation with many actors involved did not enhance learning and thus utilization.

5C Endline process, and in particular thoroughness of process tracing often appreciated as learning process: The SPO perspective has also brought to light a new experience and technique of self-assessment and self-corrective measures for managers. Most SPOs whether part of process tracing or not, deeply appreciated the thoroughness of the methodology and its ability to capture details with robust connectivity. This is a matter of satisfaction and learning for both evaluators and SPOs. Having a process whereby SPO staff were very much engaged in the process of self-assessment and reflection has proven for many to be a learning experience for many, and therefore have enhanced utility of the 5C evaluation.

Appendix 2 Background information on the five core capabilities framework

The 5 capabilities (5C) framework was to be used as a framework for the evaluation of capacity development of Southern Partner Organisations (SPOs) of the MFS II consortia. The 5C framework is based on a five-year research program on 'Capacity, change and performance' that was carried out by the European Centre for Development Policy Management (ECDPM). The research included an extensive review of the literature and sixteen case studies. The 5C framework has also been applied in an IOB evaluation using 26 case studies in 14 countries, and in the baseline carried out per organisation by the MFS II organisations for the purpose of the monitoring protocol.

The 5C framework is structured to understand and analyse (changes in) the capacity of an organization to deliver (social) value to its constituents. This introduction briefly describes the 5C framework, mainly based on the most recent document on the 5C framework (Keijzer et al., 2011).

The 5C framework sees capacity as an **outcome** of an **open system**. An organisation or collaborative association (for instance a network) is seen as a system interacting with wider society. The most critical practical issue is to ensure that relevant stakeholders share a common way of thinking about capacity and its core constituents or capabilities. Decisive for an organisation's capacity is the context in which the organisation operates. This means that **understanding context issues** is crucial. The use of the 5C framework requires a multi-stakeholder approach because shared values and results orientation are important to facilitate the capacity development process. The 5C framework therefore needs to **accommodate the different visions** of stakeholders and conceive different strategies for raising capacity and improving performance in a given situation.

The 5C framework defines capacity as '**producing social value'** and identifies five core capabilities that together result in that overall capacity. Capacity, capabilities and competences are seen as follows:

- **Capacity** is referred to as the overall ability of an organisation or system to create value for others;
- **Capabilities** are the collective ability of a group or a system to do something either inside or outside the system. The collective ability involved may be technical, logistical, managerial or generative (i.e. the ability to earn legitimacy, to adapt, to create meaning, etc.);
- **Competencies** are the energies, skills and abilities of individuals.

Fundamental to developing capacity are inputs such as human, material and financial resources, technology, and information. To the degree that they are developed and successfully integrated, capabilities contribute to the overall capacity or ability of an organisation or system to create value for others. A single capability is not sufficient to create capacity. All are needed and are strongly interrelated and overlapping. Thus, to achieve its development goals, the 5C framework says that every organisation or system must have **five basic capabilities:**

- The capability to act and commit;
- The capability to deliver on development objectives;
- The capability to adapt and self-renew;
- The capability to relate (to external stakeholders);
- The capability to achieve coherence.

In order to have a common framework for evaluation, the five capabilities have been reformulated in outcome domains and for each outcome domain performance indicators have been developed.

There is some overlap between the five core capabilities but together the five capabilities result in a certain level of capacity. Influencing one capability may have an effect on one or more of the other

capabilities. In each situation, the level of any of the five capabilities will vary. Each capability can become stronger or weaker over time.

Appendix 3 Changes in organisational capacity of the SPO - 5C indicators

Below you will find a description for each of the indicators under each of the capabilities, what the situation is as assessed during the endline, how this has changed since the baseline and what are the reasons for change.

Capability to act and commit

Level of Effective Leadership

1.1.Responsive leadership: 'Leadership is responsive, inspiring, and sensitive'

This is about leadership within the organisation (operational, strategic). If there is a larger body then you may also want to refer to leadership at a higher level but not located at the local organisation.

The director of SDS continues to be responsive and sensitive. He has been a part of the organisation since its inception. Over the last two years he has focused on firming up the mission of the organisation which was in the evolving stage during baseline. The director remains flexible and leads on strategic issues concerning SDS's organizational objectives and development programme agenda. He is strong on leading policy issues. However, there is still no second line leadership, and since everything depends on the chief functionary, a fall back option is needed for when he is not there.

Score baseline: 3.0

Score endline: 3.0 (no change)

1.2.Strategic guidance: 'Leaders provide appropriate strategic guidance (strategic leader and operational leader)'

This is about the extent to which the leader(s) provide strategic directions

SDS leadership continues to provide strategic directions, and there is still clarity as to how different initiatives, interventions lead to one goal, one vision. In the last two years SDS leadership has identified women empowerment and gender justice to be its core thematic area. In this regard, the inclusion of Muslim women within their programmes in addition to Dalit and Adivasi women is a positive change since 2012. SDS's chief functionary has focused on research capabilities of the organisation and working directly with the community. SDS initiated research work to better inform its own actions as well as to make a case for policy work and engagement with public sector. The director is part of both SDS and IPAC. As part of the future plan, he wants to expand their working area at both SDS and IPAC and fundraising is very significant part to expand the area of operation. He is applying for projects on behalf of SDS and IPAC, but raised the issue that IPAC should have somebody to work on this independently. They are in the process of selecting a chief functionary for IPAC.

Score baseline: 3.0

Score endline: 3.0 (no change)

1.3.Staff turnover: 'Staff turnover is relatively low'

This is about staff turnover.

In the last two years there has been a change in the organisational structure as SDS Development Society no longer hosts the WinG Assam, and therefore has no office in Assam anymore. The leadership has not changed at SDS in the Delhi office. In 2014 new programme staff was hired in the Delhi office. The present staff at Delhi office have a good understanding of policy related work and are hindered less by the reasons for leaving that were described in the baseline report: preferring to work

in a larger team, travelling alone and no social security. This has led to less staff turnover at the Delhi office.

Score baseline: 2.5

Score endline: 2.75 (very slight improvement)

Level of realistic strategic planning

1.4.Organisational structure: 'Existence of clear organisational structure reflecting the objectives of the organisation'

Observable indicator: Staff have copy of org structure and understand this

There have been changes in the overall organizational structure of SDS. WinG-Assam is no longer a part of SDS, it is presently working with an organization in Hyderabad called Chindu, which is also its legal holder for receiving funds from donors. Another important change that occurred was that the advocacy initiative of SDS, IPAC was registered as an independent organisation. As a consequence SDS is now focussing on research and programme implementation while IPAC continues to work independently on lobbying and advocacy. SDS continues to be a small organisation and some staff members have been part of the organisation since its inception. There is therefore not a very strong hierarchal structure. The organisation now does have a well-defined organogram so that it is clear to all staff who is responsible for what. There is also a clear HR policy that defines the benefits to be received by the staff members.

Score baseline: 2.5

Score endline: 3.0 (some improvement)

1.5.Articulated strategies: 'Strategies are articulated and based on good situation analysis and adequate M&E'

Observable indicator: strategies are well articulated. Situation analysis and monitoring and evaluation are used to inform strategies.

SDS has well-articulated strategies for its programmes which are developed based on situational analysis through proper research and M&E to identify the issues. For example, SDS has revised its strategy by developing its capacity in research to undertake academic and policy oriented research on important issues such as human rights, women empowerment, gender, environment etc. It resulted in better informing its own actions as well as to make a case for advocacy in policy work and engagement with various public sector units. IPAC was registered as an independent organisation. SDS now focuses more on research and programme implementation while IPAC works on lobbying and advocacy.

Further, it is also directing its efforts towards working with the community through women centric community based programmes instead of lobbying and advocacy. In Chhattisgarh the organisation found out the issues of crime against women and challenges faced by leading women human rights defenders in working on human rights issues in the state. Thus, SDS along with IPAC planned a strategy to establish a network of WHRDs in the state and strengthen it. The following strategies were planned for this programme:

- To build the capacities of WHRDs to analyse the specificity of the risks they face and to develop their own security and protection strategies.
- To explore ‘self’ and ‘us’ from the perspective of strength and common grounds.
- To broaden the perspectives building a stronger coalitions to work efficiently.
- To take back ideas from each other for collaboration and work for human rights promotion and defence.
- To develop action plans for the next six months for lobby on specific common issues.

In another example, through the needs assessment research programme SDS identified that a segment of Muslim migrant labourers from Bangladesh who were displaced during 2010 Delhi Commonwealth Games are struggling with the issues acquiring documents to support their citizenship to avail government schemes. Thus, SDS developed a strategy to support for skill building of the

women of this community and looking forward to mobilise corporate social responsibility (CSR) fund towards this.

Score baseline: 2.5

Score endline: 3.0 (slight improvement)

Level of translation of strategy into operations

1.6.Daily operations: 'Day-to-day operations are in line with strategic plans'

This is about the extent to which day-to-day operations are aligned with strategic plans.

SDS's daily operations are still in line with their strategic plans. The operational plans continue to be developed out of strategic plans on a yearly basis and reviewed during the year. With the changes in the organisational structure, IPAC becoming an independent organisation and SDS no longer being the legal holder of WinG, an enhanced focus on research and community outreach has impacted SDS's operations. Staff at SDS pointed out that in the last two years; their staff has a better understanding of annual action plans, coordination with the field and policy approaches. Leadership now provides guidance on a daily basis.

Score baseline: 3.5

Score endline: 3.75 (very slight improvement)

Level of Staff Capacity and Motivation

1.7.Staff skills: 'Staff have necessary skills to do their work'

This is about whether staff have the skills necessary to do their work and what skills they might they need.

SDS is working towards developing as a research centre. At present, the research capacities are only confined to the new recruits of SDS, who are skilled in research and data collection methods. The older (in terms of years of association with SDS) staff still have to develop this capacity. SDS has been inviting external resource persons to train their staff members. SDS thus claims that their staff with the presence of trained colleagues and trainings has increased their capacity in the field of research. Skills of accounting staff have improved, including the staff's ability to prepare aggregate project budgets, overall project budgets, financial management and monitoring in adherence to all accounting standards, documentation and computer related skills. SDS has sufficient capacity, knowledge base, technical skills, as well as capacity to co-ordinate, train and empower persons at community level in order to foster community mobilization within local communities. Currently SDS has staff that has previously worked with the United Nations High Commission for Refugees (UNHCR), India and therefore has knowledge, experience and skills of working with UNHCR. Through the current staff, SDS has been able to develop a concept note and financial management document for applying for the project "Strengthened and Expanded Community Mobilization and Promotion of Peaceful Coexistence with Local Communities" in Delhi and NCR. It was submitted by SDS on 13th September, 2014.

Score baseline: 3.5

Score endline: 4.0 (slight improvement)

1.8.Training opportunities: 'Appropriate training opportunities are offered to staff'

This is about whether staff at the SPO are offered appropriate training opportunities

SDS hired staff trained in research and data collection methods. Further external resource persons were invited by SDS to train their staff members. SDS thus claims that their staff with the presence of trained colleagues and trainings has increased their capacity in the field of research. Appropriate training is being given to the staff, and also communication among the internal staff is also very helpful. During the last two years the following trainings were given:

- In August 2013, SDS sent one of the staff members to Bangkok to receive training in 'Documentation Skills'.
- There was an exchange programme from July 2012 – June 2013 with INSEC, Nepal on legal compliances. The programme coordinator of SDS participated in this programme.

- In Chhattisgarh there has been a workshop funded by MISEREOR, on Women Human Rights Defenders, organized by SDS from 6-9 August 2014.

Score baseline: 4.0

Score endline: 4.0 (no change)

1.9.1. Incentives: 'Appropriate incentives are in place to sustain staff motivation'

This is about what makes people want to work here. Incentives could be financial, freedom at work, training opportunities, etc.

SDS remains a small organization with a dedicated team. They include freedom and flexibility at the workplace, independent functioning, exposures and trainings. There is scope for personal growth. There are now more financial incentives in place. Leadership in consultation with the board members of SDS prepares a performance appraisal once in a year based on which the director takes the final decision on increment. There is a system of regular assessments and related benefits associated with it. The staff is also supported to undertake trainings on a regular basis including trainings that are organised outside India.

Score baseline: 3.0

Score endline: 3.5 (slight improvement)

Level of Financial Resource Security

1.9.2. Funding sources: 'Funding from multiple sources covering different time periods'

This is about how diversified the SPOs funding sources are over time, and how the level of funding is changing over time.

In the last two years SDS has had challenges in terms of exploring and mobilizing new donors as the two consistent resource agencies that have been supporting SDS in its development pursuits are facing severe resource constraints. Therefore, the organisation was required to be more pro-active in developing new programmes and seek funding, and to be more creative in resource generation through consultancy services. Cordaid continued to fund SDS till June 2014. Right now, the only funding that SDS has is from MISEREOR for the 'Women Human Rights Defenders' project, Chhattisgarh which will continue until February, 2016. One of the projects that is supported by Cordaid is "National support to coalition on environment & natural resources" for the period 1st September 2013 –31 st June 2014, but for the Women in Governance programme SDS is not the legal holder anymore because SDS is based in New Delhi and had limited knowledge on the socio-political and economic of the North Eastern states. Apart from this, there was logistical difficulty faced by WinG with regard to managing funds and preparation of budgets, so the decision was made by Cordaid to work with the Hyderabad based organisation called Chindu. SDS is continuously reviewing its programme priorities and has sharpened its focus to attract and be able to approach new donors. However, several projects that received funding are coming to an end. Thus, the organisation is not receiving adequate funds to carry out its mission and strategies.

Score baseline: 1.0

Score endline: 0.5 (slight deterioration)

1.9.3. Funding procedures: 'Clear procedures for exploring new funding opportunities'

This is about whether there are clear procedures for getting new funding and staff are aware of these procedures.

The donor environment has changed over the last two years. The donor base is shrinking and foreign NGOs, including Cordaid, are under the radar of the Indian government as they are suspected of activism that stalls India's development projects for example in the extractive industry. As a result NGOs have to put in place improved processes of financial and programme documentation. Thus, SDS has improved their legal compliances of aligning with the FCRA (Foreign Contribution Regulation Act). SDS also trained their incumbent staff members, and this helps them to bid for new donors. SDS now has a systematized approach to access and look for funding opportunities. SDS is a premium member of the "Fund for NGOs" and "Global Giving" websites from where they gain access to regular updates

on funding opportunities. Through these websites SDS gets information on funding sources to approach for funding by sending proposals. SDS responds to specific calls for interests from UN, its agencies and other regional organisations operating in India. Currently SDS has staff that was previously worked with the United Nations High Commission for Refugees (UNHCR), India and therefore has knowledge, experience and skills of working with UNHCR. As a result SDS has been able to develop a concept note and financial management document for applying for the project "Strengthened and Expanded Community Mobilization and Promotion of Peaceful Coexistence with Local Communities in Delhi and NCR". It was submitted by SDS to UNHCR on 13th September, 2014, and is still in the pipeline. They have also undertaken an extensive scanning of corporate funding under CSR. However, several projects of MISEREOR, Cordaid and BBO (Bridging People and Politics) have come to an end in 2014. At present MISEREOR is the only funder and this funding will continue till February, 2016. Responsibility for exploring new funding opportunities lies with the director, but a new staff member is recruited for writing proposals for funding. Staff meet monthly to plan logistics and discuss internal issues regarding funding opportunities. Unfortunately, this hasn't led to any concrete results at the moment.

Score baseline: 2.5

Score endline: 3.0 (slight improvement)

Summary of capability to act and commit

The director of SDS continues to be responsive and sensitive. However, there is still no second line leadership, and everything depends on the chief functionary, and a fall back option is needed for when he is not there. SDS leadership continues to provide strategic directions, and there is still clarity as to how different initiatives, interventions lead to one goal. In the last two years SDS leadership has identified women empowerment and gender justice to be its core thematic area. SDS's chief functionary has focused on research capacity of the organisation to better inform its own actions, and this is done by hiring staff that have good research knowledge and skills. An important change in the organisational structure of SDS is that its advocacy initiative IPAC was registered as an independent organisation in April 2008, however, the independent operations on a significant level could start only in July 2014 when it got its FCRA registration. The director is part of both SDS and IPAC and is now expanding the area of operation for both organizations (IPAC is now separated from SDS). They are in the process of selecting a chief functionary for IPAC who will then take-over this task. In the last two years there has been a change in the organisational structure as SDS no longer hosts the WinG Assam office. The leadership has not changed, but staff turnover remains high in the Delhi office because staff are often hired on a project-basis and new graduates leave SDS after a short period to move on to other jobs or post-graduate studies. New staff have a good understanding of policy related work and are hindered less by travelling alone and having no social security, compared to the baseline situation. SDS now has a well-defined organogram so that it is clear to all staff who is responsible for what. SDS has revised its strategies, and over the last two years they worked on improving their research capacity, improving their documentation related to FCRA and they have increased their focus on community outreach programme and action research. Strategies are based on research and needs assessment, but there are no mechanisms to use M&E findings systematically in the strategic planning process. SDS's daily operations are still in line with their strategic plans. Staff at SDS pointed out that in the last two years, their staff have a better understanding of annual action plans and leadership now provides guidance on a daily bassists has sufficient capacity, knowledge base, technical skills, as well as capacity to co-ordinate, train and empower persons at community level in order to foster community mobilization within local communities. In the last two years staff has improved their skills in: accounting, financial management and monitoring in adherence to all accounting standards, documentation and computer related skills. As SDS envisages becoming an excellent research centre, staff that has been longer with the organisation still have to develop more research skills. External resource persons were invited by SDS to train their staff members in research skills. Appropriate training is being given to the staff, and also communication among the internal staff is also very helpful. Staff has also attended trainings in Thailand and Nepal, on legal compliances and women human rights. SDS remains a small organization with a dedicated team that enjoys the freedom and flexibility at workplace and trainings. There are now more financial incentives in place which are linked to a regular performance appraisal system, but the director takes the final decision on increment. In the last two years SDS has had challenges in terms of exploring and mobilizing new donors as the two

consistent resource agencies that have been supporting SDS in its development pursuits are facing severe resource constraints. Several projects that received funding are coming to an end and at the moment SDS is not receiving adequate funds, since several projects of Cordaid, MISEREOR and BBO end in 2014.The donor environment has changed over the last two years. The donor base is shrinking and foreign NGOs, including Cordaid, are under the radar of the Indian government as they are suspected of activism that stalls India's development projects for example in the extractive industry. SDS now has a systematized approach to access and look for funding opportunities: they are member of "Fund for NGOs" and "Global Giving" websites, are responding to UN requests for interests, have undertaken an extensive scanning of corporate funding under CSR, a new staff member was hired for writing proposals for funding, a yearly report of is made of which proposals are sent and staff meet monthly to discuss this. Unfortunately, this hasn't led to any concrete results at the moment.

Score baseline: 2.8

Score endline: 3.0 (very slight improvement)

Capability to adapt and self-renew

Level of effective application of M&E

2.1.M&E application: 'M&E is effectively applied to assess activities, outputs and outcomes'

This is about what the monitoring and evaluation of the SPO looks at, what type of information they get at and at what level (individual, project, organisational).

There has been a very slight improvement in this indicator. SDS still gathers information at the output level. Depending on the donors requirements they use a log-frame or results-based management to report on objectives, activities and expected results of projects. The information is compiled at project level. Long term monitoring of projects is underway for long term projects of SDS like the Chhattisgarh project which is funded by MISEREOR. Staff submit monthly reports on their activities, but these are very short and do not convey the essence of the work done. This is an issue that was raised in the annual report for 2012 -2013. SDS has also put in place an office management, communication, monitoring and reporting system, which has been documented in a log sheet till 31st March, 2013. Through this process all the regional offices of SDS fill up in detail the output and outcomes of the project, staff activities, weekly planning and send it to the central office (SDS) on a monthly and weekly basis for further review and analysis of the report. This facilitates SDS to better monitor and evaluate the status and gaps in the programme to make appropriate strategies to address the issues through. Also it helped improve the communication between SDS and regional offices to better implement the programme. SDS's improved monitoring and evaluation of programmes is linked to their taking up of a community centric approach.

Score baseline: 3.0

Score endline: 3.5 (slight improvement)

2.2.M&E competencies: 'Individual competencies for performing M&E functions are in place'

This is about whether the SPO has a trained M&E person; whether other staff have basic understanding of M&E; and whether they know what information to collect, how to process the information, how to make use of the information so as to improve activities etc.

There is still no dedicated person for taking on M&E for all projects. The Executive Director is well versed with M&E, setting indicators and plans for monitoring programmes and projects. Most field and programme staff has a sufficient knowledge of M&E in relation to their specific projects and consult their senior staff and management when in doubt.

Score baseline: 3.0

Score endline: 3.0 (no change)

Level of strategic use of M&E

2.3.M&E for future strategies: 'M&E is effectively applied to assess the effects of delivered products and services (outcomes) for future strategies'

This is about what type of information is used by the SPO to make decisions; whether the information comes from the monitoring and evaluation; and whether M&E info influences strategic planning.

SDS uses their findings from their needs assessments to develop their programme strategies in order to ensure that the work they do for the community is aligned with their need. An example is the need assessment programme in Bawana Industrial region located in the North Western district of New Delhi. In addition to the assessment a follow up was done to locate the reasons behind the migrant community's problem. SDS's improved monitoring and evaluation of programmes is linked to their taking up of a community centric approach. There is still a need to set up a mechanism to systematically gather and document the medium and longer term results of their interventions and to discuss and use this information in strategic planning and review.

Score baseline: 2.5

Score endline: 2.5 (no change)

Level of openness to strategic learning

2.4.Critical reflection: 'Management stimulates frequent critical reflection meetings that also deal with learning from mistakes'

This is about whether staff talk formally about what is happening in their programs; and, if so, how regular these meetings are; and whether staff are comfortable raising issues that are problematic.

Every year SDS continues to conduct Annual Retreats with all staff members. The focus of these retreats is to review the existing programmes and job responsibilities of staff, details of ongoing activities, forth coming programmes and future possibilities and strategies. It provides an opportunity for staff to meet each other, share about their work and reflect upon SDS's overall work and plans at the national level. This has given staff access and opportunity to voice their opinions and contribute to the organizational thinking. In the last two years weekly staff meetings were introduced for more frequent reflection.

Score baseline: 3.0

Score endline: 3.25 (very slight improvement)

2.5. Freedom for ideas: 'Staff feel free to come up with ideas for implementation of objectives

This is about whether staff feel that ideas they bring for implementation of the program are welcomed and used.

Staff continue to feel free to share their ideas. In Delhi the team is small and ideas are always welcome. During Annual Retreats all staff are allowed to speak about their ideas and discuss issues. Leadership is now more flexible and staff are taking more ownership and responsibility to implement new ideas.

Score baseline: 3.5

Score endline: 3.75 (very slight improvement)

Level of context awareness

2.6.System for tracking environment: 'The organisation has a system for being in touch with general trends and developments in its operating environment'

This is about whether the SPO knows what is happening in its environment and whether it will affect the organization.

SDS continues to keep track of the changing external environment through newspaper articles, parliamentary proceedings, information through network partners and policy briefings. It also keeps track of important legislations. All staff are encouraged and almost mandated to record and keep track of changes in the external world. Furthermore, SDS gets a range of opportunities to engage at

international, national and regional level forums where policy issues and trends are discussed. However, the government in some cases still thinks of SDS's work and engagement as some kind of threat. In the last two years, SDS awareness about the general trends and developments led to their taking up issues on the rise in the cases of crime against women. The MFS II funding received by them is a case in point where the funding is used to finding out the situation of the rights of women in oil extracting industries in Manipur. The Delhi team is quite well aware of developments at national and international level, including the critical importance of information collection and information use. As SDS is focussing more on research, they first do research in their operating environment before starting project implementation.

Score baseline: 4.0

Score endline: 4.0 (no change)

2.7.Stakeholder responsiveness: 'The organisation is open and responsive to their stakeholders and the general public'

This is about what mechanisms the SPO has to get input from its stakeholders, and what they do with that input.

SDS continues to be responsive to its stakeholders. It actively takes part in various events of different civil society networks and responds to their requests for information or assistance. Meetings are regular and according to an overall plan through which SDS stays in touch with other partner organisations. There is also an increased engagement with the stakeholders, in particular, the government functionaries in the state of Chhattisgarh where the WHRD (Women Human Rights Defenders) project is ongoing.

Score baseline: 3.5

Score endline: 3.75 (very slight improvement)

Summary of capability to adapt and self-renew

SDS still gathers information at the output level. Depending on the donors' requirements they use log-frame or results-based management to report on objectives, activities and expected results of projects. The information is compiled at project level. Long term monitoring of projects is still underway. There is still no dedicated person for taking on M&E for all projects. Most field and programme staff has a sufficient knowledge of M&E in relation to their specific projects and consult their senior staff and management when in doubt. SDS uses the findings from their needs assessments to develop their programme strategies in order to ensure that the work they do for the community is aligned with their needs. There is still a need to set up a mechanism to systematically gather longer term results of their interventions and to use this information in strategic planning. Every year SDS continues to conduct Annual Retreats with all staff members to review the existing programmes, job responsibilities of staff and future possibilities and strategies. Staff is given the opportunity to voice their opinions and contribute to the organizational thinking. In the last two years weekly staff meetings were introduced for more frequent reflection. Staff continue to feel free to share their ideas. Staff are taking more ownership and responsibility to implement new ideas. SDS continues to keep track of the changing external environment through newspaper articles, parliamentary proceedings, and information through network partners, policy briefings and legislations. As SDS is focussing more on research, they first do research in their operating environment before starting project implementation. SDS continues to be responsive to its stakeholders through various events of different civil society networks. Meetings with stakeholders are regular. There is now some engagement with government functionaries in the state of Chhattisgarh where the WHRD (Women Human Rights Defenders) project is ongoing.

Score baseline: 3.2

Score endline: 3.4 (very slight improvement)

Capability to deliver on development objectives

Extent to which organisation delivers on planned products and services

3.1.Clear operational plans: 'Organisation has clear operational plans for carrying out projects which all staff fully understand'

This is about whether each project has an operational work plan and budget, and whether staff use it in their day-to-day operations.

There has been no change in this indicator. SDS continues to prepare its proposals and plans in consultation with all staff, and staff members follow annual plans and even daily activity plans. During monthly meetings they discuss the finished work in accordance with annual plans. Deviations from the operational plan, in terms of activities not so much in terms of the budget, happen as the successful implementation of activities very often depends on the other stakeholders.

Score baseline: 4.0

Score endline: 4.0 (no change)

3.2. Cost-effective resource use: 'Operations are based on cost-effective use of its resources'

This is about whether the SPO has the resources to do the work, and whether resources are used cost-effectively.

Cost effectiveness is still a highly valued operational principle at SDS. While during the baseline underutilisation of the budget was covered in the budget variance reporting and activity and results linked financial reporting were missing, now, if there is deviation of budget vis – a – vis activities, it is well documented and conveyed to the donors. Every year, SDS submits the reports to the Ministry of Home Affairs as required under FCRA and income tax returns as required under the Income Tax Act. In addition, it submits regular financial reports to its donors depending on their requirement and project agreement. SDS also shares it budget and financial statements with its constituency, NGO partners and other key stakeholders. The Executive Committee of the organisation keeps a regular track of the financial management of the organisation. The organisation has a written financial policy to guide its daily operations. SDS now follows a procurement policy for purchase of goods and services. Employees making purchases as part of the project activity have to follow the mechanisms of filling up a requisition form. The finance department follows it up and gets it signed by Chief Executive/Executive Director, thereafter a delivery slip will be procured from the finance department of the supplier once the purchase is done and finally all these to be done as per the auditing methods. All of this is done to ensure cost-effective utilisation of resource use.

Score baseline: 4.0

Score endline: 4.25 (very slight improvement)

3.3.Delivering planned outputs: 'Extent to which planned outputs are delivered'

This is about whether the SPO is able to carry out the operational plans.

There has been no change in this indicator. SDS continues to deliver most of its outputs as planned. There are times when the delivery of outputs is delayed due to external factors beyond SDS' control, like natural disasters and unrest in the North East. Delays in transfer of funds also delay project implementation. The successful implementation of activities very often depends on the other stakeholders.

Score baseline: 3.5

Score endline: 3.5 (no change)

Extent to which delivered products and services are relevant for target population in terms of the effect they have

3.4.Mechanisms for beneficiary needs: 'The organisation has mechanisms in place to verify that services meet beneficiary needs'

This is about how the SPO knows that their services are meeting beneficiary needs

SDS continues to base its services on needs assessments, which is part of its project design process. The needs assessments are discussed with the beneficiaries of its services. In Chhattisgarh the team is in close contact with beneficiaries and its main stakeholders in the WHRD network. Fact finding missions are conducted prior to taking action and actions are discussed with concerned beneficiaries. Beneficiaries are participating in different planning and training activities of SDS. SDS's needs assessment programme in the Bawana Industrial region located in the North Western district of New Delhi has been linked to their research based work. These communities are migrant workers who were relocated in the region after being displaced during the Delhi Commonwealth Games in 2010. One of their main problems is acquiring documents to support their citizenship. This was followed up by locating the reasons behind their problem. Along with research, there was implementation of skill building programme for the women in these areas. This support for skill building is provided by SDS from their existing funds and based on the needs assessment in this district. Exploring this area of work as implementers, SDS wants to make use of the corporate social responsibility bill in their favour. SDS still does not have a formal mechanism to ascertain whether beneficiaries are happy with the benefits and services they receive (after receiving them) or to what extent the different target groups benefit. This is precisely the reason behind SDS changing its mandate and initiating the process of directly working with the community through its community centric approach. Through this approach they will get a better idea of whether their services meet beneficiary needs.

Score baseline: 3.5

Score endline: 3.5 (no change)

Level of work efficiency

3.5.Monitoring efficiency: 'The organisation monitors its efficiency by linking outputs and related inputs (input-output ratio's)'

This is about how the SPO knows they are efficient or not in their work.

Efficiency in finance is kept under check by not increasing the expenses beyond the allotted budget. Yearly plans are made during their annual retreat. All staff members are given targets to be achieved. Regular monthly meetings to review their progress are held every fourth day of the month. SDS has put in place a system monitoring of inputs related to outputs through activity related financial reporting.

Score baseline: 3.0

Score endline: 4.0 (improvement)

3.6.Balancing quality-efficiency: 'The organisation aims at balancing efficiency requirements with the quality of its work'

This is about how the SPO ensures quality work with the resources available

There has been no change in this indicator. SDS continues to focus on quality. Generally SDS aims at balancing efficiency requirements with the quality of its work. This is ensured by doing proper research and background work; advance preparation of materials; proper organizing and planning; and by periodically reviewing the utilisation and requirement of resources. Sometimes due to limited availability of resources, quality work is hindered and work is often hurried up.

Score baseline: 3.5

Score endline: 3.5 (no change)

Summary of capability to deliver on development objectives

SDS continues to prepare its proposals and plans in consultation with all staff, and staff members follow annual plans and even daily activities plans. During monthly meetings the finished work and occasional deviations from the planned activities are discussed. Cost effectiveness is still a highly valued operational principle at SDS. If there is deviation of budget vis – a – vis activities, it is well documented and conveyed to the donors. Every year, SDS submits the reports to the Ministry of Home Affairs as required under FCRA and income tax returns as required under the Income Tax Act. SDS now follows a procurement policy for purchase of goods and services. This is done to ensure cost-

effective utilisation of resource use. SDS continues to deliver most of its outputs as planned, except for when there are delays due to external factors like natural disasters and unrest in the North East, delays in transfer of funds or delays in implementation by other stakeholders. SDS continues to base its services on needs assessments, which is part of its project design process. The needs assessments are discussed with the beneficiaries of its services. SDS still does not have a formal mechanism to ascertain whether beneficiaries are happy with the benefits and services they receive (after receiving them) or to what extent the different target groups benefit. They have now started working directly with their target groups which will help them to get an idea of whether their services meet beneficiary needs. Efficiency in finance is kept under check by not increasing the expenses beyond the allotted budget. All staff members are given targets to be achieved. SDS has put in place a system monitoring of inputs related to outputs through activity related financial reporting. SDS continues to aim at balancing efficiency requirements with the quality of their work; they ensure this by doing proper research and background work. Sometimes due to limited availability of resources, quality work is hindered and work is often hurried up.

Score baseline: 3.6

Score endline: 3.8 (very slight improvement)

Capability to relate

Level of involving external parties in internal policy/strategy development

4.1.Stakeholder engagement in policies and strategies: 'The organisation maintains relations/ collaboration/alliances with its stakeholders for the benefit of the organisation'

This is about whether the SPO engages external groups in developing their policies and strategies, and how.

There has been no change in this indicator. The organisation continues to actively engage with its stakeholders in policy and strategy development through meetings, workshops and consultations. An example is that they have organised a get together with friends of SDS in December 2013, where well-wishers, consultants, board members and staff of SDS and IPAC were invited to share objectives and operations of both the organizations (SDS and IPAC) with friends and gradually with the public at large. The founding member presented the history, vision, mission, formation, growth, struggles and achievements of SDS and IPAC. There was also a consultation on the rights of Muslim women. Women were invited from eight states of the country i.e. Bihar, Uttar Pradesh, Chhattisgarh, Madhya Pradesh, Maharashtra, Rajasthan, Haryana and Delhi to discuss pressures on Muslim women in their areas. They expressed a need for more opportunities for education for Muslim women and girls, skill development and employment. Through consultations like these SDS informs its strategies and policies for the benefit of the organisation.

Score baseline: 4.0

Score endline: 4.0 (no change)

Level of engagement of organisation in networks, alliances and collaborative efforts

4.2.Engagement in networks: 'Extent to which the organization has relationships with existing networks/alliances/partnerships'

This is about what networks/alliances/partnerships the SPO engages with and why; with they are local or international; and what they do together, and how do they do it.

SDS continues to be engaged with various regional, national and international networks. The organisation has been involved with UDGHOSH (a network on the right to development) since the baseline. While during the baseline there was a need to engage with more partners, in the past two years SDS has increased the number of partners they engage with. SDS has engaged with local NGOs, CSOs, lobby groups and local administration, which increased its knowledge of the ground situation. Through IPAC, SDS remains in contact with a network of professional lobbyists working in the not-for-profit sector. SDS has also partnered with Fredskorpset (FK); this is a network of partners funded by Norwegian government, working on enhancing the capacity of youth professionals through exchange

programmes. SDS has also partnered with All India Dalit Mahila AdhikarManch (AIDMAM); North East Women's Network (NewNet), Lok Vikas Kendra, Bihar; Vaagdhara, Rajasthan, Prayatan, Rajasthan; Muslim MahilaAndolan, Mahila Swarozgar Samiti, Uttar Pradesh; Nange Paon Satyagraha, Chhattisgarh; INSEC, Nepal; and SHREE Bangladesh. SDS has been actively working with the network of Women Human Rights Defenders (WHRDs) in Chhattisgarh for the last three years. SDS has engaged with government agencies and parliamentarians as well as international networks like Civicus, Lobby Works and UN organs and agencies, specifically UN Human Rights Council. Concerned programme staff participate in the meetings and events organised by other partners when relevant.

Score baseline: 3.5

Score endline: 4.0 (slight improvement)

Extent to which organisation is actively engaging with target groups

4.3.Engagement with target groups: 'The organisation performs frequent visits to their target groups/ beneficiaries in their living environment'

This is about how and when the SPO meets with target groups.

There has been no change in this indicator. SDS staff continue to meet beneficiaries frequently: during needs assessment, research, implementation and follow up. Both qualitative and quantitative data was collected to understand the needs of the target groups. During the implementation of a programme staff engage with the target group through awareness programmes, legal follow up and quarterly meetings. For direct intervention at the grass root level, SDS works with volunteers who work as outreach agents.

Score baseline: 4.0

Score endline:4.0 (no change)

Level of effective relationships within the organisation

4.4.Relationships within organisation: 'Organisational structure and culture facilitates open internal contacts, communication, and decision-making'

How do staff at the SPO communicate internally? Are people free to talk to whomever they need to talk to? When and at what forum? What are the internal mechanisms for sharing information and building relationships?

There has been no change in this indicator. SDS continues to be a small organization providing ample space for staff to interact and communicate freely. Staff use different modes of communication. Daily interactions among staff members continue to take place. A dedicated team has been working for SDS, which is spread over three offices and one field centre. SDS has also put in place an office management, communication, monitoring and reporting system, which has been documented in a log sheet till 31stMarch, 2013. Monthly reporting consists of programme activity and staff activity along with an analysis; and weekly reporting includes staff mobilization, project or program outcomes of activity, reporting of the program and planning for the week ahead. Minutes are kept of staff meetings and annual retreats. Communication between state office and central office is improving due to a stronger network that is being built.

Score baseline: 4.0

Score endline: 4.0 (no change)

Summary of capability to relate

The organisation continues to actively engage with its stakeholders in policy and strategy development through meetings, workshops and consultations. An example is that they have organised a get together with friends of SDS in December 2013. Through consultations like these SDS informs its strategies and policies for the benefit of the organisation. In the past two years SDS has significantly increased the number of partners, including NGOs, CSOs, government agencies, international networks, UN agencies and parliamentarians. SDS has engaged with local NGOs, CSOs, lobby groups and local administration, which increased its knowledge of the ground situation. SDS staff continue to meet beneficiaries frequently: during needs assessment, research, implementation and follow up. SDS

continues to be a small organization providing ample space for staff to interact and communicate freely. A dedicated team has been working for SDS, which is spread over three offices and one field centre. SDS has also put in place an office management, communication, monitoring and reporting system; communication between state office and central office is improving because of this.

Score baseline: 3.9

Score endline: 4.0 (no change)

Capability to achieve coherence

Existence of mechanisms for coherence

5.1.Revisiting vision, mission: 'Vision, mission and strategies regularly discussed in the organisation'

This is about whether there is a vision, mission and strategies; how often staff discuss/revise vision, mission and strategies; and who is involved in this.

The organisation continues to organise annual retreats for leadership and staff to reflect on vision, mission and strategies. Since the baseline in 2012, SDS has revised its vision and has formulated its mission, which was not yet consolidated in 2012. With SDS no longer being the legal holder of the WinG and with IPAC, the lobby and advocacy initiative of SDS, now being an independent organisation, SDS is envisaging to become a centre for excellence in research with a specific focus on women. SDS initiated research work to better inform its own actions as well as to make a case for policy work and engagement with public sector. SDS also continues to work on project implementation. The organisation is now directing its efforts towards working with the community through women centric community based programmes working on achieving wellbeing for marginalised women and children through women empowerment, gender justice and a rights based approach.

Score baseline: 3.5

Score endline: 4.5 (improvement)

5.2.Operational guidelines: 'Operational guidelines (technical, admin, HRM) are in place and used and supported by the management'

This is about whether there are operational guidelines, which operational guidelines exist; and how they are used.

The organisation continues to have a financial (from 2009), HR (from 2011) and gender policy (from 2007) in place. These operational guidelines are followed. The HR manual provides guidelines to the staff consisting of office hours, compensation granted, insurance given, salary advances etc. SDS's gender manual supports the setting up of a Committee Against Sexual Harassment (CASH) for preventing cases of sexual harassment in the office. During the Annual retreat in 2013, this committee was formed, one for the Delhi and one for the Raipur office (in consultation with its local partners) to further stimulate the use of the gender policy. SDS reports to the Ministry of Home Affairs as required under the FCRA and sends income tax returns as required under the Income Tax Act. In addition, it submits regular financial reports to its donors depending on their requirement and project agreement. SDS also shares it budget and financial statements with its constituency, NGO partners and other key stakeholders. The Executive Committee of the organisation also keeps a regular track of the financial management of the organisation. SDS now also has a procurement policy in place. Policy making continues to be seen largely as a function of the management, so they continue to decide on processes and clauses within processes.

Score baseline: 3.0

Score endline: 3.25 (very slight improvement)

Level of coherence of various efforts of organisation

5.3.Alignment with vision, mission: 'Projects, strategies and associated operations are in line with the vision and mission of the organisation'

This is about whether the operations and strategies are line with the vision/mission of the SPO.

Operations, projects, interventions, networking and stakeholder engagement are all in line with the revisited vision and now consolidated mission of SDS, which means that all their operations are related to achieving wellbeing of marginalised women and children through women empowerment, gender justice and a rights based approach. Since the baseline SDS wanted to develop IPAC into a separate entity, it has now succeeded at this: in July 2014 IPAC obtained its FCRA registration and so that it could operate independently. This makes it easier for SDS to focus on its research and project implementation work in line with their vision and mission, while IPAC continues to work on lobby and advocacy.

Score baseline: 3.5

Score endline: 4.0 (slight improvement)

5.4.Mutually supportive efforts: 'The portfolio of project (activities) provides opportunities for mutually supportive efforts'

This is about whether the efforts in one project complement/support efforts in other projects.

SDS continues to take up different programmes which strengthen each other, in terms of experiences, strategies, knowledge and networks. SDS now documents and reports on the experiences of its programmes and benefits from networks, which has consistently informed and educated future planning of projects and activities in the same regions or elsewhere. SDS no longer works on WinG and policy influencing; this last area is now done by the independent entity IPAC. The areas in which SDS continues to work are: community outreach on the issue of child rights, women for effective governance; and research and documentation around child and human rights, health and malnutrition, migration, voter's motivation levels in parliamentary elections, and Dalit land rights. These areas mutually support each other as SDS's research work informs their actions in the community outreach programme.

Score baseline: 4.0

Score endline: 4.0 (no change)

Summary of capability to achieve coherence

The organisation continues to organise annual retreats for leadership and staff to reflect on vision, mission and strategies. Since the baseline SDS has revised its vision and has formulated its mission. SDS works on research and project implementation with a specific focus on women empowerment and gender justice and is using a rights-based approach. The organisation continues to have a financial (from 2009), HR (from 2011) and gender policy (from 2007) in place. To implement the gender policy, the Committee Against Sexual Harassment (CASH) was formed during the Annual Retreat in 2013. SDS also adheres to the FCRA, Income Tax Act and now has a procurement policy in place. As IPAC is now a separate entity working on lobby and advocacy, SDS's research and project implementation are all aligned with its revisited and now consolidated vision of working on the wellbeing of marginalised women and children through women empowerment, gender justice and a rights based approach. SDS continues to take up different programmes which mutually support each other, and now documents the experiences, which informs future planning in the same regions or elsewhere. The areas in which SDS continues to work are: community outreach and research. Its research work informs their activities in the community.

Score baseline: 3.5

Score endline: 3.9 (slight improvement)

Appendix 4 Results - key changes in organisational capacity - general causal map

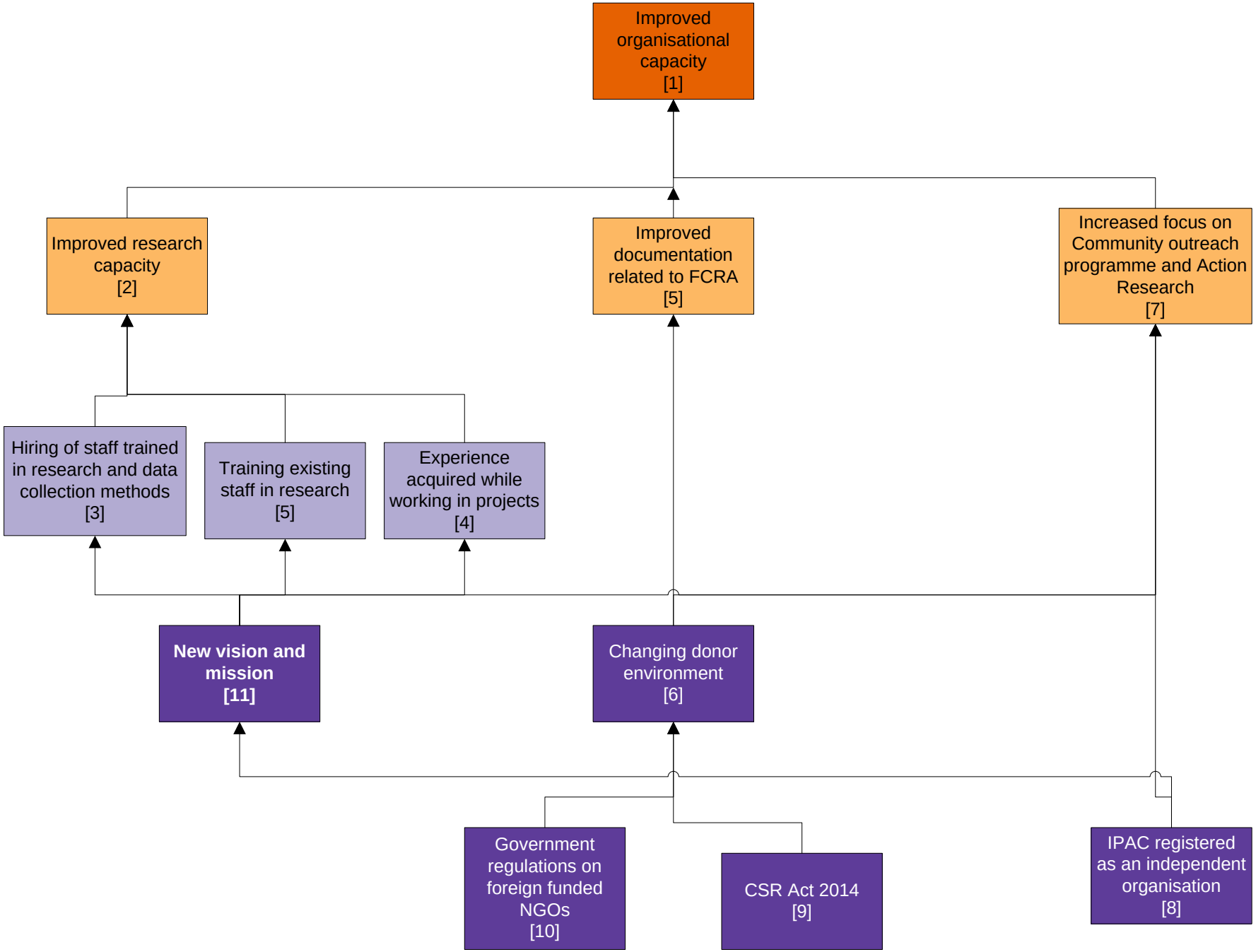
Below you will find a description of the general causal map that has been developed for the SPO during the endline workshop. Key changes in organisational capacity since the baseline as identified by the SPO during this endline workshop are described as well as the expected effects and underlying causal factors, actors and events. This is described in both a visual as well as a narrative.

The evaluation team carried out an endline assessment at SDS from 16 to 17 August 2014. During this workshop, the team made a recap of key features of the organisation in the baseline in 2012 (such as vision, mission, strategies, clients, partnerships). This was the basis for discussing changes that had happened to the organisation since the baseline.

According to the staff present at the endline workshop, the three key changes in SDS over the last two years since the baseline in 2012 have been:

- Improved research capacity [2]
- Improved documentation related to FCRA [3]
- Increased focus on community outreach programme and action research [4]

The three main organisational capacity changes are described in the light orange boxes. These are expected to lead to improved organisational capacity [1], visualised in dark orange. Light purple boxes represent factors and aspects that influence the key organisational capacity changes (in light orange). Key underlying factors that have impacted the organisation are listed at the bottom in dark purple. The narrative describes per organisational capacity change, the contributing factors as described from the top down. The numbers in the visual correspond with the numbers in the narrative.


Improved organisational capacity [1]
Improved research capacity [2]
Improved documentation related to FCRA [5]
Increased focus on Community outreach programme and Action Research [7]
Hiring of staff trained in research and data collection methods [3]
Training existing staff in research [5]
Experience acquired while working in projects [4]
New vision and mission [11]
Changing donor environment [6]
Government regulations on foreign funded NGOs [10]
CSR Act 2014 [9]
IPAC registered as an independent organisation [8]

Improved Research Capacity [2]

SDS in the course of the last two years (2012-2014) has been working towards establishing its research capabilities and working directly with the community. SDS initiated research work to better inform its own actions as well as to make a case for policy work and engagement with public sector [Source: Workshop details 2014]. Improved research capacity of SDS has been due to hiring of staff trained in research and data collection methods [3], Training of existing staff in research [5] and experience acquired while working in projects [4].

- Hiring of staff trained in research and data collection methods [3] SDS hired staff trained in research and data collection methods [Source: Self-Assessment forms for Management, 2014].
- Training of existing staff in research [5]: External resource persons were invited by SDS to train their staff members in research. SDS thus claims that their staff with the presence of trained colleagues and trainings has increased their capacity in the field of research [Source: Self-Assessment forms for Management, 2014].
- Experience acquired while working in projects [4] In order to expand its research based work, SDS conducted a research for CRY on the Study on Malnutrition among Children in the State of Delhi of children between the age-group of 0-3 years in Delhi and study on quality of education among government schools in Delhi. Under this project, 500 persons were interviewed of which 220 were from resettled colonies, 220 from JJ colonies and 60 were homeless. A survey was done through "a social questionnaire to obtain quantitative date; for qualitative inputs focused group discussions were held with the help of interview schedules, and through observations with the service providers i.e. ICDS functionaries and doctors of health centres (private and governmental) [Source: SDS Annual Report 2012-2013.pdf].
- SDS's needs assessment programme in Bawana Industrial region located in the North West district of New Delhi has been linked to their research based work. These communities are migrant workers who were relocated in the region after being displaced during the Delhi Commonwealth Games in 2010. Majority of them are Muslims from Bangladesh, whose struggle start with the problem of acquiring documents to support their citizenship. This cumbersome process of acquiring an identity for acquiring government schemes for the poor led to a situation, where the powerful (resourceful in terms of those who could bribe officials) get easy access to these documents. This was followed up by locating the reasons behind their problem. Along with research, there was implementation of a skill building programme for the women in these areas. This support for skill building is provided by SDS from their existing funds. Exploring this area of working as implementers, SDS wanted to divert the corporate social responsibility in their favour.

Each of these changes has been informed by a change in the vision and mission of the organisation. During the last two years, SDS began envisaging itself as a centre for excellence in research with a specific focus on women [11]. The mission of the organisation which was not very clear during the baseline became focused on women related issues and women empowerment. The organisation is now directing its efforts towards working with the community through women centric community based programmes instead of lobbying and advocacy. When IPAC became independent organisation [8], this helped the organisation to refocus its orientation which was an important change happening in the organisation. The other important change was the fact that the advocacy initiative within SDS i.e. IPAC, became registered as an independent organisation [8] [Source: 5c endline self-assessment of the SPO on organisational capacity – management_India_Shivi]. Thus the focus of SDS became research and programme implementation while that of IPAC became lobbying and advocacy [11].

Improved Documentation related to FCRA [5]

NGOs working in conflict areas in the North East are in general under the radar of Intelligence Bureau of India. The report of the Intelligence Bureau under the Ministry of Home Affairs "Concerted efforts by select foreign funded NGOs to 'take down' Indian development projects" stated explicitly the work of NGOs especially the foreign funded donors like CORDAID, whom they fear anti-development activities in the country with reference to the extractive project in North East:

- "Furthering its efforts on the North-East, Netherlands-based, Dutch Government funded, donor, CORDAID, has recently added 'Extractive Industries in the North East' as the fourth focal point for its interventions in India. It organized another 'Side-Event on Extractive Industries Operations on the Enjoyment of Human Rights (September 14, 2012/Geneva) with Swami Agnivesh as the prominent speaker…..To assess the potential for civil rights activism, Senior Policy Officer, CORDAID, Eelco De Groot (earlier associated with the Dutch Ministry of Economic Affairs), has planned a visit to Manipur from March 5-12, 2013, which was denied. He has planned the visit under the cover of an organization called Extractive Industries Transparency Initiative…" [Source: IB-Report-NGO.pdf].
- In a latest report in a national daily in India the negative impacts that foreign funded NGOs working in India, including Cordaid, are stalling oil drilling in the North East [Source:http://timesofindia.indiatimes.com/india/Dutch-funded-NGO-trying-to-stall-oil-drilling-in-northeast-IB-report/articleshow/36513963.cms]. With foreign funded NGOs being brought under the radar of the government [10], NGOs have to put in place an improved process of documentation both financially and programme related. To that end, SDS worked on improving their legal compliances of aligning with the FCRA (Foreign Contribution Regulation Act) [10] and drawing the focus of companies engaged in CSR (Corporate Social Responsibility) initiative [9]. In August 2013, SDS sent one of the staff members to Bangkok to receive training in 'Documentation Skills'. There was also an exchange programme with INSEC[11], Nepal. These trainings were based on putting all legal compliances in place [Source: Discussion during Endline Workshop 2014]. So SDS improved its documentation related to FCRA [5] because of the changing donor environment [6], which was influenced by government regulations for foreign funded NGOs [10] and the CSR Act in 2014 [9] helps to improve the documentation related to FCRA.

Increased focus on Community outreach programme and Action Research [7]

Some examples of SDS' work on community outreach and action research are mentioned below:

- SDS is working with the community and had to take up issues on the rise in the cases of crime against women in the last two years; SDS working in the area of human rights violations could not have overlooked issues concerning violation of rights of women. The MFS II funding received by them is a case in point where the funding is taken on finding out the situation of rights of woman in oil extracting industries in Manipur. On the one hand, there is the changed mandate of working directly on issues of women and on the other hand, SDS is also working as direct implementers of the projects. Working directly with the community has led to scaling up their work.
- In Chattisgarh there has been a workshop funded by MISEREOR, on Women Human Rights Defenders, organized by SDS from 6-9 August, 2014. SDS work with this network of Human Rights Defenders is supported by SDS and IPAC [Source: State Level Workshop on Women Human Rights Defenders.docx]. The main objectives of the workshop were:
  - To build the capacities of WHRDs to analyse the specificity of the risks they face and to develop their own security and protection strategies.
  - To explore 'self' and 'us' from the perspective of strength and common grounds.
  - To broaden the perspectives building a stronger coalitions to work efficiently.
  - To take back ideas from each other for collaboration and work for human rights promotion and defence.
  - To develop action plans for the next six months for lobby on specific common issues. [Source: WHRD News.PDF].
- SDS also published "Experiences of Women Human Rights Defenders (WHRD) in the South Asian Context" in November 2013, a documented report on issues of human rights violation of women across South Asia. This document has been published from the funding received by SDS from Cordaid [Source: Experiences of Women Human Right Defenders in the South Asian Context]
- Mining Extraction Project since 1st September 2013 to 31st May, 2014 in Manipur is supported through the Cordaid funding and is based on SDS's research on the impact of mining on women working in the field. This project is at its initial stage of formulating of the concept note for it. Change in its theme led to SDS looking into the impact of oil extracting companies from the

[11] Informal Sector Service Centre

perspective of its impact on gender. Dispelling the common perception of higher engagement of men in agriculture, this research looks into its impact upon the lives of women working in the agricultural fields.

- In 2013, SDS worked towards setting up a Migration Facilitation and Information Centre (MFIC) in Dudhaniya village in Jharkhand. The centres cater to migrant workers from the 18 villages in that region. It provides them with ID cards issued by Government of Bihar, providing basic services to the migrant workers. The programme focused on the awareness and effective implementation of "Pravasi Majdoor Durghatana12 Bima Yojana". SDS had set up health camps in Varanasi and Kota, Rajasthan to promote health awareness [Source: SDS Annual Report 2012-2013.pdf].

Shivi Development Society has improved its focus on community outreach programmes and action research [7], as a result of their revised vision and new mission [11]. This change was also made in response to a change in the donor environment [6] and because of IPAC, the lobby and advocacy initiative of SDS becoming an independent entity [8].

- Change in the donor environment [6]
- With the Corporate Social Responsibility(CSR13) Act coming into force in 2014 [9], SDS realized that in order to approach the corporate sector they had to focus on community related interventions as the corporate sector did not fund lobbying and advocacy initiatives.
- IPAC became registered as an independent organization [8]
- Another important change that occurred was that the advocacy initiative within SDS i.e. IPAC, became registered as an independent organisation [Source: 5c endline self-assessment of the SPO on organisational capacity – management_India_Shivi]. Thus the focus of SDS became research and programme implementation while that of IPAC became lobbying and advocacy.

[12] Accident insurance policy for migrant labourers

[13] The new Companies Act 2014, with a very strong CSR Clause, mandates companies with an average profit of INR 50 million in last three years, to proactively design and undertake welfare and other developmental activities.

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The Centre for Development Innovation works on processes of innovation and change in the areas of food and nutrition security, adaptive agriculture, sustainable markets, ecosystem governance, and conflict, disaster and reconstruction. It is an interdisciplinary and internationally focused unit of Wageningen UR within the Social Sciences Group. Our work fosters collaboration between citizens, governments, businesses, NGOs, and the scientific community. Our worldwide network of partners and clients links with us to help facilitate innovation, create capacities for change and broker knowledge.

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