Endline report – Ethiopia, FSCE 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, FSCE. 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

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
CCRDA	Consortium of Christian Relief and Development Association
CDI	Centre for Development Innovation, Wageningen UR, the Netherlands
CFA	Co-Financing Agency
CLFZ	Child Labour Free Zone
CRA	Child Rights Alliance
CRDP	Child Resource Development Program
CRS	Catholic Relief Services
CS	Civil Society
CSO	Civil Society Organization
C&DA	Child and Development Alliance
Detailed causal map	Also 'model of change'. The representation of all possible explanations – causal pathways for a change/ outcome. These pathways are that of the intervention, rival pathways and pathways that combine parts of the intervention pathway with that of others. This also depicts the reciprocity of various events influencing each other and impacting the overall change. In the 5C evaluation identified key organisational capacity changes and underlying reasons for change (causal mechanisms) are traced through process tracing (for attribution question).
DFID	UK Department for International Development
DCI/ECPAT	Defence for children/End child prostitution, Pornography and Trafficking
FGM/C	Female genital mutilation/cutting
FSCE	Forum on Sustainable Child Empowerment
General causal map	Causal map with key organisational capacity changes and underlying reasons for change (causal mechanisms), based on SPO perception.
GTP	Growth and Transformation Policy
ICCO	Interchurch organization for development cooperation
IFPRI	International Food Policy Research Institute
ILO	International Labour Organisation
KNH	Kindernothilfe
MDG	Millennium Development Goal
M&E	Monitoring and Evaluation
MoFA	Ministry of Foreign Affairs
MFS	Dutch co-financing system
MIS	Management Information System
MSCP	Multi Stakeholder Child Protection Structures
NGO	Non-Governmental Organisation
OAK	Swiss Development Aid Foundation
OD	Organisational Development
OVC	Orphans and Vulnerable Children
NAP-GE	National Action Plan for Gender Equality
PACT	membership organization of U.S. PVOs to facilitate the distribution of small USAID grants to PVOs working in relief and development assistance
PIN	People in Need
PME	Planning, Monitoring and Evaluation
PPFA	Planned Parenthood Federation of America
PRA	Priority Result Area

Process tracing	Theory-based approach to trace causal mechanisms
PVOs	Private and Voluntary organisations
RCT	Randomized Control Trials
SHG	Self Help Groups
SKN	Stichting Kinderpostzegels Netherlands
SPO	Southern Partner Organisation
SSI	Semi-structured Interview
SSSK	Students Supporting Street Kids
ToC	Theory of Change
UNCRC	United Nations Children Rights Council
UNICEF	United Nations Children's Fund
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: FSCE 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 4.2.2.

For those SPOs involved in process tracing a summary description of the causal maps for the identified organisational capacity changes in the two selected capabilities (capability to act and commit; capability to adapt and self-renew) is provided (evaluation questions 2 and 4). These causal maps describe the identified key organisational capacity changes that are possibly related to MFS II interventions in these two capabilities, and how these changes have come about. More detailed information can be found in chapter 4.3.

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, in all capabilities changes (improvements or deteriorations) took place.

Deteriorations took place in the indicators under the capability to act and commit, due to internal problems FSCE experienced. In May 2013 an organisational development (OD) study was initiated, that was completed in Dec 2013. This study concluded that to improve internal functioning a new director was required. This new director started in March 2014, only two months prior to the endline workshop. Many staffs are still frustrated and funding is still low due to this period of internal problems. Funding is said to have declined because of many different reasons, one being the internal problems, but others include restrictive NGO legislation and donors wanting to work in coalitions. As the positive changes of installing a new director were very recent, many staffs still felt that there was some delay in implementing the OD study's recommendations. The strategic plan has been revised but it is not yet guiding FSCE's daily operations. Due to the lower annual budget, staff turnover increased. Some staff resigned due to low salaries and staff performance evaluation is not well managed. Compared to similar organisations, the benefit package at FSCE is poor and training opportunities for staff have decreased since the baseline. Little training has been given since 2012 because there has been less emphasis on getting funding for trainings and the 30/70 rule, in which trainings fall under the 30% of the budget that can be spent on administrative costs, has not helped in this respect. Skilled staff has left the organisation so that, although staff that remained has gained some skills due to experience and self-organised trainings, overall there is a slight deterioration in staff skills. New staffs hired do have clear roles and responsibilities that fit in the organisational structure of FSCE.

In the capability to adapt and self-renew FSCE saw some deterioration and some improvements. Staff have improved there M&E competencies especially due to an M&E training during the Annual MFS II partner meeting in May 2014. There is a team of experts that works on M&E and support the area program offices. More emphasis is now given to reporting on outcome indicators. With the new leadership, organisational management is making use of M&E findings at organisational and program level to make timely decisions. While some improvements have been made in terms of creating moments for critical reflection, the general feeling among staff is that because of the internal problems and reorganisation process that followed not enough attention has been given to this. The same holds for staff's freedom to share ideas: there are some very recent positive developments but the internal communication problems under the previous management worsened the situation since the baseline.

In terms of the capability to deliver on development objectives, FSCE shows very slight improvement in its cost-effectiveness. In this regard, the organisation is developing guidelines on project proposal

development, project appraisal, realignment of activities and budgets in the annual action plan, and is undertaking financial activities with deadlines and reviewing the M&E system and M&E application.

In the capability to relate, FSCE has shown slight improvements in engaging its stakeholders in policies and strategies. The organisation is using Multi Stakeholder Child Protection Structures (MSCPS) to engage different stakeholders in the program process. The relations within the organisation have, however, deteriorated compared to the baseline situation. Due to change processes and leadership problems, at different levels relations between staff have not been free and open. While some positive developments are taking place at the head office (with the new director) this has not yet reached the Area Program offices.

Finally, FSCE has improved and deteriorated in indicators under the capability to achieve coherence. After the OD assessment in 2013 and the change in leadership in 2014, the mission and vision statement of FSCE were revised and significant improvements were made in organisational structure, communication, program, finance and HR strategies. There was however, a slight deterioration in programs being aligned to the vision and mission, and while projects are still aligned, realignment to the new organisational level strategies and program categorisations is required.

The evaluators considered it important to also note down the SPO's story in terms of changes in the organisation since the baseline, because this would 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. During the endline workshop the following key organisational capacity changes were brought up by FSCE's staff: "improved implementation capacity in holistic approach"; "improved M&E capacity including reporting"; and "improved organizational system of operations".

According to FSCE staff present at the endline workshop, the capacity to implement a holistic approach improved because of improved knowledge of staff to apply a Multi Stakeholder (MS) approach and a more harmonious collaboration with and between staff from different departments; improved application of different strategies to support target groups; and improvement in working with target groups. FSCE's knowledge on MS improved because of a MFS II funded training on Multi-Stakeholder Processes (MSP) in September 2012, at CDI in the Netherlands, in which one FSCE Program staff member participated, who shared his knowledge with other staff in a workshop in December 2012. FSCE improved its application of different strategies to support target groups because of experience sharing visits to Tanzania and the Netherlands (MFS II funded) and coaching and mentoring of staff by FSCE Head Quarters (HQ). The organisation improved the way it works with target groups because of a training on SHG related implementation (Kinder Not Hilfe funded) and training on the area based approach and exposure visit to the Netherlands (MFS II funded).

Secondly, FSCE improved its M&E capacity, including reporting, because of increased intensity and frequency of visits to the target groups, and improvements in standard and concise reporting, which were both triggered by a training on outcome level reporting in 2012, organised by FSCE. M&E capacity also improved because of an improvement in outcome oriented reporting capacity due to the same training and the requirements of FSCE for outcome level information. Improved recording of case stories and publication capacity also contributed to improved M&E capacity. This was the result of regular mentorship given by the new director.

Finally according to FSCE staff, they improved their organisational operating system because there are now systems in place to apprehend the concerns of staff due to the new leadership and regular discussions; improved formal, interdepartmental communication due to improved joint planning and team work capacity; and improved multi stakeholder engagement capacity because of the MSP training at CDI (MFS II funded). FSCE improved its joint planning and team working capacity as a result of coaching and mentoring of staff by HQ and the experience sharing visit to the Netherlands and Tanzania (MFS II funded).

All in all, there is some mention of MFS II funded capacity development interventions in two of the three key organisational capacity changes that FSCE staff identified. During process tracing these and

more MFS II funded interventions, in particular training and experience sharing visits have clearly come up. However, internal factors like the change in leadership, training, coaching and mentoring, have also played an important role in the key organisational capacity. Some support from other funders in terms of training, has also been mentioned as one of the underlying factors to these changes.

'Process tracing' was used to get more detailed information about the organisational capacity changes that were possibly related to specific MFS II capacity development interventions. For FSCE the organisational capacity changes that were focused on were "Improved capacity to apply a Community Centred Multi Stakeholder (CCMS) approach", and "Improved M&E capacity using a Results Based Management (RBM) approach". These are further explained below.

Based on the process tracing causal map it can be said that the changes that took place since the baseline in 2012 in terms of improved capacity of FSCE to apply a Community Centred Multi Stakeholder Approach can be largely attributed to MFS II supported capacity development interventions, notably the above mentioned MSP training at the CDI in the Netherlands; life skills, facilitation leadership and conflict management training for FSCE area office staff and community, social workers and other stakeholders; and guidance and counselling for applying a child based community conversation approach. However, it must be noted that these approaches were already initiated in the organisation before the baseline with the support of Kinderpostzegels since 2010. The additional MFS II supported trainings that took place since 2012 helped to strengthen the MSP approach as well as to increase the capacity of FSCE to create, strengthen and engage CBOs for child protection.

In terms of improved M&E capacity for using RBM approach, can be partly attributed to MFS II capacity development interventions, such as providing formats for outcome reporting, M&E training with a focus on outcome reporting, and close follow-up by MFS II partners. However, there is also an important role for the organisation in developing its own M&E tools and formats, biannual monitoring meetings and establishing a separate PME unit.

2 Context and General Information about the SPO – (FSCE)

2.1 General information about the Southern Partner Organisation (FSCE)

Ethiopia	
Consortium 1	Child and Development Alliance (C&DA)
Responsible Dutch NGO	Stichting Kinderpostzegels Netherlands (SKN)
Project	Universalization of Education and Creating Child labor free zone in Adama City
Consortium 2	Child Rights Alliance (CRA)
Responsible Dutch NGO	Defence for Children – ECPAT Netherlands
Project	Girl Power: Protection of girls and young women against violence in Addis Ababa and Adama Towns. Project C3 MFS II sample
Southern Partner Organisation	Forum on Sustainable Child Empowerment (FSCE)

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 Ethiopian Government is undertaking different development plans that focus on poverty reduction by the Growth and Transformation Policy (GTP). The plans incorporate the National Action Plan for Gender Equality (NAP-GE). It recognizes gender as a human right issue, a poverty reduction and development goal in its own right and as a means to ensure the attainment of the MDGs. Moreover, since the ratification of the UNCRC in 1989, very limited and segmented initiatives in the field of child participation were established by the Government. A notable government program in the area of child participation is the establishment of children's parliaments throughout the country with the supervision of the Institute of Ombudsman and the Ministry of Women Affairs. This structure has enabled children to participate in the development of child positive disciplining guidelines. The Government also set up a Child Rights Committees at national level that extends to the local administrative Woredas (districts), as well as Kebeles (neighbourhoods).

Under coordination and monitoring by the Ministry of Women's Affairs, these structures are responsible for promoting the protection needs of children, protecting children from various abuses and ensuring the protection of children from abuses and violation. There is no single and comprehensive policy that deals with the issue of violence against children that serves as a general directive regulating the child protection system. Many of the policies and guidelines do not give due attention to comprehensive protection of children from violence. The program aims to establish and

coordinate initiatives and agreements with relevant government institutions, stimulating implementation of laws and policies.

Focusing on improving the situation of girls and young women is not only necessary given the magnitude of the violation of rights and the difficulty Ethiopia is facing to meet MDG3 by 2015. Addressing the underlying problems of this group will also bring about a powerful intergenerational effect. The Ethiopian Alliance partners have expertise and experience in addressing the problem and have points of entry to reach this vulnerable group already in the selected areas.

CSOs in the country have contributed significantly in promoting good governance. However, as shown in a CCRDA/Consortium of Christian Relief and Development Association/ report19, interventions focusing on girl and young women (96 out of 2,046) are very limited in addressing the magnitude of the prevailing violations of the rights of children. Moreover, many of the CSO/ NGOs also operate on a small-scale/limited scope towards protection of girls and young women from various violations.

It is not that boys in Ethiopia do not experience violence at home by the family members, by the community, at school or at work places; but rather, it is girls that are often more vulnerable to violence in these settings. Cultural and structural factors in Ethiopia often put girls at a severe disadvantage: programmes and interventions must therefore target such factors directly, in order to reverse this state of affairs.

The majority of children in Ethiopia are exposed to some form of physical, sexual and psychological abuses at home, as well as in schools and community. Violence against girls and young women manifests itself in the form of harmful traditional practices such as FGM/C and forced and child marriage including abduction and rape. The average prevalence of FGM/C stands at 74%. In an Ethiopian study of 227 married women, 60% said they were abducted before the age of 15 years, while one in every two girls married before the age of 18 years and 30% reported that they have been raped. The abduction of minors, where men consummate the marriage with rape, is socio-culturally permitted in some rural parts of Ethiopia, despite the outlawing of abduction.

As a result of a weak social security system, children are regarded highly for the economic value they have as sources of additional labour, and for the social protection that they provide in old age and in times of sickness. In contrast to this high regard, children are seldom treated with sensitivity, consideration or respect in their everyday life. Similarly as different studies shows, a significant number of children in the country don't attend school due to different reasons. As the data shows, the gross enrolment rate in primary education (grades 1-8) in Ethiopia is estimated at 95.6 % (90.5 % for girls and 100.5% for boys) 20 but the quality of education remains a key challenge. High dropout rates, coupled with high repetition rate have remained additional challenges for primary education and are higher for girls than boys. Average repetition rate for girls for grade 4 to 8 stood at 8.4% while it is 4.1% for boys. For secondary school for every 100 boys in grades 9 or 10, there are only 65 girls; for every 100 boys in grades 11 and 12, there are only 48 girls.

Description of the target areas and population

The City of Adama is under the Oromia National Regional State. Geographically, Adama city is located eastern parts of the country at 100 km east of the capital city Addis Ababa. Currently, the City consists of 18 kebeles (14 in the City and 4 in the surrounding rural areas). According to the 2007 Census result, the total population of the Regional State is 27,158, 000. Of this, Adama City has a total population of 228, 623, of which 114368 or 50.2% are females and 114255 or 49.8% males. The population of children below 19 years was estimated to be 49.6% of which 47.1% are males and 52.9% are females.

Available literature revealed that numerous and complex socio-economic factors have fuelled the rising presence of the problem of children in the city of Adama. This includes parental death, the breakdown of traditional support structures of the extended family; the increasing difficult circumstances of female headed households; rapid urbanization and migration to major urban centre to look for better opportunity, unemployment, trafficking and the likes. Results of desk top reviews, terminal evaluation feed backs of the 2002-2206 project accomplishments, discussion forums organized with relevant institutions by FSCE in 2007 has also confirmed the prevalence and growth of various social and economic problems in the City.

2.3   Contracting details

When did cooperation with this partner start:
SKN: January 1997
Defence for Children – ECPAT: 1 April 2011

What is the MFS II contracting period:
SKN: January 2011 - December 2015
Defence for Children – ECPAT: I April 2011 – 31 December 2015

Did cooperation with this partner end?
SKN: NO
Defence for Children – ECPAT: NO

If yes, when did it finish?
SKN: N.A.
Defence for Children – ECPAT: N.A.

What is the reason for ending the cooperation with this partner:
SKN: N.A.
Defence for Children – ECPAT: N.A.

If not, is there an expected end date?
SKN: In case of good performance Kinderpostzegels will renew its cooperation with FSCE for the
period after 2015.
Defence for Children – ECPAT: N.A

2.4   Background to the Southern Partner Organisation

History
Forum on Sustainable Child Empowerment (FSCE) previously named as Forum on Street Children-
Ethiopia is an indigenous not-for-profit, non-governmental organization established at the end of 1989
by a group of social development professionals who thought and believed that they can make a
difference in the lives of vulnerable children especially those who are forced to live and/or work on the
streets of major cities and towns of Ethiopia due to various reasons.

FSCE, in its 25 years of service in promoting and implementing child protection work has accumulated
an extensive expertise and experience that has helped the organization to evolve into one of the
leading local child protection organizations in the country. Working on a wide spectrum of urban
disadvantaged children's issues, FSCE has enjoyed successful track record of success stories

FSCE initiated the establishment of Community Based Arbitrators "Mekari shemagelies", at Woreda
levels which is an initiation and collaborative effort of selected sub cities, Addis Ababa Police
commission and Save the Children-Sweden. As a result of this initiative, it has been possible to
establish model child protection units in selected kebeles of Arada sub city in Addis Ababa.

FSCE was also able to introduce Child Protection Units (CPU) in police station while also integrating
child protection issues into the curriculum of the police training institutions. This has been a great help
in having police officers that have enough knowledge on how to protect children. Currently, Child
Protection Units (CPUs) are now fully accepted and are being scaled up at various levels by the
Ethiopian Government.

In the absence of a national child policy in the country, in 2007 FSCE felt the inevitability of
developing institutional child protection policy and developed its own "Child Protection Policy". This
measure is a fundamental stride towards building consensus on the overall direction of the
organization and setting minimum standard in service provision for children. As part of facilitating the

work of police stations, the second effective collaboration has been established with the Ethiopian policy college of developing training manual On Child Right and Child Protection by the then "Forum on street children in Ethiopia" in collaboration with Save the Children-Sweden and Ethiopia Police College with the objective of enabling the police force to be trained on the wellbeing and protection needs and other related issues pertaining to children. Save the Children Sweden (SCS) and Forum on Street Children-Ethiopia (FSCE) are the pioneering supporters of the police child protection units (CPUs), and child friendly courts (CFC) in the country.

Other peculiar achievements of FSCE include the establishment of Community Based Child protection/correction Centres (CBCC) in 2007, and development of multi-stakeholder approach in 2009-2010 that encompasses the active involvement of various government bodies, Community Based Organizations, communities, non-governmental bodies, and target children, which is very helpful in implementing the program and for ensuring sustainability.

FSCE area based multi-stakeholder child protection interventions expanded its foundation and proved to be an effective way of addressing the problems of children and at the same time strengthen the establishment of Multi-stakeholder Child Protection Councils. Currently the multi-stakeholder child protection council based interventions are rolled out in all area programme offices of FSCE.

Following the issuance of new Civil Society Organizations (CSOs) legislation issued in 2009, FSCE has redefined its Vision, Mission and program and reregistered as Forum on Sustainable Child Empowerment under the registration number 0064. The mission statement and FSCE programs is again rectified and revised during the evaluation of its fifth strategic plan (2010-2014) at its mid-term and the organizational development study conducted in 2013.

Our Vision

To see the well-being and protection needs of children fulfilled

Our Mission statement

FSCE as a child centred organization "Strives to protect and support vulnerable children through comprehensive system approach in collaboration with relevant stakeholders"

Description of the organisation:

The organisation is governed by a general assembly and a board that has an executive committee. The Executive Director runs the operations of the organisation and also officially represents FSCE. The Director is assisted by professionals who lead and coordinate different programs of the organisation.

FSCE, being a pioneering NGO, has built good reputations through promoting the protection of children and the provision of quality services for disadvantaged children in general and marginalized urban children in particular over a period of two decades.

Currently, we offer a continuum of child focused development works in five area program offices (Addis Ababa, Dire Dawa, Bahirdar, Dessie and Adama) located in two cities namely Addis Ababa and Diredewa, and two regional states Amhara and Oromiya respectively.

FSCE is working in partnership with various governmental and Non-governmental organizations and with the active involvement of the target community. FSCE closely works with the government agencies at federal, regional and local level (especially with the Ministry of Women"s Affairs, Education, Labour and Social Affairs, and law enforcement authorities), NGOs, communities and associations.

FSCE exemplar strengths (best practices) in this regard:

- Ex-post project follow up actions on the performance of community based organizations 'Iddirs', schools etc.

- Projects are in line with the government policies and priorities

- The capacity to manage huge amount of resources from diversified sources- currently it has more than 12 donors and projects.

- FSCE has experience of working with and maintaining donors for long periods-e.g; Save the Children previously based in 8 different countries now called Save the Children International (SCI), KINDER NOT HILFE (KNH), Every child (EVC) and End Child Prostitution, Child Pornography and Trafficking of Children (ECPAT)

- Has created strategic partnership locally and internationally.

- Have board members who are committed in the works of the organization

- Uses community and government structures and systems when designing and implementing projects-e.g: Multi stakeholders unit.

Website: www.fsc-e.org

Strategies

Forum on sustainable child Empowerment has adopted a Community Based Multi-stakeholder Child Protection system as an umbrella strategy to realize its vision of seeing the well-being and protection needs of children fulfilled. This strategy is sought to attain this noble end in a more comprehensive and sustainable manner. The strategy stipulates the active involvement of all stakeholders, and also attempts to address all child protection problems children face in a more comprehensive and sustainable manner.

FSCE implements activities designed to promote the protection needs of urban disadvantaged children in general and sexually abused and exploited children, trafficked children, physically abused children, children without parental care, children in conflict with the law and that of children exposed to child labour in particular through comprehensive system approach.

FSCE makes a significant contribution to the benefit of the most at risk children through its major program areas which include its:

- Promotion and prevention

- Protection

- Recovery and Reintegration of children and

- Child Resource and Development programs.

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 have 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].

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[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 session 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, and 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

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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, and 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, and 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 was 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 FSCE that have taken place since the baseline in 2012 are described. The information is based on the information provided by Stichting Kinderpostzegels Nederland (SKN) and Defence for Children – ECPAT.

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
RBM refreshment and M&E training course for MFSII partners of Kinderpostzegels in Ethiopia	- To strengthen the capacities of FSCE in the field of Result Based Management, both with regards to project planning as later on with regards to reporting on output and outcome results - Better understanding of the importance and advantages of result based management of projects (compared to activity based)	- Recap on Planning terminology and indicators - Concepts and purposes of M&E - Steps to design and conduct monitoring - Aspects and challenges in monitoring - Develop system for data compilation and analysis, reporting and communication - Develop timeline and action plan for monitoring	June 2012	€ 4.845,00 for 16 participants of 8 partner organisations
Participation of one staff member of FSCE in Multi Stakeholder Processes (MSP) training at CDI, Wageningen	- Better impact results due to a more holistic approach of the complex problems some children (the target group of FSCE) are confronted with	- Concept and rationale of multi-stakeholder processes, institutional change and social learning; - Different types of multi-stakeholder processes in terms of the issues at stake, the stakeholders, their interests, power relations, conflicts, external contacts, etc.; - How to use a broad range of participatory methodologies and tools in MSPs; - Types of institutional change and support necessary for effective MSPs; - Design and planning of an extended MSP; - The impact of personal style in facilitation, communication, leadership and dealing with conflicts.	August 2012	€ 7.500,00
Annual MFSII CD Alliance Partners Meetings (2012, 2013, 2014) in Addis Ababa	- For information and experience sharing among MFSII partners of the C&D Alliance in Ethiopia and creating (more) synergy of actions through collaboration between partners. - Improvement of actions and strategies as a result of experience sharing and learning from each other's best practices.	discuss and exchange information on project and program strategies, collaboration between C&D partner organizations in order to create synergy of actions, including a one day training on M&E with focus on reporting at outcome level in 2014: - Indicators - Baselines - Data collection in M&E (methods and techniques) - Data quality and data flow charts - Reporting	Annually in 2012 and 2013 in October; 2014 in May	€ 3.141,44 (2012); € 3.280,00 (2013)

Title of the MFS II supported capacity development intervention	Objectives	Activities	Timing and duration	Budget
Review and discuss outcomes of mid-term project evaluation of FSCEs Community Based Multi Stakeholder CLFZ project in Adama	- Improved quality and effectiveness of the Adama project and improved performance of the project staff. Lessons learned from this project which are also of importance and value for similar projects of FSCE in other areas	- FSCE to learn from its own experiences and if necessary to correct in time errors in terms of strategy and action of the ongoing project. - Learn lessons also as donor organization of the project activities and performance of FSCE	October 2013	€ 2.500,00
participation of project staff of Adama and Dessie Area offices of FSCE in teachers training programme on Active Learning of DEC in order to improve quality of education in the schools and Non Formal Education Centers supported by FSCE	- To improve the capacities of FSCE Adama and FSCE Dessie to effectively contribute to the improvement of the quality of (basic) education in the intervention areas of the Child Labour Free Zone (through improving access to quality education of out-of-school working children) projects in Adama and Dessie - Improvement of the quality of education in the project areas concerned and improved performance of FSCE in contributing to this.	In June 2013 an assessment of knowledge and skills level has been done with all participants. Apart from selected teachers and project staff also TTC's directors and school inspectors (govt.) participate. Having all these people to participate provides insight in how to improve education and how to involve the local government. Topics: - 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	€ 47.100,00 for 135 participants, of which 5 project staff of 4 partner organizations.

Source: B_5C endline_support to capacity development sheet_CFA perspective_Ethiopia_FSCE_Kinderpostzegels

4.2 Changes in capacity development 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

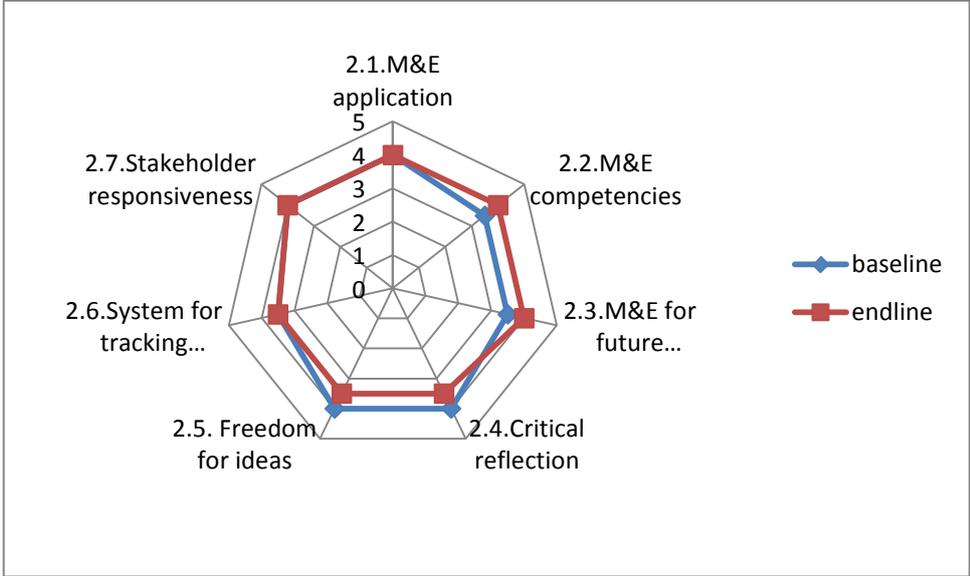**Capability to Act and Commit**

The key change observed since the baseline in FSCE was the change of leadership and the organizational development process (re-structuring of FSCE in terms of organizational set up) based on the findings from the organizational development (OD) study. In May 2013 this organisational development (OD) study was initiated, which was completed in Dec 2013. The previous leadership was blamed for lack of responsiveness in terms of timely decision making and solving internal communication problems. The director was laid off in February 2014 and a new Executive Director was appointed in March 2014. The overall functioning of the organization was missing coordination, a formal flow of performing obligations and there was weak communication between branch offices and the head office as well as with donors due to internal problems marked by poor collaboration and tensions between the program and finance department during the previous management. However, though the role/stimulus of the new leadership is not known yet, slight improvements have appeared in terms of communication and team work after the change in leadership, but at the head office level only. Despite these difficulties, FSCE managed to slightly improve program implementation, specifically in stopping child labour and promoting the area specific community based MS approach. FSCE has been guided by a strategic plan in its organizational directions and operations. This strategic plan has been revised and is in the process of being endorsed.

Some staffs are still frustrated because the implementation of the OD recommendation to restructure the organization was not immediately effective. Consequently, some staffs have resigned. Other staffs have resigned due to low salary scale and unconducive working environment, particularly during the previous management. Staff performance valuation is not well managed and there is no performance based annual salary increment in the organization. On the other hand, some staffs said that staff turnover has not alarmingly changed compared to the baseline in FSCE, and that (recent) salary scale adjustments and increments have brought a positive impact on staff turnover. Some staffs stated that training opportunities have declined after the baseline and that FSCE has no proper strategy and means to motivate and appreciate staffs. FSCE conducts training need assessments; however, it mostly failed to conduct trainings as identified due to the provision of the 30/70 NGO legislation of the government. Only few trainings on selected thematic areas have been organized for selected staffs, but the organization has hired skilled and experienced staffs since 2012. FSCE has longstanding experience and working relationship with diversified funding sources at international and local level. However, it is gradually deteriorating resulting in a decreasing annual budget and losing partnerships with major donors. The organization was not able to attract new funding sources and new proposals were not developed.

Furthermore, there is no clear fundraising system or procedure: this is not well organized and a proper partner management strategy is lacking. FSCE has not yet developed a resource mobilization guideline or manual (RMG/M) to clarify approaches adopted at different levels

Score: from 3.6 to 3.1 (slight deterioration)

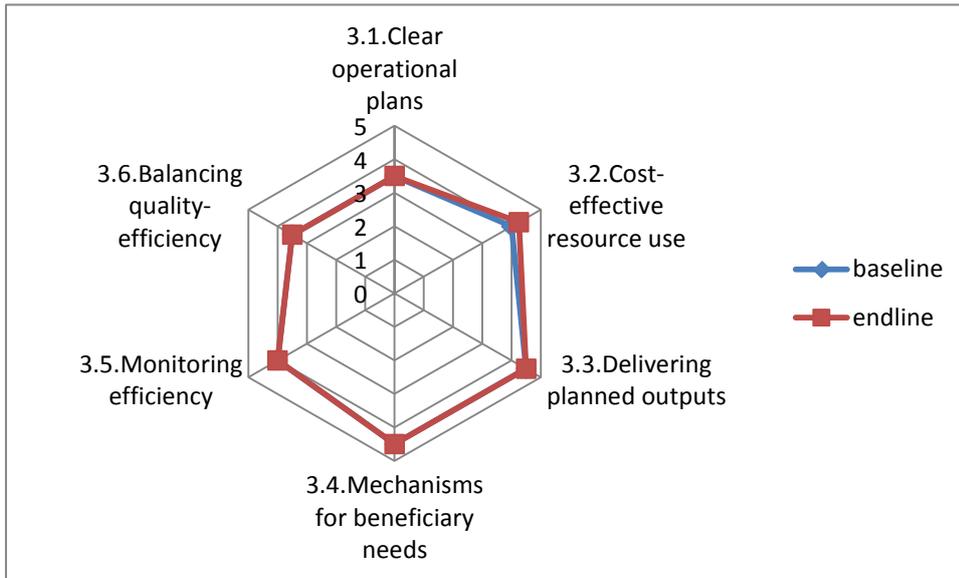**Capability to adapt and self-renew**

FSCE has well developed M&E guidelines and participatory M&E systems to ensure regular monitoring and evaluation. There is improvement in outcome oriented reporting and now Area Program Offices (APOs) are undertaking both program and project level monitoring by developing the necessary checklists, and started to document the findings. According to some staff the documentation system is gradually deteriorating, which is affecting the learning part and there is no data base M&E system. However, FSCE has established an M&E task force very recently since the hiring of the new Executive Director. There is improvement in implementing outcome measurement and frequent supervision and regular feedback processes are in place. After the change in leadership very recently in 2014, FSCE has established a data base to be used by management and program staffs for their day to day decision making purposes. The data base is now electronically installed and configured with the Wide Area Network (WAN) system in the organization to support the M&E systems. However, according to some staffs, there are issues that need attention, e.g. on the linkages between the head office and project level, where M&E is not applied for decision making purposes and the existing M&E is not systematized and consistent.

Since the change in leadership (March 2014) there is a slight improvement in critical reflection where regular meetings on weekly and monthly basis are in place and as a result ideas and information are shared smoothly among each other. Before this, this was weaker due to poor management. The frequency of meetings for the development of new ideas and an improvement in cooperation and collaboration among program and finance staffs have also been observed at present compared to the previous leadership. FSCE works in partnership with different likeminded organizations and stakeholders in its operational areas and this helps in scanning the environment. Key stakeholders are engaged in the community based multi-stakeholders child protection structures and a number of child protection issues are addressed in a holistic manner.

Score: 3.8 to 3.8 (no change)

Capability to deliver on development objectives

As indicated in the baseline period, FSCE has a clear operational plan broken down on a quarterly basis; complementary project/ program interventions are found to be cost effective and the organization still has a comprehensive budget and budgetary control system. Besides, the organization still carries out its operational plans with minimum deviations from what has been planned and follows a multi-stakeholder approach to address beneficiaries' needs. Projects are designed with the logical framework based on donor requirements. In the last two years a better performance has been observed in utilization of budgets in terms of planned versus accomplished activities, and the organization has started to collect and follow outcome level information and reporting systems. FSCE doesn't have clear program quality guidelines or indicators. It rather uses different program management guidelines as an input for balancing program quality and efficiency

Score: from 4 to 4 (no change)

Capability to relate
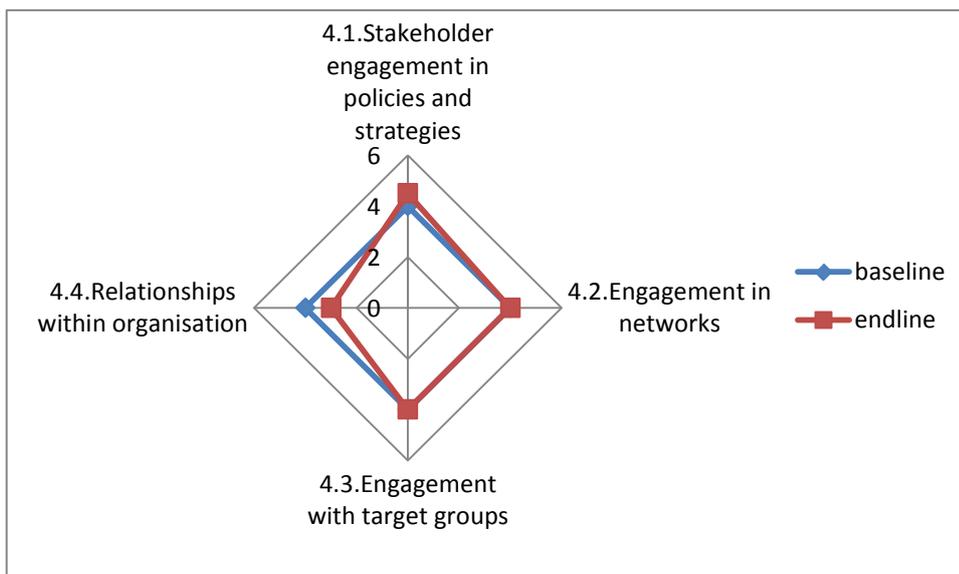
FSCE continues to use the existing stakeholder management guidelines that help to involve various stakeholders at different levels, not only in making policies and strategies but also in implementation.

The organization has also used MSCPS to engage different stakeholders in policies and strategies as well as program implementation. FSCE has a good track record and reputation that enables it to spearhead strong networking with other NGOs on issues of child labour and other child related activities and has also good relationship with government and donors. However, some staffs noted that FSCE has not engaged in new networks since the baseline period but rather maintained the existing networks. FSCE has maintained its good performance in engaging target groups. Relationships within the organization have deteriorated due to the change process and leadership problems at different levels. However, after the change in leadership in March 2014, regular staff meetings have created information sharing and better communication among staffs at head office level but this has not yet reached the Area Program Offices (APOs).

Score: from 4 to 3.9 (very minor deterioration)

Capability to achieve coherence
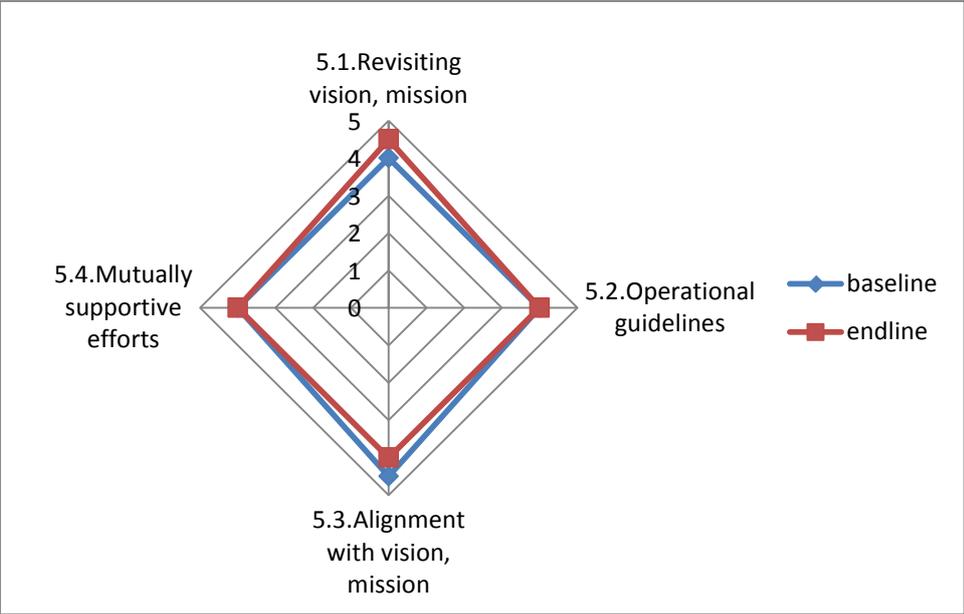

FSCE has revised its strategic plan in 2012. Hence, the Mission and Vision statements were revised also, and the core programs were reviewed. Moreover, an organizational development process was undertaken and improvements in the organizational structure, program and finance management, communication and human resource strategies have been observed. The organization has clear gaps in orienting staffs about the strategic plan and learn from each other. FSCE has revised its organizational structure, developed Human Resource Policy and Procedure, conducted Organizational Development (OD) assessment, revised its strategic plan, and changed leadership after the baseline. Review of the existing operational manuals and development of new guideline/directions is also in progress after the change in leadership in March 2014. FSCE has generally all the necessary operational guidelines which help the organization for technical administration and HRM operations. The organization has also been using a Planning, Budgeting, monitoring and evaluation manual. FSCE uses Peachtree Accounting software for recording and reporting its accounts. However, the organization lacks orientation and introduction of polices, working manuals, etc. to new staff. Though projects and associated operations are still in line with the vision and mission of the organization, realignment with the newly changed organizational strategy and program categorization is required. Cascading of changes and approaches of programs to area program offices is not yet done. Efforts are made to ensure complementary of the child protection projects by giving attention to prevention, promotion, rehabilitation and integration. The organization uses shared offices, facilities and other resources and services and are mutually supportive according to some staffs.

Score: from 4.1 to 4.1 (no change)

4.2.2 Key organisational capacity changes - general causal map -

Below you can find a description of the key changes in organizational capacity of FSCE since the baseline as expressed by FSCE 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 FSCE 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 FSCE has changed since the baseline.

The endline workshop was conducted on 13 May, 2014 at FSCE HQ in Addis Ababa. FSCE staffs of five categories participated, namely: management staff, program staff, M&E staff, field staff and admin and finance staff. From the 15 participating staff 7 staff also participated during the baseline.

The main organisational capacity change identified during the endline workshop was improvement in program management implementation capacity (1). This means the organization has improved its program implementation capacity, not only to plan versus achievement but also to address the issue of impact. FSCE is now in a positive change process. According to staff present at the endline workshop, the following changes have led to the improvement in program management implementation capacity (1):

1. Improved implementation capacity in holistic approach (2)
2. Improved M&E capacity including reporting (3)
3. Improved organizational system of operations (4)

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

FSCE key organisational capacity changes

Improved program management and implementation capacity (1)

Improved holistic approach implementation capacity (2)

Improved M&E capacity including reporting (3)

Improved organizational operating system (4)

Improved knowledge of staff to apply a MS approach and work jointly and a more harmonious colabration with and between other staff, e.g. finance and administration staff (7)

Improved application of different strategies to support target groups e.g. livelihoods (by SKN) education improvement in formal schools (6)

Improvement in working with target groups (5)

Increased intensity and # of visits to the target groups (8)

Improvement in standard and concise reporting (11)

Improvement in outcome oriented reporting capacity (9)

Improved recording of case stories and publication capacity (10)

Systems in place to apprehend concerns of staff (12)

Improved formal (interdepartmental) communication (13)

Improved multi stakeholder engagement capacity (14)

training on the MS approach, with financial MFSII support of DCI/ ECPAT (19)

Experience sharing visit outside the country-, Tanzania and Netherlands by DCI/ECPAT (18)

Coaching and mentoring of staff by SPO HQs (17)

Training on SGH related implementation (KNH support) (15)

Area based approach training & exposure visit by SKN, MFS (II) related (16)

Training on outcome level reporting in 2012 organized by the FSCE (20)

The SPO requirement for outcome and other information (21)

Regular mentorship given by the director (22)

New leadership and more regular discussion (weekly, monthly meetings) (23)

Improved joint planning and team working capacity (24)

Multi Stakeholder (MSP) training at the CDI in August 2012, and exposure visit to the Netherlands supported by SKN, MFS II funded (25)

Multi Stakeholder (MSP) training at the CDI, in August 2012, and exposure visit to the Netherlands supported by SKN, MFS II funded (25)

Coaching and mentoring of staff by SPOs HQs (17)

Experience sharing visit outside the country-, Tanzania and Netherlands by DCI/ECPAT (18)

Improved implementation capacity in holistic approach (2)
This improved capacity to implement in holistic approach (2) was caused by the following factors:

Improvement in staff skills to carry out their duties holistically using a multi-stakeholder approach and more effectively and jointly in collaboration with other units e.g. with finance and administration staff (7). Staff acquired these skills to implement child related interventions holistically using a multi-stakeholder approach as a result training on the MS approach, with financial MFSII support of DCI/ECPAT (19). This training was given by one FSCE staff who participated in the Multi Stakeholder Processes (MSP) training at the CDI in September 2012, and exposure visit to the Netherlands supported by SKN, MFS II funded (25).

Another cause was the improved application of different strategies to support target groups e.g. in livelihood improvement as a result of support by Terre-des-Homes, DCI/ECPAT and SKN, MFSII funded, and education improvement in formal schools (6). The MFSII financial support by Terre-des-Homes, DCI/ECPAT and SKN gave FSCE the opportunity to further exercise their skills in implementing livelihood related activities, as well as the experience sharing visits to Tanzania and the Netherlands with DCI/ECPAT (18). Also coaching and mentoring of staff by FSCE HQs (17) helped to improve the capacity to apply different strategies to support target groups (6).

A third reason was the improvement in working with target groups (5) which was due to the training on SHG related implementation (with financial support of KNH) (15) and the area based approach training & exposure visit to the Netherlands supported by SKN (16) .

Improved M&E capacity including reporting (3)
This was partly due to the increased intensity and number of visits to the target groups (8) and improvement in standardised and concise reporting (11). These were both triggered by the training on outcome level reporting in 2012 organized by FSCE (20). Another cause was the improved outcome oriented reporting capacity (9) due to the training on outcome level reporting in 2012 organized by the SPO (20) and the requirement of FSCE for outcome level information (21). Improved recording of case stories and publication capacity (10) observed as a result of regular mentorship given by the (new) HO leadership (22) was also a cause of the improved M&E capacity including reporting capacity (3).

Improved organizational system of operations (4)
The operational system has improved (4) because there are systems in place now to apprehend the concerns of staff (12). This is due to the new leadership and more regular discussions among staffs (weekly, monthly meetings) (23). Also improved formal (interdepartmental) communication (13) contributed to the improved operational system (4). This improved formal communication was due to the improved joint planning and team working capacity (24) of the organization as a result of the coaching and mentorship of staff by the SPO HQ (17) and experience sharing visit outside the country (18). A third reason was the enhanced partnerships with government and non-government stakeholders at local and international level (improved in multi stakeholder engagement capacity) (14) as a result of the Multi Stakeholder Processes (MSP) training at the CDI, September 2012, by MFS II and exposure visit to the Netherlands supported by SKN (25).

4.3   Attributing changes in organisational capacity development - evaluation question 2 and 4

Note: for each country about 50% of the SPOs has been chosen to be involved in process tracing, which is the main approach chosen to address evaluation question 2. For more information please also see chapter 3 on methodological approach. For each of these SPOs the focus has been on the capability to act and commit

and the capability to adapt and self-renew, since these were the most commonly addressed capabilities when planning MFS II supported capacity development interventions for the SPO.

For each of the MFS II supported capacity development interventions -under these two capabilities- an 'outcome area' has been identified, describing a particular change in terms of organisational capacity of the SPO since the baseline. Process tracing has been carried out for each outcome area. The following outcome areas have been identified under the capability to act and commit and the capability to adapt and self-renew. Also the MFS II capacity development interventions that could possibly be linked to these outcome areas are described in the table below.

Table 2
Information on selected capabilities, outcome areas and MFS II supported capacity development interventions since the baseline

Capability	Outcome area	MFS II supported capacity development intervention
To adapt and self-renew	Improved M&E capacity using RBM approach	Training on M&E with focus on reporting on outcome level, May 2014; RBM refresher and M&E training, June 2012; (Close follow-up and supervision by MFS II partners)
To act and commit	Improved capacity to apply a Community Centred Multi Stakeholder (CCMS) approach	Multi Stakeholder Processes(MSP) training CDI, September 2012; Life skill and facilitation training for community and social workers with stakeholders in 2013; Leadership training for community and social workers with APOs management and stakeholders in 2013; Conflict management training for community and social workers with stakeholders in 2013; Workshop/ training on Community Conversation Group in 2013, MFSII (<-Annual MFSII partners meeting, Oct. 2013); Guidance and counselling for child based community conversation for community and social workers with stakeholders in 2012

The next sections will describe the results of process tracing for each of the outcome areas. This includes describing the identified key organisational capacity changes, what these changes are expected to lead to and what are the underlying reasons for these organisational capacity changes.

4.3.1   Improved M&E capacity using RBM approach

Monitoring and Evaluation (M&E) capacity for using the Results Based Management (RBM) approach, has improved since the baseline in 2012 [1]. The RBM approach is important because of the emphasis on results in this approach versus activity based PME. The RBM approach was already applied in 2012 as evidenced by the tools and formats developed by FSCE in 2010 [15] *(source: endline workshop)* to help collect RBM related data. As a result the area program offices (APOs) started to develop data collection tools on identified indicators that helped them to collect data on the activities they were implementing and also increased the number of APOs to use outcome based reporting. Furthermore, they started to develop baselines and periodically following the changes. *(Source: endline workshop)*

According to the 5C results of the Participatory Capacity Assessment Tool (PCAT) of the Child and Development Alliance carried out in July 2013, FSCE has an M&E plan that is used effectively; the

assessment also indicates that monitoring data on output and outcome level are regularly collected and that projects are evaluatied at a regular basis (*source: 2013 PCAT 5C's FSCE Scores (05.07.13); 2013 FSCE - Assessment Resutls-Feedback sheet (05.07.13)).*

Although the process of RBM monitoring has started before the baseline in 2012, M&E capacity using the RBM approach did improve since the baseline in 2012 as a result of:

4. Improved M&E tools and formats (21)
1. Enhanced knowledge and skills in identifying and reporting on outcomes (3)
2. PME unit separate entity with clear authority/ responsibility since 2013-14 (5)
(Source: endline workshop). Each of these changes is further described below.

Each of these changes is further described below.

Improved tools and formats for reporting on outcomes (21).
Tools and formats have been put in place and updated even before the baseline and this has assisted in improved M&E for RBM:

*   **MFS II Result Based Reporting formats and follow-up of the MFS-II implementers [10]**: these were developed to help to get data according to MFS II requirements ((*sources: endline workshop; CFA support to capacity sheet B; Result Based Report Format 2012*).

*   **FSCE RBM tools and checklist updated in 2012 (11)**: Though there were monitoring tools and checklists before 2012 these were geared towards collection of outputs, and donors demanded reporting also on the basis of outcomes (14). Starting in 2012, FSCE developed checklist indicators related to outcomes. Checklists and tools that were originally prepared in 2010 [15] by FSCE were updated to comply with the MFS II requirements for RBM reporting formats [10] (*sources: endline workshop; CFA support to capacity sheet B).*

Improved knowledge and skills on identifying and reporting on outcomes (3)
This was the second reason for improved M&E for RBM. According to FSCE staff during the endline workshop, what has changed since the baseline is that there is a larger number of staff now that have the knowledge and skills on outcome based reporting, that they have become more systematic and now know how to write reports, whilst before the baseline, most of the reporting coming from lower level staff was done orally (*source: endline workshop).* Outcome oriented reports of the area program offices are manifestations of this change (*source: management self-assessment sheet F).* The CFA mentions the improved quality of progress reports, in particular in terms of reporting on outcome results [2] (*source: CFA support to capacity sheet B; CFA self-assessment sheet A).*

Improved knowledge and skills on identifying and reporting on outcomes includes better understanding about how to fill in their result indicator forms of the MFS II C&D Alliance, improved knowledge and skills on data collection, compilation and analysis, and knowledge and skills on identifying outcomes. At the endline workshop FSCE staff mentioned that before 2012, the data collection was not systematic. However, since 2012 the staffs have clear knowledge on the sources of data, from where they have to collect data, and how and why they collect. For example, before 2012 they did not have the knowledge on how to collect data from minutes or records. Mostly, social workers used to collect data from community workers and triangulate this with community officers through client interviews. Now social workers are involved in most of the interventions and pick up information while participating in the intervention. They consider this as one source of data collection (*source: endline workshop).* According to M&E staff FSCE recently (2014) organized a team to filter/review the communication process from the source to the end (data collection, collation, analysis, reporting, sharing and documentation) and come up with a workable guideline to improve this

process plus directives and working manuals for proposal development, appraisal and financial follow up with schedule for deadlines (*source: H_5c endline self-assessment sheet M&E staff).*

These improved knowledge and skills in identifying and reporting on outcomes are the result of:

- MFS II training (6);
- training, coaching, supervision by HQ staff (8);
- biannual meetings (9)
- close follow-up and supervision by MFS II partners (16).

Each of these areas is further explained below.

MFS II training (6) included:

- **M&E training organized by MFS-II partners (17):** this was a one day training that focused on base line data, indicators, reporting on outcome level and reporting quality   (*sources: endline workshop; CFA support to capacity sheet B; ANNUAL MFS-II PARTNERS' MEETING 2014 CD Alliance Ethiopia; CFA self-assessment sheet A).* This training took place at the annual **MFS II Partners Meeting in May 2014 (20)** (source: *CFA support to capacity sheet B; ANNUAL MFS-II PARTNERS' MEETING 2014 CD Alliance Ethiopia).*
- **RBM refresher training organized by MFS II partners in 2012 (18):** this was a training on planning, monitoring, data collection and compilation (18) (*sources: endline workshop; CFA support to capacity sheet B; Results Based Management report).*This training data covered: collection and tools; develop a system for data compilation and analysis, reporting and communication; the sequence/ hierarchy of reporting, for making decisions and communicating them to different stakeholders; and using a participatory approach to establish clear roles and responsibilities for data collection, analysis and reporting (*sources: endline workshop; CFA support to capacity sheet B; Results Based Management; report; schedule of the RBM refreshment training June 2012*).

Bi-annual review meetings that identify gaps and action points [9] were another reason for FSCE staff to improve their knowledge and skills in identifying and reporting on outcomes (*sources: endline workshop; management self-assessment sheet F).* The MFS II reporting formats are used for the bi-annual outcome based monitoring (12) (*source: endline workshop)* that is carried out by the HQs staff in the field. This monitoring is based on a checklist that observes the capacity on reporting, including differentiating between immediate and intermediate outcomes (*source: endline workshop).* These and the checklist based appraisals are further discussed in the bi-annual meeting where gaps and action points are identified (9) (*sources: endline workshop; management self-assessment sheet F).* This helps FSCE staff in further understanding how to identify and report on outcomes.

Training, coaching and supervision by HQs staff [8] is another reason for assisting FSCE staff to improve their knowledge and skills to identify and report on outcomes. Training, coaching and mentoring activities are undertaken by program coordinators of FSCE head office. Checklist based appraisal of key skills are used to identify areas of improvement on outcome based report writing skills (*sources: endline workshop; management self-assessment sheet F).* There is close follow up and supervision by HQs staff to ensure the application of the above mentioned reporting formats [10] and tools and checklists [11] (*source: endline workshop).*

The close follow up and supervision of MFS-II partners (16) was the fourth reason for improved knowledge and skills to identify and report on outcomes, according to staff members present at the endline workshop , which is confirmed by the CFA (*sources: endline workshop; CFA self-assessment sheet A).*
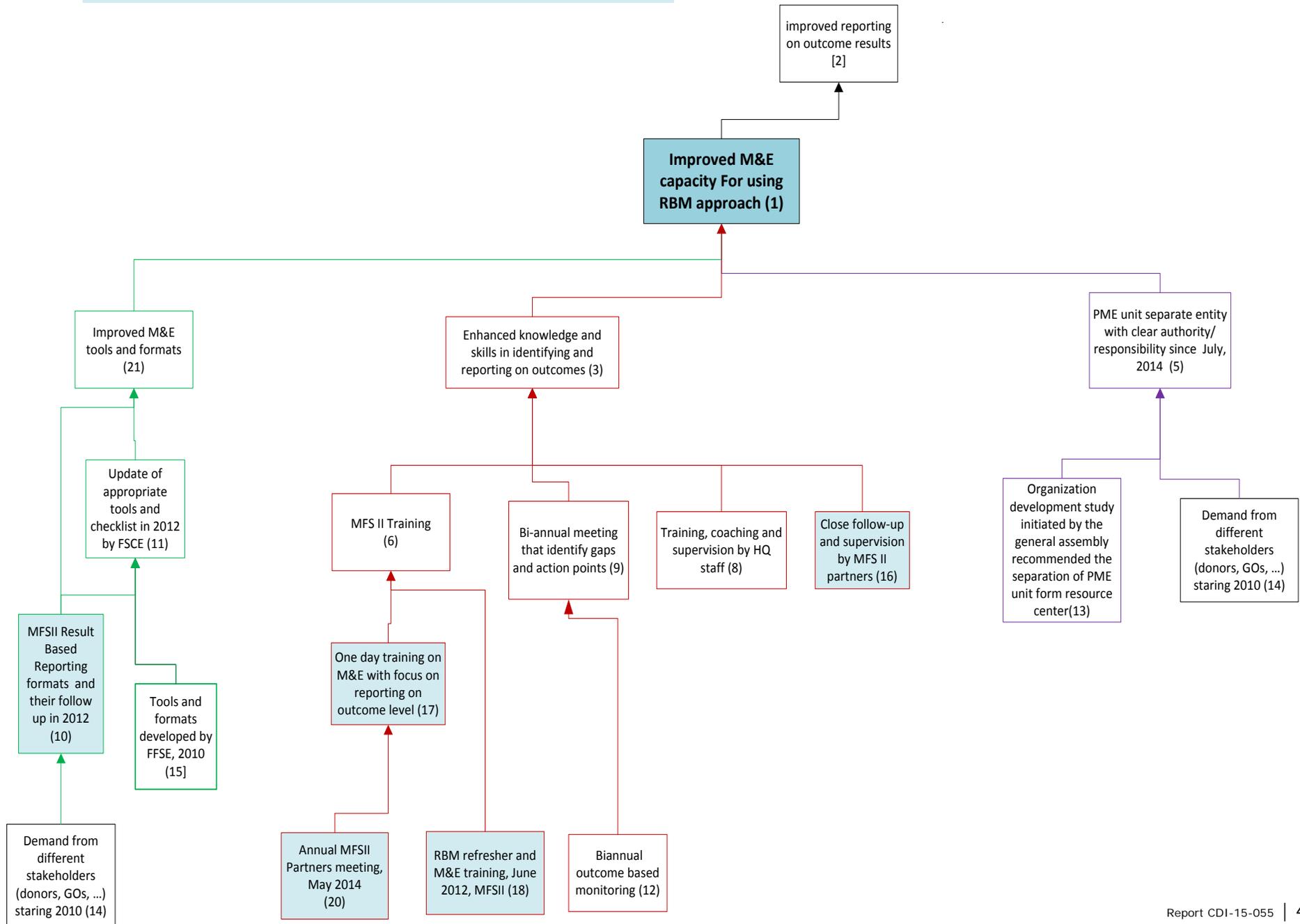
PME unit separate entity with clear authority/responsibility since July 1, 2014 (5)

The third reason for improved M&E for RBM is that, since July 1, 2014 (5) the PME unit is a separate entity with clear authority and responsibility (5). Before being organized as a separate entity, M&E was with the child resource development unit. In July 1, 2014 (5) it was organized as separate unit. This helped to give more emphasis and time for M&E. The unit has two staff at HQ level. However, at APO level it doesn't have this structure: it is handled by the APO staff (source: endline workshop).

The establishment the separate PME unit happened as a result of:

- **The organization development study carried out in 2013 [13]**, which was initiated by the general assembly. The study recommended the separation of the PME unit from the resource centre. The study was financed by SAVE the Children (*source: endline workshop).* Also the CFA mentions that in May 2013 FSCE initiated an organizational development (OD) study as a response to internal problems, which affected a good functioning of the organization both at Head Quarters level as with regards to the relation between Head Quarter and Regional offices. Apart from organisational restructuring as a result of the OD study the Director of FSCE resigned in February 2014. In March 2014 a new Director was appointed who is now implementing the recommendations of the OD study. One of the first tasks of the new Director was to start a reorganization process based on the findings and recommendations of the OD Study. Objective of the reorganization is to improve the internal functioning of the organization and to ensure quality program development, implementation and reporting. In June the new director presented an action plan, which is now in the process of being implemented. Things appear to be better now but changes till so far are only at head office (FSCE has 3 regional & 2 city area program offices) (*source: CFA self-assessment sheet A).*
- **Demand by donors (14):** Donors mentioned the need for a separate PME unit when they gave feedback about the improvement of the data collection and reporting system (*source: endline workshop).*

FSCE PT - improved PME capacity using RBM approach

improved reporting on outcome results [2]

Improved M&E capacity For using RBM approach (1)

Improved M&E tools and formats (21)

Enhanced knowledge and skills in identifying and reporting on outcomes (3)

PME unit separate entity with clear authority/ responsibility since July, 2014 (5)

Update of appropriate tools and checklist in 2012 by FSCE (11)

MFS II Training (6)

Bi-annual meeting that identify gaps and action points (9)

Training, coaching and supervision by HQ staff (8)

Close follow-up and supervision by MFS II partners (16)

Organization development study initiated by the general assembly recommended the separation of PME unit form resource center(13)

Demand from different stakeholders (donors, GOs, …) staring 2010 (14)

MFSII Result Based Reporting formats and their follow up in 2012 (10)

Tools and formats developed by FFSE, 2010 (15]

One day training on M&E with focus on reporting on outcome level (17)

Demand from different stakeholders (donors, GOs, …) staring 2010 (14)

Annual MFSII Partners meeting, May 2014 (20)

RBM refresher and M&E training, June 2012, MFSII (18)

Biannual outcome based monitoring (12)

4.3.2 Improved capacity to apply a Community Centred Multi Stakeholder (CCMS) Approach

During the endline process, key organisational capacity changes have been identified in the following capabilities: capability to act and commit; capability to adapt and self-renew. These two capabilities have been chosen for the purpose of process tracing since these are the two capabilities that have most frequently been targeted by the CFAs. The organisational capacity changes that have been identified are based on a potential link with MFS II supported capacity development activities in these two capabilities, and on a variety of sources (secondary data as well as endline workshop data). The process tracing methodology has been adapted to the purpose of this evaluation and to investigate closely the underlying causes for these identified organisational capacity changes, and the extent to which these changes can be attributed to MFS II supported organisational capacity strengthening activities.

The evaluation team carried out an endline assessment at FSCE from 16 to 17 October 2014. During this workshop, the team made a recap of key features of the organisation in the baseline in 2012 (such as vision, mission, strategies, clients, partnerships). This was the basis for discussing changes that had happened to the organisation since the baseline.

Both FSCE endline workshop participants as well as the Dutch CFA (Kinderpostzegels) Programme Officer considered the FSCE staff to have improved their capacity to apply a Community Centred Multi Stakeholder (CCMS) approach [1] since the baseline in 2012. This means the ability to coordinate and work with other partner organizations and stakeholders working on child protection through a holistic approach. In fact, FSCE staff has improved the CC MS approach that they already applied prior to the MFS II intervention, and they have decided to improve upon their own multi stakeholder approach (3) *(sources: endline workshop; CFA support to capacity sheet B).*

Due to this improved capacity (1), the FSCE (CC MS) approach is adapted to local context, and applied at a larger scale in FSCE projects (6) *(sources: endline workshop; CFA support to capacity sheet B).* Furthermore, it is leading to increased engagement and ownership of local stakeholders (18) and improved community based monitoring (19) *(sources: endline workshop; CFA support to capacity sheet B; Evaluation Report Adama project FSCE Oct 2013; Results Based Management (CD 1) report; The Annual MFS II Partners Meeting convened from October 3- Revised Edition (20.12.12).*

The improved capacity to apply a community centred multi stakeholder approach has resulted from the following two changes:

3. Improved knowledge and skills about multi stakeholder processes (MSPs) (5)
4. Improved knowledge and skills about creating, strengthening and engagement of CBOs for child protection (12)

These two key areas are further explained below. The numbers correspond to the numbers in the visual.

Improved knowledge and skills about MSPs (5)
One of the reasons for the improved capacity to apply a Community Centred Multi Stakeholder (CC MS) Approach (1) is improved knowledge and skills about multi stakeholder processes (MSPs) (5). This is the result of a long process of developing and improving on this approach. Previous to the MFS II intervention, FSCE had already developed its own Community Centred Multi Stakeholder (CC MS) approach (3) *(sources: endline workshop; CFA support to capacity sheet B)*, as a result of the decision taken to change its strategy from one issue projects to a more holistic strategy, i.e. a community based and location specific approach *(9)*) *(sources: endline workshop; CFA support to capacity sheet B)*, after an internal Strategic Planning Workshop in 2011 (10). A reason for this planning workshop was the training on Multi-stakeholders programs in 2010 (24), given by Kinderpostzegels Netherlands (KPN) at the start of the Child labor free zone (CLFZ) program, which also introduced the 13 child protection indicators developed by UNICEF to FSCE (25) *(source: endline workshop)* . The rational for this was to improve the

situation of children in difficult circumstances or at risk by involving all relevant actors in finding and creating a solution for the identified problems and in view of this to develop a Community Based Multi Stakeholder approach and apply this in all projects, adapted to local context (3). For that reason FSCE specifically asked if one staff member (Addis Tekle) could participate at the Multi Stakeholder Processes (MSP) training at the CDI, MFS II funded, in September 2012 (2) *(sources: endline workshop; CFA support to capacity sheet B; CFA assessment sheet A; 5c endline self-assessment sheet program coordinator).* Knowledge and skills of other MFSII staff was then improved [5] as a result of an internal staff training workshop shared with all (project) staff of both HQ and Area Offices of FSCE at the end of 2012 (4), (*sources: endline workshop; CFA support to capacity sheet B; Feedback letter from Kinderpostzegels to FSCE ref findings field visit to Adama*) At this workshop Addis Tekle shared his lessons learned from the Multi Stakeholder Processes (MSP) training at the CDI, MFS II funded, September 2012 (2). The existing approach was reinforced and is now applied at a larger scale in other FSCE programmes as well (6) (*sources: endline workshop; CFA support to capacity sheet B; FSCE Adama project 2013 Evaluation report).*

Improved knowledge and skills about the creation, strengthening and engagement of CBOs for child protection (12)

Another reason for the improved capacity to apply a Community Centred Multi Stakeholder (CC MS) Approach (1) is the improved knowledge and skills in creating, strengthening and engaging Community Based Organizations (CBOs) like Centre Management Committees (CMC), Parents Teachers Associations (PTA), Youth Clubs, Girls Clubs, anti-HTPs Clubs, Child Wellbeing Advisory Committees and Child Development Promotion Forums (12). In the Adama CLFZ (Child Labour free Zone) project FSCE plays a lead role in convening key players such as the education office, the MSCPs, CMCs/PTAs, school leaders, facilitators/teachers and child representatives together to discuss on issues, take decisions, establish follow-up and accountability mechanisms to monitor progress as well as muster the necessary resources to address the issues *(sources: The Annual MFS II Partners Meeting was convened from October 3- Revised Edition (20.12.12); FSCE Adama project 2013 Evaluation report).* Its strong community based and location specific interventions like the Multi Stakeholder Child Protection Structures (MSCPS) (17)) is mentioned as the most innovative approach of the Adama CLFZ project (*Source: FSCE Adama project 2013 Evaluation report*). This model is a context-based adaptation of the Indian MV Foundation learned from an exposure visit (16) organized by Kinderpostzegels in 2011. In 2009 this Indian NGO visited Ethiopia and in 2011 FSCE staff visited India (16). This was not financed with MFS II but with PSO funds. The area based CLFZ approach of the Indian SPO matched very well with the FSCE community based MS approach of leading children from labour to school and to make local government responsible. Now FSCE is a leading example of applying the CLFZ approach in Africa. In 2013 they were visited by West African NGOs for this *(source: CFA assessment sheet A).* FSCE creatively adapted the approach to the local context and facilitated and influenced the creation of the MSCPS (17) (*sources: endline workshop; FSCE Adama project 2013 Evaluation report; 5c endline self-assessment sheet programme staff; 5c endline self-assessment sheet M&E staff; Annual Report 2013 FSCE Adama CLFZ project 2013)* which is composed of existing CBOs and government institutions which have stakes in the protection and education of children. The experience of FSCE with the MS approach, the reputation that FSCE had built in its previous project involvements and the positive impacts that it made (9) has also contributed to the adaptation of the CLFZ approach and the smooth start-up, pilot and effective undertaking of the CLFZ (MFS II funded) project (*sources: endline workshop; FSCE Adama project 2013 Evaluation report).*

These MS Child Protection Structures (MSCPS) (17) are the cornerstone of the FSCE approach in addressing child's rights and protection issues. FSCE does not directly involve in advocacy due to the restrictions of the CSO legislation. However, the Organization has strongly influenced government and CBOs by creating MSCPS and strengthening and existing sub-structures of key stakeholders. The aim of the MSCPS's is to create a protective environment for children from various abuses and availing survival, developmental and rehabilitation needs of child labourers as well as those who are at risk. Any child right related issues are referred to the multi-stakeholder structure which could take up matters of child wellbeing. Children participate in (education) activities and in some committees (13) (*Source: FSCE Adama project 2013 Evaluation report).*
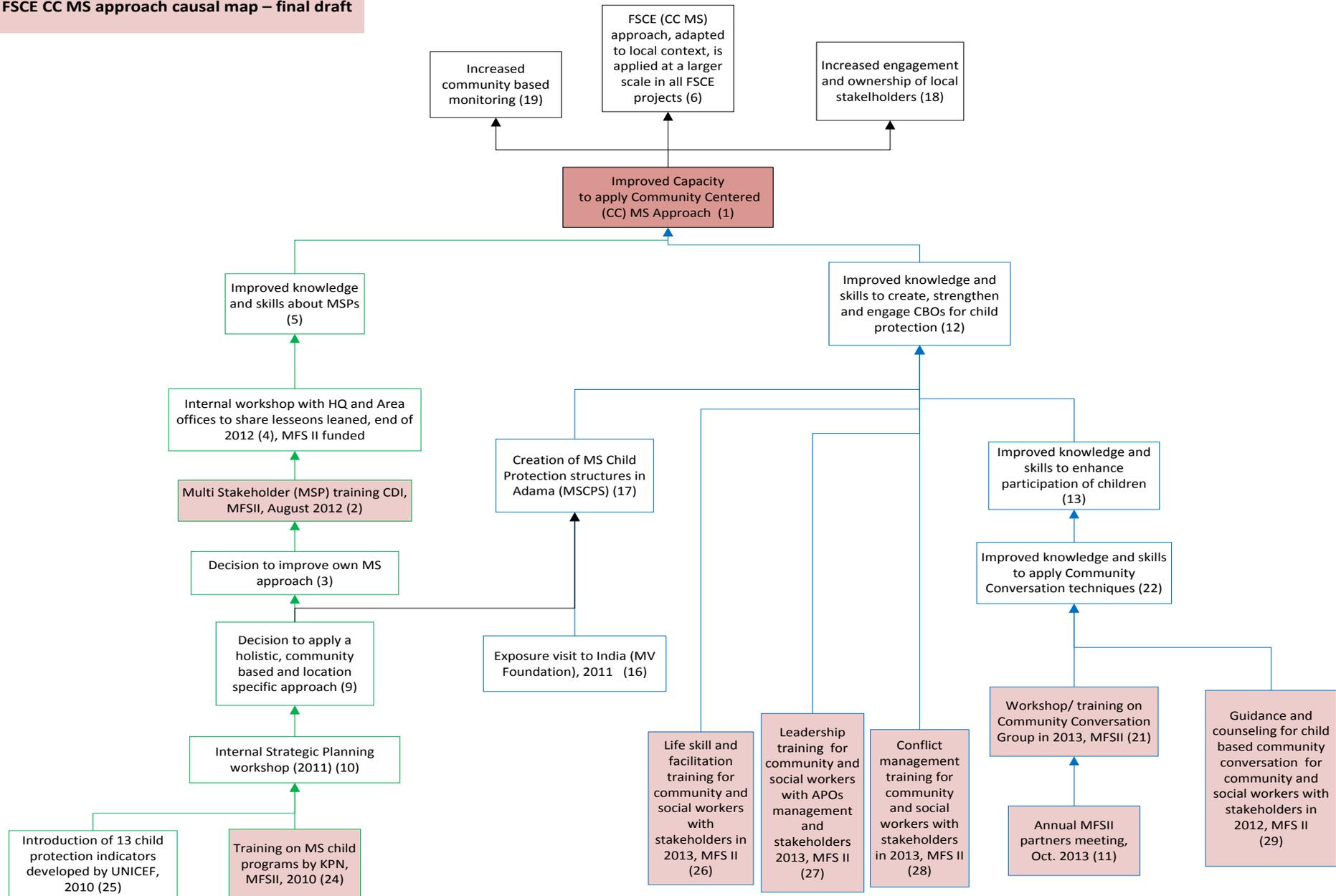
The MSCPS and the various committees under its coordination have become effective instruments for FSCE to engage CBOs, the community, and local government sector agencies in the operation and ownership of the project (18). There is also evidence for significant key stakeholder participation in monitoring (19). (*Source: FSCE Adama project 2013 Evaluation report*)

The improvement in knowledge and skill to create, strengthen and engage CBOs (12) was also enhanced through leadership training given for community, social workers and area office staff with APO management and stakeholders in 2013 financed by MFS II (27) (*source: endline workshop)*, life skill and facilitation training given for community and social workers with stakeholders in 2013,with the support of MFS II financial support(26) (*source: endline workshop*)and conflict management training for community and social holders with stakeholders in 2013 with financial support of MFS II (28).

Another reason for the improved knowledge and skills to create, strengthen and engage CBOs for child protection (12) is the improved knowledge and skills to enhance participation of children (13). Presently, children are participating in classrooms, teaching aid preparations, club activities and are also represented in some committees. Mechanisms for child participation are in place although they need strengthening and expansion (*Source: FSCE Adama project 2013 Evaluation report).*

This knowledge was enhanced through enhanced knowledge and skills to apply Community Conversation techniques [22] (*sources: endline workshop; CD Alliance Final Reserach Report Awareness Raising - Berhanu Berke- September 2013; Field Monitoring Visit Report Amakelew FSCE- April 2012; FSCE Adama CLFZ 2012 Annual Narrative Report)*. This knowledge and skills to apply Community Conversation techniques [22]was improved by MFS II funded training in Community Conversation Groups (21) asked for during the Annual MFS II Partners meeting in October 2013 (11) *(source: Final Report Annual MFS II Partners Meeting 2013)*. Before this partners meeting (11) there was MFS II financed guidance and counselling for child based community conversation for community and social workers with stakeholders in 2012 (29) *(sources: endline workshop; Annual Report 2013 FSCE Adama CLFZ project 2013; FSCE Adama CLFZ 2012 Annual Narrative Report)* .

FSCE CC MS approach causal map – final draft

FSCE (CC MS) approach, adapted to local context, is applied at a larger scale in all FSCE projects (6)

Increased community based monitoring (19)

Increased engagement and ownership of local stakeholders (18)

Improved Capacity to apply Community Centered (CC) MS Approach (1)

Improved knowledge and skills about MSPs (5)

Improved knowledge and skills to create, strengthen and engage CBOs for child protection (12)

Internal workshop with HQ and Area offices to share lesseons leaned, end of 2012 (4), MFS II funded

Creation of MS Child Protection structures in Adama (MSCPS) (17)

Improved knowledge and skills to enhance participation of children (13)

Multi Stakeholder (MSP) training CDI, MFSII, August 2012 (2)

Decision to improve own MS approach (3)

Improved knowledge and skills to apply Community Conversation techniques (22)

Exposure visit to India (MV Foundation), 2011 (16)

Decision to apply a holistic, community based and location specific approach (9)

Internal Strategic Planning workshop (2011) (10)

Life skill and facilitation training for community and social workers with stakeholders in 2013, MFS II (26)

Leadership training for community and social workers with APOs management and stakeholders 2013, MFS II (27)

Conflict management training for community and social workers with stakeholders in 2013, MFS II (28)

Workshop/ training on Community Conversation Group in 2013, MFSII (21)

Guidance and counseling for child based community conversation for community and social workers with stakeholders in 2012, MFS II (29)

Introduction of 13 child protection indicators developed by UNICEF, 2010 (25)

Training on MS child programs by KPN, MFSII, 2010 (24)

Annual MFSII partners meeting, Oct. 2013 (11)

5 Discussion and conclusion

5.1 Methodological issues

In preparation for the assessment, the Ethiopian 5C assessment team visited FSCE staff in the organization's HQs in Addis Ababa and explained the purpose and the process of the 5C endline 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 FSCE staff.

The Ethiopian 5C assessment team conducted the assessment in four visits. First visit, to conduct the self-assessment workshop with a total of fifteen staff members and ask the staff to fill the self-assessment form in their respective five subgroups (management (2); program (3); M&E (1); HRM and administration (4) and field staff (5)). 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 happened in FSCE since the baseline 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 organisational capacity changes in FSCE since the baseline 2012. This was done after the 5C assessment team reviewed the completed self-assessment forms. Finally, the fourth visit was made to carry out the process-tracing workshop. In the process tracing workshop three organisational capacity change areas that were identified based on the review of the various documents received from the SPO and CFA including the result of the self-assessment workshop were presented to the workshop participants. First they were asked if they also agree with the team's assessment in terms of these key organisational capacity changes to focus on during process tracing. These were organisation capacity changes within the capability to act and commit and the capability to adapt and self-renew and could possibly be linked to MFS II capacity development interventions. During this process tracing workshop, the HQs staff decided to focus the discussion on the 'Improved capacity to apply Community Centred MS Approach' detailed causal map, on the Adama area office because most of the activities related to this change area are carried out in Adama and they also thought the Adama staff to be better placed for this. Therefore, this workshop focusing on this detailed causal map took place in Adama, and one program staff and seven field staff participated in this workshop.

The process tracing exercise helped to get the information for description of organisational capacity changes, and the attribution of these changes in FSCE to specific factors and (MFS II and non-MFS II funded) interventions.

The plan of the evaluation team to also conduct two interviews with FSCE partners didn't materialize because the interview overlapped with other activities the assessment team was supposed to carry out with the SPO. 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 development

This section aims to provide an answer to the first and fourth evaluation questions:

1.   *What are the changes in partner organisations' capacity during the 2012-2014 period?*

4.   *What factors explain the findings drawn from the questions above?*
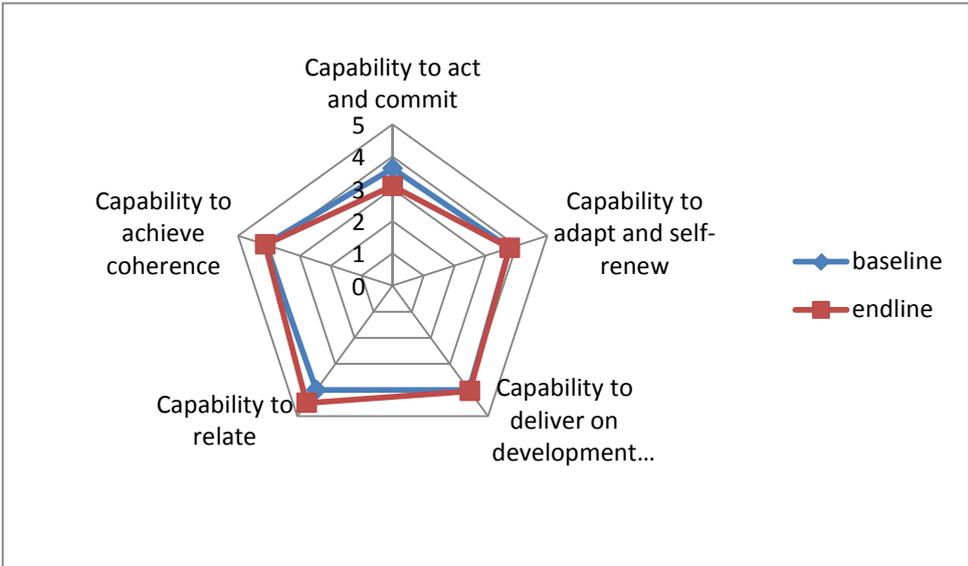
Below the changes in each of the five core capabilities are further explained, by referring to the specific indicators that changed. In all of these capabilities changes (improvements or deteriorations) took place.

Over the last two years deteriorations took place in most of the indicators under the capability to act and commit. In May 2013 an organisational development (OD) study was initiated, that was completed in Dec 2013. This study concluded that to improve internal functioning a new director was required. This new director started in March 2014, only two months prior to the endline workshop. Many staffs are still frustrated and funding is still low due to this period of internal problems. Funding is said to have declined because of many different reasons, one being the internal problems, but others include restrictive NGO legislation and donors wanting to work in coalitions. As the positive changes of installing a new director are very recent, many staffs still feel that there was some delay in implementing the OD study's recommendations. The strategic plan has been revised but is not yet guiding FSCE's daily operations. Due to the lower annual budget, staff turnover increased. Some staff resigned due to low salaries and staff performance valuation is not well managed. Compared to similar organisations, the benefit package at FSCE is poor and training opportunities for staff have decreased since the baseline. Little training has been given since 2012 because there has been less emphasis on getting funding for trainings and the 30/70 rule, in which trainings fall under the 30% of the budget that can be spent on administrative costs, has not helped in this respect. Skilled staff has left the organisation so that, although staff that remained has gained some skills due to experience and self-organised trainings, overall there is a slight deterioration in staff skills. New staff that has been hired does have clear roles and responsibilities that fit in the organisational structure of FSCE.

In the capability to adapt and self-renew FSCE saw some deteriorations and improvements. Staff have improved there M&E competencies especially due to an M&E training during the Annual C&D Alliance MFS II partner meeting in May 2014. There is a team of experts that works on M&E and support the area program offices. More emphasis is now given to reporting on outcome indicators. With the new leadership, organisational management is now making use of M&E findings at organisational and program level to make timely decisions. While some improvements have been made in terms of creating moments for critical reflection, the general feeling among staff is that because of the internal problems and reorganisation process that followed not enough attention has been given to this. The same holds for staff's freedom to share ideas: there are some very recent positive developments but the internal communication problems under the previous management worsened the situation since the baseline.

In terms of the capability to deliver on development objectives, FSCE shows very slight improvement in its cost-effectiveness. In this regards, the organisation is developing guidelines on project proposal development, project appraisal, realignment of activities and budgets in the annual action plan, and is undertaking financial activities with deadlines and reviewing the M&E system and M&E application.

In the capability to relate, FSCE has shown on most indicators slight improvements in engaging its stakeholders in policies and strategies. The organisation is now using Multi Stakeholder Child Protection Structures (MSCPS) to engage different stakeholders in the program process. The relations within the organisation have, however, deteriorated compared to the baseline situation. Due to change processes and leadership problems, at different levels relations between staff are not free and open. While some positive developments are taking place at the head office (with the new director) this has not yet reached the Area Program offices.

Finally, FSCE has improved and deteriorated in indicators under the capability to achieve coherence. After the OD assessment in 2013 and the change in leadership in 2014, the mission and vision statement of FSCE were revised and significant improvements were made in organisational structure, communication, program, finance and HR strategies. There was however, a slight deterioration in programs being aligned to the vision and mission, and while projects are still aligned, realignment to the new organisational level strategies and program categorisations is required.

During the endline workshop some key organisational capacity changes were brought up by FSCE's staff: improved implementation capacity in holistic approach; improved M&E capacity including reporting; and improved organizational system of operations. The evaluators considered it important to also note down the SPO's story about what they considered to be key changes in the organisation since the baseline, and this would also provide more information about reasons for change, which were difficult to get for the individual indicators. Also for some issues there may not have been relevant indicators available in the list of core indicators provided by the evaluation team.

According to FSCE staff present at the endline workshop, the capacity to implement an holistic approach improved because of improved knowledge of staff to apply a Multi Stakeholder (MS) approach and work jointly, and a more harmonious collaboration with and between staff from different departments; improved application of different strategies to support target groups; and improvement in working with target groups. FSCE's knowledge on MS improved because of a MFS II funded training on Multi-Stakeholder Processes (MSP) in September 2012, at CDI in the Netherlands, and in which one FSCE staff member participated. FSCE improved its application of different strategies to support target groups because of an experience sharing visit to Tanzania and the Netherlands (MFS II funded) and coaching and mentoring of staff by FSCE Head Quarters (HQ). The organisation improved the way it works with target groups because of a training on SHG related implementation (KNH funded) and a training on the area based approach and exposure visit to the Netherlands (MFS II funded). Secondly, FSCE improved its M&E capacity (including reporting) because of increased intensity and frequency of visits to the target groups, and improvements in standard and concise reporting, which were both triggered by a training on outcome level reporting in 2012, organised by FSCE. M&E capacity also improved because of an improvement in outcome oriented reporting capacity due to the same training and the requirement of FSCE for outcome level information. Improved recording of case stories and publication capacity also contributed to improved M&E capacity. This was the result of regular mentorship given by the new director. Finally according to FSCE staff, they improved their organisational system of operations because there are now systems in place to apprehend the concerns of staff (due to new leadership and regular discussions); there is improved formal (interdepartmental) communication (due to improved joint planning and team work capacity); and improved multi stakeholder engagement capacity (because of the MSP training at CDI, MFS II funded). FSCE improved its joint planning and team working capacity as a result of coaching and mentoring of staff by HQ and the experience sharing visit to the Netherlands and Tanzania (MFS II funded). All in all, there is some mention of MFS II funded capacity development interventions in all the key organisational capacity changes that FSCE staff identified. During process tracing these and more MFS II funded interventions (in particular training and experience sharing visits) have clearly come up. However, internal factors like the change in leadership, training, coaching and mentoring, have also played an important role in the key organisational capacity changes that the FSCE

staff considered important since the baseline in 2012. Some support from other funders in terms of training, has also been mentioned as one of the underlying factors to these changes. For more details, we therefore refer to 5.3, where the role of MFS II funded capacity development interventions in organisational capacity changes of FSCE will be further explained.

5.3 Attributing changes in organisational capacity development to MFS II

This section aims to provide an answer to the second and fourth evaluation questions:

1. To what degree are the changes identified in partner capacity attributable to development interventions undertaken by the MFS II consortia (i.e. measuring effectiveness)?

2. What factors explain the findings drawn from the questions above?

To address the question of attribution it was agreed that for all the countries in the 5C study, the focus would be on the capability to act and commit and the capability to adapt and self-renew, with a focus on MFS II supported organisational capacity development interventions that were possibly related to these capabilities. 'Process tracing' was used to get more detailed information about the changes in these capabilities that were possibly related to the specific MFS II capacity development interventions. The organisational capacity changes that were focused on were:

- Improved capacity to apply a Community Centred Multi Stakeholder (CCMS) approach; and

- Improved M&E capacity using a Results Based Management (RBM) approach.

The first organisational capacity change falls under the capability to act and commit. The last one (M&E) falls under the capability to adapt and self-renew. The organisational capacity change areas that were chosen are based on document review as well as discussions with the SPO and CFA.
Each of these organisational capacity changes is further discussed below.

The following issues are discussed for the MFS II funded activities that are related to the above mentioned organisational capacity changes:

a. Design: the extent to which the MFS II supported capacity development intervention was well-designed. (Key criteria: relevance to the SPO; SMART objectives)
b. Implementation: the extent to which the MFS II supported capacity development was implemented as designed (key criteria: design, according to plans during the baseline);
c. Reaching objectives: the extent to which the MFS II capacity development intervention reached all its objectives (key criteria: immediate and long-term objectives, as formulated during the baseline);
d. the extent to which the observed results are attributable to the identified MFS II supported capacity development intervention (reference made to detailed causal map, based on 'process tracing').

Please note that whilst (d) addresses the evaluation question related to attribution (evaluation question 2), the other three issues (a, b and c) have been added by the synthesis team as additional reporting requirements. This was done when fieldwork for the endline process had already started or was already done.

Improved capacity to apply a Community Centred Multi Stakeholder (CCMS) approach; and
The following MFS II supported capacity development interventions for FSCE that took place since the baseline in 2012, were linked to the key organisational capacity change "Improved capacity to apply a Community Centred Multi Stakeholder (CCMS) approach":

1. Multi Stakeholder (MSP) training CDI, August 2012 (2)
2. Life skill and facilitation training for community and social workers with stakeholders in 2013 (26)
3. Leadership training for community and social workers with APOs management and stakeholders in 2013 (27)
4. Conflict management training for community and social workers with stakeholders in 2013 (28)
5. Guidance and counselling for child based community conversation for community and social workers with stakeholders in 2012 (29)

The numbers between brackets correspond to the numbers in the visual (causal map, see below this section).

The above mentioned MFS II funded capacity development interventions are included here as well as in the causal maps and narratives because the effects of these interventions were observed during the endline and they came up during document review, workshop, interviews and self-assessments.

1. Multi Stakeholder (MSP) training CDI, August 2012 (2)
Design
This capacity development intervention was planned during the baseline. Details about the specific design are not relevant because this was not an intervention developed by the CFA, and wasn't the focus of the evaluation. During the baseline, the immediate objective was formulated as "Staff has improved understanding of how to facilitate Multi-Stakeholder approach and how to improve the social learning activities in the Community Based Multi-Stakeholder projects of FSCE". The long term expectation was formulated as "Improvement of the community based multi-stakeholder strategy that FSCE already is implementing". Also, during the endline survey it was mentioned that the long term expectation was to have better impact results due to a more holistic approach of the complex problems some children (the target group of FSCE) are confronted with.

This kind of knowledge or training was not mentioned as important in the Theory of Change (ToC) developed during the MFS II 5C baseline survey, but this ToC was very much geared towards organisational and project management topics, not to subject related topics. However, the participation of one staff member at this training was at the request of FSCE itself, which indicates that it was considered relevant for the organisation. This request was the result of an earlier taken decision in the organisation to change its strategy from one issue projects to a more holistic strategy, i.e. a community based and location specific approach.

The expected effects were not formulated in a SMART way (specific, measurable, achievable, relevant and time-bound). But, the evaluation team did not ask the CFA for SMART objectives specifically during the baseline, but rather asked about the expected or observed immediate and long term effects of the interventions.

Implementation
This capacity development intervention took place at the Centre of Development Innovation (CDI), Wageningen University and Research centre in the Netherlands. One staff member participated at this 3-week training course from 3-21 September 2012. At the end of 2012 an internal workshop for HQ and area based staff was organised to pass on the lessons learnt. Also two other Community & Development Alliance (C&DA) partners, that also practice the Child Labour Free Zones (CLFZ) approach, were invited to participate. As far as the evaluation team knows, this was implemented as designed, i.e. that one staff member would participate and that he would pass on what he had learnt to other staff members.

Reaching objectives
Previous to the participation of one staff member of FSCE in the Multi Stakeholder Processes (MSP) training, FSCE had developed its own Multi Stakeholder Processes approach. This was combined with the lessons learned from the MSP Training of CDI Wageningen and at the end of 2012 during an internal staff training workshop shared with all (project) staff of both HQ and Area Offices of FSCE. Since then all projects of FSCE follow more or less the Multi Stakeholder Processes approach. The short term objective seems to be achieved. It is difficult to assess to what extent the long term objective has been achieved,

since this objective was not defined as a SMART objective (also not the purpose of this evaluation), although it can be said that the organisation has adapted its MSP approach since the end of 2012

1. *Life skills and facilitation training for community and social workers with stakeholders in 2013 (26)*
2. *Leadership training for community and social workers with APOs management and stakeholders in 2013 (27)*
3. *Conflict management training for community and social workers with stakeholders in 2013 (28)*

Design
These interventions were not mentioned as planned for during the baseline survey, but they were mentioned during the endline as MFS II interventions that took place in 2013. Details about the specific design are not known, but that wasn't the focus of this evaluation. Also, these trainings were not only meant for staff but also for community, social workers and other stakeholders. The intention of these trainings was to improve knowledge and skills to create, strengthen and engage CBOs.

This kind of knowledge was not mentioned as important in the Theory of Change (ToC) developed during the MFS II 5C baseline survey, but this ToC was very much geared towards managerial and support service topics, not to subject related topics. But the fact that they were specifically mentioned at the endline workshop indicates that they have been important for improving staff competences.

The expected effects were not formulated in a SMART way (specific, measurable, achievable, relevant and time-bound). Then again, the evaluation team did not ask the CFA for SMART objectives since this wasn't the purpose of this 5C evaluation.

Implementation
These interventions were conducted in 2013 for FSCE area office and APO management staff but also for community, social workers and other stakeholders. As far as the evaluation team knows, they were implemented as designed, however, details about the specific design cannot be provided, since this wasn't the focus of the evaluation.

Reaching objectives
Not having objectives that were defined as SMART objectives makes it difficult to assess this issue, but these trainings were mentioned as having contributed to improved knowledge and skills to create, strengthen and engage CBOs.

5. *Guidance and counselling for child based community conversation for community and social workers with stakeholders in 2012 (29)*
This MFSII capacity development intervention was not mentioned as planned for during the baseline survey. So no details about design or objectives are known. However, it was mentioned during the endline workshop as having been important for staffs' improved knowledge and skills to apply Community Conversation techniques and enhance the participation of children. This technique plays an important role in creating, strengthening and engaging CBOs for child protection. Since no further details are known, this cannot be further analysed.

Attribution of observed results to MFS II capacity development interventions
The improved capacity to apply a Community Centred Multi Stakeholder (CCMS) approach was due to:

1.   Improved knowledge and skills to apply multi stakeholder processes (MSPs) (5)
2.   Improved knowledge and skills about creating, strengthening and engagement of CBOs for child protection (12)
(see 4.3.1)

The improved knowledge and skills to apply multi stakeholder processes can partly be attributed, and the improved knowledge and skills about creating, strengthening and engagement of CBOs for child protection (12) can to a large extent be attributed to MFSII supported capacity development interventions:

1. The improved knowledge and skills to apply Multi Stakeholder Processes (MSP's) (5) can be attributed to the improvement and streamlining of FSCE's own Community Centred Multi Stakeholder (CC MS) approach by means of MFSII funded capacity development interventions: previous to the MFS II supported capacity development intervention, FSCE had already developed its own Community Centred Multi Stakeholder (CC MS) approach, as a result of the decision taken to change its strategy from one issue projects to a more holistic strategy, i.e. a community based and location specific approach, after an internal Strategic Planning Workshop in 2011. One of the reasons for this planning workshop was the training on Multi-stakeholder programs in 2010, given by Kinderpostzegels Netherlands (KPN) at the start of the Child labor free zone (CLFZ) program, which also introduced the 13 child protection indicators developed by UNICEF to FSCE. The rationale for this was to improve the situation of children in difficult circumstances or at risk by involving all relevant actors in finding and creating a solution for the identified problems, adapted to local context. For that same reason FSCE specifically asked if, with MFS II funding, one staff member could participate at the Multi Stakeholder Processes (MSP) training at the Centre for Development Innovation (CDI), Wageningen University and Research centre in the Netherlands, in September 2012. This staff member passed on his knowledge and lessons learnt to other FSCE staff. As a result the existing approach was reinforced and is now applied at a larger scale in other FSCE programmes as well.

2. Improved knowledge and skills about creating, strengthening and engagement of CBOs for child protection can be attributed to a large extent to MFS II supported capacity development interventions like the leadership training; life skills and facilitation training and conflict management training for FSCE area office field and management staff, and community, social workers and other stakeholders; and guidance and counselling for child based community conversation for community and social workers with stakeholders in 2012.To some extent it can also be attributed to the experience in creating MS Child Protection structures in Adama (MSCPS) already present in the organisation.

On the whole, the changes that took place since the baseline in 2012 in terms of improved capacity of FSCE to apply a Community Centred Multi Stakeholder Approach can be largely attributed to MFS II supported capacity development interventions, notably the MSP training at the CDI in the Netherlands; life skills, facilitation leadership and conflict management training for FSCE area office staff, and community, social workers and other stakeholders; and guidance and counselling for applying a child based community conversation approach. However, it must be noted that these approaches were already initiated in the organisation before the baseline with the support of Kinderpostzegels since 2010. The additional trainings that took place since 2012 helped to strengthen the MSP approach as well as to increase the capacity of FSCE to create, strengthen and engage CBOs for child protection.

Improved M&E capacity using a Results Based Management (RBM) approach
The following MFS II capacity development interventions supported by Kinderpostzegels Netherlands (KPN)/ C&D Alliance were linked to the key organisational capacity change "Improved M&E capacity using a Results Based Management (RBM) approach":
1. MFSII Results Based Reporting formats in 2012 and the follow up on these (10)
2. Training on M&E with focus on reporting on outcome level, May 2014 (17)
3. RBM refresher and M&E training, June 2012 (18)
4. Close follow-up and supervision by MFS II partners (16)

(see also 4.3.1)

The numbers between brackets correspond to the numbers in the visual (causal map, see below this section).

The above mentioned MFS II funded capacity development interventions are included here as well as in the causal maps and narratives because the effects of these interventions were observed during the endline and they came up during document review, workshop, interviews and self-assessments.

1. *MFSII Results Based Reporting formats in 2012 and the follow up on these (10)*
This is not a capacity development intervention as such, but is was mentioned at the endline workshop as having contributed to developing and improving M&E tools and formats, focused on results: FSCE checklists and tools that were prepared in 2010, but were output oriented, were updated to comply with the MFS II requirements for RBM reporting formats. There was a close follow up and supervision by HQs staff to ensure the application of these rreporting formats. Since there are no specific objectives formulated for this intervention, it cannot be further assessed.

2. *Training on M&E with focus on reporting on outcome level, May 2014 (17)*
Design
This was a one day training, as part of the annual MFS II Partners Meeting in May 2014. The annual (C&D Alliance) partner meetings are planned for. During these Annual MFS II Partner Meetings partners share information, exchange experiences, work towards synergy of actions and plan joint activities. However, it was specified that capacity development interventions in 2014 and beyond still, like this M&E/outcome training, still needed to be specified at the time of the baseline. Details about the design cannot be provided, but this wasn't the focus of the evaluation. However, during the endline survey it was indicated that the objective of giving this one day training was to strengthen the capacities of the MFSII partners of the C&D Alliance, including FSCE, to report on output and outcome results. In the longer term this was expected to contribute to improvement of actions and strategies.

In general M&E training was mentioned as important at the capacity development ToC, as described in the baseline report, but reporting at outcome level was not mentioned in particular. However, being mentioned at the endline workshop indicates that it had relevance to FSCE.

The expected effects were not formulated in a SMART way (specific, measurable, achievable, relevant and time-bound). Then again, the evaluation team did not ask the CFA for SMART objectives specifically since this was in the objective of this 5C study.

Implementation
This one day training was given at the annual (Ethiopian C&D Alliance) partner meetings in May 2014. Three FSCE staff participated at this workshop. Topics dealt with are: baselines and base line data; indicators; data collection in M&E (methods and techniques); data quality and data flow charts; reporting on outcome level and reporting quality. As far as the evaluation team knows, it was implemented as designed, however, details about the specific design cannot be provided, since this wasn't the focus of the evaluation.

Reaching objectives
Since the objectives were not formulated in a SMART way, it is difficult to assess whether the objectives have been reached. However, related to the objective stated above, it can be said that staff knowledge and skills have been enhanced in terms of identifying and reporting on outcomes, as indicated in the PME causal map. Thereby, this objective has at least been partly met.

3. *RBM refresher and M&E training, June 2012 (18)*
Design
This intervention was planned during the baseline. Details about the specific design cannot be provided, since this wasn't the focus of the evaluation. However, the following immediate objective was indicated in the baseline report: "Staff has improved understanding of how to monitor and evaluate the results (at output and outcome level) of projects formulated according to the RBM-approach". The long-term objective was stated as "FSCE will be better equipped to monitor the results of the projects that are formulated according to the RBM approach". During the endline survey the immediate objective of this training was formulated as "to strengthen the capacities of FSCE in the field of Result Based Management, both with regards to project planning, as to reporting on output and outcome results" and the long term objective as "a better understanding of the importance and advantages of result based management of projects (compared to activity based)".

In general M&E training was mentioned as important at the capacity development ToC in the baseline, but RBM not in particular. However, being mentioned at the endline workshop indicates that also RBM had relevance to FSCE.

The objectives were not formulated in a SMART way (specific, measurable, achievable, relevant and time-bound), but the evaluation team did not ask the CFA for SMART objectives specifically during the baseline.

Implementation
Two FSCE staffs participated at the workshop that was conducted in June 2012. The training workshop addressed topics like recap on Planning terminology and indicators; concepts and purposes of M&E; data collection and tools; developing a system for data compilation, analysis, reporting and communication; the sequence/ hierarchy of reporting, for making decisions and communicating them to different stakeholders; and using a participatory approach to establish clear roles and responsibilities for data collection, analysis and reporting. As far as the evaluation team knows, it was implemented as designed, however, details about the specific design cannot be provided, since this wasn't the focus of the evaluation.

Reaching objectives
An immediate effect observed by the CFA was a better understanding of how to fill in the (output and outcome) results indicator forms of the MFSII Programme of the C&D Alliance. Staff mentioned that it enhanced their knowledge and skills in identifying and reporting on outcomes. It seems that the short term objective was more or less reached, particularly in terms of knowledge and skills for identifying and reporting on outcomes, but to what extent the long term objectives have been achieved cannot be assessed, not having SMART formulated objectives. Then again, this wasn't the objective of this 5C evaluation.

4. *Close follow-up and supervision by MFS II partners (16)*
This intervention is mentioned in the baseline survey as a bi-annual monitoring visit of the Program Officer or of the local advisor of Kinderpostzegels in Ethiopia. During these monitoring visits the progress of the project implementation and the project strategy are discussed as well as the institutional development of the organization, both at the level of the head office in Addis Ababa and at the level of FSCE's field office in Adama (project site). During these monitoring visits also technical assistance is given in the form of recommendations and advice. According to staff members present at the endline workshop this follow-up and supervision was mentioned at the endline workshop as having contributed to improved knowledge and skills to identify and report on outcomes, which was confirmed by the CFA. Since there are no specific objectives formulated for this intervention, it cannot be further assessed.

Attribution of observed results to MFS II capacity development interventions
The "Improved M&E capacity using a Results Based Management (RBM) approach" of FSCE staff was due to:

1. Improved M&E tools and formats (21)
2. Enhanced knowledge and skills in identifying and reporting on outcomes (3)
3. PME unit separate entity with clear authority/ responsibility since July 2014 (5)

The first two capacities can partly be attributed to MFSII supported capacity development interventions; the third one cannot be attributed to MFSII supported capacity development interventions:

1. The improved M&E tools and formats can on the one hand be attributed to updated tools and formats by FSCE itself, and on the other hand to the provision of MFS II Results Based Reporting formats in 2012 and the follow up on these. These formats were developed to help to get outcome oriented data according to MFS II requirements.
2. The enhanced knowledge and skills in identifying and reporting on outcomes can also be partly attributed to MFS II supported capacity development interventions, i.e. MFS II training interventions like the outcome oriented M&E training organised during the annual C&D Alliance partner meeting in May 2014 and the RBM refresher and M&E training in June 2012; and also close follow-up and supervision by MFS II partners on sharing experiences and outcome oriented planning and reporting. On the other hand these enhanced knowledge and skills can be attributed to training, coaching, supervision of FSCE HQ staff; and the biannual review meetings that identify gaps and action points, all non-MFS II related, internal affairs. However, the MFS II reporting formats are used for this bi-annual outcome based monitoring, which is carried out by HQs staff in the field. This monitoring is based on a checklist that observes the capacity on reporting, including differentiating between immediate and intermediate outcomes. These checklist based appraisals are further discussed in the bi-annual meeting where gaps and action points are identified.
3. The creation of a PME unit as a separate entity with clear authority and responsibilities cannot be attributed to MFS II capacity development interventions: this was the result of an organisational change process as a result of an organisational development study and donor demands in general. Before being organized as a separate entity, M&E was with the child resource development unit. In July 2014 it was organized as separate unit. This helped to give more emphasis and time for M&E. The unit has two staff at HQ level. However, at APO level it doesn't have this structure with a separate M&E unit. Donor demands have further influenced the decision to have a separate PME unit.

On the whole, improved M&E capacity for using RBM approach, can be partly attributed to MFS II capacity development interventions, such as providing formats for outcome reporting, M&E training with a focus on outcome reporting, and close follow-up by MFS II partners. However, there is also an important role for the organisation in developing its own M&E tools and formats, biannual monitoring meetings and establishing a separate PME unit.

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FSCE PCAT 5Cs 2011.doc
FSCE-Brief Assessment Report 2011 (29.08.11).doc
Financial Report 2013 Adama (July-Dec 2013) FSCE (18.01.14).pdf
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Financiel Report Jan-June 2013 CLFZ project Adama FSCE (11.07.13).pdf
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2013 FSCE - 5C PCA Assessment Resutls-Feedback sheet (05.07.13).doc
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Fieldwork data:

A_5c endline_assessment sheet_CDA_Ethiopia_FSCE_Kinderpostzegels_with_interview.docx
B_5C endline_support to capacity development sheet_CFA perspective Ethiopia FSCE Kinderpostzegels with_interview.docx
O_5c endline interview guide_subgroup_admin and HRM staff_selected indicators_FSCE-filled.docx
P_5c endline interview guide_subgroup_field staff_selected indicators_FSCE.docx
Q_5c endline observation sheet_Ethiopia_FSCE.docx
R_5c endline_observable indicators at SPO_Ethiopia_FSCE.docx
F_5c endline self-assessment sheet_management_Ethiopia_FSCE_completed.doc
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List of Respondents

MFS II partners (Alliance/CFA):

No.	Name	Function
1	Henk van Zuidam	Programme officer Africa
2	Karin van den Belt	Programme Officer Terre des Hommes, Lead CFA van C&DA
3	Maaike Blom	Programme Officer Terre des Hommes
4		

FSCE staff:

No.	Name	Function in the organisation
1	Simret G/yes	Grant & Finance Officer
2	Meseret Bayu	Program Manager
3	Zebenay Atnafu	Senior Social Worker
4	Meseret Ashagre	HR Officer
5	Abubeker Nasir	Area Program Manager
6	Abebaw Bekele	Program Director
7	Temesgen Cherie	Social worker
8	Mateyos Begale	Social worker
9	Endale Demissie	Program Manager
10	Yared Degefu	Executive Director
11	Addis Tekle	Program Officer
12	Selamawit Zeyede	Grant & Finance Officer
13	Dereje Girmachew	PME & CRDC Coordinator
14	Mekonnen Seyoum	Finance resource Manager
15	Zemzem Jemal	Program Coordinator

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.

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[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.

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

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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

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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.

*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	HUND EE	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	Woorden 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

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[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.

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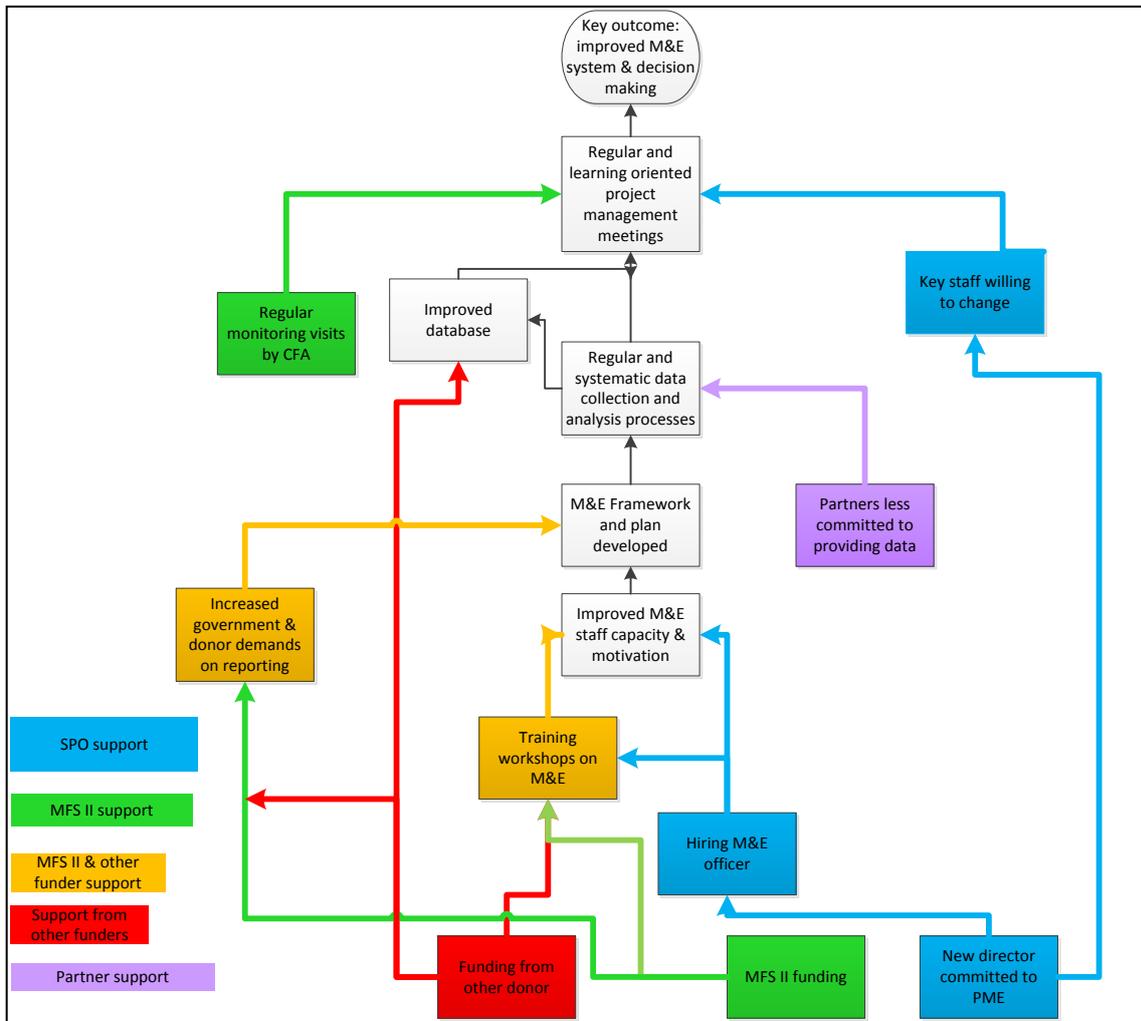
Figure 1   *An imaginary example of a model of change*

*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.

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.

<u>5C Endline process, and in particular thoroughness of process tracing often appreciated as learning process:</u> 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.

Results - changes in organizational capacity of FSCE - 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 organization (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 organization.

Leadership has changed since the baseline. The existence of some internal problems, marked by poor collaboration and tensions between the Program department and the finance department, negatively affected the functioning of the organization both at Head Quarters level, as well as with regards to the relations between Head Quarter and Area Program Offices (APOs). Because of these internal problems in May 2013 FSCE governance with the Board initiated an organizational development (OD) study. Based on the findings and recommendations of this OD Study, changes were proposed and a new Director was appointed in March 2014. In May 2014 the new Director in consultation with the Board started a reorganization in order to improve the internal functioning of the organization and to ensure quality program development, implementation and reporting. So the organization is now in a change process based on the implementation of the OD findings in which a weak management in the decision making process was found to be the crucial problem of the organization.

Capable and committed leaderships are now hired including the Executive Director, and systems and formal communications are being developed. Some improvements have been observed since the baseline in-terms of staff meetings (management and staff meetings on weekly and monthly basis respectively) at head office level but only recently. It is too early to see other changes. Commitment of the board to initiate the OD assessment and change the previous management, MFS II support in providing training on organizational management, and support from other donors like Save the Children International who financed the OD study was recognized as positive contributions for the changes in leadership and organizational structure.

However, there is still frustration among staffs on the poor and unresponsive leadership of the management particularly the previous one. The internal problems with the previous management negatively affected the functioning of the organization which caused a reduction in funding sources. This budget reduction has led to staffs layoff. In that sense the situation is worse compared to the baseline. Some staffs noted an improvement for this indicator considering that the organization and leadership is on its way up again now. But this was all very recent at the time of the endline survey (May 2014) and more staff considered this indicator to have deteriorated compared to the baseline situation.

Score: from 4 to 3.5 (slight deterioration)

1.2. Strategic guidance: 'Leaders provide appropriate strategic guidance (strategic leader and operational leader)'

This is about the extent to which the leader(s) provide strategic directions

The key change observed since the baseline in FSCE was the organizational development process (re-structuring or of FSCE in terms of organizational set up and leadership) based on the findings of the organizational development (OD) study conducted in May 2013, which was initiated and enacted by the Executive Board (EB) and the General assembly (GA) through establishing a Change Management Committee (CMC) to follow the process. A number of recommendations came out of the OD study, and previous leadership, who was blamed for problems of responsiveness in terms of timely decision making and communications, especially the Director, was laid off in February 2014 and a new Executive Director was hired in March 2014. Though the role/stimulus of the new leadership is not known yet, slight improvements appeared in terms of communication and team work after the change in leadership at the head office level, but not at the Area Program offices (FSCE has 3 regional and 2 city area offices). It requires time to translate changes to the lower level. This is due to that fact that the new Director, who was appointed just before the time of this survey (two months), didn't have enough time to play a big role in the change process of FSCE. FSCE has also slight improvements in program implementation specifically stopping child labour and promoting the area specific community based MS approach. The strategic plan was revised and validated, medical insurance policy improved and the Board has started guiding the HQs staff recently.

However, according to most staffs and the OD assessment report, since the baseline internal problems affected a good functioning of the organization both at Head Quarters level and the relation between Head Quarter and Area Program offices due to lack of on-time reporting to donors by FSCE. Some staffs also noted that implementation of the OD recommendations to restructure the organization was delayed which has led to frustration of staffs and some head office staff resigned the organization. FSCE has revised its strategic plan, but the document is not endorsed by the board yet and not communicated to all staffs. As a result, projects are designed in a conventional way rather than with clear strategic directions. Generally, the overall functioning of the organization was missing coordination, a formal flow of performing obligations and there was weak communication between branch offices and the head office as well as with donors. Meanwhile, according to some staffs, there was no interference by the board members in the day to day activities of the organization during and after the baseline which needs to be corrected in the baseline report.

Score: from 3.5 to 2.5 (deterioration)

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

This is about staff turnover.

Since 2012, annual staff turnover in FSCE has increased due to the fact that especially the annual budget of the organization has declined, and some projects have phased out without having found new funds to substitute the phased out projects, particularly in the past two years. Consequently, the number of staffs has declined and some staffs have resigned the organization due to the low salary scale and the unconducive working environment during the previous management. Most of head office management staff has changed due to the recommendations of the OD study. In summary, there has been high staff turnover and layoff due to budget constraints, lack of competitive salary and/or an unconducive working environment. Staffs performance valuation is not well managed and there is no performance based annual salary increment in the organization.
On the other hand, some staffs stated that staff turnover did not alarmingly change compared to the baseline in FSCE and that salary scale adjustment and increments had a positive impact on staff turnover.

Score: from 3 to 2 (deterioration)

1.4. Organizational structure: 'Existence of clear organizational structure reflecting the objectives of the organization'

FSCE has an organizational structure that governs its operations with clear distinction of powers, roles and responsibilities. This was evident in the evaluation report of the Adama project by Kinderpostzegels (CFA) in October 2013, "FSCE has an organizational manual introduced in 2011 that defines and outlines organizational and relationship arrangements". Staff has a copy of the organizational structure and are able to understand the objectives of the organization. Recently new staff arrangements have been made with distinction of roles and responsibilities.

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'

FSCE had a strategic plan from 2010 to 2014 that served as mother document to guide the organization in developing operational plans, working manuals and procedures. This strategic plan was later revised to cover 2012-2014. Strategies are well articulated in the organization. Situation analysis and monitoring and evaluation are used to inform strategies. According to the alliance evaluation report on the Adama project, the monitoring practices of FSCE are based on the current management and operational structure and systems. FSCE assesses variations by comparing plans and performances. Variations are discussed and corrections are recommended at the end of quarterly monitoring and annual review meetings. Adjustments according to this feedback are followed during the next monitoring event, i.e. the next monitoring always starts by asking the progress on previous feedback and recommendations. Annual monitoring is also conducted together with a Kinderpostzegels representative.

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.

FSCE has been guided by strategic plans in its organizational directions and operations. However, this strategic plan has been revised and is in the process of being endorsed. Hence, since FSCE is in a process of change at present, it is not possible to give any conclusive comments about changes. However, some staffs reflected that the day to day interventions are not in line with the strategic plan of the organization. Because some project interventions are not implemented under the original framework of the Strategic Plan E.g. EM, FGM, HTP, etc. There is also no strategy for Project Sustainability in the Strategic Plan document though recommendations were given by Kinderpostzegels to review the current Strategic Plan document and to incorporate strategies for Project sustainability.

Score: from 4 to 3.5 (slight deterioration)

1.7. Staff skills: 'Staff have necessary skills to do their work'

This is about whether staff have the skills necessary to do their work and what skills they might they need.

In this regard, conflicting views are given. According to some staffs, capacity and competence of staffs is gradually improved since the baseline. Staffs are improving their academic competence through trainings [organized by themselves] and experience. Little training is organized for staffs. Program management capacity of area program offices with regard to community based multi-stakeholder initiation has improved through experience. The organization also hired skilled and experienced staffs. However, others indicated that since there were no training opportunities for staffs, staff skills have not improved except by job experience. A staff development (capacity improvement) strategy in the

form of training, coaching and mentoring exists but has not changed (much) since 2012 according to these staffs. Other staffs noted that there is no relevant training opportunity and not all planned capacity building workshops were organized due to the 30/70 provision of the new NGO legislation. Therefore, the CSO law in which training costs must be counted as administrative expenses and the internal problems of the organization in terms of communication and authority have negatively affected staff skill improvement. Furthermore, since staff has left the organisation due to poor management, this has negatively affected the overall staff capacity in terms of available knowledge and skills.

Score: From 4 to 3.5 (slight deterioration)

1.8. Training opportunities: 'Appropriate training opportunities are offered to staff'

This is about whether staff at the SPO is offered appropriate training opportunities

Usually, FSCE conducts training need assessments. However, it mostly failed to conduct capacity building trainings as mentioned above. Some staffs noted that there are no well-structured and planned training opportunities based on need assessments in the organization. In fact, little training on selected thematic areas was organized for staffs since 2012. Training was given for Program managers and HRM and Finance in Addis by an external consultant. However, there is no adequate capacity building training for all staff of FSCE since the baseline, even though it was mentioned at monitoring feedback, review meetings and other means of communication. According to staff, the reason for this was that the organization has put less emphasis on getting training funds either by soliciting funds from donors or availing the training from administrative budget. Government CSO policy has also contributed for the decreasing training opportunities in FSCE.

Score: from 3.5 to 2.5 (deterioration)

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.

According to most staffs, provision of appropriate staff incentive mechanisms in FSCE has not changed since the baseline. A salary change was done during the baseline and there was no change after that except the provision of a transport allowance for staff. However, some staffs have illustrated that training opportunities have declined after the baseline and FSCE has no proper strategy and means to motivate and recognize staffs. The benefit package of the organization is very poor compared to other similar organizations and the working environment is becoming poor and not conducive.

Score: From 3.5 to 2.5 (slight deterioration)

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.

FSCE has longstanding experience and working relationships with different funding sources at international and local level. However, it is gradually deteriorating since the baseline with a decreasing annual budget of the organization. The total funding amount has slightly declined especially in 2013 and FSCE has lost partnership with major donors. The organization was not able to attract new funding sources and new proposals are not developed since the baseline. The reasons for declining funding sources are different. According to some staffs, it is due to the fact that FSCE has poor leadership and communication systems both at the head office and area program level, which led to lack of planning ahead and making necessary adjustments. Also, the organization has not assigned a specific unit or body to develop concept notes and proposals. For others, it is due to the interest of some donors to work in coalition rather than in individual partnerships. Besides, the restrictive NGO

legislation of Ethiopia has created difficulties or made it impossible for NGOs to engage in income generating activities, especially on local funding for rights and advocacy related interventions. Others perceived that the private sector in Ethiopia is not much interested in funding social activities of NGOs. On the other hand, some staffs feel that slight improvements can be observed particularly in 2014 where UNICEF has recently started to give financial support.

Score: From 4.5 to 3.5 (deterioration)

1.9.3. Funding procedures: 'Clear procedures for exploring new funding opportunities'
This is about whether there are clear procedures for getting new funding and staff are aware of these procedures.
In this regard, FSCE has not changed since the baseline according to the response of most respondents. However, there is no clear fundraising system or procedures: this is not well organized and a proper partner management strategy is lacking. FSCE has not yet developed a resource mobilization guideline or manual (RMG/M) to clarify approaches adopted at different levels.
Score: from 3 to 3 (no change)

Summary of capability to act and commit
The key change observed since the baseline in FSCE was the change of leadership and the organizational development process (re-structuring of FSCE in terms of organizational set up) based on the findings from the organizational development (OD) study.In May 2013 this organizational development (OD) study was initiated, which was completed in Dec 2013. The previous leadership was blamed for lack of responsiveness in terms of timely decision making and solving internal communication problems. The director was laid off in February 2014 and a new Executive Director was appointed in March 2014. The overall functioning of the organization was missing coordination, a formal flow of performing obligations and there was weak communication between branch offices and the head office as well as with donors due to internal problems marked by poor collaboration and tensions between the program and finance department during the previous management. However, though the role/stimulus of the new leadership is not known yet, slight improvements have appeared in terms of communication and team work after the change in leadership, but at the head office level only. Despite these difficulties, FSCE managed to slightly improve program implementation, specifically in stopping child labour and promoting the area specific community based MS approach. FSCE has been guided by a strategic plan in its organizational directions and operations. This strategic plan has been revised and is in the process of being endorsed.
Some staffs are still frustrated because the implementation of the OD recommendation to restructure the organization was not immediately effective. Consequently, some staffs have resigned. Other staffs have resigned due to low salary scale and unconducive working environment, particularly during the previous management. Staff performance valuation is not well managed and there is no performance based annual salary increment in the organization. On the other hand, some staffs said that staff turnover has not alarmingly changed compared to the baseline in FSCE, and that (recent) salary scale adjustments and increments have brought a positive impact on staff turnover. Some staffs stated that training opportunities have declined after the baseline and that FSCE has no proper strategy and means to motivate and appreciate staffs. The benefit packages of the organization are very poor compared to similar organizations and the working environment has become poor and not conducive. FSCE conducts training need assessments; however, it mostly failed to conduct trainings as identified due to the provision of the 30/70 NGO legislation of the government. Only few trainings on selected thematic areas have been organized for selected staffs, but the organization has hired skilled and experienced staffs since 2012. FSCE has longstanding experience and working relationship with diversified funding sources at international and local level. However, it is gradually deteriorating resulting in a decreasing annual budget and losing partnerships with major donors. The organization was not able to attract new funding sources and new proposals were not developed.
Furthermore, there is no clear fundraising system or procedure: this is not well organized and a proper partner management strategy is lacking. FSCE has not yet developed a resource mobilization guideline or manual (RMG/M) to clarify approaches adopted at different levels

Score: from 3.6 to 3.0 (slight deterioration)

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, organizational).

As was the case at the time of baseline period, FSCE has well developed M&E guidelines and a participatory M&E system to ensure regular monitoring and evaluation. Hence, according to most staffs, in country team evaluators and the alliance responses, nothing has changed in this sense, neither for the better nor for the worse in this particular indicator.
Nevertheless, FSCE management at the head office has put greater emphasis on the importance of undertaking timely monitoring and reporting and taking the necessary corrective actions. Hence the monitoring work has become more consistent and regular, and feedback is well communicated and taken. This is complemented by in house training on monitoring and reporting provided in 2012. Because of this, especially the outcome oriented reporting improved and now APOs are undertaking both program and project level monitoring by developing the necessary checklists, and started to document the findings. Generally, there is improvement in implementing outcome measurement and frequent supervision and regular feedback processes are in place since the change in leadership. Some staffs noted that outcome oriented reports of the area program offices are manifestations of this change. Based on the findings and recommendations of this midterm evaluation of the Adama project, the M&E practice of FSCE in Adama has improved in outcome/impact level reporting instead of only output level reporting. However, there is no evidence that this improvement is observed in other project offices and at the head office level. According to some staffs, the organization has started collecting and following outcome level information and reporting system after getting training and exposure visits supported by MFS II. On the other hand, some staffs noted that there is no M&E framework with outcome indicators including how this will be collected, monitored and reported. They feel that in the baseline report of 2012 this was a bit exaggerated.
On the other hand, some staffs feel that FSCE is not properly implementing and documenting the planning and reporting of program interventions. There are cases in which FSCE didn't develop proactive program plans substantiated by benchmarks that led to measure outcomes and impacts at different levels. According to some staff the progress in the documentation system is gradually deteriorating, which is affecting the learning part. However, FSCE has established an M&E task force very recently since the hiring of the new Executive Director. This task force was established to undertake tasks identified and discussed during biannual review meeting. Practical change is not yet observed, but maybe that's too early to be expected taking the short time of the new establishment in to account. FSCE has an organizational monitoring system and practice at the head office rather than project-based monitoring. Monitoring and reporting by head office staff is done for all projects in aggregation rather than specifically for each project.

Score: from 4 to 4 (no change)

2.2.M&E competencies: 'Individual competencies for performing M&E functions are in place'
This is about whether the SPO has a trained M&E person; whether other staff have basic understanding of M&E; and whether they know what information to collect, how to process the information, how to make use of the information so as to improve activities etc.

Since 2013 FSCE has put more emphasis on reporting on results at outcome indicators level at the request of the C&D Alliance (Kinderpostzegels and Terre des Hommes). FSCE now has trained and experienced PME personnel that is better able to practice M&E. M&E at organizational and program level is more consistently and regularly practiced than ever before, including sharing of the findings timely. Moreover, staffs understand and appreciate the importance of M&E and act accordingly; and know what information to collect, how to process the information, and how to make use of the information to improve activities. The one day training on M&E with the focus on reporting at outcome

level given during the Annual MFS II Partners Meeting in May 2014 (of MFS II partners of the C&D Alliance in Ethiopia) where staff members of FSCE participated, was recognized as an one of the inputs for the change. Generally, there is improvement in implementing outcome measurement and frequent supervision and regular feedback processes are in place since the change in leadership. Some staffs noted that outcome oriented reports of the area program offices are manifestations of this change. However, according to some staffs, there is no M&E unit under the Area program office. Instead there is only a senior social worker. But, M&E is carried out by a team of experts from the head office twice a year (biannual) for all 7 area program offices. Starting from September 1, 2014 the three APOs at Addis Ababa merged into one APO and now FSCE has 5 APOs under it.

Score: from 3.5 to 4 (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.

FSCE has conducted a midterm project evaluation in 2013 executed by a local consultant. The M&E system of FSCE was one of the subjects of this midterm evaluation. Based on the findings and recommendations of this midterm evaluation of the Adama project, the M&E practice of FSCE in Adama has improved in outcome/impact level reporting instead of only output level reporting. However, there is no evidence that this improvement is observed in other project offices and at the head office level.
After the change in leadership very recently in 2014, FSCE has tried to establish a data base to be used by management and program staffs for their day to day decision making purposes. FSCE is now in the process of installing and configuring WAN (Wide Area Network) system in the organization to support the M&E system. Hence, the organization management is now using the findings of M&E at organizational and program level for making timely decisions, including the recommendation of the M&E task force to filter/review the communication process from the source to the end (data collection, coalition, analysis, reporting, sharing and documentation), preparation of workable guidelines and manuals for reporting on progress for proposal development and appraisal. However, according to some staffs, there are still issues that need attentions especially on the linkages between the head office and project level, where M&E is not applied for decision making purposes and the existing M&E is not systematized and consistent, except for M&E practices in Adama.

Score: from 3.5 to 4 (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.

According to most of the responses, there is a slight change in critical reflection where regular meetings on weekly and monthly basis are in place and as a result ideas and information are starting to be shared smoothly among each other. Especially after the change in leadership in FSCE attention was given to the monitoring feedback and timely corrective actions/decisions have started to be taken accordingly at all levels. Besides, Area Program staffs are undertaking meetings once a week for sharing of information. Volunteers like community conversation facilitators, peer educators, school clubs Non Formal Education Facilitators, Community workers including social workers have experience sharing meetings to take timely corrective action. However, this is all very recent since March 2014 and cannot reflect change yet. Others also noted that some area program offices are doing well, while this does not apply to all area program offices even under the new leadership. Generally, most of the respondents agreed that it was because of the previous leadership in FSCE not reacting well to some internal problems and/or tensions that prevented the occurrence of significant change in the performance of the organization compared to the situation of 2012. Because people were too occupied with these internal problems and the reorganization process and they have not improved in this area of attention.

Score: from 4 to 3.5 (slight deterioration)

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.

In this regard, frequency of meetings for the development of new ideas increased at present compared to the previous leadership. Some improvement is observed in cooperation and collaboration among program and finance staffs recently. However, due to the very short period of change observed (almost three months) and due to the organizational internal problems with leadership and communication during the previous management, things were worse than during the baseline period.

Score: from 4 to 3.5 (slight deterioration)

2.6. System for tracking environment: 'The organization 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.

FSCE works in partnership with different likeminded organizations and stakeholders in its operational areas. The organization has good relationships with stakeholders and partners and implements MFS II project interventions through MSCCPS as observed in the baseline. The organization scans the external environment to ensure timeliness and quality reporting.

Score: –from 3.5 to 3.5 (no change)

2.7. Stakeholder responsiveness: 'The organization 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.

FSCE uses MSCCPS as an overarching strategy to implement its program interventions. This allows FSCE to be responsive to stakeholders. This strategy also caused FSCE to have good relationships with stakeholders and to be open for the community and target children. The key stakeholders have been engaged in the community based multi-stakeholders child protection structures and a number of child protection issues are addressed in a holistic manner. The current shift of the stakeholder engagement process (of more community involvement in local level action planning) gives due attention to and makes use of the knowledge, expertise and experience of the target communities and authorities to initiate, implement and manage comprehensive program interventions of their locality in a sustainable way, as opposed to their previous involvements. The Multi-stakeholder Councils develop jointly Memoranda of Understanding (MOU), undertake baseline surveys on child problems, develop adaptive planning, shared duties and responsibilities and conduct reflective meetings weekly or bi-weekly. However, staffs noted that there is no change compared to the baseline in this regard hence FSCE still follows the multi-stakeholder approach to place child protection systems at the community level with good results. The approach helped FSCE to involve key stakeholders in monitoring. Day-to-day monitoring is not only done by project staff but the community and government structures are also involved as evidenced by the mid-term evaluation report of the Adama project.

Score: from 4 to 4 (no change)

Summary of capability to adapt and self-renew
FSCE has well developed M&E guidelines and participatory M&E systems to ensure regular monitoring and evaluation. There is improvement in outcome oriented reporting and now Area Program Offices (APOs) are undertaking both program and project level monitoring by developing the necessary checklists, and started to document the findings. According to some staff the documentation system is gradually deteriorating, which is affecting the learning part and there is no data base M&E system.

However, FSCE has established an M&E task force very recently since the hiring of the new Executive Director. There is improvement in implementing outcome measurement and frequent supervision and regular feedback processes are in place. After the change in leadership very recently in 2014, FSCE has established a data base to be used by management and program staffs for their day to day decision making purposes. The data base is now electronically installed and configured with the Wide Area Network (WAN) system in the organization to support the M&E systems. However, according to some staffs, there are issues that need attention, e.g. on the linkages between the head office and project level, where M&E is not applied for decision making purposes and the existing M&E is not systematized and consistent.

Since the change in leadership (March 2014) there is a slight improvement in critical reflection where regular meetings on weekly and monthly basis are in place and as a result ideas and information are shared smoothly among each other. Before this, this was weaker due to poor management. The frequency of meetings for the development of new ideas and an improvement in cooperation and collaboration among program and finance staffs have also been observed at present compared to the previous leadership. FSCE works in partnership with different likeminded organizations and stakeholders in its operational areas and this helps in scanning the environment. Key stakeholders are engaged in the community based multi-stakeholders child protection structures and a number of child protection issues are addressed in a holistic manner.

Score: 3.8 to 3.8 (no change)

Capability to deliver on development objectives

3.1. Clear operational plans: 'Organization 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.

As it was during the baseline FSCE has clear operational plans at all level, and these plans are broken down in quarterly plans that are well communicated with the respective departments/work units. The gap that was observed in understanding and utilization of program guidelines during the baseline period is still a challenge for the full implementation of activities.

Score: from 3.5 to 3.5 (no change)

3.2. Cost-effective resource use: 'Operations are based on cost-effective use of its resources'
This is about whether the SPO has the resources to do the work, and whether resources are used cost-effectively.

Though the geographic location and target groups of FSCE are different, APOs are doing the same capacity building training at one place for stakeholders coming from different projects to minimize cost, time and better delivery of service. Moreover, the organization uses shared offices, facilities and other resources. FSCE's complementary project/ program interventions are found to be cost effective however some projects implemented in transit towns are not cost effective. There are also some fragmented project interventions that need extra leverage to be cost effective. Compared to the baseline situation, to be cost effective the organization is now developing guidelines on project proposal development, project appraisal, realignment of activities and budgets in the annual action plan, and is undertaking financial activities with deadlines and reviewing the M&E system and M&E application.

On the other hand some staffs mentioned that nothing has changed much compared to the baseline situation, that FSCE still has a comprehensive budget and budgetary control system in place, and that this is effectively used for control. They also pointed out that FSCE has a good financial system and is now using Peachtree Accounting software for recording and reporting its accounts.

Score: from 4 to 4.25 (very slight improvement)

3.3. Delivering planned outputs: 'Extent to which planned outputs are delivered'
This is about whether the SPO is able to carry out the operational plans.

Almost all staff mentions that the situation is the same as in the baseline situation, FSCE still carries out its operational plans with minimum deviations from what has been planned. Some staff mention an improvement of planned versus accomplished activities and that the utilization of budget is getting better. But still there is a room for improvement of carrying out planned activities and bringing deliverables.

Score: from 4.5 to 4.5 (no change)

3.4. Mechanisms for beneficiary needs: 'The organization has mechanisms in place to verify that services meet beneficiary needs'
This is about how the SPO knows that their services are meeting beneficiary needs

Since 2010 the organization has followed a multi-stakeholder approach which is a holistic and comprehensive approach to address beneficiaries' needs. FSCE has become a model organization in Africa in leading children from labour to school and making local government responsible using the area based Child Labour Free Zone (CLFZ) approach. They learned this from an Indian SPO during a study tour before the baseline. As a result the organization was visited by a West African NGO to share their best practices and experiences in this regard. It was observed that the approach has brought and increased sense of ownership by the CBOs and that projects now working through existing community structures. However, further strengthening is needed to ensure the deliverables are meeting the needs of the beneficiaries through engaging different stakeholders in designing, implementing, monitoring and evaluation of the project activities.

Score: from 4.5 to 4.5 (no change)

3.5. Monitoring efficiency: 'The organization 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.

As in the baseline period, projects are designed with logical framework tools, which is mostly donor's requirement. The projects have comprehensive budgets and expected outputs and outcomes. However, these days fully implementing and controlling projects with these variables set in the documents has become difficult. This is mainly because of turnover of well-trained staffs and limited orientation and capacity building invested in the newly hired staffs.
However, FSCE is in a process of change that may influence its organizational and operating systems and practices, including its management, planning, and monitoring systems. As the change is still underway, it is not possible to give any conclusive comments on this change. Measuring input output ratio would be needed in this regard. But, most staff agrees that since the process of change focuses on streamlining FSCE operations and enhancing its effectiveness and efficiency, it hoped that the current projects could benefit from the outcome.

Score: from 4 to 4 (no change)

3.6. Balancing quality-efficiency: 'The organization aims at balancing efficiency requirements with the quality of its work'
This is about how the SPO ensures quality work with the resources available

FSCE does not have clear program quality guidelines or indicators. It rather uses different program management guidelines as an input for program quality and efficiency together. It also uses different proxy indicators to measure quality of program/ project interventions. According to some staff, the organization has improved the quality of work in all regards through undertaking assessments, close follow up and the application of data base management electronically.
Other staff noted that nothing has changed since the baseline and FSCE still has no program guidelines. Instead procedures and work-tasks are used as proxy indicators to measure quality. As a

recommendation, they suggested that FSCE needs to have clear guidelines, standards and staffs capacity building trainings for balancing quality-efficiency.

Score: from 3.5 to 3.5 (no change)

Summary of capability to deliver on development objectives
As indicated in the baseline period, FSCE has a clear operational plan broken down on a quarterly basis; complementary project/ program interventions are found to be cost effective and the organization still has a comprehensive budget and budgetary control system. Besides, the organization still carries out its operational plans with minimum deviations from what has been planned and follows a multi-stakeholder approach to address beneficiaries' needs. Projects are designed with the logical framework based on donor requirements. In the last two years a better performance has been observed in utilization of budgets in terms of planned versus accomplished activities, and the organization has started to collect and follow outcome level information and reporting systems. FSCE doesn't have clear program quality guidelines or indicators. It rather uses different program management guidelines as an input for balancing program quality and efficiency

Score: from 4.0 to 4.3 (slight improvement)

Capability to engage

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.

FSCE has properly used stakeholder management guidelines in its program management. This helped FSCE to let different stakeholders participate in different program/ project interventions as well as in designing policies and guidelines. According to the self-assessment result FSCE continues to use the existing stakeholder management guidelines that help to involve various stakeholders at different levels, not only in making policies and strategies but also in implementation. The organization has also used MSCCPS to engage different stakeholders in the whole project/program process. Some area program offices have prepared child protection guidelines for CBOs and relevant actors, but the rest of the existing practices are unchanged. The most innovative approach of the Adama CLFZ project is its strong community based and location specific interventions, according to an evaluation. This model is a context-based adaptation of the Indian MV Foundation learned from the exposure visit organized by Kinderpostzegels. FSCE creatively adapted the approach to local context and facilitated and influenced the creation of the MSCPS which is composed of existing CBOs and government institutions which have stakes in the protection and education of children.

Score: from 4 to 4.5 (slight improvement)

4.2. Engagement in networks: 'Extent to which the organization has relationships with existing networks/alliances/partnerships'
This is about what networks/alliances/partnerships the SPO engages with and why; with they are local or international; and what they do together, and how do they do it.

FSCE has a good track record and reputation that enables it to spearhead strong networks with other NGOs on issues of child labour and other child related activities. They also have good relationships with government and donors. As a result the organization has been a member of different networks and forums at local, national and international level. The organization has recently participated in a post millennium development goals development program for child labour related activities. However, some staffs noted that FSCE has not engaged in new networks since the baseline period but rather maintained their existing networks. Hence, very little or nothing has changed in this regard. The mid-term evaluation report of the CFA (Kinderpostzegels Foundation) in 2013, mentioned that networking

among the Alliance partners is not sufficient to enable adequate horizontal sharing of experiences, best practices, resources and information on the common agenda of awareness raising activities and provision of services to children.

Score: from 4 to 4 (no change)

4.3. Engagement with target groups: 'The organization performs frequent visits to their target groups/ beneficiaries in their living environment'
This is about how and when the SPO meets with target groups.

FSCE has good relationships with the community and is very close to its target beneficiaries. This is mainly due to the application of area based approaches and the establishment of MSCCPS as overarching strategy. Dedication and commitment of front line staffs and stakeholders was the key for progress. They visit them regularly and work together with the children/ beneficiaries. The management of the organization is undertaking bi-annual visits to target areas, bi-annual organizational review and reflection meetings, and quarterly review meetings with the technical staffs (program, finance and others) at the head office level. APO core staff undertakes regular follow up of target groups and additional visits are conducted based on the monitoring together with visitors and donors. However, this was already observed during the baseline period so nothing has changed but FSCE has maintained its good performance in engaging target groups.

Score: from 4 to 4 (no change)

4.4. Relationships within organization: 'Organizational structure and culture facilitates open internal contacts, communication, and decision-making'
How do staff at the SPO communicate internally? Are people free to talk to whomever they need to talk to? When and at what forum? What are the internal mechanisms for sharing information and building relationships?

There is no free and open relationship between staffs in FSCE compared to the baseline. Relationships within the organization have deteriorated due to the change process and leadership problems at different levels. Because of the existence of internal problems some tensions and disturbed working relations occurred particularly between the Program and Finance unit at Head Office level and this contributed to declining availability of project funds for on time project implementation and reporting. However, after the findings and recommendations of the OD Study in 2013, in May 2014 the new Director in consultation with the Board started restructuring the organization in order to improve the internal functioning of the organization. Hence, regular staff meetings have created more information sharing and better communication among staffs at head office level recently, but this development has not yet reached the Area Program Offices (APOs).

Score: from 4 to 3 (deterioration)

Summary of capability to engage
FSCE continues to use the existing stakeholder management guidelines that helps to involve various stakeholders at different levels, not only in making policies and strategies but also in implementation. The organization has also used MSCCPS to engage different stakeholders in policies and strategies as well as program implementation. FSCE has a good track record and reputation that enables it to spearhead strong networking with other NGOs on issues of child labour and other child related activities and has also good relationship with government and donors. However, some staffs noted that FSCE has not engaged in new networks since the baseline period but rather maintained the existing networks. FSCE has maintained its good performance in engaging target groups. Relationships within the organization have deteriorated due to the change process and leadership problems at different levels. However, after the change in leadership in March 2014, regular staff meetings have created information sharing and better communication among staffs at head office level but this has not yet reached the Area Program Offices (APOs).

Score: from 4 to 3.9 (very slight deterioration)

Capability to achieve coherence

5.1. Revisiting vision, mission: 'Vision, mission and strategies regularly discussed in the organization'
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.

FSCE has revised its strategic plan in 2014. Also, the Mission and Vision statement were revised, and the core programs reviewed. Moreover, an organizational development process was undertaken with significant improvements in the organizational structure, program and finance management, communication and human resource strategies. These changes occurred after the change in leadership early 2014 based on the recommendations of the OD assessment in 2013. There was no change during the previous management in this regard. However, the organization has gaps in orienting staffs about the (new) strategic plan and learning from each other according to some staffs.

Score: From 4 to 4.5 (Slight improvement)

5.2. Operational guidelines: 'Operational guidelines (technical, admin, HRM) are in place and used and supported by the management'
This is about whether there are operational guidelines, which operational guidelines exist; and how they are used.

Major changes are observed in FSCE since the baseline in this regard including the revision of the organizational structure, the development of a Human Resource Policy and Procedure, the Organizational Development (OD) assessment, the revision of the strategic plan, and the change in leadership. The reasons for these changes were diverse ranging from global and organizational dynamics, the need to stay in business [NGO Market], and the problems of responsiveness and communication, especially at the leadership position/level, to bring radical changes in FSCE in terms of timely decision making and communication. Review of the existing operational manuals and the development of new guidelines/directions is in progress after the change in leadership in March 2014. FSCE has all the necessary operational guidelines to help the organization with technical administration and HRM operations.
There is an organizational manual that covers the operational structures, functional responsibilities and operating procedures. The organization also uses a Planning, Budgeting, monitoring and evaluation manual. FSCE uses Peachtree Accounting software for recording and reporting its accounts. FSCE has a financial system that works well according to the Adama mid-term evaluation report in 2013. However, according to the same report updating the financial manual was necessary following recent developments in the technology. However, some staffs feel that FSCE has not shown change in this respect but rather maintained the existing operational guidelines. Other staff noted that the organization lacks orientation and introduction of policies, working manuals, etc. for new staffs. Not all staffs have access to the existing manuals and guidelines. The documents are not prepared in the local language i.e. Amharic Language, which would be friendlier for clerical staffs. According to these staffs, because of some internal problems, marked by poor collaboration and tensions between the program department and the finance department, the overall functioning of the organization is missing coordination and formal flows of performing obligations.

Score: from 4 to 4 (no change)

5.3. Alignment with vision, mission: 'Projects, strategies and associated operations are in line with the vision and mission of the organization'
This is about whether the operations and strategies are line with the vision/mission of the SPO.

FSCE has been guided by its strategic plan in its organizational directions and operations. It had a strategic plan that defined its work for the duration of 2010-2014. However, this strategic plan has been revised and is in the process of being endorsed. The projects and associated operations are still in line with the vision and mission of the organization. However, realignment with the newly changed organizational level strategies and program categorization is required. Cascading slight changes and approaches of programs to area program offices are not done yet.

Score: from 4.5 to 4 (slight deterioration)

5.4. Mutually supportive efforts: 'The portfolio of project (activities) provides opportunities for mutually supportive efforts'
This is about whether the efforts in one project complement/support efforts in other projects.

Efforts are made to ensure complementarity of child protection projects by giving attention to prevention, promotion, rehabilitation and integration of children in need. The annual C&D Alliance partners meetings (MFS II) induced more collaboration and hereby complementarity of program activities. Initially FSCE didn't see the added value of participating but now they do and more synergy has been created by developing proposals together, exchange visits, joint strategies and new knowledge and insights.

Score: from 4 to 4(no change)

Summary of capability to achieve coherence
FSCE has revised its strategic plan in 2012 Hence, the Mission and Vision statements were revised also, and the core programs were reviewed. Moreover, an organizational development process was undertaken and improvements in the organizational structure, program and finance management, communication and human resource strategies have been observed. The organization has clear gaps in orienting staffs about the strategic plan and learn from each other. FSCE has revised its organizational structure, developed Human Resource Policy and Procedure, conducted Organizational Development (OD) assessment, revised its strategic plan, and changed leadership after the baseline. Review of the existing operational manuals and development of new guideline/directions is also in progress after the change in leadership in March 2014. FSCE has generally all the necessary operational guidelines which help the organization for technical administration and HRM operations. The organization has also been using a Planning, Budgeting, monitoring and evaluation manual. FSCE uses Peachtree Accounting software for recording and reporting its accounts. However, the organization lacks orientation and introduction of polices, working manuals, etc. to new staff. Though projects and associated operations are still in line with the vision and mission of the organization, realignment with the newly changed organizational strategy and program categorization is required. Cascading of changes and approaches of programs to area program offices is not yet done. Efforts are made to ensure complementarity of the child protection projects by giving attention to prevention, promotion, rehabilitation and integration. The organization uses shared offices, facilities and other resources and services and are mutually supportive according to some staffs.

Score: from 4.1 to 4.1 (no change)

The Centre for Development Innovation works on processes of innovation and change in the areas of food and nutrition security, adaptive agriculture, sustainable markets, ecosystem governance, and conflict, disaster and reconstruction. It is an interdisciplinary and internationally focused unit of Wageningen UR within the Social Sciences Group. Our work fosters collaboration between citizens, governments, businesses, NGOs, and the scientific community. Our worldwide network of partners and clients links with us to help facilitate innovation, create capacities for change and broker knowledge.

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