
Endline report – Indonesia, Lembaga Kita 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 Indonesia, Lembaga Kita. The format is based on the requirements by the synthesis team and NWO/WOTRO. The endline was carried out in 2014. The baseline was carried out in 2012.

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



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The Indonesia 5C evaluation team

List of abbreviations and acronyms

5 C	Capacity development model which focuses on 5 core capabilities
Causal map	Map with cause-effect relationships. See also 'detailed causal map'.
Causal mechanisms	The combination of parts that ultimately explains an outcome. Each part of the mechanism is an individually insufficient but necessary factor in a whole mechanism, which together produce the outcome
CDI	Centre for Development Innovation, Wageningen University and Research centre
CFA	Co-Financing Agency
CFO	Co-Financing Organisation
CS	Civil Society
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).
General causal map	Causal map with key organisational capacity changes and underlying reasons for change (causal mechanisms), based on SPO perception.
M&E	Monitoring and Evaluation
MFS	Dutch co-financing system
MIS	Management Information System
MM	Mensen met een Missie
MoFA	Ministry of Foreign Affairs
NGO	Non-Governmental Organisation
OD	Organisational Development
PME	Planning, Monitoring and Evaluation
PRA	Priority Result Area
Process tracing	Theory-based approach to trace causal mechanisms
RCT	Randomized Control Trials
SPO	Southern Partner Organisation
SSI	Semi-structured Interview
ToC	Theory of Change
Wageningen UR	Wageningen University & Research centre

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: Lembaga Kita in Indonesia. 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 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, Lembaga Kita has seen a slight improvement in the capability to act and commit. The organizational structure of the organization improved with the addition of a new Steering Committee (SC) and Organization Committee (OC) and clearer responsibilities between the two. Training opportunities also improved with the addition of training on human trafficking by IOM and training in PME by Mensen met een Missie. The capability to adapt and self renew has improved slightly in terms of freedom for ideas as well as the system to track the environment as Lembaga Kita has made an extra effort to gather stakeholders in villages to thoroughly assess their situations. In the capability to deliver on development objectives a slight improvement occurred. In terms of delivering on planned outputs for example, Lembaga Kita has started to reap the rewards from their intensive door to door policy to gain trust from local communities in their output planning. The capability to relate improved slightly due to more frequent engagement with beneficiaries, as well as better internal communication through the fusion of field offices which encouraged staff members to talk and share more frequently. The greatest improvements occurred in the capability to achieve coherence. The organization's focus has broadened to now also include anti-trafficking issues. Since the restructuring of the organization, job and task descriptions have been specified and made clearer and are now documented, but not yet developed in the standard operating procedures. A very slight improvement also occurred in mutually supportive efforts. Lembaga Kita attempts to go beyond solving the problem on its own. For instance, they don't just warn communities for the dangers of trafficking, but also attempt to remove the reasons why people sometimes fall victim to it. They try to give them good opportunities in life.

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 Lembaga Kita's staff: a more visible organization through the implementation of the community assistance model; and greater recognition amongst stakeholders through the systematic production of documentation. The organization becoming more visible with the more accepted community assistance model can be attributed to the increased trust in the organization. This was enabled by the beneficiaries being more satisfied with better services provided, which was the result of better staff working performance and a quicker response to beneficiaries' concerns. Increased staff working performance can be attributed to the change in the incentive system, better outputs achieved and increased community participation in the programming. Lembaga Kita has become more recognized by stakeholders through the production of documentation as a result of better documentation of data. This initiative can be attributed to the change in organizational management that took place.

Various changes were indicated by the SPO that can be linked to one of the MFS II capacity development interventions by Mensen met een Missie: the organizational capacity scan that took place after the external MFS II 5c baseline in 2012. This influence the change in organisational

management, improved its organisational profile and brought about a change in the Community Assistance Model, which are the main underlying reasons for these key changes in the organisation, as perceived by the SPO. The CFA indicated that other capacity development interventions took place, including several trainings, but these could not be directly linked to the mentioned key organizational capacity changes mentioned in the general causal map, and process tracing was not carried out for this SPO since the SPO was not selected for this.

2 General Information about the SPO – Lembaga Kita

2.1 General information about the Southern Partner Organisation (SPO)

Country	Indonesia
Consortium	Press Freedom 2.0
Responsible Dutch NGO	Mensen met een Missie
Project (if applicable)	Empowerment and protection of women around gender-related violence (2012-2013)
Southern partner organisation	Lembaga Kita

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

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

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

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

Lembaga Kita works in the field of gender equality. The project funded by MFS II focuses on prevention and support of victims of Gender-Based Violence (GBV). The project is situated in a poor and rural district in Central-Java: Wonosobo, where people mainly live from agricultural and forest products.¹ As in many areas in Indonesia where income-generating activities are very limited, people see labour-migration as the only option to earn a decent living for themselves and their families. Especially females, who often work as domestic laborers, face multiple problems when they return from their overseas jobs. It is not uncommon that these women have been confronted with GBV during their migration and returning home after such an experience is viewed as a failure. Lembaga Kita aims to improve the situation of women in the Wonosobo district.²

Related to Social-economic condition in Kumejing, especially in dusun Kiringan, people has understood gender equality that are applied in daily life and this is proven by cooperation among women and men. The establishment of PRA cooperation (Participatory Rural Approach) makes economic capital family and decreases economic harassment in family.

In Sitiung, Wonosobo, a large number of people look for livelihood as a rubbish collector, asongan sellers (a walking seller with only few things sold), and labors. About 25 head of family have a special community in which they protect each other as what they can afford. The daily outcome only could meet the need of very simple meal. Their children get education at free school which is managed by educational volunteers. With the lack of economy, it is very easy to meet harassment toward women both economy, psychological, physic.

The victims of gender-based violence often happen to mothers and children. This takes place because of patriarchy culture. To build gender responsive mindset must be done in all components government, society, and family from all ages. Building gender responsive mindset on children can be done by some ways for example, through organization in their school. This is a very effective way to

1 K. Nomura (2008) The politics of participation in Forest Management: A Case from Democratizing Indonesia, Journal of Environment Development, June 2008, vol. 17, no.2, p 166 -191

2 Mensen met een Missie (2010) 2010 – 2011 Beoordelingsmemo

give understanding about health and its application as well as analysis of effect from unfair gender treatment.³

It is estimated that every year 700.000 registered Indonesian migrant workers seek employment overseas.⁴ The majority of the Indonesian migrant-labourers go to South-East and East Asia and the Middle East, in particular in Malaysia, Singapore, Hong Kong Special Administrative Region, Taiwan Province of China, Saudi Arabia, Kuwait and the United Arab Emirates.⁵ The International Migration Organization (IOM) on Labour Migration from Indonesia (2010) states that the migration of Indonesian labourers is a driving force behind the Indonesian economy and development of Indonesian human resources; the 4.3 million Indonesians who work abroad send between USD 6 – 8.2 billion back home in the form of remittances.⁶ The number of unregistered migrant is expected to be 2 – 4 times higher and 75% of the migrant-labourers are females who are mostly working in the domestic services sector.⁷ Although a driving force, migrant workers, especially female domestic workers susceptible to exploitation as well as physical and psychological abuse including violence, (sexual) harassment and intimidation at different stages of the migration process (IOM, 2010). Main problems faced by Indonesian labourers are a) labour problems: wages below agreed rates, unpaid wages, passport and other document retained by their employers, excessive work hours, insufficient food and/or rest, restrictions of access to information and communication and inhumane working conditions; b) problems related to violence: sexual abuse, rape, torture and murder.⁸ The perpetrators of these practices are mostly brokers, recruitment agents, employers and officials.

The Indonesian Government has taken steps to reduce the problems faced by the migrant workers. For example recruitment agencies are now required to register all Indonesian workers at the Indonesian embassy or consulates when they arrive. The embassy registers the address of the migrant worker's employer and holds a copy of their contract which makes it easier to locate the worker and undertake action when exploitation or abuse is reported.⁹ However, enforcement of these new regulations is not yet up to standards.

2.3 Contracting details

When did cooperation with this partner start: 01-01-2012

What is the MFS II contracting period: 1-1-2012 to 31-12-2012 (but extended program activities through amendment)

Did cooperation with this partner end: Not applicable

If yes, when did it finish: Not applicable

What is the reason for ending the cooperation with this partner: Not applicable

Is there expected cooperation with this partner after 31st of December 2015: Yes.

³ Project Proposal, 2012

⁴ Website: International Labour Organisation, Accessed at 9 November 2012: <http://www.ilo.org/jakarta/areasofwork/labour-migration/lang--en/index.htm>

⁵ International Organization for Migration, (2010), Labour Migration from Indonesia, An overview of Indonesian Migration to selected Destinations in Asia and the Middle East, IOM Indonesia, Jakarta

⁶ Website: International Labour Organisation, Accessed at 9 November 2012: <http://www.ilo.org/jakarta/areasofwork/labour-migration/lang--en/index.htm>

⁷ Website: International Labour Organisation, Accessed at 9 November 2012: <http://www.ilo.org/jakarta/areasofwork/labour-migration/lang--en/index.htm>

⁸ International Organization for Migration, (2010), Labour Migration from Indonesia, An overview of Indonesian Migration to selected Destinations in Asia and the Middle East, IOM Indonesia, Jakarta

⁹ International Organization for Migration, (2010), Labour Migration from Indonesia, An overview of Indonesian Migration to selected Destinations in Asia and the Middle East, IOM Indonesia, Jakarta

2.4 Background to the Southern Partner Organisation

History

Lembaga Kita was founded in 2007 by Sister Antonie, the head of the congregation Putri Maria and Yosef (PMY).¹⁰ The organization resulted from multiple collaborations, initiated by Sister Antonie since 2001, in the field of gender-equality promotion in Indonesia.

Lembaga Kita can be best described as a network-organization that facilitates and coordinates multiple gender-related programs in and around Wonosobo (Java), all under the supervision of PMY¹¹. One of the NGOs in the network of Lembaga Kita is Srikandi Women's Cooperative, which was also founded by Sister Antonie. This is an organization that focuses on income generating activities to female ex-migrant workers who returned to Wonosobo.¹² A key-partner in the network of Lembaga Kita, and very relevant to this MFS II Evaluation, is Association of Wonosobo Women Struggle (Per3W). The project that is currently funded by MFSII through Press Freedom 2.0 is a continuation of a program of Association of Wonosobo Women Struggle (Per3W) that started in 2010. The program of 2010 focussed on strengthening the capacity of Per3W and its network with other NGOs; increase awareness on Gender equality and gender-based violence (GBV); and improving the economic situation of families in Wonosobo.¹³ Lembaga Kita took over the project of Per3W in 2011 and takes on a coordinating role, while Per3W focussed on carrying out the project in Kumejing village.¹⁴ The program now focuses on prevention and supporting victims of GBV.

The organisation consists solely of volunteers who do their work in three villages because of their social engagement. Strategy and activities are designed together with the Sisters PMY. They also guide the Lembaga Kita team in the implementation.

A team of volunteers is very sympathetic but certainly also has its drawbacks. Because of this setup one of the realities was that a project meant for 1 year, took 2,5 years to be fully implemented. Their relation is such though that they communicate about this openly and MM adjusts to this situation easily.

This voluntary setup is also a very positive signal though. It means the team is doing their work because their heart tells them to, not because of any external financial incentive. The team relates very well with the target group and knows very well what the issues and needs are because they are so embedded.

Being a group of volunteers is mostly a limitation in terms of time and organisational procedures (the paperwork), not in terms of quality. They have relevant knowledge and expertise to do the work. The coordinator, works at the government, which also provides Lembaga Kita with interesting contacts with relevant stakeholders.¹⁵

¹⁰ The Congregation of the Daughters of Mary and Joseph was founded in 1820 and is active in The Netherlands and in Indonesia. The Congregation in Indonesia, *Putri Maria and Yosef* (PMY), is led by Sister Antonie who resides in the Wonosobo community of Sisters. PMY consists in of seven communities and a noviciate, all on Java. The community of Sisters in Wonosobo also leads the Dena-Upakara boarding school for deaf and hearing-impaired children can be found. The community of Sisters in Yogyakarta works at the Helen Keller Institute, an institute for the care and education of deaf-blind children. *Source*: Website Congregatie Dochters van Maria en Josph (2012): <http://www.congregatiedmj.nl/organization> (Accessed: 8 November 2012)

¹¹ Lembaga Kita is under the supervision of PMY as can be observed from the Contract with Mensen met een Missie (2012) which is signed by Sister Antonie on behalf of Lembaga Kita.

¹² Historical timeline developed by Indonesian Evaluation Team (2012)

¹³ Mensen met een Missie (2010) 2010 – 2011 Beoordelingsmemo

¹⁴ Marieke Oteman (2012) External Evaluation Lembaga Kita

¹⁵ Anne B, MFS II endline Evaluation, 2014

Vision

The vision of Lembaga Kita is: *"To embody gender equality and gender justice collectively".*¹⁶

Mission

The mission of Lembaga Kita is: *"protection and empowerment for women and children, mainstream gender in policy and development, social empowerment for women and children".*¹⁷

Strategies

Lembaga Kita aims to: *"create a safe and caring environment and society for women, to help and empower victims of gender-based violence, to (economically) empower women and improve cooperation between various parties and networks.*

The main activity of Lembaga Kita is: *"social empowerment and advocacy for women and children's issues, focusing on GBV".*

The target group of Lembaga Kita consists of: *"women and children, especially the ones at risk for GBV, poor women and ex-migrants."*¹⁸

The current project focuses on increasing awareness on gender-based violence (GBV) among communities in Central-Java.¹⁹ The project entails two sub-projects:

- a. Improving the network of women with the objective to protect women from gender-based violence. This sub-project intends to work on prevention as well as supporting victims of GBV.²⁰ The network focuses on improving the network of NGOs working in the field of GBV. The network will serve mainly as a referral system for shelter, medical care and other support victims of GBV.²¹ To reduce the susceptibility to GBV, Lembaga Kita will develop income-generating activities as well as micro-finance opportunities for women in Central - Java. The rationale is that economic empowerment of women reduces their vulnerability of falling into a situation of GBV.²² Lembaga Kita and its partners developed income-generating activities with women's groups in three villages: Kemejing Village, Tempuran Village and Purwojiwo Village. The programs in these villages are developed through 'participatory rural appraisal' method; a method where the villagers (women in this case) participate in the development and implementation of the program.²³
- b. Educating teenagers on sexual health and raising awareness on GBV. This sub-project intends to educate children in schools and appoint a counselor at these schools who can provide guidance to the children. Lembaga Kita plans to develop visual media to spread their message on GBV and sexual health.²⁴ Lembaga Kita already runs a program in a local high school in Wonosobo where they give courses about under aged marriage and trafficking.²⁵

¹⁶ Lembaga Kita (2011) Project Proposal 2012

¹⁷ Lembaga Kita (2011) Project Proposal 2012

¹⁸ Lembaga Kita (2011) Project Proposal 2012

¹⁹ Note that this project is fully depending on funding of Mensen met een Missie. (Mensen met een Missie, (2011), Beoordelingsmemo incl. kenschets 2012)

²⁰ Mensen met een Missie, (2011), Beoordelingsmemo incl. kenschets 2012

²¹ Marieke Oteman (2012) External Evaluation Lembaga Kita

²² Mensen met een Missie, (2011), Beoordelingsmemo incl. kenschets 2012

²³ Marieke Oteman (2012) External Evaluation Lembaga Kita

²⁴ Mensen met een Missie, (2011), Beoordelingsmemo incl. kenschets 2012

²⁵ Marieke Oteman (2012) External Evaluation Lembaga Kita

3 Methodological approach and reflection

3.1 Overall methodological approach

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

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

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

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

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

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

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

focus on these two capabilities, since these are the most targeted capabilities by the CFAs, as established during the baseline process.

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

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

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

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

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

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

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

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

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

The description of indicators for the baseline in 2012 served as the basis for comparison during the endline in 2014. In practice this meant that largely the same categories of respondents (preferably the same respondents as during the baseline) were requested to review the descriptions per indicator and indicate whether and how the endline situation (2014) is different from the described situation in 2012²⁶.

²⁶ The same categories were used as during the baseline (except beneficiaries, other funders): staff categories including management, programme staff, project staff, monitoring and evaluation staff, field staff, administration staff; stakeholder categories including co-financing agency (CFA), consultants, partners.

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

The information on the indicators was collected in different ways:

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

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

Key steps to assess changes in indicators are described

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

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

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

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

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

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

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

3.3.1 Selection of SPOs for 5C process tracing

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

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

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

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

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

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

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

Liberia: BSC, RHRAP (2/5).

3.3.2 Key steps in process tracing for the 5C study

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

Key steps in process tracing for the 5C study

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

3.3.3 Methodological reflection

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

Use of the 5 core capabilities framework and qualitative approach: this has proven to 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 organisational capacity changes have come about. Whilst this process was intensive for SPOs during the process tracing workshops, many appreciated this to be a learning process that provided useful information on how the organisation can further develop itself. For the evaluation team, this has also been an intensive and time-consuming process, but since it provided rich information in a learning process, the effort was worth it, if SPOs and CFAs find this process and findings useful.

A few remarks need to be made:

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

Utilisation of the evaluation

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

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

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

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

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

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

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

4 Results

4.1 MFS II supported capacity development interventions

Below an overview of the different MFS II supported capacity development interventions of Lembaga Kita that have taken place since 2011 are described. The information is based on the information provided by Mensen met een Missie.

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
MM Capacity Scan by Independent consultant in 2012	Evaluate the organization's capacity development needs and highlight opportunities for growth	Capacity scan, evaluation report and recommendations for follow-up. Basis for collective as well as individual capacity building trajectories.	July-August 2012	2000 Euro
Training on law enforcement	Increasing knowledge on the processes of law enforcement	3 day training and exchanging knowledge	5-8 Februari 2012	6320 Euro (for all partners in network)
Project Cycle Management training	Increase knowledge on project cycle management	One week training on PCM	Late 2014	18000 Euro (for all partners in MFSII program – not exclusively Lembaga Kita)

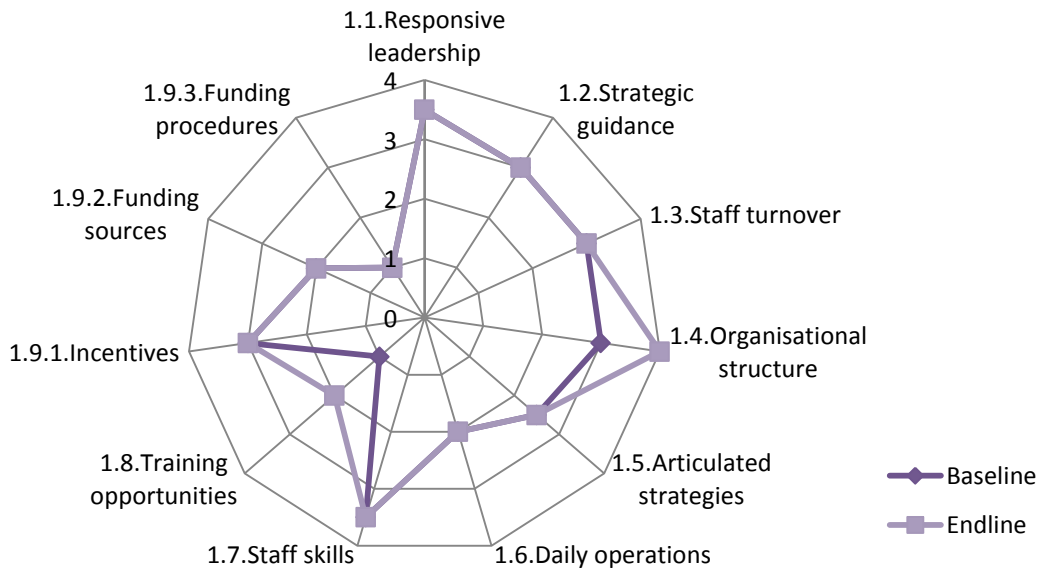
Source: 5C endline_support to capacity development sheet_CFA perspective_Indonesia_Lembaga Kita

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

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

4.2.1 Changes in the five core capabilities

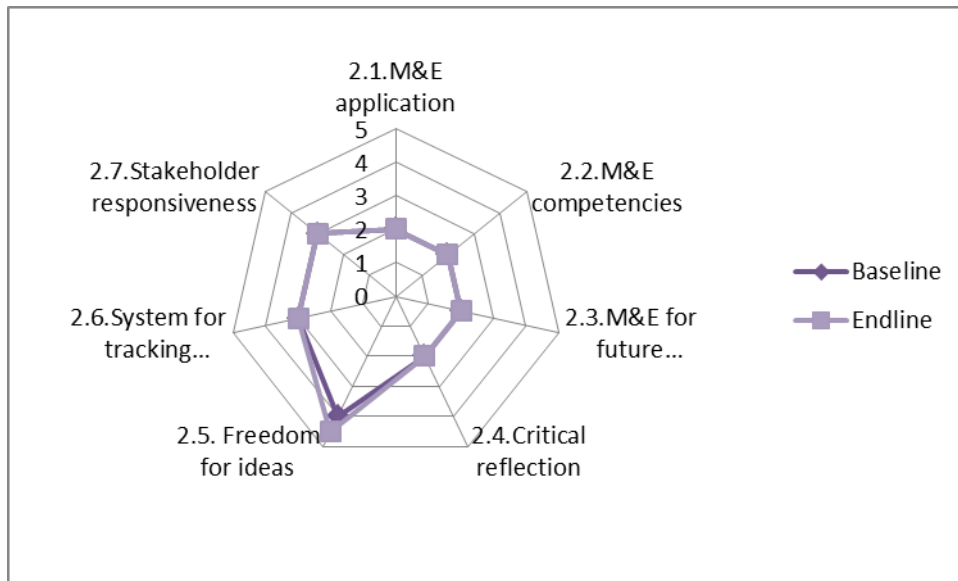
Capability to act and commit



The leadership within the organization changed from Sister Antonie to Sister Patricia, and Ms. Maria Susiawati, the chairperson. Sister Patricia is the new provincial in Wonosobo therefore; she automatically takes the leadership in the organization. With the addition of two committees (Steering committee and Organization committee) overseeing the activities of the organization, a change in focus and visibility were enabled. Strategic guidance is developed together through cooperative meetings with staff, and not solely by the leaders. Both leaders (strategic and operational) are involved in the development of strategic guidance. In the last four years the organization had a relatively steady number of staff members. They started with four persons and two volunteers joined as field staff. Staff is dedicated, motivated and very knowledgeable in their field. Each of the staff members has a particular expertise that has contributed to the work of the organization. Currently, there are two trainings that have been organized since the baseline; training in human trafficking by IOM and the other training in PME in 2014 by MM. Staffs are motivated to work for Lembaga Kita mainly due to their passion to the work and sharing the values of the organization. Lembaga Kita does not have a solid donor base. To date Mensen met eenMissie is the only donor. There are no clear procedures for exploring new funding opportunities.

Score: From 2.5 to 2.7 (very slight improvement)

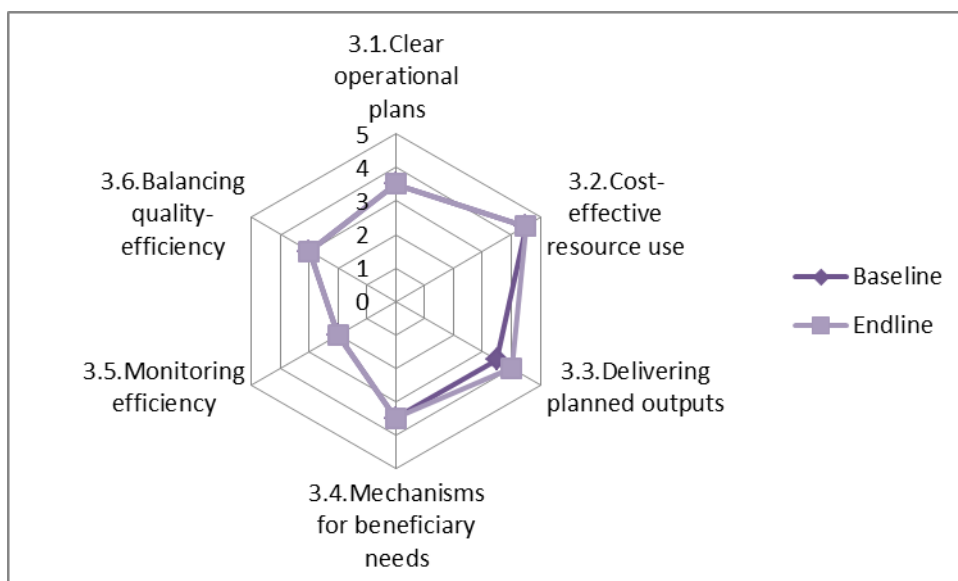
Capability to adapt and self-renew



There is no formal M&E system in place. The organization looks only at the project level in terms of monitoring and evaluation of activities. In some proposals, it is mentioned that they have a regular meetings to discuss the progress of the project and how it will be improved together with the beneficiaries. Staff and volunteers of Lembaga Kita have the competences to conduct monitoring and evaluation in a very basic manner. M&E is conducted through focus group discussions with the beneficiaries as well as direct informal discussions with the village leaders. Staff indicates that M&E findings are used for future strategies, but there is no M&E system in place and the strategic plan is missing. Evidence in the form of documentation to support these claims could not be found. Lembaga Kita has several meetings on a monthly and annual basis. In these meetings, staff, volunteers and beneficiaries are gathered to discuss relevant issues. Since Lembaga Kita has an office, now the project staff and the sisters live more closely to each other and this assists in having frequent meetings. They are able to express their ideas, feelings and concerns openly. Lembaga Kita has very close connections with their target groups and this also makes them aware of what is happening in their surroundings and project areas, although a systematic way of tracking their environment is still missing.

Score: From 2.6 to 2.6 (no change)

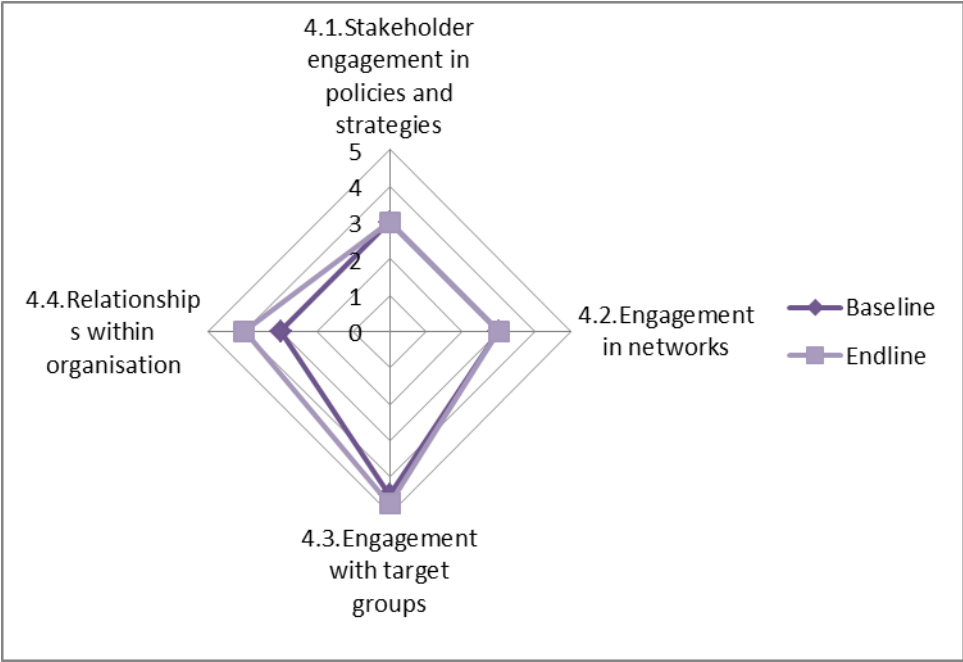
Capability to deliver on development objectives



The operational plans are based on the project proposal as funded by Mensen met een Missie. There is a budget and operational plan available that covers the basic necessities to run the program. The organization is realistic in their budgets and ensures that staff understands the costs involved, and hereby aims to use resources cost-effectively..This is further contributed to by the fact that they work locally and also with local people as to keep operational expenses low. Monitoring and evaluation remains subject to improvement, particularly to setting up a more systematic way to do so and as such there is no system in place to measure efficiency by relating inputs to outputs. Currently the organization mainly looks at budget expenditure and compares this with what was planned. The organization balances quality with efficiency by keeping costs low whilst delivering quality work through field monitoring, and engaging competent staff and volunteers, and by having good interpersonal relationships and personal commitment to the work. Whilst planned activities seem to be implemented long-term effects take time.

Score: From 3.3 to 3.4 (very slight improvement)

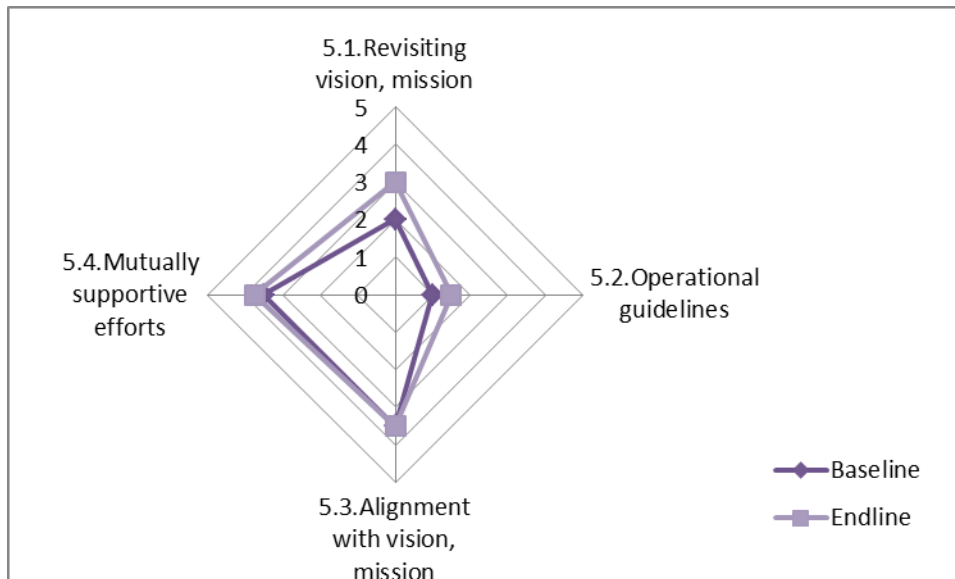
Capability to relate



Lembaga Kita is a small organization and is part of a network extending over the whole of Indonesia, including for example schools and hospitals where victims can be found. All Indonesian sister congregations are involved in this network. Lembaga Kita has sufficient capacity to relate to their stakeholders. It is not complicated at all for the organization to establish contact, because each member is also a member of another organization in the Lembaga Kita network. At the international level, all organizations in the Mensen met een Missie network come together twice a year for discussions, trainings, etc. However, the organization does not have any formal way to engage external groups in developing their policies and strategies. The organization works closely together with the community, and has changed its stance from low profile to a more moderate and visible profile within the communities the organization serves. This has led to increased trust amongst beneficiaries. Their strength is their grassroots involvement in the organization now works closely with the communities. Internal relations have improved through the establishment of a new office building in which staff can now regularly meet and freely communicate.

Score: from 3.4 to 3.7 (very slight improvement)

Capability to achieve coherence



There is a very slight improvement in this capability. The organization has a mission and vision developed collectively with the staff in 2007. There is no detailed information on how the vision and mission were developed. Within the last two years, the organization's focus has broadened and does not only focus on violence based on gender but now also includes anti-trafficking. This change is based on MFS II baseline 2012 results. There are no operational guidelines available in the organization in term of Human Resources, Administration and Finances, although job and work descriptions have been specified and made clearer. The management relies on guidance provided by the donors. There is a large coherence between goals, aims, activities and available resources, although there is no strategic plan in place and activities are based on the project proposal funded by MM. They don't do different projects but do their work in different villages. In what they do there is a logical consistency aimed at the prevention of trafficking, and their greater engagement within communities to raise the organization's profile has forced staff members to integrate with community activities that are not necessarily directly related to project or program activities.

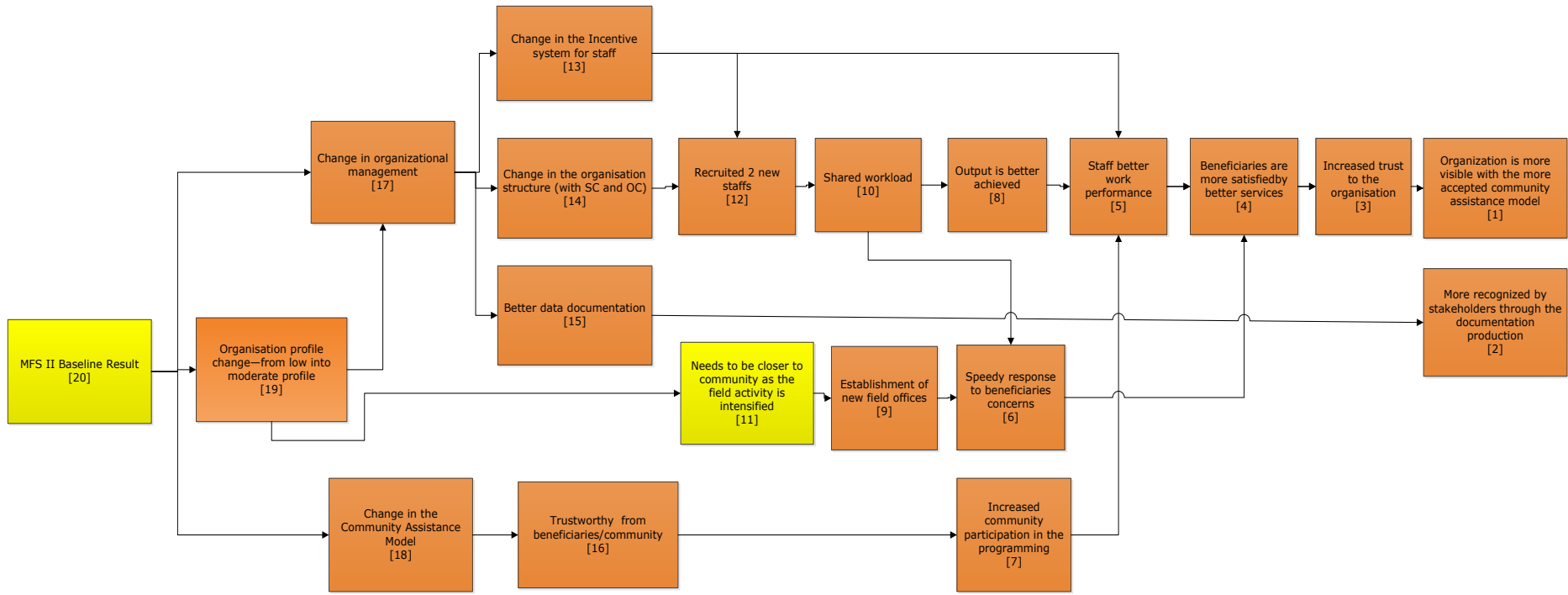
Score: From 2.5 to 2.9 (slight improvement)

4.2.2 General changes in the organisational capacity of the SPO

During the end line workshop at Lembaga Kita, a discussion was held around what staff perceived as the key changes in in the organization since the baseline in 2012. This then led to a discussion on what were the key organizational capacity changes and why these changes have taken place according to staff present at the end line workshop. The discussion resulted in a 'general causal map' which is described below. The general causal map provides a comprehensive picture of organizational capacity changes that took place since the baseline, based on the perspective of SPO staff present at the end line workshop. The numbers in the narrative correspond with the numbers in the visual.

Two key organisational capacity changes have occurred at Lembaga Kita since the baseline:

1. A more visible organization through the implementation of the community assistance model [1].
2. Greater recognition amongst stakeholders through the systematic production of documentation [2].



A more visible organization through the implementation of the community assistance model [1].

First of all, Lembaga Kita is now more visible with a more accepted community assistance model that has been put in to place since 2013 [1]. The community assistance model allowed staff to place themselves as so called partners in the communities they were serving, and provided a way to be closer to beneficiaries whilst performing informal activities. This greatly increased trust by the community in Lembaga Kita [3].

The overall increase in trust came about from an overall increase in satisfaction about Lembaga Kita's services to the beneficiaries [4] on the one hand, as well a greater sense of ownership and participation within program activities by the communities and beneficiaries [7].

Beneficiaries were overall more satisfied due to an overall increase in staff working performance [5] as well as the speed with which the organization responded to beneficiary concerns and requests [6]. Both factors will be explained below in more detail.

First, the increase in work performance can be explained by the organization achieving better outputs [8] through staff increasingly sharing their workload with each other and cooperating [10]. This in turn was enabled by the recruitment of two new staff members [12], and an overall change in organization structure [14], which was the result of a broader change in organizational management [17].

Prior to the baseline in 2012, most of the volunteers in Lembaga Kita were government officers (*Pegawai Negeri Sipil*) who had very limited time for field implementation. After that, the organization recruited two more staff. Apart from the staff additions, revisions in the organizational structure included the splitting into Steering Committee (SC) and Operational Committee (OC). The intention of this action was to achieve better coordination and communication, faster field response, and clearer job distribution. In the same year, the organization added one more target village to a total of three supported villages right now.

Greater recognition amongst stakeholders through the systematic production of documentation [2].

Secondly, the overall speed with which staff members responded to beneficiary requests increased by a change in the incentive system for staff [13], as well as the establishment of new field offices [9], which addressed the need to have staff members to be closer to the community in the field during their work activities [11]. Changes to the incentive system [13] included payment of transportation to staff on a monthly basis, and ultimately into a stand-alone transportation fund. This allowed staff to travel more freely and quicker to beneficiaries and stakeholders in the field.

Both the need to be closer to the community whilst carrying out activities as well as the overall changes in organizational management sprung from Lembaga Kita's objective to change their organizational profile from low to more moderate and public [19], which was one of the conclusions drawn by Lembaga Kita based on the results from the MFSII organisational capacity development (5c) baseline assessment that was carried out in 2012 [20].

The second factor which greatly impacted the increased trust in the organization was the increase of community participation in the programming of activities and the activities themselves [7]. Communities and other beneficiaries more readily accepted to participate due to an increase in trust in the organisation [16] resulting from the changes made in the community assistance model. Previously, they were more focused on program delivery and still had less attention to community engagement. As a result, community seen Lembaga Kita as "donor" instead of empowering community. After the baseline, they changed the strategy to more strengthened the community engagement by having more interaction with community. Current approach has resulted in the more positive image of the organisation to community [18]. The reason to set up this model was also a conclusion drawn by Lembaga Kita on the basis of the MFS II organisational capacity development (5c) baseline results in 2012 [20].

Finally, stakeholders indicated that Lembaga Kita has paid considerable attention to the practice of documentation of data and activities [2]. This development was already recognized during the baseline MFS II 5c evaluation, but was significantly improved over the last two years [15] as part of the changes and professionalization in organizational management [17] or example a documentary film

was made about sustainable waste management. The documentary has been used as learning material for local communities and beneficiaries.

5 Discussion and conclusion

5.1 Methodological issues

General: Applied to all or most SPOs

With regard to the methodology, Indonesia has made some data collection adjustment based on the context. The first adjustment was related to the type of instrument used. To assess the organizational capacity, the study has provided self-assessment, observation and interview sheets. These all were used during the baseline with all SPOs. During the end line the team used self-assessment, interview and observation sheets. However the evaluator applied interview sheets as self-assessment—where participants were asked to fill these sheets by themselves. For the participants who did not attend the workshop, the interviews were done separately using the interview sheet and the results from the interview were included in the subgroup interview sheet that was already filled by the staff member. Were combined into the relevant sub categories in the interview sheet. Interview sheets were also applied for interviews with the CFAs, partners and consultants.

The baseline study showed that having two similar instruments (self assessments, and interview sheets) did not have any effect in relation to obtaining adequate and quality data.

To have some clarification post visit to all SPOs, the evaluator used email and phone interviews.

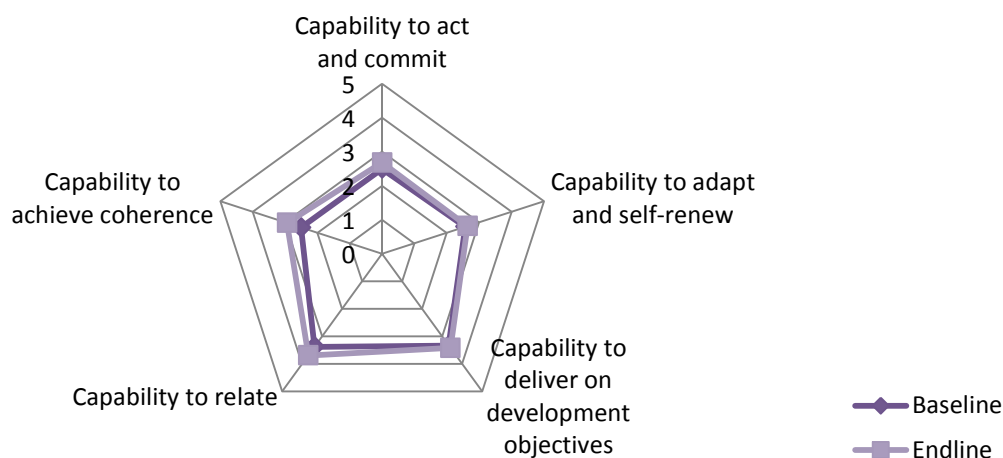
Lembaga Kita

The staff involved in the endline process were 2 management, 1 coordinator program, 1 finance and administration, 1 field staff. The interview sheet was sent prior to the workshop, however only one was returned. The rest of the interview sheets were filled in by staff during the endline field visit. The endline workshop started with completing the self-assessment sheets, and this was followed by the development of the general causal map which looked at organisational capacity changes in the organisation since the baseline, and as perceived by the SPO. The discussion was organized in the evening due to staff availability. The interview views with partners, consultants and M&E staff were not conducted. The SPO indicated that they do not have any long-term partner and consultant, which intensively and formally works with them. The organization only set up an ad hoc partnership such as when they organized seminars or workshops, but there is no partnership on a long-term basis, where partners also get to know the SPO very well. Furthermore, the organization' role is mostly to facilitate the targeted area to get the particular experts as a resource person. There was also no interview with M&E staff as this function is non-existing in the organization. One of the significant people who attended the baseline—the Coordinator of Lembaga Kita, could not be involved during the end line workshop as she was in the Netherlands during the time of the field visits. However, the information collected was still adequate, as her role was replaced by the present Program Manager during the data collection.

5.2 Changes in organisational capacity development

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

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



Whilst changes took place in all of the five core capabilities, the most improvements to place in Lembaga Kita's (LK) capability to achieve coherence. Below the changes in each of the capabilities are further explained, by referring to the specific indicators that changed.

Over the last two years a slight improvement took place in the capability to act and commit. The organizational structure of the organization improved with the addition of a new Steering Committee (SC) and Organization Committee (OC). The steering committee focuses on the management of Lembaga Kita and the Organization Committee is more focused on program implementation. Training opportunities also improved with the addition of training on human trafficking by IOM and training in PME by Mensen met een Missie.

The capability to adapt and self renew has improved slightly in terms of freedom for ideas. Critical feedback can be shared comfortably without fear, whilst keeping conversations light and positive. The system to track the environment improved very slightly as Lembaga Kita has made an extra effort to gather stakeholders in villages to thoroughly assess their situations.

In the capability to deliver on development objectives a slight improvement occurred. In terms of delivering on planned outputs for example, Lembaga Kita has started to reap the rewards from their intensive door to door policy to gain trust from local communities in their output planning.

The capability to relate has improved slightly as well. A very slight improvement was found in terms of engagement with target groups due to an increase in frequency in meeting beneficiaries of up to sometimes 2-3 times a week. An improvement also took place in the relationships within the organization. With moving to a new office, staff members feel more at ease and feel encouraged to talk openly, share and provide feedback whenever needed.

Lastly the greatest improvements occurred in the capability to achieve coherence. With respect to revisiting the vision and mission, Lembaga Kita's focus has broadened. The organisation does not only focus on violence based on gender but now also includes anti-trafficking. This shift in focus was brought about from results during the baseline workshop where they realized that they have a choice on what issues are of their concern. Also, operational guidelines have improved slightly due to an increasing awareness of the organization to have better technical and operational guidelines. Since the restructuring of the organization, job and task descriptions have been specified and made clearer and are now documented, but not yet developed in the standard operating procedures. A very slight improvement also occurred in mutually supportive efforts. Lembaga Kita attempts to go beyond solving the problem on its own. For instance, they don't just warn communities for the dangers of

trafficking, but also attempt to remove the reasons why people sometimes fall victim to it. They try to give them good opportunities in life.

General organisational capacity changes related to MFS II Interventions

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 provided by the evaluation team. Please note that this information is based only on the information provided by Lembaga Kita's staff during the endline workshop, but no validation of this information has been done like with the process tracing causal maps. For details in relation to attribution, we refer to the next section (5.3).

During the endline workshop some key organisational capacity changes were brought up by Lembaga Kita staff, these have been captured in the general causal map in 4.2.2: a more visible organization through the implementation of the community assistance model; and greater recognition amongst stakeholders through the systematic production of documentation. Lembaga Kita staff experienced these as the most important capacity changes in the organisation since the baseline.

The organization becoming more visible with the more accepted community assistance model can be attributed to the increased trust in the organization. This was enabled by the beneficiaries being more satisfied with better services provided, which was the result of better staff working performance and a quicker response to beneficiaries' concerns.

Increased staff working performance can be attributed to the change in the incentive system, better outputs achieved and increased community participation in the programming. The incentive system for staff was changed as a result of a change in organizational management. Better outputs achieved resulted from sharing the workload amongst staff members, which was enabled by recruiting two new staff members. This was possible through the change in the incentive system on the one hand and the change in organisation structure on the other. According to SPO staff, both factors can be attributed to the change in organizational management, which resulted from a shift in strategy for the organization to change from a low into a moderate profile, which was one of the conclusions drawn from the MFS II sponsored capacity scan that Mensen met een Missie carried out after the external MFS II baseline took place. The third factor that SPO staff mentioned as contributing to better staff working performance is the increased community participation in programming, which resulted from an increase in trust amongst beneficiaries and the community in Lembaga Kita. This can be attributed to the change in the community assistance model, in which Lembaga Kita changed from a more donor centric role to an involved and interactive organization. This too can be partly attributed to the MFS II sponsored capacity scan that Mensen met een Missie carried out after the external MFS II baseline took place.

Lembaga Kita has become more recognized by stakeholders through the production of documentation as a result of better documentation of data. This initiative can be attributed to the change in organizational management that took place.

In conclusion, various changes were indicated by the SPO that can be linked to one of the MFS II capacity development interventions by MM, namely the organizational capacity scan that took place after the external MFS II baseline in 2012. The CFA has also indicated that other capacity development interventions took place, including several trainings. However, these were not mentioned and included in the general key changes causal map by the SPO due to a lack of specification of this causal map, since this was on the purpose of this assessment. Lembaga Kita has not been selected for process tracing, which would have provided more detailed information. It must be noted that the information provided has not been validated through other sources of information, and therefore the conclusions must be understood in that respect.

References and Resources

Overall evaluation methodology

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Research documentation and resources received from CFA/SPO:

1. Project Proposal 2012.docx
 2. Budget Proposal 2012.xls
 3. Beoordelingsmemo 2012.doc
 4. Reflections on proposal 2012 by MM.docx
 - 5a. Answers to questions.doc
 - 5b. Answers to questions.doc
 - 6a. Contract - Lembaga Kita agreement 1 PDF.pdf
 - 6b. Contract - Lembaga Kita agreement 2 PDF.pdf
 - 6c. Contract - Lembaga Kita agreement 3 PDF.pdf
 - 6d. Contract - Lembaga Kita agreement 4 PDF.pdf
 - 6e. Contract - Lembaga Kita agreement 5 PDF.pdf
 7. Extension of project period (until june 2014).msg
 8. 2012.10.01 Evaluation report incl. capacity scan.pdf
- Annex 1 - B 5C endline LG.pdf
- Annex 2 - B 5C endline LG - evaluation report complete PRIVATE.pdf
- Annex 3 - B 5C endline LG - Indonesia full report.pdf
- Annex 4 - B 5C endline LG - JPAI training.docx
- Annex 5 - B 5C endline LG - PCM training proposal.docx
- Annex A_5c endline_Indonesia_Lembaga Kita_Mensen met een Missie_DEF.docx
- Annex B_5C endline_support to capacity development sheet_CFA perspective_Indonesia_Lembaga Kita_Mensen met een Missie_DEF.docx
- Bagaimana Jadi Fasilitator yg Menyenangkan.pptx
- CatatanPenting_BMP.ppt
- CatpenG_HO_Pra.pptx
- Desa Layak Anak_Mund.ppt
- Endang.docx
- hak anak_PAPARAN MUNDAKIR.ppt
- handout fasilitator.rtf
- materi Buruh Migran-Perempuan.doc
- Prinsip-prinsip PRA.ppt
- Informasi Kualitatif_TD.docx
- Jadual dan Outline PRA_Altf_2.doc
- Jadual dan Outline PRA.doc
- Jadual dan Outline TOT.doc
- KEPENDUDUKAN DESA TEMPURAN DHUWUR.doc
- Kerangka Pra Desa Ramah BMP.doc
- Kerangka TOTPRA_TD.docx
- pedoman PRA_TD.doc
- POTENSI DESA.doc

report survei.docx

SIKLUS Program TD_KITA.docx

ToC Revisi.docx

Annex R_5c endline_observable indicators at SPO_Indoneisa_Lembaga Kita.docx

BAHASA-Annex L_5c endline interview guide_subgroup_management_selected indicators_Indonesia_Lembaga Kita.doc

BAHASA-Annex M_5c endline interview guide_subgroup_program staff_selected indicators_Indonesia_Lembaga Kita.rtf

BAHASA-Annex Q_5c endline observation sheet_Indonesia_Lembaga Kita.doc

BAHASA-Notulensi Workshop_Indonesia_Lembaga Kita.docx

List of Respondents

People Present at the Workshops

Date:	5-6 September 2014		Organisation: Lembaga Kita	
NAME	ROLE IN THE ORGANISATION	DURATION OF SERVICE	PHONE	E-MAIL
Management				
Maria Susiawati	Coordinator	7 years	081327030888	mariasusiawati@yahoo.com
Fransiska Dwi Wijayanto	Secretary	2 years	081327008322	fransiska-pmy@hotmail.com
Program/ Project staff				
Rumiyati	Program Coordinator	6 years	087834072183	Rayap12@yahoo.com
Admin/ HR/Finance staff				
Eka Munfarida Irfiyani	Administration and Finance			
Field staff staff				
Rini Wulandari	Field Staff			

List of People Interviewed

Date:	5-6 September 2014		Organisation: Lembaga Kita	
NAME	ROLE IN THE ORGANISATION	DURATION OF SERVICE	PHONE	E-MAIL
Management				
Maria Susiawati	Program Coordinator	7 years	081327030888	mariasusiawati@yahoo.com
Sr. Fransiska Dwi Wijayanto	Secretary	2 years	081327008322	fransiska-pmy@hotmail.com
Program/ Project staff				
Rumiyati	Program Coordinator	6 years	087834072183	Rayap12@yahoo.com
Admin/ HR/Finance staff				
Eka Munfarida Irfiyani	Administration and Finance			
Field staff staff				
RiniWulandari	Field Staff			

Appendix 1 Methodological approach & reflection

1. Introduction

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

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

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

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

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

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

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

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

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

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

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

The description of indicators for the baseline in 2012 served as the basis for comparison during the endline in 2014. In practice this meant that largely the same categories of respondents (preferably the same respondents as during the baseline) were requested to review the descriptions per indicator and indicate whether and how the endline situation (2014) is different from the described situation in 2012.²⁷ 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.

²⁷

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*

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

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

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

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

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

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

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

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

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

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

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

In terms of the attribution question (2), 'process tracing' is used. This is a theory-based approach that has been applied to a selected number of SPOs since it is a very intensive and costly methodology, although it provides rich information and can generate a lot of learning within the organisations. Key organisational capacity changes/ outcomes of the SPO were identified, based on their relationship to the two selected capabilities, the capability to act and commit the capability to adapt and self-renew,

and an expected relationship with CFA supported capacity development interventions (MFS II funding). It was agreed to focus on these two capabilities, since these are the most targeted capabilities by the CFAs, as established during the baseline process. The box below provides some background information on process tracing.

Background information on process tracing

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

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

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

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

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

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

particular outcome/ organisational capacity change. Below selection of SPOs for process tracing as well as the different steps involved for process tracing in the selected SPOs, are further explained.

Selection of SPOs for 5C process tracing

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

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

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

ETHIOPIA

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

Table 1

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

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

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

Source: country baseline report, Ethiopia.

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

Table 2

SPOs selected for process tracing – Ethiopia

Ethiopia – SPOs	End of contract	Focus on capability to act and commit – by SPO	Focus on capability to act and commit – by CFA	Focus on capability to adapt and self-renew – by SPO	Focus on capability to adapt and self-renew – by CFA	CFA	Selected for process tracing
AMREF	Dec 2015	Yes	Yes	Yes	Yes	AMREF NL	Yes
CARE	Dec 31, 2015	Partly	Yes	Yes	Yes – slightly	CARE Netherlands	No - not fully matching
ECFA	Jan 2015	Yes	Yes	Yes	Yes	Child Helpline International	Yes
FSCE	Dec 2015	Yes	Yes	Yes	Yes	Stichting Kinderpostzegels Netherlands (SKN); Note: no info from Defence for Children – ECPAT Netherlands	Yes
HOA-REC	Sustainable Energy project (ICCO Alliance): 2014 Innovative WASH (WASH Alliance): Dec 2015	Yes	Yes	Yes	Yes - slightly	ICCO	No - not fully matching
HUNDEE	Dec 2014	Yes	Yes	Yes	Yes	ICCO & IICD	Yes
NVEA	Dec 2015 (both)	Yes	Yes	Yes	Yes	Edukans Foundation (under two consortia); Stichting Kinderpostzegels Netherlands (SKN)	Suitable but SKN already involved for process tracing FSCE
OSRA	C4C Alliance project (farmers marketing): December 2014 ICCO Alliance project (zero grazing): 2014 (2 nd 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 – India²⁸

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

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

Source: country baseline report, India.

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

Table 4

SPOs selected for process tracing – India

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

²⁸ RGVN, NEDSF and Women's Rights Forum (WRF) could not be reached timely during the baseline due to security reasons. WRF could not be reached at all. Therefore these SPOs are not included in Table 1.

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

INDONESIA

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

Table 5

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

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

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

Source: country baseline report, Indonesia.

The table below describes when the contract with the SPO is to be ended and whether both SPO and the CFA expect to focus on these two selected capabilities (MFS II funding). Based on the above-

mentioned selection criteria the following SPOs are selected for process tracing: ASB, ECPAT, PT.PPMA, YPI, YRBI.

Table 6

SPOs selected for process tracing – Indonesia

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

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

LIBERIA

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

Table 7

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

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

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

Source: country baseline report, Liberia.

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

Table 8

SPOs selected for process tracing – Liberia

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

Key steps in process tracing for the 5C study

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

Key steps in process tracing for the 5C study

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

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

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

- A **detailed causal map** (or **model of change**) = the representation of all possible explanations – causal pathways for a change/ outcome. These pathways are that of the intervention, rival pathways and pathways that combine parts of the intervention pathway with that of others. This also depicts the reciprocity of various events influencing each other and impacting the overall change.
- A **causal mechanism** = is the combination of parts that ultimately explains an outcome. Each part of the mechanism is an individually insufficient but necessary factor in a whole mechanism, which together produce the outcome (Beach and Pedersen, 2013, p. 176).
- **Part** or **cause** = one actor with its attributes carrying out activities/ producing outputs that lead to change in other parts. The final part or cause is the change/ outcome.
- **Attributes of the actor** = specificities of the actor that increase his chance to introduce change or not such as its position in its institutional environment.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

A model of change of good quality includes:

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

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

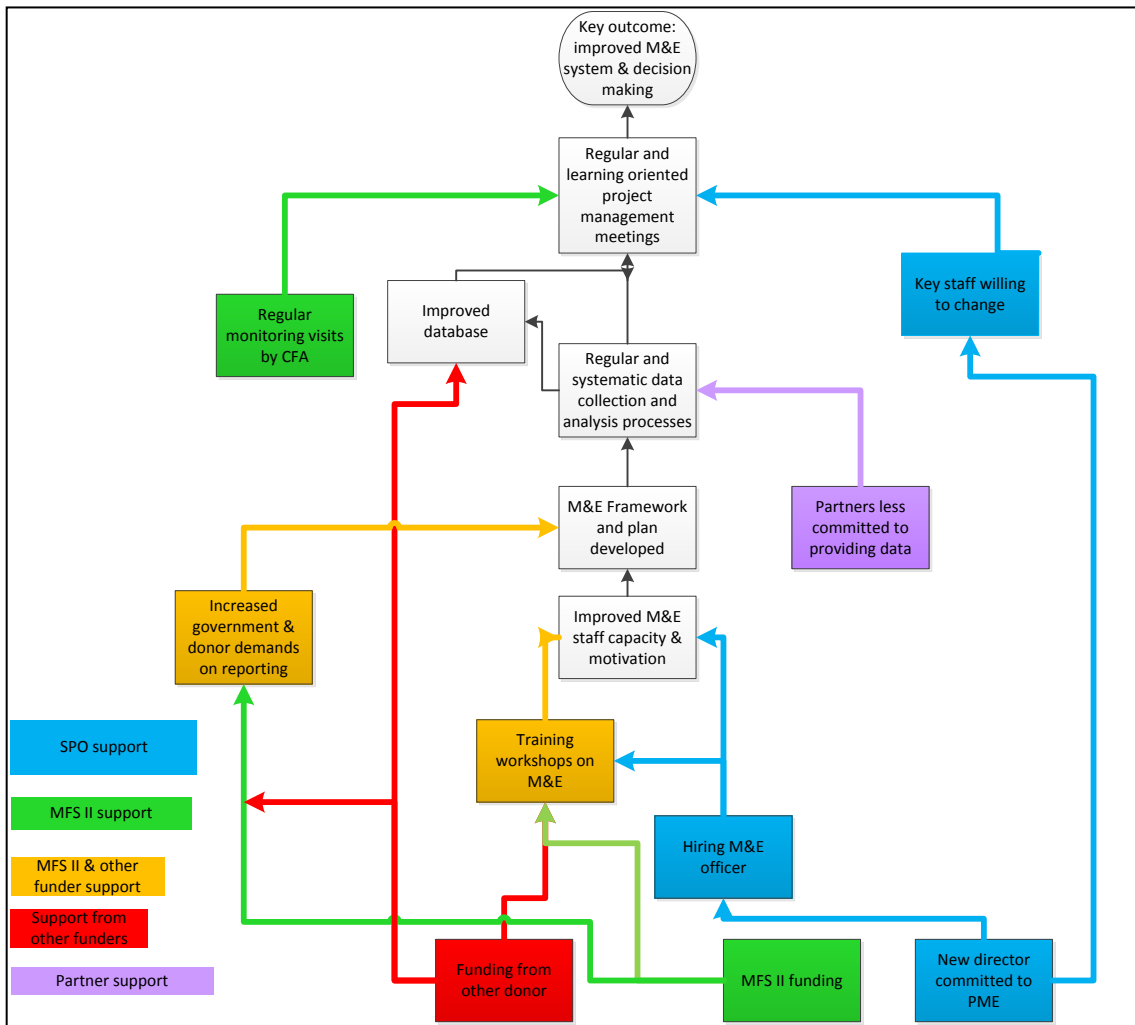


Figure 1 An imaginary example of a model of change

*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

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

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

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

4. Explaining factors – evaluation question 4

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

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

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

5. Methodological reflection

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

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

provided rich information for the SPOs and CFAs, and many have indicated this was a useful learning exercise.

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

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

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

A few remarks need to be made:

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

crucial. Also attrition and change in key organisational positions can contribute considerably to the outcome.

Utilisation of the evaluation

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

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

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

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

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

5C Endline process, and in particular thoroughness of process tracing often appreciated as learning process: The SPO perspective has also brought to light a new experience and technique of self-assessment and self-corrective measures for managers. Most SPOs whether part of process tracing or

not, deeply appreciated the thoroughness of the methodology and its ability to capture details with robust connectivity. This is a matter of satisfaction and learning for both evaluators and SPOs. Having a process whereby SPO staff were very much engaged in the process of self-assessment and reflection has proven for many to be a learning experience for many, and therefore have enhanced utility of the 5C evaluation.

Appendix 2 Background information on the five core capabilities framework

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

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

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

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

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

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

Competencies are the energies, skills and abilities of individuals.

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

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

In order to have a common framework for evaluation, the five capabilities have been reformulated in outcome domains and for each outcome domain performance indicators have been developed. A detailed overview of capabilities with outcome domains and indicators is attached in Appendix 3.

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

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

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

Description of Endline Indicators Lembaga Kita

Capability to act and commit

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

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

Leadership of Lembaga Kita has remained largely unchanged since the baseline in 2012. The same sisters remain in charge. Within the congregation Sr. Fransiska has now been appointed as one of the program officers for Lembaga Kita. She works very well together with the Lembaga Kita team. The newly established steering committee serves as the decision making body for day to day work as well as long term strategies. The leadership Maria and Sr. Patricia have a good working relation and this also has positive effects on the team. Despite the formation of a new steering team, leadership responsiveness remains the same.

Score: From 3.5 to 3.5 (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

Lembaga Kita is still in the same situation as it was during the baseline evaluation. Strategic guidance is developed together through meetings, not solely by the leaders. Both leaders (strategic and operational) are involved in the development of strategic guidance together with the other staff members. At the level of beneficiaries, strategic and technical guidance remains to be provided by the relevant field staff. Lembaga Kita has a new organizational structure which consists of a Steering Committee (SC) and Organization Committee (OC). The SC focuses on the management of Lembaga Kita and the OC is more focused on program implementation. The additions of these new organizational entities have allowed the organization to pivot their priorities and goals. For instance, Lembaga Kita has made a conscious effort to become more visible in public by adopting a more moderate stance and profile. Additionally, their focus on operations has shifted from an exclusive focus on violence based on gender, to include more anti-trafficking related work. Both these shifts were prepared and facilitated by the new committees in place.

Score: From 3 to 3 (no change)

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

This is about staff turnover.

Lembaga Kita's situation with regards to staff turnover remains unchanged compared to the baseline. The organization had a relatively steady number of staff members. There is a higher turnover in volunteers and partner staff, as their involvement depends on the requirements in the on-going programs. Lembaga Kita remains very selective in recruiting new members, expecting that they are loyal and dedicated. Not all interested applicants and volunteers are accepted. Currently two volunteers have become staff members due to the need of the organization.

Score: From 3 to 3 (no change)

1.4 .Organisational structure 'Existence of clear organization structure reflecting the objectives of the organization'

Observable indicator: Staffs have copy of org. structure and understand this

Lembaga Kita has a new organizational structure which consists of a Steering Committee (SC) and Organization Committee (OC). The SC focuses on the management of Lembaga Kita and the OC is more focused on program implementation. Both institutions understand their place and function in the organization and act accordingly.

Score: From 3 to 4 (improvement)

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

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

The end line showed the same quality of this indicator as compared to the baseline. Lembaga Kita still does not have clear documentation of their strategic planning, although there are well defined mechanisms and assessment systems in place and applied in the formulation and implementation of projects. Although the basis for the development of strategies, monitoring and evaluation are there, none of it is articulated, specified or documented. Lembaga Kita does not have a written vision, mission or strategy on paper. They use the baseline as a strategic plan and reference for the organization. They have worked this out in a Theory of Change and this serves as their strategic guideline. They've been through a process of discussions about the strategy. First they wanted to fix the organizational structure, then evaluate their programs in the past and then develop a strategic plan. However, relevant the staff members and leadership do talk about the future direction of the organization with regards to staffing, resource mobilization and their programmatic area.

Score: From 2.5 to 2.5 (no change)

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

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

Lembaga Kita is still in the same situation as it was during the baseline evaluation. Lembaga Kita does not have any documentation of their strategic planning for 5 years but has an annual planning. However, when relevant they do talk about the future direction of the organization with regards to staffing, resource mobilization and their programmatic area. The day to day operations are based on the approved work plan for the project. They are able to work in accordance with this work plan but a strategic plan is missing. Most activities are in line with it, with some minor adjustments made based on the context. For example, the time to deliver the result can be delayed.

Score: From 2 to 2 (No change)

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

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

Staff remains dedicated, motivated and very knowledgeable in their field. Each of the staff members has a particular expertise that has contributed to the work of the organization. The staff interviews show that they are confident to perform their tasks. There is still no system in place for staff training, which reinforces the need to pay close attention for learning opportunities outside of the organization. The staff is aware that , they need capacity building to improve their skills, for example project management skills, paralegal training to assist victims of trafficking, and skills on anti-trafficking. Since the baseline in 2012, they have been trained in human trafficking funded by IOM, and PME training funded by Mensen met een Missie (MFS II).

The coordinator has good leadership skills, the finance officer and field staff are also skilled but they still feel the need for one English speaking staff member. Also they observe many issues and cases related to women's rights and they help case by case, but feel that they should document these observations, but they do not know how and exactly for what purpose.

Score: From 3.5 to 3.5 (no change)

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

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

Partially due to the observations in the baseline for the need of additional training opportunities and the need for capacity building, this indicator has improved over the last two years. Training on human trafficking by IOM and training in PME by Mensen met eenMissie has been organized. Since some staff work on a voluntary basis and also work with other organizations (such as in the government, Women's Network etc) opportunities for training may arise in those organizations.

Score: From 1 to 2 (improvement)

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

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

There is no change in the achievement against this indicator. Staffs are still motivated to work for Lembaga Kita mainly due to their passion to the work and sharing the values of the organization. The other reason is the flexibility at work, as the organization does not apply office hours and has no physical office, which allows people to work for other organizations. Staff works mainly on a voluntary basis. For the volunteers, the benefits lie in "learning by doing" during project implementation. There are no financial incentives for volunteers. From July 2014 onwards, 4 of the staff members will get some financial compensation. Until now, they worked because of the social engagement (heart and spirit). The activity related costs have been reimbursed.

Score: From 3 to 3 (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.

Lembaga Kita is still in the same situation with the last baseline. Lembaga Kita does not have a solid donor base. To date Mensen met eenMissie is the only donor. They are aware that in the future they should consider fundraising with other organizations but still, there is no effort to look for other resources.

Score: From 2 to 2 (no change)

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.

Lembaga Kita is still in the same situation with the last baseline. There are no clear procedures for exploring new funding opportunities. The only funding they have is from Mensen met eenMissie. Previously Sr. Antonie, now Sr. Patricia, is the main person who deals with donors, including preparing the paper works, while other staff members have less understanding about it.

Score: From 1 to 1 (no change)

Summary Capability to act and commit

The leadership within the organization changed from Sister Antonie to Sister Patricia, and Ms. Maria Susiawati, the chairperson. Sister Patricia is the new provincial in Wonosobo therefore; she automatically takes the leadership in the organization. With the addition of two committees (Steering committee and Organization committee) overseeing the activities of the organization, a change in focus and visibility were enabled. Strategic guidance is developed together through cooperative meetings with staff, and not solely by the leaders. Both leaders (strategic and operational) are involved in the development of strategic guidance. In the last four years the organization had a relatively steady number of staff members. They started with four persons and two volunteers joined as field staff. Staff is dedicated, motivated and very knowledgeable in their field. Each of the staff members has a particular expertise that has contributed to the work of the organization. Currently, there are two trainings that have been organized since the baseline; training in human trafficking by IOM and the other training in PME in 2014 by MM. Staffs are motivated to work for Lembaga Kita

mainly due to their passion to the work and sharing the values of the organization. Lembaga Kita does not have a solid donor base. To date Mensen met een Missie is the only donor. There are no clear procedures for exploring new funding opportunities.

Score: From 2.5 to 2.7 (very slight improvement)

Capability to adapt and self-renew

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

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

M&E application in Lembaga Kita has remained the same since the baseline evaluation. Practices are not documented, which makes it very difficult to evaluate the impact of specific activities and other data collection that took place. The organization applies some evaluation at the project level, but most of this done non-systematically and without recording of results and practices. Staff has indicated that it is aware of the need for an M&E system and has followed PME training in May 2014. The results of this training and intentions to develop a proper system could not yet be seen at the date of publishing of this report.

Score: From 2 to 2 (no change)

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

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

Staff and volunteers of Lembaga Kita continue to have the capability to conduct monitoring and evaluation in a very basic manner. M&E is conducted through focus group discussions with the beneficiaries as well as direct informal discussions with the village leaders. Staffs are equipped with skills and knowledge on the Participatory Rural Appraisal prior to the implementation of the program but some stated that they still need capacity building related to the M&E skill.

Score: From 2 to 2 (no change)

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.

Due to the lack of development of new M&E systems and processes, nothing has changed with respect to the application of outcomes to adapt future strategies. Staff indicates that M&E findings are used for future strategies, but there is no M&E system in place and the strategic plan is missing so in fact it is not possible to do this effectively. There is a clear intention to develop an M&E system in the near future, but no concrete steps have been taken to achieve this as of yet.

Score: From 2 to 2 (no change)

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

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

Lembaga Kita has continued to hold meetings on a monthly and annual basis.. Now that the project staff and the sisters live more closely to each other, such meetings can be organized more frequently. Critical and strategic reflection was emphasized more, due to the outcomes of the baseline study. As the strategic plan and an M&E system are still missing, critical reflection is not done systematically nor strategically.

Score: From 2 to 2 (no change)

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

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

Staff members are continued to be welcomed to come up with ideas, as well as to collectively set up agreements on which ideas are to be implemented in the field. They are able to express their ideas, feelings and concerns openly. This situation was also observed during the workshop for the baseline, where all staff equally expressed their ideas without any domination from both leaders. Ms. Rumi and Sr. Fransiska can both share critical feedback while keeping conversation light and positive. They both expressed that they feel totally free to express this throughout the organization. Creative ideas are very welcome and communication in Lembaga Kita is considered very strong.

Score: From 4 to 4.5 (slight improvement)

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

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

A strong asset of Lembaga Kita continues to be its use of Participatory Rural Appraisal as a mechanism to design the projects in the villages. With this, the local context is reflected in the planning of the organization. Lembaga Kita has very close connections with their target groups and this also makes them aware of what is happening in their environment. Lembaga Kita has made an extra effort to gather stakeholders in a village (both from formal structures as well as from informal structures) and thoroughly analyses the situation. In other villages they organized meetings with the direct target group with strongly using informal information sessions i.e going door to door and meeting people face to face in addition to community meeting. Despite these very practical and hands-on methods, there is still no formal system in place to follow trends and developments.

Score: From 3 to 3.25 (very slight improvement)

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

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

Lembaga Kita remains focused and tuned in to the needs of their beneficiaries. They act on the needs they observe in the villages where they work. They are well connected and offer solutions. To get input from other stakeholders they rely on the networks that staff members already have, and do so through informal conversations rather than a structured way of data collection. Lembaga Kita has developed a process and method which allows participation from community, program beneficiaries and also partner institutions, starting from the program design, implementation, monitoring and reporting. It remains unclear whether this process has been implemented due to the lack of supporting documentation. They have informal conversations with local authorities to tune activities. They also communicate the needs of their target group to the government. Lembaga Kita has very close connections with their target groups and this also makes them aware of what is happening in their environment.

Score: From 3 to 3 (no change)

Capability to adapt and self-renew

There is no formal M&E system in place. The organization looks only at the project level in terms of monitoring and evaluation of activities. In some proposals, it is mentioned that they have a regular meetings to discuss the progress of the project and how it will be improved together with the beneficiaries. Staff and volunteers of Lembaga Kita have the competences to conduct monitoring and evaluation in a very basic manner. M&E is conducted through focus group discussions with the beneficiaries as well as direct informal discussions with the village leaders. Staff indicates that M&E findings are used for future strategies, but there is no M&E system in place and the strategic plan is missing. Evidence in the form of documentation to support these claims could not be found. Lembaga

Kita has several meetings on a monthly and annual basis. In these meetings, staff, volunteers and beneficiaries are gathered to discuss relevant issues. Since Lembaga Kita has an office, now the project staff and the sisters live more closely to each other and this assists in having frequent meetings. They are able to express their ideas, feelings and concerns openly. Lembaga Kita has very close connections with their target groups and this also makes them aware of what is happening in their surroundings and project areas, although a systematic way of tracking their environment is still missing.

Score: From 2.6 to 2.6 (no change)

Capability to deliver on development objectives

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

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

As Mensen met een Missie remains the sole donor of Lembaga Kita, the operational plans are still based on the project proposal, and have not changed over the last two years. There is a budget and operational plan available that covers the basic necessities to run the program. The operational plan is reported annually to the donor. Currently, strategies are developed during staff meetings and changes are discussed with everyone to ensure that everybody clearly understands their relation to operational activities

Score: From 3.5 to 3.5 (no change)

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

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

Lembaga Kita remains cost-effective in the use of their resources. Budgets are realistic and well understood by staff and leadership. They work locally and also with local people so they do not have high expenses. They allocate most of the funds to the program, using local standard cost while other expenses are covered individually/collectively. Between 2012 and 2013, they did not use the budget but the program has been implemented well nonetheless. It is due to higher community involvement than before so that some program implementation does not need any financial cost as it is covered by community voluntarily. Currently, there are some changes in staffs' composition; some volunteers have become permanent staff members who have increased operational costs, but overall their cost is still warranted through more effective output of the staff members in their new roles.

Score: From 4.5 to 4.5 (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.

Lembaga Kita continues to deliver results, although it struggles with their documentation, monitoring and evaluation. Late transfer of funds delays the process of implementation. Planning is not done well, although planned activities are said to be implemented. To really contribute to sustainable changes takes a long time. To gain trust in the communities is a long process. They go door to door and bring food, but no money. This does not always necessarily open the doors, and developing trusts takes time. Now however, these investments have paid up and the relationship with the target villages is very good. Lembaga Kita gain stronger trust and participation from community.

Score: From 3.5 to 4 (improvement)

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

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

The end line showed the same quality as the baseline. Lembaga Kita's strength remains their presence at the grass roots level and working very close together with the beneficiaries. Lembaga Kita undertakes participatory rural appraisal and this is the basis for their planning. To ensure the feedback from the community, they organize monitoring. They carry out monitoring through interviews with the

village facilitator or discussions with the beneficiaries directly. They also have strong relationships with the village leaders who directly inform them on the progress of the project. However, apart from the PRA there is no systematic M&E in place although there is an intention to begin to arrange such a system.

Score: From 3.5 to 3.5 (no change)

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

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

The organization conducts M&E at a very basic and undocumented level. They mainly look at budget expenditure and compare this with what is planned. A formal system to link outputs to inputs is still missing.

Score: From 2 to 2 (no change)

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

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

The organization has continued the quality of their work through the monitoring of the situation in the field, and by engaging competent staff and volunteers. Another significant factor that enhances the quality of their work is the interpersonal relationships and personal commitment to the work.

Score: From 3 to 3 (no change)

Summary of Capability to deliver on development objectives

The operational plans are based on the project proposal as funded by Mensen met een Missie. There is a budget and operational plan available that covers the basic necessities to run the program. The organization is realistic in their budgets and ensures that staff understands the costs involved, and hereby aims to use resources cost-effectively..This is further contributed to by the fact that they work locally and also with local people as to keep operational expenses low. Monitoring and evaluation remains subject to improvement, particularly to setting up a more systematic way to do so and as such there is no system in place to measure efficiency by relating inputs to outputs. Currently the organization mainly looks at budget expenditure and compares this with what was planned. The organization balances quality with efficiency by keeping costs low whilst delivering quality work through field monitoring, and engaging competent staff and volunteers, and by having good interpersonal relationships and personal commitment to the work. Whilst planned activities seem to be implemented long-term effects take time.

Score: From 3.3 to 3.4 (very slight improvement)

Capability to relate

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

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

The end line showed the same quality as the baseline. In their project location their network currently consists of village leaders, the labor department, the forest/environment office, other NGOs. Lembaga Kita is part of a network extending over the whole of Indonesia, including for example schools and hospitals where victims can be found. All Indonesian sister congregations are involved in this network. Lembaga Kita has sufficient capacity to relate to their stakeholders. The network is only local and not very large, but helps the organization in reaching its goals. The legitimacy of the objectives of the organization is very high, but the organization itself is not widely known to the public (although this is increasing). The organization forms a very good bridge between different religions and successfully strives to alleviate poverty and create economic opportunities. There is a large involvement of local volunteers and friends. The organization does not have any formal way to engage external groups in developing their policies and strategies.

Score: From 3 to 3 (no change)

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

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

There is no change in the achievement against this indicator. Engagements in networks remain the same at both the local and international level. At the local level cooperation with NGOs working on similar issues remains strong. Locally, they are linked to five prominent women's organizations which are the Women's Organization Association (GOW), The Association of Women's Struggle Wonosobo (Per3W), Indonesian Migrant Workers Association (SBMI) and Srikandi Women's Cooperative. More networks and alliances with other CSOs had been established, such as with SPPTQ Salatiga, Percik, Persepsi, Upipa, Wonosobo Youth Center (WYC). There is no schedule for meetings with network partners. They have a meeting if there are specific issues that need to be discussed. It is not complicated at all for Lembaga Kita to establish contact, because each member is also a member of another organization in the LK network. At the international level, all organizations in the Mensen met eenMissie network come together twice a year for discussions, trainings, etc.

Score: From 3 to 3 (no change)

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

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

There is a slightly improvement in this indicator. The organization works more closely together with the community. Their strength is their grassroots involvement. Meeting with the target groups are held more regularly. Previously the Village Facilitator visited the community, but currently field staff visited the community. They visit the target group more frequently; sometimes up to 2-3 times in a week. Beneficiaries are still strongly participating in the participatory rural appraisal that is used for planning activities. Over the past two years the organizations has shifted from a low profile position to a more moderate and visible profile through the implementation of the community assistance model. In this model staff members place themselves as partners within communities and perform both formal program related activities as well as informal and more ad-hoc activities to encourage trust among the beneficiaries.

Score: From 4.5 to 4.75 (very slight improvement)

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

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

There is an improvement in this indicator. Lembaga Kita has an office now. Since they have an office, communication within the organization has significantly improved and intensified. The staff members can talk openly and provide input and feedback to each other at any time.

Score: From 3 to 4 (improvement)

Summary of Capability to relate

Lembaga Kita is a small organization and is part of a network extending over the whole of Indonesia, including for example schools and hospitals where victims can be found. All Indonesian sister congregations are involved in this network. Lembaga Kita has sufficient capacity to relate to their stakeholders. It is not complicated at all for the organization to establish contact, because each member is also a member of another organization in the Lembaga Kita network. At the international level, all organizations in the Mensen met eenMissie network come together twice a year for discussions, trainings, etc. However, the organization does not have any formal way to engage external groups in developing their policies and strategies. The organization works closely together with the community, and has changed its stance from low profile to a more moderate and visible profile within the communities the organization serves. This has led to increased trust amongst beneficiaries. Their strength is their grassroots involvement in the organization now works closely with

the communities. Internal relations have improved through the establishment of a new office building in which staff can now regularly meet and freely communicate.

Score: from 3.4 to 3.7 (very slight improvement)

Capability to achieve coherence

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

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

There is an improvement in the achievement against this indicator. The organization has a mission and vision developed collectively with the staff in 2007. There is no detailed information on how the vision and mission were developed. Prior to 2007, the organization did not have a clear vision and mission. These were developed as a result of donor requirements. Within the last two years, the organization's focus has broadened and does not only focus on violence based on gender but now also includes anti-trafficking. This shift in focus was brought about from results during the baseline workshop where they realized that they have a choice on what issues are of their concern.

Score: From 2 to 3 (improvement)

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

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

Operational guidelines in terms of Human Resources, Administration and Finances are still missing at Lembaga Kita. Management continues to rely on guidance provided by the donors, such as for the financial report. There is an increasing awareness of the organization to have better technical and operational guidelines. However, since the restructuring of the organization, job and task descriptions have been specified and made clearer and documented, but not yet developed in the SOP, which results in a slight improvement of this indicator as compared to the baseline.

Score: From 1 to 1.5 (slight improvement)

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

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

The endline showed the same quality as the baseline. There is a large coherence between goals, aims, activities and available resources. However the strategic plan is missing. Because of the small size of the organization, procedures are not always formalized and remain undocumented which makes tracking very difficult.

Score: From 3.5 to 3.5 (no change)

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

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

They don't do different projects but do their work in different villages. In what they do there is a logical consistency aimed at the prevention of trafficking. They go beyond just warning people, but also try to take away the reasons why people sometimes fall victim to it. They try to give them good opportunities in life. Furthermore, the choice of the organization to become more visible in the communities they serve made staff members engage in informal activities to support their formal work and goals to increase trust amongst beneficiaries.

Score: From 3.5 to 3.75 (very slight improvement)

Summary Capability to achieve coherence

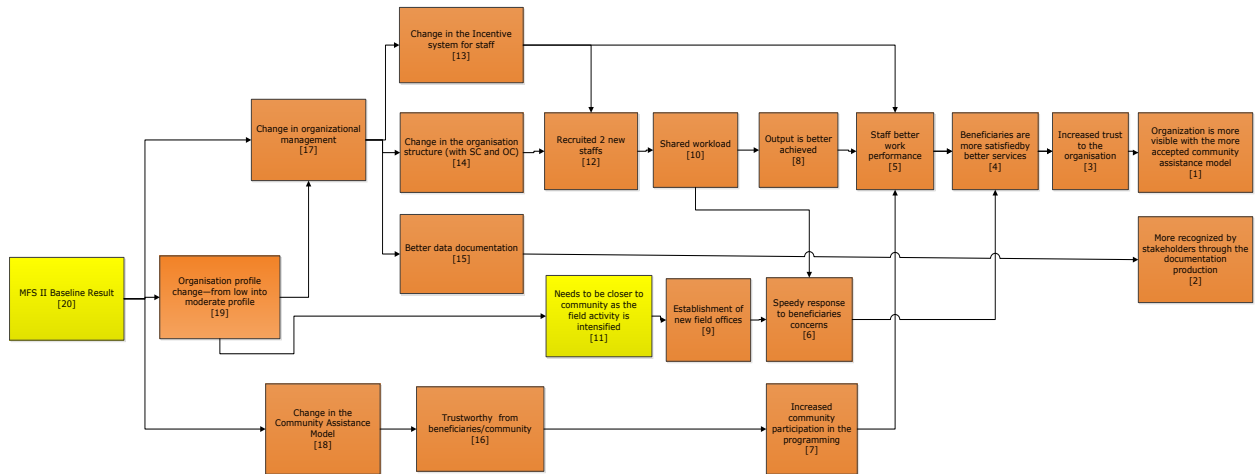
There is a very slight improvement in this capability. The organization has a mission and vision developed collectively with the staff in 2007. There is no detailed information on how the vision and mission were developed. Within the last two years, the organization's focus has broadened and does not only focus on violence based on gender but now also includes anti-trafficking. This change is based

on MFS II baseline 2012 results. There are no operational guidelines available in the organization in term of Human Resources, Administration and Finances, although job and work descriptions have been specified and made clearer. The management relies on guidance provided by the donors. There is a large coherence between goals, aims, activities and available resources, although there is no strategic plan in place and activities are based on the project proposal funded by MM. They don't do different projects but do their work in different villages. In what they do there is a logical consistency aimed at the prevention of trafficking, and their greater engagement within communities to raise the organization's profile has forced staff members to integrate with community activities that are not necessarily directly related to project or program activities.

Score: From 2.5 to 2.9 (slight improvement)

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

General Causal Map Lembaga Kita



During the end line workshop at Lembaga Kita, a discussion was held around what staff perceived as the key changes in in the organization since the baseline in 2012. This then led to a discussion on what were the key organizational capacity changes and why these changes have taken place according to staff present at the end line workshop. The discussion resulted in a 'general causal map' which is described below. The general causal map provides a comprehensive picture of organizational capacity changes that took place since the baseline, based on the perspective of SPO staff present at the end line workshop. The numbers in the narrative correspond with the numbers in the visual.

Two key organisational capacity changes have occurred at Lembaga Kita since the baseline:

3. A more visible organization through the implementation of the community assistance model [1].
4. Greater recognition amongst stakeholders through the systematic production of documentation [2].

A more visible organization through the implementation of the community assistance model [1].

First of all. Lembaga Kita is now more visible with a more accepted community assistance model that has been put in to place since 2013 [1]. The community assistance model allowed staff to place themselves as so called partners in the communities they were serving, and provided a way to be closer to beneficiaries whilst performing informal activities. This greatly increased trust by the community in Lembaga Kita [3].

The overall increase in trust came about from an overall increase in satisfaction about Lembaga Kita's services to the beneficiaries [4] on the one hand, as well a greater sense of ownership and participation within program activities by the communities and beneficiaries [7].

Beneficiaries were overall more satisfied due to an overall increase in staff working performance [5] as well as the speed with which the organization responded to beneficiary concerns and requests [6]. Both factors will be explained below in more detail.

First, the increase in work performance can be explained by the organization achieving better outputs [8] through staff increasingly sharing their workload with each other and cooperating [10]. This in turn was enabled by the recruitment of two new staff members [12], and an overall change in organization structure [14], which was the result of a broader change in organizational management [17].

Prior to the baseline in 2012, most of the volunteers in Lembaga Kita were government officers (*Pegawai Negeri Sipil*) who had very limited time for field implementation. After that, the organization recruited two more staff. Apart from the staff additions, revisions in the organizational structure included the splitting into Steering Committee (SC) and Operational Committee (OC). The intention of this action was to achieve better coordination and communication, faster field response, and clearer job distribution. In the same year, the organization added one more target village to a total of three supported villages right now.

Greater recognition amongst stakeholders through the systematic production of documentation [2].

Secondly, the overall speed with which staff members responded to beneficiary requests increased by a change in the incentive system for staff [13], as well as the establishment of new field offices [9], which addressed the need to have staff members to be closer to the community in the field during their work activities [11]. Changes to the incentive system [13] included payment of transportation to staff on a monthly basis, and ultimately into a stand-alone transportation fund. This allowed staff to travel more freely and quicker to beneficiaries and stakeholders in the field.

Both the need to be closer to the community whilst carrying out activities as well as the overall changes in organizational management sprung from Lembaga Kita's objective to change their organizational profile from low to more moderate and public [19], which was one of the conclusions drawn by Lembaga Kita based on the results from the MFSII organisational capacity development (5c) baseline assessment that was carried out in 2012 [20].

The second factor which greatly impacted the increased trust in the organization was the increase of community participation in the programming of activities and the activities themselves [7]. Communities and other beneficiaries more readily accepted to participate due to an increase in trust in the organisation [16] resulting from the changes made in the community assistance model. Previously, they were more focused on program delivery and still had less attention to community engagement. As a result, community seen Lembaga Kita as "donor" instead of empowering community. After the baseline, they changed the strategy to more strengthened the community engagement by having more interaction with community. Current approach has resulted in the more positive image of the organisation to community [18]. The reason to set up this model was also a conclusion drawn by Lembaga Kita on the basis of the MFS II organisational capacity development (5c) baseline results in 2012 [20].

Finally, stakeholders indicated that Lembaga Kita has paid considerable attention to the practice of documentation of data and activities [2]. This development was already recognized during the baseline MFS II 5c evaluation, but was significantly improved over the last two years [15] as part of the changes and professionalization in organizational management [17] or example a documentary film was made about sustainable waste management. The documentary has been used as learning material for local communities and beneficiaries.

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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.

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