Endline report – India, Samarthak Samiti MFS II country evaluations

Capacity of Southern Partner Organisations (5C) component

Cecile Kusters[1]
Bibhu Prasad Mohapatra[2]
Sonam Sethi [2]
Nicky Buizer[1]
Anand Das[2]
Robert Wilson Bhatra[2]
Paroma Sen[2]

1 Centre for Development Innovation, Wageningen UR
2 India Development Foundation

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

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

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The India 5C evaluation team

List of abbreviations and acronyms

Causal map	Map with cause-effect relationships. See also 'detailed causal map'.
Causal mechanisms	The combination of parts that ultimately explains an outcome. Each part of the mechanism is an individually insufficient but necessary factor in a whole mechanism, which together produce the outcome
CBO	Community Based Organisation
CCD	Covenant Centre for Development
CDI	Centre for Development Innovation, Wageningen University & Research centre
CEE-UNDP	Centre for Environment Education of the United Nations Development Programme
CFA	Co-Financing Agency
CPR	Common Property Resource
CSR	Corporate Social Responsibility
Detailed causal map	Also 'model of change'. the representation of all possible explanations – causal pathways for a change/ outcome. These pathways are that of the intervention, rival pathways and pathways that combine parts of the intervention pathway with that of others. This also depicts the reciprocity of various events influencing each other and impacting the overall change. In the 5C evaluation identified key organisational capacity changes and underlying reasons for change (causal mechanisms) are traced through process tracing (for attribution question).
FCRA	Foreign Contribution Regulation Act
FRA	Forest Rights Act Forest Rights Act
General causal map	Causal map with key organisational capacity changes and underlying reasons for change (causal mechanisms), based on SPO perception.
HR	Human Resources
IDF	India Development Foundation
LAMPS	Large Area Multipurpose Societies
M&E	Monitoring and Evaluation
MDF	MFP development Fund
MFP	Minor Forest Produce
MFS	Dutch co-financing system
MGNREGA	Mahatma Gandhi National Rural Employment Guarantee Act
MIS	Management Information System
MSP	Minimum Support Price
NABARD	National Bank for Agriculture and Rural Development
NGO	Non-Governmental Organisation
NPMI	Non-Pesticide Members Initiative
NRLM	National Rural Livelihood Mission
NSTFDC	National Scheduled Tribal Finance and Development Corporation
NTFP	Non-Timber Forest Produce
OD	Organisational Development
PESA	Panchayat Extension to Scheduled Areas
PME	Planning, Monitoring and Evaluation
Process tracing	Theory-based approach to trace causal mechanisms
ProCIF	Producer Entrepreneurship Catalyst & Incubation Facility
SBI	State Bank of India
SDTT	Sir Dorabji Tata Trust
SFAC	Small Farmers' Agribusiness Consortium
SHG	Self-Help Group
SIDBI	Small Industries Development Bank of India

SPO	Southern Partner Organisation
SPWD	Society for Promotion of Wasteland Development
SRTT	Sir Ratan Tata Trust
SS	Samarthak Samiti
ST	Scheduled Tribes
ToC	Theory of Change
TRIFED	Tribal Cooperative Marketing Development Federation of India
TSP	Tribal Sub Plan
TSR	Tribal Self-Rule
Wageningen UR	Wageningen University & Research centre
WFI	Wells for India
5 C	Capacity development model which focuses on 5 core capabilities

1 Introduction & summary

1.1 Purpose and outline of the report

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

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

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

Achievement of Millennium Development Goals (MDGs) & themes;

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

Efforts to strengthen civil society.

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

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

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

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

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

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

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

1.2 Brief summary of analysis and findings

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

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

2 General Information about the SPO – Samarthak Samiti

2.1 General information about the Southern Partner Organisation (SPO)

Country	India
Consortium	People Unlimited 4.1
Responsible Dutch NGO	Hivos
Project (if applicable)	Mobilisation of Community to strengthen MFP based livelihoods of tribal Women in South Rajasthan
Southern partner organisation	Samarthak Samiti

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

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

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

Samarthak Samiti (The Rajasthan Forest Produce Processing Group Support Society) is registered as a society working among tribal and other marginalised communities since 1995 in six districts of Rajasthan to provide guidance and motivation to smaller organizations, cooperative societies and such other societies, which are engaged with minor forest produce collection and devoted to the cause of biodiversity conservation.

Rajasthan has a tribal population of 8.42 percent against the Scheduled Tribe population of India of 10.4 percent. There are 1152 villages with 100 percent tribal population as per 2011 Census in Rajasthan.[1] The Tribal economy is mainly dependent on subsistence agriculture with forest forming an essential part of their livelihood.[2] As per the Government Estimates, a total of 100 million forest dwellers are dependent on Minor Forest Produce (MFP) for food, shelter, medicines, cash income etc. Market for MFP products not being developed the products were sold through a channel which included chain of traders comprising petty traders, small traders, big traders and wholesalers, all of them retaining a part of their profits. With producers on the other hand left with meagre income from sale of MFPs. Lack of transparency and absence of market led to rise of large numbers of middle men linking the forest producers to the market.

In Rajasthan, Rajasthan Tribal Area Development Co-operative Federation Ltd (Rajas Sangh) was established in 1976 under the Tribal sub plan area, and was given the monopoly rights for the collection and trading of the MFPs. The aim was to reduce the exploitation of the MFP collectors at the

1http://tribal.nic.in/WriteReadData/CMS/Documents/201410170519295222004StatisticalProfileofSTs2013.pdf
2 http://tribal.nic.in/WriteReadData/CMS/Documents/201410170519295222004StatisticalProfileofSTs2013.pdf

hands of the private traders through a price fixing mechanism. However, there was a significant price differential between the price of MFPs fixed by the Rajas Sangh and that from the open market i.e. traders. The Rajas Sangh had authorised agents called Large Area Multipurpose Societies (LAMPS) for the collection of MFPs. These centres were not available in remote villages where the chances of getting MFPs were high being close to the forest. It was also reported by the MFP collector that the LAMPS did not collect MFPs and collude with traders or not account the produce and sell it directly in the open market. The market rate remained higher than the Rajas Sangh rate. Though Rajas Sangh provided incentives to LAMPS for collecting the MFPs (8 percent commission is given) but the profit margin continued to remain higher in selling the produce in the open market. Samarthak Samiti, through its work influenced the price of Minor Forest Produce. It collected the MFPs from the groups (SHGs) and put pressure on the traders to increase the prices by offering higher price to the group collectors.

The provisions of PESA (Panchayat Extension to Scheduled Areas) in 1996 and FRA (Forest Rights Act) in 2006 the ownership rights of MFP were given to the Gram Sabhas[3] in the villages. The Scheduled Tribes and Other Traditional Forest Dwellers (Recognition of Forest Rights) Act, 2006 gave tribal communities right to ownership as well as, access to collect, use and dispose of minor forest produce which are traditionally collected within and outside the village boundaries.

It was also envisaged in the 2010 report of the Government, "Report of the Committee on Ownership, Price Fixation, Value Addition and Marketing of Minor Forest Produce[4]" that there is a need for strengthening of SHGs, co-operatives and producer companies for removal of exploitative traders in its place. In this report emphasis was already placed on Minimum Support Price[5] for 14 main MFP's: tamarind, mahuwa flower, mahuwa seed, tendu leaf, bamboo, sal seed, myrobalan, chironji, lac, gum, karaya, honey and seeds of karanja, neem and puwad. However, it was only in 2013-2014, that the Government of India decided to come up with a Minimum Support Price[6] (MSP) for the Minor Forest Products (MFP). This MSP will also create a social net for the producers ensuring protection of Scheduled Tribe groups living in these areas from abject poverty. The MSP for MFP has been implemented in areas under the Schedule V7 of the Constitution for certain specified items like Tendu, Mahuwa seed etc. Under the scheme "Mechanism for marketing of Minor Forest Produce (MFP) through Minimum Support Price (MSP) and development of Value Chain for MFP" launched in 2014 to be continued for the next Five Years Plan (2012-2017) an incentive in the form of procurement of 2% of the base procurement value of MFP will be given by the government to all the states for a period of five years. Government programmes towards marketing of MFP will be linked to capacity building of Gram Sabhas and Panchayati Raj Institutions. For instance, the 'Mahila Sashaktikaran Pariyojana' under the NRLM[8] (National Rural Livelihood Mission) will capacitate MFP gatherers. Emphasis has also been given to market information system for MFP, as well as, implementation of speedy dissemination of market information through MFPNET.

National Scheduled Tribal Finance and Development Corporation (NSTFDC) signed refinance agreement with the State Bank of India (SBI) in the Financial Year 2012-2013 to help ST (Scheduled Tribes) SHGs to access NSTFDC's concessional assistance and market their products by Tribal Cooperative Development Federation of India Limited (TRIFED) through its retail outlets "TRIBES INDIA[9]". TRIFED and the state agencies are envisaged to keep a close watch on the market prices during the procurement season[10]. Intervention of Samarthak Samiti in these areas towards empowering the MFP collectors group into larger groups at the sub-district and regional level, worked for long term production sustenance of MFPs for continued and improved livelihood, building

[3] Gram Sabha means a body consisting of persons registered in the electoral rolls relating to a village comprised within the area of Panchayat at the village level.

[4] http://www.panchayat.gov.in/documents/401/84079/Report_of_the_Committee_on_MinorForestProduce.pdf

[5] Minimum Support price: The MSP is a scheme of the Government of India (GOI) to safeguard the interest of the farmers. Under this scheme the GOI declares the minimum support pieces of various agricultural produces and assures the farmer that their agricultural produce will be purchased at the MSP, thereby preventing distress sell.

[7] Schedule V: Fifth Schedule of the Constitution determined the scheduled areas by an order of the President.

[8] NRLM: National Rural Livelihood Mission a project under the Ministry of Rural Development of India for poverty alleviation.

[9] http://tribal.nic.in/WriteReadData/CMS/Documents/201407280104442396450AnnualReport2013-14.pdf

[10] http://tribal.nic.in/WriteReadData/CMS/Documents/201403250507260927826operationalguidlines2.pdf

knowledge and skill of the tribal communities on collection and marketing of MFP, inculcate policy and environmental regulations for protecting community rights. This led to MFP collectors (Tendu Collectors) get a minimum support price fixed by the Forest Department of Rajasthan. Earlier the traders did not pay this support price to the producers organized a campaign raised awareness and in turn traders also had to pay minimum price, this has helped 10000 tendupatta collector tribals families.

The market for Tendupatta in 2013 in this area is affected by the policy of the government to ban smoking. But as tendupatta cooperatives have paid the minimum price of Rs. 70 per 100 bundles and organized a campaign raised awareness and in turn traders also had to pay minimum price, this has helped 10000 tendu leaves collector tribals families.

As Tribals are well connected with Samarthak Samiti, they could discuss with them on the kind of produce to be produced in the gap period. This helped the leaders to make a strategic choice to diversifying its program and move towards agriculture and animal husbandry and from production to marketing. Samarthak Samiti has moved a step up from production to marketing through strengthening its producer company.

2.3 Contracting details

When did cooperation with this partner start:

> Hivos has been aware of Samarthak Samiti's (SS) work through its relationship with Astha Sansthan that has promoted Samarthak Samiti. Hivos has also support Samarthak Samiti in 2003 for organising a meeting on behalf of South Asian Alliance for Poverty Eradication (SAAPE) through the Micro Fund Budget line. Subsequently Samarthak Samiti approached Hivos for support to build up its institution to strengthen the cooperatives of Minor Forest Produce (MFP) gatherers in Southern Rajasthan region. The first phase of support to SS for the project 'Mobilisation of Community to Strengthen MFP based Livelihoods of Tribal Women in South Rajasthan' was for the period 1 October 2006 to 31 March 2009.

What is the MFS II contracting period:

> The project "Mobilisation of Community to strengthen MFP based livelihoods of tribal Women in South Rajasthan" runs from 1st of April 2009 until 31st of March 2014 and is funded under MFS II from 1st of January 2011 until 31st of March 2014.

Did cooperation with this partner end? Yes.

If yes, when did it finish? 31 March 2014

What is the reason for ending the cooperation with this partner: This contract has come to an end following the changes in the Co-Financing Programme supported by the Dutch Ministry of Foreign Affairs. Hivos may collaborate with this partner again in the future if the work of this organization can be integrated into a new project or programme.

2.4 Background to the Southern Partner Organisation

History

Samarthak Samiti developed as an offshoot of Astha Sansthan in 1990 in Southern Rajasthan to undertake the struggle/movement to increase the wages of Tendupatta collectors which Astha Sansthan had initiated in early nineties. It aims at strengthen community based organisations (CBOs) (self-help groups (SHGs) and Cooperatives) which are engaged with minor forest produce (MFP) collection and devoted to the cause of biodiversity conservation in order to provide sustainable livelihood to the marginalised tribal communities. Also lobby for natural resource management rules, laws and policies to create a favourable condition for the marginal communities.

In the early nineties despite some drawbacks the tendupatta movement resulted in increase in the price per bundle of tendupatta and cooperatives received loan with a negotiated interest rate from the department of Cooperatives. However, in 1993-95 cooperatives suffered losses due to change in management level and local politics. As a result, the need rose to form an organization to support tendupatta cooperatives after dealing with (Rajas Sangh) and then all the cooperative members meet together and decide to form an organization known as Samarthak Samiti.

During this period Samarthak Samiti was registered as a society in 1995 under the Societies Registration Act 1956 in order to manage the five existing cooperatives and streamline their activities, while carrying out the advocacy with the government. It was also registered under FCRA in 2002. The vision of Samarthak Samiti was then defined as "Strengthening livelihood of tribal communities and other marginalized sections of the society in Rajasthan through natural resource management.", and continues with the same vision. It was decided that the work would focus on tendupatta collection and sale and cooperatives would help sustain the activities of the society. Therefore, no funds were to be asked for.

From 1997 because the construction of Samarthak Samiti was not financially sustainable, Sir Ratan Tata Trust (SRTT) was asked for funds. SRTT gave Rs 2.76 lakhs for about 3 years. Working capital was requested from NABARD and other banks but loans were refused due to lack of sufficient assets. Though Astha gave a guarantee but this guarantee was refused, asking for change in by laws of Astha. However, in 1997 SIDBI granted 20 lakhs as loan in at 11% interest.

In the year 1998-2000 there was severe drought conditions in the region which resulted poor leaf yield. This made Samarthak Samiti aware of the risk of working with single commodity based intervention and undertook studies on availability of various minor forest produce in the area. As per the outcome of the study and in order to improve the demand conditions for other MFP products such as honey, ratanjot, custard apple, etc., started organising exhibition and presentation so as to increase demand condition in the region. As a result not only the demand condition increased in the market but also the district administration provided retail space to some of the cooperatives to display and sell their products.

By the year 2003, Samarthak Samiti was managing six cooperatives: Pratapgrah, Ghatol, Kotra, Aburoad Jhalawar, Jhadol, and Bichhiwada. And in 2004, two more were added: Gogunda and Salumber. The year 2003-04 was crucial as there were no funds for the organisation and Astha had to be asked for payment of salaries.

2004 was a turning year for Samarthak Samiti as they were granted a UNDP country project for the period 2004 – 2007 (about 70,000 EUR). This project 'Strengthening Minor Forest Produce- Based Livelihoods for Tribal Women in Udaipur' helped create a unique identity for Samarthak Samiti. It started working beyond tendupatta and other MFPs collection and marketing. 6 new employees were recruited and 22 SHG groups were formed and Samarthak Samiti also expanded geographically.

As it gained better visibility and experience in the livelihood promotion of the marginal tribal communities, contributed in mobilising international funds. Towards the end of UNDP project in 2006 it received MFS funds from Hivos. Hivos funded the 'Mobilization of Community to Strengthen MFP based Livelihoods of Tribal Women in Southern Rajasthan' project since October 2006. In this project, during 2006-2008 it received for about 70,605 EUR from Hivos and it increased to 150,850 Euro in 2009-2013 of which 62,921 Euro in years 2011-2013. The unspent balance with Hivos for 2009-13 was INR

1,913,495 which gave SS an extension of one year for 2013-2014. The Hivos funding over the years has helped Samarthak Samiti strengthen its capacity, improve the visibility and establish better networks.

Samarthak Samiti had 10 staff during baseline (September 2012) and during endline (July 2014) it had 9 staff. In 2009, Samarthak Samiti has started dealing with organic agricultural produce under SPWD (Society for Promotion of Wasteland Development) funds (about 20,000 EUR for the period of 2007-2010) but shortage of rains has not let the program to be successful and the funding ended in 2010.

In 2009-2013 Samarthak Samite received funding from various funders: Christian Aid started funding since 2010 till March 2013 for about 55000 GBP was received from Christian Aid for period of 2010-2013 and Sri Dorabji Tata Trust started funding since 2011 till 2014 for about 65000 Euro / INR 5,500,000. TRIFED started funding since 2009 till 2013 for about 14000 Euro. TRIFED along with support mostly engaged in capacitating the staff in honey harvesting techniques. During this period Centre for Environment Education (CEE) project focuses on biodiversity and funded for seed. Also, at present, Samarthak Samiti has good Khadi and zila parishad linkages along with good links with forest department. Other organisations also seek advice from Samarthak Samiti for matters concerning forest produce.

The number of SHGs and cooperatives has grown over time; the number of active registered cooperatives was 7 during baseline (September 2012) and in 2014 it is increased to 9. Obtaining funds is a big problem, if all cooperatives were to work then about projected requirement would be of 3-4 crores (INR 30-40 million; between 420,000 and 520,000EUR). Some cooperatives like the one in Abu road and Kotra are self-sustaining while the remaining 7 active registered cooperatives required resources to carry out their work.

A centralized processing centre is already planned with the support of HIVOS and other partner agencies. In 2012-13 laid the foundation of the processing centre for proper set-up of processing, storage and training. This is a grass roots level training cum processing demonstration centre at Kotra cooperative office premise is set including activities like Honey filter and processing, Jamun Sirka preparation, grinding unit, processing of Chikori powder. This centre also helps young girls to learn income generation avenues in alternate opportunities. The project developed centre so that it provides additional employment by creating grading and the value addition facilities for products like Satawar, Asgandh, Musali, Ratanjyot, Kanji and Dolma.

Samarthak Producer Company Limited which was registered during 2011 formally got registered in the Agriculture Produce Marketing Committee (APMC) and also got register its trade mark "desert Greens" for producing, processing and marketing Honey and Ark and Saharbat in area.

MFP Development Fund (MFD) which supports the small financial needs of the groups to carry out the activity of the MFPs collection and marketing to made payments to the collectors for their urgent needs. In this fund all the Cooperatives and forest community groups contributes. Since 2009 MFD has been managed by members on rotation. Presently this fund is managed by the Vanopaj Samuh Sangh. It is further planned to train the members on financial management to manage and utilize the fund and pass on this knowledge and skill to community leaders in the area, so that by the end of the project period a sustainable fund management system is at place.

The significance of MFPs is high for poor tribal communities in the area as they constitute important part of their livelihoods and potentials are large. In this whole trade of MFPs over-exploitation and even local extirpation in response to intensive harvest is the major threat to forest ecosystem and community economics. The result is that the natural resource base is becoming degraded in certain areas, and an increasing number of species are becoming extinct. In such circumstances, maintaining MFP harvest and trade within sustainable levels presents a major challenge today and the foreseeable future. With government's anti-smoking policy and changing donor priority has added further challenges. Thus the organisation has further made strategic change to move toward agriculture and animal husbandry production and marketing for creating better sustainable livelihood for the target groups.

Vision

Strengthening livelihood of tribal communities and other marginalized sections of the society in Rajasthan through natural resource management.

Mission

Samarthak Samiti endeavours to strengthen people's organizations by facilitating appropriate interventions in collection, processing and marketing of forest produces in Rajasthan.

Strategies

The strategies followed by Samarthak Samiti are the following:

- Support forest dwellers for getting their rights in the forest area and to collect the forest products.
- Promote the natural agriculture and Non pesticides used agriculture products in area;
- Social mobilization of the women's especially tribal women's to get there rights over natural resource. Information exchange within the community in changes of rules and regulations regarding the forest;
- Provide support for the creation of new groups and Cooperatives for collective marketing of their products;
- Provide financial, marketing and legal support to organizations like groups and cooperatives for selling there MFPs and other products;
- Research, survey and documentation of information related with different varieties of forest produce;
- Enhance the organizational and financial capacities of smaller groups.

3 Methodological approach and reflection

3.1 Overall methodological approach and reflection

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

The description of indicators for the baseline in 2012 served as the basis for comparison during the endline in 2014. In practice this meant that largely the same categories of respondents (preferably the same respondents as during the baseline) were requested to review the descriptions per indicator and indicate whether and how the endline situation (2014) is different from the described situation in 2012[11].

Per indicator they could indicate whether there was an improvement or deterioration or no change and also describe these changes. Furthermore, per indicator the interviewee could indicate what interventions, actors and other factors explain this change compared to the baseline situation. See

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

below the specific questions that are asked for each of the indicators. Per category of interviewees there is a different list of indicators to be looked at. For example, staff members were presented with a list of all the indicators, whilst external people, for example partners, are presented with a select number of indicators, relevant to the stakeholder.

The information on the indicators was collected in different ways:

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

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

Key steps to assess changes in indicators are described

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

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

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

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

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

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

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

3.3.1 Selection of SPOs for 5C process tracing

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

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

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

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

Ethiopia: AMREF, ECFA, FSCE, HUNDEE (4/9)

India: BVHA, COUNT, FFID, SMILE, VTRC (5/10)

Indonesia: ASB, ECPAT, PtPPMA, YPI, YRBI (5/12)

Liberia: BSC, RHRAP (2/5).

3.3.2 Key steps in process tracing for the 5C study

In the box below you will find the key steps developed for the 5C process tracing methodology. These steps will be further explained here. Only key staff of the SPO is involved in this process: management; programme/ project staff; and monitoring and evaluation staff, and other staff that could provide information relevant to the identified outcome area/key organisational capacity change. Those SPOs selected for process tracing had a separate endline workshop, in addition to the ' general endline workshop. This workshop was carried out after the initial endline workshop and the interviews

during the field visit to the SPO. Where possible, the general and process tracing endline workshop have been held consecutively, but where possible these workshops were held at different points in time, due to the complex design of the process. Below the detailed steps for the purpose of process tracing are further explained. More information can be found in Appendix 1.

Key steps in process tracing for the 5C study

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

3.3.3 Methodological reflection

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

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

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

General causal map: whilst this general causal map, which is based on key organisational capacity changes and related causes, as perceived by the SPO staff present at the endline workshop, has not been validated with other sources of information except SPO feedback, the 5C evaluation team considers this information important, since it provides the SPO story about how and which changes in

the organisation since the baseline, are perceived as being important, and how these changes have come about. This will provide information additional to the information that has been validated when analysing and describing the indicators as well as the information provided through process tracing (selected SPOs). This has proven to be a learning experience for many SPOs.

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

A few remarks need to be made:

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

Utilisation of the evaluation

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

Design – mainly externally driven and with a focus on accountability and standard indicators and approaches within a limited time frame, and limited budget: this MFS II evaluation is originally based on a design that has been decided by IOB (the independent evaluation office of the Dutch Ministry of Foreign Affairs) and to some extent MFS II organisations. The evaluators have had no influence on the overall design and sampling for the 5C study. In terms of learning, one may question whether the most useful cases have been selected in this sampling process. The focus was very much on a rigorous evaluation carried out by an independent evaluation team. Indicators had to be streamlined across countries. The 5C team was requested to collaborate with the other 5C country teams (Bangladesh,

Congo, Pakistan, Uganda) to streamline the methodological approach across the eight sampled countries. Whilst this may have its purpose in terms of synthesising results, the 5C evaluation team has also experienced the difficulty of tailoring the approach to the specific SPOs. The overall evaluation has been mainly accountability driven and was less focused on enhancing learning for improvement. Furthermore, the timeframe has been very small to compare baseline information (2012) with endline information (2014). Changes in organisational capacity may take a long, particularly if they are related to behaviour change. Furthermore, there has been limited budget to carry out the 5C evaluation. For all the four countries (Ethiopia, India, Indonesia, Liberia) that the Centre for Development Innovation, Wageningen University and Research centre has been involved in, the budget has been overspent.

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

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

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

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

4 Results

4.1 MFS II supported capacity development interventions

Below an overview of the different MFS II supported capacity development interventions of Samarthak Samiti that have taken place since 2011 are described. The information is based on the information provided by Hivos and Samarthak Samiti.

The information available about the MFS II supported capacity development interventions comes partly from the support to capacity development sheet filled in by Hivos in September 2012, other progress reports received and the support to capacity development sheet filled in by SS in March 2014. Unfortunately the person within Hivos who was well familiar with SS no longer works for Hivos India and therefore could not provide additional inside information on the capacity development of SS. Tasks and responsibilities were transferred to the Hivos head office in the Netherlands upon closure of the Bangalore office in December 2013 and in anticipation of the establishment of a new office in Mumbai in August 2014.

In the progress report for the period 1 April 2013 – 31 March 2014 on the project "Mobilisation of Community to strengthen MFP based livelihoods of tribal Women in South Rajasthan" funded by Hivos, the following capacity building activities are mentioned:

- During this year SS organised a training for its staff on producer company management , exposure to the other producer company and the marketing exposure in the big events.
- Staff training: Team members were sent to a training programme where the opportunity came towards two persons, who were sent to a producer company training organised by ALC, Hyderabad at Udaipur.

The table below is based on the interventions that Samarthak Samiti has mentioned as funded by Hivos in the support to capacity development sheet.

Table 1
Information about MFS II supported capacity development interventions since baseline

Title of the MFS II supported capacity development intervention	Objectives	Activities	Timing and duration	Budget
Finance Management and Accounting Workshop by Hivos in Bangalore	To improve the financial management systems in the organization	2 staff members (Secretary/programme and accounts) participated in this in-house workshop for Hivos its partners for new FCRA and progress	6-9 September 2011	€ 235
Training on Project Management and Result Based Monitoring in Udaipur	Staff have a better understanding of project management	Training by Mr. Subodh Tonadan for all staff	21-22 October 2011	€ 471
RBM and Project Management training in Udaipur	Understanding for better project management	Training by Mr. Deepak Sharma for all staff	9 November 2011	€ 118
Training on Management of the producers organisation in Udaipur	Understanding about the producer organisation	Training by ALC , Hydarabad A cluster facilitator and the accounts person of SS participated in this.	14-16 November 2013	€ 94
Training on Management of the Social enterprise in Anand	Understanding about Social enterprise management	Training by IRMA. A cluster facilitator participated in this.	18-22 March 2014	€ 353

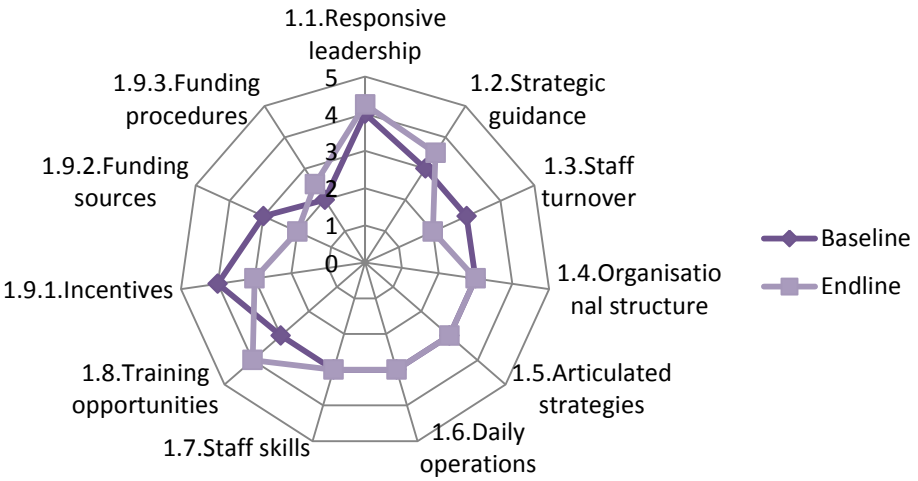
Source: Baseline report Samarthak Samiti and 5C endline_support to capacity development sheet_SPO perspective_India_Samarthak Samiti

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

Below you can find a description of the changes in each of the five core capabilities. This information is based on the analysis of the information per each of the indicators. This detailed information for each of the indicators describes the current situation, and how and why it has changed since the baseline. See also annex 3.

4.2.1 Changes in the five core capabilities

Capability to act and commit



The most serious change that affected the organisation has been the reduction in funding. Most of Samarthak Samiti's contracts with donors have ended in 2014, including the one with Hivos, meaning a significant decrease in its funding base. Whilst there are still no formal funding procedures, SS has improved staff's capacity to write proposals and they have approached five potential funders to cope with this poor funding situation. Other coping strategies include: widening its strategic focus to appeal to a wider set of donors; strengthening its producer company in the hope that they can support the organisation's strategies and pay the salaries of the staff of Samarthak Samiti; the MFP development fund which helps in the self-sustainability of the producer's groups that Samarthak Samiti supports; being hired as resource agency by SFAC[12] and by TRIFED to organise short term NTFPs based training. They were able to get funding from Centre for Environment Education of the United Nations Development Programme (CEE-UNDP) and Wells for India (WFI) to continue the "Mobilization of Community to Strengthen MFP based Livelihoods of Tribal Women in Southern Rajasthan" programme until December 2015 and pay half of the field staff's salaries. The chief functionary has taken it upon himself to develop proposals and new relationships with potential donors. The leader of Samarthak Samiti is still responsive and focussed in his work. Reduced funding and need to sustain the organisation has compelled the leader to be self-reliant. He has become more independent from external consultants and Astha (the mother organisation of SS) as he increased his capacity to write reports, proposals and approach donors. The leader has improved his capacity to network and has approached new donors for the sustainability of the organisation: in 2013 he approached the Centre for Environment Education Ahmedabad and Wells for India. The leader is focusing on the capacity building of his field staff by offering them training opportunities and exposure visits so that they can independently train the target groups. The strategic directions provided by the leader are still in line

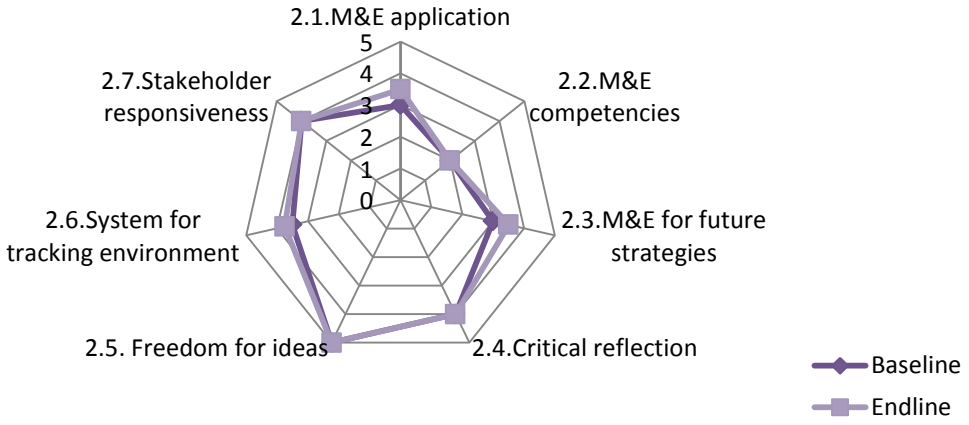
12 SFAC is a consortium that supports new ventures in Agro-based industries. The target groups are individuals, farmers, producer groups, SHGs etc. and the consortium helps them get venture capital by linking them with banks

with the vision of the organization. The leader is now taking a more business-like approach by focussing on non-timber forest produce (NTFP) collection, livelihoods and marketing and focusses more on generating own income instead of depending on grants. Samarthak Samiti has well-articulated strategies both at the programme as well as the organizational level that are based on good situational analysis and on achieving sustainability. Through its field staff Samarthak Samiti is always aware of the situation on the ground. The organisation's daily operations are still in line with strategic plans. Monthly plans are made based upon quarterly targets and staff makes daily plan based on the monthly plans. In the last two years as the funding from the donors has gradually reduced, staff salaries have also been reduced by 50%. Two project level staff had to leave the organization because of lack of funds to keep them, which has increased the workload on the remaining staff. Staff turnover at the field level continues to be low. Field staff is from the community and are motivated to help their own community. SS remains to be a not very hierarchical organisation and there are no changes in the organisational structure. There is a plan to reshuffle the board members and form an advisory committee to make the decision making process faster. While staff has improved their skills in areas that were lacking during the baseline (MIS, nursery raising, technical support on agriculture, developing producer organisation), there continues to be a need to improve basic English skills gaps. While SS continued to provide a customised training and exposure visit programme to staff and had reached a good level of trained staff, with 2-3 trained staff leaving the situation changed dramatically. The programme staff that was trained on results-based monitoring could not be retained as the organisation did not have sufficient funds.

Score baseline: 3.1

Score endline: 3.0 (no change)

Capability to adapt and self-renew



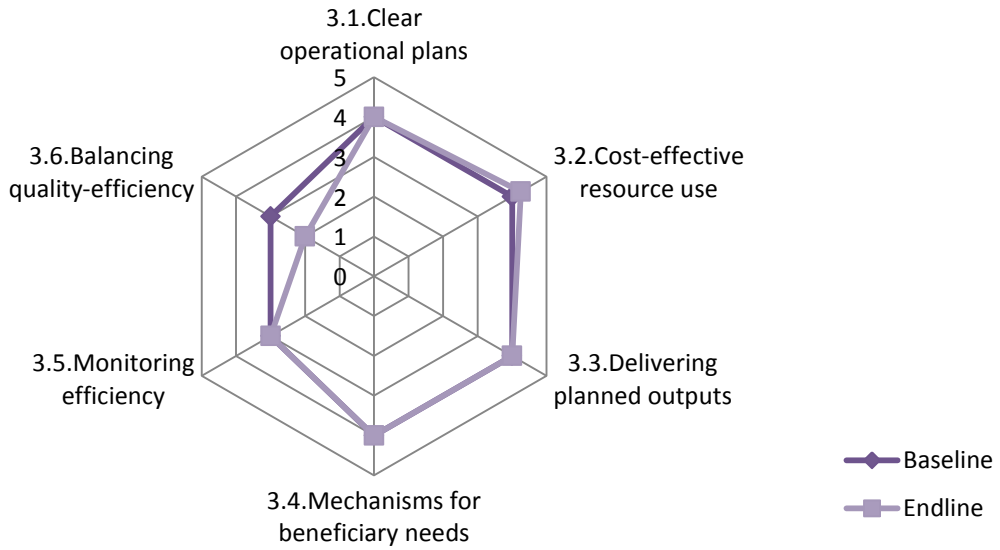
Samarthak Samiti continues to have regular meetings to report on and discuss project related issues but still does not have a comprehensive and formalised M&E system in place. Monitoring is still done for inputs and outputs through record keeping. Since the baseline Samarthak Samiti has fine-tuned its templates and MIS formats for data collection and monitoring both at the field and head quarter level. In its reports, indicators at activity and outcome level are reported on. The reports are submitted monthly by the field staff. These are then compiled, analysed and translated to English by the leader. While field staff has become better at monitoring and collecting data and the leader is becoming less dependent on external consultants for drafting reports, programme staff that was trained in results-based monitoring have left the organisation due to lack of funding. The informal analysis of data and the overall M&E process improved over the last two years as donors have continuously pointed at the gaps. This has helped Samarthak Samiti to learn from previous experiences and use this in developing new strategic plans. Staff continue to meet regularly to discuss issues at project level. They also feel comfortable to come to the leader to ask for advice as he is very approachable and likes to sit in the same room as staff. With reduction in funds, issues are discussed more often. Decision making is participatory and decentralised and this supports people in talking freely. There are frequent discussions and their ideas are welcomed and used. Samarthak Samiti continues to work with the

cooperatives which helps them in tracking any changes regarding the situation on the ground. As Samarthak Samiti continues to work on products of which many are regulated by the government, they stay up to date with the relevant acts and policies; and make use of the relevant state and national government provisions. With government's anti-smoking policy and changing donor priority the organisation made strategic change to move toward agriculture and animal husbandry production and marketing. SS is now also tracking trends in agriculture through its network in the non- pesticide management initiative. The information now seems to be coming from both the local and national level. The organisation continues to be open to take inputs from different beneficiaries and sensitive to their needs.

Score baseline: 3.5

Score endline: 3.7 (very slight improvement)

Capability to deliver on development objectives

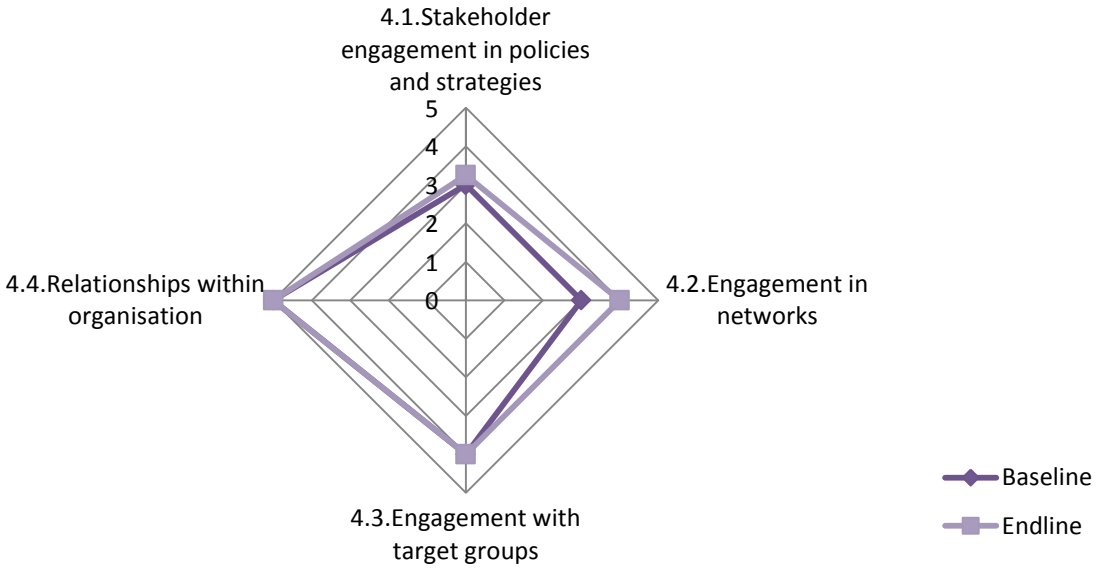


Samarthak Samiti continues to have a work plan and budget for each project. Quarterly, monthly and daily plans are made in alignment with the annual strategic plan. In some of the clusters the staff meets daily to discuss their plans and activities. Staff still have access to vehicles and computers that enable them to carry out their work. With a reduction in funds, using resources in a cost-effective manner has become more important. The leader and field staff are now less dependent on the external consultant and only hire him when in dire need. Most of the planned outputs are carried out and delivered. There are external factors, like climatic conditions and auction prices that sometimes prevent the execution of plans and submission of deliverables. Samarthak Samiti continues to work in a participatory and decentralized way. They are a membership organisation having representation from various cooperatives; the programmes are developed based on the needs and alternatives suggested by the members. Input-output ratios are still not developed as per the definition of the term and no formal mechanisms for staff appraisal are in place. Monitoring efficiency could have improved as two project staff were trained on results-based monitoring. However, they left the organisation as they could not be retained due to financial constraints. Due to lack of staff there is no proper monitoring and sufficient field visits of the programme and as a result the quality and efficiency of the work has deteriorated. Furthermore, the current staff is overburdened with double workloads against half the salary.

Score baseline: 3.7

Score endline: 3.5 (very slight deterioration)

Capability to relate

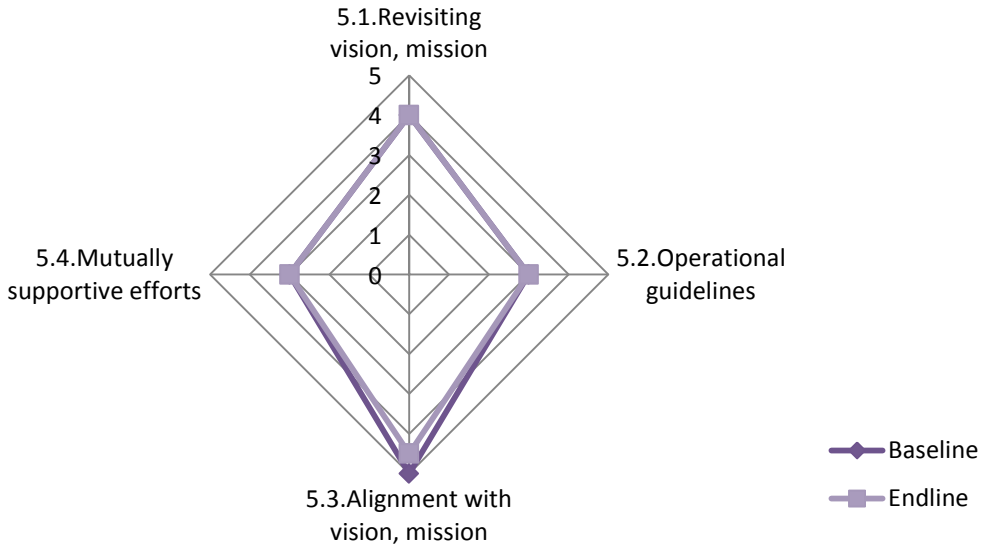


Samarthak Samiti continues to maintain relationships with local likeminded NGOs and cooperatives and takes inputs from them while preparing strategic plans. A new network they are part of is the Non-Pesticide Management Initiative (NPMI) which helps them in developing strategies on agriculture. During the last two years Samarthak Samiti has continued its relationship with cooperatives, government and like-minded NGOs, but is now linking up with other organisations and relevant networks also at the national level. These include: SFAC for promoting producer organisations in Rajasthan, MFP Drafting committee of the government, NPMI, Tribal Self-Rule Network and the Herbal Network India. This has strengthened the capacity of the organization in lobbying for policy change and betterment of the tribal community. Samarthak Samiti continues to maintain close relationships with the cooperatives and in the last two years field level staff gained confidence to independently conduct meetings with the community groups which strengthened their interaction with them. However, due to reduced funding and the leader being overburdened with work his interaction with the target groups has reduced. Staff continues to have good interpersonal relationships and feel free to discuss issues among themselves and with their leader.

Score baseline: 3.8

Score endline: 4.1 (very slight improvement)

Capability to achieve coherence



For now, Samarthak Samiti's projects, strategies and associated operations are still aligned with its vision and mission. Samarthak Samiti is however, rethinking its strategic focus to move it from NTFP collection and marketing to agriculture and forest based strategies due to the government's anti-smoking policy affecting the demand for tendu patta and the change in funders' priorities. This is not in line with the current vision and mission which both focus on natural resource management and collection, processing and marketing of forest produces (not agriculture). Operational plans, HR guidelines and gender policy still exist in the organisation but are not strictly followed as there are few staff members and reduced funding. There is still a need to follow the gender policy more systematically. Due to having less people in the organization, the staff is multi-tasking which further ensures that there is no duplication of work and the project activities are mutually supportive. A negative result of this is that staff over overburdened.

Score baseline: 3.8

Score endline: 3.6 (very slight deterioration)

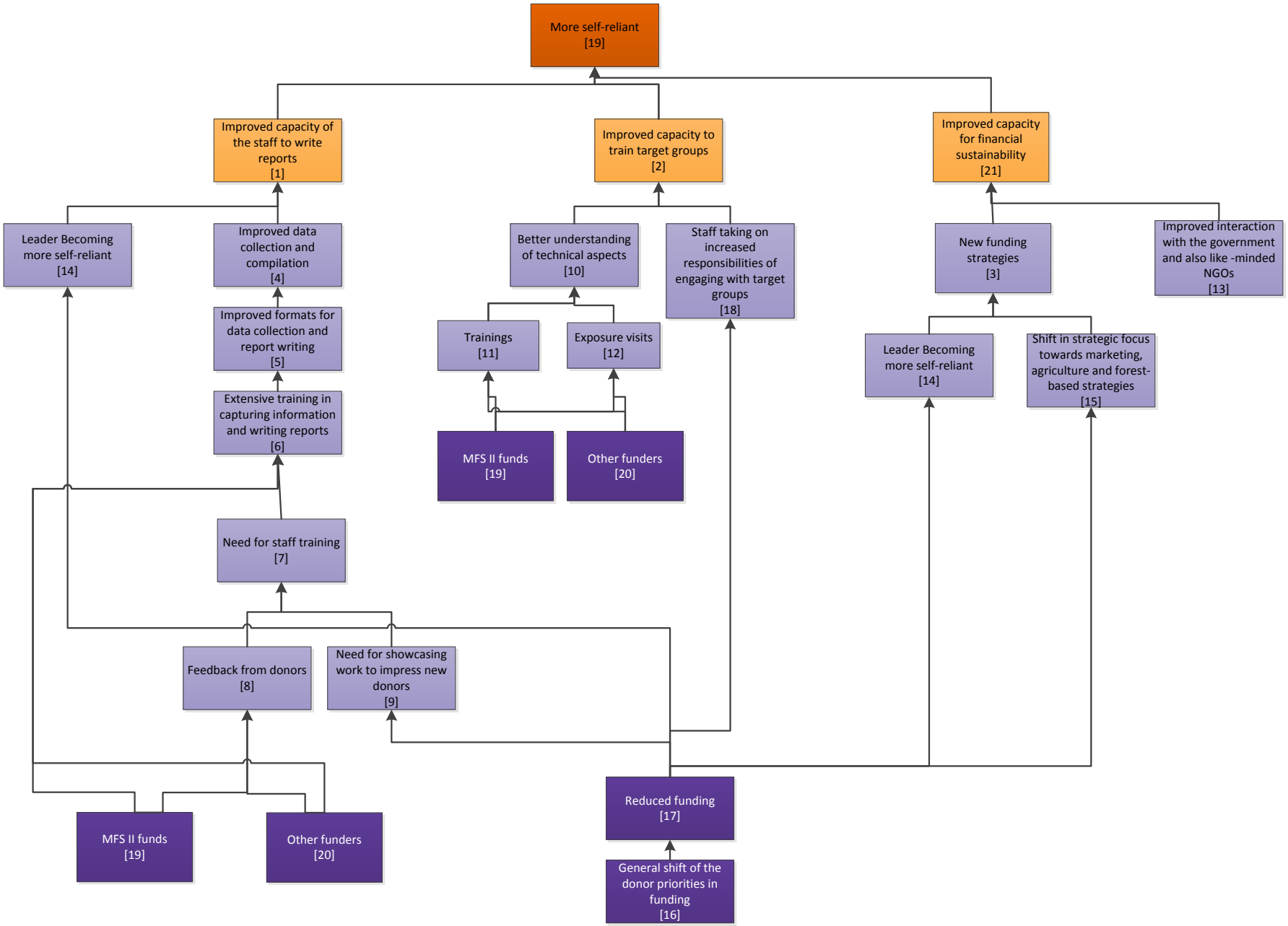
4.2.2 General changes in the organisational capacity of the SPO

The evaluation team carried out an endline assessment at Samarthak Samiti from 1 to 3 July 2014. During the endline workshop at the SPO, a discussion was held around what were the main changes in organisational capacity since the baseline and why these changes have taken place. The discussion was visualised in a general causal map as can be seen below. The narrative for the general causal map is also described below. It gives a more general picture of what was seen as important changes in the organisation since the baseline, and how these changes have come about, and that tells the more general story about the organisational changes in the SPO. The evaluators considered it important to also note down the SPO's story and this would also provide more information about reasons for change, which were difficult to get for the individual indicators. Also for some issues there may not have been relevant indicators available in the list of core indicators provide by the evaluation team. The detailed narrative can be found in Annex 4.

During this workshop, the team made a recap of key features of the organisation in the baseline in 2012 (such as vision, mission, strategies, clients, partnerships). This was the basis for discussing changes that had happened to the organisation since the baseline. According to staff present at the endline workshop. Samarthak Samiti has become more self-reliant in the last two years since the baseline. This has been due to the following key organizational capacity changes:

1. Improved capacity of the staff to write reports [1]
2. Improved capacity of the staff to train target groups [2]
3. Improved capacity for financial sustainability [21]

During the endline workshop it was discussed what were the reasons for each of these organisational capacity changes. The three main organisational capacity changes are described in the light orange boxes and some of their key consequences are noted above these cards in dark orange. Light purple boxes represent factors and aspects that influence the key organisational capacity changes (in light orange). Key underlying factors that have impacted the organisation are listed at the bottom in dark purple. The narrative describes per organisational capacity change, the contributing factors as described from the top down. The numbers in the visual correspond with the numbers in the narrative.


More self-reliant
[19]
Improved capacity of the staff to write reports
[1]
Improved capacity to train target groups
[2]
Improved capacity for financial sustainability
[21]
Leader Becoming more self-reliant
[14]
Improved data collection and compilation
[4]
Improved formats for data collection and report writing
[5]
Extensive training in capturing information and writing reports
[6]
Need for staff training
[7]
Feedback from donors
[8]
Need for showcasing work to impress new donors
[9]
MFS II funds
[19]
Other funders
[20]
Better understanding of technical aspects
[10]
Staff taking on increased responsibilities of engaging with target groups
[18]
Trainings
[11]
Exposure visits
[12]
MFS II funds
[19]
Other funders
[20]
New funding strategies
[3]
Improved interaction with the government and also like -minded NGOs
[13]
Leader Becoming more self-reliant
[14]
Shift in strategic focus towards marketing, agriculture and forest-based strategies
[15]
Reduced funding
[17]
General shift of the donor priorities in funding
[16]

1. Improved capacities of the staff to write reports [1]

During the endline workshop, SS staff indicated that their capacity to write reports has improved [1] and that this is related to:

- *The leader becoming more self-reliant [14].* The leader is less dependent on external consultants and Samarthak Samiti's mother organisation Astha Sansthan. This is evident from the fact that the consultant was initially invited for 4-5 times in a month but now his help is sought only 4-5 times in a quarter. The leader has been independently trying to put together proposals, compiling information from the field and translating it into English, which he is now better versed in.
- *Improved data collection and compilation [4].* The improved capacity of the staff for data collection, report writing and monitoring improved the quality of monthly reports. This is evident from the approval letter of 2014 Annual Review Report of Samarthak Samiti.

2. Improved capacities of the field staff to train target groups [2]

Samarthak Samiti has improved its capacity to train the target groups on technologies, entrepreneurship development, business potential and sustainability [2], which is noted in the additional partner contract with Hivos for extension of the budget. The staff is more confident in conducting meetings with the target groups, officials of the forest departments and the police. Improved capacities of the field staff to train target groups [2] is due to:

- *Staff expresses better understanding of the technical aspects of their roles [10]:* this is demonstrated by for example advising beneficiaries on sustainable farming, processing of NTFP, documentation related to dispatch of NTFP and helping beneficiaries negotiate with local traders
- *Staff to take on increased responsibility of engaging with the target groups [18]:* The other reason for improved capacity of SS staff to train the target group was that staff now take on the responsibility of engaging with the target groups. Earlier the staff was more dependent on the leader or a resource person to train the target groups and solve problems.

3. Improved capacity for financial sustainability [21]

SS improved its capacity for financial sustainability [21] because the organization started using new funding strategies [3] and because they improved their interaction with the government and like-minded NGOs [13]:

- *New funding strategies [3]* During the last two years the staff has improved their skills significantly to collect focused data from the field, to write better reports in order to showcase its work to new donors. While during the baseline Samarthak Samiti depended on an organisational development specialist for finalising their proposals, they are now trying to independently to put together proposals, and they are making better use of data and field experiences. The chief functionary has taken it upon himself to develop proposals and new relationships with potential donors. SS currently is in contact with the following potential donors:
  - Cement company to make it part of their CSR
  - NABARD (National Bank for Agriculture and Rural Development) Jaipur for the tree-based Wadi support for tribal groups in the area
  - Christian Aid, hopefully to support SS in a consortium of the BEE-Keeping for agriculture production project in 2014-2016
  - As a Hivos partner SS also has applied to the Producer Entrepreneurship Catalyst & Incubation Facility (PROCIF) for capacity building and will also apply for the working capital and other support.
- *During the endline workshop, SS staff also indicated that they have improved their interaction with the government and also other like –minded NGOs [13].* One of the networks that Samarthak Samiti has strengthened is that they are now empanelled as resource agency by SFAC[13].

13 SFAC is a consortium that supports new ventures in Agro-based industries. The target groups are individuals, farmers, producer groups, SHGs etc. and the consortium helps them get venture capital by linking them with banks

Underlying factors:

- *Other funders [20]:* have funded trainings and exposure visits that (indirectly) led to improved data collection and compilation [4] and staff expressing a better understanding of the technical aspects of their roles [10].
- *MFS II funds [19]:* also were used for trainings and exposure visits that (indirectly) led to improved data collection and compilation [4] and staff expressing a better understanding of the technical aspects of their roles [10].
- *Reduced funding [17]* and need to sustain the organisation has compelled the leader to be self-reliant [14] because of a shift in donor priorities [16]. Reduction in funding [17] has also led to staff taking on increased responsibility of engaging with the target groups [18] and the organisation starting to use new funding strategies [3].

5 Discussion and conclusion

5.1 Methodological issues

In order to get detailed information on the capacity development of the staff, self-assessment forms were filled in by the management (Secretary cum chief functionary), HR/Administration staff (HR/Administration, Finance officer), and field staff (three community worker and cluster facilitator). Two of SS' programme staff left the organization during the period of evaluation, due to inadequate funds to support these staff. As a result, the evaluators did not have filled in self-assessment forms for those programme staff. Though the questions in the self-assessments were aimed at looking closely into the detailed changes, these questions became very repetitive. Evaluators tried to resolve this, by clarifying the responses by follow-up interviews after studying the responses.

The evaluators interviewed one partner of SS and the organisation's Organisation Development Consultant, which gave insight into the organisation's capacity, strategic planning and funding situation. Dependence of Samarthak Samiti on the Organisation Development Consultant has gradually reduced due to funding crunch and lack of new projects.

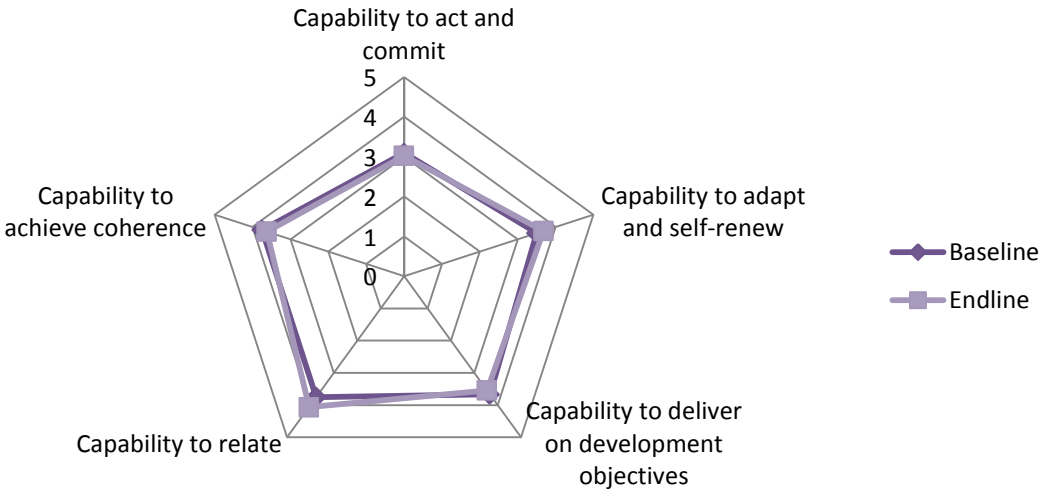
Unfortunately the person within Hivos (the CFA) who was well familiar with SS no longer works for Hivos India and could therefore not provide additional inside information on the capacity development and the changes in the organisational capacity indicators of SS. Tasks and responsibilities of the Hivos office in India were transferred to the Hivos head office in the Netherlands upon closure of the Bangalore office in December 2013 and in anticipation of the establishment of a new office in Mumbai in August 2014. The information on the capacity development interventions was "reconstructed" based on the baseline report, and the progress reports. The support to capacity development sheet was filled in by SS in March 2014, with the help of the CFA (the person responsible for managing the India portfolio in the transition of offices).

The five funders they had during the baseline have almost all terminated their contracts in 2014 (including Hivos). The effect of this might not be shown completely in the general causal map, since these changes are recent, whilst most likely the implications and consequences for SS are big.

5.2 Changes in organisational capacity

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

1. *What are the changes in partner organisations' capacity during the 2012-2014 period?*
4. *What factors explain the findings drawn from the questions above?*



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

Over the last two years many changes took place in the indicators under the capability to act and commit. Because of reduced funding the leader became more self-reliant and less dependent on the external consultant. The leader focussed more on capacity building for staff and at the same time second line leadership was strengthening. The leader also started taking a more business-like approach and through strategic planning exercises SS came to a more holistic strategy for its work. The leader also improved his networking capacity. There was a slight deterioration in the indicator on staff turnover, as 2-3 key staff left the organisation in the last two years, taking with them valuable skills. This was because of reduced funding, which led to having to let two staff members go and halving the salaries while increasing the workload of the staff that remained. There has, however, been improvement in the amount of trainings that were offered to staff. Hivos and other donors identified gaps and there were more need-based trainings in the last two years. As most of the contracts ended in 2014 there was a deterioration in the funding situation of SS. This in turn led SS to improve its capacity to showcase its work and write proposals for new funding opportunities slightly.

In the capability to adapt and self-renew SS improved slightly in various indicators. SS fine-tuned their M&E templates and MIS formats and made them available in Hindi for field staff to understand. There has also been internal capacity building for staff which has helped them in improving the M&E process. The improvement in the M&E process allowed SS to learn from their previous experiences which they take along in their strategic plans. In this sense, SS' strategic use of M&E has improved slightly. There has also been a very slight improvement in SS' tracking of its operating environment. They are now part of more (also national) networks, like the non-pesticide management initiative which allows them to track trends in agriculture, which is a new area they are working in.

In terms of the capability to deliver on development objectives, there has been a very slight improvement in cost-effectiveness, as reduced funding pushed SS to become more cost-effective. They are now e.g. making less use of hiring an external OD-consultant to assist in proposal writing. Because of the same reduced funding the ability of SS to balance quality and efficiency, however, deteriorated. They were unable to retain talented staff which negatively affected both the quality and the efficiency of their work.

In the capability to relate, SS is now receiving feedback on its strategies and policies from a more diverse set of stakeholders, including government agencies with whom they have better relationships. They have improved their networks, because there is now more interaction with different partners and they are more open to other organisations and networks, not only at local but also at national level.

Finally, SS slightly deteriorated in its capability to achieve coherence as they are applying new strategies, more related to agriculture, but these are not yet aligned with their current vision and mission which is only about natural resource management.

During the endline workshop some key organisational capacity changes were brought up by SS's staff, these have been captured in the general causal map in 4.2.2: improved staff capacity to write reports, improved staff capacity to train target groups and improved capacity for financial sustainability. The

evaluators considered it important to also note down the SPO's story and this would also provide more information about reasons for change, which were difficult to get for the individual indicators. Also for some issues there may not have been relevant indicators available in the list of core indicators provide by the evaluation team.

SS said it improved its staff capacity in writing reports because their leader became more self-reliant and staff improved their capacity to collect and compile data. Becoming more self-reliant was triggered by reduced funding (including the ending of the MFS II contract in March 2014). Improved data collection and compilation skills can be attributed to trainings by MFS II funds (e.g. financial management training in 2012) and other funders like SDTT and Astha Sansthan. SS was better able to train their target groups because of a better understanding of the technical aspect of their roles and staff taking on increased responsibility of engaging with the target groups. The better understanding of the technical aspect can be attributed to trainings funded by MFS II and other funders (SDTT, IRMA), and these trainings focused on business plan development, marketing etc. Staff took up increased responsibility/workload because of reduced funding (including the ending of the MFS II contract in March 2014). Finally, SS to have had improved their capacity for financial sustainability because of new funding strategies, that were triggered by reduced funding, and improved interaction and networks with like-minded NGOs and government agencies. The new funding strategies were also due to the leader becoming more self-reliant and the shift in strategic focus from NTFP collection and marketing to agriculture and forest based strategies. According to SS, MFS II funded capacity development interventions thus played a role in improving their data collection and compilation and in improving their understanding of the technical aspect of their role in supporting their partners, in particular in advising beneficiaries on sustainable farming, processing of NTFP, documentation related to dispatch of NTFP and helping beneficiaries negotiate with local traders.

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2. SS-Work_Plan_2012-13 (Updated).doc
3. Review Report 2012-13- 11Feb.doc
4. SS-Work Plan_2013-14 26th May , Extension.doc
5. Review Report 2013-14.docx
6. Staff and other details for 2014.xlsx

List of the persons for interview at Samarthak Samiti.docx
1. SS - 5 C Table - 25-03.docx
1001404_SS_Approval of 2012_13 Finanacial Audited Statement.pdf
Audit statement (FC) 2012-2013.docx
Audited – stat(income & exp) – FC 2012-130001.docx
Audited statement consolidated – 2012-2013.docx
Clarification for Hivos on report 2013.docx
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Contract 1001404
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140227 Assessment 2014 ARR - request for additional information.pdf
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Annual Review Report 12-13.doc
approval Prog Rep 11-12.pdf
asses. ann. rep 11-12.docx
assessment_WP 12-13.docx
Comment_annual report.doc
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Copy of SS unutilised balance calculation 31-Mar-12.xlsx
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SS-Work_Plan_2012-13.doc
Work Plan 2011-2012.doc
Overall-Budget-Samarthak_-2012-13.xls
SS Work plan approval letter 2012-13.docx

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ATTENDANCE SHEET for SS 1-3 July Workshop.docx
5C endline_support to capacity development sheet_SPO perspective_India_Samarthak Samiti (2).docx
Annex K_5c endline workshop_key changes and factors_SPO perspective_country_name SPO.docx

5c endline self-assessment sheet_management_India_Samarthak.docx
5c endline self-assessment sheet_admin HRM staff_India_Samarthak.docx
5c endline self-assessment sheet_field staff_India_Samarthak Samiti.docx

5c endline interview guide_OD consultants_selected indicators_Samarthak Samiti.docx
5c endline interview guide – partners – selected indicators_India_Samarthak.docx

List of Respondents

Samarthak Samiti staff:

Name	Designation	1st July	2nd July	3rd July
Kamlendra Singh Rathore	Secretary and Program Coordinator	Present	Present	Present
Panna Lal Dangi	Admin, H.R and Finance	Present	Present	Present
Asha Ram	Cluster facilitator	Present	Present	Present
Heera mani	Community worker	Present	Present	Present
Bhura Ram	Community worker	Present	Present	Present
Dhanna Ram	Community worker	Present	Present	Present

CFA:

Some information obtained from Caroline Brants and Karel Chambille from Hivos.

Unfortunately the person within Hivos who was well familiar with SS no longer works for Hivos India and therefore could not provide additional inside information on the capacity development of SS. Tasks and responsibilities were transferred to the Hivos head office in the Netherlands upon closure of the Bangalore office in December 2013 and in anticipation of the establishment of a new office in Mumbai in August 2014.

Partner:

Mr. Vyas, ASTHAA, Senior Expert. Interviewed on 3 July 2014

OD consultant:

Deepak Sharma, Udaipur, Programme design, Mentoring, Documentation & Reporting. Interviewed on 3 July 2014.

Appendix 1 Methodological approach & reflection

1. Introduction

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

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

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

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

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

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

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

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

This question was mainly addressed by reviewing changes in 5c indicators, but additionally a 'general causal map' based on the SPO perspective on key organisational capacity changes since the baseline

has been developed. Each of these is further explained below. The development of the general causal map is integrated in the steps for the endline workshop, as mentioned below.

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

The description of indicators for the baseline in 2012 served as the basis for comparison during the endline in 2014. In practice this meant that largely the same categories of respondents (preferably the same respondents as during the baseline) were requested to review the descriptions per indicator and indicate whether and how the endline situation (2014) is different from the described situation in 2012.[14] Per indicator they could indicate whether there was an improvement or deterioration or no change and also describe these changes. Furthermore, per indicator the interviewee could indicate what interventions, actors and other factors explain this change compared to the baseline situation. See below the specific questions that are asked for each of the indicators. Per category of interviewees there is a different list of indicators to be looked at. For example, staff members were presented with a list of all the indicators, whilst external people, for example partners, are presented with a select number of indicators, relevant to the stakeholder.

The information on the indicators was collected in different ways:

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

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

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

Key steps to assess changes in indicators are described

16. Provide the description of indicators in the relevant formats – CDI team
17. Review the descriptions per indicator – in-country team & CDI team
18. Send the formats adapted to the SPO to CFA and SPO – in-country team (formats for SPO) and CDI team (formats for CFA)
19. Collect, upload & code the documents from CFA and SPO in NVivo – CDI team
20. Organise the field visit to the SPO – in-country team
21. Interview the CFA – CDI team
22. Run the endline workshop with the SPO – in-country team
23. Interview SPO staff – in-country team
24. Fill-in observation sheets – in-country team
25. Interview externals – in-country team
26. Upload and auto-code all the formats collected by in-country team and CDI team in NVivo – CDI team
27. Provide to the overview of information per 5c indicator to in-country team – CDI team
28. Analyse data and develop a draft description of the findings per indicator and for the general questions – in-country team
29. Analyse data and develop a final description of the findings per indicator and per capability and for the general questions – CDI team
30. Analyse the information in the general causal map –in-country team and CDI-team

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

Below each of these steps is further explained.

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

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

General questions about key changes in the capacity of the SPO

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

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

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

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

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

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

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

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

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

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

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

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

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

- Project documents: project proposal, budget, contract (Note that for some SPOs there is a contract for the full MFS II period 2011-2015; for others there is a yearly or 2-yearly contract. All new contracts since the baseline in 2012 will need to be collected);
- Technical and financial progress reports since the baseline in 2012;.

- Mid-term evaluation reports;
- End of project-evaluation reports (by the SPO itself or by external evaluators);
- Contract intake forms (assessments of the SPO by the CFA) or organisational assessment scans made by the CFA that cover the 2011-2014 period;
- Consultant reports on specific inputs provided to the SPO in terms of organisational capacity development;
- Training reports (for the SPO; for alliance partners, including the SPO);
- Organisational scans/ assessments, carried out by the CFA or by the Alliance Assessments;
- Monitoring protocol reports, especially for the 5C study carried out by the MFS II Alliances;
- Annual progress reports of the CFA and of the Alliance in relation to capacity development of the SPOs in the particular country;
- Specific reports that are related to capacity development of SPOs in a particular country.

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

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

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

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

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

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

General causal map

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

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

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

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

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

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

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

An endline workshop with the SPO was intended to:

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Background information on process tracing

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

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

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

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

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

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

Selection of SPOs for 5C process tracing

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

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

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

ETHIOPIA

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

Table 1

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

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

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

Source: country baseline report, Ethiopia.

Below you can see the table describing when the contract with the SPO is to be ended, and whether both SPO and the CFA expect to focus on these two selected capabilities (with MFS II funding). Based on the above-mentioned selection criteria the following SPOs are selected for process tracing: AMREF,

ECFA, FSCE, HUNDEE. In fact, six SPOs would be suitable for process tracing. We just selected the first one per CFA following the criteria of not including more than one SPO per CFA for process tracing

Table 2

SPOs selected for process tracing – Ethiopia

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

INDIA

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

Table 3

The extent to which the Dutch NGO explicitly targets the following capabilities – India[15]

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

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

Source: country baseline report, India.

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

Table 4

SPOs selected for process tracing – India

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

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

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

INDONESIA

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

Table 5

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

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

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

Source: country baseline report, Indonesia.

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

Table 6

SPOs selected for process tracing – Indonesia

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

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

LIBERIA

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

Table 7

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

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

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

Source: country baseline report, Liberia.

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

Table 8

SPOs selected for process tracing – Liberia

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

Key steps in process tracing for the 5C study

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

Key steps in process tracing for the 5C study

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

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

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

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

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

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

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

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

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

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

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

The CFA was asked to describe all the MFS II supported capacity development interventions of the SPO that took place during the period 2011 up to now. The CDI team reviewed this information, not only the interventions but also the observed changes as well as the expected long-term changes, and

then linked these interventions to relevant outcomes in one of the capabilities (capability to act and commit; and capability to adapt and self-renew).

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

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

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

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

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

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

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

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

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

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

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

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

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

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

A model of change of good quality includes:

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

A model of change (within the 5C study called a 'detailed causal map') is a complex system which produces intermediate and long-term outcomes by the interaction of other parts. It consists of parts or causes that often consist of one actor with its attributes that is implementing activities leading to change in other parts (Beach & Pedersen, 2013). A helpful way of constructing the model of change is to think in terms of actors carrying out activities that lead to other actors changing their behaviour. The model of change can be explained as a range of activities carried out by different *actors* (including the CFA and SPO under evaluation) that will ultimately lead to an outcome. Besides this, there are also '*structural*' elements, which are to be interpreted as external factors (such as economic conjuncture); and *attributes* of the actor (does the actor have the legitimacy to ask for change or not, what is its position in the sector) that should be looked at (Beach & Pedersen, 2013). In fact Beach and Pedersen, make a fine point about the subjectivity of the actor in a dynamic context. This means, in qualitative methodologies, capturing the changes in the actor, acted upon area or person/organisation, in a non sequential and non temporal format. Things which were done recently could have corrected behavioural outcomes of an organisation and at the same ime there could be processes which incrementally pushed for the same change over a period of time. Beach and Pedersen espouse this methodology because it captures change in a dynamic fashion as against the methodology of logical framework. For the MFS II evaluation it was important to make a distinction between those paths in the model of change that are the result of MFS II and rival pathways.
The construction of the model of change started with the identified key organisational capacity change/ outcome, followed by an inventory of all possible subcomponents that possibly have caused the change/ outcome in the MFS II period (2011-up to now, or since the baseline). The figure below presents an imaginary example of a model of change. The different colours indicate the different types of support to capacity development of the SPO by different actors, thereby indicating different pathways of change, leading to the key changes/ outcomes in terms of capacity development (which in this case indicates the ability to adapt and self-renew).

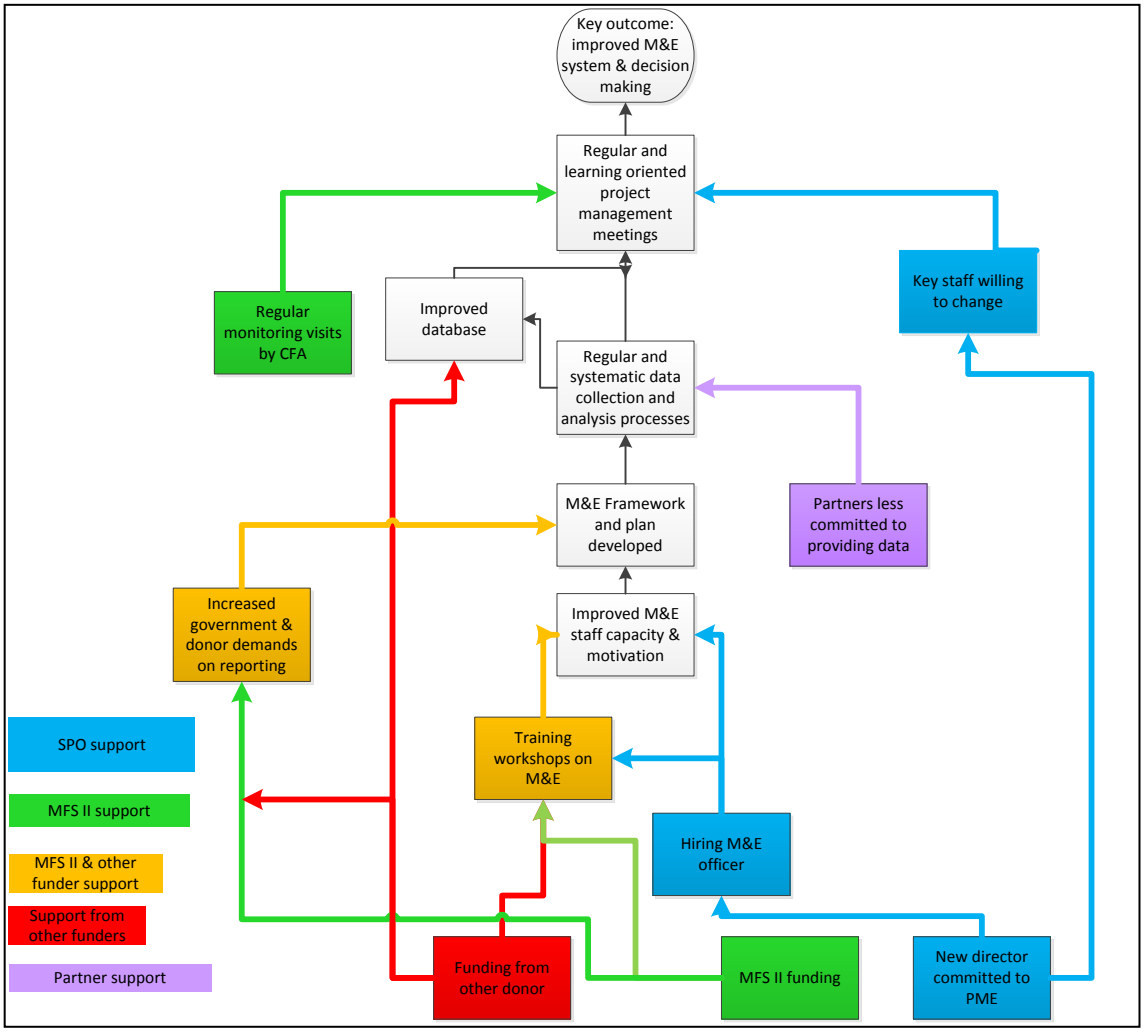


Figure 1 *An imaginary example of a model of change*

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

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

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

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

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

Types of evidence to be used in process tracing

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

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

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

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

Source: Beach and Pedersen, 2013

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

Table 9

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

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

Please note that for practical reasons, the 5C evaluation team decided that it was easier to integrate the specific questions in the narrative of the initial causal map. These questions would need to be

addressed by the in country team during the process tracing workshop so as to discover, verify or discard particular causal mechanisms in the detailed, initial causal map. Different types of evidence was asked for in these questions.

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

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

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

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

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

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

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

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

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

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

4. Explaining factors – evaluation question 4

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

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

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

5. Methodological reflection

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

Use of the 5 core capabilities framework and qualitative approach: this has proven to a be very useful framework to assess organisational capacity. The five core capabilities provide a comprehensive picture of the capacity of an organisation. The capabilities are interlinked, which was also reflected in

the description of standard indicators, that have been developed for the purpose of this 5C evaluation and agreed upon for the eight countries. Using this framework with a mainly qualitative approach has provided rich information for the SPOs and CFAs, and many have indicated this was a useful learning exercise.

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

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

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

A few remarks need to be made:

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

result of different factors, actors and interventions. Organisations change because people change and therefore understanding when and how these individuals change behaviour is crucial. Also attrition and change in key organisational positions can contribute considerably to the outcome.

Utilisation of the evaluation

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

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

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

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

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

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

Appendix 2 Background information on the five core capabilities framework

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

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

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

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

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

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

Competencies are the energies, skills and abilities of individuals.

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

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

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

There is some overlap between the five core capabilities but together the five capabilities result in a certain level of capacity. Influencing one capability may have an effect on one or more of the other

capabilities. In each situation, the level of any of the five capabilities will vary. Each capability can become stronger or weaker over time.

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

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

Capability to act and commit

Level of Effective Leadership

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

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

The leader continues to be responsive and focused in his work. Since the baseline there is a slight improvement in the capacity of the leader in being more self-reliant and taking more responsibility in developing proposals, taking the lead in writing donor reports and strategic planning. He is less dependent on external consultants and Samarthak Samiti's mother organisation Astha Sansthan. This is evident from the fact that the consultant was initially invited for 4-5 times in a month but now his help is sought only 4-5 times in a quarter. He has been independently trying to put together proposals, compiling information from the field and translating it into English, which he is now better versed in. The leader is focusing on the capacity building of his field staff by offering them training opportunities and exposure visits so that they can independently train the target groups and address their issues. Reduced funding and need to sustain the organisation has compelled the leader to be self-reliant. The leader is still mentored by the general body which consists of 24 cooperative members and 2 invitees and meets twice a year. The executive council consists of 13 members (3 women) who meet regularly every quarter and act upon decisions taken at the general body meetings and also share information on the progress of the cooperatives. Also second line of leadership is strengthening as the accountant is taking on more responsibilities.

Score baseline: 4.0

Score endline: 4.25 (very slight improvement)

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

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

The strategic directions provided by the leader are still in line with the vision of the organization. Though he gives strategic guidance he also allows the flexibility to modify the guidelines in case the conditions on the field require doing so. The leader is now taking a more business-like approach by focussing on non-timber forest produce (NTFP) collection and marketing. This change in approach has come about through strategic planning exercises with the team. Samarthak Samiti is now more looking at holistic agriculture based on the livelihoods approach with a focus on generating own income instead of depending on grants. The leader has also improved his capacity to network with the government and like-minded NGOs and looks at other sustainable strategies for the organisation. He has taken initiatives in approaching new donors for the sustainability of the organisation. As a result he approached two new donors in 2013: the Centre for Environment Education Ahmedabad and Wells for India. The functioning of SS is still transparent and the decision making both internal and external

is democratic in nature. SS being an umbrella organisation for several minor forest produce groups and cooperatives still has a strong representation of cooperative members from the community.

Score baseline: 3.0

Score endline: 3.5 (slight improvement)

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

This is about staff turnover.

Staff turnover continues to be low at the field level. The staff is committed to the organisation and the leader. However, the 2-3 key programme staff has left during the last two years as the organisation did not have funds to support them. The SS team now has six members. The staff that has left held responsible positions and Samarthak Samiti's success depended on their capabilities. This is thus a serious concern as it reflects the poor funding status of the organisation, its inability to retain its staff and at the same time involves loosing skills acquired by the staff during training programmes.

Score baseline: 3.0

Score endline: 2.0 (deterioration)

Level of realistic strategic planning

1.4.Organisational structure: 'Existence of clear organisational structure reflecting the objectives of the organisation'

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

Since baseline there has been no change in the organisational structure. There is still no very strong hierarchal structure. Everyone works and sits together in one room; also the leader prefers working with staff in the same room. An organogram is available in the Operational Policy. Strategic and operational decisions are taken by the project team headed by the secretary, and these are then presented in the executive body meeting for approval. During the endline workshop a plan that is in the pipeline was shared with the evaluation team to reshuffle the board members and form an advisory committee, so that the decision making process can be faster.

Score baseline: 3.0

Score endline: 3.0 (no change)

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

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

Samarthak Samiti has well-articulated strategies both at the programme as well as the organizational level. While the former is based on a good situational analysis of the target population the latter is based on achieving sustainability. Since the field staff of Samarthak Samiti works closely with the target population they are always aware of the situation on the ground. The organisation has formed different Minor Forest Produce (MFP) collection groups and capacitated them to become entrepreneurs. Regular interaction with these groups through meetings and trainings helps Samarthak Samiti get feedback on their programme strategies. In order to be self –sustainable, the organisation is in the process of strengthening their producer company for marketing their products. Samarthak Samiti has initiated a centralized processing and storage centre at the cooperative level for their products. The producer company which was registered in 2011 now has the "Desert Green" trademark on its products. The leader is trying to strengthen producer companies with the hope that the salaries of the staff of Samarthak Samiti will be paid by the members of the cooperatives for the services they offer. However, until now only one out of nine cooperatives got registered and further effort is needed to strengthen the cooperatives.

Score baseline: 3.0

Score endline: 3.0 (no change)

Level of translation of strategy into operations

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

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

Day to day operational plans continue to be in line with the strategic plans. The annual strategic plan clearly defines activities, objectives, output, outcomes and quarterly targets and based on this the staff make monthly plans. The monthly plans are presented in the first week of the month and on the basis of these monthly plans, daily plans are made. Before setting out to work, the field staff at the cluster level meets to review the work plan for the day.

Score baseline: 3.0

Score endline: 3.0 (no change)

Level of Staff Capacity and Motivation

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

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

In comparison with the baseline situation staff express a better understanding of the technical aspects of their roles. They have improved their skills in advising beneficiaries on sustainable farming, processing of Non-Timber Forest Produce (NTFP), documentation related to dispatch of NTFP and helping beneficiaries negotiate with local traders. Field staff have also developed their skills in documentation procedures, invoices and preparing receipt for dispatch of goods. Customised/ needs-based training and exposure visit programmes supported by Hivos and other donors have capacitated the staff on different skills and knowledge, such as: use of bio-pesticide, nursery raising, managing and developing a producer company, report writing, case study writing and MIS. Most of the gaps in staff skills that were flagged in the baseline are now filled. Field staff's capacity has increased in marketing the product as they learned from the experience in the festivals Vikas mela and Shrashti mela. This has resulted in increased capacity of the staff to train their target groups. The leader has made a conscious effort to improve his English by writing reports and proposals with minimal help from the OD consultant. There is still a need for the staff to improve their Basic English and a mechanism for the organization to retain its skilled staff or knowledge because 2-3 trained staff left the organisation as Samarthak Samiti. This has been a major setback for Samarthak Samiti. While SS had reached a good level of trained staff, with 2-3 trained staff leaving the situation changed dramatically. The programme staff that was trained on results-based monitoring could not be retained as the organisation did not have sufficient funds. In effect, while there is trained field staff in the organisation, trained programme staff has left Samarthak Samiti.

Score baseline: 3.0

Score endline: 3.0 (no change)

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

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

During the last two years Samarthak Samiti has made significant effort in providing need based training opportunities to its staff with an aim to be self-sustaining. Hivos and other donors continuously identified gaps in the skills of the staff and trained them on focused data collection, report and proposal writing. Some of the trainings that were offered to the staff were on: FCRA act

and financial management supported by Hivos (2012, in Bangalore); writing reports and case studies facilitated by a consultant and Astha Sansthan (2014, in Udaipur); Waadi cultivation training; leadership (2013, at Astha Sansthan, Udaipur); bio-pesticides making training (2013, in Dhariyawad, Rajasthan); business planning training supported by Hivos (at Mungana Rajasthan); results-based monitoring and project engagement (in Udaipur); nursery raising and use of bio-pesticide training supported by Dorabji Trust (in Udaipur in 2012); project and financial management orientation (in Dahood); participatory marketing system development training supported by Christian Aid (in Madurai in 2013); management of the social enterprise training at (in Anand); management of producer company (in Hyderabad). There have also been exposure visits in 2014: visit to the Indian Institute of Management, Ahmedabad in 2014 to learn about how to market produce, supported by Hivos and Dorabji Trust; visit to Sultanpur, Madhya Pradesh to see the income generation activities of other cooperatives, supported by Dorabji Trust and Hivos; visit to Krishi Vigyan Kendra, supported by Hivos and Krishi Vigyan Kendra. In 2013 the following exposure visits were made: visit to Pratapgarh Krishi Vigyan Kendra for prevention of pest attacks, funded by Dorabji Trust, visit to Shrashti mela, a three day fair where NGOs showcase their products, supported Dorabji Trust and Hivos; visit to Coimbatore on methods of honey collection.

Score baseline: 3.0

Score endline: 4.0 (no change)

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

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

The leader continues to be the role model for the staff. Also, since the field staff is from the community, they are motivated to help their own community. It is thus the internal drive that keeps them loyal and committed towards the organisation. In the last two years as the funding from the donors has gradually reduced, staff salaries have also been reduced by 50%. Two project level staff had to leave the organization due to lack of funds to support them. This has increased the workload on the remaining staff.

Score baseline: 4.0

Score endline: 3.0 (deterioration)

Level of Financial Resource Security

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

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

During the baseline evaluation, Samarthak Samiti received funds from five different donors. Most of the contracts terminated in 2014, for example the contract with Hivos ended on the 31st of March 2014. Over the last two years, funding has therefore decreased. As a consequence to the phasing out of donor funding, government's anti-smoking policy (which had an impact on the sale of tendu patta) and the general shift in the donor priorities, Samarthak Samiti made strategic plans and efforts towards sustainability.

In December 2013 SS managed to get funds from the Centre for Environment Education of the United Nations Development Programme (CEE-UNDP) and Wells for India (WFI) for two years up to October 2015 for the programme "Mobilization of Community to Strengthen MFP based Livelihoods of Tribal Women in Southern Rajasthan." This grant is released at six monthly intervals and is subject to their performance in the project. With this grant SS is supporting its field staff at half their earlier salaries. Further, Samarthak Samiti is hired as a resource agency by the Small Farmers' Agribusiness

Consortium (SFAC)[16] for promoting producer organisation in Rajasthan. It is also hired by TRIFED for organising short term NTFPs based training support for the staff and target group.

Score baseline: 3.0

Score endline: 2.0 (deterioration)

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

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

There are still no formal procedures to explore new funding possibilities. However, during the last two years the staff has improved their skills significantly to collect focused data from the field, to write better reports in order to showcase its work to new donors. While during the baseline Samarthak Samiti depended on an organisational development specialist for finalising their proposals, they are now trying to independently to put together proposals, and they are making better use of data and field experiences. The chief functionary has taken it upon himself to develop proposals and new relationships with potential donors. SS currently is in contact with the following potential donors:

- Cement company to make it part of their CSR;
- NABARD (National Bank for Agriculture and Rural Development) Jaipur for the tree-based Wadi support for tribal groups in the area;
- Christian Aid, hopefully to support SS in a consortium of the BEE-Keeping for agriculture production project in 2014-2016;
- As a Hivos partner SS also has applied to the Producer Entrepreneurship Catalyst & Incubation Facility (PROCIF) for capacity building and will also apply for the working capital and other support.

The leader understands that all these funding sources are in a nascent stage which needs further effort to strengthen to be completely self-sustained. Some other initiatives that Samarthak Samiti is taking to enhance their funding base are:

- Its producer company which was registered in 2011 got its trademark, "Desert Green", registered in 2013 for smooth and easy sale of its products. Samarthak Samiti is trying to strengthen its producer company with the hope that the salaries of the staff of Samarthak Samiti will be paid by the members of the cooperatives for the services they offer. With this producer company they are also focusing on new product innovations and marketing such as Beeswax lip balm, Maize Papdi, lentil, aloe vera juice, amla juice and jamun.
- Moving its strategic focus from NTFP collection to marketing, agriculture and forest based strategies to be able to approach a wider range of donors;
- The organisation is focusing on developing cooperatives as small processing and storage centres. All the NTFP and agricultural products can be processed and stored for marketing there so that they withhold the product in the store for a longer period and sell it when the market prices are good.
- Its producer company which was registered in 2011 got its trademark, "Desert Green", registered in 2013 for smooth and easy sale of its products. Samarthak Samiti is trying to strengthen its producer company with the hope that the salaries of the staff of Samarthak Samiti will be paid by the members of the cooperatives for the services they offer. With this producer company they are also focusing on new product innovations and marketing such as Beeswax lip balm, Maize Papdi, lentil, aloe vera juice, amla juice and jamun.
- The MFP development Fund (MDF) had been created 5 years ago for easy and timely credit to the group members involved in purchase of MFP from the villagers, for processing and value addition. Revolving fund management policy has been developed for better management of this fund. It was a unique step towards attaining self-sustainability in the business of MFP collection and trading by producers' groups. During the last two years most of the amount was used for making advance payments to the honey, Jamun and agriculture collection groups. Since the baseline the MDF fund

[16] SFAC is a consortium that supports new ventures in Agro-based industries. The target groups are individuals, farmers, producer groups, SHGs etc. and the consortium helps them get venture capital by linking them with banks

has increased from Rs. 6,00,000 to Rs. 9,54,000 a growth of 59.98 percent. This fund helps make Samarthak Samiti's programmes and their effects more sustainable. Further, Samarthak Samiti is hired as a resource agency by SFAC for promoting producer organisation in Rajasthan. It is also hired by TRIFED for organising short term NTFPs based training support for the staff and target group.

The leader of Samarthak Samiti has improved his capacity to write proposals independently for different donors and is trying its best to come up with new innovative proposals, but funders have not been showing long-term interest

Score baseline: 2.0

Score endline: 2.5 (slight improvement)

Summary of capability to act and commit

The most serious change that affected the organisation has been the reduction in funding. Most of Samarthak Samiti's contracts with donor have ended in 2014, including the one with Hivos, meaning a significant decrease in its funding base. Whilst there are still no formal funding procedures, SS has improved staff's capacity to write proposal and they have approached five potential funders to cope with this poor funding situation. Other coping strategies include: widening its strategic focus to appeal to a wider set of donors; strengthening its producer company in the hope that they can support the organisation's strategies and pay the salaries of the staff of Samarthak Samiti; the MFP development fund which helps in the self-sustainability of the producer's groups that Samarthak Samiti supports; being hired as resource agency by SFAC[17] and by TRIFED to organise short term NTFPs based training. They were able to get funding from Centre for Environment Education of the United Nations Development Programme (CEE-UNDP) and Wells for India (WFI) to continue the "Mobilization of Community to Strengthen MFP based Livelihoods of Tribal Women in Southern Rajasthan" programme until December 2015 and pay half of the field staff's salaries. The chief functionary has taken it upon himself to develop proposals and new relationships with potential donors. The leader of Samarthak Samiti is still responsive and focussed in his work. Reduced funding and need to sustain the organisation has compelled the leader to be self-reliant. He has become more independent from external consultants and Astha (the mother organisation of SS) as he increased his capacity to write reports, proposals and approach donors. The leader has improved his capacity to network and has approached new donors for the sustainability of the organisation: in 2013 he approached the Centre for Environment Education Ahmedabad and Wells for India. The leader is focusing on the capacity building of his field staff by offering them training opportunities and exposure visits so that they can independently train the target groups. The strategic directions provided by the leader are still in line with the vision of the organization. The leader is now taking a more business-like approach by focussing on non-timber forest produce (NTFP) collection, livelihoods and marketing and focusses more on generating own income instead of depending on grants. Samarthak Samiti has well-articulated strategies both at the programme as well as the organizational level that are based on good situational analysis and on achieving sustainability. Through its field staff Samarthak Samiti is always aware of the situation on the ground. The organisation's daily operations are still in line with strategic plans. Monthly plans are made based upon quarterly targets and staff makes daily plan based on the monthly plans. In the last two years as the funding from the donors has gradually reduced, staff salaries have also been reduced by 50%. Two project level staff had to leave the organization because of lack of funds to keep them, which has increased the workload on the remaining staff. Staff turnover at the field level continues to be low. Field staff is from the community and are motivated to help their own community. SS remains to be a not very hierarchical organisation and there are no changes in the organisational structure. There is a plan to reshuffle the board members and form an advisory committee to make the decision making process faster. While staff has

[17] SFAC is a consortium that supports new ventures in Agro-based industries. The target groups are individuals, farmers, producer groups, SHGs etc. and the consortium helps them get venture capital by linking them with banks

improved their skills in areas that were lacking during the baseline (MIS, nursery raising, technical support on agriculture, developing producer organisation), there continues to be a need to improve basic English skills gaps. While SS continued to provide a customised training and exposure visit programme to staff and had reached a good level of trained staff, with 2-3 trained staff leaving the situation changed dramatically. The programme staff that was trained on results-based monitoring could not be retained as the organisation did not have sufficient funds.

Score baseline: 3.1

Score endline: 3.0 (no change)

Capability to adapt and self-renew

Level of effective application of M&E

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

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

Whilst Samarthak Samiti continues to hold regular meetings to report on and discuss project related issues, there is still a need to have a comprehensive and more formalized M&E system. Monitoring of the project is still carried out at three levels based on participatory approach: 1) field level monitoring of the project is an ongoing process; 2) monthly joint review meetings where completion of project activities are reported and discussed at project level; and 3) quarterly meetings are organized at proposed cluster level with minor forest produce group meetings.

For project input monitoring (finance, equipment and human resource) the following records are still maintained: Monthly Progress Report, Trial balance and Budget-Expenditure statements; Logbooks to give utilization of equipment and instruments; performance of human resources is monitored through monthly schedule and achievement reports on task assignments. Towards output monitoring, projects still keep group based records on various minor forest produce, value addition, sale and income by different group members for various products. Records are maintained within the groups of problems and issues they have come across and actions taken to keep to planning. There is still a General body meeting twice a year and the Executive body meets every quarter. The entire project related and day to day operational decisions are taken by project team headed by secretary, which are later presented in executive body meeting for their approval.

Since the baseline Samarthak Samiti has fine-tuned its templates and MIS formats for data collection and monitoring both at the field and headquarter level. It now has separate formats for data collection for each forest produce unit collected by the cooperatives. These formats are in Hindi, to enable field staff to fill them easily. To ensure consistency and improving quality of data collection and compilation, capacity building workshops are organised for the staff. This process has helped staff to collect focused data regularly and track their progress on their activities, outputs and outcomes in a more systematic manner. Indicators are formulated, monitored and reported on at the activity and outcome level. The reports are submitted monthly by the field staff. These are then, compiled, analysed and translated to English by the leader.

Score baseline: 3.0

Score endline: 3.5 (slight improvement)

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

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

Gradually there is less dependency of Samarthak Samiti on external consultants for preparing draft reports for the donor. The field staff's competency in monitoring, collecting and compiling the data has improved. Further capacity building trainings are conducted for the staff on MIS. As a result there is

better flow of information from the field to the head office which is further analysed and compiled by the leader. Earlier the leader had to call up the field staff frequently to fill in the missing links in the data. This has reduced considerably after the staff has been trained on data collection. Project staff were trained on results-based monitoring for better project management and decision making process at project level. However, the organisation could not retain these staff which, being a small organisation, resulted in loss of M&E competences of the organisation.

Score baseline: 2.0

Score endline: 2.0 (no change)

Level of strategic use of M&E

2.3.M&E for future strategies: 'M&E is effectively applied to assess the effects of delivered products and services (outcomes) for future strategies'

This is about what type of information is used by the SPO to make decisions; whether the information comes from the monitoring and evaluation; and whether M&E info influences strategic planning.

During the last two years donors have continuously pointed out gaps in data collection and reporting. Their aim was to strengthen data collection methods and procedures. There is improvement in the M&E process and the informal analysis of the data. This has helped Samarthak Samiti to learn from its previous experience on technical issues which has helped in developing new strategic plans. Reports submitted by field staff, cluster facilitators and community workers in the meetings are still valuable, according to which amendments are made in plans and accounts. The accounts person continues to do a monthly or bimonthly analysis to see if funds are being utilized as per budget. This helps in planning for the future.

Score baseline: 3.0

Score endline: 3.5 (slight improvement)

Level of openness to strategic learning

2.4.Critical reflection: 'Management stimulates frequent critical reflection meetings that also deal with learning from mistakes'

This is about whether staff talk formally about what is happening in their programs; and, if so, how regular these meetings are; and whether staff are comfortable raising issues that are problematic.

The staff continues to have regular monthly review meetings to discuss issues at project level. Cluster level meetings are still organized with minor forest produce groups every quarter. Reports are also reviewed to pick up on issues that need to be taken up. Samarthak Samiti is a small organisation, with an easy to approach leader who has a separate room but likes to sit in the same room as staff. Decision making is participatory and decentralised and this supports people in talking freely. There are frequent discussions and their ideas are welcomed and used. Apart from this, the leader continues to be always available to discuss other problems, in case of a problem, staff can easily ask for advice. With the reduction in funds, issues are discussed even more often.

Score baseline: 4.0

Score endline: 4.0 (no change)

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

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

There has been no change in this indicator. Samarthak Samiti is a small organisation, with an easy to approach leader who has a separate room but likes to sit in the same room as staff. Decision making

is participatory and decentralised and this supports people in talking freely. There are frequent discussions and their ideas are welcomed and used.

Score baseline: 5.0

Score endline: 5.0 (no change)

Level of context awareness

2.6.System for tracking environment: 'The organisation has a system for being in touch with general trends and developments in its operating environment'

This is about whether the SPO knows what is happening in its environment and whether it will affect the organization.

Samarthak Samiti continues to work with the cooperatives. This ensures not only continuous and regular interaction but also enables them to track any changes regarding the situation on the ground. Astha Sansthan continues to pass on information that is finds relevant for Samarthak Samiti. The organisation has developed new networks with like-minded NGOs, state and national level organisations for sharing, learning and discussing several issues. This helped the leader in tracking different developments and changes. Awareness on the key issues related to the minor forest producers including their rights and responsibilities has helped Samarthak Samiti take suitable action. As Samarthak Samiti continues to work on products of which many are regulated by the government, they stay up to date with the relevant acts, like the Panchayats Extension to Scheduled Areas (PESA) Act, which enables Gram Sabhas to self-govern natural resources and make use of the relevant state and national government provisions like the Green India project, which allocates land under village pasture and MGNREGA[18] work to promote MFP based plantations. With government's anti-smoking policy and changing donor priorities the organisation made a strategic change to move toward agriculture and animal husbandry production and marketing. After this strategic change, SS is now also tracking trends in agriculture. SS membership of a network of four organisations who are part of the non- pesticide management initiative, helps in this. The organisation is also keeping track of its competitors in the MFP sector through being part of a Drafting Committee set up by the government to develop a Draft MFP Policy. The information seems to be locally based but now also a bit more information is tracked at the national level.

Score baseline: 3.5

Score endline: 3.75 (very slight improvement)

2.7.Stakeholder responsiveness: 'The organisation is open and responsive to their stakeholders and the general public'

This is about what mechanisms the SPO has to get input from its stakeholders, and what they do with that input.

In the last two years there has been no change in this indicator. The organisation continued to be open to take inputs from different beneficiaries and sensitive to their needs. Community members continue to be the main stakeholders and are represented by their leaders. The leaders of the self-help groups are always in touch with the field staff of Samarthak Samiti. They also meet with other organizations working on minor forest produce. These meetings may not be regular as they are based on emerging issues and are area specific. Details of meetings with cooperative members are kept in a register at Samarthak Samiti. The forest department officials also inform Samarthak Samiti about policy changes if any. This input helps in planning for activities.

Score baseline: 4.0

[18] The Mahatma Gandhi National Rural Employment Guarantee Act aims at enhancing the livelihood security of people in rural areas by guaranteeing hundred days of wage employment to a household whose adult members volunteer to do unskilled manual work.

Score endline: 4.0

Summary of capability to adapt and self-renew

Samarthak Samiti continues to have regular meetings to report on and discuss project related issues but still does not have a comprehensive and formalised M&E system in place. Monitoring is still done for inputs and outputs through record keeping. Since the baseline Samarthak Samiti has fine-tuned its templates and MIS formats for data collection and monitoring both at the field and headquarter level. In its reports, indicators at activity and outcome level are reported on. The reports are submitted monthly by the field staff. These are then compiled, analysed and translated to English by the leader. While field staff has become better at monitoring and collecting data and the leader is becoming less dependent on external consultants for drafting reports, programme staff that was trained in results-based monitoring have left the organisation due to lack of funding. The informal analysis of data and the overall M&E process improved over the last two years as donors have continuously pointed at the gaps. This has helped Samarthak Samiti to learn from previous experiences and use this in developing new strategic plans. Staff continue to meet regularly to discuss issues at project level. They also feel comfortable to come to the leader to ask for advice as he is very approachable and likes to sit in the same room as staff. With reduction in funds, issues are discussed more often. Decision making is participatory and decentralised and this supports people in talking freely. There are frequent discussions and their ideas are welcomed and used. Samarthak Samiti continues to work with the cooperatives which helps them in tracking any changes regarding the situation on the ground. As Samarthak Samiti continues to work on products of which many are regulated by the government, they stay up to date with the relevant acts and policies; and make use of the relevant state and national government provisions. With government's anti-smoking policy and changing donor priority the organisation made strategic change to move toward agriculture and animal husbandry production and marketing. SS is now also tracking trends in agriculture its network in the non- pesticide management initiative. The information now seems to be coming from both the local and national level. The organisation continues to be open to take inputs from different beneficiaries and sensitive to their needs.

Score baseline: 3.5

Score endline: 3.7 (very slight improvement)

Capability to deliver on development objectives

Extent to which organisation delivers on planned products and services

3.1.Clear operational plans: 'Organisation has clear operational plans for carrying out projects which all staff fully understand'

This is about whether each project has an operational work plan and budget, and whether staff use it in their day-to-day operations.

Since the baseline evaluation there has been no major change in the operational plans of the organisation. SS continues to have a work plan and budget for each project. Staff together prepares the monthly and quarterly activities which are planned in alignment with the annual strategic plan. Further on the basis of these plans daily activities plans are made. In some of the clusters the staff meets daily to discuss their plans and activities.

Score baseline: 4.0

Score endline: 4.0 (no change)

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

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

There has not been any change in this indicator since the baseline. The staff members still have access to vehicles that enable them to carry out their work. Some staff members, like administrative staff, have knowledge of operating computers and have access to them for maintaining accounts. The present resources are used in a cost-effective manner. Because of a reduction in funding Samarthak Samiti had to become less dependent on hiring the support of the external consultant. The leader became self-reliant and only invited the consultant 4-5 time a quarter, instead of 4-5 times a month. Field staff now also works independently on programme related issues to cut down consultancy costs, which SS was paying from its project funding. The present funding scenario and lack of long-term support has pushed Samarthak to take a more cost effective approach to manage their operations.

Score baseline: 4.0

Score endline: 4.25 (very slight improvement)

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

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

In the last two years there has been no change in this indicator. The funds are released by the donors only after a report is sent. This ensures that Samarthak Samiti carries out its plans. Most of the planned outputs are carried out. For example all the planned activities for the "Mobilisation of Community to strengthen MFP based livelihoods of tribal Women in South Rajasthan" programme were delivered in the period April – December 2014. There are external factors, like climatic conditions (e.g. heavy rains) and auction prices that sometimes prevent the execution of plans and submission of deliverables. The progress of the programme is reviewed in every monthly meeting and cluster level meetings, and quarterly progress reports are submitted to the donor.

Score baseline: 4.0

Score endline: 4.0 (no change)

Extent to which delivered products and services are relevant for target population in terms of the effect they have

3.4.Mechanisms for beneficiary needs: 'The organisation has mechanisms in place to verify that services meet beneficiary needs'

This is about how the SPO knows that their services are meeting beneficiary needs

Since baseline there has been no change in this indicator. Samarthak Samiti continued to work in a participatory and decentralized way. They are a membership organisation having representation from various cooperatives; the programmes are developed based on the needs and alternatives suggested by the members. Trainings on honey harvesting, to avoid the loss of honey and forest ecology disruption, seem to be meeting the beneficiary needs. In a previous phase, trainings were organized for 750 honey harvesters and they are now doing the job of harvesting honey well.

Score baseline: 4.0

Score endline: 4.0 (no change)

Level of work efficiency

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

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

There has been no major change in this indicator since the baseline. Input-output ratios are still not developed as per the definition of the term and no formal mechanisms for staff appraisal are in place. The leader has been working with his core staff since the beginning and knows their strengths and weaknesses. Samarthak Samiti has fine-tuned its templates and MIS formats for data collection and monitoring and field staff have gotten better at both. The present funding scenario and lack of long-term support has pushed Samarthak to take more cost effective approach to manage their operations. They still analyse funds allocated, funds used and funds that can be saved. For project input (finance, equipment and HR) SS still keeps records on: monthly progress, trial balance and budget-expenditure statements and utilization of equipment and instruments. Monitoring efficiency could have improved as two project staff were trained on results-based monitoring. However, they left the organisation as they could not be retained to financial constraints. The situation therefore remains the same as in the baseline.

Score baseline: 3.0

Score endline: 3.0 (no change)

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

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

During the last two years there is slight deterioration in this indicator. The organisation could not retain their trained project staffs due to reduced funding, which has greatly affected its efficiency and quality of work. Due to lack of staff there is no proper monitoring of the programme and as a result the quality of the work has deteriorated. Furthermore, the current staff is overburdened with double workloads against half the salary. This has also affected quality of work. Earlier the field visits to monitor the staff were made by the programme coordinator but now these have to be done by the leader and given the fund shortage the number of such visits has reduced.

Score baseline: 3.0

Score endline: 2.0 (deterioration)

Summary of capability to deliver on development objectives

Samarthak Samiti continues to have a work plan and budget for each project. Quarterly, monthly and daily plans are made in alignment with the annual strategic plan. In some of the clusters the staff meets daily to discuss their plans and activities. Staff still have access to vehicles and computers that enable them to carry out their work. With a reduction in funds, using resources in a cost-effective manner has become more important. The leader and field staff are now less dependent on the external consultant and only hire him when in dire need. Most of the planned outputs are carried out and delivered. There are external factors, like climatic conditions and auction prices that sometimes prevent the execution of plans and submission of deliverables. Samarthak Samiti continues to work in a participatory and decentralized way. They are a membership organisation having representation from various cooperatives; the programmes are developed based on the needs and alternatives suggested by the members. Input-output ratios are still not developed as per the definition of the term and no formal mechanisms for staff appraisal are in place. Monitoring efficiency could have improved as two project staff were trained on results-based monitoring. However, they left the organisation as they could not be retained to financial constraints. Due to lack of staff there is no proper monitoring and sufficient field visits of the programme and as a result the quality and efficiency

of the work has deteriorated. Furthermore, the current staff is overburdened with double workloads against half the salary.

Score baseline: 3.7

Score endline: 3.5 (very slight deterioration)

Capability to relate

Level of involving external parties in internal policy/strategy development

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

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

There has a very slight improvement in this indicator since the baseline. Samarthak Samiti continues to maintain relationships with local likeminded NGOs like Astha Sansthan, Prayas, Jan Chetna and cooperatives and takes inputs from them while preparing strategic plans. In the last two years the organisation received feedback from different donors, developed better relationships with the government, and formed alliances with other national NGOs. A new network they are part of is the Non-Pesticide Members Initiative (NPMI) which helps them in developing strategies on agriculture.

Score baseline: 3.0

Score endline: 3.25 (very slight improvements)

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

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

During the last two years Samarthak Samiti has continued its relationship with cooperatives, and strengthened its networks with government and like-minded NGOs. Some new developments since the baseline:

- SS is hired as a resource agency by SFAC for promoting producer organisations in Rajasthan.
- Samarthak Samiti has constantly been engaged in promotion of the MFPs along with the forest departments and also propagation of MFPs in Common Property Resources (CPR) by forest dweller community groups. It became member of MFP Policy Drafting committee of the Government. As a result Samarthak Samiti was able to advocate for the target groups in price fixation, regularising grades of MFPs.
- In 2013, Samarthak Samiti became a member of Non Pesticide Members Initiative (NPMI). This is a national network working on the promotion of non-pesticides farming and developing marketing linkages of the products made by the network partners. This was useful as SS decided to broaden its strategic focus to include agriculture. In the Access Livelihood conference the alliance members could learn and share their ideas.
- SS became a partner of Tribal Self-Rule (TSR) Network, Rajasthan. This network is mainly working on the PESA act (Panchayat Extension to Scheduled Area).Their main work has been to strengthen the village level council (Gaon Sabha) in the Tribal Sub Plan (TSP) area and identifying legal discrepancies within purview of PESA-TSR.
- It also became a partner of Herbal network India. This network is working to promote herbal initiative in North India by CCD (The Covenant Centre for Development).
- It has strengthened its relationship with the government which resulted in helping the forest dwellers in accessing government entitlements.
- The staff's participation in different mela's (festivals) and fairs has improved the relationship with many like-minded organisations.

All in all, Samarthak Samiti has started interacting more with more other partners compared to the baseline situation, when they mostly interacted with Astha Sansthan, Prayas and Jan Cethna. Their engagement in networks has also gone beyond just the local level to the national level. Samarthak is now more open to linking up with other organisations and relevant networks. Networking with different partners and sharing experiences strengthened the capacity of the organization in lobbying for policy change and betterment of the tribal community.

Score baseline: 3.0

Score endline: 4.0 (improvement)

Extent to which organisation is actively engaging with target groups

4.3.Engagement with target groups: 'The organisation performs frequent visits to their target groups/ beneficiaries in their living environment'

This is about how and when the SPO meets with target groups.

Samarthak Samiti continues to maintain close relationships with the cooperatives and interacts with them in the cluster level meetings. The interaction of the field staff with the target group has increased ever since the producer company has started (2011). The target groups consults SS on prices of their produce and field staff tries to share the knowledge they attain during training programmes to the target groups. In the last two years as the field level staff gained confidence to independently conduct meetings with the community groups, their interaction and bonding have strengthened with the target communities. However, due to reduced funding and the leader being overburdened with work load his interaction with the target groups has reduced.

Score baseline: 4.0

Score endline: 4.0 (no change)

Level of effective relationships within the organisation

4.4.Relationships within organisation: 'Organisational structure and culture facilitates open internal contacts, communication, and decision-making'

How do staff at the SPO communicate internally? Are people free to talk to whomever they need to talk to? When and at what forum? What are the internal mechanisms for sharing information and building relationships?

In the last two years there has been no change in this indicator. As the organisation has very few staff who see each other in every meeting, they can interact freely and share ideas with each other and the leader. The staff together formulate ideas and take decision.

Score baseline: 5.0

Score endline: 5.0 (no change)

Summary of capability to relate

Samarthak Samiti continues to maintain relationships with local likeminded NGOs and cooperatives and takes inputs from them while preparing strategic plans. A new network they are part of is the Non-Pesticide Members Initiative (NPMI) which helps them in developing strategies on agriculture. During the last two years Samarthak Samiti has continued its relationship with cooperatives, government and like-minded NGOs, but is now linking up with other organisations and relevant networks also at the national level. These include: SFAC for promoting producer organisations in Rajasthan, MFP Drafting committee of the government, NPMI, Tribal Self-Rule Network and the Herbal Network India. This has strengthened the capacity of the organization in lobbying for policy change

and betterment of the tribal community. Samarthak Samiti continues to maintain close relationships with the cooperatives and in the last two years field level staff gained confidence to independently conduct meetings with the community groups which strengthened their interaction with them. However, due to reduced funding and the leader being overburdened with work his interaction with the target groups has reduced. Staff continues to have good interpersonal relationships and feel free to discuss issues among themselves and with their leader.

Score baseline: 3.8

Score endline: 4.1 (very slight improvement)

Capability to achieve coherence

Existence of mechanisms for coherence

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

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

For now the vision and mission of the organisation remain the same. Samarthak Samiti is however, rethinking its strategic focus to move it from NTFP collection and marketing to agriculture and forest based strategies due to the government's anti-smoking policy affecting the demand for tendu patta and the change in funder's priorities. Samarthak Samiti is also now focussing more on marketing than on production. The Samarthak Samiti Producer Company which was registered in 2011, got its trademark "Desert Green" registered in 2013. This helps in better marketing and hence smooth sale of its products. These changes in strategies are not yet reflected in the vision and mission of SS which continue to be: "*Strengthening livelihood of tribal communities and other marginalized sections of the society in Rajasthan through natural resource management*" and "*[…]to strengthen people's organizations by facilitating appropriate interventions in collection, processing and marketing of forest produces in Rajasthan.*"

Score baseline: 4.0

Score endline: 4.0 (no change)

5.2.Operational guidelines: 'Operational guidelines (technical, admin, HRM) are in place and used and supported by the management'

This is about whether there are operational guidelines, which operational guidelines exist; and how they are used.

There is no change in this indicator since baseline. Operational plans, HR guideline and gender policy exist in the organisation but are not strictly followed as there are few staff members and reduced funding. However, as the organisation is planning to be self-sustaining and is approaching new donors there is a need to improve and follow operational processes. Also as its mission is to strengthen tribal women, the gender policy needs to be followed more systematically.

Score baseline: 3.0

Score endline: 3.0 (no change)

Level of coherence of various efforts of organisation

5.3.Alignment with vision, mission: 'Projects, strategies and associated operations are in line with the vision and mission of the organisation'

This is about whether the operations and strategies are line with the vision/mission of the SPO.

For now, Samarthak Samiti's projects, strategies and associated operations are still aligned with its vision and mission. In the last two years however, SS started rethinking their strategy to move from collection and marketing of NTFPs to production and marketing of agriculture. This is not in line with

the current vision and mission which both focus on natural resource management and collection, processing and marketing of forest produces (not agriculture).

Score baseline: 5.0

Score endline: 4.5 (slight deterioration)

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

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

There is no change in this indicator since the baseline. Due to less people in the organization, the staff is multi-tasking which further ensures that there is no duplication of work and the project activities are mutually supportive. A negative result of this is that staff over overburdened.

Score baseline: 3.0

Score endline: 3.0 (no change)

Summary of capability to achieve coherence

For now the vision and mission of the organisation remain the same. Samarthak Samiti is however, rethinking its strategic focus to move it from NTFP collection and marketing to agriculture and forest based strategies due to the government's anti-smoking policy affecting the demand for tendu patta and the change in funder's priorities. These changes in strategies are not yet reflected in the vision and mission of SS. Operational plans, HR guidelines and gender policy still exist in the organisation but are not strictly followed as there are few staff members and reduced funding. There is still a need to follow the gender policy more systematically. For now, Samarthak Samiti's projects, strategies and associated operations are still aligned with its vision and mission. In the last two years however, SS started rethinking their strategy to move from collection and marketing of NTFPs to production and marketing of agriculture. This is not in line with the current vision and mission which both focus on natural resource management and collection, processing and marketing of forest produces (not agriculture). Due to having less people in the organization, the staff is multi-tasking which further ensures that there is no duplication of work and the project activities are mutually supportive. A negative result of this is that staff over overburdened.

Score baseline: 3.8

Score endline: 3.6 (very slight deterioration)

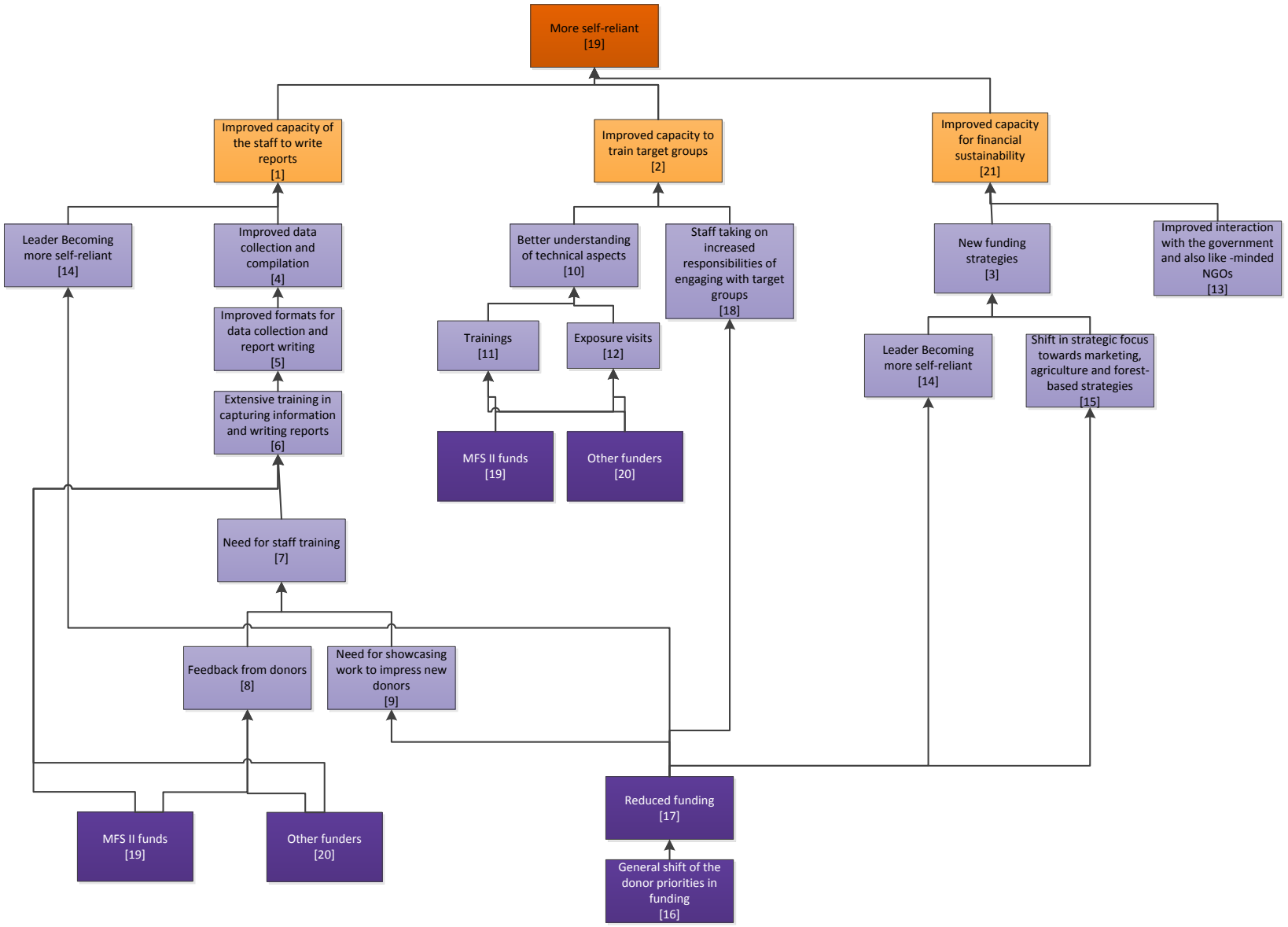
Appendix 4 Results – key changes in organisational capacity – general causal map

Below you will find a description of the general causal map that has been developed for the SPO during the endline workshop. Key changes in organisational capacity since the baseline as identified by the SPO during this endline workshop, are described as well as the expected effects and underlying causal factors, actors and events.

The evaluation team carried out an endline assessment at Samarthak Samiti from 1 to 3 July 2014. During this workshop, the team made a recap of key features of the organisation in the baseline in 2012 (such as vision, mission, strategies, clients, partnerships). This was the basis for discussing changes that had happened to the organisation since the baseline. According to staff present at the endline workshop. Samarthak Samiti has become more self-reliant in the last two years since the baseline. This has been due to the following key organizational capacity changes:

1. Improved capacity of the staff to write reports [1]
2. Improved capacity of the staff to train target groups [2]
3. Improved capacity for financial sustainability [21]

During the endline workshop it was discussed what were the reasons for each of these organisational capacity changes. The three main organisational capacity changes are described in the light orange boxes and some of their key consequences are noted above these cards in dark orange. Light purple boxes represent factors and aspects that influence the key organisational capacity changes (in light orange). Key underlying factors that have impacted the organisation are listed at the bottom in dark purple. The narrative describes per organisational capacity change, the contributing factors as described from the top down. The numbers in the visual correspond with the numbers in the narrative.


More self-reliant [19]
Improved capacity of the staff to write reports [1]
Improved capacity to train target groups [2]
Improved capacity for financial sustainability [21]
Leader Becoming more self-reliant [14]
Improved data collection and compilation [4]
Better understanding of technical aspects [10]
Staff taking on increased responsibilities of engaging with target groups [18]
New funding strategies [3]
Improved interaction with the government and also like -minded NGOs [13]
Improved formats for data collection and report writing [5]
Trainings [11]
Exposure visits [12]
Leader Becoming more self-reliant [14]
Shift in strategic focus towards marketing, agriculture and forest-based strategies [15]
Extensive training in capturing information and writing reports [6]
MFS II funds [19]
Other funders [20]
Need for staff training [7]
Feedback from donors [8]
Need for showcasing work to impress new donors [9]
MFS II funds [19]
Other funders [20]
Reduced funding [17]
General shift of the donor priorities in funding [16]

Improved capacities of the staff to write reports [1]

During the endline workshop, SS staff indicated that their capacity to write reports has improved [1] and that this is related to the leader becoming more self-reliant [14] and to improved data collection and compilation [4]. The leader is less dependent on external consultants and Samarthak Samiti's mother organisation Astha Sansthan. This is evident from the fact that the consultant was initially invited for 4-5 times in a month but now his help is sought only 4-5 times in a quarter. He has been independently trying to put together proposals, compiling information from the field and translating it into English, which he is now better versed in. Reduced funding and need to sustain the organisation has compelled the leader to be self-reliant [17] [Source: 5c endline interview guide_OD consultants_selected indicators_Samarthak Samiti, 5c endline self-assessment sheet_field staff_India_Samarthak, 5c endline self-assessment sheet_admin HRM staff_India_Samarthak]. During the baseline evaluation, Samarthak Samiti received funds from five different donors. Most of the contracts terminated in 2014, for example the contract with Hivos ended on the 31st of March 2014. Over the last two years, funding has therefore decreased [Source: 5c endline self-assessment sheet_admin HRM staff_India_Samarthak, Audited – stat(income & exp) – FC 2012-130001].

The improved capacity of the staff for data collection, report writing and monitoring improved the quality of monthly reports. This is evident from the approval letter of 2014 Annual Review Report of Samarthak Samiti [Source: 140314 - SS - Approval letter of 2014 Annual Review Report].

According to SS staff, they improved the way they collect and compile data [4] due to having improved formats for data collection and report writing [5]. Samarthak Samiti fine-tuned templates and formats for data collection and monitoring at both the field level as well as at the Headquarter level [Source: 5c endline interview guide_OD consultants_selected indicators_Samarthak]. It now has separate formats for data collection for honey, tendu patta and other forest produce collected by the cooperatives. These formats are in Hindi, so the field staff does not have problems with filling them in. These are submitted every month in the office. The information is then compiled and translated to English by the leader [Source: interaction with the leader during the workshop].

Having improved formats for data collection and report writing was the result of extensive training (see below) in capturing information and writing reports [6]. Each donor provides a specific format for data collection and report writing. But, since the field staff was not formally trained, there was no standardized way in which information was collected. However, with training, the staff understood how data was to be collected and how reports were to be written. The consequence was that they even helped the leader in fine tuning the formats according to ground realities [Source: Discussed during endline workshop 2014].

The details of some of the trainings are given below:

- Orientation training on financial management in Bangalore organized and funded by Hivos under MFS II [19] in 2012. The objective of the training was to train the staff on what information needs to be collected, report writing, preparing of utilization certificates, better formats preparation. This concerns the procedure adopted for release of funds by the state government and others to an organsation under various programmes. This procedure stipulates that the organization should furnish Utilisation Certificates to the effect that the funds have been utilized for the purpose for which these were sanctioned and no diversion has been made [Source: self-assessment field, Review Report 2012-13- 11Feb].
- Training on report writing funded by Sir Dorabji Tata Trust, 2012 [Source: 5c endline self-assessment sheet_field staff_India_Samarthak Samiti].
- Training on report writing and case studies facilitated and funded by Aastha Sansthan, 2014 [Source: 5c endline self-assessment sheet_field staff_India_Samarthak Samiti].
- In-house training of the staff on the use of new templates and formats. As a result of this training the staff could improve their capacity to collect data which further improved consistency in data collection and compilation and hence improved reporting [Source: 5c endline interview guide_OD consultants_selected indicators_Samarthak Samiti].

Extensive training [6] was given to staff because of a need for trainings on these topics [7] because of a lack of staff skills. The need for trainings on report writing and data collection was triggered by:

- *Feedback from donors [8]* The need to train field staff [7] arose from the fact that the donors requested better reports [8]. There was regular feedback on the reports submitted by Samarthak Samiti from Hivos (under MFS II [19]) and other donors [20] regarding the need for more detailed information in the reports submitted by Samarthak Samiti [Source: Clarification for Hivos on report 2013, self-assessments]. When gaps in the reports were pointed out, both the leader and the staff understood the need to have more focused data collection and proper reporting [Source: 5c endline interview guide_OD consultants_selected indicators_Samarthak Samiti]. This was followed by the necessity to strengthen the field staff to collect detailed information for writing reports.
- *Need for showcasing work to impress new donors [9].* The need to train field staff [7] also arose from the fact that Samarthak Samiti needed better reports to showcase its work to impress new donors [9], because of reduced funding [17]. There has been a reduction of funds since the last two years due to a general shift of the donor priorities in funding [16]. For e.g. foreign donors have been revising their grant making policies and funding priorities. More and more donors are funding agriculture based programs. Also, stringent policies by successive governments to restrict foreign funding to the NGOs in India which, it perceives are engaged in stalling developmental activities in the country has further added to the problem. This has triggered the need for Samarthak Samiti to look out for new donors. This in turn means that Samarthak Samiti should be able to showcase its work through good quality reports to impress the donor [9] [Source: Discussion during endline workshop 2014].

Improved capacities of the field staff to train target groups [2]

Samarthak Samiti has improved its capacity to train the target groups on technologies, entrepreneurship development, business potential and sustainability [2], which is noted in the additional partner contract with Hivos for extension of the budget [Source: Contract extension September 2013]. The staff is more confident in conducting meetings with the target groups, officials of the forest departments and the police [Source: 5. Review Report 2013-14, interview with OD]. Improved capacities of the field staff to train target groups [2] is due to: better understanding of the technical aspects of their roles [10] and staff to take on the responsibility of visiting target groups [18]. These are further explained below.

- *Staff expresses better understanding of the technical aspects of their roles [10]:* this is demonstrated by for example advising beneficiaries on sustainable farming, processing of NTFP, documentation related to dispatch of NTFP and helping beneficiaries negotiate with local traders [Source: 5c endline interview guide_OD consultants_selected indicators_Samarthak Samiti]. For more information please see below. Better understanding of the technical aspects of their roles is due to: trainings [11] and exposure visits [12]. For details about these trainings and how they assisted staff in the technical aspects of their work please see the information described below.
  - Trainings [11]
    - Training on business plan development and marketing. Training was organized for the SS staff by Hivos at Mungana in 2014 on Business plan development and marketing [Source: 5cendline self-assessment sheet_field staff_India_Samarthak Samiti]. This training helped the staff to train the target group on business planning and marketing on MFP and marketing linkages [Source: Review Report 2013-14]. A number of cooperatives are trained on business plan development and marketing. This training was funded by MFS II [19].
    - Training on Participatory Marketing System Development in Madurai by Sir Dorabji Tata Trust and Hivos in June 2013 [Source: 5. Review Report 2013-14, Self-assessment management].The focus of the training was to understanding the market and market players including the value chain, participatory system in marketing. Now they could market honey in the brand name 'Desert Green'. This training was funded by MFS II [19].
    - Training on Producers' Company by Access Livelihoods Company, Hyderabad in Udaipur in November 2013 [Source 5. Review Report 2013-14, Self-assessment management]. As a result of the training a centralized processing centre was established which would serve as a processing and storage centre for honey filter, Jamun sirka making and grinding and processing Amla powder. After this training, Samarthak Samiti also started to make powder of Heena. During this training, the staff developed a plan to focus on "Integrated

Livelihood System" which not only includes development of MFP component of livelihood of these families but also a component on agriculture and animal husbandry [Source: 5. Review Report 2013-14]. This training was funded by MFS II [19].

- Leadership training and making bio pesticide. Training on making bio pesticides in Dhariyawad. This was funded by Sir Dorabji Tata Trust in 2013 [20]. This training trained the leaders to train the target groups to make and use bio pesticides. It is evident from the review report of 2013-14 that 5 forest dweller groups have started making and using bio pesticides who were trained by Samarthak Samiti staff [Source: 5. Review Report 2013-14].
- Training on management of social enterprise in 2014. A training on Management of the Social enterprise in March 2014 was organized by IRMA, in Anand. The workshop dealt with management of social enterprises and leadership. The training capacitated the staff to plan for a market base in and around the city. The leadership realized the role of the organization as an entrepreneur. This also enabled the management of Samarthak Samiti to develop a proposal and send to Global Environment Facility administered by the Centre for Environment Education (CEE) and Wells For India (WFI) [Source: 5. Review Report 2013-14].

- Exposure visits [12]. Samarthak Samiti organised various exposure visits for its staff to see income generation activities by other groups for marketing produce [Source: 5c endline self-assessment sheet_field staff_India_Samarthak Samiti]. These included:
  - Visit to Sultanpur, Madhya Pradesh to see the income generation activities of other cooperatives like making ayurvedic medicines growing tea. This was supported by Sir Dorabji Tata Trust [20] and Hivos [19], 2014.
  - Visit to Krishi Vigyan Kendra, in Rajasthan and the staff was given information on Waadi cultivation, bio pesticides, on making amla murabba and candy. This was supported by Hivos [19]and Krishi Vigyan Kendra [20] in 2014.
  - Exposure visit to Indian Institute of Management, Ahmedabad where the staff of SS and women in the cooperatives learnt how to market their produce. This was supported by Hivos [19] and Sir Dorabji Tata Trust [20] in 2014.
  - Visit to Shrashti mela, a three day fair in Ahmedabad where NGOs showcase their products. SS marketed honey and amla made by their cooperatives. This visit was supported Sir Dorabji Tata Trust [20] and Hivos [19] in 2013.
  - Exposure visit to Pratapgarh Krishi Vigyan Kendra for prevention of pest attacks. This was funded by Sir Dorabji Tata Trust [20] in 2013.
    Exposure visit to Coimbatore on methods of honey collection in 2013.

- *Staff to take on increased responsibility of engaging with the target groups [18].*
  The other reason for improved capacity of SS staff to train the target group was that staff now take on the responsibility of engaging with the target groups. Earlier the staff was more dependent on the leader or a resource person to train the target groups and solve problems. There were sufficient funds for the leader to travel so he would visit them frequently but with the reduction in the funds [17] the leader reduced his number of visits. The staff responded to this situation by taking on the responsibilities of visiting and engaging with the target groups. Now they engage independently in programme issues [Source: 5c endline self-assessment sheet_field staff_India_Samarthak Samiti; 5c endline self-assessment sheet_management_India_Samarthak Samiti].

Improved capacity for financial sustainability [21]

SS improved its capacity for financial sustainability [21] because the organization started using new funding strategies [3] and because they improved their interaction with the government and like-minded NGOs [13]:

- *New funding strategies [3]*
  During the last two years the staff has improved their skills significantly to collect focused data from the field, to write better reports in order to showcase its work to new donors. While during the baseline Samarthak Samiti depended on an organisational development specialist for finalising their proposals, they are now trying to independently to put together proposals, and they are making better use of data and field experiences. The chief functionary has taken it upon himself to

develop proposals and new relationships with potential donors. SS currently is in contact with the following potential donors:

- Cement company to make it part of their CSR
- NABARD (National Bank for Agriculture and Rural Development) Jaipur for the tree-based Wadi support for tribal groups in the area
- Christian Aid, hopefully to support SS in a consortium of the BEE-Keeping for agriculture production project in 2014-2016
- As a Hivos partner SS also has applied to the Producer Entrepreneurship Catalyst & Incubation Facility (PROCIF) for capacity building and will also apply for the working capital and other support.

Samarthak Samiti started applying new funding strategies [3] because the leader became more self-reliant [14] and because of a shift it the organisation's strategic focus [15]:

- *Leader becoming self-reliant [14]:* The leader became self-reliant and depended less on the consultant. This is evident from the fact that the consultant was initially invited for 4-5 times in a month to take suggestions and support on writing reports and developing proposals, but now his help is sought only 4-5 times in a quarter [Source: self-assessment field staff]. Since there were not enough funds to pay the consultant [17], Samarthak Samiti was forced to rely on itself and take advice from the consultant only in case of dire need. This prompted the leader to take up more responsibilities on developing project proposals, preparing draft reports for the donor and taking initiatives in strategic development [Source: interview OD]. SS has now been trying to independently put together proposals, and making better use of data and making use of field experiences and has approached and get funding from two new funders – Wells for Life, CEE (Centre for Environment Education) (UNDP Small Grant) & TRIFED in 2013 [Source: Review Report 2013-14] came on board.
- *Shift in strategic focus [15] :* There was a shift in strategic focus from NTFP collection and marketing to agriculture and forest based strategies. Because of the seasonality of the forest produce and reduced sales of Tendu Patta due to government's anti-smoking policy, there was a lack of sustainable income for the producers. Also there was a reduction of funding [17] due to shifting of donor priorities on funding [16]. All these reasons compelled SS to think of diversifying its program [Source: Self-assessment field and management, endline evaluation workshop 2014]. As Tribals are well connected with Samarthak Samiti, they could discuss with them on the kind of produce to be produced in the gap period. This helped the leaders to make a strategic choice to diversifying its program and move towards agriculture and animal husbandry and from production to marketing. Note: this has not yet been integrated in the vision and mission of the organisation.

  Samarthak Samiti has moved a step up from production to marketing. The Samarthak Samiti Producer Company was registered in 2011. It also registered its trademark "Desert Green" [Source: Annual Review Report 12-13]. SS is also focusing on new product innovations such as beeswax lip balm, Maize Papdi, lentils etc. followed by sale of products both new and old such as aloe vera juice, amla juice, jamun ark at various fairs in the country. For example, Maize Papdi was first sold at the 'Shrashti Mela', a fair held in Ahmedabad, Gujarat. Samarthak Samiti is trying to strengthen Producer Company with the hope that the salaries of the staff of Samarthak Samiti will be paid by the members of the cooperatives for the services they offer.

- *During the endline workshop, SS staff also indicated that they have improved their interaction with the government and also other like –minded NGOs [13].* Samarthak Samiti has strengthened the following networks:
  - Samarthak Samiti is empanelled as resource agency by SFAC[19] (Society Promoted by department of agriculture and cooperation, Ministry of Agriculture, Government of India) for promoting producer organisations in Rajasthan [Source: 5. Review Report 2013-14].
  - Non Pesticide Members Initiative (NPMI). In 2013, Samarthak Samiti became a member of NPMI. This is a national network working on the promotion of non-pesticides farming in

[19] SFAC is a consortium that supports new ventures in Agro-based industries. The target groups are individuals, farmers, producer groups, SHGs etc. and the consortium helps them get venture capital by linking them with banks

the area and developing marketing linkages for the products made by the network partners [Source: 5. Review Report 2013-14, self-assessment management].

- MFP Policy Drafting committee [Source: self-assessment management]. Samarthak Samiti is part of this committee because they have constantly been engaged in promotion of the MFPs along with the forest departments and also propagation of MFPs in Common Property Resources (CPR) by Forest dweller Groups [Source: 3. Review Report 2012-13-11Feb].
- It has strengthened its relationship with the government which resulted in helping the forest dwellers in accessing government entitlements [Source: SS-Work Plan_2013-14 26th May , Extension].
- Tribal Self-Rule (TSR) Network, Rajasthan. This network is mainly working on the PESA act (Panchayat Extension to Scheduled Area).Their main work is to strengthen the village level council (Gaon Sabha) in the Tribal Sub Plan (TSP) area [Source: 5. Review Report 2013-14; discussion during workshop].
- Herbal network India. This network is working to promote herbal initiative in North India by the Covenant Centre for Development [Source: 5. Review Report 2013-14].
- NTFP- EP, South Asia Non Timber Forest Produce Exchange Programme, working on the issue of the NTFPs value addition, promote cultivation and marketing linkage for getting better price.
- The staff's participation in different melas (festivals) and fairs has improved the relationship with many like-minded organisations [Source: 5. Review Report 2013-14]

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

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