Endline report – Ethiopia, NVEA
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 Ethiopia, NVEA. 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 Ethiopia 5C evaluation team

List of abbreviations and acronyms

ABE	Alternative Basic Education
BEN-E	Basic Education Network Ethiopia
BEQIP	Basic Education Quality Improvement Program
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
CBOs	Community Based Organizations
CDI	Centre for Development Innovation, Wageningen UR, the Netherlands
CFA	Co-Financing Agency
CSO	Civil Society Organization
C4C	Connect for Change Consortium
C&DA	Child and Development Alliance
DEC	Development Expertise Center
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).
EF	Edukans Foundation
General causal map	Causal map with key organisational capacity changes and underlying reasons for change (causal mechanisms), based on SPO perception.
ICCO	Interchurch organization for development cooperation
IFPRI	International Food Policy Research Institute
IICD	International Institute for Communication and Development
MDG	Millennium Development Goal
M&E	Monitoring and Evaluation
MFS	Dutch co-financing system
MIS	Management Information System
NGO	Non-Governmental Organisation
NVEA	New Vision in Education Association
OD	Organisational Development
PME	Planning, Monitoring and Evaluation
Process tracing	Theory-based approach to trace causal mechanisms
SKN	Stichting Kinderpostzegels Nederland
SPO	Southern Partner Organisation
ToC	Theory of Change
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: NVEA in Ethiopia. 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 chapter 4.22..

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, improvements took place in all of the capabilities.

Over the last two years many improvements took place in the indicators under the capability to act and commit. The management has become more responsive and takes swift action on issues raised by staff. Field staff is now participating in the management committee and there is a close collaboration between management, partners and beneficiaries. Strategic guidance has improved over the last two years in both formal and informal ways. Board members are giving better technical back-up for program and administrative staff, regular meetings are taking place and the reporting mechanism has strengthened. Staff turnover has been negligible in the last two years because of successful staff retention initiatives that were introduced after the feedback of the baseline evaluation in 2012. Incentives for staff have increased as the per diem rate increased, some medical and education costs are covered, salaries increased by 10 percent and there are more training opportunities for staff. Staffs have improved their skills especially in report and proposal writing, project planning and management. DEC, CCRDA, Kinderpostzegels, Edukans and the World Bank have supported NVEA in this by giving trainings. Daily operations are in line with the strategic plan and this has improved because of recruitment of new staff and training on Project M&E. The overall fundraising capacity of NVEA has improved since the baseline: they have acquired new projects in 2013 and 2014 and MFS II funding has also increased. A new funding procedure that the organisation adopted is proposal writing in clusters, in this way they obtained funding from the British Embassy.

In the capability to adapt and self-renew NVEA saw some improvements. The organisation's M&E application improved slightly because of establishing a cost-effective M&E system, using an M&E manual for project follow up and facilitating M&E on a quarterly basis. The program and project staffs have been trained in M&E and have gained experience in this. Since the baseline, NVEA is making very slightly more use of its M&E findings by compiling track records, communicating lessons learned to stakeholders and using them for decision making on strategies. Room for critical reflection has slightly improved because all levels of staff are now welcome to raise issues and these are taken up and are often acted upon by management.

In terms of the capability to deliver on development objectives, NVEA shows slight improvement in its operational plans. The field staffs now also make operational plans and day-to-day plans are developed. After the baseline in 2012, NVEA assigned an internal auditor to assure that budgets are used properly and in a transparent way. Finance staff is documenting their work more effectively and procurement is done in a more cost-effective way. Since the ESAP 2 (Ethiopian Social Accountability Program Phase 2) has been launched in 2013, NVEA has improved its bottom-up approach in doing needs assessments among beneficiaries of their programs to ensure their needs are being met.

In the capability to relate, NVEA has shown very slight improvements in engaging in networks because they are now involved in a new partnership with the British Embassy. Frequency of visits to target groups has increased because thanks to Kinderpostzegels, NVEA now has motor bikes to visit the target groups more often. There has been a very slight improvement in internal relations because of better documentation and use of minutes of meetings.

Finally, NVEA has improved in a few indicators under the capability to achieve coherence. In 2013 NVEA revised its vision, mission, goal, objective and core functions to include adaptations in line with the changing development agenda. New operational guidelines were developed since the baseline on topics including HRM, M&E, Child Protection Policy, SRH manual and resource mobilisation. In the implementation of all its program components, NVEA ensures mutually supportive efforts by establishing good relationships with the concerned government organisations, CBOs, and communities.

During the endline workshop some key organisational capacity changes were brought up by NVEA's staff in the 'general causal map': improved capacity to prepare winning proposals; improved capacity for networking and partnerships; improved capacity in financial reporting and compiling; improved capacity in social cognition and team spirit; and improved capacity in PME. The evaluators considered it important to also note down the SPO's story about what they considered to be key organisational capacity changes 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 provided by the evaluation team.

According to NVEA staff, their capacity to prepare winning proposals improved because staff has knowledge on which key components to include in proposals. This was due to training on project cycle management in 2013 (funded by Basic Education Network Ethiopia (BEN-E), training on fundraising by BEN-E and sharing experiences during these trainings.

The organisation has improved its capacity in partnerships and networking because of improved knowledge on partnerships and networking. This knowledge was gained through a training on networking by the Ethiopia Center for Disability and Development (ECDD) in 2013; through advice from Kinderpostzegels and Edukans (MFS II funded) regarding donor preferences for working with partners for better impact; and by implementing the social accountability program in 2013 (funded by the World Bank).

NVEA improved its capacity in financial reporting and compilation due to better knowledge about a functioning financial system and the assignment of an internal auditor. NVEA learned about a functioning financial system through the feedback of the MFS II 5c baseline evaluation in 2012, feedback and recommendations from Kinderpostzegels (MFS II funded) and a training on financial management and budgeting in 2013 by Edukans (MFS II funded).

According to NVEA staff they improved their capacity in social cognition and team spirit due to regular review meetings (on a quarterly basis) which were introduced as a result of the feedback and advice of the NVEA board, of Kinderpostzegels (MFS II funded) and experience from other organisations.

Finally, NVEA improved its capacity in PME because of improved knowledge in preparing results based reports and on conducting checklist based M&E supervision. Knowledge on preparing reports improved because of a training on Results Based Management (RBM) in 2012 (funded by MFS II); a training on RBM in 2014 by Cheshire Service Ethiopia; and the preparation of M&E guidelines by a consultant in 2013 (partly funded by MFS II). Knowledge on M&E supervision improved because of these M&E guidelines; a training on M&E in 2013 by board members (partially MFS II funded); and regular quarterly monitoring.

According to NVEA, MFS II funded capacity development interventions have thus played a role in improved capacity in networking and partnerships; improved capacity in financial reporting and compilation; Improved capacity in social cognition & team spirit; and improved PME capacity. This was through training, advice and feedback, and the development of an M&E guideline. However, internal factors like advice from board members, assigning an internal auditor and regular review meetings have also played an important role in the key organisational capacity changes that the NVEA staff considered important since the baseline in 2012. Support from other funders, like BEN-E, the World Bank, Cheshire Service Ethiopia in terms of training, has also been mentioned as among the underlying factors for these changes.

2 Context and General Information about the SPO – NVEA

2.1 General information about the Southern Partner Organisation (SPO)

Ethiopia	
Consortium 1	Connect4Change (C4C)
Responsible Dutch NGO	Edukans Foundation
Project (if applicable)	Improving the Teaching-Learning Processes and Educational Management through ICT
Consortium 2	ICCO Alliance
Responsible Dutch NGO	Edukans Foundation
Project (if applicable)	Education for all project
Consortium 3	Child and Development Alliance
Responsible Dutch NGO	Stichting Kinderpostzegels Nederland (SKN)
Project (if applicable)	Non formal alternative basic education in Sibu Sire Woreda (Project C1 MFS II sample)
Southern partner organisation	New Vision in Education Association (NVEA) http://www.nveadeseth.org/

The project/partner is part of the sample for the following evaluation components:

Achievement of MDGs and themes	
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

The aim of the project is creating access to basic education for disadvantaged children in the first cycle of primary schools in rural areas of Sibu Sire Woreda, East Wollega Zone, Oromiya Regional State by constructing ABE Centres (Alternative Basic Education Centres). To achieve this, centres are set up with support of local community to organize awareness raising campaigns to promote the rights of the child in particular the right on education and to fight harmful traditional practices such as child labour, early marriage, rape, and abduction to reach education for all. By building the capacity of school community and community representatives through trainings, materials support, class room construction and renovation and vocational skill training for parents of the children, the project aims at improving the quality of education for these children.

Non Formal Education as is given at the ABE Centres is not as informal as it seems. In Ethiopia all ABE (Alternative Basic Education) Centres follow a nationwide Non Formal Education (NFE) curriculum. Three years of NFE education gives the right to access to grade 5 of formal schools. Until the year2010/11, 3 years of NFE used to give the right to access grade 5 of formal schools. However, as the result of the policy change by the government, the duration of the NFE has been decided to be equal to the formal schooling and similar curriculum is used for the NGO run ABECs. NFF is characterized by the following aspect compared to formal schools: (1) Teaching is often done in local language. (2) School times and hours are more flexible. The school year can start a little later due to the harvest season. (3) Teachers at ABE Centres, called facilitators, in principle are recruited from the local community. They speak the local language and understand the local culture. Facilitators are recruited, deployed and trained by the employing NGO/CSO. Sometimes, when the expertise of the District/Woreda Education Office is required, trainings are conducted together with the sponsoring

NGO. (4) ABE Centres are more child-friendly and teaching is more child-focussed. (5) School classes in ABE Centres are smaller, maximum 50 compared to 60-100 children per class in formal schools.

The strategy of Kinderpostzegels and its Southern partner NVEA is that the ABE Centres have to be created by the local community themselves. The local partners stimulate and support this process. However, only if the community members (i.e. the parents) are really convinced of the importance of education for their children, are interested in improving access to education for them and are willing to invest in the creation, maintenance and functioning of a centre the project will support them to realize this. The local community is asked to contribute in kind and in labour for the creation of it. This is often done via the traditional Iddir system, a traditional system to raise funds for social events. In addition, a plot of land has to be reserved where the ABE Centre can be constructed, plus a plot of land of which the product serves as income for the running and maintenance costs of the centre.

Sibu Sire is a district administered by the Eastern Wollega zone, Oromiya regional state. Sire the administrative town of the district is located at 281 km west of Addis Ababa. The district is classified into 19 rural and 3 urban villages. The total population of the district is estimated to be 115,229 with 53.2% female and 46.8% male inhabitants. The majority (83%) is living in rural areas. According to the District Education Office report (2012/2013), there are 32 first cycle (1-4) formal primary schools and 4 ABECs providing basic education to 15317 (49% girls) students. Besides, there are 6 kindergartens privately owned enrolling 352 (45%F) children operating with the support of12 (84%F) certified teachers. Even though there were 2129 (48.2% girls) out-of-school children reported at the end of 2006 academic year in the 19 rural villages of the district, 687 (47.6% girls) of them have accessed basic education through formal schools and NVEA's ABE centre. In total, 1449 (10.9% girls) children repeated in all grades in the 36 first cycle primary schools in the year 2006/2013. From the year 2008 to date, 7 ABECs have been established with the financial support of Kinderpostzegels out of which 3 of them were handed-over to the community and the DEO in year 2011.

The major reasons that prevent children from going to school and force them to drop out or repeat are lack of pedagogical training of teachers (no child-centred approach), long distance from schools, and extreme poverty. More precisely, families dependent on rain-based agricultural activities (only one rainy season), most families have female household heads and are big, rural communities dependent on traditional methods of farming, suffer from reduced soil fertility due to intensive farming on the same plots of lands year after year, and a high illiteracy rate in rural areas. NVEA as well as relevant local government agencies address HTPS like early marriage and abduction with community sensitizations and capacity building trainings, and these have been drastically improved.

2.3 Contracting details

When did cooperation with this partner start:
With Kinderpostzegels: July 2006
With Edukans: 2007

What is the MFS II contracting period:

With Kinderpostzegels: January 2011 – December 2015
With Edukans: January 2011 – December 2015

Did cooperation with this partner end? NO

If yes, when did it finish?

With Kinderpostzegels:N.A.
With Edukans: N.A.

What is the reason for ending the cooperation with this partner:

With Kinderpostzegels:N.A.
With Edukans: N.A.

If not, is there an expected end date?

With Kinderpostzegels: In case of good performance Kinderpostzegels will renew its cooperation with NVEA for the period after 2015
With Edukans: No

2.4 Background to the Southern Partner Organisation

History
New Vision in Education Association (NVEA) is an Ethiopian Non-Government Organization established in November 2000, with the objective to improve access to quality education for disadvantaged children in rural areas of Ethiopia, NVEA is founding member of BEN-E (Basic Education Network Ethiopia), also partner of Edukans and of Kinderpostzegels.

The founding members are experienced professionals constituted from the fields of Education, Health, Sociology and other related community development areas. It is a non-profit making and child focused voluntary organization registered at the Ministry of Justice in January 2001 with the mandate to operate as a development organization throughout the country. Abiding with the legal requirements of Ethiopia, it concluded both operational and project agreements with the concerned line ministries at the federal as well as regional levels. NVEA is administered and managed by a director whose job assignments are supported and supervised by the governing board of trustees. The board is made up of 5 members drawn from the 12 general assembly members out of whom 4 are female. The board supports and supervises the secretariat.

NVEA is currently running the Non Formal Alternative Basic Education project supported by Kinderpostzegels in the Sibu Sire area in East Wollega Zone. Bako basic education quality improvement and Ambo C4C supported by Edukans Foundation are implemented in Bako as well as Ambo towns of Western Shoa Zone. NVEA started operations in 2001. There was no well-articulated vision, mission, and goal of the organization when it started operations. In 2007, the organization developed a strategic plan, well-articulated vision, and mission and goal statements. New partnerships were also established at this time.The number and functions of staff expanded to six with new functions added such as accountant, secretary, project coordinators, facilitators and janitors, among the new functions created. There were 15 part time staff in 2007. Capacity building activities during the year included strategic planning, PM&E, gender education, constituency building, HIV/AIDs, resource mobilization and action research training.The year 2009 was marked by the new CSO legislation and new working procedure affecting the organization. The vision, mission, goal, strategies and target groups remained the same as preceding years. Staff number increased to 20 full time and 10 part time staff. Capacity strengthening activities done during the period included PM&E, resource mobilization, HIV/AIDs, PRA and strategic planning. The CSO law which was introduced during the year and which limited right-based approach and advocacy affected funds mobilization initiatives and became an important influencing factor.

In 2011-12, the strategic plan was revised and new policy documents on human resource and finance were prepared. Quality basic primary education was added to the organization’s strategy. The staff functions expanded to include program officer and project manager as newly introduced job categories. The budget doubled to 2, 657,792 ETB with funding from Edukans, World Population Foundation, Rutgers, IICD, Kinderpostzegels, Path International and Learn for Work. Currently, our funding partners are ICCO Cooperation, Kinderpostzegels, Lilianne Foundation, British Embassy to Ethiopia, and the World Bank. Capacity strengthening activities undertaken included financial resource management, gender budgeting, proposal writing, active learning methodology, RBM, ICT & inclusive education.

As the result of the revision of the Strategic Plan in 2012, the Vision and Mission statements have been reshaped in relation to the objectives and profile of NVEA:

Vision
To see every child (in Ethiopia) accessing quality primary education at the right age and close-to-home.

Mission

To expand inclusive quality basic education and early childhood care through non-formal programs that mitigate the impacts of HTPs & HIV/AIDs by developing infrastructure and strive to improve rural agricultural technology.

Strategies

Main strategic actions include:

- Provide Non-Formal (Alternative) Basic Education.
- Promoting Integrated Adult Functional Literacy(Non-Formal Vocational Skill Training)
- Prevention &Control of HIV/AIDs and promoting SRH in &out of schools
- Promoting Early childhood care and education
- Community capacity building.
- Promote inclusive education focussing on Disability
- Improve rural Agricultural Technology &Promoting Environmental Protection (Ensure Food Security)

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[1].

[1] 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 NVEA that have taken place since the baseline in 2012 are described. The information is based on the information provided by DEC.

Table 1

Information about MFS II supported capacity development interventions since the baseline in 2012

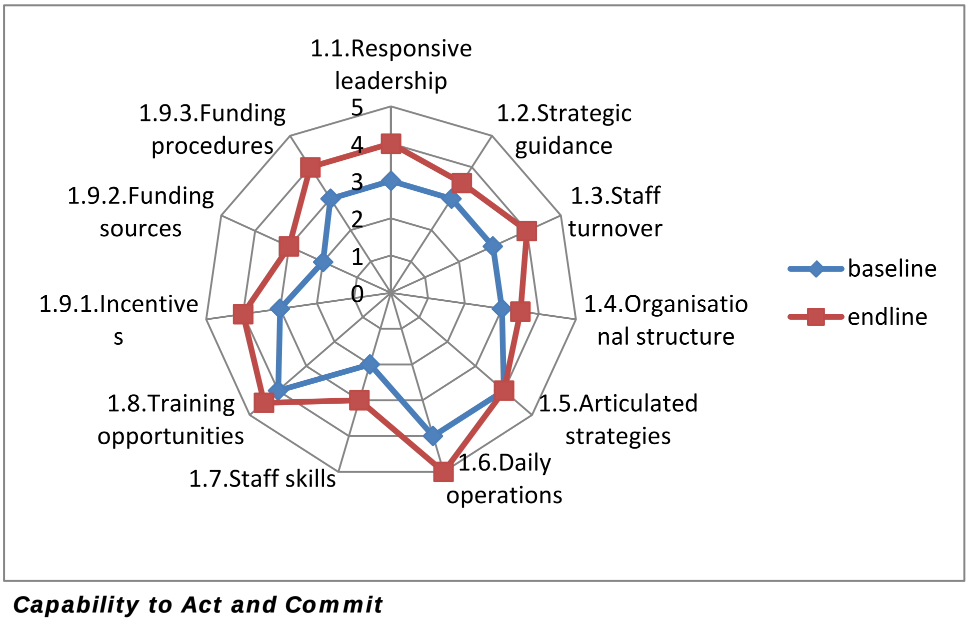
Title of the MFS II supported capacity development intervention	Objectives	Activities	Timing and duration	Budget
Training on active learning implementation for the organization's education focal person.	- Active learning training as major component in education quality improvement program - Students' academic achievement improved	Twice a year training for all participants then training is passed to teachers twice in half a year. Topics dealt with: - Time management - Child Centred Approach - Prepare SMART lesson plans - Use of suitable learning media - Facilitation Skills - Active learning methodologies and - M&E techniques	since June 2013 each quarter 5 days training	about 1100 Euros every year
Training on Education Management Information System	- Effective school management for quality education - Well organized and properly documented schools data and information	- The EMIS software is developed, validated, installed at all primary schools; teachers and SMT are trained on its utilization - Only minimum computer skills for teachers. NVEA staff check if they can open the system and teach them how to use it.	First developed software, first version sept 2013, then it was practiced and adapted version Oct 2014 training was given to partners. NVEA staff is now consulting schools in the use of the software.	about 900 Euros every year
Training on five Organizational Capabilities	- for the project PME&L - to capacitate and enable to execute and monitor and evaluate activities with improved quality	- What they have achieved/are proud of, what to avoid. Followed by action plans to follow up on what they have learned	During learning events (ex-change visits) at places of different partners about two times a year	5500 Euros every year (one time event for all partners)
Basic ICT skills training	- one of the three pillars of C4C program that would be concerned at primary schools - Teachers continuously use ICT for education purposes	Tailor made: how to use windows, word, excel, make graphics, how to prepare work sheets, how to view videos + other material, how to prepare lessons	In Nov 2012, Nov 2013 continued with EMIS (learning event reports)	895 Euro every year

Source: B_5C endline_support to capacity development sheet_CFA perspective_Ethiopia_NVEA_DEC_Edukans

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 (4.2.1). 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. In addition to this staff present at the endline workshop were asked to indicate what were the key changes in the organisation since the baseline. The most important is key organisational capacity changes have been identified, as well as the reasons for these changes to come about. This is described in a general causal map, both as a visual as well as a narrative. The detailed general map is described in 4.2.2.

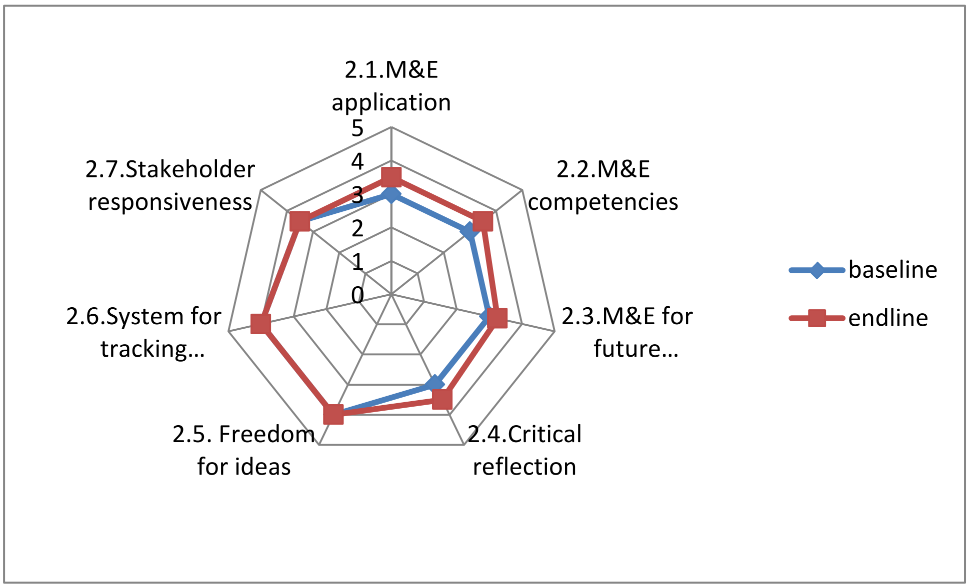
4.2.1 Changes in the five core capabilities



Capability to Act and Commit

The commitment of the top management in building better team spirit, staff motivation and shared decision making has improved compared to the baseline situation. Currently, the executive director influence has reduced and his role is becoming more based on facilitation. As a result staff members are empowered to make independent decisions. Participation of the field staff in the management committee is a new phenomenon in NVEA. Strategic guidance has improved compared to the baseline situation through formal and informal ways of communication. The existence of regular meetings with the staff and reporting mechanism is becoming an encouraging means to bring novel ideas to inform and develop strategic directions. The board members have also provided a better technical back-up for program and administrative staff in the last two years. Staff members are satisfied with most terms and conditions of the organization as similar to the baseline situation and as a result stuff turnover is low. The organization has a clear organizational structure that all staffs are able to access and understand. NVEA has assigned clear roles and responsibilities for respective program and administrative staff. Compared to the baseline situation NVEA has become well-structured in both program and finance divisions. Besides, the organization has revised its strategic plan in 2012 for the next five years and since then each and every activity of the organization has been in line with the strategic plan. However, funding opportunities have also broadened the issues that NVEA is covering such as disability and livelihoods. The operational and the action plans are developed in line with the revised strategic plan. Different training opportunities have been in place for staffs and both by the organization itself and partners and trainings are cascading to others non-participant staffs. NVEA has also hired new staffs in order to have the appropriate staff members on board. Hence, staff members are better equipped with different skills and knowledge to perform their respective assignments effectively and efficiently compared to the baseline situation. In addition to the different training opportunities that existed in NVEA since the baseline, the organization has also improved its incentive structure for staff including increased the per diem rate, medical cost coverage and 25 % education cost coverage as well as salary increment every year based on staff performance. NVEA has a fundraising strategy document since the baseline and has also been working hard on fundraising activities and has been able to secure more funds. As a result a number of new projects were launched in 2013 and 2014.

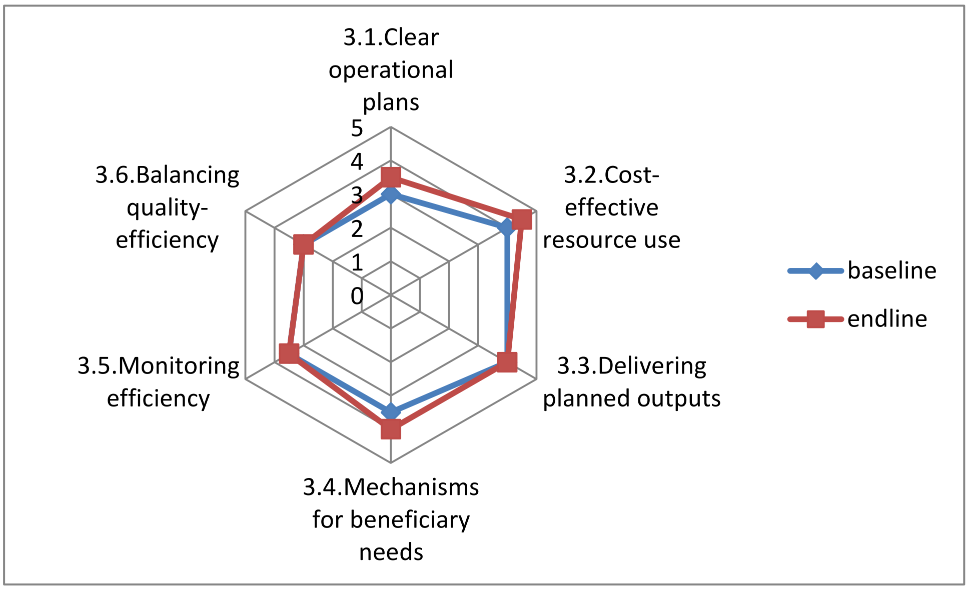
Score: from 3.1 to 3.9 (slight improvement)



Capability to adapt and self-renew

Compared to the baseline situation, NVEA has established a cost-effective monitoring and evaluation system. NVEA uses its M&E manual for project follow-up and it has facilitated and carried out M&E on quarterly basis by a team of ‘evaluators’ drawn from key stakeholders at project areas, project staff and program staff from head office. The program and project staff have been trained on M&E and have ample experience and competence in application of M&E. However, NVEA has not been good in undertaking a systematic outcome evaluation and impact assessment involving a wide range of stakeholders. This has largely been due to lack of a user–friendly manual to guide the process, lack of expertise within the organization and shortage of funds to hire external evaluators. On the other hand, staff indicated that the monitoring feedbacks have been well documented periodically and communicated on the spot with community representatives and key stakeholders. Feedback and results of M&E are used as an input to revise the strategic plan of the organization and used for future project planning and evaluation, but as indicated, a systematic evaluation at the levels of outcomes and impacts in collaboration with stakeholders is still lacking in the NFBE project Sibu Sire. There is also an improvement in sharing ideas and recognition by others staff members. Learning among staffs is improved and staffs are encouraged to come up with new ideas and ideas are respected and taken constructively. Similar to the baseline situation NVEA has tracked the environment by using different means. Dynamics of the external environment forced the organization to strengthen partnerships and networking with different SPOs and CBOs. NVEA has been responsive to stakeholders starting from the initial stage of any intervention. Stakeholders have been consulted and engaged in the planning, implementation and M&E of projects and only in consensus with them are the interventions are being implemented.

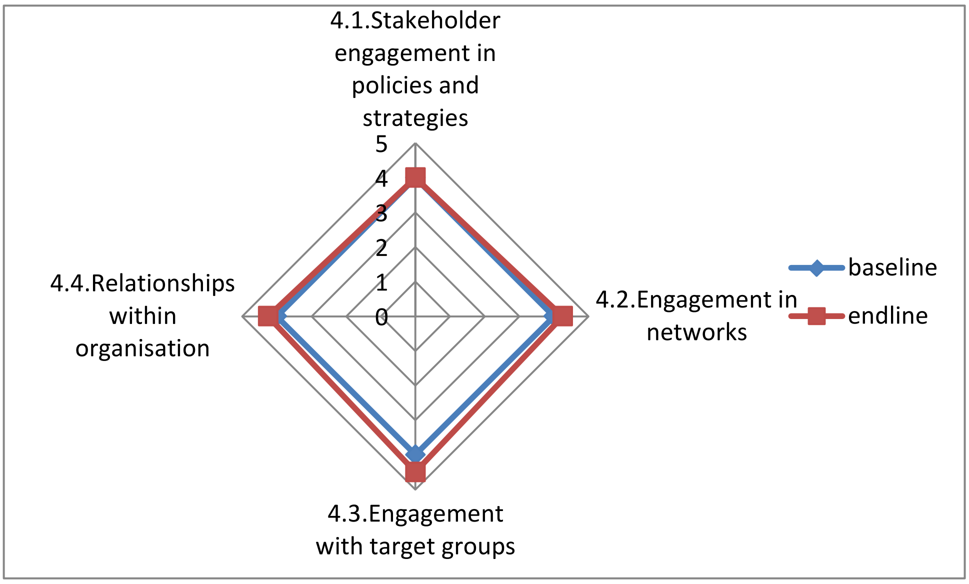
Score: from 3.4 to 3.6 (very slight improvement)



Capability to deliver on development objectives

NVEA has an operational plan for each project. This operational plan is prepared through a participatory approach of all staff members so that each person is able to understand the operational plan clearly. The organization's funds are used properly and in a transparent way due to the fact that NVEA has assigned an internal auditor in order to properly follow up and inspect the implementation of the financial procedures. Besides, Now NVEA is intervening in 20 primary schools, a fourfold increment compared to the baseline situation. The organization competency in providing quality reports within the limited time has also improved. NVEA has been considering the needs of the beneficiaries by conducting needs assessments. Accordingly a bottom-up approach is implemented and beneficiaries are directly involved in the whole planning process. Quality is the central point of each activity in NVEA. The organization uses Check lists and beneficiary feedback to measure and follow up on efficiency and quality during monitoring and evaluation. However, measuring inputs to related outputs is not happening.

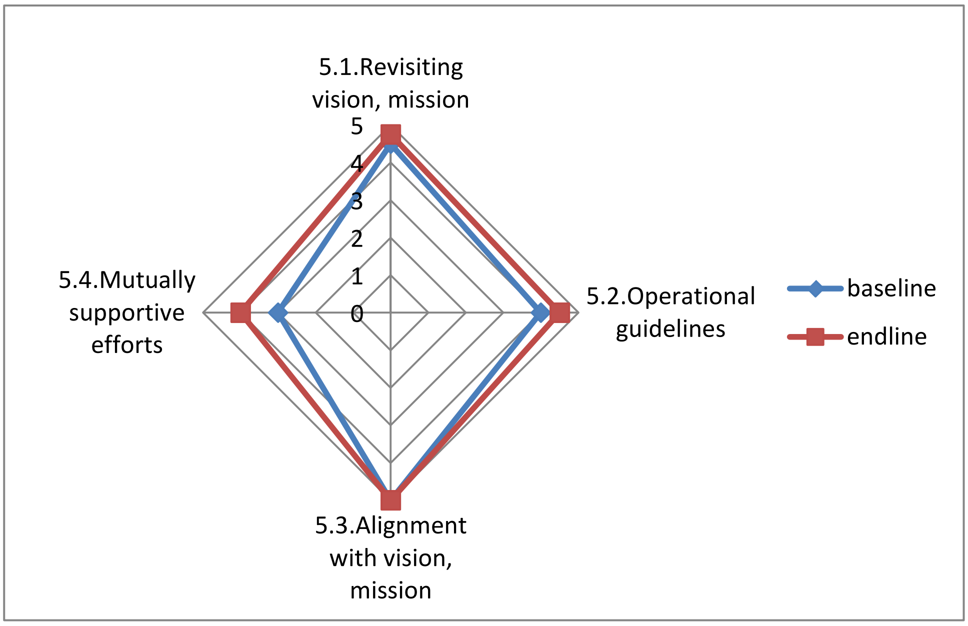
Score: from 3.5 to 3.7 (slight improvement)



Capability to relate

Relevant external stakeholders are consulted in the preparation of different policies and strategies for project implementation. To be specific after the baseline period, stakeholders at district and zone level have been involved in developing the Child Protection Policy and Sexual and Reproductive Health policy. NVEA maintains a strong partnership with different partners and stakeholders including specific government offices and has become a member of a new partnership with the British Embassy. Target groups have been involved in regular review meetings and monitoring to measure whether the interventions meet their needs as well as to set possible recommended solutions for identified gaps. Kinderpostzegels (MFS II funding) has purchased motor bikes and the program staff members are now able to frequently visit the target groups. Relationships within the organization have also been improved through regular management and staff meetings, face to face communications, email, telephone, and (when necessary) urgent meetings have been conducted. NVEA has improved its documentation and utilization of minutes of meetings for smooth communication.

Score: from 4 to 4.2 (very slight improvement)



Capability to achieve coherence

The vision and mission of the organization have been revised in 2013. Hence, mission statements are updated to include all development agendas. New operational guidelines have been developed since the baseline. These include; HRM guidelines, M&E manual, track record manual, board selection criteria and others. Child Protection Policy Manual, Sexual reproductive health manual, and resource mobilization manuals are also developed in 2013. The project strategies and action plans are all in line with the vision and mission of the organization. The management together with the board members monitor the alignments of operational plans to the vision and mission of the organisation. Besides, NVEA has been working in mutually supportive efforts through establishing good partnerships and working relationships with different concerned government organizations at different levels, CBOs, and the community at grass roots level.

Score: from 4.1 to 4.6 (slight improvement)

4.2.2 Key organisational capacity changes - general causal map

Below you can find a description of the key changes in organizational capacity of NVEA since the baseline as expressed by NVEA staff during the endline workshop. First, a description is given of how this topic was introduced during the endline workshop by summarising key information on NVEA from the baseline report. This information included a brief description of the vision, mission and strategies of the organisation, staff situation, clients and partner organisations. This then led into a discussion on how NVEA has changed since the baseline.

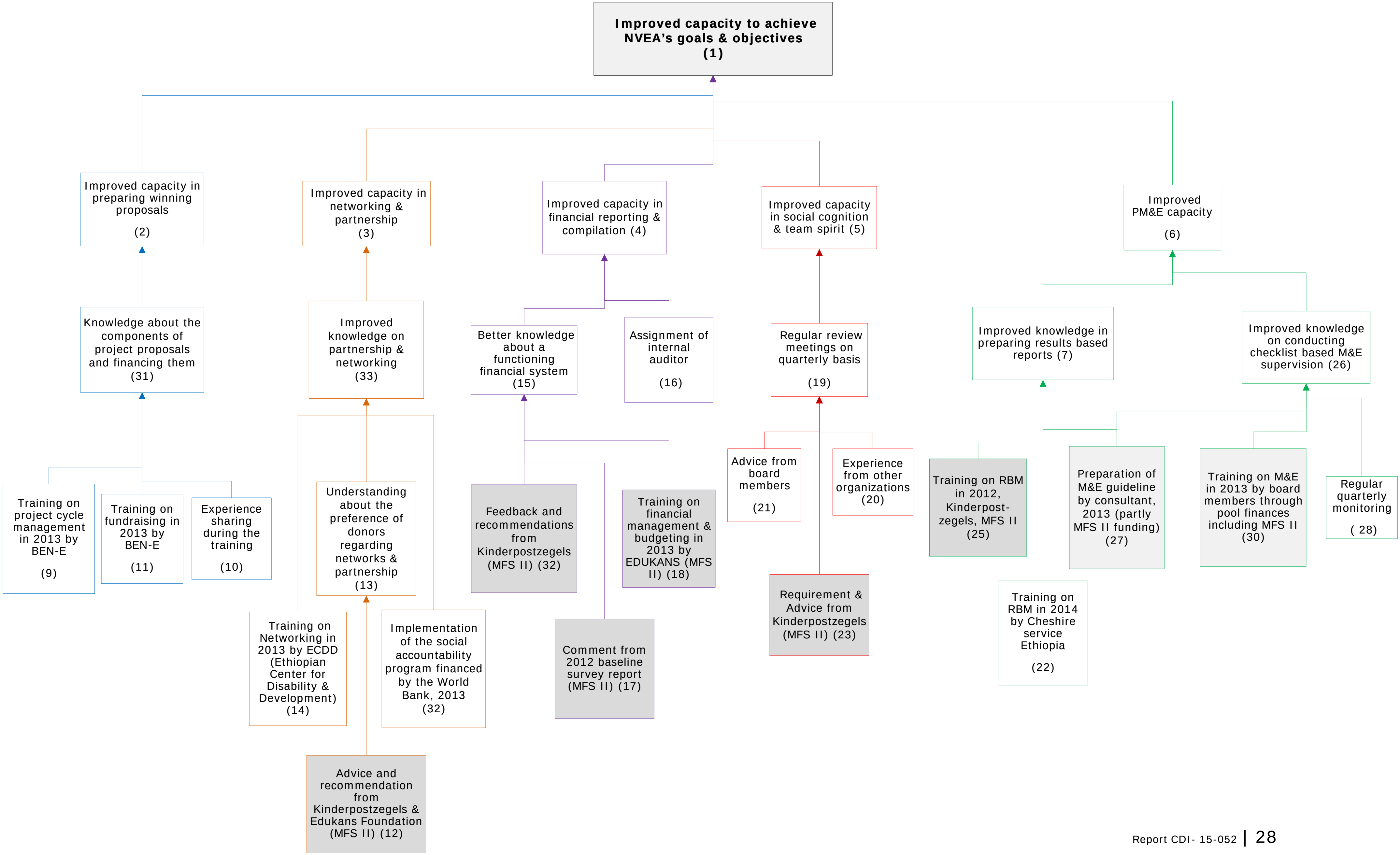
The endline workshop was conducted on September 6, 2014, at NVEA headquarters in Addis Abeba. Nine NVEA staff of five job categories participated: management, program, M&E, field staff and administration and finance staff. Following the self-assessment, staff brainstormed about and developed a causal map for the key changes that happened in NVEA since the MFS II baseline survey in 2012 in the area of organizational capacity.

At the endline workshop it was clarified that the overall organizational capacity goal of NVEA is **improved capacity to achieve NVEA's goals and objectives (1).** Staff agreed that in the process to achieve this goal, NVEA has improved the following capacities since the baseline in 2012:

- Improved capacity to prepare winning proposals (2)
- Improved capacity for networking and partnerships (3)
- Improved capacity in financial reporting and compiling (4)
- Improved capacity in social cognition and team spirit (5)
- Improved capacity in PME (6)

Each of these five key organizational capacity changes is further explained below. The numbers correspond to the numbers in the visual below.

NVEA Key organisaional capacity changes causal map



Improved capacity to prepare winning proposals (2)

NVEA now has a better capacity in preparing winning proposals (2): staff now has knowledge on what key components to include in proposals, as required by donors (31). For example, they now know how to prepare an M&E framework for a proposal. Because of this, three proposals have been accepted (two proposals by Bill and Melinda Gates foundation and one by Cheshire foundations. One proposal submitted to Edukans foundation was dropped at the last review round.

The interventions and factors that helped NVEA to prepare winning proposals, include the training on Project cycle management that was organized and funded by Basic Education Network (BEN)- E (Ethiopia) in 2013 (9) and the training on fundraising by the same organization (11). Both trainings helped staff to gain knowledge on the basic components of a project proposal and getting donors that will finance it (31). Apart from the trainings, the experience sharing during these trainings were also instrumental for the improvement in knowledge (10).

Improved capacity in partnerships and networking (3)

NVEA has improved its partnership capacity related to how to engage key stakeholders in the project cycle - planning, implementation, monitoring and evaluation and network with organizations that work on education and children's issues. The main factor that contributed to this is the knowledge NVEA got on partnership and networking (33). NVEA acquired this knowledge though the training on networking that was organized by the Ethiopian Center for disability and development (ECDD) in 2013 (14) and the information and advice given to them by Kinderpostzegels and Edukans foundations (MFS II funded) (12) on preference of donors regarding working with partners and networks for better impact (13). In addition, the implementation of the social accountability program which is financed by the World Bank in 2013 (32) enabled NVEA to get practical knowledge on how to work better with partners and networks.

Improved capacity in financial reporting and compilation (4)

The financial reports that are now being prepared by the finance staff have improved and they receive fewer comments as they fulfill the requirements of the financial report set by donors and the government. Furthermore, the financial reports are now submitted on time. The interventions that supported this improvement include the steps taken by NVEA to improve the financial system and comply with the feedback that it received from donors, including Kinderpostzegels (32) regarding its inefficient financial system which was run by junior staff. The comment that was mentioned in the 2012 MFS II 5c baseline survey reinforced the feedback (17). In line with this, the training they received on financial management and budgeting (18) in 2013 by Edukans which gave them an all-round knowledge about the creation of an efficient and effective financial system (15) became instrumental. The training also helped them to share knowledge with others on how they run their financial systems. To make the system sustainable they also assigned an internal auditor (16) who makes sure that the financial transactions are compliant to the procedures and regulations set in the financial manual.

Improved capacity in social cognition and team spirit (5)

Majority of NVEA staffs are less experienced and junior to development work. Therefore, creation of a mechanism that helps them to follow the day-to-day operations and things that are happening in the organization were difficult to create social cognition. This refers to a capacity related to creation of an atmosphere where all staffs are well informed about what is happening in the organization. This in turn has inculcated a team spirit among all staff. NVEA believes that this is a capacity that has improved after 2012 mainly because of regular review meetings, carried out on quarterly basis (19). Before 2012, meetings were not held regularly. This was as a result of the feedback and advice of different stakeholders, including the NVEA board (21) and Kinderpostzegels (23). In addition, the experience NVEA got from other organizations (20) also contributed to convince NVEA to institutionalize the regular quarterly meetings and update the staff about the current happenings.

Improved capacity in PME (6)

Currently NVEA has a better PME capacity, which has become useful for the organization to monitor its performance, as well as to donors who now receive regular and better quality reports. The factors that contributed to this are described below:

- Improved knowledge in preparing results based reports (7): this knowledge has enabled NVEA to report not only on activities but also on how these activities have resulted in outcomes. NVEA built this knowledge through the training on Results Based Management (RBM) in 2012 by Kinderpostzegels (MFS II) (25) and RBM in 2014 by Cheshire service Ethiopia (22). The M&E guideline that was prepared by a consultant in 2013, with partial contribution of MFS II funding (pool funding), guided the staff on what, how and when to collect data and how the reporting process was to be done (27).
- Knowledge on conducting checklist based M&E supervision (26): Before the baseline in 2012 NVEA staff used to conduct monitoring and supervision of projects without having a systematically prepared checklist or guideline. This has now improved and HQs staff as well as the field staff has knowledge in preparing and conducting regular monitoring and supervision (26). The training on M&E in 2013 by board members through the partial financial contribution of MFS II (pool funding) (30) helped them to gain the knowledge. In addition, the M&E guideline prepared by the consultant gave them a concrete example on what kind of checklist for data collection could be used by NVEA (27). The regular quarterly monitoring (28) that is carried out in the HQs also enabled them to refine their knowledge on the kinds of information needed for NVEA and how it should be collected.

5 Discussion and conclusion

5.1 Methodological issues

In preparation for the assessment, the Ethiopian 5C assessment team visited NVEA staff in the organizations HQs in Addis Ababa and explained the purpose and the process of the 5C end line assessment. During the visit the team agreed on the workshop dates including the type and number of staff who will attend the workshop. In addition, the team also gave the “support to capacity development sheet” to be filled by NVEA staff.

The Ethiopian 5C assessment team conducted the assessment in three visits. First visit, to conduct the self-assessment workshop with total of nine staff members and ask the staff to fill the self-assessment form in their respective five subgroups (management(1); program(1); M&E(1); HRM and administration (4) and field staff (2)). This was followed by a second visit to carry out a brainstorming session and develop a general causal map that explains the key organisational capacity changes that have occurred in NVEA since the baseline in 2012. The third visit was made to conduct an interview with one representative from each subgroup to triangulate the information collected through the self-assessment and to better understand the changes in NVEA’s capacity since the baseline in 2012. This was done after the 5C assessment team reviewed the completed self-assessment forms.

The plan of the evaluation team to also conduct two interviews with NVEA partners didn’t materialize because the interview overlapped with other activities that were to be carried out in the SPO by the assessment team because getting the SPO’s partners required the assessment team to travel to the field sites of the SPO which are far from Addis. No OD consultant has been interviewed. Due to the new CSO regulation, most of the SPOs are not involving consultants frequently because it puts a burden to their administrative cost (the agency categorizes consultancy as overhead). If consultants are hired at all, then is it mainly technical but not OD consultants.

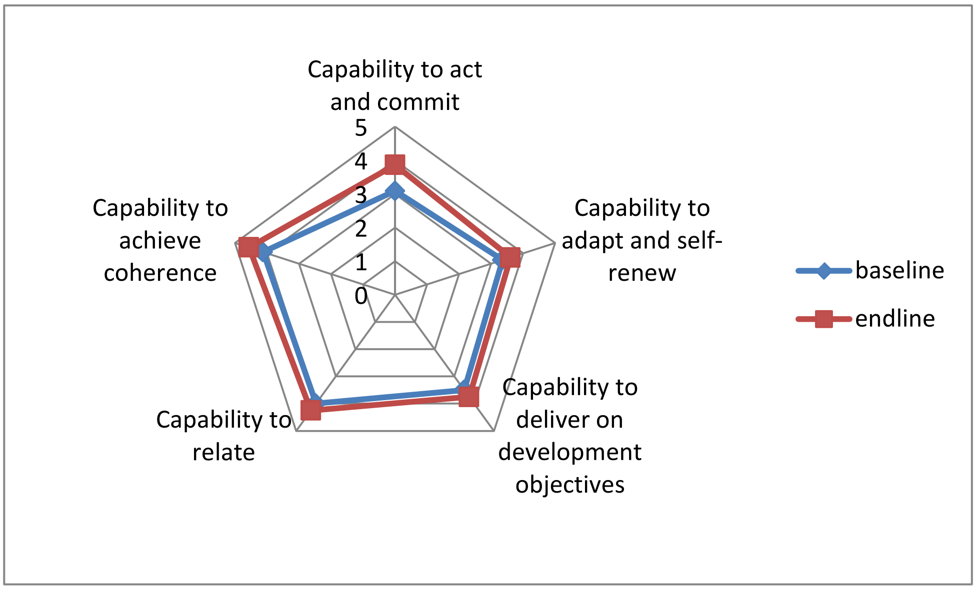
By and large, there has been a lot of information available to be able to do adequate data analysis.

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?*



Below the changes in each of the five core capabilities are further explained, by referring to the specific indicators that changed. In all of these capabilities improvements took place.

Over the last two years many improvements took place in the indicators under the capability to act and commit. The management has become more responsive and takes swift action on issues raised by staff. Field staff is now participating in the management committee and there is a close collaboration between management, partners and beneficiaries. Strategic guidance has improved over the last two years in both formal and informal ways. Board members are giving better technical back-up for program and administrative staff, regular meetings are taking place and the reporting mechanism has strengthened. Staff turnover has been negligible in the last two years because of successful staff retention initiatives that were introduced after the feedback of the baseline evaluation in 2012. Incentives for staff have increased as the per diem rate increased, some medical and education costs are covered, salaries increased by 10 percent and there are more training opportunities for staff. Staffs have improved their skills especially in report and proposal writing, project planning and management. DEC, CCRDA, Kinderpostzegels, Edukans and the World Bank have supported NVEA in this by giving trainings. Daily operations are in line with the strategic plan and this has improved because of recruitment of new staff and training on Project M&E. The overall fundraising capacity of NVEA has improved since the baseline: they have acquired new projects in 2013 and 2014 and MFS II funding has also increased. A new funding procedure that the organisation adopted is proposal writing in clusters, in this way they obtained funding from the British Embassy.

In the capability to adapt and self-renew NVEA saw some improvements. The organisation's M&E application improved slightly because of establishing a cost-effective M&E system, using a M&E manual for project follow up and facilitating M&E on a quarterly basis. The program and project staff have been trained in M&E and have gained experience in this. Since the baseline, NVEA is making a very slightly more use of its M&E findings by compiling track records, communicating lessons learned to stakeholders and using them for decision making on strategies. Room for critical reflection has slightly improved because all levels of staff are now welcome to raise issues and these are taken up and are often acted upon by management.

In terms of the capability to deliver on development objectives, NVEA shows slight improvement in its operational plans. The field staff now also make operational plans and day-to-day plans are developed. After the baseline in 2012, NVEA assigned an internal auditor to assure that budgets are used properly and in a transparent way. Finance staff is documenting their work more effectively and procurement is done in a more cost-effective way. Since the ESAP 2 (Ethiopian Social Accountability Program Phase 2) has been launched in 2013, NVEA has improved its bottom-up approach in doing needs assessments among beneficiaries of their programs to ensure their needs are being met.

In the capability to relate, NVEA has shown very slight improvement in engaging in networks because they are now involved in a new partnership with the British Embassy. Frequency of visits to target groups has increased because thanks to Kinderpostzegels, NVEA now has motor bikes to visit the target groups more often. There has been a very slight improvement in internal relations because of better documentation and use of minutes of meetings.

Finally, NVEA has improved in a few indicators under the capability to achieve coherence. In 2013 NVEA revised its vision, mission, goal, objective and core functions to include adaptations in line with the changing development agenda. New operational guidelines were developed since the baseline on topics including HRM, M&E, Child Protection Policy, SRH manual and resource mobilisation. In the implementation of all its program components, NVEA ensures mutually supportive efforts by establishing good relationships with the concerned government organisations, CBOs, and communities.

During the endline workshop some key organisational capacity changes were brought up by NVEA's staff in the 'general causal map': improved implementation capacity in holistic approach; improved capacity to prepare winning proposals; improved capacity for networking and partnerships; improved capacity in financial reporting and compiling; improved capacity in social cognition and team spirit; and improved capacity in PME. The evaluators considered it important to also note down the SPO's story about what they considered to be key organisational capacity changes 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 provided by the evaluation team.

According to NVEA staff, their capacity to prepare winning proposals improved because staff has knowledge on which key components to include in proposals. This was due to a training on project cycle management in 2013 (funded by Basic Education Network Ethiopia (BEN-E), a training on fundraising by BEN-E and sharing experiences during these trainings. The organisation has improved its capacity in partnerships and networking because of improved knowledge on partnerships and networking. This knowledge was gained through a training on networking by the Ethiopia Center for Disability and Development (ECDD) in 2013; through advice from Kinderpostzegels and Edukans (MFS II funded) on preferences of donors regarding working with partners for better impact and by implementing the social accountability program in 2013 (funded by the World Bank). NVEA improved its capacity in financial reporting and compilation due to better knowledge about a functioning financial system and the assignment of an internal auditor. NVEA learned about a functioning financial system through the feedback of the MFS II 5c baseline evaluation in 2012, feedback and recommendations from Kinderpostzegels (MFS II funded) and a training on financial management and budgeting in 2013 by Edukans (MFS II funded). According to NVEA staff they improved their capacity in social cognition and team spirit due to regular review meetings (on a quarterly basis) which were introduced as a result of the feedback and advice of the NVEA board, a requirement of Kinderpostzegels (MFS II funded) and experience from other organisations. Finally, NVEA improved its capacity in PME because of improved knowledge in preparing results based reports and on conducting checklist based M&E supervision. Knowledge on preparing reports improved because of a training on Results Based Management (RBM) in 2012 (funded by MFS II); a training on RBM in 2014 by Cheshire Service Ethiopia; and the preparation of M&E guidelines by a consultant in 2013 (partly funded by MFS II). Knowledge on M&E supervision improved because of these M&E guidelines; a training on M&E in 2013 by board members (partially MFS II funded); and regular quarterly monitoring. According to NVEA, MFS II funded capacity development interventions have thus played a role in improved capacity in networking and partnerships; improved capacity in financial reporting and compilation; and improved PME capacity. This was through training, advice and feedback, and the development of a M&E guideline. However, internal factors like advice from board members, assigning an internal auditor and regular review meetings have also played an important role in the key organisational capacity changes that the NVEA staff considered important since the baseline in 2012. Support from other funders, like BEN-E, the World Bank, Cheshire Service Ethiopia in terms of training, has also been mentioned as among the underlying factors for these changes.

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List of documents available:

NVEA Finance Manual .doc
NVEA HRD Policy and Plan.doc
NVEA HRD Policy and plan.docx
NVEA Salary Scale and Job description.doc
PCAT areas of improvement NVEA Amakelew March 2012 (20.04.12) .doc
Report from NVEA.docx
Results 2013 Targets 2014 NFBE Project NVEA (15 12 13).xlsx
Revised Bi-Annual Financial Report January - June 2013 NBFE project Sibu Sire NVEA (20.09.13).xls
Revised Project Activity Proposal 2013 ABE project Sibu Sire NVEA (08.11.12).doc
Schedule of the RBM refreshment training June 2012.doc
Sibu Sire Activity Proposal 2014 NVEA revised (15.12.13).docx
Strategic plan 2012-2016.docx
Table Situation construction ABE Centers - model (01 11 12).doc
Target group data NFBE project 2013 NVEA (gender) (15 12 13).xls
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Training Handout Workshop on CPP July 2012 (09.08.12).doc
Training Time Table for CPP Training July 2012 (09.08.12).doc
2011 Connect fot change Anual financial report.xlsx
2012 Connect fot change Anual financial report.xlsx
2012 Lessons Learned Policy document NVEA (22.11.12).docx
2013 - Full PCAT Final Score - NVEA.doc
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Annual Financial Report 2012 NFBE project Sibu Sire NVEA (29.03.13).xls
Annual report 2012 CD alliance final (29.04.13).doc
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F - The Annual MFS II Partners Meeting was convened from October 3- Revised Edition (20.12.12).pdf
Feed back letter Ref discussion at NVEA's head office in Addis (23.10.12).doc
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Final Report Annual MFS II Partners Meeting 2013 (10 11 13) Final Version.doc
Financial Report 2013 ABE project Sibu Sire NVEA (20.02.14).xls
ICT Learining events Ambo 2013.docx
Monitoring Report NVEA Amakelew 2nd Round visit 7 Nov 2012 (20.11.12).doc
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NVEA (Ethiopia5C) key info document_06.03.14.docx
NVEA Annual Financial Report of SKN 2013.xls
NVEA Annual Narrative Report of SKN 2013 Project.docx

Fieldwork data:

B_5C endline_support to capacity development sheet_CFA perspective_Ethiopia_NVEA_DEC_Edukans_completed_with_interview.docx
B_5C endline_support to capacity development sheet_CFA perspective_Ethiopia_NVEA_DEC_ICCO.docx
B_5C endline_support to capacity development sheet_CFA perspective_Ethiopia_NVEA_Kinderpostzegels.docx
A_5c endline_assessment sheet_C4C_Ethiopia_NVEA_DEC_Edukans_ICCO_completed_with_interview.docx
A_5c endline_assessment sheet_C4C_Ethiopia_NVEA_Edukans.docx
A_5c endline_assessment sheet_CDA_Ethiopia_NVEA_Kinderpostzegels.docx
G_5c endline self-assessment sheet_programme staff_Ethiopia_NVEA.docx
H_5c endline self-assessment sheet_MandE staff_Ethiopia_NVEA.docx
I_5c endline self-assessment sheet_admin HRM staff_Ethiopia_NVEA.docx
J_5c endline self-assessment sheet_field staff_Ethiopia_NVEA.docx
L_5c endline interview guide_subgroup_management_selected indicators_Ethiopia_NVEA-completed.doc
M_5c endline interview guide_subgroup_program staff_selected indicators_Ethiopia_NVEA.doc
N_5c endline interview guide_subgroup_MandE staff_selected indicators_Ethiopia_NVEA -complted.doc
O_5c endline interview guide_subgroup_admin and HRM staff_selected indicators_Ethiopia_NVEA.doc
Q_5c endline observation sheet_Ethiopia_NVEA.doc
R_5c endline_observable indicators at SPO_Ethiopia_NVEA.doc
C_5C endline_support to capacity development sheet_SPO perspective_Ethiopia_NVEA.docx
F_5c endline self-assessment sheet_management_Ethiopia_NVEA-completed.docx

List of Respondents

Alliance / CFA officers:

No.	Name	Function
1	Gezahegn Lamessa	C4C Programme Coordinator DEC Ethiopia
2	Aart van den Broek	Manager Education Programmes Edukans
3	Hendrien Maat	C4C coordinator Ethiopia; senior education specialist Edukans
4	Liana Hoornweg	Programme Officer Education, ICCO Cooperation Regional Office; ICCO Contact for Edukans

NVEA staff:

No.	Name	Function in the organisation
1	Dessalegn Lemessa	Executive . Director
2	Shumi Kenno	Program Coordinator (M&E Unit)
3	Gishu Abera	Program Officer
4	Firehiwot Tezera	Finance Officer
5	Senayit Dadhi	Assistant Finance Officer
6	Amsalework Tiret	Secretary
7	Yodit Dereje	Cashier
8	Gelan Bekuma	Project coordinator (Sibu Sire)
9	Sekata Assefa	Project Coordinator (Bako-Tibe)

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.[2] 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.

[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.

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:*
   - o -2 = Considerable deterioration
   - o -1 = A slight deterioration
   - o 0 = No change occurred, the situation is the same as in 2012
   - o +1 = Slight improvement
   - o +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.

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[3]

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

[3] 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

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
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
Identify initial changes/ outcome areas in these two capabilities – CDI team & in-country team
Construct the detailed, initial causal map (theoretical model of change) – CDI team & in-country team
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
Collect data to verify or discard causal mechanisms and construct workshop based, detailed causal map (model of change) – in-country team
Assess the quality of data and analyse data and develop final detailed causal map (model of change) – in-country team with CDI team
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).

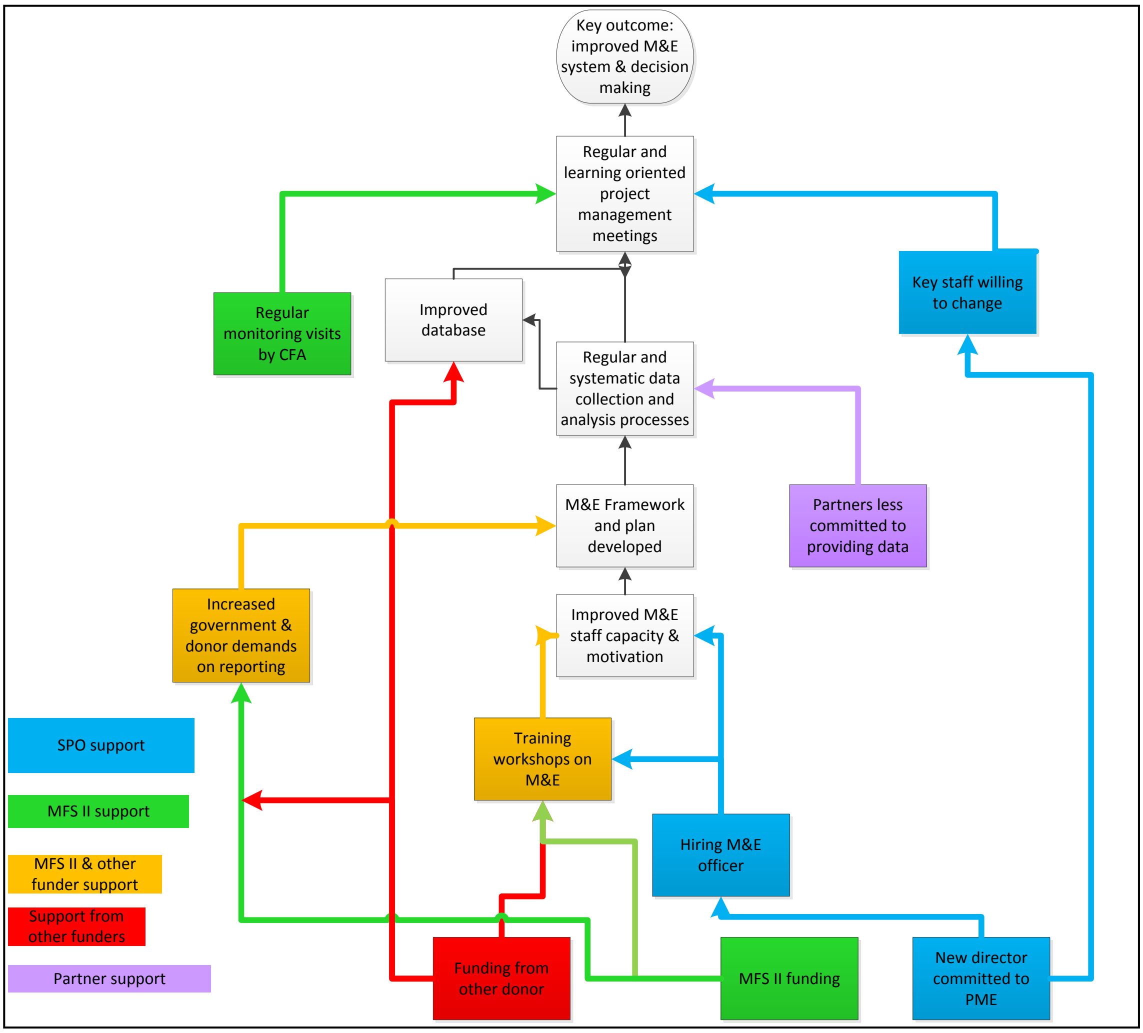

Figure 1 *An imaginary example of a model of change*

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:**

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 3 Results - 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.

Compared to the baseline situation, clear roles and responsibilities are assigned for respective program and administrative staff. The commitment of the top management in building better team spirit, staff motivation and shared decision making has improved compared to the baseline situation. Currently, the executive director influence has reduced and his role is becoming more based on facilitation. As a result staff members are empowered to make independent decisions. Participation of the field staff in the management committee is a new phenomenon in NVEA. The organization is open to new ideas and staffs are free to come up with different ideas and the management is responsive by providing swift action to tackle the issues raised. Overall there is an improvement in proper handling of staff. An improvement has also been observed in the close collaboration between management and the partners and beneficiaries.

Score: from 3 to 4 (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

Strategic guidance has improved compared to the baseline situation through formal and informal ways of communication. Among the formal ways, a regular meeting with the staff in place and the reporting mechanism is becoming an encouraging means to bring novel ideas to inform and develop strategic directions. The board members have also provided a better technical back-up for program and administrative staff in the last two years. The board members provide guidance on budget utilization, reporting mechanisms and procedures. Each board member has supported the organization in different ways. For example, one of the board members provided training for program staff on Result-based Management and report writing skills. Another member developed a concept note on food security, while a third board member supports auditing systems. NVEA has trained and assigned one of its staff members as an internal auditor to assist the finance staff and reconcile the program activities with their respective budget every two months.

Score: from 3 to 3.5 (improvement)

1.3. Staff turnover: 'Staff turnover is relatively low'

This is about staff turnover.

Based on the feedback of baseline evaluation result of 2012 NVEA has worked to create a better working environment, the board has made the salary of the staff more attractive, incentives have been improved and a letter of appreciation has been given to the best performers to recognize their effort. In addition to this, training has been provided at least twice a year. World Bank has provided trainings on Social Accountability twice a year since 2012. Besides this, staff members are satisfied with most terms and conditions of the organization as similar to the baseline situation. As a result stuff turnover is negligible in the last two years.

Score: from 3 to 4 (improvement)

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

In terms of having a clear organizational structure key informants do not observe any change compared to the baseline situation. NVEA has assigned clear roles and responsibilities for respective program and administrative staff. There is an organizational structure and policy manual. The organogram of the organization is posted in a clearly visible location. However, compared to the baseline situation NVEA has become better structured in both program and finance divisions.

Score: from 3 to 3.5 (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.

NVEA has developed a new strategic plan (2012-2016) in 2012. NVEA included interventions on disability and livelihood, interventions that were already part of the activities but not articulated in the previous strategic plan. Programs like child protection policy was developed with the sponsorship of Kinderpostzegels to help us become more responsive and inclusive.

Score: from 4 to 4 (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 organization has revised its strategic plan in 2012 for the next five years (2012-2016) and since then each and every activity of the organization has been in line with the strategic plan. The operational plans are developed in line with the revised strategic plan. To work in line with the strategic plan new staff members have been recruited and training on Project M&E has been given. Past experiences and lessons learned are used as inputs to have a better implementation capacity in line with the strategic plan.

Score: from 4 to 5 (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.

Compared to the baseline situation a range of capacity building support has been given to the staffs both by the organization itself and partners. Staff has received training in report writing, proposal writing, facilitation and presentation skills, and result based management. Staffs capacity and performance in project planning and implementation have improved. DEC, CCRDA and Kinderpostzegels are the major partners who actively worked on enhancing the staffs capacity through training. The organization uses a cascading approach to sharing skills and knowledge to all other non-participant staffs. In order to have the appropriate staff members on board additional recruitment also took place. Experience sharing has been used as a tool to enhance staffs capacity. Hence, compared to the baseline situation staff members are better equipped with different skills and knowledge to perform their respective assignments effectively and efficiently.
Score: from 2 to 3 (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

A number of trainings have been given in the last two years in NVEA and its partners. Via the Edukans foundation, through the Connect 4 Change Alliance, training on education management information systems and on five organizational capabilities has been given twice a year since 2012. Training on quality education was also given in 2013 and 2014 by ICCO. The Social Accountability Training by the World Bank in 2013 and 2014 and the Kinderpostzegels (C&D alliance) training on M&E, RBM and data collection twice per year are among the trainings to be mentioned. BEN-Ethiopia and CCRDA has also given a training on proposal writing and fund raising, and on M&E in 2013 respectively. In general, it is noticed that training opportunities have improved at NVEA compared to the baseline situation. But as it was in the baseline the 70/30 CSO law is still hampers the provision of better trainings.

Score: from 4 to 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.

Compared to the baseline situation an improvement in incentive structure has been observed. NVEA has increased the per diem rate since 2013, it also introduced a 500 birr medical cost coverage and 25 % education cost coverage. There is also a 10 percent or more salary increment every year based on staff performance. Different top up mechanisms are also in place whenever additional assignments are given to staff. The improvement in the availability of different training opportunities and the enabling working environment in the organization are also considered incentives to motivate staffs in their job.

Score: from 3 to 4 (improvement)

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.

NVEA has been working hard on fundraising activities and they have been able to secure more funds since the baseline in 2012. In 2013 and 2014 a number of new projects were launched. Examples are the British Embassy Civil society support program to support Livelihood Improvement Scheme (LIS) for Unemployed Girls in Oromia region, the Direct Child Assistance and Enabling Environment for CWDs, (endorsed by Liliane Foundation and to be financed through Cheshire Service Ethiopia) and the World Bank Ethiopian Social Accountability Program – II in Sibu Sire and Bako Tibe Districts since January 2013. MFS II CFA financial support has also increased compared to the baseline situation. In general, the overall fundraising capacity of NVEA has improved compared to the baseline situation.

Score: from 2 to 3 (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.

NVEA has a fundraising strategy document since the baseline but recently the staffs' capacity has improved so that they can write competitive proposals. Besides, from the perspective of the programmatic approach, proposal writing in clusters has been a new form of funding procedures. As a result of the cluster proposal writing they got funding from British Embassy together with other partner SPOs.

Score: from 3 to 4 (improvement)

Summary of the capability to act and commit

The commitment of the top management in building better team spirit, staff motivation and shared decision making has improved compared to the baseline situation. Currently, the executive director influence has reduced and his role is becoming more based on facilitation. As a result staff members are empowered to make independent decisions. Participation of the field staff in the management committee is a new phenomenon in NVEA. Strategic guidance has improved compared to the baseline situation through formal and informal ways of communication. The existence of regular meetings with the staff and reporting mechanism is becoming an encouraging means to bring novel ideas to inform and develop strategic directions. The board members have also provided a better technical back-up for program and administrative staff in the last two years. Staff members are satisfied with most terms and conditions of the organization as similar to the baseline situation and as a result stuff turnover is low. The organization has a clear organizational structure that all staffs are able to access and understand. NVEA has assigned clear roles and responsibilities for respective program and administrative staff. Compared to the baseline situation NVEA has become well-structured in both program and finance divisions. Besides, the organization has revised its strategic plan in 2012 for the next five years and since then each and every activity of the organization has been in line with the strategic plan. However, funding opportunities have also broadened the issues that NVEA is covering such as disability and livelihoods. The operational and the action plans are developed in line with the revised strategic plan. Different training opportunities have been in place for staffs and both by the organization itself and partners and trainings are cascading to others non-participant staffs. NVEA has also hired new staffs in order to have the appropriate staff members on board. Hence, staff members are better equipped with different skills and knowledge to perform their respective assignments effectively and efficiently compared to the baseline situation. In addition to the different training opportunities that existed in NVEA since the baseline, the organization has also improved its incentive structure for staff including increased the per diem rate, medical cost coverage and 25 % education cost coverage as well as salary increment every year based on staff performance. NVEA has a fundraising strategy document since the baseline and has also been working hard on fundraising activities and has been able to secure more funds. As a result a number of new projects were launched in 2013 and 2014.

Score: from 3.1 to 3.9 (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).

Compared to the baseline situation, NVEA has established a cost-effective monitoring and evaluation system. NVEA uses its M&E manual for project follow-up and it has facilitated M&E on a quarterly basis. Monitoring project intervention at different levels is carried out by team of 'evaluators' drawn from key stakeholders at project areas, project staff and program staff from head office. The monitoring feedback has been well documented periodically and communicated on the spot with community representatives and key stakeholders. However, according to the annual report carried 2012 NFBE project Sibu Sire NVEA, even with an increasing number of its projects and areas of operation , NVEA has not been good in undertaking a systematic outcome evaluation and impact assessment involving a wide range of stakeholders in this project. This relates specifically to this project. This has largely been due to the lack of a user–friendly manual to guide the M&E process, lack of expertise within the organization and shortage of funds to hire external evaluators.

Score: from 3 to 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.

Compared to the baseline situation, it is reported that NVEA has a well-developed M&E manual which helps the program staff effectively to apply the M&E system in the field. At the same time, the program and project staff have trained on M&E more than one time, and have ample experience in M&E as well as data collection. NVEA has also organized in house training on these topics. Refreshment training on Results Based Management has been undertaken.

Score: from 3 to 3.5 (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.

Feedback and results of M&E are used as an input to revise the strategic plan of the organization. M&E reports are being used for future project planning and evaluation. The M&E feedback is also being used for improvement and decisions for future strategies. NVEA has compiled track records and lessons learned and has communicated this to key stakeholders. The weaknesses identified through M&E have been under revision for correction. However, systematic evaluation at the levels of outcomes and impacts involving a wide range of stakeholders is not being done yet in the NFBE project Sibu Sire and this negatively influences the use of monitoring and evaluation for future strategies.

Score: from 3 to 3.25 (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.

Similar to the baseline situation, every three months staff and management meetings are organised to reflect on the performance of the organization. There is an improvement in sharing ideas and recognition by others staff members. Learning among staffs is improved and feedback is taken from lower level staff to higher staff. Staff ideas are taken positively and used constructively. As an example, based on the idea raised by the financial unit, each project office opened a bank account through joint signatories. This idea was recognized by the management. Staff members are working in a supportive manner through discussion and negotiation. Nowadays, it has become a culture to take the local issues into consideration to develop proposals or to take certain decisions. Staff members have the right to raise issues related to salary and incentives, and in fact great improvement has been seen in this regard: per diem and accommodation rate have improved radically.

Score: from 3 to 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.

Similar to the baseline situation, NVEA fostered good learning, free discussion and an enabling working environment. Staffs are encouraged to come up with new ideas and ideas are respected and taken constructively. Sensitive issues such as salary increment have also been raised without any hesitation. Ideas have been welcomed and treated in the way that harmonious relationship of staff members is maintained and individual interests are been considered. Strong and smooth relationships between staff and management has made it possible to express ideas freely.

Score from 4 to 4 (No change)

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.

Similar to the baseline situation NVEA has tracked the environment by using different means. NVEA has engaged in different networks and forums that enable to share experience and to update itself. Dynamics in the external environment forced the organization to strengthen partnerships and networking with different SPOs and CBOs. NVEA has maintained its close relationship and collaboration both with the government and non-government organizations to share concerns. Consultative meetings, media and magazines are some of the means of tracking the working environment.

Score: from 4 to 4 (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.

NVEA has continued to be responsive as it has been in the baseline situation. Stakeholders have been the starting point for any intervention. Before carrying out ongoing or new projects stakeholders have been consulted. Only in consensus with them are the interventions continued. For example, where schools would be constructed, discussions took place beforehand whether the community would be able to contribute matching funds for construction. During General Assembly meetings ideas generated from key stakeholders and board members on how to diversify resources or how to incorporate issues of green economy within schools are always considered. Giving due respect to the values and norms of the community has helped NVEA to get community trust and support in all their interventions. At the grassroots level, CBOs and FBO are closely working with NVEA to encourage the community as a whole to take part in development endeavours.

Score: from 3.5 to 3.5 (no change)

Summary of the capability to adapt and self-renew
Compared to the baseline situation, NVEA has established a cost-effective monitoring and evaluation system. NVEA uses its M&E manual for project follow-up and it has facilitated and carried out M&E on quarterly basis by a team of 'evaluators' drawn from key stakeholders at project areas, project staff and program staff from head office. The program and project staff have been trained on M&E and have ample experience and competence in application of M&E. However, NVEA has not been good in undertaking a systematic outcome evaluation and impact assessment involving a wide range of stakeholders. This has largely been due to lack of a user–friendly manual to guide the process, lack of expertise within the organization and shortage of funds to hire external evaluators. On the other hand, staff indicated that the monitoring feedbacks have been well documented periodically and communicated on the spot with community representatives and key stakeholders. Feedback and results of M&E are used as an input to revise the strategic plan of the organization and used for future project planning and evaluation, but as indicated, a systematic evaluation at the levels of outcomes and impacts in collaboration with stakeholders is still lacking in the NFBE project Sibu Sire. There is also an improvement in sharing ideas and recognition by others staff members. Learning among staffs is improved and staffs are encouraged to come up with new ideas and ideas are respected and taken constructively. Similar to the baseline situation NVEA has tracked the environment by using different means. Dynamics of the external environment forced the organization to strengthen partnerships and networking with different SPOs and CBOs. NVEA has been responsive to stakeholders starting from the initial stage of any intervention. Stakeholders have been consulted and engaged in the planning, implementation and M&E of projects and only in consensus with them are the interventions are being implemented.

Score: from 3.4 to 3.6 (very 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.

NVEA has an operational plan for each project. This operational plan is prepared through a participatory approach of all staff members so that each person is able to understand the operational plan clearly. Compared to the baseline situation, the operational plans have started to be developed for the day to day activities of the program. Unlike during the baseline, the field staff has started to prepare operational plans. The project staff requests budgets by preparing specifications based on the operational plan.

Score: from 3 to 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.

After the baseline period, in order to properly follow up and inspect the financial procedure of the organization, an internal auditor was assigned from the members of the current staff. Accordingly, the budgets are used properly and in a transparent way. Compared to the baseline situation, the finance staffs have improved their documentation systems effectively. Now procurements are undertaken by collecting pro forma or announcing bids in order to be cost effective. The management also allowed the finance staff to get trainings that boost their skills.

Score from 4 to 4.5 (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.

Now NVEA is intervening in 20 primary schools, a fourfold increment compared to the baseline situation. This is due to the accumulated experience of the SPO and the commitment of the vibrant and junior staff members. The organization’s capacity in providing quality reports within the limited time has improved. NVEA has established a system to measure outputs and outcomes of the project by comparing these with its respective plans. To this effect, checklists and different indicators are incorporated to measure project results. Unlike the baseline situation, the program staff members have been capable of developing logframes effectively. The management let the program staff get trainings on project cycle management and other related topics so that their capacity to deliver planned outputs can be enhanced.

Score: from 4 to 4 (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

NVEA has been considering the needs of the beneficiaries by conducting needs assessments. Accordingly a bottom-up approach is implemented instead of top–down and beneficiaries are directly involved in planning. This issue has improved especially since ESAP 2 (Ethiopian Social Accountability Program Phase 2) has been launched in 2013. Now the vulnerable groups (people with disabilities, HIV infected women, youth) are taking part in planning, monitoring and evaluating the services being rendered to them including services from the government. Establishing a stakeholder forum which invites both service users and providers to assess their intervention is another means for addressing the beneficiaries need.

Score: from 3.5 to 4 (slight improvement)

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.

To measure and follow up the organization uses efficiency monitoring and evaluation check lists, beneficiary feedback, and pre-designed economic strategy. However, some staff members stated that the organization does not do an input-output ratio analysis to measure efficiency.

Score: from 3.5 to 3.5 (o 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

Quality is the central point of each activity in NVEA. In NVEA activities are not accomplished only for the sake of fulfilling requirements; rather, the question of quality is compulsory while intervening. As a result NVEA always trying to maintain quality and efficiency. But there is no new thing in the end line period.

Score: from 3 to 3 (no change)

Summary capability to deliver on development objectives
NVEA has an operational plan for each project. This operational plan is prepared through a participatory approach of all staff members so that each person is able to understand the operational plan clearly. The organization's funds are used properly and in a transparent way due to the fact that NVEA has assigned an internal auditor in order to properly follow up and inspect the implementation of the financial procedures. Besides, Now NVEA is intervening in 20 primary schools, a fourfold increment compared to the baseline situation. The organization competency in providing quality reports within the limited time has also improved. NVEA has been considering the needs of the beneficiaries by conducting needs assessments. Accordingly a bottom-up approach is implemented and beneficiaries are directly involved in the whole planning process. Quality is the central point of each activity in NVEA. The organization uses Check lists and beneficiary feedback to measure and follow up on efficiency and quality during monitoring and evaluation. However, measuring inputs to related outputs is not happening.

Score: from 3.5 to 3.7 (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.

As it has been done in the baseline, relevant external stakeholders are consulted in the preparation of different policies and strategies for project implementation. To be specific after the baseline period, stakeholders at district and zone level have been involved in developing the Child Protection Policy and Sexual and Reproductive Health policy. However some staffs stated that they did not see any significant difference in participatory strategy development.

Score: from 4 to 4 (no change)

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.

NVEA maintains a strong partnership with different partners and stakeholders including specific government offices. Hence, NIVEA's partnership with Basic Education (BEN)-Ethiopia, Consortium on Christian Relief Development Association (CCRDA) and Consortium of Health Associations (CORHA) and Development Expertise Consortium (DEC) Oromia cluster still exists since the baseline period. NVEA is now also included in a new partnership with the British Embassy. NVEA is working to form partnerships with international partners and potential stakeholders.

Score: from 4 to 4.25 (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.

Target groups level review meetings are held and monitoring by target groups are conducted frequently to measure whether the interventions meets their needs as well as to set possible recommended solutions for identified gaps. During the baseline period the main problem to frequently visit beneficiaries was related to transport but now Kinderpostzegels has purchased motor bikes and the program staff members are able to frequently visit the target groups.

Score: from 4 to 4.5 (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?

Similar to the baseline situation, regular management and staff meetings, face to face communications, email, telephone, and (when necessary) urgent meetings have been conducted. During the endline period NVEA has improved its documentation and utilization of meeting minutes. Lesson documentation and track records have shown a slight improvement in the organization.

Score: from 4 to 4.25 (very slight Improvement)

Summary of the capability to relate
Relevant external stakeholders are consulted in the preparation of different policies and strategies for project implementation. To be specific after the baseline period, stakeholders at district and zone level have been involved in developing the Child Protection Policy and Sexual and Reproductive Health policy. NVEA maintains a strong partnership with different partners and stakeholders including specific government offices and has become a member of a new partnership with the British Embassy. Target groups have been involved in regular review meetings and monitoring to measure whether the interventions meet their needs as well as to set possible recommended solutions for identified gaps. Kinderpostzegels (MFS II funding) has purchased motor bikes and the program staff members are now able to frequently visit the target groups. Relationships within the organization have also been improved through regular management and staff meetings, face to face communications, email, telephone, and (when necessary) urgent meetings have been conducted. NVEA has improved its documentation and utilization of minutes of meetings for smooth communication.
Score: from 4 to 4.2 (very 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.

The vision and mission of the organization have been revised in 2013. Hence, mission statements are updated to include all development agendas. For instance, the previous mission has not considered agricultural issues, but the revised one does address this since agriculture is now one of NVEA's program areas. The goal, objective and core functions of the organization have also been revised.

Score: from 4.5 to 4.75 (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.

New operational guidelines have been developed since the baseline. These include; HRM guidelines, M&E manual, track record manual, board selection criteria and others. Child Protection Policy Manual, Sexual reproductive health manual, and resource mobilization manuals are also developed in 2013. Nevertheless, some staffs did not see the change in operational guidelines and manuals development.

Score: from 4 to 4.5 (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.

NVEA continues to work in line with its mission and vision as it was in the baseline. The projects, strategies and action plans are all in line with the vision and mission of the organization. The management together with the board members monitor the alignments.

Score: from 5 to 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.

In the implementation of all its program components, NVEA has established good partnerships and working relationships with different concerned government organizations at different levels, CBO's, and the community at grass roots level. This is important since the involvement of the District Education Office, the Social Affairs Offices, the Finance and Economic Development Bureau and the Health Office is very mandatory in achieving the program goals. This has enabled NVEA to collaborate on issues of mutual concern and the organization has been able to further strengthen its engagement in promoting access to basic education for the rights of the disadvantaged children as well as to the members of the community.

Score: from 3 to 4 (improvement)

Summary of the capability to achieve coherence
The vision and mission of the organization have been revised in 2013. Hence, mission statements are updated to include all development agendas. New operational guidelines have been developed since the baseline. These include; HRM guidelines, M&E manual, track record manual, board selection criteria and others. Child Protection Policy Manual, Sexual reproductive health manual, and resource mobilization manuals are also developed in 2013. The project strategies and action plans are all in line with the vision and mission of the organization. The management together with the board members monitor the alignments of operational plans to the vision and mission of the organisation. Besides, NVEA has been working in mutually supportive efforts through establishing good partnerships and working relationships with different concerned government organizations at different levels, CBOs, and the community at grass roots level.

Score: from 4.1 to 4.6 (slight improvement)

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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.

The mission of Wageningen UR (University & Research centre) is 'To explore the potential of nature to improve the quality of life'. Within Wageningen UR, nine specialised research institutes of the DLO Foundation have joined forces with Wageningen University to help answer the most important questions in the domain of healthy food and living environment. With approximately 30 locations, 6,000 members of staff and 9,000 students, Wageningen UR is one of the leading organisations in its domain worldwide. The integral approach to problems and the cooperation between the various disciplines are at the heart of the unique Wageningen Approach.