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# Endline report – India, FFID MFS II country evaluations

Capacity of Southern Partner Organisations (5C) component

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

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



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Report CDI-15-002

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# Contents

<b>Acknowledgements</b>	<b>5</b>
<b>List of abbreviations and acronyms</b>	<b>6</b>
<b>1 Introduction &amp; summary</b>	<b>8</b>
1.1 Purpose and outline of the report	8
1.2 Brief summary of analysis and findings	9
<b>2 Context and General Information about the SPO – FFID</b>	<b>10</b>
2.1 General information about the Southern Partner Organisation (SPO)	10
2.2 The socio-economic, cultural and political context in which the partner operates	10
2.3 Contracting details	12
2.4 Background to the Southern Partner Organisation	12
<b>3 Methodological approach and reflection</b>	<b>15</b>
3.1 Overall methodological approach and reflection	15
3.2 Assessing changes in organisational capacity and reasons for change - evaluation question 1 and 4	16
<b>4 Results</b>	<b>22</b>
4.1 MFS II supported capacity development interventions	22
4.2 Changes in capacity and reasons for change - evaluation question 1 and 4	23
4.2.1 Changes in the five core capabilities	23
4.2.2 General changes in the organisational capacity of the SPO	27
4.3 Attributing changes in organisational capacity - evaluation question 2 and 4	29
4.3.1 Improved planning, monitoring and evaluation	32
4.3.2 Diversification of funds	33
4.3.3 Improved compliance with HR and financial norms	34
<b>5 Discussion and conclusion</b>	<b>36</b>
5.1 Methodological issues	36
5.2 Changes in organisational capacity	36
5.3 Attributing changes in organisational capacity to MFS II	38
<b>List of Respondents</b>	<b>48</b>
<b>Appendix 1 Methodological approach &amp; reflection</b>	<b>49</b>
<b>Appendix 2 Background information on the five core capabilities framework</b>	<b>74</b>
<b>Appendix 3 Changes in organisational capacity of the SPO - 5C indicators</b>	<b>76</b>
<b>Appendix 4 Results - key changes in organisational capacity - general causal map</b>	<b>94</b>
<b>Appendix 5 Results - attribution of changes in organisational capacity - detailed causal maps</b>	<b>95</b>

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The India 5C evaluation team

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# List of abbreviations and acronyms

3DP&L	Three Dimensional Profit and Loss
5 C	Capacity development model which focuses on 5 core capabilities
AP	Andhra Pradesh
APMAS	Technical resource organization in Andhra Pradesh
ASHA	Alliance for Holistic Agriculture
BioRe	bioRe India Limited, organic producer company
BRGF	Backward Regions Grant Fund
CAGR	compound annual growth rate
CAIM	Convergence of Agriculture Initiatives in Maharashtra
Causal map	Map with cause-effect relationships. See also 'detailed causal map'.
Causal mechanisms	The combination of parts that ultimately explains an outcome. Each part of the mechanism is an individually insufficient but necessary factor in a whole mechanism, which together produce the outcome
CBO	Community Based Organisation
CDI	Centre for Development Innovation, Wageningen University & Research centre
CFA	Co-Financing Agency
CICR	Central Integrated Cotton Research
COAPCL	Chetna Organic Agriculture Producer Co. Ltd.
COFA	Chetna Organic Farmers Association
CSA	Centre for Sustainable Agriculture
Detailed causal map	Also 'model of change'. The representation of all possible explanations – causal pathways for a change/ outcome. These pathways are that of the intervention, rival pathways and pathways that combine parts of the intervention pathway with that of others. This also depicts the reciprocity of various events influencing each other and impacting the overall change. In the 5C evaluation identified key organisational capacity changes and underlying reasons for change (causal mechanisms) are traced through process tracing (for attribution question).
DFID	Department for International Development
ED	Executive Director
FAO	Food and Agriculture Organisation of the United Nations
FCRA	Foreign Contribution Regulation Act
FFID	Forum for Integrated Development
FIBL	The Research Institute of Organic Agriculture FiBL Switzerland
FTF	Fair Trade Federation
General causal map	Causal map with key organisational capacity changes and underlying reasons for change (causal mechanisms), based on SPO perception.
GS	General Secretary
GSDP	Gross State Domestic Product
ICS	Incident Command System
IDF	India Development Foundation
IFAD	International Fund for Agricultural Development
IGWDP	Indo-German Watershed Development Programmes
IOCL	Indian Oil Corporation Limited
IPM	Integrated Pest Management
IWMP	Integrated Watershed Management Program
KfW	Kreditanstalt für Wiederaufbau (German Development Bank)
M&E	Monitoring and Evaluation
MFS	Dutch co-financing system
MIS	Management Information System

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MKSP	Mahila Kisan Sashaktikaran Pariyojana
MoRD	Ministry of Rural Development
NABARD	National Bank for Agriculture and Rural Development
NABFINS	NABARD Financial Services Limited
NGO	Non-Governmental Organisation
NPMI	Non-pesticide Management Initiative
NPMi	National Produce Marketing Inc.
NREGS	National Rural Employment Government Scheme
NRLM	National Rural Livelihood Mission
NTF	Non-Tariff Forest
OD	Organisational Development
OTELP	Orissa Tribal Empowerment and Livelihoods project
PME	Planning, Monitoring and Evaluation
Process tracing	Theory-based approach to trace causal mechanisms
SDDT	Sir Dorabji Tata Trust
SFC	Shop for Change Fair Trade
SHGs	Self Help Groups
SODI	South Odisha Development Initiative
SPO	Southern Partner Organisation
SRI	System of Rice Intensification
RRA	Revitalizing Rainfed Agriculture Network
RCDC	Regional Centre for Development Cooperation
ToC	Theory of Change
UASD	University of Agriculture Sciences, Dharwad
Wageningen UR	Wageningen University & Research centre

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# 1 Introduction & summary

## 1.1 Purpose and outline of the report

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

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

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

- Achievement of Millennium Development Goals (MDGs) & themes;
- Capacity development of Southern partner organisations (SPO) (5 c study);
- Efforts to strengthen civil society.

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

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

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

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

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



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

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

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

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

## 1.2 Brief summary of analysis and findings

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

The evaluators considered it important to also note down the SPO's story in terms of changes in the organisation since the baseline, and this would also provide more information about reasons for change, which were difficult to get for the individual indicators. Also for some issues there may not have been relevant indicators available in the list of core indicators provide by the evaluation team. During the endline workshop some key organisational capacity changes were brought up by FFID's staff: improved planning, monitoring and evaluation; diversification of funding; and improved compliances with HR and financial norms. These changes happened to overlap with the key organisational capacity changes that were selected for process tracing because they were linked to MFS II funded capacity development interventions. Under improved PME, improved planning can be partly attributed to MFS II funded interventions and partly to internal factors within FFID and their improved M&E system can almost completely be attributed to MFS II funded capacity development interventions. In diversifying FFID's funding base, only one MFS II funded capacity development intervention (an effective communications workshop in 2013) has played a role and this role was minor in terms of FFID's diversification of funding. External factors like the changing climate and demand for organic cotton; internal factors like the strategic change and projects and trainings with other funders have played a more important role in stimulating the organisation to diversify its FFID's funding base. Finally for FFID's improved compliances with HR and financial norms, only the compliance to financial norms can to a large extent be attributed to an MFS II funded capacity development intervention (a financial management workshop). The compliance to HR norms was because of internal developments at FFID.

## 2 Context and General Information about the SPO – FFID

### 2.1 General information about the Southern Partner Organisation (SPO)

<b>Country</b>	India
<b>Consortium</b>	ICCO Alliance
<b>Responsible Dutch NGO</b>	ICCO
<b>Project (if applicable)</b>	COFA – Strengthening Institutional Arrangements (1 April 2012 – 30 September 2014)
<b>Southern partner organisation</b>	Forum for Integrated Development (FFID)

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

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

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

Forum for Integrated Development (FFID) is an organisation that works among the poor rural (disadvantaged) communities of the undivided Andhra Pradesh (comprising Seemandhra<sup>1</sup> and Telangana), Odisha and Maharashtra to empower them, enhance their livelihood and food security. In June 2014, after a protracted struggle, the state of Andhra Pradesh was divided into Seemandhra and Telangana.<sup>2</sup> Telangana region is the part of the erstwhile state which was under the princely rule of Nizam of Hyderabad, while Seemandhra region was part of British India, Madras Province. The Telangana region is mostly forested and rich with cultural, social and geological wealth which leads to a diverse economy. Though undivided Andhra Pradesh was the largest producer of rice in India and called 'The Rice Bowl of India,' it still remains one of the backward regions in the country. According to a study by the Planning Commission nine out of the ten districts in the Telangana state fall under the Backward Regions Grant Fund (BRGF)<sup>3</sup>. Telangana is spread over 114,84 lakh hectares and with a

<sup>1</sup> Formerly known as Coastal Andhra and Rayalaseema.

<sup>2</sup> On 2<sup>nd</sup> June 2014 Telangana emerged out of the existing state of Andhra Pradesh and became a new state of India. Due to the bifurcation of Andhra Pradesh, most of the areas under FFID's operation now fall under Telangana, though the some do exist in Andhra Pradesh, Odisha and Maharashtra.

<sup>3</sup> The Backward Regions Grant Fund is designed to redress regional imbalances in development. The fund provides financial resources for supplementing and converging existing developmental inflows into 250 identified districts, so as to: bridge critical gaps in local infrastructure and other development requirements that are not being adequately met through existing inflows and empower the local government through capacity building exercises. These districts also have been selected on the basis of a higher concentration of STs and SCs and primitive tribes.

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population of 35 million (2011 Census) is the 12th most populous state of India. About 39% (by 2011) of the state population is Urban and rest is Rural. The literacy rate of the State is 66.46 per cent (72.99 per cent in India) and that in the rural and urban areas are 57.25 per cent and 81.08 percent respectively. The Scheduled Castes and Scheduled Tribes account respectively for 15.4% and 9.3% (2011 census) of the total population in the state. There are about 55.7% (2011 census) agricultural workers which are slightly higher than all India at 54.6%.<sup>4</sup> There is around 57.77 lakh hector rain fed area.<sup>5</sup>

## **Agriculture**

Agriculture remains an important part of the economy for Telangana region. The agriculture sector recorded average growth rate of 7.2% (at constant price) compared to national average of 4.0% during 2005-13<sup>6</sup>. However, this sector witnessed major changes in the production of crops; for instance, in 1980s there was a shift from traditional cereal-based system to commercial commodities such as oil seeds, cotton and sugarcane. In 1990s, due to droughts, there was a shift towards high-value commodities: fruits, vegetables, milk, meat, poultry and fish. In the period from 2010 to 2011 the sector gradually improved. In 2012-13 Telangana region contributes for about 19.46% (at current price) from the agriculture to the state GSDP<sup>7</sup>. However, according to the 2012-13 economic survey, the growth in Telangana is mainly driven by the industry and services sectors.<sup>8</sup> There is sharp increase in the cotton production from 53.50 lakh bales in 2011-12 to 77.50 lakh bales in 2012-13.<sup>9</sup> However, in 2011-13 there is more than 35% decline in the organic cotton production in India. Considering the fact that agriculture is an important part of state economy and three fourth of rural populations are predominantly agricultural, improving farm incomes and ensuring sustainable growth in agriculture and allied sectors are of top priority for the state.

Over the years higher cotton yields gradually transformed into a mono-cropping culture. With the fluctuation in the climatic conditions there is a shift toward mixed crop production and non-agricultural production such as livestock. The government of Telangana in vision 2014 has planned for sustainable growth of agriculture and its allied sector. Increased diversification of cropping pattern, community managed sustainable agriculture (cost reducing technologies with collective institutional setting), adaption of SRI (system of rice intensification) technology, interest free credit to farmers, ensuring quality input supplies to the farmers, developing seed banks etc., are some of the aspects of government strategy to sustainable growth in agriculture and its allied sector.<sup>10</sup> The greatest challenge for the government is to make the programmes and schemes accessible to the poor and marginal farmers.

In the last two years considering the decline in the demand and production of organic cotton and frequent fluctuation in the climatic condition compelled FFID/Chetna to shift to diversified cropping and mixed cropping practices along with allied agricultural production and non-agricultural production. Also it is looking forward to make the cooperatives self-sustainable by building institutional and financial linkages between cooperatives and Self Help Groups with Government departments, NABARD Financial Services Limited (NABFINS), and other private players. FFID/Chetna's vision and strategy being well aligned to that of the government creates a better hope for the sustainable livelihood for the poor and marginal farmers of the region.

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<sup>4</sup> Socio-Economic-outlook-2014 [Accessed from: <http://www.telangana.gov.in/Other%20Docs/Socio-Economic-outlook-2014.pdf>]

<sup>5</sup> Climate Change: Strategies of Adaptation and Mitigation in Rainfed Agriculture in Relation to Water Management in Andhra Pradesh

<sup>6</sup> Directorate of Economics & Statistics [Accessed from: <http://www.telangana.gov.in/Other%20Docs/Socio-Economic-outlook-2014.pdf>]

<sup>7</sup> Gross State Domestic Product

<sup>8</sup> Directorate of Economics & Statistics [Accessed from: <http://www.telangana.gov.in/Other%20Docs/Socio-Economic-outlook-2014.pdf>]

<sup>9</sup> <http://www.cicr.org.in/Database/dbcapp4.html>

<sup>10</sup> Socio-Economic-outlook-2014 [Accessed from: <http://www.telangana.gov.in/Other%20Docs/Socio-Economic-outlook-2014.pdf>]

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## 2.3 Contracting details

When did cooperation with this partner start: 2007

What is the MFS II contracting period: April 1, 2012 until September 30, 2014.

Did cooperation with this partner end: Yes, but ICCO is planning an evaluation of the project now and they are still awaiting the final reports.

If yes, when did it finish: 30 September 2014.

What is the reason for ending the cooperation with this partner: The partner has scaled up its intervention, their funding has diversified and government has picked up some of their models.

Is there expected collaboration after 30 September 2014: Not in the current context. ICCO might look at a different partnership once they come across any such opportunity.

## 2.4 Background to the Southern Partner Organisation

### History

The Forum for Integrated Development (FFID) was established on 10th march, 1995 as non-profit organization under the Andhra Pradesh Telangana areas/Societies Act 1350 Fasli (Act of 1350F). This was a result of a group of likeminded people from different professional background (including Technology, Agriculture, Social Sciences, Journalists/Writers, etc.) joining hands with an aim to work towards reducing rural distress through empowering and strengthening rural communities (especially small and marginal farmers and disadvantaged communities). FFID's emphasis is to develop, promote and popularize alternative models in agriculture, natural resources management, soil and water conservation, agro-ecology and non-conventional energy sources leading to sustainability in social, economic and ecological development.

In 2004-07 ICCO and Solidaridad jointly initiated the Chetna Organic & Fair Trade Cotton Supply Chain Intervention Program India as a composite pilot on developing an entire supply chain in Organic/NPM<sup>11</sup> & Fair Trade Cotton. This incidentally rolled out as a natural spin off to the then just concluding FAO-EU Cotton Integrated Pest Management (IPM) Project in India and mainly to address the agrarian crisis faced by smallholder cotton farmers in the rain fed regions in India.

In 2008, ICCO & Solidaridad roped in and partnered with the Forum for Integrated Development (FFID), to implement the second phase of the Chetna program (2008 – 2011/12) and to support COFA in the process to deliver efficient services. COAPCL is currently represented on its board by 14<sup>12</sup> cotton farmers' cooperatives which was 9 in 2011-12 as equity shareholders. COAPCL was incorporated with the main objective of developing sustainable market linkages for farmer's produce in the national and the international markets, apart from offering capacity building support to farmers on quality control, certification and value addition.

FFID continues to provide guardianship support to both Chetna Organic Farmers Association (COFA) and Chetna Organic Agriculture Producer Company Ltd (COAPCL) to evolve into professional and well established farmers' support organizations. COFA was registered by representative farmers of Chetna as a multi-state society (under the Andhra Pradesh Societies Registration Act 2001) in June 2007. Owing to lack of a FCRA clearance (regulatory clearance required for receiving foreign funds), project COFA was merged with another NGO FFID, which now acts as the guardian body for COFA. As a result, all funds are routed through FFID to a project account called FFID-COFA and are used for the purpose of COFA, which is indicated as a project of FFID. COFA works towards sustainable & diversified agriculture, water & soil conservation, enhancement of livelihood options and food security, socio-

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<sup>11</sup> Non-pesticide Management

<sup>12</sup> Annual Report\_ICCO\_01 April 2013- 31 March 2014

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technical extension, research, policy advocacy & campaigning for the smallholder farmers from rain fed regions. COAPCL a producer company was registered under part IX A of the company's act 1956. It is small farmers owned commodity marketing company promoted by regional cooperatives from the three operational states as mentioned above. It supports these farmers in marketing their cotton, non-cotton agriculture and Non-Tariff Forest (NTF) produce and certification.

Chetna is an organic cotton program that works with 40,197 (till December 2013)<sup>13</sup> farmers and landless labourers in all three States – Telangana (Adilabad & Karimnagar districts), Maharashtra (Amravathi, Akola & Yavatmal districts) and Odisha (Kalahandi, Bolangir, Koraput and Rayagada districts) through organic, in-conversion and Non Pesticide Management programmes. It has been working with the farmers for the past seven years with the aim of promoting the use of organic farming amongst its farmers (particularly in cotton and since last year diversified into multi-cropping system), in addition to putting in efforts towards empowerment of farmers by organizing them into Self Help Groups/FGs & CBOs while promoting cooperatives at cluster level and brings them on its board as member institutions. Further COFA strives to put in place various participatory and decentralized processes to build the capacities of the SHGs, member cooperatives and other forms of producer institutions in all aspects of governance, operational management and business planning.

FFID/COFA during 2012-13 traversed towards evolving into a vibrant farmers' support organization that works towards addressing the multidimensional challenges encountered by the smallholder farmers from rain fed regions. The interventions range from natural resource management, promotion of sustainable agriculture, conservation of germplasm, diversification of livelihood portfolio of farmer households, value chain development beyond cotton, food and nutrition security, gender mainstreaming and child welfare. During this period FFID/COFA entered into new collaboration/partners or renewed with various supporting and promoting agencies while rolling out the large scale expansion of the COFA programme in convergence with mainstream government and bi-lateral projects. Some of the convergence programmes are: Integrated Watershed Management Program (IWMP) in Adilabad district supported by the Ministry of Rural Development (MoRD), Govt. of India, Convergence of Agriculture Initiatives in Maharashtra (CAIM), supported by Govt. of Maharashtra and International Fund for Agricultural Development (IFAD), the Orissa Tribal Empowerment and Livelihoods project (OTELP) supported by Govt. of Odisha and Department for International Development (DFID) and Mahila Kisan Sashaktikaran Pariyojana (MKSP) a women farmers' empowerment project supported by National Rural Livelihood Mission (NRLM) initiated in 2013 in the Rayagada district of Odisha. In this project ICCO is supporting the value chain development of Pigeon Pea and turmeric through SODI cooperative partner.

Over the last two years, a decrease in the demand for organic cotton and fluctuation in the climatic condition forced FFID/Chetna to focus and change its strategy from mono-cropping to diversified cropping and mixed cropping practices where food crops like jowar, paddy, red gram, vegetables, maize, green gram and others could be grown alongside cotton. Legumes, vegetables like tomato, brinjal, chilli, gourds, beans, onion, garlic and leafy vegetables and oil seed crops are also being grown; along with non-agricultural productions such as livestock. This would not only ensure food security for the farmer but also improve soil health. Further change in climatic conditions (heavy rains, Phailin<sup>14</sup> cyclone) also triggered diversified programme implementation and expansion of activities to newer locations. The staff felt that in the changing scenario there was a need for revisiting the organisation's vision and in June 2013 the vision, mission and strategies of the organisation was re-articulated.

## **Vision**

To promote economically and socially viable agrarian based livelihoods in rain-fed and other ecologically depressed regions through sustainable agriculture.

## **Mission**

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<sup>13</sup> FFID-Annual\_Report\_2013

<sup>14</sup> A very severe cyclone that originated in Southern China Sea on October 2013, that affected Andhra Pradesh, Odisha, Jharkhand and other Indian States

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Develop and promote alternative models in agriculture, agro-ecology and non-conventional energy sources for sustainability in social, economic and ecological environmental development.

### **Strategies**

- To support, empower and strengthen rural communities (esp. small holder farmers and disadvantaged communities) in coping with adverse situation and attaining self-sufficiency.
- To develop, promote and popularize alternative models in agriculture, agro-ecology, non-conventional energy sources natural resources management, soil and water conservation, agro-ecology and non-conventional energy sources leading to sustainability in social, economic and ecological development.
- To engage in policy, advocacy and campaigns aimed towards re-orientation policies in favour of sustainable agriculture and agro-ecology.
- Encourage all the institutions in generating their own resources and manage affairs with little external support. Towards this, convergence with government and non-government agencies.
- Enhancing productivity and reducing costs of cultivation. A holistic approach with ecologically aligned technical interventions and internalized inputs for production in rain-fed and other ecologically depressed regions.

### **Unit of analysis**

FFID is supporting the Chetna Organic & Fair Trade Cotton Intervention Programme which spawns the twin farmer owned organisations Chetna Organic Farmers Association (COFA) and Chetna Organic Agriculture Producer Company Ltd (COAPCL) to evolve into professional and well established farmers' support organizations. Although ICCO is supporting COFA, FFID has been selected as the unit of analysis as COFA is prohibited by Indian laws to receive foreign funding. FFID is also involved in setting up COFA's organisational structure. COFA staff is on the payroll of FFID.

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# 3 Methodological approach and reflection

## 3.1 Overall methodological approach and reflection

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

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

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

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

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

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

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

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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<sup>15</sup>.

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<sup>15</sup> The same categories were used as during the baseline (except beneficiaries, other funders): staff categories including management, programme staff, project staff, monitoring and evaluation staff, field staff, administration staff; stakeholder categories including co-financing agency (CFA), consultants, partners.



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

The information on the indicators was collected in different ways:

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

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

#### Key steps to assess changes in indicators are described

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

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

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

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## 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

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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 be a 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

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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.

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

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

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

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

# 4 Results

## 4.1 MFS II supported capacity development interventions

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

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

Title of the MFS II supported capacity development intervention	Objectives	Activities	Timing and duration	Budget
A workshop on Effective Communication	<ul style="list-style-type: none"> <li>• Provided to enable partners to understand and practice effective communication components as represented by crisp, complete and consistent project reports, emotive and evidence-based case studies and descriptive photographs.</li> <li>• In order to bring parity in reporting between all SPOs and also to ensure quality in reporting, this workshop was undertaken. It was important because proper communication and reporting is lacking with not only FFID/Chetna, but with many other organizations in MFS-II.</li> </ul>	<ul style="list-style-type: none"> <li>• Alina Sen, the Strategic Communication Lead of Plan B Communication Partners, designed the workshops jointly with the communications team of ICCO Cooperation-SCA.</li> <li>• Improved reporting quality for MFS has been observed by the Regional Manager and other agencies too.</li> </ul>	18-19 July 2013	€ 300
A workshop on Financial Management and Compliances	<ul style="list-style-type: none"> <li>• Ensure a common goal and accountability for all partners working in MFS-II</li> <li>• Common understanding on financial management and the laws</li> <li>• Set minimum standards and good practices</li> <li>• Need to leverage the learnings of both ICCO and its partners' long ground level experience</li> <li>• Need to ensure effective utilization of MFS funds by partners</li> </ul>	<ul style="list-style-type: none"> <li>• Finance Officers from ICCO and other consultants engaged by ICCO gave this workshop</li> <li>• Detailed guidelines from ICCO on programme and finance management were provided</li> <li>• Stringent norms governing the NGO sector in India were discussed</li> </ul>	11-12 March 2014	€ 300

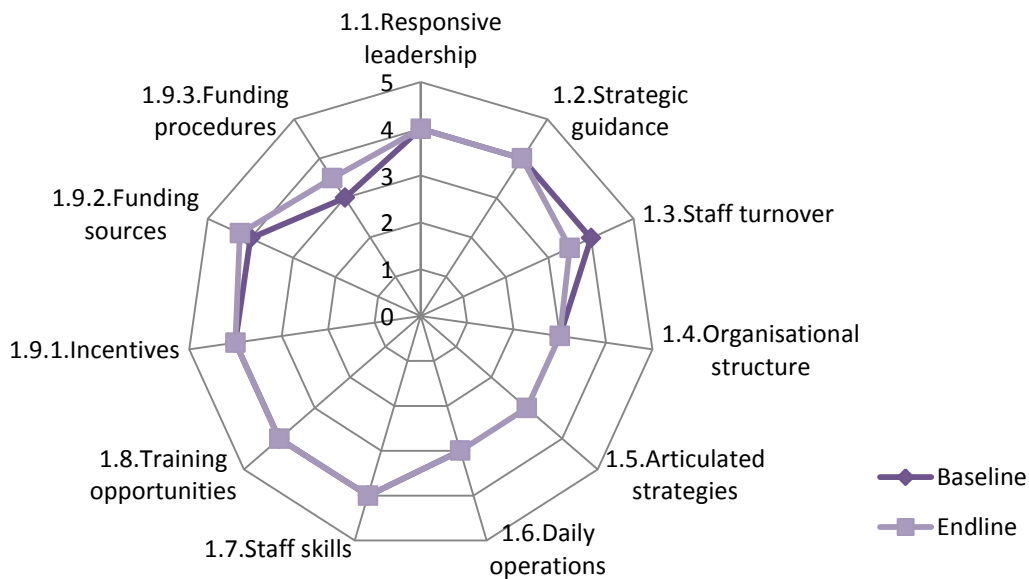
Source: 5C endline\_support to capacity development sheet\_CFA perspective\_India\_FFID

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

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

### 4.2.1 Changes in the five core capabilities

#### Capability to act and commit



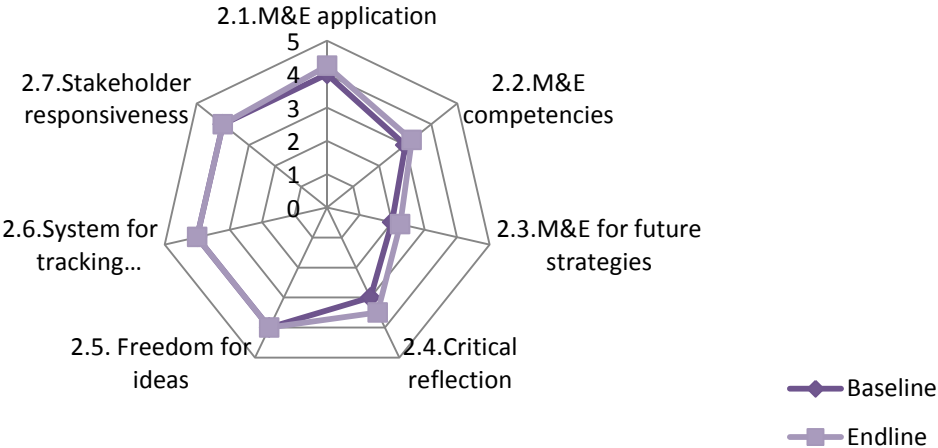
The two organisations promoted under the FFID/Chetna project are Chetna Organic Farmers Association (COFA) and Chetna Organic Agriculture Producer Co. Ltd (COAPCL). FFID continues to provide guardianship support to both COFA and COAPCL for their programmes. There is an increased engagement of the Board Members and Executive Director through meetings and field visits. They are working towards a more sustainable organization by changing their strategy to diversified cropping instead of focusing on cotton. Staff played a significant role in the revision of the vision and strategies of FFID/Chetna during the Annual Strategy Meeting in June 2013. Though there were changes in the top management (new leadership at COAPCL in 2013 and COFA in 2012) the core team at the Head Office pitched in to share the responsibility without affecting the operations at all levels. Over the last two years climatic, market and donor conditions have been changing rapidly. Due to this, leadership decided to change the vision and strategy of the organisation. Before, FFID/Chetna was more cotton-centric. By taking the field level teams suggestions on the farmer's needs into account, leadership decided to broaden the scope of work and give strategic direction to the team towards this. Lack of funding in certain states and better opportunities in the corporate sector have made it hard to retain staff. While staff turnover at the field and programme level remains low, some key senior staff have left the organisation which has led to a backlash in organisational learning and to staff taking up more responsibilities. There have been some changes in the organisational structure of FFID/Chetna. Leadership at COAPCL (2013) and COFA (2012) changed and with senior staff leaving the organisation. Some staff has been promoted while other staff is taking up more responsibilities. Staff are aware of these changes. During the Annual Strategy Meeting in 2013 all staff laid out their expectations and aspirations for their roles and responsibilities, these were taken up to be included in a clarity on roles document. FFID/Chetna articulates its strategies on the basis of good situational analysis. With the drop in demand for organic cotton and climate conditions affecting crops, the strategies were changed to include more diversified cropping: growing food crops alongside cotton and improving water and soil management. With the resource crunch due to the changing donor

environment, more efforts were directed towards making cooperatives generate their own income and linking up to government projects. M&E results are however, not yet used to articulate strategies. FFID’s daily operations are still in line with the adjusted strategic plan. Systems in place to ensure this have not changed. Management has become more active in guiding daily operations, but because of staff leaving the organisation for better deals elsewhere, the burden on staff to multi-task has increased. Staff still have necessary skills to do their work. FFID/COFA has professionals with post-graduation in various relevant fields. Senior staff have ample experience and keep up to date through interaction with other practitioners. Skills in financial management and report writing and communication the work have improved, as well as commodity specific skills for community development and organic agriculture of vegetables and pulses. However, some of the experienced senior staff has left and there is still a need for a structured approach to capacity building. Staff is still given considerable opportunities to undergo trainings, workshops and exposure visits at both national and international level which has helped to improve their skills. FFID still has progressive HR policies in place that incentivise staff and include training, freedom at work, performance based incentives and absence of hierarchy. Staff turnover is however high because FFID cannot keep up with the private sector and the salaries do not match increasing responsibilities of staff. Given the changing donor environment in which funds are decreasing, board members have shown their concern for the funding situation. FFID has improved its capacity in writing proposals (at all levels) and in showcasing their work through communication and reports. Also through its network both with government, private sector and in research, FFID is tapping into new funding possibilities. FFID/Chetna has been successful at diversifying its funds since the baseline, as they are now linked to more major government programmes and also started receiving funds from the Indian private sector. This was because of improved capacity in proposal writing, showcasing work and improved networking. It remains however, a challenge to secure core funding, as most funding is for specific projects.

Score baseline: 3.7

Score endline: 3.7 (no change)

**Capability to adapt and self-renew**



FFID still has an M&E system is still in place. Projects are monitored and evaluated at the outcome level. FFID is now making use of digital technology to collect data. To enhance the application of M&E, communication training has been given to their staff by ICCO which covered a wide range of topics including using the new MIS format, photos as visual evidence, formatting tips and case studies as qualitative evidence. This is now been put to practice by the communication manager and the help of other team members and reports have improved. FFID is collecting data in a more systematic way through improved MIS and more regular meetings, which leads to better operational plans and better reporting to ICCO. There is however still no dedicated person for M&E who can compile the information and do analysis to use M&E for future strategies. However, reporting to ICCO has improved and FFID is getting more systematic in its MIS review. FFID now has more regularly

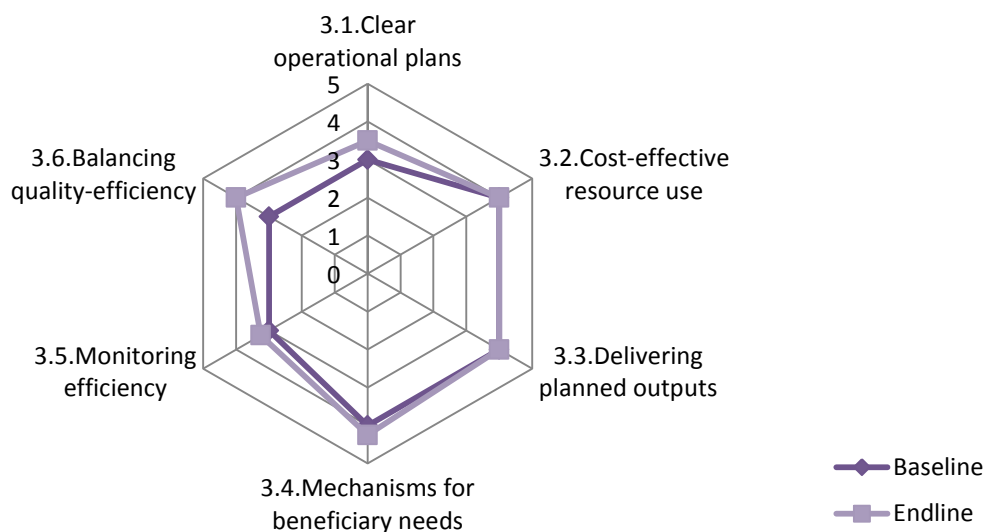


organised moments for critical reflection and staff is more engaged in discussions because strategic meetings are now held in the field. Staff is encouraged to come up with ideas and these are taken into account, e.g. discussions during the Annual Strategy Retreat staff's opinions informed the new strategic vision of FFID. Staff is also taking initiative to incorporate their ideas in drafting proposals for local projects. FFID still keeps itself up to date on both the ecological as well as the donor environment. It keeps track of relevant government schemes and the market situation through its networks, e.g. the 3DP&L (Three Dimensional Profit and Loss Accounting) network. FFID/Chetna also does case studies and receives information from field staff through emails and social media to keep track of its operating environment. FFID is still open and responsive to its stakeholders. They organise for instance, discussions with member cooperatives on self-sufficiency. They do however still sometimes take up too much responsibilities from their network partners which increases the burden on staff.

Score baseline: 3.4

Score endline: 3.6 (very slight improvement)

### Capability to deliver on development objectives

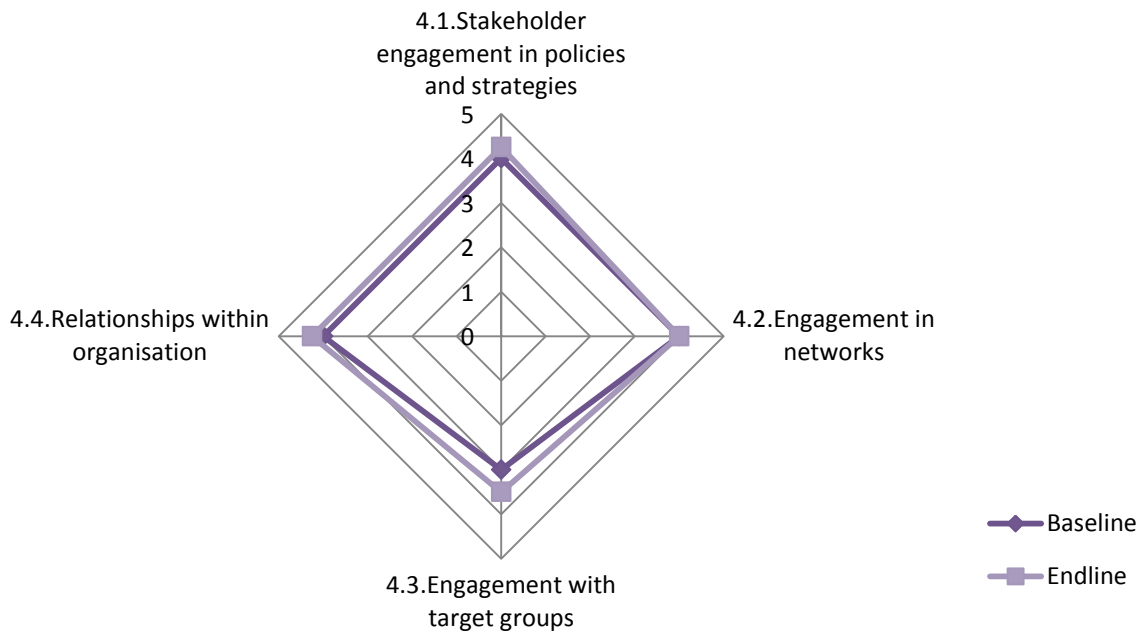


Operational plans have improved because of an improved M&E system and systematic documentation of annual strategic meetings that inform these plans. An operational manual is still pending, but staff have quarterly operational plans to guide them in their work. Now more so than ever FFID uses its resources cost-effectively because of the changes in the donor environment, including ICCO ending its funding in October 2014. The Executive Director has cut back on his travel costs and FFID has diversified funds by accessing local project funds to support the smooth functioning of the project offices. FFID/Chetna continues to deliver well on planned output, even despite the decrease in demand for organic cotton and contradictory finance policies. FFID still uses tools for different stakeholders for quality of certification. There are now also systems in place for balancing efficiency with quality of work, these include: training staff in budget planning and monitoring, designated team leader for each programme to ensure efficiency and not scaling up but focusing on consolidated gains of existing programmes. There are still no formal mechanisms for calculating input/output ratios in place but staff links its efficiency with deliverables. Staff has gotten better at reporting and outputs are still being reached. The farmer representation in the board of COFA and COAPCL still helps assess whether the project meets the beneficiary's needs. Senior management is now engaging directly with beneficiaries and formats to collect data on whether beneficiaries needs were fulfilled are now redrafted and reduced from 30 to 12 pages.

Score baseline: 3.5

Score endline: 3.8 (very slight improvement)

**Capability to relate**

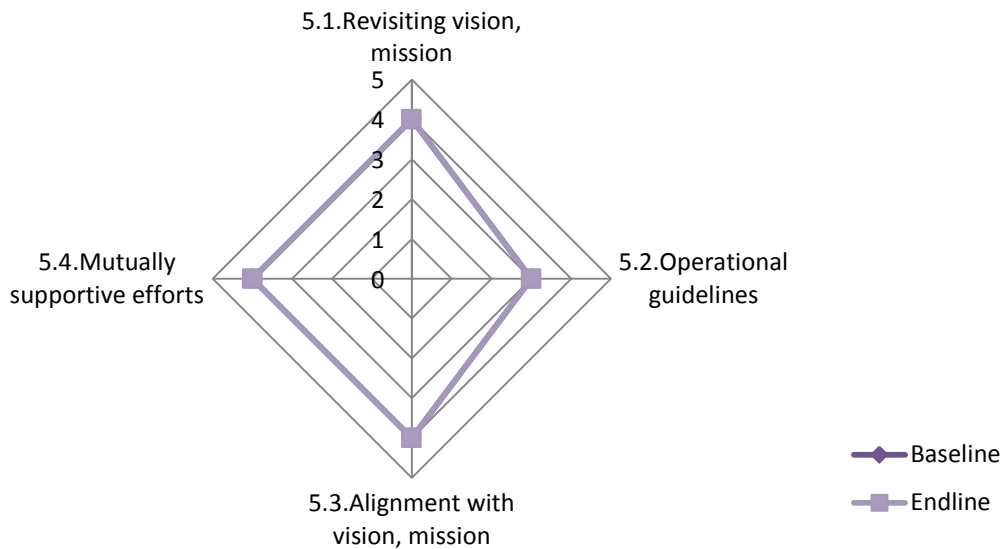


FFID continues to maintain strategic partnerships with various stakeholders (incl. agencies/networks) towards contributing in its strategic planning and development. It developed convergence with agriculture and allied departments, research institutes, various community based organisations and other rural developmental departments for better strategic planning. For example, the joint research programme of FFID, The Research Institute of Organic Agriculture (FiBL), Switzerland and the University of Agriculture Sciences, Dharwad (UASD) on Seed management, Water and soil conservation and management work, meetings with the cooperative members, The 3 Dimension profit and loss network. FFID/Chetna is very well connected and part of various old and new national and international networks. They work with research institutes, like-minded NGOs and Chetna government developmental departments for the benefit of their programmes and to provide access to all relevant schemes existing for the farmers. After the baseline evaluation the frequency of interaction with the target group of FFID/Chetna increased. Field visits increased and strategic state level meetings are now held in the field instead of at the Head Office. FFID has had the chance to look into the relationships within the organisation through the donor-driven evaluations it has been involved with. As a consequence a clarity of role document was circulated and a quality control cell was developed for concerns and complaints. Staff continues to meet on a monthly basis to discuss plans. These meetings have become more focussed because of the donor demand to have better reports and the communication training provided by ICCO. Sharing after trainings is now encouraged and organised and formal and informal dialogue improved among team members.

Score baseline: 3.7

Score endline: 4.0 (very slight improvement)

## Capability to achieve coherence



FFID still revisits its vision during annual meetings. In 2013 the decrease in the demand for organic cotton and the change in climatic conditions triggered FFID/Chetna to re-articulate their vision from cotton mono-cropping to diversified cropping practices. The new vision is: to promote economically and socially viable agrarian based livelihoods in rain-fed and other ecologically depressed regions through sustainable agriculture. Consequently FFID/Chetna adjusted its strategies in line with the new vision. FFID works on different projects and thematic activities that are still complimentary and mutually supportive to one another. FFID is looking at a holistic approach with ecologically aligned technical interventions. While working in rain-fed areas, they lay emphasis on soil and water conservation, sufficient manure and compost for maintaining the soil fertility and different seed conservation and multiplication projects – cotton, food and other. FFID still only takes up projects that are aligned with its vision and mission. Since they have rearticulated their vision they have also revised their strategies towards more diversified programme implementation instead of just focusing on cotton farming.

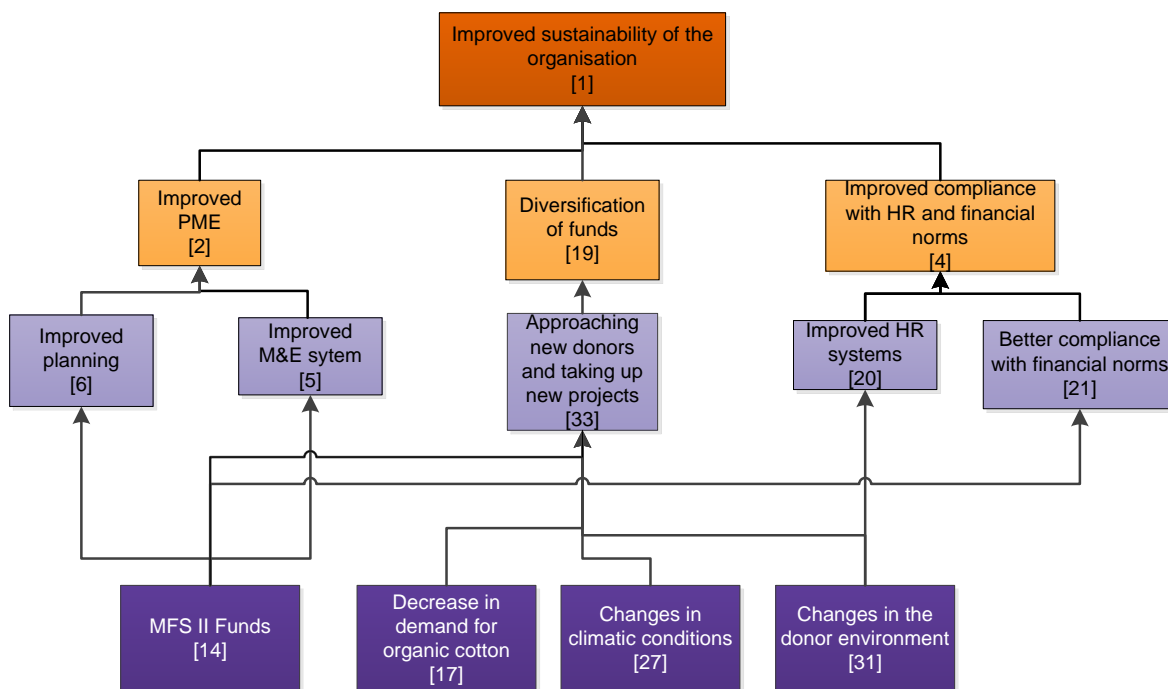
FFID still has an organisational policy in place, whilst HR and accounts policy are not uniform across states. Gender equity has improved by more female representatives in the organisations. Strengthening the understanding of the policies and periodic revision of the administration and HR policies is still required (the documented HR policy was last revised in 2009).

Score baseline: 3.7

Score endline: 3.7 (no change)

### 4.2.2 General changes in the organisational capacity of the SPO

During the endline workshop at FFID, a discussion was held around what were the main changes in organisational capacity since the baseline and why these changes have taken place. The discussion was visualised in a general causal map as can be seen below. The narrative for the general causal map is also described below. It gives a more general picture of what was seen as important changes in the organisation since the baseline, and how these changes have come about, and that tells the more general story about the organisational changes in FFID since the baseline in 2012. The evaluators considered it important to also note down the SPO's story and this would also provide more information about reasons for change, which were difficult to get for the individual indicators. Also for some issues there may not have been relevant indicators available in the list of core indicators provide by the evaluation team.



The evaluation team carried out the endline assessment at FFID from 15 to 17 July 2014. During this workshop, the team made a recap of key features of the organisation in the baseline in 2012 (such as vision, mission, strategies, clients, partnerships). This was the basis for discussing changes that had happened to the organisation since the baseline. FFID continues to provide guardianship support to the Chetna Organic & Fair Trade Cotton Intervention Programme which spawn the twin farmer owned organisations Chetna Organic Farmers Association (COFA) and Chetna Organic Agriculture Producer Company Ltd (COAPCL) to evolve into professional and well established farmers’ support organizations.

Keeping in line with the changed vision over the last two years, FFID/Chetna has been focusing on sustainability for the organisation and for the small and marginal farmers. The key organisational capacity changes made towards sustainability of FFID [1] are:

1. Improved planning, monitoring and evaluation (PME) [2]
2. Diversification of funds [19]
3. Improved compliance with HR and financial norms [4]

These changes happened to coincide partly with the outcome areas that were chosen for process tracing, so as to get detailed information on how these changes in organisational capacity came about. Therefore, the general causal map overlaps strongly with the causal maps developed for each of these outcome areas/organisational capacity changes to be analysed during the process tracing. All the details about these changes in organisational capacity as well as the underlying factors that influenced these changes are described in the narrative and visual in appendix 4. A summary is provided below.

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

### 1. Improved planning, monitoring and evaluation (PME) [2]

According to FFID staff present at the endline workshop, over the last two years FFID has improved its planning, monitoring and evaluation (PME) system [2] , and this is also evident in the endline assessment sheet CFA perspective and management FFID perspective. Improved PME [2] was due to:

- *Improved planning [6]:* According to the CFA it is evident that operational plans and overall planning is becoming better, the management and the endline evaluation team have observed the same.

- *Improved M&E system [5]:* According to ICCO, FFID/Chetna has improved their M&E system in terms of identifying the number of people who are involved and how to involve them .

## 2. Diversification of funds [19]

Over the last two years the organisation had to explore new funding opportunities as some of the projects have come to an end (for e.g. with the Rabobank Foundation and Hivos) and some funding is about to end (for e.g. with ICCO). Also, in absence of a core grant and delayed transfer of payments from the donors, working capital is always at stake. Therefore, there is a continuous need to approach new donors. In the process FFID/COFA is focussing on networking, forming partnerships, convergence with government programmes and emphasizing on staff capacity development in writing proposals to approach new donors. FFID was able to diversify its funds because:

- *They approached new donors and took up new projects [33].* Some of the new projects funded by new donors were: Seed Guardians project funded by Textile Exchange and Inditex, Government convergence programmes like Convergence of Agriculture Initiatives in Maharashtra (CAIM) in Maharashtra, which is funded by the International Fund for Agricultural Development (IFAD), Sir Ratan Tata Trust (SRTT) and the government of Maharashtra.

## 3. Improved compliance with HR and financial norms [4]

In the last two years FFID/Chetna improved compliances with the HR and financial norms triggered by the need to retain their staff and the demand by ICCO for better financial reporting. Compliance improved because of:

- *Improved HR systems [20]:* FFID introduced new HR initiatives to improve its HR system: such as a five day working week (trial basis), increase in daily sustenance allowance while travelling, provisions for a family health insurance , an increment of 8-15 per cent in the salaries with effect from April 2014 and staff promotions under the revised HR systems
- *Improved compliance with financial norms [21]:* FFID improved its compliance with financial norms to fulfil the requirement of ICCO as well as the government under the FCRA Act.

The main underlying causes for these three key organisational changes were:

- *MFS II funding [14]:* funds from MFS II were used for trainings and feedback that helped to improve planning [6], the M&E system [5], approaching new donors and taking up new projects [33] and improving the compliance with financial norms [21].
- *Decrease in demand for organic cotton [17]:* Over the last two years, decrease in the demand for organic cotton forced FFID/Chetna to focus and change its strategy from mono-cropping to diversified cropping and mixed cropping practices where food crops could be grown alongside cotton. This would not only ensure food security for the farmer but also improve soil health. This change in strategy has led to FFID approaching new donors and taking up new projects [33].
- *Further change in climatic conditions (heavy rains, Phailin cyclone) [27]* also triggered diversified programme implementation and expansion of activities to newer locations. The staff felt that in the changing scenario there was a need for revisiting the organisation's vision, which also led to FFID approaching new donors and taking up new projects [33].
- *Changes in the donor environment [31]:* these include the fact that some funding is coming to an end (e.g. from ICCO), some funding has already ended (e.g. Hivos) and the government of India is becoming more strict in its regulations, e.g. the FCRA. This triggered the need for FFID to approach new donors and start new projects [33], but also to better comply to the financial norms of the government [21].

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

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

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

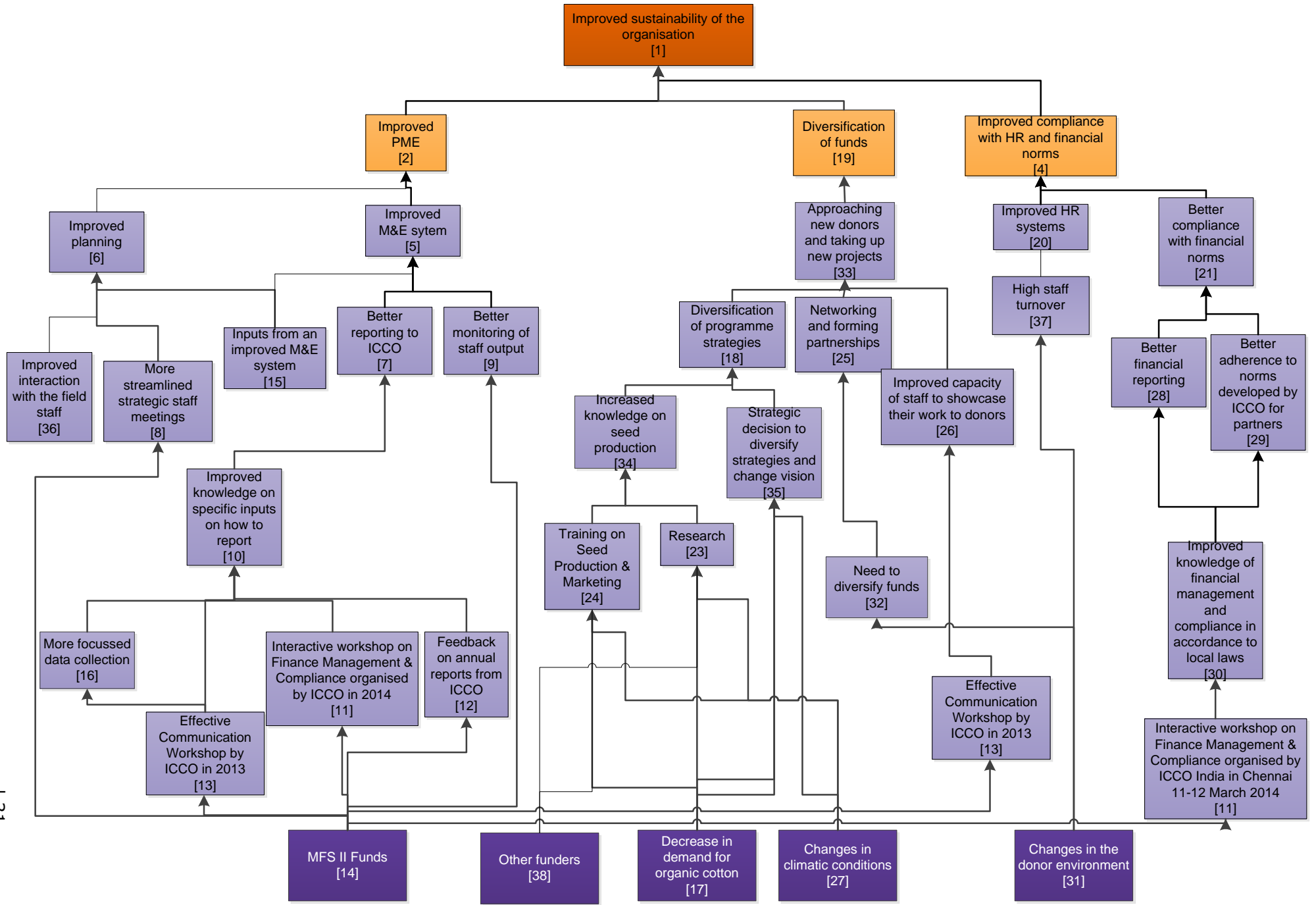
For each of the MFS II supported capacity development interventions -under these two capabilities- an outcome area has been identified, describing a particular change in terms of organisational capacity of the SPO. Process tracing has been carried out for each outcome area. The outcome areas that have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

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

Capability	Outcome area	MFS II supported capacity development intervention(2)
Capability to act and commit	Diversification of funds	Effective communication workshop by ICCO in 2013
Capability to adapt and self-renew	Improved planning, monitoring and evaluation	Interactive workshop on Finance Management & Compliance organised by ICCO in 2014 and Effective communication workshop by ICCO in 2013.
	Improved compliance with financial and HR norms	Interactive workshop on Finance Management & Compliance organised by ICCO in 2014 and Effective communication workshop by ICCO in 2013.

The next sections will describe the results of process tracing for each of the outcome areas, and will describe to what extent these outcome areas have taken place as a result of MFS II supported capacity development interventions and/or other related factors and actors.

Two of the three key organisational capacity changes that were identified during the general map exercise happen to coincide with the outcome areas selected for process tracing: diversification of funds, and improved PME. Each of these two areas is described more in detail below, and a full description of these changes and how they have come about is provided in Appendix 5. In the descriptions the numbers refer to the visual which includes both organisational capacity changes and can be found below.



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### 4.3.1 Improved planning, monitoring and evaluation

For the complete narrative with sources see Appendix 5.

According to FFID staff present at the endline workshop, over the last two years FFID has improved its planning, monitoring and evaluation (PME) system [2], and this is also evident in the endline assessment sheet CFA perspective and management FFID perspective. This was keeping in line with its rearticulated vision which required a revision in strategic plans Improved PME [2] was due to improved planning [6] and an improved M&E system [5]. These issues are further discussed below.

#### **Improved planning [6]**

According to the CFA it is evident that operational plans and overall planning is becoming better [6]. It is also evident from the self-assessment sheet of management and the observation of endline evaluation team that the strategic and operational planning has improved. Improved planning was due to:

- *Improved interaction with the field staff [36]*

As was indicated in the baseline report, earlier the interaction of the senior management with the field staff was not frequent. As a result of this the practical problems and ground realities contributed little to the planning process. In the past two years, the senior management has increased their field visits and have also formed a project intervention committee looking at operationalization of projects and therefore working closely with the field staff. Their inputs have improved planning at FFID/Chetna.

- *More streamlined strategic staff meetings [8]*

Staff meetings are now more regular and there are cohesive discussions not only around operational issues but also around strategic issues. Their operational plans are becoming better, partly because of meeting more regularly. Senior management has become more involved in ensuring programme and organizational sustainability because of changes in the donor environment and climatic conditions. Thus meetings are more streamlined, their minutes are documented and decisions taken during meetings are reflected upon and later finalised by the senior management. The annual strategic meetings are funded by MFS II [14].

- *Inputs from an improved M&E system [15]*

The FFID's plans are now better informed by the inputs of an improved M&E system, which is further discussed below. For example an organic farm MIS has a detailed data base on farmers, type of farms, and production on seasonal basis. This is reviewed regularly to revise or fine tune plans and thus improves the performance of the programme.

#### **Improved M&E System [5]**

PME also improved due to a strengthened M&E system. According to ICCO, FFID/Chetna has improved their M&E system in terms of identifying the number of people who are involved and how to involve them. The M&E system of FFID improved [5] because of:

- *Better reporting to ICCO [7]: Reports are more timely and crisp.* "The reporting to ICCO has been streamlined and this has helped the organization be more systematic in their analysis and MIS review". Better Reporting to ICCO [7] was mainly due to:

- Improved knowledge on specific inputs on how to report [10]. The staff improved knowledge on how to write better reports by incorporating feedback, specific data and statistics as evidence, image description and also linking narrative and financial reporting. Knowledge on specific inputs on how to report [10] improved because of:

- More focussed data collection [16]: There are set formats to collect focused data from the field. For better data collection from the field FFID has redrafted the formats and templates and reduced the formats from 30 pages to 12 pages Data collection became more focussed because of staff participating in the Effective Communication Workshop [13]. The learning of this workshop was shared with the field staff, the format for data collection was redrafted leading to focused data collection from the field.



- Interactive workshop on Finance Management & Compliance [11]: A two-day interactive workshop was organised by ICCO India in Chennai on 11-12 March 2014. The objective was to help ICCO India and its partners to mutually share the good practices and experiential learning and also have a common understanding on the financial management and the law, and ensure effective utilization of the funds. This workshop was funded by MFS II [14].
  - Feedback on annual reports from ICCO [12]: The OD consultant of ICCO provides feedback on the annual report including the financial part. He asks FFID/Chetna to incorporate feedback and they do that. He sees that reports are getting better. The support from the consultant was funded by MFS II [14].
  - Effective Communication Workshop [13]: a two day workshop on effective communication was organised by ICCO Cooperation-SCA with Plan B Communication Partners in Bangalore on 18-19 July 2013. It was aimed at streamlining the reports submitted by the partners to ICCO. Components of the annual report were set out and explained. It helped the Manager (Communications and PR) to improve his skill in structured and focused report writing and case study writing.
- *Better monitoring of staff output [9] also supported the improve M&E system.* Staff output is monitored through specific operational mechanisms that are now in place. Quarterly Review meetings of all staff where they will be monitored on alignment to the agreed objectives planned for the year is funded by MFS II [14].

#### 4.3.2 Diversification of funds

For the complete narrative with sources see Appendix 5.

Over last two years the organisation had to explore new funding opportunities as some of the projects have come to an end (for e.g. with the Rabobank Foundation and Hivos) and some funding is about to end (for e.g. with ICCO). Therefore, there is a continuous need to approach new donors. In the process FFID/COFA is focussing on networking, forming partnerships, convergence with government programmes and emphasizing on staff capacity development in writing proposals to approach new donors. In the last two years it has mobilised funding mostly for specific projects. Though serious efforts have been put in raising core funding, securing it still remains a challenge.

FFID was able to diversify its funds because they approached new donors and took up new projects [33]. Some of the new projects funded by new donors were:

- Seed Guardians Project: an initiative supported by Textile Exchange (USA) & Inditex (Spain) from January 2013 to December 2015.
- Green Cotton Project: The project runs from 2013 till 2016, it is a joint research project of bio-Re Association India, Kasarwad, Madhya Pradesh, Chetna organic, Hyderabad, University of agricultural sciences, Dharwad and Research institute of organic agriculture FiBL, Switzerland
- Eco-farmers Market Portal (Web-based) in collaboration with PRAVAH & ASHA General, running from January 2014 till June 2014.
- Promoting house hold level food & nutritional security: funded by ICCO & Kerk in Actie Netherland from 1st Nov, 2013 to 31st Oct, 2015
- Government convergence programmes: such as, Convergence of Agriculture Initiatives in Maharashtra (CAIM) in Maharashtra. The project receives financial assistance from the International Fund for Agricultural Development (IFAD), Sir Ratan Tata Trust (SRTT) and government of Maharashtra from June 2013 to June 2016

FFID was able to approach and get new donors for new projects [33] because of diversification of programme strategies [18], networking and forming partnerships [25] and improved staff capacity to showcase their work to donors [26]:

- *Diversification of programme strategies [18]*  
FFID/Chetna is no longer only working on cotton, but is now including mixed cropping strategies that include food crops. In this way they were able to link up to new government funded programmes outside the cotton sector and they were also able to attract other funders to work e.g. on nutrition security and seed production. FFID was able to diversify its programme strategies [18] because of

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increased knowledge on seed production [34] and the strategic decision to diversify strategies and change the vision [35]:

- Increased knowledge on seed production and conservation [34] was due to:
  - *Training on Seed Production & Marketing 2013, CSA, Wardha [24]* for FFID staff. In order to be able to conserve and share traditional seed varieties in food crops, staff of FFID received training on Seed Production & Marketing in December 2013, organized and funded by the Centre for Sustainable Agriculture (CSA), Wardha [38].
  - *Research [23]*. With regard to the cotton seed research initiative in collaboration with and funded by the Research Institute of Organic Agriculture (FiBL), Switzerland and the University of Agriculture Sciences, Dharwad (UASD) [38], research continued for the third continuous year.
- The strategic decision to diversify strategies and change the vision [35]. The staff felt that in the changing scenario there was a need for revisiting the organization's vision. Consequently, a vision building workshop was organized in June 2013 with senior staff. The re-articulated vision is as follows: *To promote economically and socially viable agrarian based livelihoods in rain-fed and other ecologically depressed regions through sustainable agriculture*. Aligned to this vision the six main objectives of FFID/Chetna now are: enhancing productivity and reducing cost of cultivation, promoting Viable institutions, Creating market through value addition, natural resource management, food and nutrition security and women and child development.

The training in seed production [24], research [23] and the strategic decision [35] were triggered by changing climatic conditions [27] and due a decrease in demand for organic cotton [17].

- *Networking and forming partnerships [25]:*  
FFID started focusing more on networking because of the need to diversify funds [32], which came from changes in the donor environment [31]. There is a continuous need to approach new donors. FFID/Chetna for this reason is focusing on networking, forming partnerships, emphasizing on staff capacity development in writing proposals. The improved interaction allows them to bid for projects together as well as improve their visibility which is important from the donor perspective. FFID has been associating itself with different international and national level organizations, networks and government agencies to undertake and implement various projects.
- *Improved capacity of staff to showcase their work to donors [26].*  
This is the third reason for being able to approach new donors and take up new projects. Staff capacity was improved because the Communications and PR Manager of FFID attended the *Effective Communication Workshop [13]*.

#### 4.3.3 Improved compliance with HR and financial norms

For the complete narrative with sources see Appendix 5.

In the last two years FFID/Chetna improved compliances with the HR and financial norms triggered by the need to retain their staff and the demand by ICCO for better financial reporting. Compliance improved because of:

- Improved HR systems [20];
- Improved compliance with financial norms [21].

##### *Improved HR Systems [20]*

FFID introduced new HR initiatives to improve its HR system: such as a five day working week (trial basis), increase in daily sustenance allowance while travelling, provisions for a family health insurance, an increment of 8-15 per cent in the salaries with effect from April 2014 and staff promotions under the revised HR systems. These changes were triggered by *a high staff turnover in the last two years [37]* as staff in key senior positions left the organisation for better opportunities (while staff turnover at the field and programme level remained relatively low).

##### *Improved compliance with financial norms [21]*

FFID improved its compliance with financial norms to fulfil the requirement of ICCO as well as the government under the FCRA Act. This compliance improved due to:

- *Better financial reporting [28] and better adherence to norms developed by ICCO for partners [29]*. Both these developments were because of improved knowledge of financial management and

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compliance in accordance to local laws [30]. This knowledge improved because of the *interactive workshop on Finance Management & Compliance organised by ICCO India in Chennai 11-12 March 2014 [11]*, which was funded by MFS II [14]. This was a two days interactive workshop. The objective was to help ICCO India and its partners to mutually share the good practices and experiential learning and also have a common understanding on the financial management and the law, and to ensure effective utilization of the funds. It resulted in improved knowledge of the staff on linking narrative and financial reporting, develop budget plans, to make reports more communicative and innovative, and to integrate finance and program.

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# 5 Discussion and conclusion

## 5.1 Methodological issues

FFID is supporting the Chetna Organic & Fair Trade Cotton Intervention Programme which spawns the twin farmer owned organisations Chetna Organic Farmers Association (COFA) and Chetna Organic Agriculture Producer Company Ltd (COAPCL). Although ICCO is supporting COFA, FFID has been selected as the unit of analysis as COFA is prohibited by Indian laws to receive foreign funding. COFA is the operational wing through which FFID works. Hence, even though ICCO supports COFA and mandates its organisational activities, FFID is the body which is responsible for strategic guidance and steering COFA's activities. Though COFA has COAPCL as a section 25 company, it is still FFID which is answerable for the performance of the organisation. COFA staff is on FFID payroll.

FFID was well versed with the 5C model, with the endline workshop being attended by the management (Sr. Manager – Programs), programme staff (Technical Head cum Team leader, Communication Manager, Certification Manager), HR/Admin (Finance Manager, Sr. Accountant, Admin Officer), field staff (Program Officer cum State Coordination–Odisha, Junior Program Officer cum Marketing & Certification–Odisha, Program Officer cum State Coordination–Maharashtra, Program Officer cum State Coordination–Telangana) who were part of the baseline evaluation, except for Program Officer cum State Coordination–Odisha.

There was a difference between the initial causal map (based on initial document review) and the causal map developed during the workshop. In the end, the causal map developed at the workshop was complemented by information from document review. Though there was very little communication barrier, it was noticed that one of the newly appointed Directors, the previous CEO, was answering most of the questions, which made most of the others look as if they were less informed about the process.

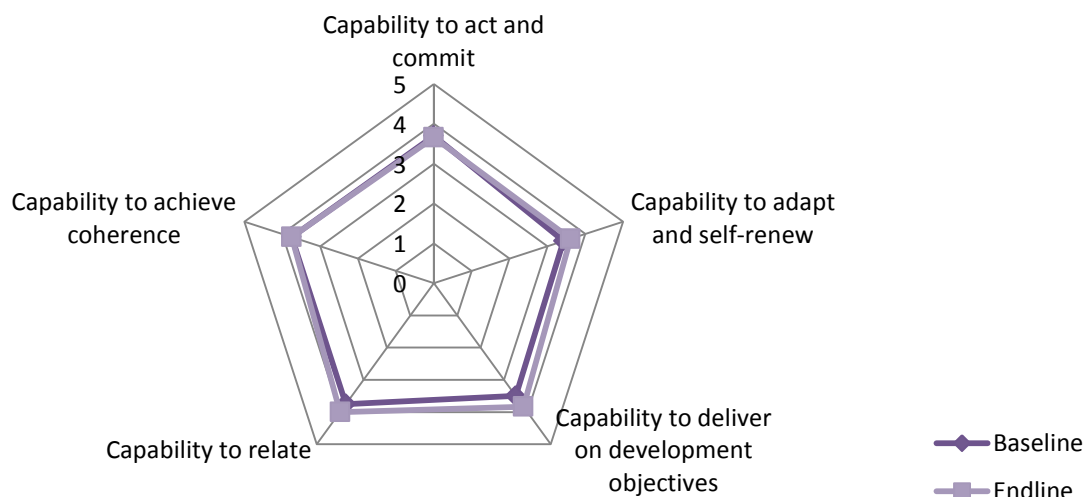
Two Board members were interviewed together; they gave an in-depth view of the organisational sustainability plan of the organisation and the strategic change from organic cotton to multi-cropping. FFID does not have an Organisational Development (OD) consultant. The CEO cum Director is extremely capable and takes care of that side of the organisational necessities. FFID does not work with partners. The farmers organisations that they work with are loose groups who agree to work on organic farming. FFID is part of networks where it does marketing and branding lobbying. This activity is carried out by the CEO. Hence the question of interviewing partners did not arise.

In relation to process tracing, training questionnaires were filled in for all the trainings and events under MFS II supported funding. However, for the staff it was sometimes difficult to recall what they learnt during a specific training as the staff was exposed to various training programmes and exposure visits (both under MFSII programme and others). Therefore, often the observed changes can be attributed to various factors beyond a specific training programme. However, the training questionnaires formed the basis of distinguishing the changes which resulted from a particular training over others. It provided details such as who participated in the training and the consequent changes, ability of the participant to influence other staff, application of training.

## 5.2 Changes in organisational capacity

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

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



Whilst changes took place within four of the five core capabilities, in some indicators the improvements or deterioration were more pronounced than in others. Below the changes in each of the capabilities are further explained, by referring to the specific indicators that changed.

Over the last two years some improvements took place in the indicators under the capability to act and commit. Over the last two years climatic, market and donor conditions have been changing rapidly. Due to this, leadership decided to change the vision and strategy of the organisation. Before the baseline in 2012, FFID/Chetna was more cotton-centric, now they also work on food crops. Changes in the donor environment have led to FFID not being able to offer salaries that are up to par with the market. While FFID is able to secure some funding for specific projects, it is really hard to secure core funding. Due to this senior key staff members have left the organisation for better opportunities and this meant a slight deterioration in the indicator on staff turnover. Board members are now more constructively engaged in the efforts to look for new funding. The last two years, financial compliance, showcasing and reporting to donors, and working with the government have improved. While during the baseline there were no data available on how FFID articulated its strategies, now during the annual strategy meetings a situational analysis is done and strategies are based on developments in the donor, cotton market and climatic environment.

In the capability to adapt and self-renew FFID has improved slightly in various indicators. As FFID modified its M&E formats, data collection from the field became more focussed and training on effective communication and financial compliances also led to better reports. It is hard for FFID to find and hire the right person with M&E skills because of the low salaries they can offer. Staff have basic M&E skills and evaluations are done by donors or fair trade organisations. The improved reports that are now more punctual have helped in improving the performance in the programmes, but M&E findings are not yet used strategically. Critical reflection improved as a strategic annual retreat now involves field staff more as they are held in the field offices. Reflection meetings are held more regularly, because ICCO and other donors insisted on this.

In terms of the capability to deliver on development objectives, there have been some improvements. Operational plans have improved as they are informed by better M&E, research and minutes from annual strategic meetings. Data collection to trace whether FFID's services meet their beneficiaries needs is now more focussed and board members also visit the field to verify this. There is more interaction with the target groups through visits and their input in reports. In terms of balancing quality and efficiency, FFID slightly improved because they focussed on better financial compliance through trainings on budget planning and the FCRA. There are now team leaders for all programmes who are responsible for and skilled in budget planning. Also the decision has been made to not scale up programmes but to focus on consolidating the existing ones.

In the capability to relate FFID has somewhat improved. They have worked more on organisational visibility, for example through working on convergence programmes with the government. Market information to inform their policies is obtained through e.g. their involvement in the network: three dimension profit & loss. As mentioned earlier, interaction with the field level increased and many meetings and in-house trainings are now held in the field instead of at the head office. In terms of

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internal relations within FFID, there is more sharing after trainings and because a middle level manager became team leader informal communication improved.

There have been no changes in the indicators under the capability to achieve coherence.

During the endline workshop some key organisational capacity changes were brought up by FFID's staff: improved planning, monitoring and evaluation; diversification of funding and improved compliances with HR and financial norms. The evaluators considered it important to also note down the SPO's story and this would also provide more information about reasons for change, which were difficult to get for the individual indicators. Also for some issues there may not have been relevant indicators available in the list of core indicators provide by the evaluation team. These changes happened to overlap with the key changes that were selected for process tracing. The underlying causes of the drop in demand for organic cotton, worsening climatic conditions and changing donor environment led to many of the above mentioned changes in FFID's organisational capacity as it led them to make a strategic decision to no longer only focus on cotton and work more diligently on financial compliances and attractive reports for donors. MFS II played a role in funding trainings that led to improved PME, but also the ending of MFS II funding in 2014 triggered the need to diversify funding. This will further be discussed below in 5.3.

## 5.3 Attributing changes in organisational capacity to MFS II

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

2. *To what degree are the changes identified in partner capacity attributable to development interventions undertaken by the MFS II consortia (i.e. measuring effectiveness)?*
  
4. *What factors explain the findings drawn from the questions above?*

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

- Improved planning, monitoring and evaluation (PME); and
- Diversification of funds.
- Improved compliance with HR and financial norms

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

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

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

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Please note that whilst (d) addresses the evaluation question related to attribution (evaluation question 2), the other three issues (a, b and c) have been added by the synthesis team as additional reporting requirements, and therefore there is inadequate information available on this. Then again, this wasn't the purpose of this 5c evaluation.

### **Improved planning, monitoring and evaluation (PME)**

The following MFS II funded capacity development interventions were linked to the key organisational capacity change "Improved planning, monitoring and evaluation (PME);"

1. Workshop on Effective communication, 18-19 July 2013 (not planned during the baseline, but details provided during the endline)
2. Workshop on Financial Management and Compliances, 11-12 March 2014 (not planned during the baseline; but details provided during the endline)
3. More streamlined strategic staff meetings during annual retreats (planned during the baseline; no details provided during the endline)
4. Feedback on annual reports from ICCO (not planned during the baseline and no details provided during the endline)
5. Quarterly Review meetings with all staff to better monitor staff output (planned during the baseline, but no details provided during the endline)

The above-mentioned MFS II funded capacity development interventions will be discussed below. These interventions were either planned during the baseline and on which details were provided during the baseline and endline or were not planned during the baseline, but details on the intervention were provided during the endline. The capacity development interventions for which no objectives have been provided during baseline or endline will only be discussed when addressing the attribution question (in this case strategic annual retreats, the feedback on annual reports from ICCO and the quarterly review meetings).

#### *Workshop on Effective communication, 18-19 July 2013*

##### **Design**

This intervention was not planned during the baseline. The immediate objectives of this workshop, which were formulated during the endline by the CFA was "to enable partners to understand and practice effective communication components as represented by crisp, complete and consistent project reports, emotive and evidence-based case studies and descriptive photographs" and "to bring parity in reporting between all SPOs and also to ensure quality in reporting." The long term expected objective was that FFID would have the capacity to report better to other donor agencies and to develop crisp reports in line with the requirements of the private sector.

During the baseline workshop FFID formulated a number of conditions that needed to be in place in order for them to emerge as "a resource to enhance sustainable agriculture based livelihood options in rain feds" (their goal). The conditions that they set are all interrelated and linked to the objective of the effective communications workshop: having a robust MIS (to provide inputs for reports) and increased visibility of the organisation. The objectives, both immediate and long term, were therefore very relevant for FFID.

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

##### **Implementation**

This intervention was not planned for during the baseline and details about the specific design cannot be provided, since this wasn't the focus of the evaluation. Therefore, no judgement can be made on whether this intervention was implemented as designed. However the workshop did take place on 18-19 July 2013 in Bangalore. The communications and PR manager of FFID attended this workshop.

##### **Reaching objectives**

The focus of this evaluation has been the role of the MFS II funded capacity development interventions in the key organisational capacity changes that were identified, as explained in the detailed causal map. The effective communications workshop came up in the map and narrative on the organisational capacity change 'improved PME'. In this regard we can conclude that this workshop led to more

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focussed data collection and improved knowledge on specific inputs on how to report. These two changes together led to better reporting to ICCO, which contributed to an improved M&E system and finally to improved PME.

Though not the focus of this evaluation, we can provide an indication of the extent to which the objectives as formulated during the baseline and endline, have been achieved,. The short term objective of having more crisp, complete and consistent reports with case-studies and photographs, has been achieved. ICCO observed that FFID's reports got more timely and crisp after this workshop. Also the communications and PR manager of FFID improved his skill in structured and focused report and case study writing. FFID now has a database of 10.000 photographs, 100 hours of video footage and 100 case studies. The short term objective of bringing more parity between all SPOs also has been achieved as ICCO mentioned that it was easier for them to consolidate the reports from various SPOs because of the standardised reports that they all used. The long term objective of having better reports for other funders and reports in line with the requirements of the private sector has been achieved to some extent. From the causal map and narrative we concluded that improved staff capacity to showcase their work (because of this effective communications workshop) contributed to FFID approaching and getting new donors for new projects.

#### *Workshop on Financial Management and Compliances, 11-12 March 2014*

##### **Design**

This intervention was not planned during the baseline. The immediate objectives of this workshop were, as described by the CFA during the endline: "to ensure a common goal and accountability for all partners working in MFS-II; common understanding on financial management and the laws; to set minimum standards and good practices; to leverage the learnings of both ICCO and its partners' long ground level experience; and to ensure effective utilization of MFS funds by partners. The long term objective was: "improved financial performance and better finance management systems."

During the baseline workshop FFID formulated a number of conditions that needed to be in place in order for them to emerge as "a resource to enhance sustainable agriculture based livelihood options in rain feds" (their goal). The condition that is most linked to the objectives of this interventions in relation to improved PM&E (and in particular financial reporting requirements by funders) is a focus on, among other things, training staff in how to meet donor compliances through improved financial reporting. These areas in which FFID wanted to develop during the baseline are very much linked to the immediate and long term objective of this intervention. The objectives of the interventions are therefore very relevant for FFID.

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

##### **Implementation**

This intervention was not planned for during the baseline and details about the specific design cannot be provided, since this wasn't the focus of the evaluation. Therefore, no judgement can be made on whether this intervention was implemented as designed. However the workshop did take place on 11-12 March 2014 in Chennai. The Manager Finance and Admin of FFID, who is in charge of accounts and financial management in Chetna, attended this workshop.

##### **Reaching objectives**

The focus of this evaluation has been the role of the MFS II funded capacity development interventions in the key organisational capacity changes that were identified, as explained in the detailed causal map. The financial management workshop came up in the map and narrative on the organisational capacity change 'improved PME'. In this regard we can conclude that this workshop contributed to better (financial) reporting to ICCO, which contributed to an improved M&E system and finally to improved PME.

Though not the focus of this evaluation, we can provide an indication of the extent to which the objectives as formulated during the baseline and endline, have been achieved. The short term objectives of this intervention to ensure accountability for all partners, common understanding of financial management and laws, to set minimum standards and to ensure effective utilisation of MFS funds, were reached. The CFA observed that FFID had better financial reporting, was not in risk levels (with regards to their financial management), was evaluated better financially (i.e. not in a fraudulent category), better adhered to the Annex 4A and B norms developed by ICCO for partners and had



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better knowledge of and compliance with local laws. FFID agrees with this. The long term objective "improved financial performance and better finance management systems" has not yet been achieved, but it is in process.

### **Attribution of observed results to MFS II capacity development interventions**

Improved planning, monitoring and evaluation was due to improved planning and an improved M&E system (also see 4.3.1). Improved planning can be attributed to improved interaction with field staff, more streamlined strategic staff meetings and inputs from an improved M&E system. The field staff interaction developed over the last two years as the senior management increased their field visits and formed a project intervention committee that looked at the operationalization of projects, working closely with field staff. This can thus be attributed to internal factors within FFID and not to MFS II funding. The strategic staff meetings take place once a year and are funded by MFS II. The inputs from an improved M&E system can also be attributed to MFS II funded capacity development interventions as will be described in the next paragraph. All in all, improved planning can be partly attributed to MFS II funded interventions and partly to internal factors within FFID.

The improved M&E system can be attributed to better reporting to ICCO and better monitoring of staff outputs. Better reporting to ICCO can be completely attributed to MFS II funded capacity development interventions. Reporting to ICCO became better because FFID staff had better knowledge on specific inputs on how to report. This knowledge had been acquired during the MFS II funded interactive workshop on finance management and compliance on 11-12 March 2014 and the effective communications workshop on 18-19 July 2013 (both described above). FFID's knowledge on which inputs were needed for the reports can also be attributed to more focused data collection, which was the result of the effective communications workshop. Finally the improved knowledge on inputs on how to report can be attributed to feedback that ICCO provided on annual reports. The M&E system improve not only in relation to improved reporting, but also better monitoring of staff outputs. Staff monitoring mainly took place during quarterly review meetings of all staff. These meetings are funded by MFS II. All in all, the improved M&E system of FFID can almost completely be attributed to MFS II funded capacity development interventions.

### **Diversification of funds**

The following MFS II capacity development intervention supported by ICCO are linked to the key organisational capacity change "diversification of funds" (please also see section 4.3):

1. Workshop on Effective communication, 18-19 July 2013 (not planned during the baseline, but details provided during the endline; already described above).

The MFS II capacity development intervention that was mentioned by ICCO and is linked to the key organisational capacity change "diversification of funds" has been described under the previous key change (improved PME), and will be described here shortly for how it relates to diversification of funding.

#### *Workshop on Effective communication, 18-19 July 2013*

##### **Design**

This intervention was not planned during the baseline. The immediate objectives of this workshop, which were formulated during the endline by the CFA was "to enable partners to understand and practice effective communication components as represented by crisp, complete and consistent project reports, emotive and evidence-based case studies and descriptive photographs" and "to bring parity in reporting between all SPOs and also to ensure quality in reporting." The long term expected objective was that FFID would have the capacity to report better to other donor agencies and to develop crisp reports in line with the requirements of the private sector.

During the baseline workshop FFID formulated a number of conditions that needed to be in place in order for them to emerge as "a resource to enhance sustainable agriculture based livelihood options in rain feds" (their goal). The conditions that they set are all interrelated and linked to the objective of the effective communications workshop and are linked to diversification of funds: increased visibility of the organisation and a strong financial resource base (because of better internal and external communication to existing and potential donors). The objectives, both immediate and long term, were therefore very relevant for FFID.

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

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but rather asked about the expected or observed immediate and long term effects of the interventions.

### **Implementation**

This intervention was not planned for during the baseline and details about the specific design cannot be provided, since this wasn't the focus of the evaluation. Therefore, no judgement can be made on whether this intervention was implemented as designed. However the workshop did take place on 18-19 July 2013 in Bangalore. The communications and PR manager of FFID attended this workshop.

### **Reaching objectives**

The focus of this evaluation has been the role of the MFS II funded capacity development interventions in the key organisational capacity changes that were identified, as explained in the detailed causal map. The effective communications workshop came up in the map and narrative on the organisational capacity change 'diversification of funding'. In this regard we can conclude that this workshop contributed to improved staff capacity to showcase work to donors which led to approaching new donors and taking up new projects which finally led to diversification of funding.

Though not the focus of this evaluation, under the organisational capacity change "improved PME" it has already been discussed to what extent the objectives that were formulated during the endline have been achieved.

### **Attribution of observed results to MFS II capacity development interventions**

FFID was able to diversify its funds because they were approaching new donors and taking up new projects. Taking up new projects and be able to approach new donors can be attributed to diversification of programme strategies, networking and forming partnerships and improved capacity of staff to showcase their work to donors.

Diversification of programme strategies can be attributed to increased knowledge on seed production and the strategic decision to diversify strategies and change the vision. The increased knowledge on seed production can be attributed to a training on seed production and marketing in December 2013 that was funded by the Centre for Sustainable Agriculture; and a research initiative that FFID has been involved in with a research institute in Switzerland and a University in Dharwad, India (both non-MFS II). Going to this training and starting this research were triggered by the external factors of changing climatic conditions (including Phailin cyclone) and a decrease in the demand for organic cotton. The diversification of programme strategies can furthermore be attributed to the strategic decision to diversify strategies and change the vision. was an internal development within FFID which was triggered by again the external factors: changing climatic conditions and a drop in the demand for organic cotton. All in all, the diversification of programme strategies cannot be attributed to MFS II funded capacity development interventions.

FFID worked on networking and forming partnerships because of a need to diversify funds. The need to diversify funds can be attributed to changes in the donor environment. Changes in the donor environment include the more strict regulations of the Indian Government on foreign funding and the ending of MFS II funding by September 2014. The improved networking and formations of new partnerships cannot be attributed to MFS II funded interventions. The partnerships are furthermore with government programmes and e.g. partners through a project called 3DPNL (three dimensional profit and loss), which are not related to MFS II. There is no link to MFS II funded capacity development interventions.

Finally, FFID's improved capacity to showcase their work to donors can be attributed to the effective communications workshop on 18-19 July 2013, which was funded by MFS II and is described above. As far as the evaluation team knows there have not been any other trainings by other funders on the same topic. FFID's improved staff capacity to showcase their work can therefore be completely attributed to this MFS II funded capacity development intervention.

All in all, only one MFS II funded capacity development intervention (and effective publications workshop in 2013) has played a role and his role was minor in terms of FFID's diversification of funding. External factors like the changing climate and demand for organic cotton; internal factors like the strategic change and projects and trainings with other funders have played a more important role in stimulating the organisation to diversify its FFID's funding base.

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### **Improved compliance with HR and financial norms**

The following MFS II capacity development interventions were linked to the key organisational capacity change "Improved compliance with HR and financial norms"

1. Workshop on Financial Management and Compliances, 11-12 March 2014 (not planned during the baseline; but details provided during the endline)

#### *Workshop on Financial Management and Compliances, 11-12 March 2014*

##### **Design**

This intervention was not planned during the baseline. The immediate objectives of this workshop were, as described by the CFA during the endline: "to ensure a common goal and accountability for all partners working in MFS-II; common understanding on financial management and the laws; to set minimum standards and good practices; to leverage the learnings of both ICCO and its partners' long ground level experience; and to ensure effective utilization of MFS funds by partners". The long term objective was: "improved financial performance and better finance management systems."

During the baseline workshop FFID formulated a number of conditions that needed to be in place in order for them to emerge as "a resource to enhance sustainable agriculture based livelihood options in rain feds" (their goal). The condition that is most linked to the objectives of this interventions in relation to improved compliance with financial norms is training staff in how to comply with donor requirements and to define a model for reinvesting the cooperatives' profit. These areas in which FFID wanted to develop during the baseline are very much linked to the immediate and long term objective of this intervention. The objectives of the interventions are therefore very relevant for FFID.

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

##### **Implementation**

As described above under improved PME, this workshop took place on 11-12 March 2014 in Chennai. The Manager Finance and Admin of FFID, who is in charge of accounts and financial management in Chetna, attended this workshop.

##### **Reaching objectives**

The focus of this evaluation has been the role of the MFS II funded capacity development interventions in the key organisational capacity changes that were identified, and as described in the detailed causal map. The financial management workshop came up in the map and narrative on the organisational capacity change: improved compliance with HR and financial norms. In this regard we can conclude that this workshop contributed to improved knowledge of financial management and compliance according to local laws, which contributed to better financial reporting and better adherence to norms developed by ICCO for partners, which together led to better compliance to financial norms.

Though not the focus of this evaluation, under the organisational capacity change "improved PME" it has already been discussed to what extent the objectives that were formulated during the endline have been achieved.

##### **Attribution of observed results to MFS II capacity development interventions**

FFID improved its compliance with HR and financial norms because of improved HR systems and improved compliance with financial norms.

The improved HR systems were triggered by a high staff turnover in the last two years. FFID introduced some new HR initiatives like provisions for family health insurance and higher salaries in order to retain staff. This was an organisational capacity change that happened due to internal factors (high staff turnover) and this cannot be attributed to MFS II funded capacity development interventions.

The compliance with financial norms to fulfil the requirement of ICCO as well as the government under the FCRA Act improved because of better financial reporting and better adherence to norms developed by ICCO for partners. Both these developments were because of improved knowledge of financial management and compliance in accordance to local laws. This knowledge can be attributed to the MFS

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II funded interactive workshop on Finance Management & Compliance organised by ICCO India in Chennai 11-12 March 2014. The improved compliance with financial norms can therefore to a large extent be attributed to MFS II funded capacity development interventions.

All in all, FFID's improved compliance with HR and financial norms can partly be attributed to MFS II supported capacity development interventions.

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## Overall evaluation methodology

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## List of documents available

- FinMantraining.png  
CommunicationsWorkshopParticipantsListForBangalore.docx  
Cooperatives\_Status\_March 2014 Edited 170414-2.xlsx  
Cooperatives\_Status\_March2014.docx  
Training details of 2012-2013 and 2013-2014 Kerameri and Jainoor mandal.docx  
Annual Report\_ICCO\_01 April 2013- 31 March 2014.docx  
CommunicationsWorkshopParticipantsListForBangalore1.jpg  
CommunicationsWorkshopParticipantsListForBangalore.jpg

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CommunicationsWorkshopParticipantsListForDelhi.pdf  
Communication Workshop\_Report\_India (2).pdf  
An Interactive Workshop on Finance Management Chennai- final -1.docx  
Communications workshop annexures  
Training workshop Reports  
Financial management workshop attendees.doc  
Chennai attendee list.doc  
ICCO Cooperation Logo in JPG.jpg  
Style Sheet\_ICCO Cooperation Logo.pdf  
01 Annexure A1\_ Learnings from the New Delhi Workshop.pdf  
Annexure 1\_Welcome.pdf  
Annexure 2 Quiz.pdf  
Annexure 3\_Strategic Direction.pdf  
Annexure 4\_Group Assignment Exercise\_Reports Evaluated by Partners.pdf  
Annexure 5\_Group Assignment Case Studies evaluated by Partners.pdf  
Annexure 6.pdf  
GroupPicture\_Bangalore.jpg  
GroupPicture\_NewDelhi.jpg  
Training details of 2012-13 & 2013-14 Jainoor mandal.xlsx  
Training details of 2012-13 & 2013-14 Kerameri mandal.xlsx

FFID-COFA staff details.xlsx  
Financial statement 2012-13.pdf  
Seed guardians A3 print poster final\_25 copies-compressed.jpg  
Trainings given 2012-2014.docx  
Weaving livelihood through cultivating organic cotton - The Hindu.pdf  
Research evaluation other  
Strategy & Annual meetings  
Training workshop Reports  
A sustainable model for small and marginal ryots - The Hindu.pdf  
Archana story compressed.jpg  
Business Projections of COAPCL\_For Caspian\_Final\_V1.xlsx  
Chetna Status Evolution&Future\_MFS.ppt  
ChetnaHR Policy & Organogram 2009.pdf  
COAPCL annualreport\_2013-14-draft.pdf  
FFID Audit Statement 2011-12.pdf  
FFID Chetna VISION.pdf  
FFID\_Annual Report\_2012.docx  
FFID-Annual\_Report\_2013.docx  
FFID-COFA staff details.pdf  
Final Report -Rapid Assessment of PP-SODI- 4th Apr 2014.pdf  
Producer Companies and their Partnered Institutions.pdf  
The Chetna Story.pdf  
ChetnaOrganics\_BestPractice\_GKC\_final.pdf  
Effective Private Sector Development (final).pdf  
Farm Engagement - Annual Report 2013-FINAL DRAFT-Lo.pdf  
Strategy meeting report Mar 5-6, Hyd 2013 with pix compressed-1.docx  
Annual Strategy Meet-Araku June1-2 2013 with pix compressed.docx  
Annual Strategy Meeting Odisha March 2014 with pix compressed-additions.docx  
ITDA-IWMP-DPR preparation 2 day training 15and 16th April-2014.docx  
IWMP-Training-report.docx  
Policy advocacy work by Chetna.docx  
Refresher Training on GMseeds, pest and soil01june13.docx  
Report on ICS training held-2012.doc  
Report on ICS training held-2013.doc  
Report on NPM Training - MH staff.docx  
Report+on+exposure+visit.docx

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seed issues training SODI Dombesi22feb12.docx  
Training on AESA13sep2012.docx  
Training Details of IWMP Korvichlema.pdf  
Training Details of IWMP Korvichlema.xlsx  
Training report.docx  
Training-NREGS staff report.docx  
Utnoor cluster Annual details of ocip Training for 2012-13 & 2013-14  
97th constitutional amendment\_implication on cooperative\_Arun final comments.docx  
Agri innovations-training IGWDP-Jainoor-Brief report.docx  
Convergence-IWMP-News letter-Ashok.docx  
Impact of RRA project on soils.docx  
Training details for 2012-13 & 2013-14 Asifabad mandal.xlsx  
Training details of 2012-13 & 2013-14 Kerameri mandal.xlsx  
Training details of 2012-13 & 2013-14 Jainoor mandal.xlsx  
Trainig for 2012-13 & 2013-14 Narnoor mandal.xlsx  
Trainigs-for 2012-2013 & 2013-2014 Sirpur-U.xlsx  
Trainigs-for 2012-2013 & 2013-2014 Utnoor mandal.xlsx

**Fieldwork data:**

Annex C\_5C endline\_support to capacity development sheet\_SPO perspective\_India\_FFID.docx  
Interview with Kailash.docx  
5c endline\_assessment sheet\_Dutch co-financing organisations\_India\_FFID\_ICCO (2).docx  
Communication Workshop\_Report\_India (2).pdf  
narrative report\_2012-13.pdf  
5C endline\_support to capacity development sheet\_CFA perspective\_India\_FFID\_ICCO  
%282%29.docx  
An Interactive Workshop on Finance Management Chennai- final -1.docx  
5C endline\_support to capacity development sheet\_CFA perspective\_India\_FFID\_ICCO (Kailash).docx  
5c endline self-assessment sheet\_management\_India\_FFID (Autosaved).docx  
5c endline self-assessment sheet\_programme staff\_India\_FFID.doc  
5c endline self-assessment sheet\_admin HRM staff\_India\_FFID.docx  
5c endline self-assessment sheet\_field staff\_India\_FFID.docx  
5c endline interview guide\_management\_India\_FFID.docx  
5c endline\_questionnaire\_training\_participant\_perspective\_India\_FFID\_FinancialManagement2014  
.docx  
5c endline\_questionnaire\_training\_participant\_perspective\_India\_FFID  
\_EffectiveCommunicationsworkshop2013\_.docx  
Annex K\_5c endline workshop\_key changes and factors\_SPO perspective\_country\_name SPO.docx  
ATTENDANCE SHEET for FFID 15-17 July Workshop.docx  
5c endline observation sheet - observations by in-country evaluators during the endline capacity  
assessment at the SPO\_FFID.docx

# List of Respondents

## FFID staff:

NAME	DESIGNATION	15 <sup>th</sup> July	16 <sup>th</sup> July	17 <sup>th</sup> July
Arun Chandra Abatipudi	Executive Director	Did not attend	Present	Present
Samatha Valluri	Sr. Manager - Programs	Present	Present	Present
Ram Prasad	Sr. Program Officer - Technical Extension & Research; Team Leader - Odisha	Present	Present	Present
Mrunal Lahankar	Sr Program Officer – Organic & Fair trade Certification	Present	Present	Present
Vipul Kulkarni	Communications Manager	Present	Present	Present
Srinivas Anandala	Manager Finance & Accounts	Present	Present	Present
Ravi Kiran R	Senior Accountant	Present	Present	Present
Sudha Rani	Admin. Associate	Present	Present	Present
GS Rao	Program Officer – State Coordination - Odisha	Present	Present	Not selected for PT
K. Shivaram	Program Officer – State Coordination - Telangana	Present	Present	Not selected for PT
Rahul Bole	Program Officer – State Coordination - Maharashtra	Present	Present	Not selected for PT
Arun Biswal	Junior Program Officer – Marketing & Certification - Odisha	Present	Present	Not selected for PT

## CFA

Kailash Iyer, Program Officer at ICCO. Interviewed on 30 June 2014.

## Others

Mr. Subba Rao & Mr. Vasudeva Rao, Board members. Interviewed on 15 July 2014.



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# Appendix 1 Methodological approach & reflection

## Introduction

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

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

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

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

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

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

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

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

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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.<sup>16</sup> Per indicator they could indicate whether there was an improvement or deterioration or no change and also describe these changes. Furthermore, per indicator the interviewee could indicate what interventions, actors and other factors explain this change compared to the baseline situation. See below the specific questions that are asked for each of the indicators. Per category of interviewees there is a different list of indicators to be looked at. For example, staff members were presented with a list of all the indicators, whilst external people, for example partners, are presented with a select number of indicators, relevant to the stakeholder.

The information on the indicators was collected in different ways:

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

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<sup>16</sup> The same categories were used as during the baseline (except beneficiaries, other funders): staff categories including management, programme staff, project staff, monitoring and evaluation staff, field staff, administration staff; stakeholder categories including co-financing agency (CFA), consultants, partners.

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

#### Key steps to assess changes in indicators are described

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

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

Below each of these steps is further explained.

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

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

#### General questions about key changes in the capacity of the SPO

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

## Background information on process tracing

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

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

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

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

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

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

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

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



## Selection of SPOs for 5C process tracing

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

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

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

### ETHIOPIA

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

Table 1

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

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

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

Source: country baseline report, Ethiopia.

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

Table 2

*SPOs selected for process tracing – Ethiopia*

Ethiopia – SPOs	End of contract	Focus on capability to act and commit – by SPO	Focus on capability to act and commit – by CFA	Focus on capability to adapt and self-renew – by SPO	Focus on capability to adapt and self-renew – by CFA	CFA	Selected for process tracing
AMREF	Dec 2015	Yes	Yes	Yes	Yes	AMREF NL	Yes
CARE	Dec 31, 2015	Partly	Yes	Yes	Yes – slightly	CARE Netherlands	No - not fully matching
ECFA	Jan 2015	Yes	Yes	Yes	Yes	Child Helpline International	Yes
FSCE	Dec 2015	Yes	Yes	Yes	Yes	Stichting Kinderpostzegels Netherlands (SKN); Note: no info from Defence for Children – ECPAT Netherlands	Yes
HOA-REC	Sustainable Energy project (ICCO Alliance): 2014 Innovative WASH (WASH Alliance): Dec 2015	Yes	Yes	Yes	Yes - slightly	ICCO	No - not fully matching
HUNDEE	Dec 2014	Yes	Yes	Yes	Yes	ICCO & IICD	Yes
NVEA	Dec 2015 (both)	Yes	Yes	Yes	Yes	Edukans Foundation (under two consortia); Stichting Kinderpostzegels Netherlands (SKN)	Suitable but SKN already involved for process tracing FSCE
OSRA	C4C Alliance project (farmers marketing): December 2014 ICCO Alliance project (zero grazing): 2014 (2 <sup>nd</sup> 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<sup>17</sup>*

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

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

Source: country baseline report, India.

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

Table 4

*SPOs selected for process tracing – India*

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

<sup>17</sup> 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 ikologi	ECPAT	GSS	Lem bage 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



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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

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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.

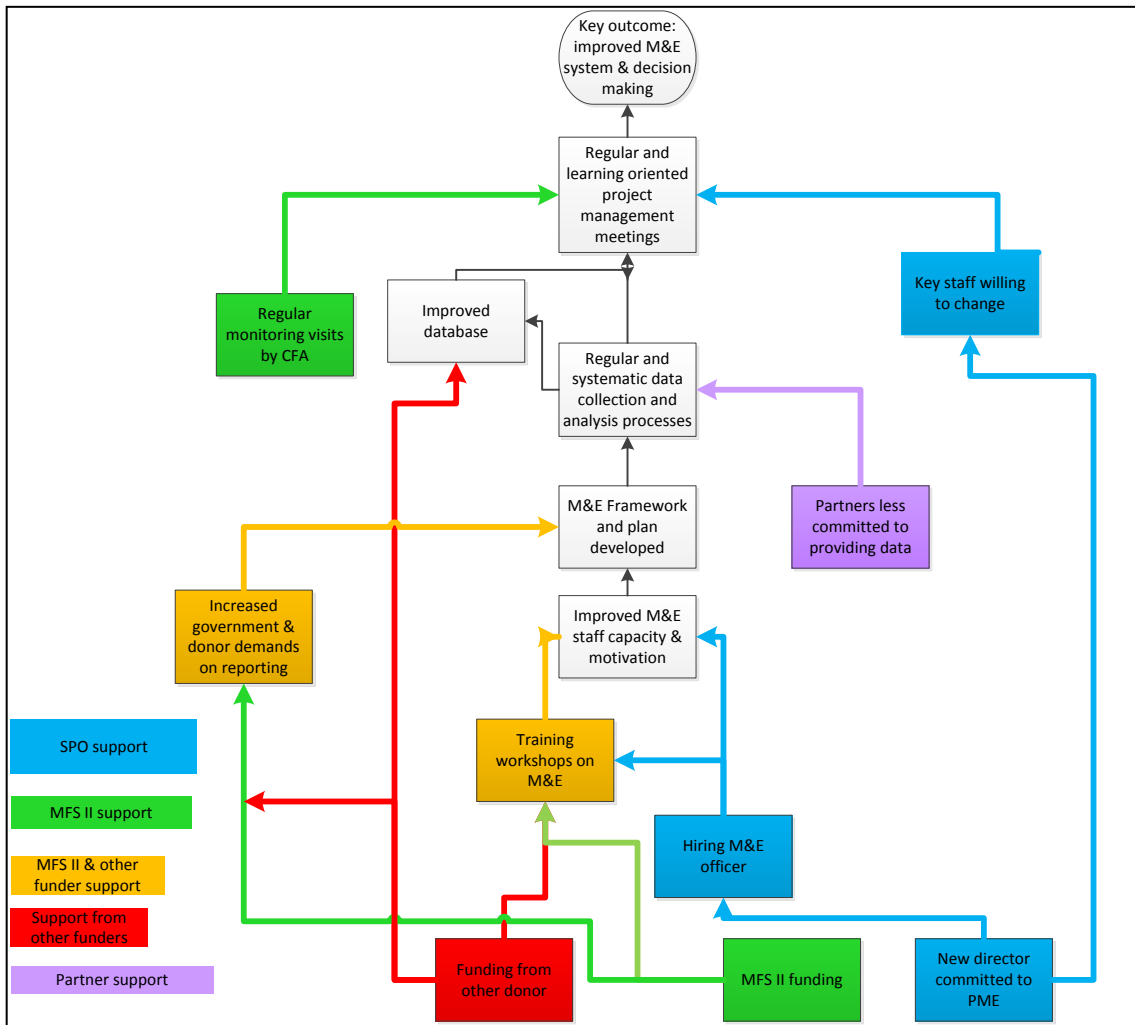
For each of the selected outcomes the team needed to make explicit the theoretical model of change. This meant finding out about the range of different actors, factors, actions, and events etc. that have contributed to a particular outcome in terms of organisational capacity of the SPO.

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 time 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 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

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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.

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

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

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

## Explaining factors – evaluation question 4

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

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

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

## Methodological reflection

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

**Use of the 5 core capabilities framework and qualitative approach:** this has proven to a be very useful framework to assess organisational capacity. The five core capabilities provide a comprehensive picture of the capacity of an organisation. The capabilities are interlinked, which was also reflected in the description of standard indicators, that have been developed for the purpose of this 5C evaluation

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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

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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.



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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.

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## 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

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

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

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

### **Capability to act and commit**

#### Level of Effective Leadership

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

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

The two organisations promoted under the FFID/Chetna project are Chetna Organic Farmers Association (COFA) and Chetna Organic Agriculture Producer Co.Ltd (COAPCL). FFID continues to provide guardianship support to both COFA and COAPCL for their programmes. In 2013 the chief of COAPCL quit and in 2012 the leader of COFA left the organisation. As the grant environment is decreasing, motivation is going down and it is hard to hold on to senior staff. New members in the COFA and COAPCL boards were recruited. The leaders plan to decentralise operational and functional decision-making and distribute workload both at head office and field office. The Executive Director of FFID continues to be articulate, effective and task oriented with good experience and knowledge. There is an increased engagement of the Board Members and Executive Director through meetings and field visits. They are working towards a more sustainable organization by changing their strategy to diversified cropping instead of focusing on cotton only and have also rearticulated their vision keeping in tandem with the changing climate and changing donor environment. Leadership is very responsive as staff played a significant role in the revision of the vision and strategies of FFID/Chetna during the Annual Strategy Meeting in June 2013. Field staff are now more involved in the planning process as most strategic planning meetings are held in the states themselves instead of the head office. Second line leadership was also strengthened as the new Programme Manager of Chetna streamlined monitoring and mentoring processes to achieve project activities.

Score baseline: 4.0

Score endline: 4.0 (no change)

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

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

Though there were changes in the top management (new leadership at COAPCL in 2013 and COFA in 2012) the core team at the Head Office pitched in to share the responsibility without affecting the operations at all levels.

The General Secretary (GS) and the Executive Director (ED) of FFID, who have considerable experience in the development sector, continue to work together closely on strategy development and operationalization. Over the last two years climatic, market and donor conditions have been changing rapidly. Due to this, leadership decided to change the vision and strategy of the organisation. Before, FFID/Chetna was more cotton-centric. By taking the field level teams suggestions on the farmer's needs into account, leadership decided to broaden the scope of work and provided strategic direction

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to the team towards it. During the Annual Strategy Meeting in June 2013 there was a discussion on the suggestions received from staff about on the vision for FFID/Chetna. Based on this, the Executive director drafted a vision statement which was later fine-tuned and together with the coordinators the ED arrived at six main objectives to guide the work of FFID/Chetna in the coming years. During the same meeting the ED discussed various future strategies and important issues for the organisation: diversified cropping /sustainable agriculture vs. cotton based work; seed to market issues; technical standards in organic farming; and how to tap into corporate social responsibility activities. Over the last two years project designs have become more integrated and board members visit the field more often in order to inform, update and take stock of challenges in the field.

Score baseline: 4.0

Score endline: 4.0 (no change)

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

*This is about staff turnover.*

FFID continues to provide a good working environment to its employees and staff turnover among field and programme staff is relatively low. The salary structure, however, remains a cause of concern, and has led to staff members getting attracted to corporate jobs. In the last two years since the baseline there has been a slight deterioration as senior staff in key positions left the organisation for better opportunities. This has slowed the organisation down for some time, as insights from organisational learning left with the leaving staff. Internal vacancies are filled through internal adjustments: promoting staff or giving existing staff more responsibilities. The major challenges came from Maharashtra and Telangana where retaining field staff became a challenge, because of lack of funding in these states that are considered to be better off.

Score baseline: 4.0

Score endline: 3.5 (slight deterioration)

## **Level of realistic strategic planning**

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

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

There has been a change in the organizational structure with a focus on strengthening second line leadership: the leadership at COAPCL (2013) and at COFA (2012) changed. Consequent to key staff leaving the organization both at the field level and head office staff have been promoted and been given additional responsibilities. There is a new state coordinator for Maharashtra and a new national level coordinator for Chetna Organic in the watershed related programmes. The staff is aware of the revised changes. During the Annual Strategy meeting in 2013 a discussion was organised around roles and responsibilities of various individuals and teams in the organisation. The staff was divided into six groups Maharashtra; Andhra Pradesh; Odisha; Technical team; Marketing and Certification; and Finance, Administration and Communication. Each group discussed their roles and responsibilities together with their aspirations and expectations. As a consequence roles and responsibilities were redesigned and a Clarity on role was circulated by the end of June.

Score baseline: 3.0

Score endline: 3.0 (no change)

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

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

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In 2013, the head office and field office staff of Chetna Organic congregated in Hyderabad to participate in the Annual Strategy Review meeting. The purpose of the meeting was to review block level, state level and national level status of all programmes, discuss the adopted plan and strategy, identify gaps in planning and execution, suggest alternatives, and to chalk out the plan and strategy for 2014. Taking into account climate change adaptation, strategies were articulated that included adopting changes in crops (to more resilient ones) and promotion of traditional and hybrid seeds.

Over the last decades higher cotton yields gradually transformed into a mono-cropping culture. With the decreasing demand for organic cotton and crop failures due to climate conditions, FFID/Chetna changed its strategy to include diversified cropping and mixed cropping practices where food crops like jowar, paddy, red gram, vegetables, maize, green gram and others could be grown alongside cotton, while encouraging farmers to take soil and water measures.

Considering the changing donor environment and resulting resource crunch, FFID has articulated strategies to support the cooperatives in generating their own resources and managing their affairs independently with little support from FFID/Chetna. Towards this, FFID/Chetna Organic explored the ways to build institutional and financial linkages to cooperatives and SHGs with Government departments, NABARD Financial Services Limited (NABFINS), and other private players. For example, the red gram activity will be converged with Mahila Kisan Sashaktikaran Pariyojana (MKSP) under NRLM of the Government of India. In Andhra Pradesh and Odisha the programme will be continued with the existing farmers. However, in Maharashtra FFID/Chetna Organic program will be scaled down and the cooperatives will be supported to converge with CAIM and other programs to continue the work independently.

While FFID/Chetna is using good situational analysis to formulate its strategies, it is not at the point yet to make use of its M&E strategically.

Score baseline: no information available

Score endline: 3.0

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

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

FFID's daily operations are still in line with the core areas identified by the organisation. Annual planning exercises have been carried out in the baseline and long term (4-5 years) strategic thrust areas were identified involving cooperatives, field staff and the core team. In their Annual Strategy review meeting on 5-6 March, 2013, programmes at the block-level, state-level and national-level were reviewed, gaps in the planning and execution were identified, alternatives were suggested and the plan for the coming year was chalked out. Monthly review meetings are conducted at all levels—cluster, state and programme levels. In order to achieve its target, daily operations have to be in line with the strategic plan. As FFID/Chetna's vision and strategies changed from focusing on mono-cropping in cotton to diverse crops, the new projects and daily operations are in line with this. New projects include the Seed Guardian Project, the Green Cotton Project, a proposal for a seed festival and the Peace by Peace project on soil improvement. The systems in place to ensure that daily operations are in line with strategic plans are unchanged. FFID still conducts quarterly board meetings. Monthly reports are generated by the staff and reviewed by their respective line managers and field outcomes are assessed against plans. Management has been more active in guiding daily operations since the change in leadership at COAPCL (2013) and at COFA (2012). However, due to some staff leaving the organisation for better opportunities and salary packages elsewhere, the burden of multi-tasking for staff has increased.

Score baseline: 3.0

Score endline: 3.0 (no change)

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## Level of Staff Capacity and Motivation

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

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

Staff still have necessary skills to do their work. FFID/COFA has professionals with post-graduation in agriculture (soil sciences, entomology, agronomy and seed breeding), social work, development studies, business and financial management. Staff have longstanding experience of dealing with issues such as institutional development, mobilisation, audit and accounting, documentation, promoting cooperatives and other producer organizations, certification processes, marketing, communications and monitoring and evaluation. The majority of the senior professionals have diverse experiences of working with organisations such as the Food and Agriculture Organisation of the United Nations (FAO), APMAS (technical resource organization in Andhra Pradesh), Centre for Sustainable Agriculture (CSA), Regional Centre for Development Cooperation (RCDC) and Save the Children. Senior staff has undergone professional training at various national and international institutions. They also interact with practitioners of other organisations to update their information. Some of the skills that were lacking during the baseline have been strengthened in the last two years especially related to financial management and report writing. Staff capacity to showcase their work has improved, especially through the Effective Communication workshop organised by ICCO. With the change in vision and strategies from cotton to mixed crops staff has changed their skill set on community development and organic agriculture to include specific commodity skills, i.e. vegetables and pulses. Improved staff skills have led them to engage in different projects: CAIM, NABARD, SODI, Government of Andhra Pradesh, as well as, write proposals for state level projects. Some of the senior staff with good experience and expertise have left the organisation and there is still a need for a structured approach and plan to assess individual staff needs for capacity building.

Score baseline: 4.0

Score endline: 4.0 (no change)

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

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

Staff is still given considerable opportunities to undergo trainings, workshops and exposure visits at both national and international level which has helped to improve their skills. During the last two years the trainings that were given, included:

- Seed Production & Marketing, December 2013, organised by Centre for Sustainable Agriculture (CSA), Wardha. Training was given on: importance of seed in sustainable agriculture; community seed banks and producer company; planning for seed production; hybrid seed production in cotton and maize; participatory approaches of seed management; documentation on value for cultivation and use etc.;
- Effective Communication Workshop: A two-day workshop on effective communication was organised by ICCO Cooperation-SCA with Plan B Communication Partners in Bangalore on 18-19 July 2013. It was aimed at streamlining the reports submitted by the partners to ICCO. It taught them how to make the report reader-friendly using thought provoking images, improving visual appeal of reports as well as use of data and statistics as evidence. The learnings from the workshop were shared with the staff and especially the field staff were trained in writing reports and taking photographs;
- Interactive workshop on Finance Management & Compliance: Two days interactive workshop was organised by ICCO India in Chennai on 11-12 March 2014. The objective was to help ICCO India and its partners to mutually share the good practices and experiential learning and also have a common understanding on the financial management and the law, and ensure effective utilization of the funds. It resulted in improved knowledge of the staff on linking narrative and financial reporting, develop budget plan, to make the reports more communicative and innovative, and to integrate finance and program issues.

In general, more field level staff have participated in trainings and exposure visits to key places and forums. For example the staff member that looks after one of the regions visited the Fair Trade Forum

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in London, UK. Field staff is sent regularly to represent COFA and COAPCL in forums. Most of the time FFID/Chetna staff are sponsored to participate in these events by the forums that invite them. Since the baseline, the organisation has gained more visibility and prominence in the organic farming sector and is therefore invited more to these forums.

As part of the Convergence of Agricultural Interventions in Maharashtra's (CAIM) capacity building programme, a trainers' training was conducted to all the field staff in August 2013. Being the first year of implementation, the training programme was very important for the field staff who would further train the farmers in the field. In addition to these the staff got an opportunity to participate in international education programmes at Wageningen University, the Netherlands (sponsored by Nuffic) and the Coady International Institute from Canada. Staff also participated in a Textile Sustainable training in Istanbul, the Farmers' Mela (Festival) in Hyderabad, a workshop on Fair trade Standards Orientation, July 2014. FFID/Chetna recommends appropriate courses to the staff and leaves for attending the courses are paid. Field staff were given scholarships to improve their skills and enroll themselves in long distance education.

Score baseline: 4.0

Score endline: 4.0 (no change)

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

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

The organization has progressive HR policies such as fairly good emoluments, performance based incentives, space for dissent, freedom at work, opportunities to take up assignments out of the scope of the organization, opportunities to enhance learning through (international and national) training and absence of hierarchy. All this motivates the staff to work in FFID. New initiatives were discussed and introduced during the Annual Strategic Retreat and included: a five day working week (trial basis), increase in daily sustenance allowance while travelling, provisions for a family health insurance, an increment of 8-15 per cent in the salaries with effect from April 2014 and staff promotions. This is however not sufficient to meet the expectations of the staff especially in the new and emerging markets scenario and increased job responsibilities. The private sector has entered the development space in a large way and the general salary scales have suddenly shot up. The funding constraints have led to higher staff turnover in the organisation.

Score baseline: 4.0

Score endline: 4.0 (no change)

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

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

The organisation had to explore new funding opportunities as some of the projects have come to an end (for e.g. with the Rabobank Foundation and Hivos) and some funding is about to end (for e.g. with ICCO). Also, in absence of a core grant and delayed transfer of payments from the donors working capital is always at stake. As a consequence taking new and experienced staff on for certain positions becomes a challenge for the organisation. Therefore, there is a continuous need to approach new donors. FFID/Chetna for this reason is focusing on networking, forming partnerships, and emphasizing on staff capacity development in writing proposals. About 8 smaller ethical brands came together recently to put some investment in Chetna operational areas by adopting some villages and attempting to build a strong supply chain for Chetna cotton farmers through a project called 3DP&L (Three Dimensional Profit and Loss). FFID/Chetna continues to receive funding from: Solidaridad; ICCO; G-Star Foundation; Ford Foundation; Jackpot Foundation; Government of India's flagship programme MKSP; Government of Maharashtra: Convergence of Agriculture Initiatives (CAIM); Felissimo Corporation, Japan; NABARD. FFID/Chetna is now also receiving funding from: Textile Exchange (USA); Inditex (Spain); FiBL Switzerland; University of Agriculture Sciences, Dharwad



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(UASD); Central Integrated Cotton Research (CICR), Nagpur; BioRe, India; Government of Andhra Pradesh: IWMP and IGWDP programme; Government of Odisha, DFID; SDTT; and IFAD. Some of these funds come from major government programmes including NABARD-IGWDP and Integrated Watershed Management Programme (IWMP) projects in Andhra Pradesh, Convergence of Agriculture Initiatives in Maharashtra (CAIM) in Maharashtra, Mahila Kisan Sasaktikaran Pariyojna (MKSP) and OTELP+ in Odisha. All these programmes are directed towards empowerment of the poor, specifically women, small farmers, labour and the tribal poor. The overall emphasis is on sustainable & diversified agriculture, water & soil conservation, enhancement of livelihood options and food security. While OTELP+ project facilitates for basic entitlements of tribal households as well, CAIM took one step ahead towards market development. While government funding for state level projects increased, FFID/Chetna has also started tapping into the Indian private sector (NABARD and SDTT). Most of the funding received is for specific projects. Though serious efforts have been put in raising core funding, securing it still remains a challenge.

Score baseline: 4.0

Score endline: 4.25 (very slight improvement)

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

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

With an external environment of shrinking sources of funding, depending on a single funding agency could impede the possibility of scaling up its programmes. During the last two years, there have been more constructive engagements by the board members. The board members have shown their concerns for the funding situation. Board members have also given inputs on changing trends in the external environment that have a bearing on the funding procedures of FFID. Thus, FFID had to look into new channels for funding opportunities, and attracting new funders required them to put their (financial and legal) systems in place and have proper documentation of the work done by them. One of the procedures for reaching out to the funders remains communication, which is the ability to showcase the organisation's capabilities and abilities. Staff capacity to showcase their work has improved, especially through the Effective Communication workshop organised by ICCO. FFID/Chetna is now developing case studies with photographs, videos, stories and farmer profiles across states. These farmer stories and initiatives have been feature in local, national and international media. Regular updates are also posted on the website and in social media. Improved certification and marketing have also contributed to increased visibility of FFID/Chetna for future donors. Capacity to write proposals (especially of the field staff) has improved because of the communication workshop and continuous feedback. Senior team and state level teams are attempting to develop proposals for small projects with companies like ITC for organic soya and wheat and Field Fresh Foods Private Limited for baby corn. The network with the government has been strengthened and FFID has been linking up with government projects at state level. FFID has been associating itself with different international and national level organizations, networks and government agencies to undertake and implement various projects. During 2013-14, FFID's main emphasis was on building convergence with different government programmes through COFA and the cooperatives. Raising funds for the projects in Maharashtra and Telangana has become a challenge as these states are considered better off. Being part of the Three Dimension Profit and Loss accounting network has also helped in acquiring a supply value chain project. FFID/Chetna will continue to explore the opportunities for new sources of funding. Discussions are going on with Traidcraft Exchange, Unilever, IOCL and the RRA network towards this.

Score baseline: 3.0

Score endline: 3.5 (slight improvement)

### **Summary of capability to act and commit**

The two organisations promoted under the FFID/Chetna project are Chetna Organic Farmers Association (COFA) and Chetna Organic Agriculture Producer Co.Ltd (COAPCL). FFID continues to provide guardianship support to both COFA and COAPCL for their programmes. There is an increased

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engagement of the Board Members and Executive Director through meetings and field visits. They are working towards a more sustainable organization by changing their strategy to diversified cropping instead of focusing on cotton. Staff played a significant role in the revision of the vision and strategies of FFID/Chetna during the Annual Strategy Meeting in June 2013. Though there were changes in the top management (new leadership at COAPCL in 2013 and COFA in 2012) the core team at the Head Office pitched in to share the responsibility without affecting the operations at all levels. Over the last two years climatic, market and donor conditions have been changing rapidly. Due to this, leadership decided to change the vision and strategy of the organisation. Before, FFID/Chetna was more cotton-centric. By taking the field level teams suggestions on the farmer's needs into account, leadership decided to broaden the scope of work and give strategic direction to the team towards this. Lack of funding in certain states and better opportunities in the corporate sector have made it hard to retain staff. While staff turnover at the field and programme level remains low, some key senior staff have left the organisation which has led to a backlash in organisational learning and to staff taking up more responsibilities. There have been some changes in the organisational structure of FFID/Chetna. Leadership at COAPCL (2013) and COFA (2012) changed and with senior staff leaving the organisation. Some staff has been promoted while other staff is taking up more responsibilities. Staff are aware of these changes. During the Annual Strategy Meeting in 2013 all staff laid out their expectations and aspirations for their roles and responsibilities, these were taken up to be included in a clarity on roles document. FFID/Chetna articulates its strategies on the basis of good situational analysis. With the drop in demand for organic cotton and climate conditions affecting crops, the strategies were changed to include more diversified cropping: growing food crops alongside cotton and improving water and soil management. With the resource crunch due to the changing donor environment, more efforts were directed towards making cooperatives generate their own income and linking up to government projects. M&E results are however, not yet used to articulate strategies. FFID's daily operations are still in line with the adjusted strategic plan. Systems in place to ensure this have not changed. Management has become more active in guiding daily operations, but because of staff leaving the organisation for better deals elsewhere, the burden on staff to multi-task has increased. Staff still have necessary skills to do their work. FFID/COFA has professionals with post-graduation in various relevant fields. Senior staff have ample experience and keep up to date through interaction with other practitioners. Skills in financial management and report writing and communication the work have improved, as well as commodity specific skills for community development and organic agriculture of vegetables and pulses. However, some of the experienced senior staff has left and there is still a need for a structured approach to capacity building. Staff is still given considerable opportunities to undergo trainings, workshops and exposure visits at both national and international level which has helped to improve their skills. FFID still has progressive HR policies in place that incentivise staff and include training, freedom at work, performance based incentives and absence of hierarchy. Staff turnover is however high because FFID cannot keep up with the private sector and the salaries do not match increasing responsibilities of staff. Given the changing donor environment in which funds are decreasing, board members have shown their concern for the funding situation. FFID has improved its capacity in writing proposals (at all levels) and in showcasing their work through communication and reports. Also through its network both with government, private sector and in research, FFID is tapping into new funding possibilities. FFID/Chetna has been successful at diversifying its funds since the baseline, as they are now linked to more major government programmes and also started receiving funds from the Indian private sector. This was because of improved capacity in proposal writing, showcasing work and improved networking. It remains however, a challenge to secure core funding, as most funding is for specific projects.

Score baseline: 3.7

Score endline: 3.7 (no change)

### **Capability to adapt and self-renew**

Level of effective application of M&E

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

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

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An M&E system is still in place. Projects are monitored and evaluated at the outcome level. FFID is now making use of digital technology to collect data from the field for example through email or phone but also through use of social networking sites like Facebook. Project specific formats for data collection were modified, redrafted and reduced from 30 to 12 pages to allow for better data collection at the field level. Review meetings are also used for collecting the data. To enhance the application of M&E, communication training has been given to their staff by ICCO which covered a wide range of topics including using the new MIS format, photos as visual evidence, formatting tips and case studies as qualitative evidence. The Communication Manager of FFID with the help of other team members, developed case studies and video stories as per the programme requirements. In 2014, a template has been designed for future monitoring of programmes to take all information; however, it is still in the process of finalisation. Furthermore, after a training on report writing, staff, particularly the field staff, is being encouraged by the senior management to write proposals based on their experience in the field. These proposals are then finalised by the senior management. Improved MIS and better operational plans, more regular staff meetings and better monitoring of staff output are in place in FFID. This ensures better reporting to ICCO and the quality of reports to ICCO has improved over the last two years. Reports are now more timely and crisp. Quarterly Review meetings of all staff where they will be monitored on alignment to the agreed objectives planned for the year is funded by MFS II. FFID is working towards putting in place an effective monitoring system. However, appointing the right person with the required skill sets has become a challenge because of financial constraints.

Score baseline: 4.0

Score endline: 4.25 (very slight improvement)

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

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

Improved MIS and better operational plans, more regular staff meetings and better monitoring of staff output are in place in FFID. This ensures better reporting to ICCO. These were made possible due to the effective communication workshop and the interactive workshop on finance management and compliance organised by ICCO. While FFID/Chetna is collecting data to organic farmers on a regular basis this data is not analysed properly. This is because FFID has still not employed any person trained in MIS, instead their certification manager and field ICS persons are partially looking after the M&E activities. The senior management and board members have increased their monitoring visits. One of the reasons for not being able to employ a person trained in M&E is because of the salary offered by FFID. Different donors, Fairtrade organisations and research scholars have been conducting evaluations.

Score baseline: 3.0

Score endline: 3.25 (very slight improvement)

### **Level of strategic use of M&E**

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

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

There is still no dedicated team for M&E who can compile the information, do analysis to use M&E for future strategies. The organisation is trying to hire a qualified M&E person, but nobody is willing to join for the remuneration they are offering. The reporting to ICCO has been streamlined and this has helped the organization to be more systematic in their analysis and MIS review. Trainings received from ICCO have led to punctuality in report submission. The field staff understands the formats well and submits their reports regularly. Senior management and at times board members are also making monitoring visits. As an example, an organic farm monitoring MIS has a detailed data base on

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farmers, type of farms, and production on seasonal basis. This is reviewed regularly to improve performance of the programme, but is not being used strategically yet.

Score baseline: 2.0

Score endline: 2.25 (very slight improvement)

### **Level of openness to strategic learning**

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

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

FFID through its annual staff retreats reflect on the working of the organisation. In these retreats sessions are organised by FFID to engage key staff in reflecting on the strategy and programme approaches. These sessions have also been used to discuss challenges in the field, working with network partners and creating points for policy advocacy. As these strategic meetings are now held in the field, staff are more involved in the discussions. In addition, the leadership interacts with the core team to reflect and learn. Inputs from the field staff are now being taken more frequently. The Board members also visit the field staff regularly to understand their problems and find solutions. Seasonal conditions, market conditions, cooperative status etc., are discussed frequently in monthly team meetings, half-yearly state level meetings and annual strategy meetings. Reflection moments are now more regular than during the baseline. ICCO and other funders insisted on FFID staff gathering more regularly.

Score baseline: 3.0

Score endline: 3.5 (slight improvement)

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

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

As stated in the baseline, FFID is still open to ideas shared by their staff. Staff are encouraged to come up with ideas. During the Annual Strategy Retreat staff members are asked to share their opinions about the strategic vision. It was only after discussions with the staff and mutual agreement that the vision of the organization was rearticulated. Staff is feeling more responsible and is taking initiative to write proposals for some local projects. Staff share draft proposals with the team leaders and team leaders take decision on it.

Score baseline: 4.0

Score endline: 4.0 (no change)

### **Level of context awareness**

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

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

FFID keeps itself updated on the ecological as well as the donor environment. It keeps track of new government and NABARD schemes that are being rolled out in the agriculture sector. FFID/Chetna is a member of several networks and alliances. It is a member of the 3DP&L (Three Dimensional Profit and Loss Accounting) network. Through this network it gets inputs related to environmental and social indicators in business and about the changes in the market situation. FFID/Chetna does case studies to understand the changes in its operational environment. It is through these case studies it was able

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to demonstrate the risks of climate change and the need to promote a more diversified range of products rather than focussing on a single crop. This actually led to rearticulating the vision of FFID/Chetna. Further the organisation tracks the development in its operational environment by getting information from the field staff through emails and social media.

Score baseline: 4.0

Score endline: 4.0 (no change)

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

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

FFID is still open and responsive to views from stakeholders. It is involved in various alliances and networks. An example of this is when FFID/Chetna organized a series of discussions with its member cooperatives on attainment of institutional and financial self-sufficiency. The outcome of this process was, a 'way forward' with the five cooperatives taking up responsibilities for the operations of their office with limited financial assistance and support from FFID/Chetna. Sometimes FFID still tends to get over influenced by its network partners and takes up responsibilities that increase the pressure on staff.

Score baseline: 4.0

Score endline: 4.0 (no change)

### **Summary of capability to adapt and self-renew**

FFID still has an M&E system is still in place. Projects are monitored and evaluated at the outcome level. FFID is now making use of digital technology to collect data. To enhance the application of M&E, communication training has been given to their staff by ICCO which covered a wide range of topics including using the new MIS format, photos as visual evidence, formatting tips and case studies as qualitative evidence. This is now been put to practice by the communication manager and the help of other team members and reports have improved. FFID is collecting data in a more systematic way through improved MIS and more regular meetings, which leads to better operational plans and better reporting to ICCO. There is however still no dedicated person for M&E who can compile the information and do analysis to use M&E for future strategies. However, reporting to ICCO has improved and FFID is getting more systematic in its MIS review. FFID now has more regularly organised moments for critical reflection and staff is more engaged in discussions because strategic meetings are now held in the field. Staff is encouraged to come up with ideas and these are taken into account, e.g. discussions during the Annual Strategy Retreat staff's opinions informed the new strategic vision of FFID. Staff is also taking initiative to incorporate their ideas in drafting proposals for local projects. FFID still keeps itself up to date on both the ecological as well as the donor environment. It keeps track of relevant government schemes and the market situation through its networks, e.g. the 3DP&L (Three Dimensional Profit and Loss Accounting) network. FFID/Chetna also does case studies and receives information from field staff through emails and social media to keep track of its operating environment. FFID is still open and responsive to its stakeholders. They organise for instance, discussions with member cooperatives on self-sufficiency. They do however still sometimes take up too much responsibilities from their network partners which increases the burden on staff.

Score baseline: 3.4

Score endline: 3.6 (very slight improvement)

### **Capability to deliver on development objectives**

Extent to which organisation delivers on planned products and services

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

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

The operational plans have improved since the baseline evaluation. This is due to the fact that the plans are informed by inputs from an improved monitoring and evaluation system and research activities related to soil and seed on the ground. There is now systematic documentation of minutes of annual strategic review meetings which provide a platform for identifying gaps in planning and execution, looking for alternatives and, in light of these, making plans and strategies for the next year. They have quarterly operational plans available for the staff, developed jointly by the staff with senior management. The idea to develop an operational manual is kept pending as the Chetna programme itself is in transition phase.

Score baseline: 3.0

Score endline: 3.5 (slight improvement)

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

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

Changes in the donor environment had a direct impact on the cost-effective resource use. In order to secure funding, FFID has diversified its funding base to include multiple funding agencies. Funding from ICCO is now a minority, most funding comes from local and government funds. Funds are being reserved for the rainy days especially for after October 2014, when ICCO funding will end. Travel costs of the organisation have been minimised. The Executive Director makes use of local transport to travel instead of a plane or a car. New projects in newer areas brought needs for office space and computers. The project offices are equipped with laptops and cameras for smooth functioning. Local project funds are used for this. However, very few branch offices are fully furnished. Old furniture, computers and vehicles could not be replaced due to the resource crunch.

Score baseline: 4.0

Score endline: 4.0 (no change)

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

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

The Chetna Organic programme of FFID is clearly progressing towards achieving the articulated outcomes and indicators in the approved proposal despite the slump in the cotton markets and contradictory policies to access trade finance for the COAPCL. Chetna was always good at delivering planned outputs. For example, Chetna Organic planned to impact 30,000 farming households by the end of the project period (March 2013), by then Chetna had a direct coverage of 40,197 farming households. Monthly reports are still generated by the staff and reviewed by the respective line managers. These are compiled and discussed in staff meetings involving staff from head office and then reported back to the senior management. A monthly review is conducted at organization level involving the senior management to assess the field outcomes against plans and as well as self-review. These regular meetings and reporting assist staff in keeping on track.

Score baseline: 4.0

Score endline: 4.0 (no change)

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

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

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

Farmer representation on the board of COFA and COAPCL and institutional relationship between FFID and COFA/COAPCL still helps assess the effectiveness and efficiency of the programs from time to time and to ensure the project meets the beneficiary needs. In comparison to the baseline, senior management has been engaging directly with beneficiaries providing inputs to team members to engage with the beneficiaries and consult them with their needs. Data collection to trace whether beneficiaries needs are fulfilled, has become more focused at the field and is done in a set format that was redrafted and reduced from 30 to 12 pages.

Score baseline: 4.0

Score endline: 4.25 (very slight improvement)

### **Level of work efficiency**

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

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

There are still no formal mechanisms for calculating input/output ratios but the staff links its efficiency with deliverables. The staff is being strictly monitored and specific operational mechanisms are in place now for monitoring the staff output. Donor deadlines are still made but FFID's reports are now better as staff has been trained on how to collect data and report. Regular field visits by the senior management and interaction with the field staff have slightly improved the outputs.

Score baseline: 3.0

Score endline: 3.25 (very slight improvement)

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

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

The organisation has systems in place for balancing efficiency with quality of work. The mechanisms are present for staff within the organisation and for its stakeholders (most cooperatives and producer company) outside the organisation. The staff was given training in budget planning, budget implementation, budget monitoring budgetary control, report writing, information related to FCRA and reporting as per its requirements. The organisation has designated a team leader for each programme to ensure better functioning and increased efficiency. The organisation is now trying to consolidate the gains achieved in the previous years and not focussing on scaling up programmes at present.

FFID still has tools in place for different stakeholders for quality of certification, processes related to institution building, technical protocols and communication tools. By using these tools it tries to ensure quality.

Score baseline: 3.0

Score endline: 4.0 (improvement)

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## Summary of capability to deliver on development objectives

Operational plans have improved because of an improved M&E system and systematic documentation of annual strategic meetings that inform these plans. An operational manual is still pending, but staff have quarterly operational plans to guide them in their work. Now more so than ever FFID uses its resources cost-effectively because of the changes in the donor environment, including ICCO ending its funding in October 2014. The Executive Director has cut back on his travel costs and FFID has diversified funds by accessing local project funds to support the smooth functioning of the project offices. FFID/Chetna continues to deliver well on planned output, even despite the decrease in demand for organic cotton and contradictory finance policies. FFID still uses tools for different stakeholders for quality of certification. There are now also systems in place for balancing efficiency with quality of work, these include: training staff in budget planning and monitoring, designated team leader for each programme to ensure efficiency and not scaling up but focusing on consolidated gains of existing programmes. There are still no formal mechanisms for calculating input/output ratios in place but staff links its efficiency with deliverables. Staff has gotten better at reporting and outputs are still being reached. The farmer representation in the board of COFA and COAPCL still helps assess whether the project meets the beneficiary's needs. Senior management is now engaging directly with beneficiaries and formats to collect data on whether beneficiaries needs were fulfilled are now redrafted and reduced from 30 to 12 pages.

Score baseline: 3.5

Score endline: 3.75 (very slight improvement)

## Capability to relate

Level of involving external parties in internal policy/strategy development

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

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

Over the period FFID continues to maintain strategic partnerships with various stakeholders (incl. agencies/networks) that contribute in its strategic planning and development. It developed convergence with agriculture and allied departments, research institutes, various community based organisations and other rural developmental departments for better strategic planning. For example, the joint research programme of FFID, the Research Institute of Organic Agriculture (FiBL) in Switzerland, and the University of Agriculture Sciences, Dharwad (UASD) on seed management, water and soil conservation and management work facilitated in giving technical and research inputs from for better strategic planning. FFID/Chetna organized a number of meetings with the cooperative members in all the three states (Telangana, Maharashtra and Odisha) on the role of transformation in order to attain institutional and financial self-sufficiency. The members were involved in the process to work out a 'way forward' for better cooperative management, business development and self-sufficiency by establishing convergence with Government and other projects. The 3 Dimension profit and loss network also provides market related information for better planning of the organisation. The relationship with the stakeholders range from simple coalition alliance to collaboration to networking to direct cooperation. In the last two years promoting organisational visibility has increased. Some examples include:

- COFA conducted a convergence meeting with Government officials in Integrated Watershed Management Programme (IWMP) Dandepally in the month of April 2013 for their collaboration and support to improvement of livelihoods of communities within the Watershed Programme;
- Chetna team participated in a workshop related to organic farming policy at Xavier's Institute of Management, Bhubaneswar organised by ASHA along with the Organic Farming Association of India where Chetna presented the challenges in organic cotton production, marketing, certification and how a good policy can help the cause of Organic Farming in Odisha. The workshop was attended by policy makers, academics, activists, officers from state and national institutes connected to organic farming. The workshop resulted in evolving a draft policy framework for Organic Farming in Odisha.



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Score baseline: 4.0

Score endline: 4.25 (very slight improvement)

### **Level of engagement of organisation in networks, alliances and collaborative efforts**

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

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

During baseline FFID already had a strong network. It has worked with both national and international organisations to take forward their aim of empowering the farmers. FFID's Chetna programme has partnered with Government of Odisha, towards initiating watershed activities covering 3562 hectares in Boipariguda block of Koraput district. FFID is still part of the networks: Revitalizing Rainfed Agriculture Network (RRA), supported by HIVOS & FORD Foundation; Non-Pesticide Management Initiative (NPMI) (supported by FORD Foundation), founding member of South Odisha Development Initiative (SODI); ASHA (Alliance for Holistic Agriculture) and most other partnerships continued.

Now FFID/Chetna also partners with The Research Institute of Organic Agriculture of Switzerland and Central Institute for Cotton Research, Nagpur on different seed conservation/multiplication projects.

During 2013-2014, FFID's main emphasis was on building convergence with different Government programmes through COFA and the cooperatives. Engagements with the following networks were initiated by FFID/COFA programme since the baseline in 2012: National Bank for Agriculture and Rural Development (NABARD)- Indo-German Watershed Development Programmes (IGWDP) & Integrated Watershed Management Program (IWMP) projects in Andhra Pradesh; Convergence of Agriculture Initiatives in Maharashtra (CAIM) in Maharashtra; Mahila Kisan Sasaktikaran Pariyojna (MKSP) and OTELP+ (Odisha Tribal Empowerment & Livelihood Programme) in Odisha; Traidcraft Exchange and new project partners were found with the establishment of 3DP&L (Three Dimensional Profit and Loss). FFID/COFA realises that it is important for Chetna to work in coordination with all government developmental departments and research institutes as all relevant schemes existing in the departments can be directly accessed by the farmers.

Chetna Organic continues to play a major role in supporting reforms and changes in the fair-trade systems by taking up positions as Board of Trustees on different institutions such as Network of Asian Producers and Fair-trade Foundation, UK. Apart from this, Chetna is involved in different domestic networks and forums as well to influence the national and state policies. COFA together with other well-known NGOs and established cooperatives in Andhra Pradesh (AP) have filed a Public Interest Litigations in the AP High Court to ensure autonomy of the cooperatives. FFID/COFA's engagement with its network has been rewarded. Some examples of such rewards are: COFA was rated and awarded as the Best Project Facilitating agency among the partner NGOs of Indo-German Watershed Development Program (IGWDP) supported by NABARD and KfW, Germany; Chetna received the Global Pro-Climate Adaptation Award for its work on Cotton Farming Systems; Chetna & its partnership Program (Peace BY Peace Cotton Project) received the Good Design Award in Japan.

The networks of which FFID/Chetna is a part, especially SODI network and RRA have responded positively to Chetna's new plan and vision. Both have adopted the type of agriculture practices which Chetna professes. Chetna forays into advocacy and campaigning on the issues around rain-fed agriculture in general and on integration of the National Rural Employment Generation Scheme (NREGS) into agriculture, seed issues, and anti-GM in specific apart from the fair trade and supply chain issues. It has expanded its sphere of influence through representation on the Boards of Fair Trade Federation (FTF), UK, and Shop for Change Fair Trade (SFC), National Produce Marketing Inc. NPMi, Fairtrade Label Organisations, Made-By (NL & UK), Steering Committee of MKSP (MoRD, GoI).

Score baseline: 4.0

Score endline: 4.0 (no change)

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## **Extent to which organisation is actively engaging with target groups**

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

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

During the baseline evaluation field staff raised the issue that interaction with the field was reducing. After the baseline FFID/Chetna restructured and the frequency of interactions with the community and their organisations has increased. There are field offices in place and management also regularly visits the field. The number of state level meetings to prepare strategic plans has increased. These strategic plan meetings, as well as in-house trainings have moved from the Head Office to the field. As a result the interaction with the target groups has improved. Two senior technical staff from the Head Office were designated as team leaders for Odisha and Telangana. Field staff reports to them on the progress and they work in coordination. FFID/Chetna's unique engagement with the wider market and direct links with customers provides its members with better understanding of the requirements of the market and how to participate in it.

Score baseline: 3.0

Score endline: 3.5 (slight improvement)

## **Level of effective relationships within the organisation**

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

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

FFID by following their donor-driven mandate of implementing M&E has been able to look into the relationships within the organisation. By following the changes articulated in the past evaluations of the organisation, a clarity on role document was circulated and a quality control cell was developed for concerns and complaints. Regular monthly meetings and sharing of monthly plans are continued. Monthly and annual meetings became more focused because of the donor demand to have better reports and the communication training provided by ICCO. Sharing after trainings is now encouraged and organised. In this way innovative ideas are discussed to create more opportunities in existing projects and build on earlier positive results in project implementation. A middle level manager was promoted to the position of team leader. Formal and informal dialogue improved among team members as there is less hesitation to talk with the team leader as they feel more comfortable. The team frequently has discussions not only related to the work, but also related to environment, politics, culture, gender equity issues, etc. Such discussions mainly happen during the lunch time.

Score baseline: 4.0

Score endline: 4.25 (very slight improvement).

## **Summary of capability to relate**

FFID continues to maintain strategic partnerships with various stakeholders (incl. agencies/networks) towards contributing in its strategic planning and development. It developed convergence with agriculture and allied departments, research institutes, various community based organisations and other rural developmental departments for better strategic planning. For example, the joint research programme of FFID, The Research Institute of Organic Agriculture (FiBL), Switzerland and the University of Agriculture Sciences, Dharwad (UASD) on Seed management, Water and soil conservation and management work, meetings with the cooperative members, The 3 Dimension profit and loss network. FFID/Chetna is very well connected and part of various old and new national and international networks. They work with research institutes, like-minded NGOs and Chetna government developmental departments for the benefit of their programmes and to provide access to all relevant

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schemes existing for the farmers. After the baseline evaluation the frequency of interaction with the target group of FFID/Chetna increased. Field visits increased and strategic state level meetings are now held in the field instead of at the Head Office. FFID has had the chance to look into the relationships within the organisation through the donor-driven evaluations it has been involved with. As a consequence a clarity of role document was circulated and a quality control cell was developed for concerns and complaints. Staff continues to meet on a monthly basis to discuss plans. These meetings have become more focussed because of the donor demand to have better reports and the communication training provided by ICCO. Sharing after trainings is now encouraged and organised and formal and informal dialogue improved among team members.

Score baseline: 3.7

Score endline: 4 (very slight improvement)

### **Capability to achieve coherence**

Existence of mechanisms for coherence

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

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

Over the last two years, decrease in the demand for organic cotton forced FFID/Chetna to focus and change its vision and strategy from mono-cropping to diversified and mixed cropping practices where food crops like jowar, paddy, red gram, vegetables, maize, green gram and others could be grown alongside cotton. This would not only ensure food security for the farmer but also improve soil health. Further changes in climatic conditions (heavy rains, Phailin cyclone) also triggered diversified programme implementation and expansion of activities to newer locations. The staff felt that in the changing scenario there was a need for revisiting the organisation's vision. Consequently, a vision building workshop was organized in June 2013 with senior staff. The re-articulated vision is to promote economically and socially viable agrarian based livelihoods in rain-fed and other ecologically depressed regions through sustainable agriculture.

Based on this new vision FFID/Chetna revisited its strategy to give a broader scope for holistic development of agriculture dependent families in rain-fed and other ecologically depressed regions while continuing its core work with small and marginal cotton farmers. In-situ soil and water conservation, gender equity, food security and value chain development of other products were also made integral part of the programme.

Score baseline: 4.0

Score endline: 4.0 (no change)

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

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

FFID still has an organisational policy in place, however HR and accounts policy are not uniform at all state levels. The organisation has incorporated the change of bringing gender equity in the organisation by improving the representation of female staff. Staff understanding of the policy still has to be strengthened and periodic revision of the administration and HR policies is still required (the documented HR policy was last revised in 2009).

Score baseline: 3.0

Score endline: 3.0 (no change)

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## 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 in line with the vision/mission of the SPO.*

FFID still only takes up projects that are aligned with its vision and mission. Since they have rearticulated their vision they have also revised their strategies towards more diversified programme implementation instead of just focusing on cotton farming. Involvement with the Integrated Watershed Management Programme (IWMP) and OTELP+ has helped FFID/Chetna expand its activities to newer areas. All these projects have the potential to implement an integrated approach in agriculture and livelihood activities and have the ability to build value chains.

Score baseline: 4.0

Score endline: 4.0 (no change)

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

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

In general, the different projects (incl. sub-projects) and thematic activities are still complimentary to one another. FFID is looking at a holistic approach with ecologically aligned technical interventions and internalized inputs for production. Since FFID is working in rain-fed areas, it lays emphasis on soil and water conservation. It therefore focusses on generation of sufficient manure and compost for maintaining the soil fertility. It is also working on different seed conservation and multiplication projects – cotton, food and other - and field level demonstrations in partnership with the Research Institute of Organic Agriculture, Switzerland; University of Agriculture Sciences, Dharwad and other stakeholders like the Central Institute for Cotton Research, Nagpur. As part of this initiative, participatory seed evaluations are carried out in 40 locations.

FFID has been working on developing sustainable market linkages for farmer's produce, predominantly organic and fair-trade in national and international markets through COAPCL and member cooperatives. During 2013, capacity building activities were carried out for farmer communities on issues such as quality management, local level market development, maintenance of organic standards and certification and developing local markets.

Further FFID/Chetna strengthened the activities around production of diverse and chemical free food, aiming to make farmers self-sufficient with safe and healthy food. Towards this, it is working with farmers/groups to conserve traditional seed varieties in food crops like rice, millets and pulses. Also, to empower women/farmer groups as nodal points for seed sharing, about 90 women and men from Andhra Pradesh and Odisha were identified as seed guardians and trained on seed conservation and the management of seed banks.

FFID has also made efforts to expand livelihood options for the poor such as nursery raising, horticulture, vegetable cultivation, seed banks, micro-irrigation, machinery, fodder development, and agri-based enterprises such as dairy, poultry, goatry, fishery, seed production and other non-farm activities and skill development trainings like motor-repairs, diesel engine repairs, driving, electrician training etc. in all the three regions. It has also focused on promoting education among the children of smallholder cotton farming and farm labor households by involving the village elders, teachers, children and local media and reenrolling out-of-school children into mainstream education.

Thus FFID/COFA brought in much more than just sustainable agriculture. While mixed cropping, integrated approach, crop rotation, sustainable and biological practices and self-consumption-first were the focus, they also brought in very valuable principles like natural resources management, food and nutrition security, seed sovereignty, child welfare and education. Thus the whole idea of improving livelihoods with sustainable agriculture was approached in a holistic fashion.

Score baseline: 4.0

Score endline: 4.0 (no change)

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## Summary of capability to achieve coherence

FFID still revisits its vision during annual meetings. In 2013 the decrease in the demand for organic cotton and the change in climatic conditions triggered FFID/Chetna to re-articulate their vision from cotton mono-cropping to diversified cropping practices. The new vision is: to promote economically and socially viable agrarian based livelihoods in rain-fed and other ecologically depressed regions through sustainable agriculture. Consequently FFID/Chetna adjusted its strategies in line with the new vision. FFID works on different projects and thematic activities that are still complimentary and mutually supportive to one another. FFID is looking at a holistic approach with ecologically aligned technical interventions. While working in rain-fed areas, they lay emphasis on soil and water conservation, sufficient manure and compost for maintaining the soil fertility and different seed conservation and multiplication projects – cotton, food and other. FFID still only takes up projects that are aligned with its vision and mission. Since they have rearticulated their vision they have also revised their strategies towards more diversified programme implementation instead of just focussing on cotton farming.

FFID still has an organisational policy in place, whilst HR and accounts policy are not uniform across states. Gender equity has improved by more female representatives in the organisations. Strengthening the understanding of the policies and periodic revision of the administration and HR policies is still required (the documented HR policy was last revised in 2009).

Score baseline: 3.7

Score endline: 3.7 (no change)

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## Appendix 4 Results - key changes in organisational capacity - general causal map

As the changes in organisational capacity in the general causal map and the detailed causal maps overlap completely, please refer to Appendix 5 for the detailed narrative and map.

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## Appendix 5 Results - attribution of changes in organisational capacity - detailed causal maps

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

The key organisational capacity changes made towards sustainability of FFID are:

1. Improved planning, monitoring and evaluation
2. Diversification of funds
3. Improved compliances

These changes happened to coincide partly with the outcome areas that were chosen for process tracing, so as to get detailed information on how these changes in organisational capacity came about. Therefore, the general causal map overlaps strongly with the causal maps developed for each of these outcome areas/organisational capacity changes to be analysed during the process tracing. All the details about these changes in organisational capacity as well as the underlying factors that influenced these changes are described in the narrative and visual below.

The evaluation team carried out the endline assessment at FFID from 15 to 17 July 2014. During this workshop, the team made a recap of key features of the organisation in the baseline in 2012 (such as vision, mission, strategies, clients, partnerships). This was the basis for discussing changes that had happened to the organisation since the baseline. FFID continues to provide guardianship support to the Chetna Organic & Fair Trade Cotton Intervention Programme which spawn the twin farmer owned organisations Chetna Organic Farmers Association (COFA) and Chetna Organic Agriculture Producer Company Ltd (COAPCL) to evolve into professional and well established farmers' support organizations.

Over the last two years, decrease in the demand for organic cotton forced FFID/Chetna to focus and change its strategy from mono-cropping to diversified cropping and mixed cropping practices where food crops like jowar, paddy, red gram, vegetables, maize, green gram and others could be grown alongside cotton. Legumes, vegetables like tomato, brinjal, chilli, gourds, beans, onion, garlic and leafy vegetables and oil seed crops are also being grown. This would not only ensure food security for the farmer but also improve soil health [Source: A sustainable model for small and marginal ryots - The Hindu; interaction with the ED]. Further change in climatic conditions (heavy rains, Phailin cyclone) also triggered diversified programme implementation and expansion of activities to newer locations. The staff felt that in the changing scenario there was a need for revisiting the organisation's vision. Consequently, a vision building workshop was organized in June 2013 with senior staff [Source: FFID-Annual\_Report\_2013; 5c endline self-assessment sheet\_management\_India\_FFID]. The re-articulated vision is as follows: To promote economically and socially viable agrarian based livelihoods in rain-fed and other ecologically depressed regions through sustainable agriculture. Thus FFID/Chetna

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revisited its strategy to give a broader scope for holistic development of agriculture dependent families in rain-fed and other ecologically depressed regions while continuing its core work with small and marginal cotton farmers. In-situ soil and water conservation, gender equity, food security and value chain development of other products were also made integral part of the program [Source: FFID-Annual\_Report\_2013; 5c endline self-assessment sheet\_management\_India\_FFID].

Keeping in line with the changed vision over the last two years, FFID/Chetna has been focusing on sustainability for the organisation and for the small and marginal farmers.

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



Improved sustainability of the organisation [1]

Improved PME [2]

Diversification of funds [19]

Improved compliance with HR and financial norms [4]

Improved planning [6]

Improved M&E system [5]

Approaching new donors and taking up new projects [33]

Improved HR systems [20]

Better compliance with financial norms [21]

Improved interaction with the field staff [36]

More streamlined strategic staff meetings [8]

Inputs from an improved M&E system [15]

Better reporting to ICCO [7]

Better monitoring of staff output [9]

Diversification of programme strategies [18]

Networking and forming partnerships [25]

High staff turnover [37]

Better financial reporting [28]

Better adherence to norms developed by ICCO for partners [29]

Improved knowledge on specific inputs on how to report [10]

Increased knowledge on seed production [34]

Strategic decision to diversify strategies and change vision [35]

Improved capacity of staff to showcase their work to donors [26]

Better financial reporting [28]

Better adherence to norms developed by ICCO for partners [29]

More focussed data collection [16]

Interactive workshop on Finance Management & Compliance organised by ICCO in 2014 [11]

Feedback on annual reports from ICCO [12]

Training on Seed Production & Marketing [24]

Research [23]

Need to diversify funds [32]

Effective Communication Workshop by ICCO in 2013 [13]

Interactive workshop on Finance Management & Compliance organised by ICCO India in Chennai 11-12 March 2014 [11]

MFS II Funds [14]

Other funders [38]

Decrease in demand for organic cotton [17]

Changes in climatic conditions [27]

Changes in the donor environment [31]

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## **Key organisational change 1: Improved planning, monitoring and evaluation (PME)**

According to FFID staff present at the endline workshop, over the last two years FFID has improved its planning, monitoring and evaluation (PME) system [2], and this is also evident in the endline assessment sheet CFA perspective and management FFID perspective. This was keeping in line with its rearticulated vision which required a revision in strategic plans [Source: 5c endline\_assessment sheet\_Dutch co-financing organisations\_India\_FFID\_ICCO, 5c endline self-assessment sheet\_management\_India\_FFID].

Improved PME [2] was due to improved planning [6] and an improved Management Information System (MIS) [5]. These issues are further discussed below.

### **Improved planning [6]**

According to the CFA it is evident that operational plans and overall planning is becoming better [6] [Source: 5c endline\_assessment sheet\_Dutch co-financing organisations\_India\_FFID\_ICCO]. It is also evident from the self-assessment sheet of management and the observation of endline evaluation team that the strategic and operational planning has improved [Source: 5c endline self-assessment sheet\_management\_India\_FFID, Discussion during the endline workshop].

Improved planning was due to: improved interaction with the field staff [36]; more streamlined strategic staff meetings [8] and inputs from an improved M&E system [15]. Each of these issues are further discussed below.

### **Improved interaction with the field staff [36]**

Two years ago, the organisation was more cotton-centric. By taking inputs from the field staff, the leadership decided to broaden the scope of work and to give strategic direction to the team towards it. As was indicated in the baseline report, earlier the interaction of the senior management with the field staff was not frequent. As a result of this the practical problems and ground realities contributed little to the planning process. In the past two years, the senior management has increased their field visits and have also formed a project intervention committee looking at operationalization of projects and therefore working closely with the field staff [Source: 5c endline self-assessment sheet\_management\_India\_FFID]. Their inputs have improved planning at FFID/Chetna.

### **More streamlined strategic staff meetings [8]**

Staff meetings are now more regular and there are cohesive discussions not only around operational issues but also around strategic issues. Their operational plans are becoming better, partly because of meeting more regularly [Source: 5c endline\_assessment sheet\_Dutch co-financing organisations\_India\_FFID\_ICCO]. The staff meetings provide a platform for internal reflection. In these meetings there is review of status of all programmes at the block level, state level and national level, discussion on the adopted plan and strategy, through SWOT analysis gaps are identified in planning and execution, alternatives are suggested, future plans and strategies are chalked out for the coming year. The information thus obtained is used to fine tune the MIS formats. There is now a systematic documentation of minutes of annual strategic review meetings [Source: Strategy meeting report Mar 5-6, Hyd 2013 with pix compressed-1, Annual Strategy Meeting Odisha March 2014 with pix compressed-additions, Annual Strategy Meet-Araku June1-2 2013 with pix compressed; Discussion during the workshop]. Senior management has become more involved in ensuring programme and organizational sustainability because of changes in the donor environment and climatic conditions. Thus meetings are more streamlined, their minutes are documented and decisions taken during meetings are reflected upon and later finalised by the senior management [Source: Interview with OD consultant, Annual Strategy Meet-Araku June1-2 2013 with pix compressed]. The annual strategic meetings are funded by MFS II [14] [Source: Interview with OD consultant].

### **Inputs from an improved M&E system [15]**

The FFID's plans are now better informed by the inputs of an improved M&E system, which is further discussed below. For example an organic farm MIS has a detailed data base on farmers, type of farms, and production on seasonal basis. This is reviewed regularly to revise or fine tune plans and thus improve performance of the programme [Source: 5c endline\_assessment sheet\_Dutch co-financing organisations\_India\_FFID\_ICCO, 5c endline self-assessment sheet\_management\_India\_FFID]. This also includes research activities related to soil and seed on the ground. FFID is involved in a joint

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research project of bioRe Association India, Kasarwad, MP, Chetna organic, Hyderabad, University of agricultural sciences, Dharwad and Research institute of organic agriculture FiBL, Switzerland with an aim of developing low input high quality seeds to organic cotton farmers [Source: <http://www.chetnaorganic.org.in/programs/green-cotton>].

### Improved M&E System [5]

PME also improved due to a strengthened M&E system. According to ICCO, FFID/Chetna has improved their M&E system in terms of identifying the number of people who are involved and how to involve them [Source: 5c endline\_assessment sheet\_Dutch co-financing organisations\_India\_FFID\_ICCO, 5c endline self-assessment sheet\_management\_India\_FFID]. The M&E system of FFID improved [5] because of better reporting to ICCO [7] and better monitoring of staff outputs [9].

- *Better reporting to ICCO [7]:* Reports are more timely and crisp. "The reporting to ICCO has been streamlined and this has helped the organization be more systematic in their analysis and MIS review" [Source: 5c endline\_assessment sheet\_Dutch co-financing organisations\_India\_FFID\_ICCO]. Better Reporting to ICCO [7] was mainly due to:
  - *Improved knowledge on specific inputs on how to report [10].* The staff improved knowledge on how to write better reports by incorporating feedback, specific data and statistics as evidence, image description and also linking narrative and financial reporting [Source: 5c endline\_support to capacity development sheet\_CFA perspective\_India\_FFID\_ICCO, Communication Workshop\_Report\_India]. Knowledge on specific inputs on how to report [10] improved because of:
    - More focussed data collection [16]: There are set formats to collect focused data from the field. For better data collection from the field FFID has redrafted the formats and templates and reduced the formats from 30 pages to 12 pages [Source: 5c endline self-assessment sheet\_management\_India\_FFID]. Data collection became more focussed because of staff participating in the Effective Communication Workshop [13]. The learning of this workshop was shared with the field staff, the format for data collection was redrafted leading to focused data collection from the field [Source: 5c endline\_questionnaire\_training\_participant\_perspective\_India\_FFID\_EffectiveCommunicationsworkshop2013, 5c endline self-assessment sheet\_management\_India\_FFID].
    - Interactive workshop on Finance Management & Compliance [11]: A two-day interactive workshop was organised by ICCO India in Chennai on 11-12 March 2014. The objective was to help ICCO India and its partners to mutually share the good practices and experiential learning and also have a common understanding on the financial management and the law, and ensure effective utilization of the funds. It resulted in improved knowledge of the staff on linking narrative and financial reporting, develop budget plans, make reports more communicative and innovative, and integrate finance and program [Source: An Interactive Workshop on Finance Management Chennai- final -1]. This workshop was funded by MFS II [14].
    - Feedback on annual reports from ICCO [12]: The OD consultant of ICCO provides feedback on the annual report including the financial part. He asks FFID/Chetna to incorporate feedback and they do that. He sees that reports are getting better. The support from the consultant was funded by MFS II [14] [Source: 5c endline\_assessment sheet\_Dutch co-financing organisations\_India\_FFID\_ICCO]
    - Effective Communication Workshop [13]: a two day workshop on effective communication was organised by ICCO Cooperation-SCA with Plan B Communication Partners in Bangalore on 18-19 July 2013. It was aimed at streamlining the reports submitted by the partners to ICCO. Components of the annual report were set out and explained. It helped the Manager (Communications and PR) to improve his skill in structured and focused report writing and case study writing. After coming back from the workshop, he shared the learnings with the staff which resulted the staff improve in data capturing, writing structured and focused case studies and reports. They also could prepare uniform template/formats to capture information systematically and introduced new initiatives to collect data over phone and through Facebook [Source: 5c endline\_questionnaire\_training\_Manager perspective\_India\_FFID\_EffectiveCommunicationsworkshop2013]. This workshop was funded by MFS II [14]. A consequence of this was that by the end of the March 2014, Chetna Organic's archives number more than 10,000 photographs, about 100 hours of video footage, about 100

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case studies, stories and farmer profiles from across the states. Chetna's farmer stories and initiatives have been featured in local (Eenadu, Saakshi, ETV, OTV, IBN7 etc.), national (The Hindu, Down to Earth, Apparel India, etc.) and international media (Austria, Germany, UK, and Japan) (both electronic and print). Regular updates are also posted on the website [www.chetnaorganic.org.in](http://www.chetnaorganic.org.in) and the social media – Facebook and twitter. In terms of print communications material, posters on Seed Guardians, Green Cotton, and Chetna's Fair-trade initiatives have already been printed. A newsletter encapsulating the activities was developed in end 2013 [Source: Annual Report\_ICCO\_01 April 2013- 31 March 2014].

### **Better monitoring of staff output [9] also supported the improve M&E system.**

Staff output is monitored through specific operational mechanisms that are now in place. E.g. the organisation is now making use of digital technology to collect data from the field through email or phone and also through use of social networking sites like Facebook which gives better picture of the outcome of the project. Project specific formats for data collection were modified, redrafted and reduced from 30 to 12 pages to allow for better data collection at the field level. Review meetings are also used for collecting the data. The Communication Manager with the help of other team members developed case studies and video stories as per the programme requirements. All these mechanism facilitate better monitoring of the staff output [Source: 5c endline\_assessment sheet\_Dutch co-financing organisations\_India\_FFID\_ICCO, 5c endline self-assessment sheet\_management\_India\_FFID]. Quarterly Review meetings of all staff where they will be monitored on alignment to the agreed objectives planned for the year is funded by MFS II [14] [Source: Interview with OD consultant].

### **Key organisational change 2: Diversification of funds [19]**

Over last two years the organisation had to explore new funding opportunities as some of the projects have come to an end (for e.g. with the Rabobank Foundation and Hivos) and some funding is about to end (for e.g. with ICCO). Also, in absence of a core grant and delayed transfer of payments from the donors, working capital is always at stake. As a consequence taking on new staff and retaining experienced staff for certain positions becomes a challenge for the organisation [Source: 5c endline self-assessment sheet\_management\_India\_FFID]. Therefore, there is a continuous need to approach new donors [Source: Chetna Status Evolution & Future\_MFS]. In the process FFID/COFA is focussing on networking, forming partnerships, convergence with government programmes and emphasizing on staff capacity development in writing proposals to approach new donors. In the last two years it has mobilised funding mostly for specific projects. Though serious efforts have been put in raising core funding, securing it still remains a challenge. About 8 smaller ethical brands came together in 2014 [Source: <http://chetnaorganic.org.in/News#282>] to invest in Chetna operational areas by adopting some villages and attempting to build a strong supply chain for Chetna cotton farmers through a project called 3DP&L (Three Dimensional Profit and Loss).

FFID was able to diversify its funds\_because they approached new donors and took up new projects [33]. Some of the new projects funded by new donors were:

- Seed Guardians Project: The Seed Guardians project adopted in India by Chetna Organic is primarily an initiative supported by Textile Exchange (USA) & Inditex (Spain) from December 2012 to December 2015. The project is being implemented in 5 clusters spread over three districts of Kalahandi, Bolangir and Rayagada in Odisha. The aim is to reduce farmers' dependence and exploitation by market forces for seeds, Chetna is working with farmers/women groups to promote conservation and sharing of traditional seed varieties in food crops like rice, millets and pulses. Seed production of food crops is being carried out in about 500 hectares across clusters. Seed programmes have been mainly taken up in convergence with local Governments and are partly supported through Chetna [Source: Annual Report\_ICCO\_01 April 2013- 31 March 2014, <http://www.chetnaorganic.org.in/programs/seed-guardians>].
- Green Cotton Project: The project is a joint research project of bio-Re Association India, Kasarwad, Madhya Pradesh, Chetna organic, Hyderabad, University of agricultural sciences, Dharwad and Research institute of organic agriculture FiBL, Switzerland on farm cultivar testing and participatory breeding for organic and low input cropping systems in central India. The project runs from 2013 till 2016 [Source: Annual Report\_ICCO\_01 April 2013- 31 March 2014, <http://www.chetnaorganic.org.in/programs/seed-guardians>].

- Eco-farmers Market Portal (Web-based) in collaboration with PRAVAH & ASHA General, running from January 2014 till June 2014 [Source: Annual Report\_ICCO\_01 April 2013- 31 March 2014].
- Engendering seed and food security/sovereignty project: This project focuses on improving seed, food, nutritional and income security among small and marginal farmers of South Odisha through SODI Network anchored by Madhyam Foundation. Also aimed at equipping women's organic cotton cooperatives to become seed guardian. This is funded by Textile Exchange (TE) USA and Inditex, Spain from October 2012 to June 2015 [Source: Annual Report\_ICCO\_01 April 2013- 31 March 2014, FFID Chetna VISION]
- Promoting house hold level food & nutritional security: funded by ICCO & Kerk in Actie Netherland from 1st Nov, 2013 to 31st Oct, 2015 [Source: Annual Report\_ICCO\_01 April 2013- 31 March 2014].
- Government convergence programmes: COFA established convergence with various government programs for better sustainable livelihood for the poor and marginal farmers, such as, Convergence of Agriculture Initiatives in Maharashtra (CAIM) in Maharashtra. The project receives financial assistance from the International Fund for Agricultural Development (IFAD), Sir Ratan Tata Trust (SRTT) and government of Maharashtra from June 2013 to June 2016 [Source: Annual Report\_ICCO\_01 April 2013- 31 March 2014, FFID-Annual\_Report\_2013, <http://www.chetnaorganic.org.in/programs/seed-guardians>]. Mahila Kisan Sasaktikaran Pariyojna (MKSP) in Odisha. This programme aims at empowerment of women farmer in collaboration with National Rural Livelihood Mission (NRLM) project. It is implemented in Rayagada of Southern Odisha. The main objective the programme is food and nutrition security and sustainable agriculture [Source: Annual Report\_ICCO\_01 April 2013- 31 March 2014, FFID Chetna VISION]. Odisha Tribal Empowerment and Livelihood Programme plus (OTELP+) is supported by government of Odisha and Department for International Development (DFID) from 2012-2018. The objective of the program is to provide food security, secure income and quality livelihood. ICCO is supporting in this project through SODI network to organize sustainable cultivation of pigeon pea and turmeric cultivation by smallholder farming households since 2012 [Source: Annual Report\_ICCO\_01 April 2013- 31 March 2014, FFID Chetna VISION, FFID\_Annual\_Report\_2012].

FFID was able to approach and get new donors for new projects [33] because of diversification of programme strategies [18], networking and forming partnerships [25] and improved staff capacity to showcase their work to donors [26].

### **Diversification of programme strategies [18]**

FFID/Chetna is no longer only working on cotton, but is now including mixed cropping strategies that include food crops. In this way they were able to link up to new government funded programmes outside the cotton sector and they were also able to attract other funders to work e.g. on nutrition security and seed production. For example, to reduce farmers' dependence and exploitation by market forces for seeds, Chetna is working with farmers/women groups to promote conservation and sharing of traditional seed varieties in food crops like rice, millets and pulses. Seed production of food crops is being carried out in about 500 hectares across clusters. Seed programmes have been mainly taken up in convergence with local governments and are partly supported by GSRD Foundation, Jackpot, Textile Exchange and Felissimo. As a result of this seed bank during 2013, Chetna Organic has conserved about 163 traditional varieties that include cereals (63), vegetables (38), pulses (25), spices (7), fruit crops, medicinal and others (30) in Odisha itself, ready to be exchanged with farmers in the coming season. It is assumed that these seeds conserved in seed banks will be sufficient for 300 acres for the coming season [Source: Annual Report\_ICCO\_01 April 2013- 31 March 2014]. FFID was able to diversify its programme strategies [18] because of increased knowledge on seed production [34] [Source: 5c endline self-assessment sheet\_management\_India\_FFID, FFID-Annual\_Report\_2013] and the strategic decision to diversify strategies and change the vision [35]:

- Increased knowledge on seed production and conservation [34] was due to:
  - Training on Seed Production & Marketing 2013, CSA, Wardha [24] for FFID staff. In order to be able to conserve and share traditional seed varieties in food crops, staff of FFID received training on Seed Production & Marketing in December 2013, organised and funded by the Centre for Sustainable Agriculture (CSA), Wardha [38]. Training was given on: importance of seed in sustainable agriculture; community seed banks and producer company; planning for seed production, assessing demand, procurement, selection of seed farmers; seed production practices

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in self-pollinated crops, cross often pollinated crops and cross pollinated crops; hybrid seed production in cotton and maize; participatory approaches of seed management; documentation on value for cultivation and use etc. [Source: 5c endline self-assessment sheet\_field staff\_India\_FFID]

- Research [23]. With regard to the cotton seed research initiative in collaboration with and funding of the Research Institute of Organic Agriculture (FiBL), Switzerland and the University of Agriculture Sciences, Dharwad (UASD) [38], research continued for the third continuous year. As a part of the research, suitability of different Indian, American and Egyptian varieties in the local conditions and quality parameters were tested. After a third year of controlled research and participatory evaluations, the team found that Barbadosense and Herbaceum are not very suitable to local soils and climatic conditions. Of the total, 33 cotton varieties, 18 hybrids American /Hirsutum varieties and 9 hybrids and 6 Indian /Arboreum varieties have been shortlisted for further evaluation on field trial basis at farmer level [Source: Annual Report\_ICCO\_01 April 2013- 31 March 2014].
- The strategic decision to diversify strategies and change the vision [35]. The staff felt that in the changing scenario there was a need for revisiting the organization's vision. Consequently, a vision building workshop was organized in June 2013 with senior staff [Source: FFID-Annual\_Report\_2013; 5c endline self-assessment sheet\_management\_India\_FFID]. The re-articulated vision is as follows: *To promote economically and socially viable agrarian based livelihoods in rain-fed and other ecologically depressed regions through sustainable agriculture.* Aligned to this vision the six main objectives of FFID/Chetna now are: enhancing productivity and reducing cost of cultivation, promoting Viable institutions, Creating market through value addition, natural resource management, food and nutrition security and women and child development. During the baseline the vision was: *To improve the livelihood options of small farm holding households involved in cotton cultivation through making their farming systems more profitable and more sustainable.* Thus FFID/Chetna revisited its strategy to give a broader scope for holistic development of agriculture dependent families in rain-fed and other ecologically depressed regions while continuing its core work with small and marginal cotton farmers. In-situ soil and water conservation, gender equity, food security and value chain development of other products were also made an integral part of the programme [Source: FFID-Annual\_Report\_2013; 5c endline self-assessment sheet\_management\_India\_FFID]. Keeping in line with the changed vision since June 2013 FFID/Chetna has been focusing on sustainability be it for the organisation or for the small and marginal farmers.

The training in seed production [24], research [23] and the strategic decision [35] were triggered by changing climatic conditions [27] [Source: : U.S. Organic Cotton Production & Marketing Trends January 2014 , Accessed from: [https://ota.com/sites/default/files/indexed\\_files/2012%20and%202013%20Organic%20Cotton%20Report.pdf](https://ota.com/sites/default/files/indexed_files/2012%20and%202013%20Organic%20Cotton%20Report.pdf)] and due a decrease in demand for organic cotton [17] which was due to increased production of non-organic cotton because of multi-fold adoption of Bt<sup>18</sup> seeds in India and a fall in the production of non-genetically modified cotton seed over the past three years [Source: Ministry of Textile India, Accessed from: [www.organiccotton.org/oc/](http://www.organiccotton.org/oc/)]. Thus FFID/Chetna was forced to focus and change its strategy from mono-cropping to diversified cropping and mixed cropping practices [35] where food crops like jowar, paddy, red gram, vegetables, maize, green gram and others could be grown alongside cotton. This would not only ensure food security for the farmer but also improve soil health [Source : A sustainable model for small and marginal ryots - The Hindu; interaction with the Arun]. Further change in climatic conditions [27] (heavy rains, Phailin<sup>19</sup> cyclone) also triggered diversification of strategies and expansion to newer locations [Source: Annual Report\_ICCO\_01 April 2013- 31 March 2014, discussion during endline workshop].

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<sup>18</sup> Bt cotton is a genetically modified variety of cotton producing an insecticide.

<sup>19</sup> A very severe cyclone that originated in Southern China Sea on October 2013, that affected Andhra Pradesh, Odisha, Jharkhand and other Indian States

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### **Networking and forming partnerships [25]:**

FFID started focusing more on networking because of the need to diversify funds [32], which came from changes in the donor environment [31]. There is a continuous need to approach new donors. FFID/Chetna for this reason is focusing on networking, forming partnerships, emphasizing on staff capacity development in writing proposals [Source: Chetna Status Evolution & Future\_MFS]. The improved interaction allows them to bid for projects together as well as improve their visibility which is important from the donor perspective.

FFID has been associating itself with different international and national level organizations, networks and government agencies to undertake and implement various projects. During 2013-14, FFID's main emphasis was on building convergence with different government programmes through COFA and the cooperatives. Some of the major government programmes that COFA associated with include NABARD-IGWDP and Integrated Watershed Management Programme (IWMP) projects in Andhra Pradesh; Convergence of Agriculture Initiatives in Maharashtra (CAIM) in Maharashtra; Mahila Kisan Sasaktikaran Pariyojna (MKSP) and OTELP+ in Odisha. All these programs are directed towards empowerment of the poor, specifically women, small farmers, labour and the tribal poor. The overall emphasis is on sustainable and diversified agriculture, water and soil conservation, enhancement of livelihood options and food security. While the OTELP+ project facilitates for basic entitlements of tribal households as well, CAIM took one step ahead towards market development [Source: FFID-Annual\_Report\_2013]. International Organizations like Solidaridad, Textile Exchange and Traidcraft Exchange have been funding for Chetna. Brands like Felissimo, Jackpot, etc. have also been funding Chetna and providing support. About 8 smaller ethical brands came together in 2014 invest in Chetna's operational areas by adopting some villages and attempting to build a strong supply chain for Chetna cotton farmers through a project called 3DPNL (Three Dimensional Profit and Loss) [Source: 5c endline self-assessment sheet\_management\_India\_FFID, <http://chetnaorganic.org.in/News#282>]. FFID/COFA 's involvement in advocacy has improved its visibility both internationally and with the government. Thus when a donor is looking for funding projects it recognises FFID/COFA [Source: Discussion during the workshop]. Chetna forays into advocacy and campaigning on the issues around rain fed agriculture in general and integration of NREGS into agriculture, revitalization of rain fed agriculture, seed issues, and anti-GM in specific apart from the fair trade and supply chain issues. Chetna efforts so far brought in favourable policy changes related to marketing rights of smallholder farmers, integration of agriculture in National Rural Employment Generation Scheme (NREGS), GMO seeds, SPOs role and involvement in Fair Trade. Chetna expanded its sphere of influence through representation on the Boards of Fair Trade Federation UK, Shop for Change Fair Trade, National Produce Marketing Inc., Fairtrade Labelling Organizations International, Made-By (NL & UK) and in the Steering Committee of Mahila Kisan Sashaktikaran Pariyojana (MKSP), a subcomponent of the National Livelihood Rural Mission (NRLM) of the Indian Ministry of Rural Development.

### **Improved capacity of staff to showcase their work to donors [26].**

This is the third reason for being able to approach new donors and take up new projects. Staff capacity was improved because the Communications and PR Manager of FFID attended the *Effective Communication Workshop* [13]. This was a two day workshop on effective communication, organised by ICCO Cooperation-SCA with Plan B Communication Partners in Bangalore on 18-19 July 2013. It was aimed at streamlining the reports submitted by the partners to ICCO (funded by MFS II [14]) and train the staff on new MIS format, photos as visual evidence, formatting tips and case studies as qualitative evidence. It helped the Communications and PR Manager to improve his skill in structured and focused report writing and case study writing. Further to improve the M&E capacity of the field staff he shared the learning in the in-house training. This resulted in improved staff capacity in data capturing, photographs and video capturing, writing structured and focused case studies and reports. They also redrafted template/formats to capture information systematically. Due to improved skills in the ICCO Communication workshop and systematic data from the field capacitated the communication manager with the help of other staff members of FFID to develop case studies with photographs, videos, stories and farmer profiles across states to showcase the work/activities to donors [Source: 5c endline\_questionnaire\_training\_participant\_perspective\_India\_FFID\_Effective Communicationsworkshop2013.docx, Communication Workshop\_Report\_India, Annex C\_5C endline\_support to capacity development sheet\_SPO perspective\_India\_FFID, Annual Report\_ICCO\_01 April 2013- 31 March 2014].

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#### **Improved compliance with HR and financial norms [4]**

In the last two years FFID/Chetna improved compliances with the HR and financial norms triggered by the need to retain their staff and the demand by ICCO for better financial reporting [Source: Annual Strategy Meeting Odisha March 2014 with pix compressed-additions]. Compliance improved because of:

- Improved HR systems [20];
- Improved compliance with financial norms [21].

#### **Improved HR Systems [20]**

FFID introduced new HR initiatives to improve its HR system: such as a five day working week (trial basis), increase in daily sustenance allowance while travelling, provisions for a family health insurance, an increment of 8-15 per cent in the salaries with effect from April 2014 and staff promotions under the revised HR systems [Source: Self-Assessments]. These changes were triggered by a *high staff turnover in the last two years [37]* as staff in key senior positions left the organisation for better opportunities (while staff turnover at the field and programme level remained relatively low).

#### **Improved compliance with financial norms [21]**

FFID improved its compliance with financial norms to fulfil the requirement of ICCO as well as the government under the FCRA Act. This compliance improved due to:

- *Better financial reporting [28] and better adherence to norms developed by ICCO for partners [29].*

Both these developments were because of improved knowledge of financial management and compliance in accordance to local laws [30]. This knowledge improved because of the *interactive workshop on Finance Management & Compliance organised by ICCO India in Chennai 11-12 March 2014 [11]*, which was funded by MFS II [14]. This was a two days interactive workshop. The objective was to help ICCO India and its partners to mutually share the good practices and experiential learning and also have a common understanding on the financial management and the law, and to ensure effective utilization of the funds. It resulted in improved knowledge of the staff on linking narrative and financial reporting, develop budget plans, to make reports more communicative and innovative, and to integrate finance and program [Source: An Interactive Workshop on Finance Management Chennai- final -1].





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

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

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