Endline report – Ethiopia, HOA-REC MFS II country evaluations

Capacity of Southern Partner Organisations (5C) component

Trudi van Ingen [1]
Cecile Kusters [1]
Elias Zerfu [2]
Derbew Kefyalew [2]
Bram Peters [1]
Nicky Buizer [1]

1 Centre for Development Innovation, Wageningen UR
2 International Food Policy Research Institute

Centre for Development Innovation
Wageningen, February 2015

Report CDI-15-058

Kusters, C.S.L, T. van Ingen, E. Zerfu, D. Kefyalew, B. Peters, N.N. Buizer, 2014. *Endline report Ethiopia, HOA-REC. Capacity of Southern Partner Organisations (5c) component.* Centre for Development Innovation, Wageningen UR (University & Research centre). Report CDI- 15-058. Wageningen.

This report presents the findings of the endline of the evaluation of the organisational capacity component of the MFS II country evaluations. The focus of this report is Ethiopia, HOA-REC. 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).

Report CDI- 15-058

Contents

Acknowledgements

We are grateful to all the people that have contributed to this report. We particularly would like to thank the Southern Partner Organisation Horn of Africa Regional Environmental Organisation (HOA-REC) and the Co-Financing Agencies ICCO for their endless patience and support during this challenging task of collecting the endline data. We hope that this endline report will provide useful insights to HOA-REC, ICCO, consortia, the synthesis team, IOB and NWO/Wotro and other interested parties and other interested parties.

The Ethiopia 5C evaluation team

List of abbreviations and acronyms

AAU	Addis Ababa University
ACCA	Association of Chartered Certified Accountants
Causal map	Map with cause-effect relationships. See also 'detailed causal map'.
Causal mechanisms	The combination of parts that ultimately explains an outcome. Each part of the mechanism is an individually insufficient but necessary factor in a whole mechanism, which together produce the outcome
CDI	Centre for Development Innovation, Wageningen UR, the Netherlands
CFA	Co-Financing Agency
CSO	Civil Society Organization
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).
EDEI	Ethiopia-Dutch Energy Initiative
EPP	Environmental Partnership Programme
EU	European Union
General causal map	Causal map with key organisational capacity changes and underlying reasons for change (causal mechanisms), based on SPO perception.
GIS&RS	Geospatial Information System and Remote Sensing
HoA-REC	Horn of Africa Regional Environmental Organisation
ICCO	Interchurch organization for development cooperation
IFPRI	International Food Policy Research Institute
MDG	Millennium Development Goal
M&E	Monitoring and Evaluation
MFS	Dutch co-financing system
MIS	Management Information System
MoFA	Ministry of Foreign Affairs
NGO	Non-Governmental Organisation
NICHE	Netherlands Initiative for Capacity development in Higher Education
NUFFIC	Netherlands organisation for international cooperation in higher education
OD	Organisational Development
PME	Planning, Monitoring and Evaluation
PRA	Priority Result Area
SPO	Southern Partner Organisation
ToC	Theory of Change
Wageningen UR	Wageningen University & Research centre
WASH	Water, Sanitation and Hygiene
WB	World Bank
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: HOA-REC 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.

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

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

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

1.2 Brief summary of analysis and findings

Since the baseline, two years ago, improvements took place in all of the capabilities.

Over the last two years many small improvements and one slight deterioration took place in the indicators under the capability to act and commit. The management of HoA-REC/N is striving to be more responsive and to decentralise decision making. There are weekly management meetings and program officers have become more independent. There has been a slight improvement in the strategic guidance that management gives as they are strengthening program partnerships (to tap into new sources) and have pointed out six strategic objectives that will help HoA-REC/N better achieve its mission and vision. Staff turnover has increased among program and support staff, especially highly skilled staff and staff working in the remote areas. Since the baseline, the organisation has created an organisational structure with a new more decentralised grouping of programs and more clear roles and responsibilities. There has been a very slight improvement in staff skills especially in program design, implementation and M&E. Staff recruitment criteria have been revised and new staff that is hired is qualified in experience and education. Staffs have improved their skills due to more opportunities for trainings either in-house or abroad on technical topics such as climate change and carbon emissions as well as crosscutting topics like communication. HoA-REC/N now has a standard form to objectively assess staff performance and identify training needs. The incentives for staff to work at the organisation have improved very slightly because of the revised HR manual that has been put online, and staffs are now able to be informed about their entitlements. Over the last two years HoA-REC/N has diversified its funding with support from ICCO in developing proposals and improving their reporting capacity. The organisation now has a fundraising strategy in place and has assigned a consultant to liaise with the fundraising officer and identify calls for proposals, and develop proposals together.

In the capability to adapt and self-renew HoA-REC/N saw many improvements. The organisation has put in place M&E software application system (Akvo FLOW). Staff has had training on using this tool and also on outcome mapping with support from ICCO. The M&E unit has been strengthened and now has three fulltime and one part-time staff. Management also raised awareness about the importance of M&E among other staff. Staffs are now using the monitoring system and data has been collected on a timely basis. Through the M&E software application system management has quick access to M&E findings and is using this in decision-making for future strategies. Staff is encouraged to speak out new ideas especially concerning proposal development and is recognised for providing these ideas. A communications officer has been hired under the public relations (PR) and communications department, who tracks HoA-REC/N's operating environment and is in regular contact with program staff. Staff uses this information e.g. when preparing proposals and capacity building for the PR and communications unit. A revised organogram and newly recruited staff has further helped with this. Over the last two years HoA-REC/N has become more responsive to stakeholders because program staffs frequently communicate with and work closely together with them.

In terms of the capability to deliver on development objectives, HoA-REC/N also showed improvements in many indicators. The organisation has clear operational plans and budgets in place and technical staff now provide specification on each item for procurement in the project's budget. Now that HoA-REC/N has moved to its new premises, there is no longer a lack of offices and all staff work together which saves costs in terms of time and transport. Reaching planned outputs has improved since the baseline. Because of an improved M&E system and a strengthened M&E unit, the M&E system is now working for almost all departments in the organisation and the M&E staff analyses reports on project input and output basis to monitor efficiency. HoA-REC/N has improved in balancing the quality and efficiency of its work because of the good functioning of the M&E unit that looks into this, updating of operational guidelines and ICCO recommendation to work with organisations that have the required structures and contacts in place for certain topics.

In the capability to relate, HoA-REC/N very slightly improved in engaging in networks. The organisation's expertise has always been in networking, but over the last two years they established new networks with TERI, IRC, the Stockholm Environmental Institute, and UMass Boston.

Finally, HoA-REC/N has improved in a few indicators under the capability to achieve coherence. HoA-REC/N has developed a strategic plan for the period of 2015-2020 and has revised its mission, vision and strategies with key staff, an external consultant and network partners. The organisation's vision and mission are now very well-articulated and project agreements have been amended based on the organisation's new vision and mission. Projects have become more mutually supportive because of better communication and synergy between programs and projects for example for the climate and WASH programs.

During the endline workshop the following key organisational capacity changes were brought up by HoA-REC/N's staff in the 'general causal map': increase in number and quality of staff; clear roles and responsibilities for staff and programme created; improved knowledge on development of implementation strategy; improved knowledge and understanding of logframe and preparation of M&E tools; improved report quality and time of reporting; improved knowledge of financial planning and budget management; and improved knowledge and understanding about procurement procedures.
The evaluators considered it important to also note down the SPO's story about what they perceived as key organisational capacity changes since the baseline, as 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 HoA-REC/N staff, the number and quality of staff increased because they set a requirement to hire only experienced and qualified staff, who they were able to hire after the revision of the salary scale and staff benefits (with support of the Dutch Embassy) and because of HoA-REC/N's affiliation to the University (attracts staff that wants to be academician and practitioner at the same time). The number and quality of staff also increased because of the creation of clear roles and responsibilities for staff and programmes.
These clear roles and responsibilities were created because four thematic program areas were identified, which in turn was the result of developing a new organogram and more clarification on the organisational focus. These last developments both happened after a capacity assessment was carried out by PricewaterhouseCoopers (PWC) in 2012 (funded by the Dutch Embassy).

HoA-REC/N improved its knowledge on developing an implementation strategy because of their increased emphasis on looking for calls for proposals and the sharing and coaching on proposal development and project implementation because of deployment of expatriate staff for sharing and exposure through MFS II.. The organisation increasingly focussed on looking for calls for proposals because of a need for diversifying funding sources which was identified by the capacity assessment by PWC (funded by Dutch Embassy).

HoA-REC/N improved its knowledge and understanding of logframes and preparation of M&E tools because of sharing and coaching on proposal development and project implementation (funded by MFS II); and a training on M&E by MDF in 2013 (funded by the Dutch Embassy).
The organisation improved the quality and timing of their reporting because of the M&E training by MDF in 2013; the automation of the financial and monitoring system established by support of Nuffic and MFS II; and the training they received on project cycle management (PCM) in 2012 funded by Nuffic.

HoA-REC/N now has knowledge on financial planning and budget management because of the automation of the financial and monitoring system established by support of Nuffic and MFS II and the training on PCM they received in 2012 funded by Nuffic.

Finally, HoA-REC/N improved its knowledge and understanding about procurement procedures because of the same PCM training in 2012.

In general most of the capacity building initiatives that were implemented since 2012, were based on the recommendations of the capacity assessment carried out by PWC in 2012 with financial support from the Dutch embassy. According to HoA-REC/N, MFS II funded capacity development interventions have played a role in improved knowledge on development of implementation strategy; improved knowledge and understanding of logframe and preparation of M&E tools; improved quality and timing of reporting; and improved knowledge of financial planning and budget management. This was through sharing by expatriate staff and exposure through MFS II, the automation of the financial and monitoring system established with support of Nuffic and MFS II. However, internal factors like their affiliation to the university, development of a new organogram, deciding and clarification of organisational focus have also played an important role in the key organisational capacity changes that the HoA-REC/N staff considered important since the baseline in 2012. Support from other funders, like the Dutch Embassy and Nuffic, in terms of training and funding of revision of salary scales, has also been mentioned among the underlying factors for these changes.

2 Context and General Information about the SPO – HOA-REC

2.1 General information about the Southern Partner Organisation – HOA-REC

Ethiopia	
Consortium 1	WASH Alliance
Responsible Dutch NGO	ICCO
Project (if applicable)	Innovative WASH, water purification with Moringa (C12 MDG sample)
Consortium 2	ICCO Alliance
Responsible Dutch NGO	ICCO
Projects (if applicable)	1. Integrated approach to meet rural household energy needs 2. Sustainable energy project (C9 in MDG sample) 3. Carbon credit team and financial capacity building project
Southern partner organisation	Horn of Africa Regional Environmental Organisation (HOA-REC)

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 Horn of Africa has faced an alarming rate of environmental degradation, which has produced famines, massive economic and social dislocations, and widespread resource-based conflicts. Over the last half a century the region's temperature has shown a rising trend while rainfall has had a decreasing trend. During the same time period large parts of the region, which are arid or semi-arid, have faced rapid rates of degradation, in the form of deforestation, loss of vegetation and biodiversity, increased soil erosion, desiccation, and desertification. While the causes for the worsening degradation may not be fully understood, they relate to global climatic changes and various types of local human activities. The actual effects and potential implications of the growing rates of degradation are also hard to map out accurately. There is little doubt, however, that they pose a growing threat to human security in the region.

In the Horn of Africa, increasing scarcity and degradation of natural resources seriously threatens human well-being. The population in the region (Ethiopia, Eritrea, Sudan, Djibouti, Somalia, Kenya and Uganda) has increased fourfold in the past 50 years and continues to grow rapidly. Farmers need to feed more mouths and extra areas of land are needed, at the expense of forest and pasture lands. With a high and stable number of pastoral communities and decreasing amount of pasture land, pressure on land and water grows. The mounting need for fertile soils and irrigated land is intensified by high international demands for food and energy. Investors from all over the world are ready to invest in commercial farming in Sudan, Kenya, Uganda and Ethiopia. With inadequate soil and water management measures being taken, this growing pressure on natural resources leads to a decrease in the quality and quantity of soils, forests and water resources.

Not all protected areas are adequately guarded by the responsible authorities against the threats faced by increasing demands for land and wood, which seriously disturbs the hydrological, economic, social and cultural services these ecosystems provide. Land tenure systems, resource allocations and planning processes insufficiently take into account people's needs and this whole set of ecosystem services.

Overexploitation of wood, fish, farm lands and grazing lands can thus lead to tremendous forest degradation, biodiversity loss, land degradation and resource scarcity. This exacerbates food and water insecurity in many parts of the region. Deforestation, for instance, can heavily disturb climatic and hydrological regimes. This is demonstrated in the Mau Forest, Kenya's largest "water tower". Despite its official status as protected area, thousands of farmers entered the Mau forest in the past 20 years. Large parts of the forest were cut to prepare the land for cultivation.

In light of the above, the horn of Africa Regional Environment Centre and Network (HOA-REC/N) focuses on environmental concerns and sustainable development options with the Horn of Africa-in Sudan, Kenya, Ethiopia, Eritrea, Djibouti and Somalia. HOA-REC/N is an autonomous institution under the Addis Ababa University. It facilitates, strengthens and advocates for initiatives and activities relating to environmental conservation and natural resource management, including the promotion of sustainable energy and climate change adaptation and mitigation in the region. HOA-REC/N links these initiatives to its various partners-international organizations, government bodies and private enterprises in order to enhance environmental governance and management, contribute to sustainable development and improve livelihoods within the region.

HOA-REC/N programmatic areas include horn of Africa regional Environmental Centre, Gullele Botanic Garden, Friends of Gullele Botanic Garden, Horn of Africa Regional Environmental Network, Demand driven action Research, The Horn Re-engineering Program, Energy partnership program, environmental governance and education program, parks and buffer zone management program, Central Rift Valley Program, and Climate Change and adaptation program.

The Centre and Network aim to improve environmental governance and management by focusing on:

- Promoting and advocating environmental knowledge, awareness and behavioural change
- Influencing the adjustment of environmental policies and legislation based on enhanced and enlarged dialogues on environmental issues
- Building institutional and human capacity in the environmental sphere
- Stimulating and facilitating selected environmental programs of CBOs, NGOs, research institutions and academia.

With MFS II funding two HoA-REC programmes are supported:

1. The Fair Climate Programme – Sustainable Energy project – ICCO Allliance
2. The WASH Programme - Innovative WASH, water purification with Moringa project – WASH Alliance
3. Carbon credit team and financial capacity building project

For all Programmes ICCO is the implementing CFA.

2.3 Contracting details

When did cooperation with this partner start:
December 2009 (ICCO).

What is the MFS II contracting period:
Sustainable Energy project (ICCO Alliance): 2011-2014
Innovative WASH (WASH Alliance): January 2012 – December 2015
Carbon credit team and financial capacity building (ICCO Alliance): 2011-to date

Did cooperation with this partner end? YES/NO
Sustainable Energy project (ICCO Alliance): NO
Innovative WASH (WASH Alliance): NO
Carbon credit team and financial capacity building (ICCO Alliance): NO

If yes, when did it finish?
Sustainable Energy project (ICCO Alliance): N.A.
Innovative WASH (WASH Alliance): N.A.
Carbon credit team and financial capacity building (ICCO Alliance): N.A.

What is the reason for ending the cooperation with this partner:
Sustainable Energy project (ICCO Alliance): N.A.
Innovative WASH (ICCO-WASH Alliance): N.A.
Carbon credit team and financial capacity building (ICCO Alliance): 2011-to date

If not, is there an expected end date?
Sustainable Energy project (ICCO Alliance): December 2014
Innovative WASH (ICCO-WASH Alliance): December 2015
Carbon credit team and financial capacity building (ICCO Alliance): December 2015

2.4 Background to the Southern Partner Organisation

History

In cooperation with several Ethiopian environmental NGOs and with the Royal Netherlands Embassy in Ethiopia, the Addis Ababa University (AAU) has taken the initiative to establish the Horn of Africa Regional Environmental Center (HOA-REC) that supports a regional environmental network (HOA-REN). HOA-REC was established in 2006 with a vision of improving environmental governance and management in the horn of Africa. The organization's mission was to bridge the gap between CBOs on environmental governance. The strategy of the organization included capacity building, advocacy, networking and institution building. Its target groups were CBOs, and academic institutions in the horn of Africa. HOA-REC started operation with five persons including the executive director and the program coordinator with a budget of 2 million Euros from the Dutch government. It was pointed out that no capacity development activities took place in 2006 and as the organization was under Addis Ababa University. Lack of autonomy was experienced as an important factor during the period.

In 2008 both the centre and the network started functioning. The vision, mission, strategies and target group remained the same as it was during the establishment phase. The number of target groups increased in 2007. The staff number increased to 10, with two students and two graduates. The budget reached 3.5 million Euro with funding from the Dutch Government. Communication training for support staff was mentioned as the capacity strengthening activity conducted during the year. Lack of autonomy was indicated as an important factor that affected operations during the period.

In 2009/10, HOA-REC became autonomous and obtained a legal status. Its vision during this period included improving environmental awareness, protection and governance in the horn of Africa. The target group increased in number. The staff number reached 30 with staff for M&E, public relations, administration and finance, and climate change program. The budget in 2009 was about 2.1 million euros with funding from the Dutch government. Capacity strengthening activities during the period included MBA training for one staff and ACCA training for another staff. Extending partnership with Nuffic and EU were indicated as important influencing factors.

In 2011/12 HOA-REC became a fully integrated centre and AAU as a separate centre, funding sources diversified and the centre became accountable to the vice president of the University. The vision, mission, and strategies are under revision as a five-year strategic plan is under preparation. In Ethiopia, the organization is focusing on Gambella and Rift Valley to see the impact of the intervention. The staff number has reached 50 with addition of new project staff. The budget has increased to 6.3 million euro. The funding sources also got diversified including EU, ICCO, Dutch government, AAU, and Christian Aid. Capacity strengthening activities undertaken during the year included project management training and development of finance and administration system. The new CSO legislation is reported to have positively affected the change in Dutch government funding priorities. This was indicated as important influencing factors and actors.

Nowadays HoAREC is a big organisation, implementing and coordinating many projects funded by different bilateral and multilateral donors. The Fair Climate and WASH programs are quite modest components of their big programmes in water, environment, fair climate, parks and buffer zones and food security etc.

The Horn of Africa Regional Environment Centre (HoA-REC) and the Horn of Africa Regional Environment Network (HoA-REN) were founded in 2006. They were established to help consolidate the efforts of environmental organisations operating in the HoA region and to establish a platform for collaboration between different stakeholders. The HoA region is comprised of Ethiopia, Eritrea, Djibouti, Kenya, Somalia, Sudan, South Sudan and Uganda.

HoA-REC is an autonomous institution within Addis Ababa University, and facilitates cooperation between member organisations and other environmental actors--including the private sector and government--to carry out activities “on the ground”. HoA-REC also serves as the secretariat for the larger HoA-REN. The Centre has several components, of which the most important ones are the partnership programmes, capacity upgrading and demand driven action research. Concerning the latter, HoA-REC aims to motivate students in environmentally-related fields by offering practice-oriented research options in field situations.

HoA-REN is a network of members and partners consisting of environmental CBOs, NGOs and higher learning institutes from all countries (Djibouti, Eritrea, Ethiopia, Kenya, Somalia and Sudan) in the HoA (Horn of Africa) region. Members of the network are indigenous civil society organizations and higher learning and research institutes. Partners of the network consist mainly of non-indigenous (international) organizations working on environmental issues in the region. The network promotes intensive cooperation among and exchange of information and experiences between endogenous NGOs, CBOs, research institutions and universities in HoA region. The network strives to facilitate experience exchange between the countries in the region because there is a great deal of untapped environmental knowledge in the region which is currently not utilized to its fullest potential. In addition, HoA-REN also partners with government bodies, businesses and international organizations to achieve an optimal impact on the ground. Over the past five years, HoA-REC/N has been working towards improving environmental governance and management at all levels within the HoA region.

Vision

The vision of the Horn of Africa Regional Environment Centre and Network is to contribute to:

- Sustainable development
- Environmental conservation
- Prevention of conflict escalation around access to natural resources in the Horn of Africa.

Mission

To attain the above stated vision, the Centre and Network have formulated the following mission:

- To improve environmental governance and management in the Horn of Africa Region, encompassing Ethiopia, Sudan, Djibouti, Kenya, Somalia and Eritrea.

Strategies

Ultimately, the Centre and Network aim to improve environmental governance and management by focusing on:

- Promoting and advocating environmental knowledge, awareness and behavioural change
- Influencing the adjustment of environmental policies and legislation based on enhanced and enlarged dialogues on environmental issues
- Building institutional and human capacity in the environmental sphere
- Stimulating and facilitating selected environmental programmes of CBOs, NGOs, research institutions and academia.

3 Methodological approach and reflection

3.1 Overall methodological approach and reflection

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

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

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

Note: this methodological approach is applied to 4 countries that the Centre for Development Innovation, Wageningen University and Research centre is involved in in terms of the 5C study (Ethiopia, India, Indonesia, Liberia). The overall approach has been agreed with all the 8 countries selected for this MFS II evaluation. The 5C country teams have been trained and coached on this methodological approach during the evaluation process. Details specific to the SPO are described in chapter 5.1 of the SPO report A detailed overview of the approach is described in appendix 1.

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

- **Changes in the 5C indicators since the baseline:** standard indicators have been agreed upon for each of the five capabilities of the five capabilities framework (see appendix 2) and changes between the baseline, and the endline situation have been described. For data collection a mix of data collection methods has been used, including self-assessments by SPO staff; interviews with SPO staff and externals; document review; observation. For data analysis, the Nvivo software program for qualitative data analysis has been used. Final descriptions per indicator and per capability with corresponding scores have been provided.
- **Key organisational capacity changes – 'general causal map':** during the endline workshop a brainstorm has been facilitated to generate the key organisational capacity changes as perceived by the SPO since the baseline, with related underlying causes. For this purpose, a visual as well as a narrative causal map have been described.

In terms of the attribution question (2 and 4), **'process tracing'** is used. This is a theory-based approach that has been applied to a selected number of SPOs since it is a very intensive and costly methodology, although it provides rich information and can generate a lot of learning within the organisations. This approach was presented and agreed-upon during the synthesis workshop on 17-18 June 2013 by the 5C teams for the eight countries of the MFS II evaluation. A more detailed description of the approach was presented during the synthesis workshop in February 2014. The synthesis team, NWO-WOTRO, the country project leaders and the MFS II organisations present at the workshop have accepted this approach. It was agreed that this approach can only be used for a selected number of SPOs since it is a very intensive and costly methodology. Key organisational capacity changes/ outcomes of the SPO were identified, based on their relationship to the two selected capabilities, the capability to act and commit the capability to adapt and self-renew, and an expected relationship with CFA supported capacity development interventions (MFS II funding). It was agreed to focus on these two capabilities, since these are the most targeted capabilities by the CFAs, as established during the baseline process.

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

At the end of this appendix a brief methodological reflection is provided.

3.2 Assessing changes in organisational capacity and reasons for change - evaluation question 1 and 4

This section describes the data collection and analysis methodology for answering the first evaluation question: **What are the changes in partner organisations' capacity during the 2012-2014 period?** And the fourth evaluation question: **"What factors explain the findings drawn from the questions above?"**

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

The evaluators considered it important to also note down a consolidated SPO story and this would also provide more information about what the SPO considered to be important in terms of organisational capacity changes since the baseline and how they perceived these key changes to have come about. Whilst this information has not been validated with sources other than SPO staff, it was considered important to understand how the SPOs has perceived changes in the organisation since the baseline.

For those SPOs that are selected for process tracing (evaluation question 2), more in-depth information is provided for the identified key organisational capacity changes and how MFS II supported capacity development interventions as well as other actors, factors and interventions have influenced these changes. This is integrated in the next session on the evaluation question on attribution, as described below and in the appendix 1.

How information was collected and analysed for addressing evaluation question 1 and 4, in terms of description of changes in indicators per capability as well as in terms of the general causal map, based on key organisational capacity changes as perceived by the SPO staff, is further described below.

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

The description of indicators for the baseline in 2012 served as the basis for comparison during the endline in 2014. In practice this meant that largely the same categories of respondents (preferably the same respondents as during the baseline) were requested to review the descriptions per indicator and indicate whether and how the endline situation (2014) is different from the described situation in 2012[1].

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

Per indicator they could indicate whether there was an improvement or deterioration or no change and also describe these changes. Furthermore, per indicator the interviewee could indicate what interventions, actors and other factors explain this change compared to the baseline situation. See below the specific questions that are asked for each of the indicators. Per category of interviewees there is a different list of indicators to be looked at. For example, staff members were presented with a list of all the indicators, whilst external people, for example partners, are presented with a select number of indicators, relevant to the stakeholder.

The information on the indicators was collected in different ways:

1) **Endline workshop at the SPO - self-assessment and 'general causal map'**: similar to data collection during the baseline, different categories of staff (as much as possible the same people as during the baseline) were brought together in a workshop and requested to respond, in their staff category, to the list of questions for each of the indicators (self-assessment sheet). Prior to carrying out the self-assessments, a brainstorming sessions was facilitated to develop a 'general causal map', based on the key organisational capacity changes since the baseline as perceived by SPO staff. Whilst this general causal map is not validated with additional information, it provides a sequential narrative, based on organisational capacity changes as perceived by SPO staff;
2) **Interviews with staff members**: additional to the endline workshop, interviews were held with SPO staff, either to provide more in-depth information on the information provided on the self-assessment formats during the workshop, or as a separate interview for staff members that were not present during the endline workshop;
3) **Interviews with externals**: different formats were developed for different types of external respondents, especially the co-financing agency (CFA), but also partner agencies, and organisational development consultants where possible. These externals were interviewed, either face-to-face or by phone/Skype. The interview sheets were sent to the respondents and if they wanted, these could be filled in digitally and followed up on during the interview;
4) **Document review**: similar to the baseline in 2012, relevant documents were reviewed so as to get information on each indicator. Documents to be reviewed included progress reports, evaluation reports, training reports, etc. (see below) since the baseline in 2012, so as to identify changes in each of the indicators;
5) **Observation**: similar to what was done in 2012, also in 2014 the evaluation team had a list with observable indicators which were to be used for observation during the visit to the SPO.

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

Key steps to assess changes in indicators are described

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

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

Please see appendix 1 for a description of the detailed process and steps.

3.3 Attributing changes in organisational capacity - evaluation question 2 and 4

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

In terms of the attribution question (2), 'process tracing' is used. This is a theory-based approach that has been applied to a selected number of SPOs since it is a very intensive and costly methodology, although it provides rich information and can generate a lot of learning within the organisations. Key organisational capacity changes/ outcomes of the SPO were identified, based on their relationship to the two selected capabilities, the capability to act and commit the capability to adapt and self-renew, and an expected relationship with CFA supported capacity development interventions (MFS II funding). It was agreed to focus on these two capabilities, since these are the most targeted capabilities by the CFAs, as established during the baseline process.

Below, the selection of SPOs for process tracing as well as the different steps involved for process tracing in the selected SPOs, are further explained.

3.3.1 Selection of SPOs for 5C process tracing

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

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

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

For the detailed results of this selection, in the four countries that CDI is involved in, please see appendix 1. The following SPOs were selected for process tracing:

- Ethiopia: AMREF, ECFA, FSCE, HUNDEE (4/9)
- India: BVHA, COUNT, FFID, SMILE, VTRC (5/10)
- Indonesia: ASB, ECPAT, PtPPMA, YPI, YRBI (5/12)
- Liberia: BSC, RHRAP (2/5).

3.3.2 Key steps in process tracing for the 5C study

In the box below you will find the key steps developed for the 5C process tracing methodology. These steps will be further explained here. Only key staff of the SPO is involved in this process: management; programme/ project staff; and monitoring and evaluation staff, and other staff that could provide information relevant to the identified outcome area/key organisational capacity change. Those SPOs selected for process tracing had a separate endline workshop, in addition to the ' general endline workshop. This workshop was carried out after the initial endline workshop and the interviews during the field visit to the SPO. Where possible, the general and process tracing endline workshop have been held consecutively, but where possible these workshops were held at different points in time, due to the complex design of the process. Below the detailed steps for the purpose of process tracing are further explained. More information can be found in Appendix 1.

Key steps in process tracing for the 5C study

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

3.3.3 Methodological reflection

Below a few methodological reflections are made by the 5C evaluation team. These can also be found in appendix 1.

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

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

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

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

A few remarks need to be made:

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

Utilisation of the evaluation

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

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

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

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

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

5C Endline process, and in particular thoroughness of process tracing often appreciated as learning process: The SPO perspective has also brought to light a new experience and technique of self-assessment and self-corrective measures for managers. Most SPOs whether part of process tracing or not, deeply appreciated the thoroughness of the methodology and its ability to capture details with robust connectivity. This is a matter of satisfaction and learning for both evaluators and SPOs. Having a process whereby SPO staff were very much engaged in the process of self-assessment and reflection has proven for many to be a learning experience for many, and therefore have enhanced utility of the 5C evaluation.

4 Results

4.1 MFS II supported capacity development interventions

Below an overview of the different MFS II supported capacity development interventions of HoAREC/N that have taken place since the baseline in 2012 are described. The information is based on the information provided by ICCO.

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
financial capacity strengthening and PME, and staff training.	- important for proper implementation and reporting - To be a strong regional institution that can increase adaptability of communities and increase their development using African solutions to challenges.	Finance officer (ICCO-Kampala) went to partners to teach financial staff on how to comply to financial formats and reporting to donors.	2012?	
Capacitating the carbon credit technical team	- To have them be able to develop bankable carbon projects - green development taking root in all communities where we work and improvement in livelihoods of farming communities	In Ethiopia and India: study tour for 2 staff + staff from Ministry of Energy	End of 2012	
On job training for the WASH coordinator on FIETS proofing of programs	- For Financial, Institutional, Environmental, Technical and Social (FIETS) sustainability of programmes -	The WASH coordinator was trained in looking at all aspects of sustainability: Financially, Institutional, Environmental, Technical and Social (FIETS) in various ways, e.g. financially by sending financial staff to ICCO Kampala Micro-finance staff (2012) and the budget tracking training to ensure that farmers can get the funds and are able to pay back loans ; institutional by ensuring sustainable management of water pumps; environmentally by using hand pumps for irrigation and doing research to the effects of moringa for water purification; technical by using local repairable techniques and social by the HRBA training in Kenya.		
Training on FLOW tool for M&E + training on outcome mapping	- To improve reporting and project cycle management - organisational improvement in reporting, data collection, communication and visibility of results		beginning of 2013	

Title of the MFS II supported capacity development intervention	Objectives	Activities	Timing and duration	Budget
Training on Human Rights Based Approach (HRBA) in programming	- To increase communities' claim making power to duty bearers	4 days HRBA + 2 days budget tracking + field visit in Kenya		10.000 Euro including workshop costs, transport and consultancy fees from Ethiopia to Kenya (for all WASH partners?
Training on budget tracking to enable communities monitor budget allocation and expenditure after disbursement				
Exchange visit to WASH Alliance in Kenya to learn on how they carry out activities		*Two times:* *- H Rights Based Approach programming to general office beginning of 2013* *- Budget tracking first week of October 2014*		

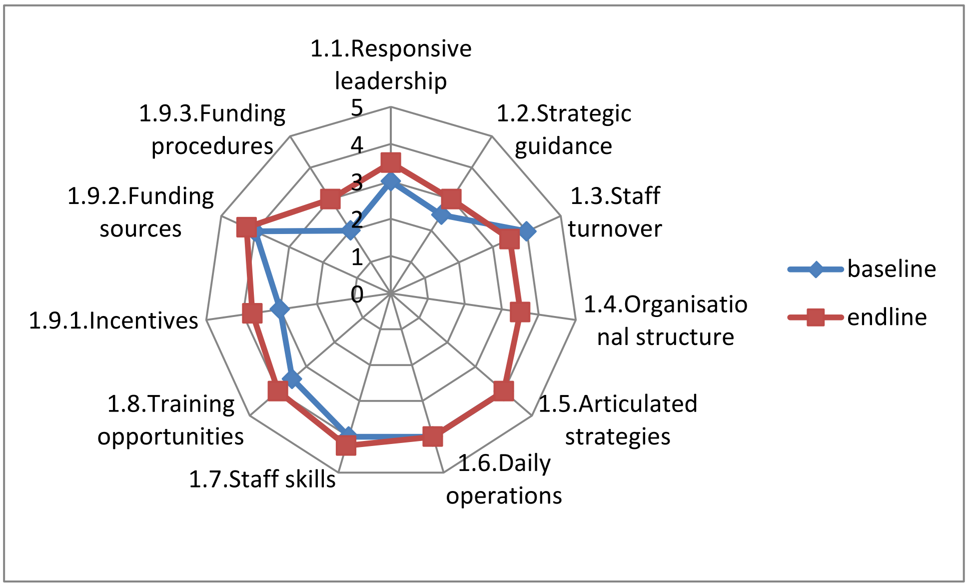
Source: B_5C endline_support to capacity development sheet_CFA perspective_HOAREC_ICCO_ICCO_Alliance; B_5C endline_support to capacity development sheet_CFA perspective_HOAREC_ICCO_WASH_Alliance

4.2 Changes in capacity and reasons for change - evaluation question 1 and 4

Below you can find a description of the changes in each of the five core capabilities (4.2.1). This information is based on the analysis of the information per each of the indicators. This detailed information for each of the indicators describes the current situation, and how and why it has changed since the baseline. In addition to this staff present at the endline workshop were asked to indicate what were the key changes in the organisation since the baseline. The most important is key organisational capacity changes have been identified, as well as the reasons for these changes to come about. This is described in a general causal map, both as a visual as well as a narrative. The detailed general map is described in chapter 4.2.2.

4.2.1 Changes in the five core capabilities

Capability to Act and Commit

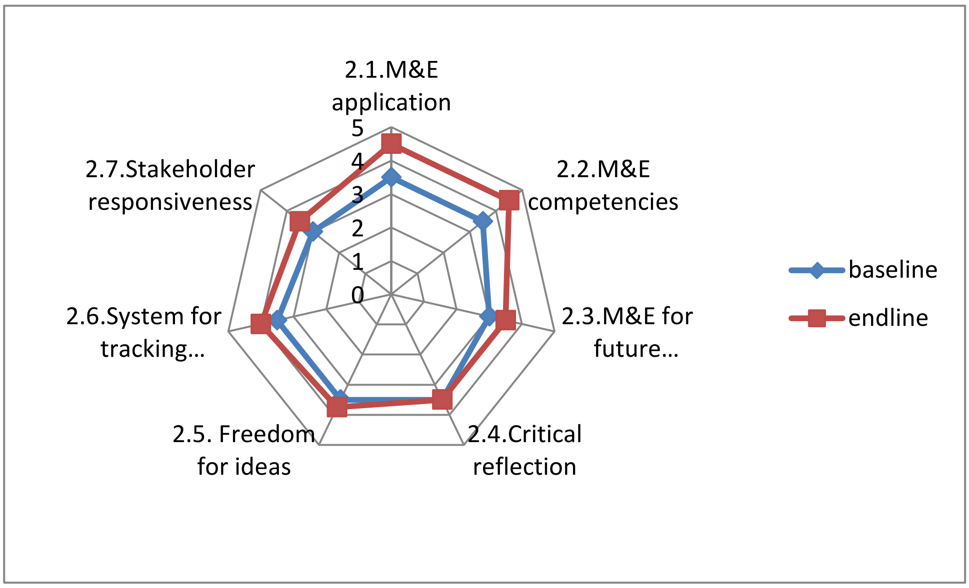


The Horn of Africa Regional Environment Centre and Network (HoA-REC/N) management is striving to provide more responsive and inspiring leadership. The management listens to the weekly program update reports and reacts accordingly. Though the management has indicated decision making has decentralized, some staffs noted that most of the decisions are still made by higher level and other staff members have not been involved in the decision-making process. Since the management has focused on strategic issues through strengthening programs partnership, the organization has implemented more projects from diverse sources. However, staff turnover is higher compared to the baseline in 2012, especially for highly specialized professions and finance and has particularly worsened in some areas such as Gambela because of the local situation, an area which is remote with a hot, humid climate and poor infrastructure. Whilst management indicated that staff salaries had improved with a salary revision, most staff indicated that the salary revision and benefits weren't sufficient compared to other organisations. HoA-REC/N has revised its HR manual and standardized the benefit packages for all staff, while the salary revision has given the staff better pay, though this was contested by other staff members.

Horn of Africa Regional Environmental Center and Network has moved its office to the newly established one and has developed an organizational structure with a new grouping of the programs and clarified their roles and responsibilities. However, the organization has not made any attempt to revise its strategic plan in the past years. Currently discussions are ongoing within the management to develop a new strategic plan, under facilitation by an external consultant. Meanwhile, the annual plan was in line with the strategic objectives, and project agreement provisions and an automated project monitoring system were put in place and are being used to keep track of implementation. For this to be effective, staff members now have better skills to carry out the program design and implementation and to do M&E work. This is because all staff members have been given training on project cycle management and shared experiences through exposure visits. More staff members have the opportunity to get trainings either in-house or abroad on various topics: ranging from technical job-related issues such as carbon emission reduction measures and climate change, to cross-cutting topics like communication, M&E and project management.. The organization has widened its funding sources after the baseline because new donors like the World Bank for CIC project, DFID for SCIP project, French Embassy for the water allocation plan project, NORAD and SIDA have become funding partners of the organization since the baseline in 2012. This was due to the fact that the organization developed a fundraising strategy, assigned a capacity development consultant to identify calls for proposals, liaise with the fundraising officer and develop proposals together.

Score: from 3.4 to 3.7 (very slight improvement)

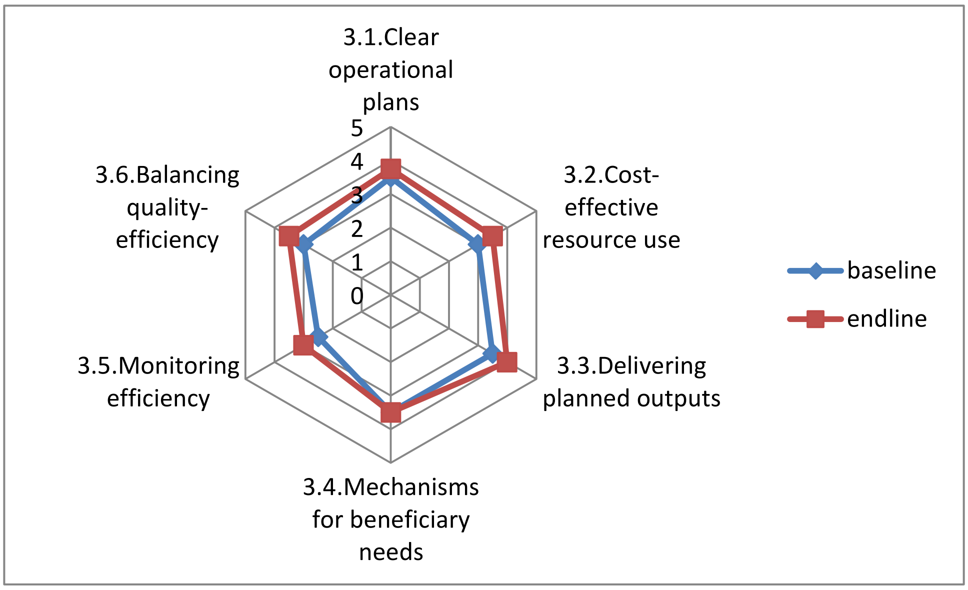
Capability to adapt and self-renew



HOA-REC/N has focused on a holistic participatory M&E approach and has put in place an effective, online accessible, M&E system (Akvo FLOW). Besides, program coordinators are familiar with the system and report to the M&E unit. The management also fully supports the M&E unit and has helped to raise awareness to all staff during coordination and staff meetings. Apart from the new M&E software application system, HoA-REC/N has hired qualified staff and provided full support for the M&E unit. Parallel to the organization's M&E system, external evaluations are conducted on behalf of donors, such as a Mid-Term Evaluation for the WASH Alliance in 2013, and a PWC assessment of the Dutch Embassy-supported project. The M&E competencies of the organization have improved due to the trainings on outcome measurement, planning and coordination provided in 2013 by MFS II budget support and in-house training on M&E organized for all program staff. As a result the organization has developed a M&E manual and a performance monitoring plan template that can be adopted to all projects coming to the center. This helped to standardize the usage of templates and checklists, using the new automated system as a minimum requirement. The information from the M&E system has also helped for decision-making for future strategies and also to see progress by the management. On the other hand, though staff members can reflect their ideas openly during the course of project implementation, there has not been any feedback from the management and there was a challenge of not acknowledging staff contributions by some program/project heads. In contrast with this, staff members were encouraged by the management to exercise their potential through free discussion and to come up with ideas. It was noted that some indicated that staff were more comfortable to raise issues in written form, rather than in discussion. HoA-REC/N has hired a communications officer under the PR and Communication department to assist in scanning the environment and promote the organization toward a wider audience locally and globally. Consultation with stakeholders in project development and implementation has improved since 2012. Furthermore, projects and program staff and stakeholders have frequently communicated and closely worked together.

Score: from 3.4 to 3.9 (slight improvement)

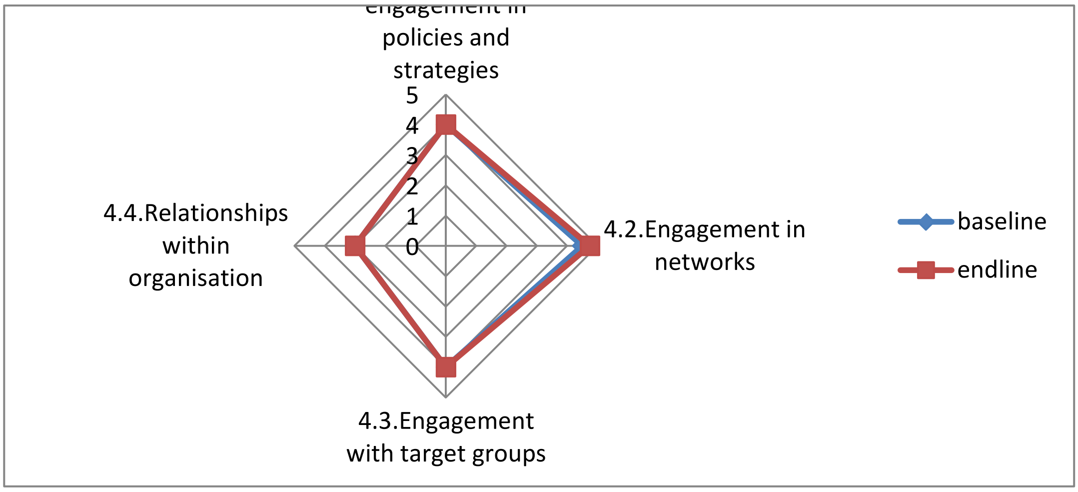
Capability to deliver on development objectives



The organization programs and projects have clear operational and budget plans, and the plans serve as a crucial source to implement the strategic plan. Technical staff are well aware of not only the preparation of operational plans with a budget, but also provide specifications on each item for procurement. HoA-REC/N has used resources in a cost-effective manner and this was evident in the annual consolidated audit report. Besides, the organization has moved to its new premises with sufficient space and the lack of offices for staff is no longer a problem and this has further enhanced using resources cost-effectively. The majority of the planned activities have been accomplished successfully though a few activities were still being processed due to extended procurement processes, mainly the bureaucratic procurement procedures by the University of Addis Ababa. HoA-REC/N has developed mechanisms to check beneficiary needs through frequent field visits to satellite or field offices where partners of HOAREC have daily interaction with the target groups and beneficiaries. Particularly, field offices are more close with beneficiaries and understand their needs better through participatory discussions at different stages of a project including design, implementation and evaluation. The SPO has developed an M&E system and recruited new staff members for the M&E unit. All projects are monitored as per the donors' requirement. Hence, the M&E unit is proactive and project staff and the M&E unit monitor the program performance regularly. Staffs try to address quality-efficiency issues during project design and implementations with the available budget. The M&E unit tried to look at the quality-efficiency of all programs under the organization. Besides, program staffs strictly follow the annual work plan, budget plan and performance monitoring plan to balance quality-efficiency. The M&E unit also measures efficiency, by looking at inputs and outputs.

Score: from 3.2 to 3.5 (slight improvement)

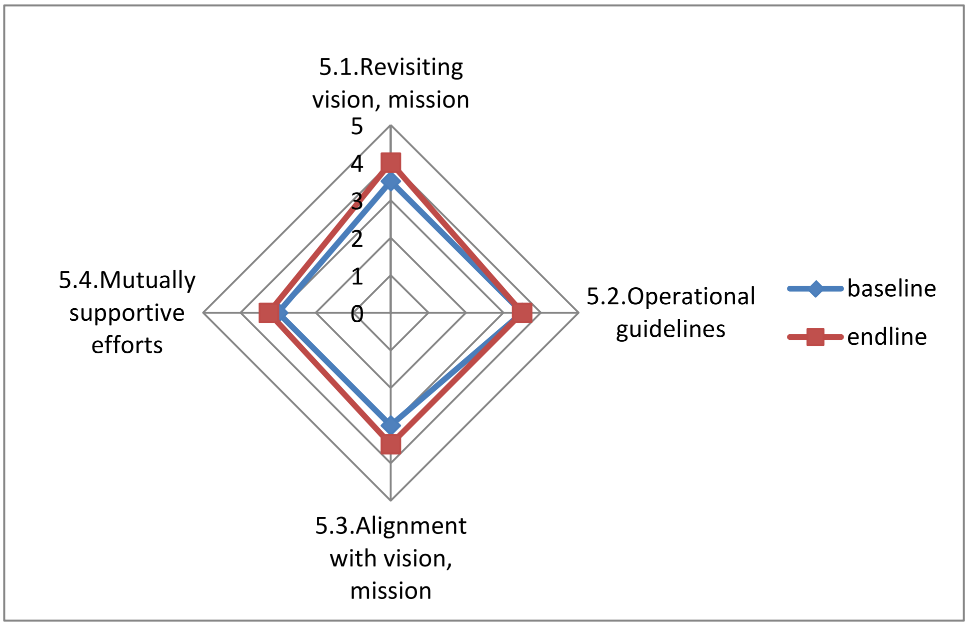
Capability to relate



HoA-REC/N participated with stakeholders during the strategic plan development through gathering information using questionnaires and organized workshop for network members. There is also strong collaboration with all stakeholders, and planning, workshops and field missions are still done with stakeholders. Networking is one of the core areas of HoA-REC/N, it has established good relations with many environmental organizations. For instance, HoA-REC/N has hosted TERI (The Environment and Resource Institute) India and established partnerships with other organizations including IRC (International Water and Sanitation) in the Hague, the Stockholm Environmental Institute, and UMass Boston. Moreover, HoA-REC/N made regular field trips to project sites to observe the status on project/program implementations. For this to be effective, administration makes available field vehicles as per request of respective programs/projects.. As a result according to the carbon credit project annual report in 2013, the project was able to bring about a remarkable change among the targeted local communities. Similarly, relationships within the organization have slightly changed due to the fact that staff capacity in communication, particularly electronic communication, has improved, which in turn was due to the training on communication provided for staffs by the Dutch partners. In contrast with this, some staff members noted that communication is still a major problem in HoA-REC/N, where staff meetings are not very regular, no group retreat is organized, there is no assigned formal body in the organization to receive any complaints, and projects have no room to receive any complaints.

Score: from 3.9 to 3.9 (no change)

Capability to achieve coherence



In this regard, HoA-REC/N has developed a strategic plan for the period of 2015-2020 and have revised its vision, mission and strategies with the participation of staffs, network partners and an external consultant. The organization's vision and mission are well articulated and ready for endorsement. All projects proposed by implementing partners were appraised and approved in consultation with the organization's vision, mission and strategic plan document. Besides, project agreements have also been amended based on the new organizations' vision and mission. According to the staff self-assessment, project strategies are designed in view of addressing local problems in a sustainable manner which is in line with the organization vision and mission. Moreover, there has been better communication and synergy between programs and projects where most projects were implemented with the involvement of different partners. HoA-REC/N has not developed new operational guidelines since the baseline in 2012 except the HR manual which is not yet finalized.

Score: from 3.2 to 3.6 (slight improvement)

4.2.2 Key organisational capacity changes - general causal map

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

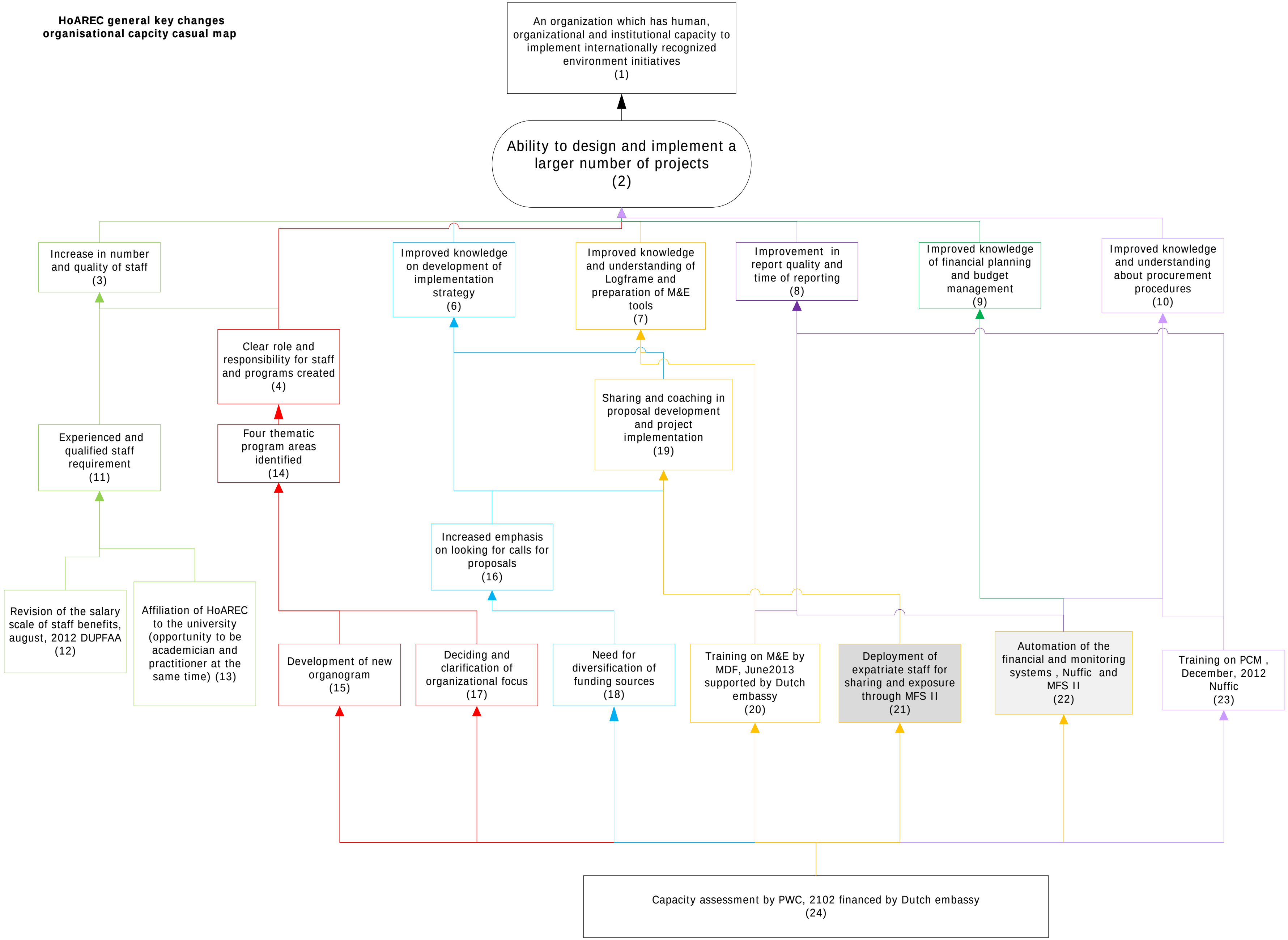
The endline workshop was conducted on November 12, 2014, at HOAREC headquarters in Addis Abeba. nine HOAREC staff of five job categories participated: management, program, M&E, field and administration, and finance staff. Following the self-assessment on November 20, 2014 staff brainstormed about and developed a causal map for the key changes that happened in HOAREC since the MFS II baseline survey in 2012 in the area of organizational capacity.

At the endline workshop it was clarified that the overall organizational capacity goal of HOAREC **an organization which has human, organizational, and institutional capacity to implement internationally recognized environment initiatives** (1). HoAREC as an organization took a big stride in reorganizing itself to become a well-functioning organization starting 2012. In this process the organization has developed an ability to design and implement more number of projects (2) since 2012. This happened as a result of the following:

- Increase in number and quality of staff (3)
- Clear roles and responsibilities for staff and programme created (4)
- Improved knowledge on development of implementation strategy (6)
- Improved knowledge and understanding of logframe and preparation of M&E tools (7)
- Improved report quality and time of reporting (8)
- Improved knowledge of financial planning and budget management (9)
- Improved knowledge and understanding about procurement procedures (10)

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

HoAREC general key changes organisational capcity casual map



Increase in number and quality of staff (3)

After creating clear roles and responsibilities for staff and programs (4) HoAREC went ahead to fill the vacant as well as the newly created positions with experienced and qualified staff (11). They were able to get and hire experienced people because they managed to pay a competitive salary due to the favorable condition created as a result of the revised staff salary and benefit in 2012 (12) with the support of the support of the Dutch embassy in Addis Ababa. In addition, the affiliation of HoAREC to Addis Ababa University helped to attracted experienced professionals who would like to be academicians and practitioners as same time (13). Partly professionals working in the other departments of the university also wanted to transfer to HoAREC due to this opportunity.

Clear roles and responsibilities for staff and program created (4)

The roles and responsibilities for staff and programmes have been clarified as a result of identifying for programme thematic areas (14), which in turn was the result of developing a new organogram (15) and more clarification on the organizational focus (17). The capacity assessment that was carried out by PWC in 2012 informed these changes. Earlier HoAREC had a blurred role and responsibility in the University.

Improved knowledge in development of implementation strategy (6)

HoAREC now has a better capacity to develop implementation strategies dealing with environmental issues. This happened as a result of the knowledge staff built through the sharing and coaching in proposal development and project implementation (19) by the expatriate staff deployed in the organization (21). The expatriate deployment is associated to the MFS II funding and the expatriates involve local staff while preparing proposals, implementing projects and in day to day operational issues. In the process the capacity of local staff in all aspects of project design and implementation is improved.

This also coincided with the HoAREC's emphasis to seriously look for calls for proposals (16) in order to diversify funding sources (18) avoid the reliance on the Dutch Embassy alone.

Improved knowledge and understanding of logframe and preparation of M&E tools (7)

HoAREC staff had limited knowledge on using logframes for planning as well as M&E. However, since 2012 they acquired this skill and have also started using it. This happened because of two interventions. One, the sharing and coaching by the expatriate staff (19) deployed with MFS II funding (21) and two the three days training on M&E by MDF (Dutch consultancy firm) in June 2013 given for 32 staff members of HoAREC working on different projects with the financial support of the Dutch Embassy (20).

Improved report quality and time of reporting (8)

The training (20) mentioned above (on M&E by MDF in June 2013) helped in improving reporting quality and timing (8). In addition, the automation of the financial and monitoring system established by the support of NUFFIC and MFS II (22) and the training they received on project cycle management (PCM) organized in 2012 by Nuffic (23) played a role. HoAREC feel that, now, the comments coming from the recipients of the report have reduced and they are also able to send reports timely.

Knowledge of financial planning and budget management (9)

One other area which showed improvement according to staff present at the endline workshop, was the knowledge in financial planning and budget management (9). This relates to the way HoAREC developed its annual work plan and budget. The organization is able to clearly show the plans of every activity and also attach the related budget. This was the result of the automation of the financial and monitoring systems established through the support of the Nuffic and MFS II (22) and the training they received on Project Cycle Management (PCM) organized in 2012 by Nuffic (23).

Knowledge and understanding about procurement procedures (10)

Since the HoAREC started to become operational as an autonomous body after the baseline period, most of the management operation were refined to suit the new organizational structure and organogram. This required new knowledge and understanding about procurement procedures (10). In this regard the training organized on PCM in 2012 helped in creating the required knowledge.

In general most of the capacity building initiatives that were implemented since 2012 were based on the results of the capacity assessment carried out by PWC (PricewaterhouseCoopers, a multinational professional services network) in 2012 with financial support from the Dutch embassy. They identified the gaps that should be filled for the success of HoAREC.

5 Discussion and conclusion

5.1 Methodological issues

In preparation for the assessment, the Ethiopian 5C assessment team visited HoAREC staff in the organizations HQs in Addis Ababa and explained the purpose and the process of the 5C end line assessment. During the visit, both teams agreed on the workshop dates including the type and number of staff who will attend the workshop. In addition, the assessment team also gave the "support to capacity development sheet" to be filled by HoAREC staff. The Ethiopian 5C assessment team conducted the assessment in three visits. First visit, to conduct the self-assessment workshop with a total of seven staff members and ask the staff to fill the self-assessment form in their respective five subgroups (management (2); program(2); M&E (1); and field (2)).

This was followed by a second visit to carry out a brainstorming session and develop a general causal map that explains the key organisational capacity changes that have occurred in HoAREC since the baseline in 2012. The third visit was made to conduct an interview with one representative from each subgroup to triangulate the information collected through the self-assessment and to better understand the change in HoAREC's capacity since the baseline in 2012. This was done after the 5C assessment team reviewed the completed self-assessment forms. Some of the interviews were done through emails because respondents were busy and this method was thought to be flexible so that they fill the form when they feel it is convenient for them.

The plan of the evaluation team to also conduct two interviews with HoAREC partners didn't materialize because the interview overlapped with other activities that were to be carried out by the self-assessment team in the SPO. In addition, the attempt to interview OD consultants also didn't materialize because there was not much work done by OD consultants for HoAREC. Therefore, it was not possible to get OD consultants knowledgeable about the 5C indicators.

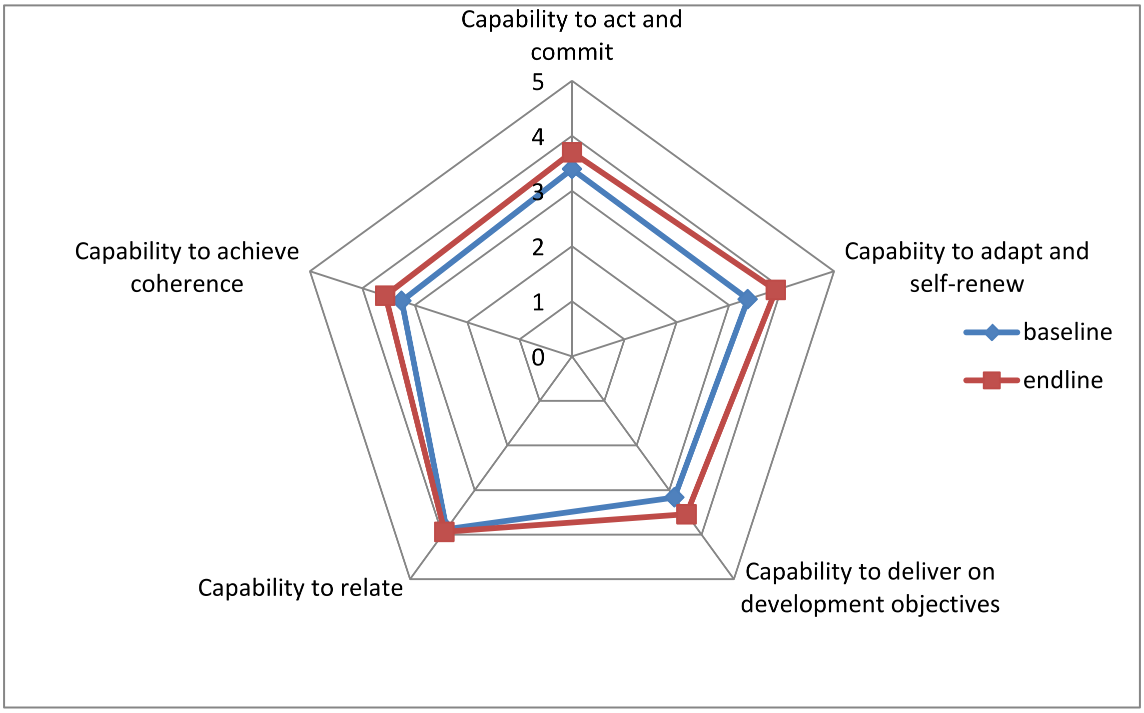
By and large, there has been a lot of information available to be able to do adequate data analysis.

5.2 Changes in organisational capacity

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

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

4. *What factors explain the findings drawn from the questions above?*



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

Over the last two years many small improvements and one slight deterioration took place in the indicators under the capability to act and commit. The management of HoA-REC is striving to be more responsive and to decentralise decision making. There are weekly management meetings and program officers have become more independent. There has been a slight improvement in the strategic guidance that management gives as they are strengthening program partnerships (to tap into new sources) and have pointed out six strategic objectives that will help HoA-REC better achieve its mission and vision. Staff turnover has increased among program and support staff, especially highly skilled staff and staff working in the remote areas. Since the baseline, the organisation has created an organisational structure with a new more decentralised grouping of programs and more clear roles and responsibilities. There has been a very slight improvement in staff skills especially in program design, implementation and M&E. Staff recruitment criteria have been revised and new staff that is hired is qualified in experience and education. Staff have improved their skills due to more opportunities for trainings either in-house or abroad on technical topics such as climate change and carbon emissions as well as crosscutting topics like communication. HoA-REC now has a standard form to objectively assess staff performance and identify training needs. The incentives for staff to work at the organisation have improved very slightly because of the revised HR manual that has been put online, and staff are now able to be informed about their entitlements. Over the last two years HoA-REC has diversified its funding with support from ICCO in developing proposals and improving their reporting capacity. The organisation now has a fundraising strategy in place and has assigned a consultant to liaise with the fundraising officer and identify calls for proposals, and develop proposals together.

In the capability to adapt and self-renew HoA-REC saw many improvements. The organisation has put in place M&E software application system (Akvo FLOW). Staff has had training on using this tool and also on outcome mapping with support from ICCO. The M&E unit has been strengthened and now has three fulltime and one part-time staff. Management also raised awareness about the importance of M&E among other staff. Staff are now using the monitoring system and data has been collected on a timely basis. Through the M&E software application system management has quick access to M&E findings and is using this in decision-making for future strategies. Staff is encouraged to speak out new ideas especially concerning proposal development and is recognised for providing these ideas. A communications officer has been hired under the public relations (PR) and communications department, who tracks HoA-REC's operating environment and is in regular contact with program staff. Staff uses this information when e.g. preparing proposals and capacity building for the PR and communications unit, a revised organogram and newly recruited staff has further helped with this. Over the last two years HoA-REC has become more responsive to stakeholders because program staff frequently communicate with and work closely together with them.

In terms of the capability to deliver on development objectives, HoA-REC also showed improvements in many indicators. The organisation has clear operational plans and budgets in place and technical staff now provide specification on each item for procurement in the project's budget. Now that HoA-REC has moved to its new premises, there is no longer a lack of offices and all staff work together which saves costs in terms of time and transport. Reaching planned outputs has improved since the baseline. Because of an improved M&E system and a strengthened M&E unit, the M&E system is now working for almost all departments in the organisation and the M&E staff analyses reports on project input and output basis to monitor efficiency. HoA-REC has improved in balancing the quality and efficiency of its work because of the good functioning of the M&E unit that looks into this, updating of operational guidelines and ICCO recommendation to work with organisations that have the required structures and contacts in place for certain topics.

In the capability to relate, HoA-REC very slightly improved in engaging in networks. The organisation's expertise has always been in networking, but over the last two years they established new networks with TERI, IRC, the Stockholm Environmental Institute, and UMass Boston.

Finally, HoA-REC has improved in a few indicators under the capability to achieve coherence. HoA-REC/N has developed a strategic plan for the period of 2015-2020 and has revised its mission, vision and strategies with key staff, an external consultant and network partners. The organisation's vision and mission are now very well-articulated and project agreements have been amended based on the organisation's new vision and mission. Projects have become more mutually supportive because of better communication and synergy between programs and projects for example for the climate and WASH programs.

During the endline workshop some key organisational capacity changes were brought up by HoA-REC's staff in the 'general causal map': increase in number and quality of staff; clear roles and responsibilities for staff and programme created; improved knowledge on development of implementation strategy; improved knowledge and understanding of logframe and preparation of M&E tools; improved report quality and time of reporting; improved knowledge of financial planning and budget management; and improved knowledge and understanding about procurement procedures. The evaluators considered it important to also note down the SPO's story about what they perceived as key organisational capacity changes since the baseline, and this would also provide more information about reasons for change, which were difficult to get for the individual indicators. Also for some issues there may not have been relevant indicators available in the list of core indicators provided by the evaluation team.

According to HoA-REC staff, the number and quality of staff increased because they set a requirement to only hire experienced and qualified staff, who they were able to hire after the revision of the salary scale and staff benefits (with support of the Dutch Embassy) and because of HoA-REC's affiliation to the University (attracts staff that wants to be academician and practitioner at the same time). The number and quality of staff also increased because of the creation of clear roles and responsibilities for staff and programmes. These clear roles and responsibilities were created because four thematic program areas were identified, which in turn was the result of developing a new organogram and more clarification on the organisational focus. Both these last developments happened after a capacity assessment was carried out by PricewaterhouseCoopers (PWC) in 2012 (funded by the Dutch Embassy). HoA-REC improved its knowledge on developing an implementation strategy because of their increased emphasis on looking for calls for proposals and the sharing and coaching on proposal development and project implementation because of deployment of expatriate staff for sharing and exposure through MFS II (funded by MFS II). The organisation increasingly focussed on looking for calls for proposals because of a need for diversifying funding sources which was identified by the capacity assessment by PWC (funded by Dutch Embassy).

HoA-REC improved its knowledge and understanding of logframes and preparation of M&E tools because of sharing and coaching on proposal development and project implementation (funded by MFS II); and a training on M&E by MDF in 2013 (funded by the Dutch Embassy). The organisation improved the quality and timing of their reporting because of the M&E training by MDF in 2013 (funded by the Dutch Embassy); the automation of the financial and monitoring system established by support of Nuffic and MFS II; and the training they received on project cycle management (PCM) in 2012 funded by Nuffic. HoA-REC now has knowledge on financial planning an budget management because of the automation of the financial and monitoring system established by support of Nuffic and MFS II and the training on PCM they received in 2012 funded by Nuffic. Finally, HoA-REC improved its knowledge and understanding about procurement procedures because of the same PCM training in 2012. In general most of the capacity building initiatives that were implemented since 2012 were based on the results of the capacity assessment carried out by PWC in 2012 with financial support from the Dutch embassy.

According to HoA-REC, MFS II funded capacity development interventions have thus played a role in improved knowledge on development of implementation strategy; improved knowledge and understanding of logframe and preparation of M&E tools; improved knowledge of financial planning and budget management. This was through sharing by expatriate staff and exposure through MFS II, the automation of the financial and monitoring system established with support of Nuffic and MFS II. However, internal factors like their affiliation to the university, development of a new organogram, deciding and clarification of organisational focus have also played an important role in the key organisational capacity changes that the HoA-REC staff considered important since the baseline in 2012. Support from other funders, like the Dutch Embassy and Nuffic, in terms of training and funding of revision of salary scales, has also been mentioned among the underlying factors for these changes.

References and Resources

Overall evaluation methodology

Bamberger, Michael. August 2012*. Introduction to mixed methods in impact evaluation*. *Impact evaluation notes,* number 3.

Barrett, Jennifer, Paula Bilinsky, Caroline Desalos, Annemarie Groot Kormelinck, Dorothea Hillhorst, Erik Kamphuis, Dieuwke Klaver. Cecile Kusters (CDI team leader 5C study), May 2012. *Evaluation methodology MFS II Country Evaluations. Capacity of Southern Partner Organisations (5C) Component.* Evaluation methodology for DRC, Ethiopia, India, Indonesia, Liberia and Uganda.

Beach, Derek and Rasmus Brun Pederson. 2013. *Process tracing methods. Foundations and guidelines.* The University of Michigan Press.

Bennett, Andrew. 2005. *The Guns That Didn't Smoke: Ideas and the Soviet Non-Use of Force in 1989. Journal of Cold War Studies* 7 (2): 89-109.

Bennett, Andrew. 2008a. *Process tracing: a Bayesian perspective*. In *The Oxford Handbook of Political Methodology,* ed. Janet M. Box-Steffensmeier, Henry E.Brady, and David Collier, 702-21. Oxford: Oxford University Press.

Bennett, Andrew. 2008b. *The Mother of All "Isms": Organising Political Science around Causal Mechanisms*. In *Revitalising Causality: Realism about Causality in Philosophy in Social Science,* ed. Ruth Groff, 205-19. London: Routledge. P. 52.

Checkle, Geoffrey T. 2008. *Tracing Causal Mechanisms. International Studies Review* 8 (2): 362-70.

Delahais, Thomas and Jacques Toulemonde. 2012. *Applying contribution analysis: Lessons from five years of practice. Evaluation* July 2012 vol. 18 no. 3 281-293

George, Alexander L., and Andrew Bennett. 2005 . *Case Studies and Theory Development in the Social Sciences. Cambridge:* MIT Press. P. 206-207.

Glennan, Steward S. 1996. *Rethinking Mechanistic Explanation. Philosophy of Science* 69: 342-53.

Kusters, Cecile S.L, with Nicky Buizer, Caroline Desalos, Dieuwke Klaver, Anja Wolsky , Bekti Andari, Sam Gotomo, Bibhu Prasad Mohapatra, Sonam Sethi, Elias Zerfu. 2012. *Operational guidelines endline (draft). MFS II country evaluations. Capacity of Southern Partner Organisations (5C) component*. Centre for Development Innovation, Wageningen University and Research centre.

Lemire, Sebastian T., Steffen Bohni Nielsen and Line Dybdal. 2012. *Making contribution analysis work: A practical framework for handling influencing factors and alternative explanations. Evaluation*18(3) 294–309. Sage Journals.

Mayne, John. 2012. *Contribution analysis: Coming of age? Evaluation* July 2012 vol. 18 no. 3 **270-280.**

Rogers, Patricia. March 2012. *Introduction to impact evaluation, Impact evaluation notes*, number 1.

Stern, Elliott (Team Leader), Nicoletta Stame, John Mayne, Kim Forss, Rick Davies, Barbara Befani. April 2012.' *Broadening the range of designs and methods for impact evaluation. Report of a study commissioned by the Department for International Development.* DFID, Working Paper 32.

Woolcock, Michael. 9 October 2012. *But How Generalizable is That? A Framework for Assessing the Internal and External Validity of 'Complex' Development Interventions'.* World Bank and Harvard University. Presentation at DFID, East Kilbride, 9 October 2012.

Woolcock, Michael. 2009. *Toward a plurality of methods in project evaluation: a contextualised approach to understanding impact trajectories and efficacy, Journal of Development Effectiveness*, 1:1, 1-14.

List of documents available:

13_044824 Letter of Reminder Reporting in English.DOC
13_044824 Planned dates for new evluation report.DOC
13_051568 ProjectPlan Considerations in English.DOC
13_059056 ProjectPlan Basic Information in English.DOC
13_059621 Specific Contract Terms and Conditions in English.DOC
13_059624 Contract General Terms Conditions in English.DOC
14_022083 ProjectPlan Basic Information in English.DOC
14_022087 ProjectPlan Considerations in English.DOC
14_024885 Carbon_Credit_Project_Annual_Report_2013_Submitted.pdf
14_036737 Feedback letter on progress reporting in English.DOC
75-01-01-009 Confirmation 2013.pdf
2011 Financial report.xlsx
Annual project update Jan 2013.doc
Approval to start implementation.doc
Budget.xlsx
Closure of project file letter.doc
formats in Word - reporting Planning 2011-2012-2 (Annual report update).docx
Icco letter- budget adjustments.jpg
Letter of Co-financing Agreement in English 13_060258.DOC
Letter of confirmation 2014 ICCO C-75-01-01-009.pdf
minutes of our meet.xls
Operational budget 2012 to 2015.xls
Operational budget 2013.xls
O-scan.xlsx
Proposal and budget.docx
Scan for annual report.doc
Scan Letter of Confirmation 2012.pdf
Scanned SFeedback Letter.doc
Signed feedback letter 75-01-01-009.doc
Signed feedback on progress reporting 75-01-01-009.doc
12_005278 Letter of Reminder Reporting.DOC
12_005515 Year-end letter without reports.DOC
12_013613 Letter for Closure Project.DOC
12_015324 Letter of Reminder Reporting in English .DOC
12_037142 Letter of Reminder Reporting in English.DOC
12_047632 Letter of Reminder Reporting in English.DOC
12_050938 Feedback Letter on the reports in English.DOC
13_024100 Feedback letter on progress reporting in English.DOC
13_033491 Feedback letter on progress reporting in English.DOC
13_044822 Note on evaluation report.doc
SCIP Due Diligence Findings with HoA-REC&N Reflection.pdf
Signed Contract 75-01-01-034.pdf
Signed contract one page missing second signature.pdf
Strategic plan ToR (HoA-REC&N - 2014-2018).pdf
STRONGBOW Annual report (2012).pdf
STRONGBOW_Project_2013_Annual_Report.pdf
STRONGBOW_Project_2014_Detail_Budget_Plan.xlsx
Sustainable_Development_Project_Biannual_Report_(July_1_2013-December_31_2013)_HoA-REC&N.pdf
ToR for carbon credit team leader.docx
WASH Project Report (2012).pdf
WaSH_Project_Activity_and_Budget_Plan_2013-14.xlsx
WASH_Project_Annual_Report_2013_Submitted.pdf
Weekly Update Report Template.docx

3rd-Interim Narrative Report.pdf
2013 09 01 First draft calculation on cost and credits.xls
2013 Operational Budget Assessment AT.doc
A Baseline Survey Report for the Sustinable Development of G-O and CRV landscape_Draft.pdf
Annual project update.doc
Annual report_2013.pdf
Bi-annual WASH Project Update Report -2013.pdf
BMP_Budget_Plan_EU+IGAD.xlsx
Carbon_Credit_Annual_Activity_Plan_2014.xlsx
Carbon_Credit_Project_Annual_Report_2013_Submitted.pdf
Carbon_Credit_Project_Jan-June_2013 (Bi-annual Report).pdf
CCT & WASH project Financial Report.xlsx
Consolidated financial audit report-HoA-REC&N.pdf
EKN_Activity_and_Budget_Plan_2014.xlsx
EKN_Project_Financial_Summary_Report_January-December 2013.pdf
EKN_Project_Planned_vs_Acheived_Analysis_Report_M&E_Unit_March 2014.pdf
ESACCAP Project - Indicator Tracking Sheet.xlsx
ESACCAP Q1 Report.pdf
ESACCAP Q2 Report.pdf
EU_Energy_Project_4th_Intrim_Report_(Feb. - Aug., 2013).pdf
EU_Energy_Project_Activity_and_Budget_Plan_2014-2015.xlsx
EU-Energy Project Evaluation Report_Geninfo.pdf
Finacial Report for Establishing a carbon credit team & F&A.xlsx
Final Final Carbon Credit 2013 budget AT.xls
First draft calculation on cost and credits.docx
FY`14 annual operational plan and budget.xls
FY`14 annual operational plan draft budget.xls
HoA-REC&N Carbon Training Programme report.pdf
HoA-REC&N M&E system Manual.pdf
HoA-REC&N Staff Capacity Building Draft Policy.pdf
HoA-REC&N_Bi-annual_Narrative_Report_(January - June 2013).pdf
HoA-REC&N_Partners'_Reporting_Template.pdf
HoA-REC&N_RBM&E Manual (June 2013).pdf
HoA-REC&Ns Training Impact Evaluation Form.pdf
HoARECN Final Evaluation Report.pdf
HoAREM VI Regional Meeting Feedback Summary.pdf
M&E training report - Aug 2013.pdf
Narrative report Dec. 11 2012.doc
Page with signature of contract.pdf
Partner_Organizational_Capacity_Assessment_Template_HoA-REC&N.pdf
Scanned copy of auditor's report.pdf
Report on EWA workshop planning reporting ToC report 25 Feb.-1 Mar. 20032013 NL.doc
WASH 2013-14 Revised Project Annual Budget Plan.xlsx
WASH PROJ-Fin Rep-Jan to Dec 2013.xls
WASH_Project_Annual_Report_2013_Submitted.docx
WASH Project Annual Performance Report (2013)_Submitted.xlsx
Final Revised HOAREC WASH Progress Report format_final210113_2.xls
Final Updated Narrative Report of HOAREC 2012 WASH Project.doc
Final 2012 Annual Plan vs Result.xls

Fieldwork data:
A_5c endline_assessment sheet_ICCO-WASH_Ethiopia_HOAREC_ICCO_completed_with interview.docx
B_5C endline_support to capacity development sheet_CFA perspective_Ethiopia_HOAREC_ICCO_ICCO_Alliance-with interview2.12.2014.docx
B_5C endline_support to capacity development sheet_CFA perspective_Ethiopia_HOAREC_ICCO_WASH_Alliance_with interview2.12.2014.docx
Annex C. 5C end-line - support to capacity development sheet_HoAREC_WaSH_Project.docx

ETHIOPIA ICCO-OCA WASH.xlsx
Annex C. 5C end-line - support to capacity development sheet_HoAREC_Carbon_Credit_Project.docx
Annex C. 5C end-line - support to capacity development sheet_HoAREC_STRONGBOW_Project.docx
F. 5c endline self-assessment of the SPO on organisational capacity – management (HOAREC.doc
G_5c endline self-assessment sheet_programme staff_Ethiopia_HOAREC 1.docx
H_5c endline self-assessment sheet_MandE staff_Ethiopia_HOAREC_November_10_2014.doc
J. 5c endline self-assessment of the SPO on organisational capacity – field staff (HOAREC).docx
O Scan HOAREC.xls
Q_5c endline observation sheet_Ethiopia_HOAREC -el.docx
R_5c endline_observable indicators at SPO_Ethiopia_HOAREC-el.docx

List of Respondents

Alliance / CFA officers:

No.	Name	Function
1	Rachel Kyozira	Program Officer ICCO, Central & eastern Africa regional Office
2	Dieneke de Groot	Planning, Monitoring & Evaluation advisor; Secretary ICCO Alliance
3		
4		

HOAREC staff:

No.	Name	Function in the organisation
1	Araya Asfaw (PhD)	Executive Manager
2	Almaz Tadesse (PhD)	Programe coordinator
3	Michael Abera	PME coordinator
4	Kasahun Bedane	WASH Project Officer
5	Adane Kebede	CCP Coordinator
6	Etsub Assefa	Energy Project Officer
7	Rawda Seman	STRONGBOW

Others:

Appendix 1 Methodological approach & reflection

1. Introduction

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

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

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

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

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

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

2. Changes in partner organisation's capacity – evaluation question 1

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

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

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

The description of indicators for the baseline in 2012 served as the basis for comparison during the endline in 2014. In practice this meant that largely the same categories of respondents (preferably the same respondents as during the baseline) were requested to review the descriptions per indicator and indicate whether and how the endline situation (2014) is different from the described situation in 2012.[2] Per indicator they could indicate whether there was an improvement or deterioration or no change and also describe these changes. Furthermore, per indicator the interviewee could indicate what interventions, actors and other factors explain this change compared to the baseline situation. See below the specific questions that are asked for each of the indicators. Per category of interviewees there is a different list of indicators to be looked at. For example, staff members were presented with a list of all the indicators, whilst external people, for example partners, are presented with a select number of indicators, relevant to the stakeholder.

The information on the indicators was collected in different ways:

1) **Endline workshop at the SPO - self-assessment and 'general causal map'**: similar to data collection during the baseline, different categories of staff (as much as possible the same people as during the baseline) were brought together in a workshop and requested to respond, in their staff category, to the list of questions for each of the indicators (self-assessment sheet). Prior to carrying out the self-assessments, a brainstorming sessions was facilitated to develop a 'general causal map', based on the key organisational capacity changes since the baseline as perceived by SPO staff. Whilst this general causal map is not validated with additional information, it provides a sequential narrative, based on organisational capacity changes as perceived by SPO staff;
2) **Interviews with staff members**: additional to the endline workshop, interviews were held with SPO staff, either to provide more in-depth information on the information provided on the self-assessment formats during the workshop, or as a separate interview for staff members that were not present during the endline workshop;
3) **Interviews with externals**: different formats were developed for different types of external respondents, especially the co-financing agency (CFA), but also partner agencies, and organisational development consultants where possible. These externals were interviewed, either face-to-face or by phone/Skype. The interview sheets were sent to the respondents and if they wanted, these could be filled in digitally and followed up on during the interview;
4) **Document review**: similar to the baseline in 2012, relevant documents were reviewed so as to get information on each indicator. Documents to be reviewed included progress reports, evaluation reports, training reports, etc. (see below) since the baseline in 2012, so as to identify changes in each of the indicators;
5) **Observation**: similar to what was done in 2012, also in 2014 the evaluation team had a list with observable indicators which were to be used for observation during the visit to the SPO.

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

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

Key steps to assess changes in indicators are described

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

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

Below each of these steps is further explained.

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

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

General questions about key changes in the capacity of the SPO

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

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

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

1. *How has the situation of this indicator changed compared to the situation during the baseline in 2012? Please tick one of the following scores:*
   - o -2 = Considerable deterioration
   - o -1 = A slight deterioration
   - o 0 = No change occurred, the situation is the same as in 2012
   - o +1 = Slight improvement
   - o +2 = Considerable improvement
2. *Please describe what exactly has changed since the baseline in 2012*

3. *What interventions, actors and other factors explain this change compared to the baseline situation in 2012? Please tick and describe what interventions, actors or factors influenced this indicator, and how. You can tick and describe more than one choice.*
   - o Intervention, actor or factor at the level of or by **SPO**: ....
   - o Intervention, actor or factor at the level of or by the **Dutch CFA (MFS II funding)**: .... .
   - o Intervention, actor or factor at the level of or by the **other funders**: ....
   - o **Other** interventions, actors or factors: ....
     - o Don't know.

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

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

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

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

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

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

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

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

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

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

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

- Annual progress reports;
- Annual financial reports and audit reports;
- Organisational structure vision and mission since the baseline in 2012;
- Strategic plans;

- Business plans;
- Project/ programme planning documents;
- Annual work plan and budgets;
- Operational manuals;
- Organisational and policy documents: finance, human resource development, etc.;
- Monitoring and evaluation strategy and implementation plans;
- Evaluation reports;
- Staff training reports;
- Organisational capacity reports from development consultants.

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

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

Meanwhile the in-country team prepared and organised the logistics for the field visit to the SPO:
- **General endline workshop** consisted about one day for the self-assessments (about ½ to ¾ of the day) and brainstorm (about 1 to 2 hours) on key organisational capacity changes since the baseline and underlying interventions, factors and actors ('general causal map'), see also explanation below. This was done with the five categories of key staff: managers; project/ programme staff; monitoring and evaluation staff; admin & HRM staff; field staff. Note: for SPOs involved in process tracing an additional 1 to 1½ day workshop (managers; program/project staff; monitoring and evaluation staff) was necessary. See also step 7;
- **Interviews with SPO staff** (roughly one day);
- **Interviews with external respondents** such as partners and organisational development consultants depending on their proximity to the SPO. These interviews coulc be scheduled after the endline workshop and interviews with SPO staff.

General causal map

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

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

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

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

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

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

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

An endline workshop with the SPO was intended to:

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

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

Brainstorm on key organisational capacity changes and influencing factors: a brainstorm was facilitated on key organisational capacity changes since the baseline in 2012. In order to kick start the discussion, staff were reminded of the key findings related to the historical time line carried out in the baseline (vision, mission, strategies, funding, staff). This was then used to generate a discussion on key changes that happened in the organisation since the baseline (on cards). Then cards were selected that were related to organisational capacity changes, and organised. Then a 'general causal map' was developed, based on these key organisational capacity changes and underlying reasons for change as experienced by the SPO staff. This was documented as a visual and narrative.This general causal map was to get the story of the SPO on what they perceived as key organisational capacity changes in the organisation since the baseline, in addition to the specific details provided per indicator.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

In terms of the attribution question (2), 'process tracing' is used. This is a theory-based approach that has been applied to a selected number of SPOs since it is a very intensive and costly methodology, although it provides rich information and can generate a lot of learning within the organisations. Key organisational capacity changes/ outcomes of the SPO were identified, based on their relationship to the two selected capabilities, the capability to act and commit the capability to adapt and self-renew, and an expected relationship with CFA supported capacity development interventions (MFS II funding). It was agreed to focus on these two capabilities, since these are the most targeted capabilities by the CFAs, as established during the baseline process. The box below provides some background information on process tracing.

Background information on process tracing

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

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

Theory testing process tracing uses a theory from the existing literature and then tests whether evidence shows that each part of hypothesised causal mechanism is present in a given case, enabling within case inferences about whether the mechanism functioned as expected in the case and whether the mechanism as a whole was present. No claims can be made however, about whether the mechanism was the only cause of the outcome.

Theory building process tracing seeks to build generalizable theoretical explanations from empirical evidence, inferring that a more general causal mechanism exists from the fact of a particular case.

Finally, explaining outcome process tracing attempts to craft a minimally sufficient explanation of a puzzling outcome in a specific historical case. Here the aim is not to build or test more general theories but to craft a (minimally) sufficient explanation of the outcome of the case where the ambitions are more case centric than theory oriented.

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

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

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

Selection of SPOs for 5C process tracing

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

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

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

ETHIOPIA

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

Table 1
The extent to which the Dutch NGO explicitly targets the following capabilities – Ethiopia

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

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

Source: country baseline report, Ethiopia.

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

Table 2
SPOs selected for process tracing – Ethiopia

Ethiopia – SPOs	End of contract	Focus on capability to act and commit– by SPO	Focus on capability to act and commit – by CFA	Focus on capability to adapt and self-renew – by SPO	Focus on capability to adapt and self-renew – by CFA	CFA	Selected for process tracing
AMREF	Dec 2015	Yes	Yes	Yes	Yes	AMREF NL	Yes
CARE	Dec 31, 2015	Partly	Yes	Yes	Yes – slightly	CARE Netherlands	No - not fully matching
ECFA	Jan 2015	Yes	Yes	Yes	Yes	Child Helpline International	Yes
FSCE	Dec 2015	Yes	Yes	Yes	Yes	Stichting Kinderpostzegels Netherlands (SKN); Note: no info from Defence for Children – ECPAT Netherlands	Yes
HOA-REC	Sustainable Energy project (ICCO Alliance): 2014 Innovative WASH (WASH Alliance): Dec 2015	Yes	Yes	Yes	Yes - slightly	ICCO	No - not fully matching
HUNDEE	Dec 2014	Yes	Yes	Yes	Yes	ICCO & IICD	Yes
NVEA	Dec 2015 (both)	Yes	Yes	Yes	Yes	Edukans Foundation (under two consortia); Stichting Kinderpostzegels Netherlands (SKN)	Suitable but SKN already involved for process tracing FSCE
OSRA	C4C Alliance project (farmers marketing): December 2014 ICCO Alliance project (zero grazing: 2014 (2nd phase)	Yes	Yes	Yes	Yes	ICCO & IICD	Suitable but ICCO & IICD already involved for process tracing - HUNDEE
TTCA	June 2015	Partly	Yes	No	Yes	Edukans Foundation	No - not fully matching

INDIA

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

Table 3

The extent to which the Dutch NGO explicitly targets the following capabilities – India[3]

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

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

Source: country baseline report, India.

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

Table 4

SPOs selected for process tracing – India

India – SPOs	End of contract	Focus on capability to act and commit– by SPO	Focus on capability to act and commit – by CFA	Focus on capability to adapt and self-renew –by SPO	Focus on capability to adapt and self-renew – by CFA	CFA	Selected for process tracing
BVHA	2014	Yes	Yes	Yes	Yes	Simavi	Yes; both capabilities
COUNT	2015	Yes	Yes	Yes	Yes	Woord en Daad	Yes; both capabilities
DRISTI	31-03-2012	Yes	Yes	No	no	Hivos	No - closed in 2012
FFID	30-09-2014	Yes	Yes	Yes	Yes	ICCO	Yes

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

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

INDONESIA

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

Table 5

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

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

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

Source: country baseline report, Indonesia.

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

Table 6
SPOs selected for process tracing – Indonesia

Indonesia – SPOs	End of contract	Focus on capability to act and commit– by SPO	Focus on capability to act and commit – by CFA	Focus on capability to adapt and self-renew – by SPO	Focus on capability to adapt and self-renew – by CFA	CFA	Selected for process tracing
ASB	February 2012; extension Feb,1, 2013 – June,30, 2016	Yes	Yes	Yes	Yes	Hivos	Yes
Dayakologi	2013; no extension	Yes	Yes	Yes	No	Cordaid	No: contract ended early and not matching enough
ECPAT	August 2013; Extension Dec 2014	Yes	Yes	Yes, a bit	Yes	Free Press Unlimited - Mensen met een Missie	Yes
GSS	31 December 2012; no extension	Yes	Yes	Yes, a bit	Yes	Free Press Unlimited - Mensen met een Missie	No: contract ended early
Lembaga Kita	31 December 2012; no extension	Yes	Yes	No	Yes	Free Press Unlimited - Mensen met een Missie	No - contract ended early
Pt.PPMA	May 2015	Yes	Yes	No	Yes	IUCN	Yes, capability to act and commit only
Rifka Annisa	Dec, 31 2015	No	Yes	No	Yes	Rutgers WPF	No - no match between expectations CFA and SPO
WIIP	Dec 2015	Yes	Not MFS II	Yes	Not MFS II	Red Cross	No - Capacity development interventions are not MFS II financed. Only some overhead is MFS II

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

LIBERIA

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

Table 7

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

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

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

Source: country baseline report, Liberia.

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

Table 8

SPOs selected for process tracing – Liberia

Liberia – SPOs	End of contract	Focus on capability to act and commit– by SPO	Focus on capability to act and commit – by CFA	Focus on capability to adapt and self-renew –by SPO	Focus on capability to adapt and self-renew – by CFA	CFA	Selected for process tracing
BSC	Dec 31, 2015	Yes	Yes	Yes	Yes	SPARK	Yes
DEN-L	2014	No	No	Unknown	A little	ICCO	No – not matching enough
NAWOCOL	2014	Yes	No	No	A little	ICCO	No – not matching enough
REFOUND	At least until 2013 (2015?)	Yes	No	Yes	A little	ICCO	No – not matching enough
RHRAP	At least until 2013 (2014?)	Yes	Yes	Yes	Yes	ICCO	Yes

Key steps in process tracing for the 5C study

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

Key steps in process tracing for the 5C study

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

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

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

A **detailed causal map** (or **model of change)** = the representation of all possible explanations – causal pathways for a change/ outcome. These pathways are that of the intervention, rival pathways and pathways that combine parts of the intervention pathway with that of others. This also depicts the reciprocity of various events influencing each other and impacting the overall change.

A **causal mechanism** = is the combination of parts that ultimately explains an outcome. Each part of the mechanism is an individually insufficient but necessary factor in a whole mechanism, which together produce the outcome (Beach and Pedersen, 2013, p. 176).

Part or **cause** = one actor with its attributes carrying out activities/ producing outputs that lead to change in other parts. The final part or cause is the change/ outcome.

Attributes of the actor = specificities of the actor that increase his chance to introduce change or not such as its position in its institutional environment.

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

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

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

The input from the CFA was reviewed in terms of what capacity development interventions have taken place in the MFS II period. This information was be found in the 'Support to capacity development sheet - endline - CFA perspective' for the SPO, based on details provided by the CFA and further discussed during an interview by the CDI team.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

A model of change of good quality includes:

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

A model of change (within the 5C study called a 'detailed causal map') is a complex system which produces intermediate and long-term outcomes by the interaction of other parts. It consists of parts or causes that often consist of one actor with its attributes that is implementing activities leading to change in other parts (Beach & Pedersen, 2013). A helpful way of constructing the model of change is to think in terms of actors carrying out activities that lead to other actors changing their behaviour. The model of change can be explained as a range of activities carried out by different *actors* (including the CFA and SPO under evaluation) that will ultimately lead to an outcome. Besides this, there are also '*structural*' elements, which are to be interpreted as external factors (such as economic conjuncture); and *attributes* of the actor (does the actor have the legitimacy to ask for change or not, what is its position in the sector) that should be looked at (Beach & Pedersen, 2013). In fact Beach and Pedersen, make a fine point about the subjectivity of the actor in a dynamic context. This means, in qualitative methodologies, capturing the changes in the actor, acted upon area or person/organisation, in a non sequential and non temporal format. Things which were done recently could have corrected behavioural outcomes of an organisation and at the same ime there could be processes which incrementally pushed for the same change over a period of time. Beach and Pedersen espouse this methodology because it captures change in a dynamic fashion as against the methodology of logical framework. For the MFS II evaluation it was important to make a distinction between those paths in the model of change that are the result of MFS II and rival pathways.

The construction of the model of change started with the identified key organisational capacity change/ outcome, followed by an inventory of all possible subcomponents that possibly have caused the change/ outcome in the MFS II period (2011-up to now, or since the baseline). The figure below presents an imaginary example of a model of change. The different colours indicate the different types of support to capacity development of the SPO by different actors, thereby indicating different pathways of change, leading to the key changes/ outcomes in terms of capacity development (which in this case indicates the ability to adapt and self-renew).

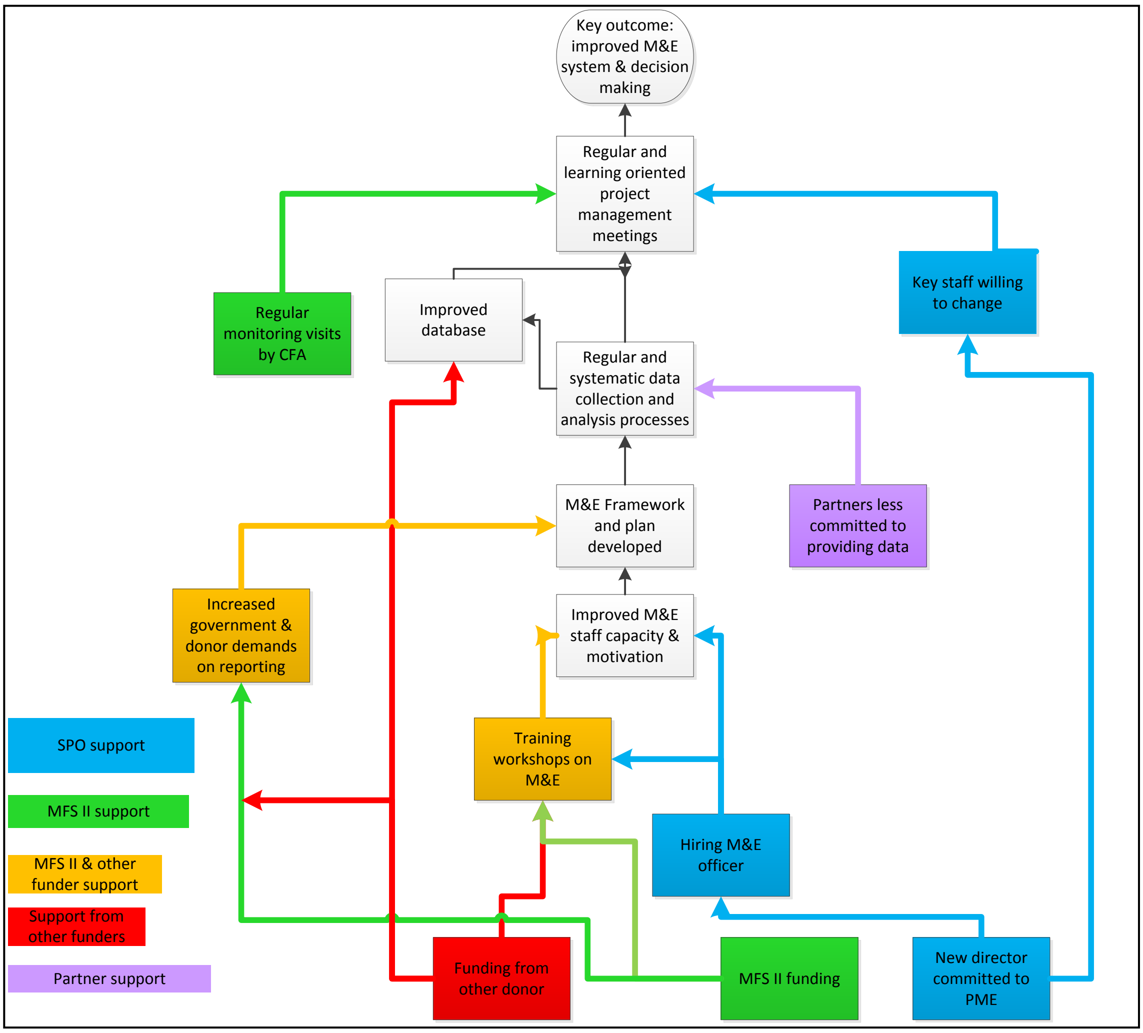


Figure 1 *An imaginary example of a model of change*

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

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

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

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

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

Types of evidence to be used in process tracing

Pattern evidence relates to predictions of statistical patterns in the evidence. For example, in testing a mechanism of racial discrimination in a case dealing with employment, statistical patterns of employment would be relevant for testing this part of the mechanism.

Sequence evidence deals with the temporal and spatial chronology of events predicted by a hypothesised causal mechanism. For example, a test of the hypothesis could involve expectations of the timing of events where we might predict that if the hypothesis is valid, we should see that the event B took place after event A took place. However, if we found that event B took place before event A took place, the test would suggest that our confidence in the validity of this part of the mechanism should be reduced (disconfirmation/ falsification).

Trace evidence is evidence whose mere existence provides proof that a part of a hypothesised mechanism exists. For example, the existence of the minutes of a meeting, if authentic ones, provide strong proof that the meeting took place.

Account evidence deals with the content of empirical material, such as meeting minutes that detail what was discussed or an oral account of what took place in the meeting.

Source: Beach and Pedersen, 2013

Below you can find a table that provides guidelines on what to look for when identifying types of evidence that can confirm or reject causal relationships between different parts/ subcomponents of the model of change. It also provides one example of a part of a causal pathway and what type of information to look for.

Table 9

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

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

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

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

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

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

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

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

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

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

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

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

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

4. Explaining factors – evaluation question 4

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

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

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

5. Methodological reflection

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

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

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

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

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

A few remarks need to be made:

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

change and therefore understanding when and how these individuals change behaviour is crucial. Also attrition and change in key organisational positions can contribute considerably to the outcome.

Utilisation of the evaluation

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

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

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

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

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

5C Endline process, and in particular thoroughness of process tracing often appreciated as learning process: The SPO perspective has also brought to light a new experience and technique of self-assessment and self-corrective measures for managers. Most SPOs whether part of process tracing or not, deeply appreciated the thoroughness of the methodology and its ability to capture details with robust connectivity. This is a matter of satisfaction and learning for both evaluators and SPOs. Having a process whereby SPO staff were very much engaged in the process of self-assessment and reflection has proven for many to be a learning experience for many, and therefore have enhanced utility of the 5C evaluation.

Appendix 2 Background information on the five core capabilities framework

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

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

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

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

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

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

Competencies are the energies, skills and abilities of individuals.

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

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

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

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

Appendix 3 Results - changes in organisational capacity of the SPO - 5C indicators

Below you will find a description for each of the indicators under each of the capabilities, what the situation is as assessed during the endline, how this has changed since the baseline and what are the reasons for change.

Capability to act and commit

1.1. Responsive leadership: ‘Leadership is responsive, inspiring, and sensitive'

This is about leadership within the organisation (operational, strategic). If there is a larger body then you may also want to refer to leadership at a higher level but not located at the local organisation.

The Horn of Africa Regional Environment Centre and Network (HoA-REC/N) management is striving to provide more responsive and inspiring leadership. The management listens to the weekly program update reports and reacts accordingly. There are monthly coordination meetings plus quarterly all staff meetings to facilitate organizational learning and to discuss any other staff welfare or other issue related to the organisation. Regarding information and communication, more advanced IT system in place for internal communication. Gender mainstreaming at program level and internal communication within the organization have improved. HoA-REC/N has managed to bring female staff on board who are also in management. According to management gender considerations are made in the recruitment places and there are plans to hir a gender expert. Reports from programs are submitted more timely than before but financial reporting is not up to standards due to staff turnover. To tackle this issue, the SPO has hired new staff members and has caught up on most of the pending financial reports according to the CFA assessment. Some staff members noted that most of the decisions are still made by the higher level, that other staff are not involved in the decision making process, and that gender mainstreaming has not yet reached all levels. Besides, there is weak administration and centralized decision-making in the organization. However, the management indicated that decision-making has been decentralized and there are weekly management meetings to address issues. Decentralization seems to mean that program officers are more independent in developing projects and securing budgets. These program officers report to management and the M&E department. The management indicated that gender is mainstreamed in all projects though there is no gender focal person in the organization. According to the observation by the evaluators, since the leadership is still associated with academic work it may be difficult to follow up the day to day work. However, as a result of its autonomy given by the university in some of the operations there could be some changes.

Score: from 3 to 3.5 (slight improvement)

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

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

The self-assessment indicated that decision making has been decentralized as mentioned in the baseline. Furthermore, the management has focused on strategic issues through strengthening programs partnership. This has resulted in more projects from diverse sources. Most of the current projects now are Ethiopia-focused, therefore the center is focusing on regional projects based on the strategic plan of the network. It was observed that the management also seemed mostly preoccupied by academic issues. At the moment the management leads the process of developing the next five-year strategic plan (2012 - 2015) and it is going to be launched on November 26, 2014 during the HoA-REM 7 regional meeting. The process included consultation of program/project staff, partner organizations, donors, the board, network members and other relevant stakeholders. The management is now focusing to provide strategic directions by pointing out six strategic objectives that help to better achieve its mission and vision. This strategy development process was facilitated by an external facilitator.

Score: from 2.5 to 3 (Slight improvement)

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

This is about staff turnover.

In this regard, staff turnover has increased both in program and support areas according to the self-assessments. Staff turnover is higher especially for highly specialized professions and finance, and is particularly worse in some areas such as Gambela because of the local situation, where the area is very remote with a very hot, humid climate and no or insufficient infrastructure. Staff turnover is also influenced by the fact that the organization has had no salary and benefit package improvement and is not attractive as compared to other similar organizations. Besides, the benefit packages are not clearly stated for the whole staff according to most of the self-assessment response. Some staff members have also indicated that there was no access to training, unequal training opportunities among staff, low promotion of staff, and no incentives and awards by the organization in general. However, the management indicated that the new salary revision helped to maintain staffs. The attachment of the SPO to the university has attracted some staff members who would like to work in development and academics. Nevertheless, the annual report of the carbon trading project in 2013 indicated that some of the challenges faced during project implementation included the work burden to accomplish project activities due to a delayed start of the project; staff turn-over; and lack of skilled manpower in the areas of the carbon project.

Score: from 4 to 3.5 (Slight deterioration)

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

Observable indicator: Staff have copy of org structure and understand this

As a result of its improved autonomous structure and also the move to diversify its funding sources, the organization has created an organizational structure with a new grouping of the programs and clarified their roles and responsibilities. Horn of Africa Regional Environmental center and Network has moved its office to the newly constructed premises. The decentralized structure means that program officers are more responsible for their respective tasks, even though most of the leadership decisions are still made at the management level. Program officers are now more focused on program implementation, resource mobilisation and monitoring and evaluation.

Score: From ? to 3.5

1.5. Articulated strategies: 'Strategies are articulated and based on good situation analysis and adequate M&E'

Observable indicator: strategies are well articulated. Situation analysis and monitoring and evaluation are used to inform strategies.

HoA-REC/N have a strategic plan for the period of 2010-2015 and the organization has not made any attempt to revise it during that time. Currently discussions are ongoing about the new strategic directions for after 2015. However, additional funding has been accessed for carbon trading and as indicated in the baseline the programs are always based on a proper context analysis.

Score: from 4 to 4 (No change)

1.6. Daily operations: 'Day-to-day operations are in line with strategic plans'

This is about the extent to which day-to-day operations are aligned with strategic plans.

The organization has improved slightly in this regard, and project implementation delays have become less except for some projects that require international procurement, which usually depend on the university's pace. The annual plan was in line with the strategic objectives and project agreement provisions. The management has put an automated project monitoring system in place that is being used to keep track of implementation. Management mentioned that this has helped very much - monthly monitoring reports help to see which projects need an intervention when not performing as planned. Project implementations have been in line with the organization strategic plan, although some staff still mentioned that high work volumes, lengthy financial procedures and the lack of logical frameworks impact the daily operations. Although most of the planned activities have been executed within planned program/project period, some activities still lagged behind the schedules. The organization has generally made considerable improvements in fast tracking implementation of projects and programs and this was manifested in their WASH performance in the whole alliance in 2013.

Score: from 4 to 4 (no change)

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.

The staff now have better skills to carry out program design and implementation, and also doing M&E work. The expatriates who came as a result of MFS II support have helped in building staff capacity through coaching and working together. All staff members have been given training on project cycle management and share experience through exposure visits. Monitoring and Evaluation trainings have been provided. More staff members have gotten the opportunity to have trainings either in-house or abroad on various topics, from technical job-related topics such as Climate change and Carbon emission mitigation measures, to cross-cutting topics such as communication, M&E and project management. There have also been trainings on WASH, accounting, Human Rights based Approach (HRBA) in programming, and budget tracking. The staff recruitment criteria were revised since 2012 and the new staffs are qualified both in education and experience. However, some staff members noted that it is difficult to say whether staff skills on Program Cycle Management has improved or not because HoA-REC/N is not often involved in program/project implementation, since it mainly works in partnership with other implementing partners and provide budget, and technical assistance through mentoring, coaching, training and M&E. A few projects are being implemented by HoA-REC/N such as the carbon project. Usually when there is a call for a concept note/proposal, program/project coordinators are assigned to execute the task. Capabilities of staff members in program implementation has greatly improved due to coaching and training of staff and this was observed where staff is able to develop pro-poor carbon projects and get insight on how to access international carbon markets. Besides, the way staff report, monitor and implement project shows that they have learnt a lot on project cycle management and also they have more networks from which they learn and strengthen their capabilities.

Score: from 4 to 4.25 (very slight improvement)

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

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

More staff members have gotten the opportunity to have trainings either in-house or abroad on various topics, from technical job-related topics such as Climate change and Carbon emission mitigation measures, to cross-cutting topics such as communication, M&E and project management. In 2013 HoA-REC/N initiated the development of a standard template to objectively assess staff performance and to fill gaps through recommended trainings in an organized manner. As a result, different trainings like PCM training, WASH training, accounting training for finance staff supported by the Dutch embassy, training on Human Rights based Approach (HRBA) in programming, and training on budget tracking to enable communities to monitor budget allocation and expenditure after disbursement, (by external consultant) etc. to mention a few were given to staff. There was also a field visit in Kenya in 2014 to share experiences and best practices. In sum, the organization has made attempts to enhance staff skills by organizing various relevant training programs. However, the budgets for such training programs are still limited according to the self-assessment. Some staffs noted that the organization does not have mechanisms to evaluate the impact of the trainings, assessment has not been conducted for further trainings, and a mechanism to make good use of the resources allocated for training is lacking.

Score: from 3.5 to 4 (slight improvement)

1.9.1. Incentives: 'Appropriate incentives are in place to sustain staff motivation'

This is about what makes people want to work here. Incentives could be financial, freedom at work, training opportunities, etc.

Since 2012, HoA-REC/N revised its HR manual and standardized, but not improved, benefit packages for all staff regardless of the project they are involved in. The revised HR manual is shared via internet and is now more transparent and staff members are better aware about their entitlements. Hence, the salary revision has made the staff to get better pay, although according to some staffs, it is still not comparison with other organisations. Some staffs fell that benefit packages of staffs are still the same particularly provident (e.g. pension) fund or any other similar schemes are still missing. HoA-REC/N does not remit any pension contributions for its employees as required by law on Private Organization Employees’ Pension Proclamation No. 715/2011 dated 24 June 2011. The organization also lacks a scheme for staff promotion and reward for best performing staff. Nevertheless, there is an enabling environment in terms of having freedom at work, and the organisation.

Score: from 3.5 to 3.75 (very slight improvement)

1.9.2. Funding sources: 'Funding from multiple sources covering different time periods'

This is about how diversified the SPOs funding sources are over time, and how the level of funding is changing over time.

The organization has diversified its funding sources. Apart from the existing donors, World Bank for CIC project, DFID for SCIP project, French Embassy for the water allocation plan project, NORAD and SIDA have become funding partners of the organization. Besides, discussions with the Japanese government on possible collaboration is underway. ICCO has supported HoA-REC/N on fundraising and helped in proposal development particularly for EU funding that makes HoA-REC/N the first Ethiopian organization to get EU funds. ICCO also contributed in developing a financial management system with WB funding, and supported the development of an M&E system for the energy projects with a volunteer from the Netherlands. This has improved the organization's reporting and also fundraising capacity for bigger donors. Furthermore, improved capacity of the organization in project management, communication and good reputation have helped a lot in this regard. Focus on carbon credit schemes has also turned out to be a good move- many donors have an interest in carbon reduction schemes.

Score: From 4 to 4.25 (Very slight improvement)

1.9.3. Funding procedures: 'Clear procedures for exploring new funding opportunities'

This is about whether there are clear procedures for getting new funding and staff are aware of these procedures.

Horn of Africa Regional Environmental Center and Network (HoA-REC/N) has developed a fundraising strategy and assigned a consultant to liaise with the fundraising officer and identify calls for proposals, and develop proposals together. In the evaluation report from 2012 for the carbon project, the recommendation showed that HoA-REC/N needs a resource mobilization strategy and to develop a long term plan for the future. The organization has improved communication, partnership and networking capacity, and the partnership programs based on the strategic plan clearly articulate the mission and vision of the Centre (HoA-REC/N). Hence, the SPO has shared information through partners, and created a strong collaboration with implementing partners. The Centre provides basic funds for proposal development. Program/project staff are involved in looking for funding opportunities and staff are free to take their own initiative to look for new funding sources in consultation with program/project heads. However, the culture of such initiative is not well developed.

Score: From 2 to 3 (improvement)

<u>Summary of capability to act and commit</u>

The Horn of Africa Regional Environment Centre and Network (HoA-REC/N) management is striving to provide more responsive and inspiring leadership. The management listens to the weekly program update reports and reacts accordingly. Though the management has indicated decision making has decentralized, some staffs noted that most of the decisions are still made by higher level and other staff members have not been involved in the decision-making process. Since the management has focused on strategic issues through strengthening programs partnership, the organization has implemented more projects from diverse sources. However, staff turnover is higher compared to the baseline in 2012, especially for highly specialized professions and finance and has particularly worsened in some areas such as Gambela because of the local situation, an area which is remote with a hot, humid climate and poor infrastructure. Whilst management indicated that staff salaries had improved with a salary revision, most staff indicated that the salary revision and benefits weren't sufficient compared to other organisations. HoA-REC/N has revised its HR manual and standardized the benefit packages for all staff, while the salary revision has given the staff better pay, though this was contested by other staff members.

Horn of Africa Regional Environmental Center and Network has moved its office to the newly established one and has developed an organizational structure with a new grouping of the programs and clarified their roles and responsibilities. However, the organization has not made any attempt to revise its strategic plan in the past years. Currently discussions are ongoing within the management to develop a new strategic plan, under facilitation by an external consultant. Meanwhile, the annual plan was in line with the strategic objectives, and project agreement provisions and an automated project monitoring system were put in place and are being used to keep track of implementation. For this to be effective, staff members now have better skills to carry out the program design and implementation and to do M&E work. This is because all staff members have been given training on project cycle management and shared experiences through exposure visits. More staff members have the opportunity to get trainings either in-house or abroad on various topics: ranging from technical job-related issues such as carbon emission reduction measures and climate change, to cross-cutting topics like communication, M&E and project management.. The organization has widened its funding sources after the baseline because new donors like the World Bank for CIC project, DFID for SCIP project, French Embassy for the water allocation plan project, NORAD and SIDA have become funding partners of the organization since the baseline in 2012. This was due to the fact that the organization developed a fundraising strategy, assigned a capacity development consultant to identify calls for proposals, liaise with the fundraising officer and develop proposals together.

Score: from 3.4 to 3.7 (very slight improvement)

Capability to adapt and self-renew

2.1. M&E application: 'M&E is effectively applied to assess activities, outputs and outcomes'

This is about what the monitoring and evaluation of the SPO looks at, what type of information they get at and at what level (individual, project, organizational).

HOA-REC/N has focused on a holistic participatory approach and has a strong monitoring system. The organization has put in place an effective, online-accessible, M&E system (Akvo FLOW) and the section is equipped with professionals who manage the system. Hence, all donor-required reports are consolidated in the M&E unit. This unit is now strengthened and has three full-time and one part-time staff. In addition the unit helped to mainstream M&E within programs/projects and managed to develop the M&E system. Program coordinators are familiar with the system and report to the M&E unit regularly, while the M&E unit compiles the reports and presents these during regular meetings. Besides, refresher trainings were provided to all staff on how to use the new M&E system, and also intensive coaching, and follow up was carried out. The management also fully supported the M&E unit and helped to raise awareness to all staff members during coordination and staff meetings. Therefore, the M&E system is now widely known by staff. Akvo FLOW tool training for M&E and outcome mapping was provided for the WASH coordinator by ICCO through the Dutch WASH Alliance at the beginning of 2013. Also M&E tools, baseline data and the web tool monitoring (FLOW) with a standardized system were developed. Baselines are done and outputs are monitored in both qualitative and quantitative manners. External M&E also takes place: for example, the WASH Alliance conducted a Mid-term Evaluation in 2013, with a consultant from MDF. PriceWaterhouseCoopers provided support in the development of the M&E system and has also performed an evaluation of the Dutch Embassy-supported project. ICCO supported the development of an M&E system for the energy projects with a volunteer from the Netherlands. As a result better reporting in terms of quality of data and traceability of information has been observed in the organization.

Score: From 3.5 to 4.5 (improvement)

2.2. M&E competencies: 'Individual competencies for performing M&E functions are in place'

This is about whether the SPO has a trained M&E person; whether other staff have basic understanding of M&E; and whether they know what information to collect, how to process the information, how to make use of the information so as to improve activities etc.

Apart from the new M&E software application system (Akvo FLOW), HoA-REC/N has hired qualified staff and provided full support for the M&E unit. The organization has hired five M&E staff (one coordinator and one M&E specialist (for CIC project), two M&E officers and one M&E consultant) who are competent in M&E since 2013. Besides, trainings on topics like outcome measurement, planning and coordination were provided in 2013 with MFS II budget support by ICCO. In-house training on M&E was also organized for all program staff. This enhanced understanding of staff on important M&E topics and on the M&E system. As a result, staff are now using the monitoring system and data has been collected on a timely basis.

Score: From 3.5 to 4.5 (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.

The M&E unit has developed an M&E manual and a performance monitoring plan template that can be adopted to all projects coming to the center. This helped to standardize the usage of templates and checklists and now HoAREC&N is using the new automated system as a minimum requirement. New proposals are based on data collected from past project implementation. The information from the M&E system has helped with decision-making for future strategies. Management is now able to see progress in one click rather than depending on manual M&E procedures. Besides, the M&E section is usually represented in weekly and monthly management meetings, which helps the management to make informed decisions . Furthermore, the M&E unit is involved in planning, reporting and influences strategic decision making by managers.

Score: From 3 to 3.5 (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.

Staffs have openly discussed challenges faced during the course of project implementation and they were supposed to meet regularly and inform the management on issues of concern. However, there has not been any feedback for more than a year from the management and there is an issue with a lack of acknowledgement of staff's skill/capacity or contribution by some program/project heads. Programs started reporting on a weekly basis and these reports are to be presented to the management by the M&E coordinator that gives programs to share reports every week and also for the management to take swift action whenever necessary. The staff self-assessment has noted that staff members were more comfortable to raise issues in a written fashion, rather than in discussion. Besides, staff meetings were not regular though there have been some regular meetings at program/project level where staff discusses activity implementations and major challenges. It turns out that staff suggestions for changing these situations have not been taken up.

Score: From 3.5 to 3.5 (No change)

2.5. Freedom for ideas: 'Staff feel free to come up with ideas for implementation of objectives

This is about whether staff feel that ideas they bring for implementation of the program are welcomed and used.

Staff members were encouraged by the management to exercise their potential and come up with new ideas, particularly for proposal development, and there is good understanding in working together. Some staff members have been promoted after performance-related evaluations and this has boosted staff to come out and speak out with new ideas. This is due to recommendations from the O-scan by ICCO Alliance every 2 years, which is a requirement for the WASH Alliance 5C scan. However, some staffs noted that there is no specific change in this regard.

Score: From 3.5 to 3.75 (Very slight improvement)

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.

HoA-REC/N has hired a communications officer under the Public Relations and Communication department and this has helped in promoting the organization toward a wider audience locally and globally. It has provided access to the staff and partners on emerging issues, topics, news etc. Besides, the officer who is in charge of communications also feeds into discussions on what is happening in the operation environment with program staff. Though there is no unit specifically, the program staff with input from the communications officer and staffs from the program units use the information when necessary for planning new proposals, amending implementation and policy influencing. For this to be effective, the organization has provided capacity building training for the public relations and communications unit, revised the organogram /organization structure, and recruited new staff. They also conduct baselines and during monitoring discuss with stakeholders on changes in the context.

Score: From 3.5 to 4 (Slight improvement)

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.

HoA-REC/N frequently reaches out to its stakeholders in different project sites through the provision of the necessary assistance and mentoring services in line with the project/program objectives. Meetings are arranged as planned, and there is smooth and proactive communication with partners during planning and implementation. There is also better engagement and response between duty bearers and rights holders. However, network members' participation is limited though the network members have now developed a strategic plan for the next five years and the Centre will assist in implementing the plan. Nevertheless, consultation with stakeholders in project development and implementation has improved since 2012. Furthermore, project and program staff and stakeholders have frequently communicated and closely worked together. This was evident where the EU and TERI project reached out to its stakeholders in different project sites and provided the necessary assistance and mentoring services in line with the project/program objectives.

Score: From 3 to 3.5 (Slight improvement)

Summary capability to adapt and self-renew

HOA-REC/N has focused on a holistic participatory M&E approach and has put in place an effective, online accessible, M&E system (Akvo FLOW). Besides, program coordinators are familiar with the system and report to the M&E unit. The management also fully supports the M&E unit and has helped to raise awareness to all staff during coordination and staff meetings. Apart from the new M&E software application system, HoA-REC/N has hired qualified staff and provided full support for the M&E unit. Parallel to the organization's M&E system, external evaluations are conducted on behalf of donors, such as a Mid-Term Evaluation for the WASH Alliance in 2013, and a PWC assessment of the Dutch Embassy-supported project. The M&E competencies of the organization have improved due to the trainings on outcome measurement, planning and coordination provided in 2013 by MFS II budget support and in-house training on M&E organized for all program staff. As a result the organization has developed a M&E manual and a performance monitoring plan template that can be adopted to all projects coming to the center. This helped to standardize the usage of templates and checklists, using the new automated system as a minimum requirement. The information from the M&E system has also helped for decision-making for future strategies and also to see progress by the management. On the other hand, though staff members can reflect their ideas openly during the course of project implementation, there has not been any feedback from the management and there was a challenge of not acknowledging staff contributions by some program/project heads. In contrast with this, staff members were encouraged by the management to exercise their potential through free discussion and to come up with ideas. It was noted that some indicated that staff were more comfortable to raise issues in written form, rather than in discussion. HoA-REC/N has hired a communications officer under the PR and Communication department to assist in scanning the environment and promote the organization toward a wider audience locally and globally. Consultation with stakeholders in project development and implementation has improved since 2012. Furthermore, projects and program staff and stakeholders have frequently communicated and closely worked together.

Score: from 3.4 to 3.9 (slight improvement)

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.

All programs and projects have an operational and budget plan, and the plan serves as a crucial source to implement the strategic plan. The financial status of each program/project is updated during coordination meetings with all staff. Technical staff are well aware of not only the preparation of the operational plan with a budget but they also provide specifications on each item for procurement. This has been done by revising all items procured by the project. However, there are some communication issues related to procurement: between project staff and procurement staff which causes delays and dissatisfaction. These have to do with specification of procurement needs but also with university bureaucracy.

Score: From 3.5 to 3.75 (Very slight improvement)

3.2. Cost-effective resource use: 'Operations are based on cost-effective use of its resources'

This is about whether the SPO has the resources to do the work, and whether resources are used cost-effectively.

Since its establishment, HoA-REC/N has been audited by an external auditor annually and projects are audited separately based on the contract agreement signed. In addition, there is a consolidated audit report. HoA-REC/N has moved to its new premises with sufficient space and the earlier lack offices for staff is no longer a problem. Having moved to their own premises, with all staff working together as broader reduction in terms of time, logistics, etc, and hereby make the organisation more cost-effective in terms of using its resources It has also secured space in town for some of its projects. With regard to finance and procurement, both departments have been staffed with highly qualified professionals. Procurement guidelines are designed in line with the requirement of major funders such as the EU, World Bank and DFID, and have been entirely used in the course of project implementations and helped during procurements of all project items. However, some staffs noted that the financial and procurement service is still slow due to the fact that the organization still operates under the College of Natural Science's budget center in Addis Ababa University (AAU). Hence, the existing AAU procurement procedures have been the major challenges for timely delivery of various procurements by different programs in HoA-REC/N, and the organization wants to establish an independent budget center for the future. The financial system is in place and staff members were hired, but they recently experienced a turnover in the finance department which affected delivery of reports in time.

Score: From 3 to 3.5 (Slight improvement)

3.3. Delivering planned outputs: 'Extent to which planned outputs are delivered'

This is about whether the SPO is able to carry out the operational plans.

HoA-REC&/N has moved to new premises and changed systems to reduce bureaucracy as a result of the recommendations by ICCO. The 3rd interim narrative report also confirmed that the majority of the planned activities have been accomplished successfully. However, few activities were still ongoing due to extended procurement processes: particularly some activities related to large procurements were still in process of either delivery or subject to rebidding or cancellation. Though there is improvement in delivering planned outputs compared with the previous period, implementations of planned activities have still been lagging compared to the schedule according to the self-assessment. The existing bureaucratic procurement procedures of AAU were considered as the major challenges.

Score: From 3.5 to 4 (Slight improvement)

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

HoA-REC/N has developed mechanisms to check beneficiary needs through frequent field visits to satellite or field offices where partners of HoA-REC/N have day-to-day interactions with the target groups and beneficiaries. In particular, field offices are closer to beneficiaries and understand their needs better through participatory discussions at different stages of a project including design, implementation and evaluation. However, there is no defined mechanism on downward accountability. It was evident in the EU-Energy Project Evaluation Report that the project is relevant to the needs of the target groups and beneficiaries.

Score: From 3.5 to 3.5 (No change)

3.5. Monitoring efficiency: 'The organization monitors its efficiency by linking outputs and related inputs (input-output ratio's)'

This is about how the SPO knows they are efficient or not in their work.

HoA-REC/N has developed an M&E system and recruited new staffs for the M&E unit and all projects are monitored as per the donors' requirement. Hence, the M&E unit is proactive and project staff and the M&E unit monitor the program performance regularly. There is also on-going monitoring to assess whether the objectives and strategies developed are relevant to the changing situation on the ground, and if the results are on track for all aspects of the project. Routine program monitoring was done through standard monitoring and reporting procedures and forms, following donor requirements and globally accepted best practices. The M&E system is now working for almost all departments in the organizations and the M&E staff analyze reports on project input and output basis. However, according to the final evaluation report for the Sustainable Development Project in 2013, assessing the effectiveness of HoA-REC/N was challenging because it was difficult to ascertain what results and outcomes were achieved and whether these were directly attributable to the project.

Score: From 2.5 to 3 (Slight improvement)

3.6. Balancing quality-efficiency: 'The organisation aims at balancing efficiency requirements with the quality of its work'

This is about how the SPO ensures quality work with the resources available

HoA-REC/N staffs ensure balancing quality with efficiency during project design and implementations with the available budget. The M&E unit tried to look at the quality-efficiency of all programs under the organization. Besides, program staffs strictly follow the annual work plan, budget plan and performance monitoring plan. Baseline assessments, mid-term evaluations and end line evaluations have been conducted in order to improve the quality of work. The organization has updated operational guidelines recently and hence there are financial and operational improvements in terms of both quality and efficiency. The MFS II co-funder (ICCO) has advised the SPO to work with other organizations who have the required structures and contacts, e.g. for the energy saving project where they started to work with farmers unions and Oromia coffee farmers cooperative unions instead of starting new offices. This helped to improve qualityand efficiency. Furthermore, there is an improved quality of reporting with better program design and improved context analysis linked to the interventions, but also networking, lobby and advocacy.

Score: From 3 to 3.5 (Slight improvement)

<u>Summary capability to deliver on development objectives</u>

The organization programs and projects have clear operational and budget plans, and the plans serve as a crucial source to implement the strategic plan. Technical staffs are well aware of not only the preparation of operational plans with a budget, but also provide specifications on each item for procurement. HoA-REC/N has used resources in a cost-effective manner and this was evident in the annual consolidated audit report. Besides, the organization has moved to its new premises with sufficient space and the lack of offices for staff is no longer a problem and this has further enhanced using resources cost-effectively. The majority of the planned activities have been accomplished successfully though a few activities were still being processed due to extended procurement processes, mainly the bureaucratic procurement procedures by the University of Addis Ababa. HoA-REC/N has developed mechanisms to check beneficiary needs through frequent field visits to satellite or field offices where partners of HOAREC have daily interaction with the target groups and beneficiaries. Particularly, field offices are more close with beneficiaries and understand their needs better through participatory discussions at different stages of a project including design, implementation and evaluation. The SPO has developed an M&E system and recruited new staff members for the M&E unit. All projects are monitored as per the donors' requirement. Hence, the M&E unit is proactive and project staff and the M&E unit monitor the program performance regularly. Staffs try to address quality-efficiency issues during project design and implementations with the available budget. The M&E unit tried to look at the quality-efficiency of all programs under the organization. Besides, program staffs strictly follow the annual work plan, budget plan and performance monitoring plan to balance quality-efficiency. The M&E unit also measures efficiency, by looking at inputs and outputs.

Score: from 3.2 to 3.5 (slight improvement)

Capability to relate

4.1. Stakeholder engagement in policies and strategies: 'The organisation maintains relations/ collaboration/alliances with its stakeholders for the benefit of the organisation'

This is about whether the SPO engages external groups in developing their policies and strategies, and how.

HoA-REC/N participated with stakeholders during strategic plan development through gathering information using questionnaires and organized workshop for network members. There is a strong collaboration with all stakeholders, and planning, workshops and field missions are still done with stakeholders. For example they have established a high level Steering Committee for the Gambella and Rift Valley regions and this is a milestone in dealing with environmental governance. There is strong communication between stakeholders and staff members are trained in communication, networking and team work. The WASH project report has also verified that partner staff attend district coordination meetings in the target districts. HOA-REC/N is part of the Ethiopia WASH Alliance (EWA), in which all actors discuss updates on their activities, share ideas and experiences with regards to implementation, challenges faced, and work together to identify solutions.

Score: From 4 to 4 (no change)

4.2. Engagement in networks: 'Extent to which the organization has relationships with existing networks/alliances/partnerships'

This is about what networks/alliances/partnerships the SPO engages with and why; with they are local or international; and what they do together, and how do they do it.

Networking is one of the expertise areas of HoA-REC/N and the organization has established good relations with many environmental organizations. For instance, HoA-REC/N has hosted TERI (The Environment and Resource Institute) India and established partnerships with many other organizations including IRC (International Water and Sanitation) in the Hague, the Stockholm Environmental Institute, and UMass Boston. This is due to the fact that HoA-REC/N has good communication with its network members, organizes workshops and invites network members to discuss various thematic issues and areas of collaboration. According to some staff members, due to its nature the organization is involved in different networks and this also increases every time due to improved lobby and advocacy capacity of the management. Besides, the partnership modality has prepared the organization on how to link and jointly work with carbon affiliated local partners. Finally, the partners have conducted regular meetings to discuss emerging issues like project progress, new initiatives such as the Joint Crediting Mechanism (JCM), and to resolve some of the challenges faced in due process.

Score: From 4.5 to 4.75 (Very slight improvement)

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.

HoA-REC/N has made regular field trips to project/program sites to observe the status of project/program implementation. For this to be effective, administration makes available field vehicles as per request of the respective programs. This was possible due to the purchase of additional vehicles. Besides, the organization has facilitated and mobilized resources, and assigned responsible persons for this. However, some staffs noted that since HoA-REC/N is not a direct implementer of activities and has implemented its activities through partners, there has no room for frequent contact with the target groups for the organization. According to the CFA assessment however HoA-REC/N has increased the negotiation power of the beneficiaries or target groups towards the duty bearers. As an example, according to the carbon credit project annual report in 2013, the project to introduce fuel efficient solar stoves (FSS) was able to bring about a remarkable attitude change among the targeted local communities through stove promotion, local stakeholder consultations, and awareness creation activities. The Gimbi FSS project is the case in point where the local communities have understood the importance of the FSS and are eager to accept the stoves.

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?

Staff capacity in communication, particularly on electronic communication, has been enhanced which was due to the training on communication provided for staff by the Dutch partners. Staffs during the self-assessment noted that communication in HoA-REC/N seems better among staff members but that communication with the management needs improvement. The CFA assessment also stated that staff can talk to whomever freely on different issues and they can influence some decisions especially for program directions. However, communication is still a major problem in HoA-REC/N where staff meetings are not regular, no group retreat is organized, there is no formal body in the organization to receive complaints, and projects have no room to receive any complaints. Some staff members also pointed out that internal communication has declined. This was also evident in the EU Energy project evaluation report where communication problems between central offices in Addis Ababa and one of their partners (i.e. REST) and its field office did not help either.

Score: From 3 to 3 (No change)

Summary capability to relate

HoA-REC/N participated with stakeholders during the strategic plan development through gathering information using questionnaires and organized workshop for network members. There is also strong collaboration with all stakeholders, and planning, workshops and field missions are still done with stakeholders. Networking is one of the core areas of HoA-REC/N, it has established good relations with many environmental organizations. For instance, HoA-REC/N has hosted TERI (The Environment and Resource Institute) India and established partnerships with other organizations including IRC

(International Water and Sanitation) in the Hague, the Stockholm Environmental Institute, and UMass Boston. Moreover, HoA-REC/N made regular field trips to project sites to observe the status on project/program implementations. For this to be effective, administration makes available field vehicles as per request of respective programs/projects.. As a result according to the carbon credit project annual report in 2013, the project was able to bring about a remarkable change among the targeted local communities. Similarly, relationships within the organization have slightly changed due to the fact that staff capacity in communication, particularly electronic communication, has improved, which in turn was due to the training on communication provided for staffs by the Dutch partners. In contrast with this, some staff members noted that communication is still a major problem in HoA-REC/N, where staff meetings are not very regular, no group retreat is organized, there is no assigned formal body in the organization to receive any complaints, and projects have no room to receive any complaints.

Score: from 3.9 to 3.9 (no change)

Capability to achieve coherence

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

This is about whether there is a vision, mission and strategies; how often staff discuss/revise vision, mission and strategies; and who is involved in this.

HoA-REC/N has developed a strategic plan for the period of 2015-2020 and has revised its mission, vision and strategies with the participation of some key staffs, and with the involvement of an external consultant and network partners. However, some staffs noted that though HoA-REC/N has developed the strategic plan with the participation of network partners, only few staff members were involved during the development process. Besides, the process of strategic plan development has remained almost similar as before based on the CFA assessment.

Score: From 3.5 to 4 (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.

In this regard, HoA-REC/N has not developed new operational guidelines since the baseline in 2012 except the HR manual, and this is still in progress and not yet finalized.

Score: From 3.5 to 3.5 (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.

The organization’s vision and mission are well articulated and ready for endorsement at present. All projects proposed by implementing partners were appraised and approved in consultation with the organization vision, mission and strategic plan document. Besides, project agreements have also been amended based on the new organizations’ vision and mission. According to the staff self-assessment, project strategies have been designed in view of addressing local problems in a sustainable manner which is in line with the organization's vision and mission. This was evident where the biogas project has targeted mainly Oromia region because of the abundant availability of livestock in the region which addressed local problems using local inputs/resources; while the solar cooker was introduced by the EU energy project in mostly lowland areas where abundant sunshine is available.

Score: From 3 to 3.5 (Slight improvement)

5.4. Mutually supportive efforts: 'The portfolio of project (activities) provides opportunities for mutually supportive efforts'

This is about whether the efforts in one project complement/support efforts in other projects.

In this regard, there is better communication and synergy between programs and projects. Most projects were implemented with the involvement of different programs. For example the CRV and Gambella projects have involved all three partnership programs i.e. social and ecological sustainability, Climate Resilience and Environmental Governance programs. There has been an improvement in mutually supportive efforts between the climate and WASH programs. However, a few staff members indicated that linkages between project/programs in the organization our still poor.

Score: From 3 to 3.25 (Very slight improvement)

<u>Summary capability to achieve coherence</u>

In this regard, HoA-REC/N has developed a strategic plan for the period of 2015-2020 and have revised its vision, mission and strategies with the participation of staffs, network partners and an external consultant. The organization's vision and mission are well articulated and ready for endorsement. All projects proposed by implementing partners were appraised and approved in consultation with the organization's vision, mission and strategic plan document. Besides, project agreements have also been amended based on the new organizations' vision and mission. According to the staff self-assessment, project strategies are designed in view of addressing local problems in a sustainable manner which is in line with the organization vision and mission. Moreover, there has been better communication and synergy between programs and projects where most projects were implemented with the involvement of different partners. HoA-REC/N has not developed new operational guidelines since the baseline in 2012 except the HR manual which is not yet finalized.

Score: from 3.2 to 3.6 (slight improvement)

Centre for Development Innovation
Wageningen UR
P.O. Box 88
6700 AB Wageningen
The Netherlands
T +31 (0)317 48 68 00
www.wageningenUR.nl/cdi

Report CDI-15-058