Endline report – Indonesia, Institut Dayakologi MFS II country evaluations

Capacity of Southern Partner Organisations (5C) component

Cecile Kusters[1]
Martijn Wieriks[2]
Bekti Dwi Andari[3]
Novina Suprobo[3]
Widya Priyahita[3]
Rumenta R. Sihombing[3]
Seto W. Rokhmatulloh[3]
Ita Rosita[3]

1 Centre for Development Innovation, Wageningen UR
2 SEPAM Consultants Indonesia
3 SurveyMeter

Centre for Development Innovation
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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, Institut Dayakologi. 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 & 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.
ID	Institut Dayakologi
M&E	Monitoring and Evaluation
MFS	Dutch co-financing system
MIS	Management Information System
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
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: ECPAT 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, Institut Dayakologi has only seen changes in the capability to act and commit. A slight improvement occurred in this regard. This was particularly through a change in staff turnover as a result of several senior staff members resigning. New, younger staff was attracted to replace these functions, which resulted in overall lower costs of wages, more training opportunities and better communication between staff members and management. No further changes occurred in any of the other four capabilities.

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. During the endline workshop some key organisational capacity changes were brought up by Institut Dayakologi’s staff: improved secretarial coordination and support, improved staff morale, strengthened role as a networking hub for advocacy on Dayak communities and culture, increased executive team’s capacity to develop proposals, improved staff decision-making process, more qualified human resources.

According to the SPOs staff, MFS II funded capacity development interventions for program support have contributed to organizational capacity change in several ways, both directly and indirectly. The supported training interventions to increase staff capacity in the skills and capacity to document and spread information to the public has contributed significantly to inspiring the community to think back to the Dayak culture and indigenous customs, that has helped improve program implementation and achievements. On the other hand the continuous support of Cordaid in reconstruction by rebuilding the offices, infrastructure and office structure have helped in improving day to day operations of the secretariat, strengthened the role of Institut Dayakologi as a networking hub and improved staff morale, all leading to improved program implementation and achievements. Although the 5C indicators in the previous section don’t show great change for the organization, the general causal map highlighted that MFS II support has certainly contributed to strengthening the organizational capacity and laying the foundation for increased capacity to mobilize resources for operations and program management of Institut Dayakologi. However, 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.

2 General Information about the SPO – Name SPO

2.1 General information about the Southern Partner Organisation (SPO)

Country	Indonesia
Consortium	Communities of Change
Responsible Dutch NGO	Cordaid
Project (if applicable)	Information Centre of Dayak Culture
Southern partner organisation	Institut Dayakologi

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

The main feature outlining the context in which Institut Dayakologi operates is a historical struggle between traditional Indigenous' norms and values (in this case is the Dayak) and the modern ideas of what a society should look like. The Dayak people are originally from Borneo and live from farming and herding[1]. Very little has changed in the Dayak farming techniques throughout the years and it is not exceptional to find groups still living in the so-called longhouses (houses where about a hundred people live together- separated in apartments for each family)[2]. The Dayak have their own system of beliefs and ideas about how humans should live in harmony with each other and with nature. On the basis of these ideas the Dayak have been struggling to protect their peculiar way of living in face of fast urban and technological developments that have been taking place in Indonesia that increasingly demand Dayak territory for its further expansion.

The principles on which the Dayak base their lifestyle have been put in contrast with principles typical of modern societies. These principles are:

- "Sustainability (biodiversity) versus productivity (monoculture)
- Collective (cooperation) versus individuality (competition)
- Natural (organic) versus engineered (inorganic)
- Spirituality (rituality) versus rationality (scientific)
- Process (effectiveness) versus result (efficiency)
- Subsistence (domesticity) versus commerciality (market)

[1] Compost, A.(2012)*"Borneo People",* WWF- Available at: http://wwf.panda.org/what_we_do/where_we_work/borneo_forests/about_borneo_forests/people/ Accessed on 13.11.2012

[2] Compost, A.(2012)*"Borneo People",* WWF- Available at: http://wwf.panda.org/what_we_do/where_we_work/borneo_forests/about_borneo_forests/people/ Accessed on 13.11.2012

• Customary law (locality) versus state law (global)”3

John Bamba, the executive director of Institut Dayakologi, stresses that “failure to achieve these ideals is believed to result in barau (Jalai Dayak): a situation when nature fails to function normally and thus results in chaos. Barau is a result of Adat* transgression—a broken relationship with nature. “Poverty” for the Dayak is linked directly with failure to exercise the Adat that governs the way in which the people should live”[4]. As it is the case with other Indigenous peoples around the world, the Dayak people struggle for the right to self-determination. That is, to decide based on their own norms and values how to live their lives in their community, how to use their land and how to cultivate their animals.

The challenges in setting forth this struggle derive mainly from power differences. This means that although the Dayak are covered by the United Nation’s Declaration on the Rights of Indigenous Peoples (2007)[5], corporate and governmental actors still invade Dayak areas, resulting in the sometimes forceful expulsion of the areas’ inhabitants. These factors increase the pressure on and the difficulties for the Dayak to maintain and continue the communal, natural and traditional identity and life-style they have cultivated throughout their existence. Furthermore, urban and technological developments do not reach the Dayak in an inclusive way; rather, these groups grow marginalized in relation to the rest of the country[6]. A curious fact is that, despite the destruction of indigenous religions by European Christians, it has often been Christian missionaries (Roman Catholic) who have struggled to preserve the Dayak culture and religion[7].

Institut Dayakologi engages in the struggle for the right to self-determination and preservation of the Dayak culture. Through empowering the Dayak community with knowledge; advocating for the Dayak cause and enhancing peace in the community the Institut Dayakologi raises awareness in the community about the value and potential of the Dayak culture in contributing to humankind; in its own and indigenous way of doing so[8].

The program activities of Institut Dayakologi for year 2010-2013 formulated based on the above objectives that are to be achieved in the next 3 years are as follows[9]:

1. Activities of Documentation, Research, Studies and Publication Programme
2. Activities of Collaboration and Advocacy Programme
3. Activities of Recovery and Reconstruction Programme
4. Activities of Institutional Empowerment Programme

* Adat: set of local and traditional laws.

2.3 Contracting details

When did cooperation with this partner start: For more than 15 years Cordaid has been cooperating with Institut Dayakologi

What is the MFS II contracting period: 2010-2015

Did cooperation with this partner end: Not applicable

If yes, when did it finish: Not applicable

[3] UNICEF (2012), *“State of the World’s Indigenous People”,* Chapter 1. Available at: http://www.un.org/esa/socdev/unpfii/documents/SOWIP_chapter1.pdf Accessed on 14.11.2012

[4] Bamba, J. 2003. “*Seven fortunes and seven calamities – Cultural poverty from an indigenous perspective”* in Indigenous Affairs, Indigenous Poverty: An issue of Rights and Needs, No.1/2003: 26-35. Copenhagen: IWGIA. Available online at http://www.iwgia.org Accessed on 14.11.2012

[5] IWGIA (2012) *“Who are the Indigenous Peoples?”* Available at: http://www.iwgia.org/culture-and-identity/identification-of-indigenous-peoples Accessed on 14.11.2012

[6] IWGIA (2012) *“Who are the Indigenous Peoples?”* Available at: http://www.iwgia.org/culture-and-identity/identification-of-indigenous-peoples Accessed on 14.11.2012

[7] Vinson and Joanne Sutlive, Gen. Eds., *The Encyclopaedia of Iban Studies:Iban History, Society, and Culture Volume II (H-N)*, (Kuching: The Tun Jugah Foundation, 2001), 697

[8] Institute Dayakologi (2012) *“Narrative report to Cordaid. January-December 2012”.*

[9] Annual Progress Report 2013 :Toward Institut Dayakologi As The Information Center for Dayak Culture , January-December 2013

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: No.

2.4 Background to the Southern Partner Organisation

Based on the fact that the Dayak culture has been vanishing over time due to unequal and invasive urban and technological developments, the founders of what later came to be called Institut Dayakologi aim at preserving and promoting the Dayak culture among its members. Through raising awareness of the richness and importance of the Dayak traditions, ways of thinking and lifestyle, the Institut Dayakologi envisions the Dayak as a people with the right of self-determination about the meaning of progress and well-being as well as the kinds of developments it should avoid or bring forth for the Dayak community members.

In 1981 in Pontianak, Dayak intellectuals (mostly teachers) established the Fundation Yayasan Karya Sosial Pancur Kasih (YPSPK) where formal education for raising awareness of the Dayak culture was the first service offered to the Dayak community[10]. As YKPSK grew in size and scope, it expanded its services to other areas, now also empowering the Dayak in social, economic and political matters[11]. In 1987 the Pancur Kasih Credit Union was established by YKSPK in Pontianak, and in 1991 a rural bank was established in Sungah Pinyuh (50 km from Pontianak). This Community Credit Bank was created for the purpose of generating a small-scale credit for the communities in the rural areas. At the end of the 1990's the Institute of Dayakologi Research and Development was established, which has been known as the Institut Dayakologi since 1998[12].

In 2007 a fire accident in Institut Dayakologi's office destroyed almost 90% of the documentation collected since the establishment of the organization. After a short break for recovery of the damage; Institut Dayakologi continued its operations.

Year 2013, precisely five years have passed since Institut Dayakologi has had to resume its operation with new condition following the fire disaster in 2007. This five years' period can be divided into 2 important and noteworthy stages, they are recovery from 2007 to 2009, which was marked by the recovery of institutional non-physical infrastructures (programmes, strategic planning and so forth) and reconstruction from 2012 to 2013 that was marked by the procurement of supporting infrastructure in the form of the Office Building and Jurung of Institut Dayakologi.[13] With this new beginning, the organization saw the need of redefining the organization's focus and strategy[14].

For more details on the history of Institut Dayakologi please see appendix A for the historical time line that was developed during the baseline workshop.

Vision
"The Indigenous peoples - the Dayak peoples in particular - are able to determine and manage their social, cultural, economic and political in together in the spirit of love to struggle for their dignity and sovereignty"[15].

Mission
"To conduct research and/or advocacy in the spirit of education, independency and solidarity for the revitalization and restitution of the Dayaks' existence".[16]

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[10] UNICEF (2012), *"State of the World's Indigenous People",* Chapter 1. Available at: http://www.un.org/esa/socdev/unpfii/documents/SOWIP_chapter1.pdf Accessed on 14.11.2012
[11] Institute Dayakologi, (2012) *"History".* Available at: http://dayakology.org/eng/vision.htm Accessed on 14.11.2012
[12] Institute Dayakologi, (2012) *"History".* Available at: http://dayakology.org/eng/vision.htm Accessed on 14.11.2012
[13] Annual Progress Report 2013 :Toward Institut Dayakologi As The Information Center for Dayak Culture , January-December 2013
[14] Historical time line developed by Evaluation team, (2012)
[15] Source: http://dayakology.org/eng/vision.htm accessed 20-02-2013
[16] Source: information provided by Institute Dayakologi in response to reviewing the draft baseline report, d.d. 15-01-2013

Strategies

In order to maximize the role of "encouraging the advocacy and dissemination of Dayak culture as well as encouraging the better recognition of the Dayak culture and indigenous rights at home and abroad", Institut Dayakologi has strategic actions such as building up a multi-level network approach in order to broaden the impact of its actions. Institut Dayakologi expects "that the advocacy of indigenous peoples' cultural revitalization, environment and natural resources management, as well as efforts to build peace and transformation can work more effectively owing to the supports of various parties, at local, national and international level"[17].

Based on the Strategic Planning resulted from the Workshop held on 23 – 25 March 2009, and from the reflection of Institut Dayakologi's performance held on 9 August 2009 by Institut Dayakologi, activities for the period of 2010 – 2013 in an integrative Institutional Programme have been formulated aiming to achieve the following Goals and Objectives[18]:

1. Goals

1.1. Realization of Institut Dayakalolgy as the Information Centre for Dayak culture that is accessible to public and is beneficial to the advocacy of indigenous Dayak peoples.

1.2. Increased participation of indigenous peoples and other oppressed communities in struggling for their rights, justice, pluralism, gender equality and anti-violence through facilitation, community organizing, media as well as local, national and international networks.

1.3. Conducting recovery by means of managing the remaining data in the form of audio cassettes, and photos saved from the fire, as well as re-collecting data still available from external parties; recovery of Pancur Dangeri Cooperative and Mitra Kasih Printing House; and realization of reconstruction of Institut Dayakologi's office in order to support the performance of Institut Dayakologi's role as the Information Centre and Advocacy of Dayak culture.

1.4. Increased accountabilities and capabilities of Institut Dayakologi in managing available institutional resources in sustainable ways in order to improve infrastructure, welfare and capacities of its activists to be able to implement the institution's programs.

2. Objectives

2.1. Objectives of Documentation, Research, Studies, Publication Programme

Objective 1: Documentation

By May 2013, Institut Dayakologi shall have re-documented Dayak oral traditions and music from all districts in West Kalimantan, with the priority of 11 sub-ethnic groups in Ketapang, Sintang, Kapuas Hulu and Melawi Districts based on pre-survey for better quality and management than those before the fire.

Objective 2: Research and Studies

By May 2013, Institut Dayakologi shall have had 10 research/study findings related to social, cultural, environmental, economic and political issues that bring impacts to the indigenous Dayak communities in West Kalimantan.

Objective 3: Publication

By May 2013, Institut Dayakologi shall have produced 29 titles of books, 2 journals, and published the works of Institut Dayakologi through local media, exhibition, and Institut Dayakologi's website, so that they become sources of reference about Dayak culture that are accountable for and accessible to local, national and international public.

[17] Institut Dayakologi (2010) "*Institutional Report January-December 2010: Towards Institut Dayakologi as information centre for Dayak culture".* (p.2)

[18] Annual Progress Report 2013 :Toward Institut Dayakologi As The Information Center for Dayak Culture , January-December 2013

2.2. Objectives of Advocacy and Collaboration Programme

Objective 1: Communities Empowerment and Advocacy
By the end of May 2013, Institut Dayakologi shall have facilitated 9 activities of Community Empowerment programme in order to become empowered and professional communities through Communities Organizing, natural resources management, advocacy and empowerment of the Alliance of Indigenous Peoples of Jalai Sekayuq-Kendawangan (AMA JK) in Jelai Hulu, Marau, Tumbang Titi, Manis Mata, Air Upas, Tayap subdistricts, in Ketapang District.

Objective 2: Peace Building and Transformation

By the end of May 2013, Institut Dayakologi shall have facilitated multicultural partnership through 4 times of peace education in Central Kalimantan and East Kalimantan, 5 times of training on natural resources conflict resolution in West Kalimantan and the teaching of Multicultural Local Culture at 14 Junior High Schools (SMP), 20 campaign activities and peace culture promotion, facilitation on 6 multicultural productive-business groups in order to maintain peace and transformation in West Kalimantan.
Objective 3: Local Culture Teaching

By the end of May 2013, Institut Dayakologi shall have facilitated the teaching of Local Culture at 20 Primary Schools (SD) and Junior High Schools (SMP) in West Kalimantan to pass Dayak culture tradition to the younger generation.

2.3. Objectives of Recovery and Reconstruction Programme

Objective 1: Recovery
By the end of May 2013, Institut Dayakologi shall have conducted recovery actions through management of remaining data saved from the fire in the form of 2,000 audio cassettes, 7,000 photos, re-collection of data from external parties, as well as the recovery of Pancur Dangeri Cooperative and Mitra Kasih Printing House to reach their cash flow liquidity of 10-20%.

Objective 2: Reconstruction
By the end of December 2011, Institut Dayakologi shall have had a new office in Pontianak, West Kalimantan, in order to support the role of Institut Dayakologi as the Information Centre and Advocacy of Dayak Culture.

2.4. Objectives of Institutional, Financial and Secretariat Development Programme

Objective 1: Financial Management
By the end of May 2013, Institut Dayakologi, shall have applied standard financial management, collected funds needed for the implementation of its programs, obtained more alternative income sources, and conducted financial audit, in order to manage its financial resources more professionally, effectively and efficiently.

Objective 2: Institutional and Activists Empowerment
By the end of May 2013, Institut Dayakologi shall have facilitated the improvement of its activists' capacities through various policies in supports for studies, training, short courses, creating new cadres, and refreshing.

Objective 3: Secretariat
Secretariat of Institut Dayakologi shall have been managed professionally (efficient, secured, proactive, quick-to-respond, effective) in order to be able to provide effective and friendly services as well as to be able to manage ID's database based on its standards.

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**:

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

The description of indicators for the baseline in 2012 served as the basis for comparison during the endline in 2014. In practice this meant that largely the same categories of respondents (preferably the same respondents as during the baseline) were requested to review the descriptions per indicator and indicate whether and how the endline situation (2014) is different from the described situation in 2012[19].

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

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

The information on the indicators was collected in different ways:

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

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

Key steps to assess changes in indicators are described

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

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

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

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

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

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

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

3.3.1 Selection of SPOs for 5C process tracing

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

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

The intention was to focus on about 30-50% of the SPOs involved. Please see the tables below for a selection of SPOs per country. Per country, a first table shows the extent to which a CFA targets the five capabilities, which is used to select the capabilities to focus on. A second table presents which SPO is selected, and takes into consideration the selection criteria as mentioned above.
For the detailed results of this selection, in the four countries that CDI is involved in, please see appendix 1. The following SPOs were selected for process tracing:
Ethiopia: AMREF, ECFA, FSCE, HUNDEE (4/9)
India: BVHA, COUNT, FFID, SMILE, VTRC (5/10)
Indonesia: ASB, ECPAT, PtPPMA, YPI, YRBI (5/12)
Liberia: BSC, RHRAP (2/5).

3.3.2 Key steps in process tracing for the 5C study

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

Key steps in process tracing for the 5C study

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

3.3.3 Methodological reflection

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

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

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

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

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

A few remarks need to be made:

Outcome explaining process tracing is used for this purpose, but has been adapted to the situation since the issues being looked at were very complex in nature.
Difficulty of verifying each and every single change and causal relationship:

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

Utilisation of the evaluation

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

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

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

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

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

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

4 Results

4.1 MFS II supported capacity development interventions

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

Table 1

Information about MFS II supported capacity development interventions since baseline

Title of the MFS II supported capacity development intervention	Objectives	Activities	Timing and duration	Budget
Rebuilding of Office and Jurung meeting facility	Rebuild the office space for ID after the fire	Rebuilding the office environment and providing a special meeting room	2012-2014	100,000 Euro
Documentary film making training	Training on how to make documentary films for the public	Scenario and manuscript writing, manual walkthrough	2013	1785 Euro
IT Training, database and website	Development of a Dayak cultural database and source	IT Consultant designation, database development, SOP and procedure development	2012	26000 Euro

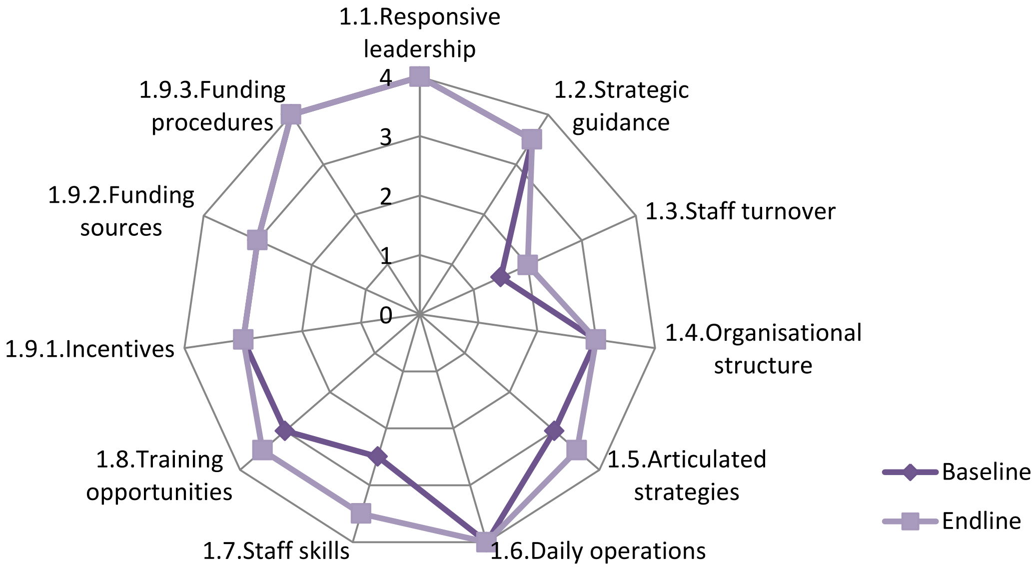
Source: 5C endline_support to capacity development sheet_SPO perspective_Indonesia_Institut Dayakologi

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

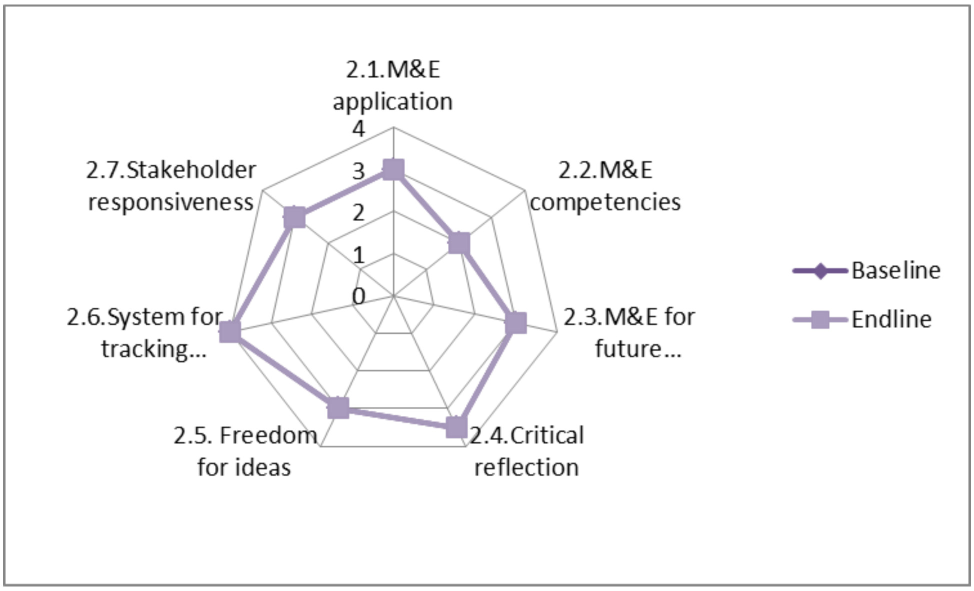


In terms of strategic guidance to resist slight change since the baseline. The director has become the chairman of another organization (GPPK) and the treasurer of yet another (CUG). Now the division Manager has the authority to make decisions as long as it is within the scope of the program. Meetings in the division depend on the initiative of the management team and Division Managers but are routinely held each month and this is where strategic and operational guidelines are provided. The management team provided mentoring and guidance to division managers. Strategic plans are well articulated and based on monitoring and evaluation, although there is no systematic monitoring and evaluation in place. The changing on the day to day leadership on management team has opened a wide opportunity of discussion between management team, division managers, and program managers, on the program implementation. As the communication and capacity gap was minimum and staff became more free to express ideas. The discussion became a means of collecting facts, analysing the condition, and deciding strategies for a better implementation. The organization also runs a research and studies program, an advocacy and collaboration program, and an empowerment of resource program. M&E is done both internally and externally and the result was used to analyse program implementation and formulate better pogram implementation strategy. M&E has become one of the approaches in the preparation of strategic planning. There is no particular tool to do this process. Meetings for annual planning and review are used to deliver the next strategic plan.

Staff turnover is still high , since some experienced staff left the organisation by the end of 2012. But there is also been some new staff. This left the organisation with a gap in terms of available knowledge and skills but the money that came available by staff leaving has been used to train other staff. There have been plenty of opportunities for skills upgrading both in the organisation through sharing meetings as well as by attending capacity building events mostly finded by MSF II especially in house trainings within the organisation. Generally, the staff of *Institut Dayakologi* are loyal, dedicated and committed but still lack general skills i.e. language skills. Motivation to work for the organisation mainly comes from staff's dedication to contribute to the Dayak culture, although some staff have left the organisation due to better financial gains elsewhere. Staff in this organization are included in a social security system, provided allowance for family and children, health insurance, accommodation and transportation. A pension program for staff is under development and hopefully can be implemented before the end of 2014 The organization still has a complicated but firm organization structure, and also has clear procedures to develop the strategic planning which is included target communities. It has relative stability in financial resources and there are procedures and plans to obtain additional income and to become less dependent of donors, which is described in a ten year organization financial plan.

Score: from 3.1 to 3.6 (slight improvement)

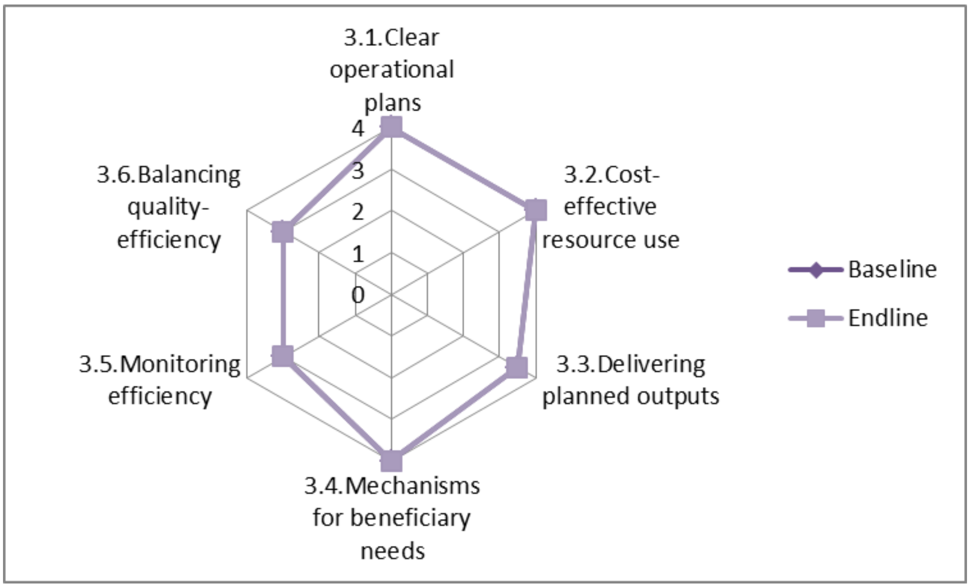
Capability to adapt and self-renew



There is still no comprehensive and functional monitoring and evaluation system in place, but the organization receives feedback from other organizations and beneficiaries and evaluates the impact of the implemented programs as part of program implementation. ID has setup a M&E Division as one of its main programs starting 2015. This program will be managed by a Division Manager and put in the management structure of the organization. Furthermore, regular meetings are held to discuss progress program implementation and annual planning and review meeting is held to look back and plan ahead for the next year. There is no specific and dedicated trained staff to do M&E. Monitoring and evaluation is mainly focused on project and not organisational level and on activities and outputs and impact. The organisation also has published lots of publication that provided a deep analysis on the indigenous people culture. The book is a reflection of how the intervention bring changes on people's life. There are many ways for staff to deliver their ideas and critiques both informally and formally. Currently with the fast growth of social media, the staff are also able to deliver their ideas through digital media. The organisation tracks what is happening in the environment, mainly by engaging with the communities but also with the media.

Score: from 3.1 to 3.1 (no change)

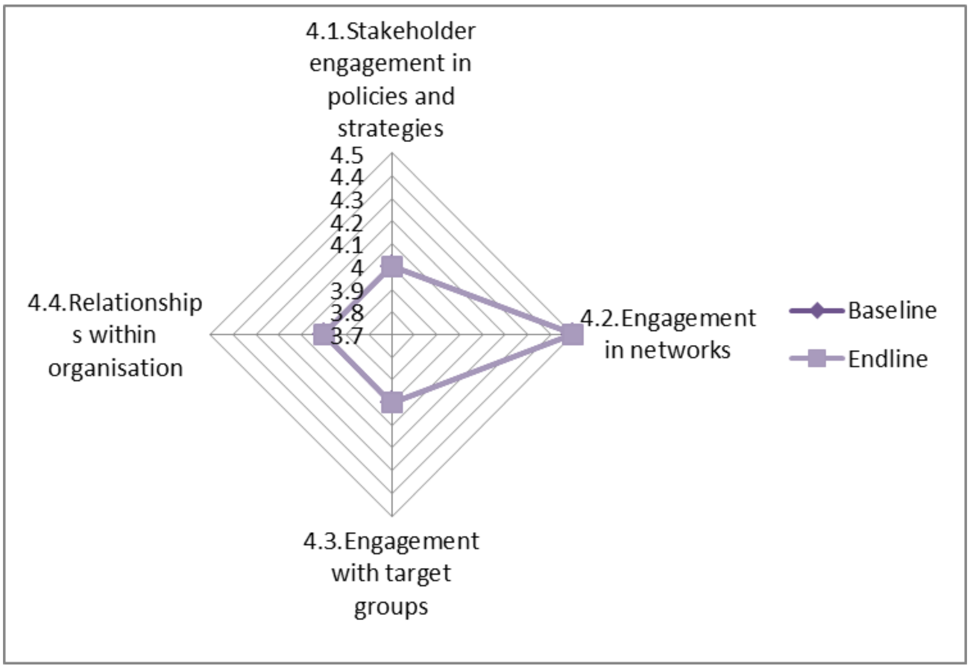
Capability to deliver on development objectives



Programs are implemented based on work plans and detailed operational budgets in the Program Implementation Planning (RPK) which includes activities, output, result, resources (assest) , and budget. All staff has a responsibility to develop RPK and APK. Beside the RPK, there is also Program Implementation Analysis (APK) which supports the analysis of program implementation. RPK and APK are used by the staff as a reference for daily operational activities. *Institut Dayakologi* has an approach for project implementation which requires developing the work plan and budget arrangement first and analyze it afterwards. This way, the staff can work efficiently and the resources are used appropriately. It also helps them to compare the input, the output and the impact. There is still deviation from the planning because of the external factors although the organization always finishes their program completely. In order to fulfill the needs of the beneficiaries, the organization held discussions and workshops before the programs are implemented. Sometimes, the staff stays with the beneficiaries to ensure optimal delivery. Since staff engages frequently with beneficiaries, this assists in assessing whether the services meet their needs.

Score: from 3.6 to 3.6 (no change)

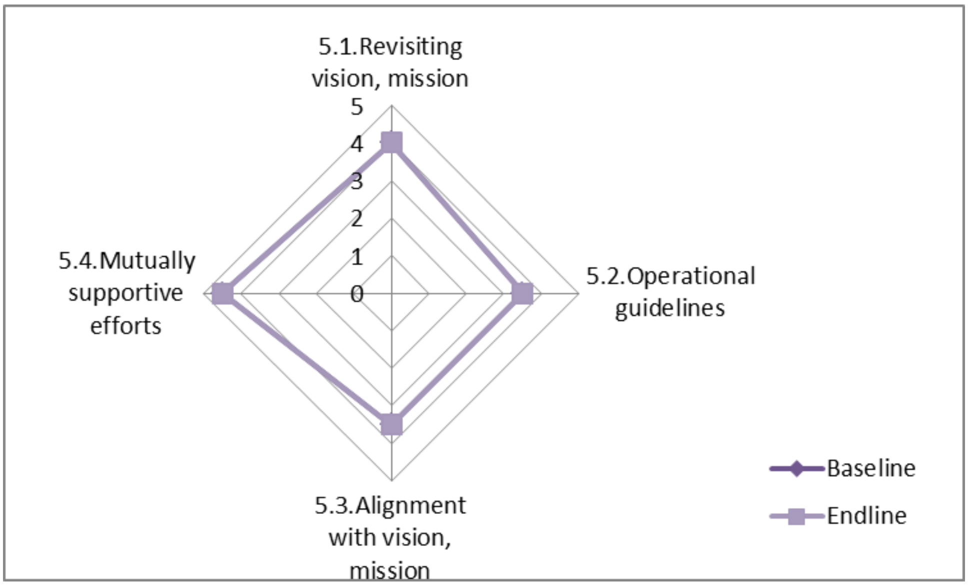
Capability to relate



The organization has an extensive network and develops good relationships from village level to international level. Stakeholders are invited to provide suggestions to aid in the development of the strategic planning and asked to work together with the organization in the implementation of projects. There is frequent contact between staff members and beneficiaries through frequent visits or even by phone if distance or resources do not allow frequent visits. Sometimes staff members stay with the beneficiaries There are many ways to get staff feedback or involvement in the decision making process through routine meetings, informal communication and a suggestion box.

Score: from 4.1 to 4.1 (no change)

Capability to achieve coherence



The vision and mission of the *Institut Dayakologi* are reviewed every three years. Strategic planning directly becomes work planning, which enables projects to generally be in line with the vision and mission. The projects are also related to and supporte each other, therefore, mutually supportive. There is an agreed SOP to support the work of the staff covering HRM and finance which is developed together with the staff and these are effectively applied, but this hasn't changed since the baseline in 2012 .

Score: 3.9 to 3.9 (no change)

4.2.2 General changes in the organisational capacity of the SPO

Institute Dayakologi (ID) is an advocacy organization which works for the preservation of the cultural preservation of the Dayak. One of the main activities of ID was to conduct advocacy of the natural and indigenous environment which is increasingly threatened by the expansion of plantation companies. In addition, ID takes a leading role in creating awareness in the community on pluralism through local subjects at schools. It targeted junior high school level students and was intended to bring awareness to children that they are part of a multi-cultural society.

1. The evaluation team carried out an end line assessment at Institut Dayakologi from 20 to 23 August 2014. During this workshop, the team made a recap of key features of the organisation in the baseline in 2012 (such as vision, mission, strategies, clients, partnerships). This was the basis for discussing changes that had happened to the organisation since the baseline. The three main changes that happened in the organisation since the baseline, as identified by the staff during the end line workshop were:improved secretarial coordination and support [20]
2. improved staff morale [1]
3. strengthened role as a networking hub for advocacy on Dayak communities and culture [7]
4. increased executive team's capacity to develop proposals [8]
5. improved staff decision-making process [28]
6. more qualified human resources [16]

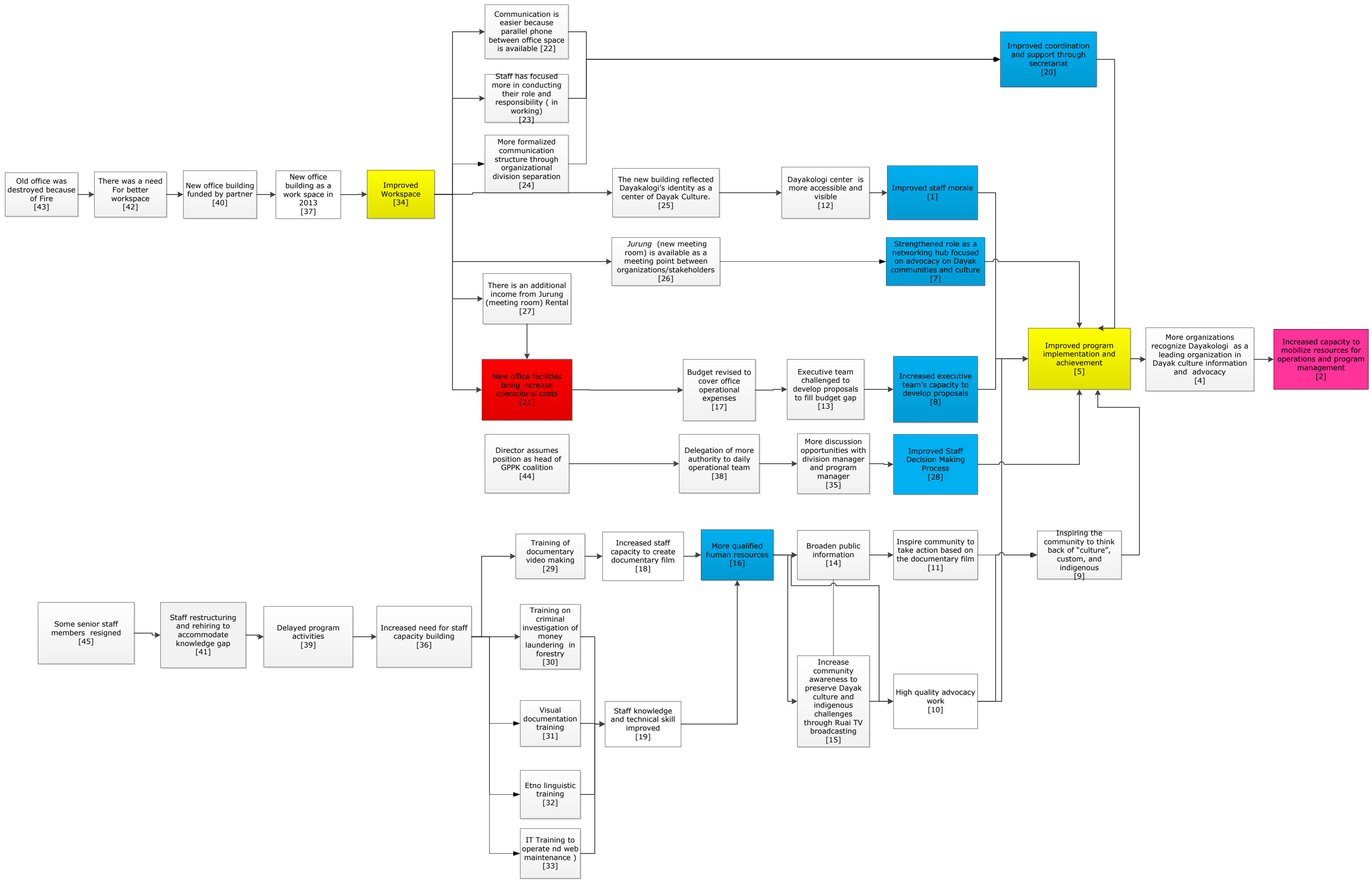
According to staff present at the end line workshop, these organizational capacity changes are expected to contribute to the development of Institut Dayakologi as a leading organization in indigenous culture preservation.

Apart from the fourth issue, all of these issues have contributed to improved programme implementation and achievements [5] which have helped the organization to be better recognized as a leading organization on the Dayak culture in terms of information and advocacy work [4]. This increased recognition as well as the increased executive team's capacity to develop proposals is helping the organization in the capacity to mobilize resources for operations and program management [2].

One example of improved programme implementation could be seen in inspiring the community to think about the culture, customs and indigenous communities of the Dayak [9]. On the one hand this was done through the publication of a documentary film published by Institut Dayakologi [11], in an attempt to broaden public information [14]. On the other hand community awareness was addressed by pointing out the need to preserve the Dayak culture and the challenges that indigenous communities face on a daily basis through Ruai TV broadcasting. Based on the FGD with staff, Ruai TV had a role to publish or broadcast documenter films/movies produced by Institut Dayakologi.[15]. Both these initiatives were enabled by the increased staff capacity to create documentary films [18] , which are further explained below.

Another example includes the high quality advocacy work [10] that has been done by Institut Dayakologi. Next to specific new work initiatives, the quality of advocacy work went up significantly as well [10] due to more qualified staff and human resources available to the organization [16]. This is further explained below.

Each of the five key organizational changes are further explained below. The numbers in the narrative correspond with the numbers in the visual.



Old office was destroyed because of Fire [43]
There was a need For better workspace [42]
New office building funded by partner [40]
New office building as a work space in 2013 [37]
Improved Workspace [34]
Communication is easier because parallel phone between office space is available [22]
Staff has focused more in conducting their role and responsibility (in working) [23]
More formalized communication structure through organizational division separation [24]
Improved coordination and support through secretariat [20]
The new building reflected Dayakalogi's identity as a center of Dayak Culture. [25]
Dayakologi center is more accessible and visible [12]
Improved staff morale [1]
Jurung (new meeting room) is available as a meeting point between organizations/stakeholders [26]
Strengthened role as a networking hub focused on advocacy on Dayak communities and culture [7]
There is an additional income from Jurung (meeting room) Rental [27]
New office facilities bring increase operational costs [21]
Budget revised to cover office operational expenses [17]
Executive team challenged to develop proposals to fill budget gap [13]
Increased executive team's capacity to develop proposals [8]
Improved program implementation and achievement [5]
More organizations recognize Dayakologi as a leading organization in Dayak culture information and advocacy [4]
Increased capacity to mobilize resources for operations and program management [2]
Director assumes position as head of GPPK coalition [44]
Delegation of more authority to daily operational team [38]
More discussion opportunities with division manager and program manager [35]
Improved Staff Decision Making Process [28]
Training of documentary video making [29]
Increased staff capacity to create documentary film [18]
More qualified human resources [16]
Broaden public information [14]
Inspire community to take action based on the documentary film [11]
Inspiring the community to think back of "culture", custom, and indigenous [9]
Some senior staff members resigned [45]
Staff restructuring and rehiring to accommodate knowledge gap [41]
Delayed program activities [39]
Increased need for staff capacity building [36]
Training on criminal investigation of money laundering in forestry [30]
Visual documentation training [31]
Staff knowledge and technical skill improved [19]
Increase community awareness to preserve Dayak culture and indigenous challenges through Ruai TV broadcasting [15]
High quality advocacy work [10]
Etno linguistic training [32]
IT Training to operate nd web maintenance) [33]

Improved secretarial coordination and support [20]
Daily tasks and program implementation work were more effectively executed [5] by having better coordination and support from the organization's secretariat [20]. Program activities could now be carried out with more coordination, focus and in a timely manner. The secretariat now possesses good communication infrastructure, such as multiple phone connections [22], stronger work discipline and focus in carrying out their duties [23] and most importantly, a more formalized communication structure which was brought about by the physical restructuring of the department into separate divisions [24]. The underlying cause for this overall professionalization of the secretariat was the improved workspace [34] which was upgraded as part of the new office building in 2013 [37]. Funds for this rebuilding was provided for 35% by partner donor agencies, and the remainder was paid for with Institut Dayakologi's sustainability fund [40].The new office building was a necessity [42] after the old building got destroyed in a fire in 9 August 2007[43], but also a welcome change after working for years in an inadequate and improvised environment. It greatly impacted staff morale and the professionalization of the organization as a whole.

Improved staff morale [1]
According to staff present at the end line workshop, staff morale overall was greatly impacted by the accessibility and visibility of the newly constructed Institut Dayakologi building [12]. More people came to visit this building to learn and look for references about Dayak Culture, which enthused and engaged the organization's staff. The new building-itself became more visible through their designs, which incorporate and display both the Dayak Culture's and the organization's identity [25]. This major overhaul of office space was part of a greater initiative to improve office space [34], which will be explained as a separate change factor in more detail further below. Improved staff morale is expected to lead to improved programme implementation [16].

Strengthened role as a networking hub for advocacy on Dayak communities and culture [7]
Institut Dayakologi strengthened its role as a hub in the network that focuses on the advocacy for Dayak communities and culture [7]. Partners and stakeholders supported Institut Dayakologi role as such due to their provision of meeting space in their new office as meeting point for thenetwork [26]. The meeting room, or better known traditionally as a "Jurung", was created as part of the new office environment, and meant to be used both for internal use as well as external use by renting out the space publicly. The Jurung is a true replication of a traditional Dayak meeting space, and provides an important role in the Dayak culture.

Increased executive team's capacity to develop proposals [8]
The executive team's capacity to develop proposals [8] has been increased after the executive team was challenged to increase their competencies and find additional funding for the organization in order to be able and fill the new budget gap [13]. Institut Dayakologi's budget had to be revised [17] after it came under strain as a result of the higher operational expenses brought in from usage of the new office facilities [21]. Although some of these expenses could be covered by income from renting out the "Jurung" meeting room [27], new funds were required to balance the organization's budget after the workspace improvements had been realized [34].

Improved staff decision-making process [28]
The organization has improved its decision making process [28]. The junior Staffs were given more opportunities to discuss matters with the division manager and program manager [35], who in turn utilized this input into their management decisions. These opportunities were created through the delegation of more authority to the daily operational team [38]. Prior to this it was mostly the Director who dealt with such issues and management decisions, but as he assumed position as head of the GPPK coalition [44], the director was forced to put down some of his day to day Institut Dayakologi activities and delegate them to his subordinates.

More qualified human resources [16]
Institut Dayakologi now has more qualified human resources [16] . Due to having increased capacity for staff to create documentary films [18], after following a training session on the subject of documentary video making [29]. Staff capacity also increased due to improved technical knowledge and skills of staff [19]. This was due to a series of trainings. On the knowledge side, staff was trained for instance on Etno linguistic skills, which enabled them to understand and communicate with Dayak communities at a higher level [32]. On the technical skill side, staff went through training on criminal investigations of money laundering in forestry [30], visual documentation [31] and IT training to operate IT but also maintain for example the website [33]. All the trainings provided by Institut Dayakologi were part of the organization addressing the need for further staff capacity building [36]. This became evident after program activities became more and more delayed after a large restructuring operation of human resources [41]. Staff was relocated, newly hired and repositioned to accommodate the knowledge gap [41] that was left behind after several senior staff members resigned [45] from the organization in the observed period in the end of 2012.

1. Improved program implementation and meeting the set objectives [5]

The strategy of program implementation was broadened through the use of visual documentation of indigenous custom through movies or videos. This was enabled by inspiring community (not only beneficiaries) to think about the culture, customs and indigenous communities of the Dayak [9]. On the one hand this was done through the publication of a documentary film published by Institut

Dayakologi [11], in an attempt to broaden public information [14]. On the other hand community awareness was addressed by pointing out the need to preserve the Dayak culture and the challenges that indigenous communities face on a daily basis through Ruai TV broadcasting (15]. Both these initiatives were enabled by the increased staff capacity to create documentary films [18] after following a training session on the subject of documentary video making [29].

2. High quality advocacy work [10]

Next to specific new work initiatives the quality of advocacy work went up significantly as well [10] due to more qualified staff and human resources available to the organization [16].Both staff knowledge as well as technical skills improved [19]

Better recognition of Institut Dayakologi as a Dayak Culture information center [2]
Institut Dayakologi has become known as the leading organization with respect to Dayak Culture information [2] amongst both the public as well as public and private institutions. The prime reason for this was the fact that more organizations have experienced and observed Institut Dayakologi efforts in advocacy for the natural and indigenous environments which are increasingly threatened by the expansion of plantation companies and the Dayak culture in general. The reasons for this recognition have already been explained in the sections above.

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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.

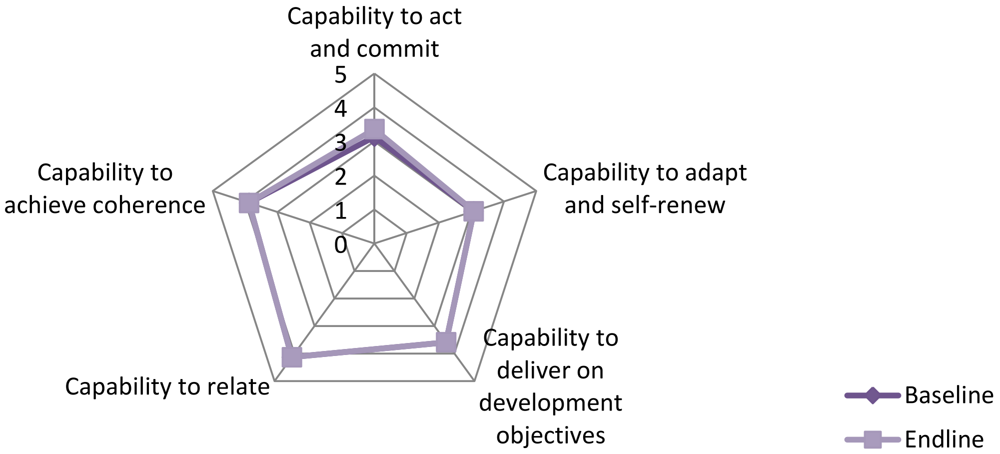
Institut Dayakologi

In preparation for the endline workshop, the evaluation team sent the interview sheets in advance to Institut Dayakologi and had an opportunity to have the filled sheets prior to workshop. When reading the interview sheet, it was clear that staff had different understanding in answering the questions. The information gained from the interview was confirmed during the workshop in Institut Dayakologi through group interview. All staff attended the workshop, and represented group categorization such as management, program, field staff, and admin/HR. Specific M&E was not available and attached to certain function and role in the organization. Team also had opportunity to interview 2 partners of Institut Dayakologi, unfortunately consultant was not available. he workshop was started by discussion on the general causal map, which includes the key organisational capacity changes since the baseline, as perceived by the SPO. Since there has been a high staff turnover between baseline and end line, most of the staff respondents were different from the staff respondents during the baseline. Like during the baseline, a large number of staff (23 during the endline), attended the endline workshop. This made it difficult for all staff to be able to express their views, but this has been solved by organizing in-depth interviews using the same interview sheets.

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, overall very little has changed for Institut Dayakologi over the last two years. Below the changes in each of the capabilities are further explained, by referring to the specific indicators that changed. All changes took place in the indicators under the capability to act and commit.

There was a slight improvement in the indicator on staff turnover. After a series of resignations of senior staff, Institut Dayakologi was able to recruit new staff early 2013 for data base management, research, administration and cleaning services. Even though a skill and knowledge gap occurred, the reduction of senior staff freed up financial resources that could be applied to the new staff's development and training. In terms of articulated strategies, a slight improvement occurred as well: a change in day to day leadership narrowed the communication and capacity gap and allowed more staff to become involved in program management and implementation decisions. Additionally, staff members were given the opportunity to speak more freely and express ideas. Staff skills improved as well due to tighter screening of new employees and more in-house training opportunities for new staff. These training opportunities resulted from a greater training budget now that more senior staff has left the organisation.

No further changes occurred in any of the other four capabilities.

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 provide by the evaluation team. Please note that this information is based only on the information provided by Institut Dayakologi 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 Institut Dayakologi's staff, these have been captured in the general causal map in 4.2.2: improved secretarial coordination and support, improved staff morale, strengthened role as a networking hub for advocacy on Dayak communities and culture, increased executive team's capacity to develop proposals, improved staff decision-making process, more qualified human resources. All of these are expected to contribute to Institut Dayakologi having increased capacity to mobilize resources for operations and program management. Institut Dayakologi staff experienced these as the most important capacity changes in the organisation since the baseline.

The improved secretarial coordination and support, improved staff morale, strengthened role as a networking hub for advocacy on Dayak communities and culture, increased executive team's capacity to develop proposals, and improved staff decision-making process, were all said to lead to improved program implementation and achievements. Each of these capacity changes is detailed below.

Improved coordination and support through the secretariat can be attributed to improved communication in the new office through parallel phone lines, staff focussing more on carrying out their roles and responsibilities as well as having a more formalized communication structure. Each of these developments can be attributed to the improved workspace, which was build and funded by Cordaid with MFS II funding. The requirement to rebuild the office space originated from the fire that destroyed the previous office back in August 2007, and required major investments and support to rebuild the organization.

Improved staff morale can be attributed to the Institut Dayakologi center now being more accessible and visible, as a result of the new building, incorporating and reflecting the organizations identity as a center of Dayak Culture better. This was a fundamental goal of the improved workspace, which can be related to MFS II funding as explained above.

The strengthened role as a networking hub of Institut Dayakologi was strongly enabled by the creation of a *Jurung* (traditional meeting room) in the new offices, which acted as a central meeting point for organizations, partners and stakeholders. This too was the direct result of the MFS II intervention to support the rebuilding of the office.

The increased executive team's capacity to develop proposals resulted from the challenge to fill the budget gap that occurred due to the change in operational expenses imposed by the new building and it's facilities. This change occurred through greater costs resulting from the greater costs to run the facility. Although some of the costs could be diminished through additional income from renting out meeting room facilities, the net effect was still negative. Through this the improved workspace also contributed to the organization adapting and developing capacities to support change.

The improved staff decision making process can be attributed to the greater amount of discussion opportunities with the division manager and program manager of staff. This was enabled by more delegation of authority to the daily operational team, which was attributed to the Director assuming the position as head of the GPPK coalition. This change can therefore not be attributed to MFS II.

The last factor that resulted indirectly to the improved program implementation and achievement of Institut Dayakologi was the inspiring of the community to think back of the cultural and indigenous customs. This inspiration could be attributed to the call for action from the documentary film, and the high quality advocacy work that the organization undertook. The former resulted from the initiative to broaden public information, whilst the latter came about the increase in community awareness through Ruai TV which broadcasted Institut Dayakologi material. Both initiatives were enabled by more qualified human resources as a key organizational capacity change.

The increase in Institut Dayakologi's staff capacity resulted specifically from training in video and documentary making on the one hand, and increased staff knowledge and technical skills on the other. Staff knowledge and skill came about from a series of trainings which were all MFS II supported, and focused on both skills such as visual documentation, linguistic training and IT training as well as more substantial matter relating to the criminal investigation of money laundering in forestry. All MFS II funded capacity development interventions resulted from an increased need for staff capacity building. This could be attributed to delayed program activities, after staff had to be rehired and restructured to fill the knowledge and capacity gap that occurred after some of the senior staff members resigned.

In conclusion, MFS II funded initiatives for program support have contributed to organizational capacity change in several ways, both directly and indirectly. The supported training interventions to increase staff capacity in the skills and capacity to document and spread information to the public has contributed significantly to inspiring the community to think back to the Dayak culture and indigenous customs, that has helped improve program implementation and achievements. On the other hand the continuous support of Cordaid in reconstruction by rebuilding the offices, infrastructure and office structure have helped in improving day to day operations of the secretariat, strengthened the role of Institut Dayakologi as a networking hub and improved staff morale, all leading to improved program implementation and achievements. Although the 5C indicators in the previous section don't show great change for the organization, the general causal map described above highlights that MFS II support has certainly contributed to strengthening the organizational capacity and laying the foundation for increased capacity to mobilize resources for operations and program management of Institut Dayakologi. However, 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.

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Annual Financial Report & Audit 2011-2103.xls

Annual Progress report 2013.docx

Annual Progress report 2011.doc

Annual Progress report 2012.docx

Consultan report for Financial ID.doc

Evaluation report MFSII Indonesia Baseline.pdf

Financial Plan ID 2011-2013.xls

Monitoring & Evaluation-Implementation plans.docx

Notes from auditor to the financial statement 2013,2012,2011.doc

Organisational Structure Vision & Mission.docx

program planning document 2011-2013 copy.xls

Program Planning document 2011-2013.xls

Project Workplan document 2011-2013.xls

realisation of program planning 2011-2013 (salinan berkonflik seto rokhmatulloh 2014-08-18).xls

realisation of program planning 2011-2013 copy.xls

Realisation of Program Planning 2011-2013.xls

Annex_C_Capacity Organization_Indonesia_Dayakologi.doc

BAHASA-Annex D_5c endline interview guide_partners_selected indicators_Indonesia dayakologi _Adrianus.doc

BAHASA-Annex D_5c endline interview guide_partners_selected indicators_Indonesia_dayakologi_Anton.doc

BAHASA-Annex L_5c endline interview guide_subgroup_management_selected indicators_Indonesia_Dayakologi.doc

BAHASA-Annex M_5c endline interview guide_subgroup_program staff_selected indicators_Indonesia _dayakologi.doc

BAHASA-Annex N_5c endline interview guide_subgroup_MandE staff_selected indicators_Indonesia_Dayakologi.doc

BAHASA-Annex O_5c endline interview guide_subgroup_admin and HRM staff_Indonesia_Dayakologi.doc

BAHASA-Annex O_5c endline interview guide_subgroup_admin and HRM staff_selected indicators_Indonesia_Dayakologi1.doc

BAHASA-Annex P_5c endline interview guide_subgroup_field staff_selected indicators_Indonesia_dayakologi.doc

General Key Changes Dayakologi_Final.vsd

General Key Changes Dayakologi.docx

List of Respondents

List of Respondents

People Present at the Workshops

Date: 20-22 August 2014		**Organisation: Institute of Dayakologi**		
	ROLE IN THE ORGANISATION	**DURATION OF SERVICE**	**PHONE**	**E-MAIL**
		Management		
John Bamba	Director Executive	13 years	0813 45 353536	jbamba@dayakology.org
Johanna AnpoliniDiid	FinancialManager	19 year	0813 52 255637	johanna@dayakology.org
P.Yusnono	Manager of Human Resources	6 year	0812 57 09430	yusnono@yahoo.com
Maria Paskalia	Office manager		081345485878	mariapaskalia25@gmail.com
K. Kusnadi	Publication and Documentation		085252134215	Kusnadi.isim77@gmail.com
Ajin Vinsentius	Manager of Empowerment Resources	5 year	0812 5610950	ajinvinsentius@kalimantanreview.com
Krissusandi	Manager of Advocacy & Collaboration	8 year	0852 85 933290	krissusandi@kalimantanreview.com
Benyamin Efraim	Manager of Documentation & Publications	5 year	0813 45 276789	ben.efraim@yahoo.co.id
		Program/ Project staff		
Julianto	Division of Advocacy and Collaboration in Peace Building and Transformation Program		08125745446	jul_makmur@hotmail.com
Vitalis Andi	Manager of Advocacy and Collaboration Division	11 year	0813 52 016553	anditebuar@yahoo.co.id
Peternus	Chief of Marketing Kalimantan Review magazine		085252502244	petrnusaheroy@yahoo.co.id
Giring	Chief Editor Kalimantan Review (Organisation sustainability Division)		081345090498	Giring.giring.giring@gmail.com
Rony	Publication and Documentation Manager		081345312983	Bidebinua_kr@yahoo.com
		Admin/ HR/Finance staff		
Sunarti	Accountant	17 year	0813 52 432375	sunarti@dayakology.org
Sufi'i	Administration and secretary	17 year	085391972930	supii@dayakology.org
Songkon	Administration		085650901803	songkon33@gmail.com
Hendata	Cashier		085245205512	Hendata.nata@yahoo.co.id

Field staff staff				
Marsiana Oktavia	KR editorial staff		081345010887	
Cica P.	Field Staf	1 year	085252516711	
Yohanes Iswadi	Di divisi kemandirian	6 years	085245347124	iswadi@gmail.com
Yusita Hastaningsih	KR administration	3 tahun	085345255124	Ucakr2014@gmail.com
Ptr. Darmono	Field Staf	7 years	082157964149	Darmononul16@yahoo.co.id
Regina	Advocacy and collaboration division and in secretariat		085345918553	Regina03.jalai@gmail.com
Erniliana	Field Staff	10 month	085822271941	darapanarigas@gmail.com
Dwi Susilo H.	Graphis and architec	4 years	08157980282	Susilo.jalai@gmail.com
Others				

List of People Interviewed

Date:20-22 August 2014		**Organisation: Institute Dayakologi**		
NAME	**ROLE IN THE ORGANISATION**	**DURATION OF SERVICE**	**PHONE**	**E-MAIL**
Management				
John Bamba	DirectorExecutive	11 years	0813 45 353536	jbamba@dayakology.org
Johanna AnpoliniDiid	FinancialManager	19 year	0813 52 255637	johanna@dayakology.org
P.Yusnono	Manager of Human Resources	6 year	0812 57 09430	yusnono@yahoo.com
Maria Paskalia	Office manager		081345485878	mariapaskalia25@gmail.com
K. Kusnadi	Publication and Documentation		085252134215	Kusnadi.isim77@gmail.com
Ajin Vinsentius	Manager of Empowerment Resources	5 year	0812 5610950	ajinvinsentius@kalimantanreview.com
Krissusandi	Manager of Advocacy & Collaboration	8 year	0852 85 933290	krissusandi@kalimantanreview.com
Benyamin Efraim	Manager of Documentation & Publications	5 year	0813 45 276789	ben.efraim@yahoo.co.id
Program/ Project staff				
Julianto	Division of Advocacy and Collaboration in Peace Building and Transformation Program		08125745446	jul_makmur@hotmail.com
Vitalis Andi	Manager of Advocacy and Collaboration Division	11 year	0813 52 016553	anditebuar@yahoo.co.id

Peternus	Chief of Marketing Kalimantan Review magazine		085252502244	petrnusaheroy@yahoo.co.id
Giring	Chief Editor Kalimantan Review (Organisation sustainability Division)		081345090498	Giring.giring.giring@gmail.com
Rony	Publication and Documentation Manager		081345312983	Bidebinua_kr@yahoo.com
Admin/ HR/Finance staff				
Sunarti	Accountant	17 year	0813 52 432375	sunarti@dayakology.org
Sufi'i	Administration and secretary	17 year	085391972930	supii@dayakology.org
Songkon	Administration		085650901803	songkon33@gmail.com
Hendata	Cashier		085245205512	Hendata.nata@yahoo.co.id
Yusita Hastaningsih	KR administration	3 tahun	085345255124	Ucakr2014@gmail.com
Marsiana Oktavia	KR editorial staff		081345010887	
Ratna	Front office and documentation	3 years		
Field staff staff				
Marsiana Oktavia	KR editorial staff		081345010887	
Cica P.	Field Staf	1 year	085252516711	
Yohanes Iswadi	Field Staf	6 years	085245347124	iswadi@gmail.com
Yusita Hastaningsih	KR administration	3 tahun	085345255124	Ucakr2014@gmail.com
Ptr. Darmono	Field Staff	7 years	082157964149	Darmononul16@yahoo.co.id
Regina	Advocacy and collaboration division staff and in secretariat		085345918553	Regina03.jalai@gmail.com
Erniliana	Field Staff	10 month	085822271941	darapanarigas@gmail.com
Dwi Susilo H.	Graphis and architec	4 years	08157980282	Susilo.jalai@gmail.com
Others				
Adrianus, Ssi.	Principal of Santo Fransiscus Asisi Junior High School-Pontianak (Partner)	14 years	08125659172	
Antonius PriyaniWidjaya	Director of Walhi (Partner)	4 years	0811574476	walhi@ptk.centrin.net.id

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.[20] 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.

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

Key steps to assess changes in indicators are described

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

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

Below each of these steps is further explained.

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

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

General questions about key changes in the capacity of the SPO

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

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

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

1. *How has the situation of this indicator changed compared to the situation during the baseline in 2012? Please tick one of the following scores:*
   - -2 = Considerable deterioration
   - -1 = A slight deterioration
   - 0 = No change occurred, the situation is the same as in 2012
   - +1 = Slight improvement
   - +2 = Considerable improvement
2. *Please describe what exactly has changed since the baseline in 2012*
3. *What interventions, actors and other factors explain this change compared to the baseline situation in 2012? Please tick and describe what interventions, actors or factors influenced this indicator, and how. You can tick and describe more than one choice.*

- Intervention, actor or factor at the level of or by **SPO**: ....
- Intervention, actor or factor at the level of or by the **Dutch CFA (MFS II funding)**: .... .
- Intervention, actor or factor at the level of or by the **other funders**: ....
- **Other** interventions, actors or factors: ....
- Don't know.

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

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

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

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

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

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

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

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

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

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

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

- Annual progress reports;
- Annual financial reports and audit reports;
- Organisational structure vision and mission since the baseline in 2012;
- Strategic plans;
- Business plans;
- Project/ programme planning documents;
- Annual work plan and budgets;
- Operational manuals;

- Organisational and policy documents: finance, human resource development, etc.;
- Monitoring and evaluation strategy and implementation plans;
- Evaluation reports;
- Staff training reports;
- Organisational capacity reports from development consultants.

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

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

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

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

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

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

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

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

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

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

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

An endline workshop with the SPO was intended to:

Explain the purpose of the fieldwork;
Carry out in the self-assessments by SPO staff subgroups (unless these have already been filled prior to the field visits) - this may take some 3 hours.

Facilitate a brainstorm on key organisational capacity changes since the baseline in 2012 and underlying interventions, factors and actors.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Background information on process tracing

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

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

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

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

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

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

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

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

Selection of SPOs for 5C process tracing

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

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

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

ETHIOPIA

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

Table 1

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

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

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

Source: country baseline report, Ethiopia.

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

Table 2

SPOs selected for process tracing – Ethiopia

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

INDIA

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

Table 3
The extent to which the Dutch NGO explicitly targets the following capabilities – India[21]

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

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

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

INDONESIA

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

Table 5

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

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

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

Source: country baseline report, Indonesia.

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

Table 6
SPOs selected for process tracing – Indonesia

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

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

LIBERIA

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

Table 7

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

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

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

Source: country baseline report, Liberia.

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

Table 8

SPOs selected for process tracing – Liberia

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

Key steps in process tracing for the 5C study

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

Key steps in process tracing for the 5C study

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

The change/ outcome area is in one of the two capabilities selected for process tracing: capability to act and commit or the capability to adapt and self-renew. This was the first criteria to select upon.
There was a likely link between the key organisational capacity change/ outcome area and the MFS II supported capacity development interventions. This also was an important criteria. This would need to be demonstrated through one or more of the following situations:

- In the 2012 **theory of change** on organisational capacity development of the SPO a link was indicated between the outcome area and MFS II support;
- During the baseline the CFA indicated a link between **the planned MFS II support** to organisational development and the expected short-term or long-term results in one of the selected capabilities;
- During the endline the CFA indicated a link between **the implemented MFS II capacity development interventions** and observed short-term changes and expected long-term changes in the organisational capacity of the SPO in one of the selected capabilities;
- During the endline the SPO indicated a link between **the implemented MFS II capacity development interventions** and observed short-term changes and expected long-term changes in the organisational capacity of the SPO in one of the selected capabilities.

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

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

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

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

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

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

A model of change of good quality includes:

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

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

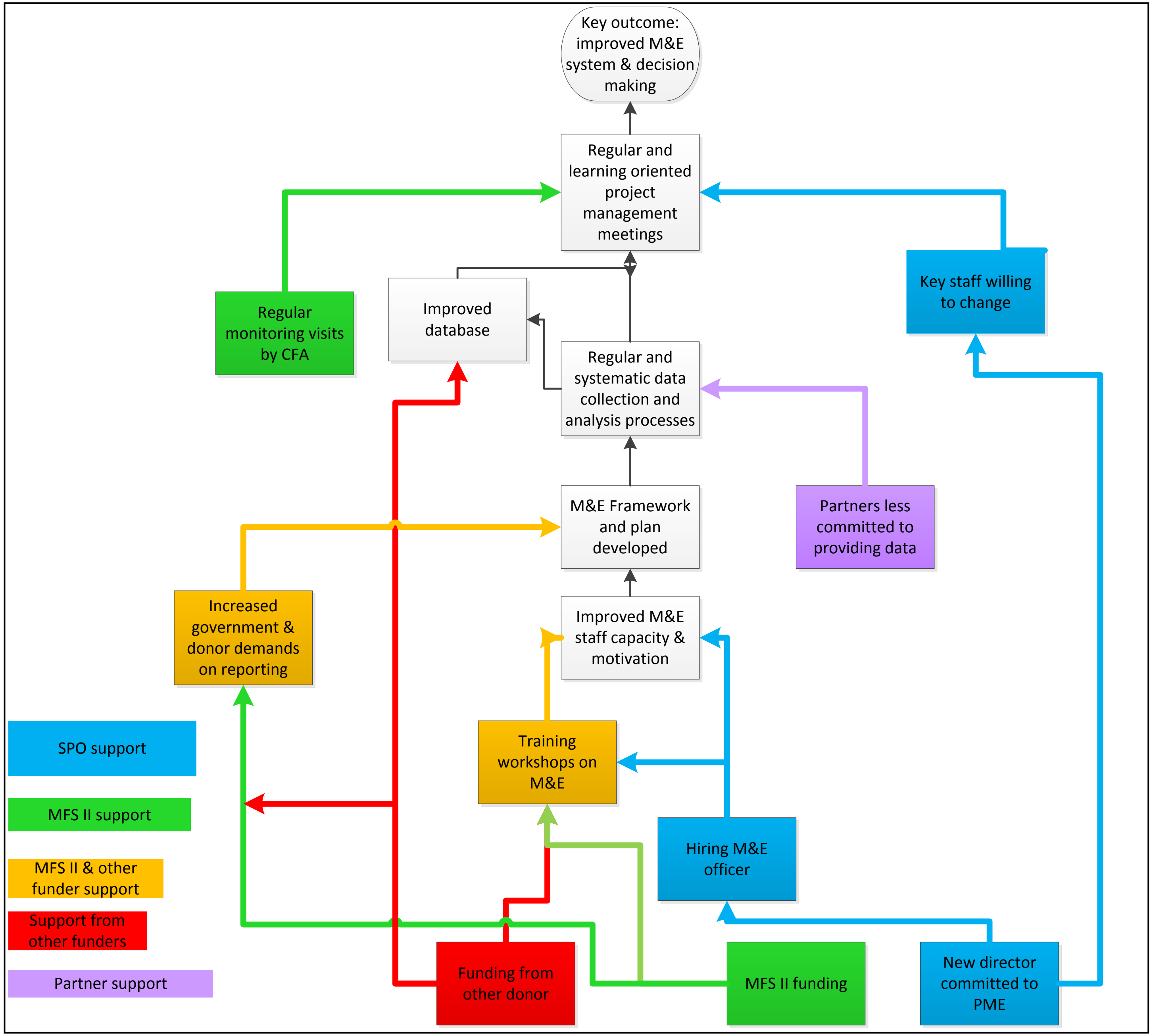


Figure 1 *An imaginary example of a model of change*

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

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

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

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

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

Types of evidence to be used in process tracing

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

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

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

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

Source: Beach and Pedersen, 2013

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

Table 9

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

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

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

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

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

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

Quality assurance of the data collected and the evidence it provides for rejecting or confirming parts of causal explanations are a major concern for many authors specialised in contribution analysis and process-tracing. Stern et al. (2012), Beach and Pedersen (2013), Lemire, Nielsen and Dybdal (2012), Mayne (2012) and Delahais and Toulemonde (2012) all emphasise the need to make attribution/ contribution claims that are based on pieces of evidence that are rigorous, traceable, and credible.

These pieces of evidence should be as explicit as possible in proving that *subcomponent X causes subcomponent Y* and ruling out other explanations. Several tools are proposed to check the nature and the quality of data needed. One option is, Delahais and Toulemonde's Evidence Analysis Database, which we have adapted for our purpose.

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

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

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

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

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

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

4. Explaining factors – evaluation question 4

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

In order to explain the changes in organisational capacity development between baseline and endline (evaluation question 1) the CDI and in-country evaluation teams needed to review the indicators and how they have changed between baseline and endline and what reasons have been provided for this.

This has been explained in the first section of this appendix. It has been difficult to find detailed explanations for changes in each of the separate 5c indicators, but the 'general causal map' has provided some ideas about some of the key underlying factors actors and interventions that influence the key organisational capacity changes, as perceived by the SPO staff.

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

5. Methodological reflection

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

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

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

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

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

A few remarks need to be made:

Outcome explaining process tracing is used for this purpose, but has been adapted to the situation since the issues being looked at were very complex in nature.

Difficulty of verifying each and every single change and causal relationship:

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

Utilisation of the evaluation

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

<u>Design</u> – 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 Institut Dayakologi

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.

The active leader has remained the same for quite a long period of involvement in the organization. He is an inspiration and a leader for his staff with appropriate knowledge and capacity, charismatic and democratic leadership. He was involved in the establishment of the organization and devoted to the cultural issue of *Dayak* although it is not considered a "sexy" issue according to one of the staff. He is able to continue the organization's existence and keep the staff's spirit ignited.

The problems in the organization are resolved in discussions, as well as participatory decision making. Generally, the Institut Dayakologi has the organization elements with structure, set and principles for decision making at any level. The leader provide drafts of decisions for strategic decision making related to important issues and external & supporting networks before meeting with the staff for critique and suggestions. This is the way the staff learns to understand the problems and to find a way out of them.

At this moment, the director of Institut Dayakologi was also in charge as a chairman of GPPK "Gerakan Pemberdayaan Pancur Kasih", a coalition of several NGOs in which Institut Dayakologi becomes one of its members. He gave more authority to the Institut Dayakologi daily management team (dewan pengurus), - consisting of 4 senior staff-, to run the organization and providing supervision to the program division and implementation. The management team provided supervision and day to day mentoring to the staff in implementing the program, especially the division manager. Each of of them has responsibility to provide guidance and supervision to each division. They conducted regular discussion on program implementation and supported the division to overcome challenges. Starting 30 January 2015, the director has resigned from his position as the executive director of ID for personal reasons, and was replaced by the former Division Manager of Research and Studies.

Score: 4 to 4 (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

There is a slight change in the decision making mechanism due to the leader becoming the chairman of another organization (GPPK) and the treasurer of yet another (CUG). At this moment, the director of Institut Dayakologi was also in charge as a chairman of GPPK "Gerakan Pemnerdayaan Pancur Kasih", a coalition of several NGOs in which Institut Dayakologi becomes the member. He gave more authority to the Institut Dayakologi daily management team (dewan pengurus), - consisting of 4 senior staff-, to run the organization and providing supervision to the program division and implementation. The management team provided supervision and day to day mentoring to the staff in implementing the program, especially the division manager. Each of of them has responsibility to provide guidance and supervision to each division. They conducted regular discussion on program implementation and supported the division to overcome challenges.

The all division Managers have the authority to make decisions as long as it is within the scope of the program. Meetings in the division depend on the initiative of the Division Manager but are routinely held each month. Random meetings are held sometimes in informal situations. The Division Manager and Team Leader are for certain activities able to coordinate and provide strategic orientation for the involved activists therefore the activities run smoothly within the planning. The division Manager is coached and controlled by the management team in daily activities due to the external activities of the leader. Sometimes the Board also goes to the field.

There was an improvement of the regeneration that management team substituted the role of the director to decide technical things. Institute Dayakologi (ID) staff used to be very dependent on the leadership of the director, but now they learned how to manage programs, involving in the implementation supervision, even to develop proposal. The director provided more opportunity and authority for the management team to work and decide on the day to day progress in the organization.

Score: 3.5 to 3.5 (no change)

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

This is about staff turnover.

By the end of 2011 and 2012, five senior staff (division manager) and one executive staff resigned from the organization due to getting higher salary offers and better opportunity to improve capacity from other organizations. Early 2013, the organization recruited new staff for data base management, research, administration and cleaning services.

When some of the senior staff resigned, there was some turbulence within the organization due to the skill gap. The organization had to train new staff in order to meet the requirements of running the activities in *Institut Dayakologi*. But on the other hand, there was a financial benefit for the organisation since the budget for senior staff salary could now be used for the new staffs' development and training.

Score: 1.5 to 2 (slight improvement)

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

The organizational structure has not changed since the baseline and still consists of:

Members of Meeting; Executive Chairman of the Association, consisting of the chairman, secretary and member; Board of Financial Audit, consisting of chairman, secretary and member; Board of Management, consisting of chairman, vice chairman, secretary, treasurer, and member; Executive Body.

Standard operational procedures are also present to support the organizational structure. These explain decision-making and operational mechanisms, authorities, job-descriptions, and the responsibility of each of the components within the board of managers, board of executives and the activists as well as guidelines for accountability and reporting of activities.

Score: from 3 to 3 (no change)

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

The change in the day to day leadership in the management team has opened a wide opportunity of discussions between the management team, division managers, and program managers, on the program implementation. Also the communication and capacity gap was minimum and staff became more free to express ideas. The discussion became a means of collecting facts, analysing the condition, and deciding strategies for better implementation. The organization also runs a research and studies program, an advocacy and collaboration program, and an empowerment of resource program. M&E is done both internally and externally and the result was used to analyse program implementation and formulate better pogram implementation strategy.

M&E has become one of the approaches in the preparation of strategic planning. There is no particular tool to do this process. Meetings for annual planning and review are used to deliver the next strategic plan.

Score: 3 to 3.5 (slight improvement)

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

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

The daily operatios run in line with the strategic plan. The core Program activities are described in the annual program plan and this plan was specifically conducted through the Program Implementation Plan (RPK) and Program Implementation Evaluation (APK). RPK was the operational plan of the program implementation and evaluated or monitored through APK. The program implementation plan was intended to provide guideline on the activities, while program implementation evaluation provided opportunity to reflect on the program implementation plan. The RPK and APK were developed in an annual management workshop within the organization but according to some staff, the implementation is not always consistent as in the planning due to control weaknesses at managerial level.

Score: 4 to 4 (no change)

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

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

The organization has a tight selection on new staff recruitment , which is based on their skill and education background. Similarly, staff is placed within the organization based oncapacity and background.

There is also an improvement related to staffs' skill in understanding and analyzing the situation in the field, and their abilities to understand the cultural issues which the organization deals with. Most of the staff stated that they need capacity building and language (English) training.

ID conducted and joined lots of training, especially in house trainings to improve staff capacity. The resignation of some senior staffs had encouraged ID to build the capacity of the current staff, such as proposal development training attended by all staff ID, documentary film production attended by 19 staff ID and 6 GPPK staff, and database and website training attended by all management staff. MSF II funded the trainings and 1 collaboration was with another donor.

Score: 2.5 to 3.5 (improvement)

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

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

Since the baseline in 2012 , the organization held in-house training sessions to share the knowledge and experiences among the staff. The in-house trainings consisted of a proposal preparation training, production of documentary films training, and data base and website training. Basically, the organization has given the opportunity to attend any training related to skill improvement for all the staff without differentiations between senior and junior levels. However, due to the organization's last experience in terms of having some senior staff with high skills resigning, tight selection and requirements are now applied in sending staff to follow training outside the organization. Currently it is mainly staff at managerial level who are sent for training outside the organization, they are required to write a written report of the training and there is a routine in sharing their learning through monthly meetings.

Score: 3 to 3.5 (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.

Nothing has changed in terms of incentives for staff members in the last two years. The staff continues to work for the organization not just for the work but to be part of an opportunity to strengthen the *Dayak* culture.

Staff in this organization is included in a social security system, provided allowance for family and children, health insurance, accommodation and transportation. A pension program for staff is under development and hopefully can be implemented before the end of 2014. ID arranges the staff's pension plan through Credit Union. ID adds 10% to each salary of the staff every month for pension plan which is managed through Credit Union. This portion of salary is used to pay back the loan at the CU that each staff borrows. The loan is used as saving at the Credit Union with 15% interest p.a. for their pension purpose.

Another incentive is the opportunity to attend trainings, in house or outside the organization as the organization fully supports staff capacity building.

Score: 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.

Generally, the organization now has a stable income, although some donors already reduced or even stopped their support. Income comes from donors, especially foreign donors, but also from donations, fundraising, and investments. The fluctuating income is compensated during the program implementation or by raising additional income through program activities themselves.

The management realises that the organization has to build autonomy and independence in its position regarding income, and develop a particular division to focus on this issue. Financial plans are projecting that by 2019, the organization should have more internal revenue sources than external, decreasing the dependency on donor organizations. Another income source is from *GCU* and *GPPK* for the development of *Kalimantan Review*, whether from compulsory contribution of the members or from the advertisements in the *Kalimantan Review*.

Score: 3 to 3 (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.

No change has occurred with respect to funding procedures at *Institut Dayakologi* over the last two years. The organization has a good financial strategy which is described in the ten year organization financial plan (2010-2019).

However to sustain the organization income, ID improved the mechanism of organization fundraising and proposal development by conducting training on proposal development. The training of proposal development was attended by all staff, forming a team of proposal development , collecting information on partners who worked at the similar issue. ID also made an effort to strengthen the organization fundraising by recruiting 1 staff to work on the outlet of ID. The outlet of ID provided public with more ID publication such as publication of research on indigenous people , in the form of books, bulletin, and newspaper. It also collected the artwork of indigenous people and help them sell their product. New Jurung also provided new opportunity to generate income from organization asset.

Score: 4 to 4 (no change)

Summary Capability to act and commit

In terms of strategic guidance to resist slight change since the baseline. The director has become the chairman of another organization (GPPK) and the treasurer of yet another (CUG). Now the division Manager has the authority to make decisions as long as it is within the scope of the program. Meetings in the division depend on the initiative of the management team and Division Managers but are routinely held each month and this is where strategic and operational guidelines are provided. The management team provided mentoring and guidance to division managers. Strategic plans are well articulated and based on monitoring and evaluation, although there is no systematic monitoring and evaluation in place. The changing on the day to day leadership on management team has opened a wide opportunity of discussion between management team, division managers, and program managers, on the program implementation. As the communication and capacity gap was minimum and staff became more free to express ideas. The discussion became a means of collecting facts, analysing the condition, and deciding strategies for a better implementation. The organization also runs a research and studies program, an advocacy and collaboration program, and an empowerment of resource program. M&E is done both internally and externally and the result was used to analyse program implementation and formulate better pogram implementation strategy. M&E has become one of the approaches in the preparation of strategic planning. There is no particular tool to do this process. Meetings for annual planning and review are used to deliver the next strategic plan.

Staff turnover is still high , since some experienced staff left the organisation by the end of 2012. But there is also been some new staff. This left the organisation with a gap in terms of available knowledge and skills but the money that came available by staff leaving has been used to train other staff. There have been plenty of opportunities for skills upgrading both in the organisation through sharing meetings as well as by attending capacity building events   mostly finded by MSF II especially in house trainings within the organisation. FGenerally, the staff of *Institut Dayakologi* are loyal, dedicated and committed but still lack general skills i.e. language skills. Motivation to work for the organisation mainly comes from staff's dedication to contribute to the Dayak culture, although some staff have left the organisation due to better financial gains elsewhere. Staff in this organization are included in a social security system, provided allowance for family and children, health insurance, accommodation and transportation. A pension program for staff is under development and hopefully can be implemented before the end of 2014 The organization still has a complicated but firm organization structure, and also has clear procedures to develop the strategic planning which is included target communities. It has relative stability in financial resources and there are procedures and plans to obtain additional income and to become less dependent of donors, which is described in a ten year organization financial plan.

Score: from 3.1 to 3.6 (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).

Compared to the baseline there is still no comprehensive and functional M&E system in place and there are no written documents or formal procedures for M&E. M&E is just centered on discussions between staff and coordinators. M&E is applied at the project level, not yet the organizational level. M&E is done in the form of discussions based on projects, together with stakeholders sharing experiences, renewing reports, and providing suggestions. The monthly meeting which is attended by all staff is also used as the evaluation forum discussing achievements, problems, and solutions. An annual evaluation and planning meeting is also held to evaluate all the implemented programs within a year and to arrange next year's programs. Staff members are slowly learning about M&E, identifying obstacles and constraints and reducing the risk of failure by finding solutions.

Score: 3 to 3 (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.

Compared to the baseline, there is still no particularly trained staff to implement M&E although they do understand the importance of M&E. Staff gathers information on the implementation of their programs, resources and the needs of targeted community. Division Manager and program managers provide monthly, quarterly, six-monthly and annual reports.

Some staff members have been requested to do M&E in the internal organization of GPPK.

Score: 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.

No change has occurred in this indicator compared to the baseline. Generally, management decisions are based on program implementation reports however, the findings are not always recorded and neither is feedback from the beneficiaries. The reported problems are analyzed to find the solutions which are then recommended as the basis for decision-making. Through this process, M&E has become one of the approaches in the preparation of strategic planning. There is no particular tool to do this process. Meetings for annual planning and review are used to deliver the next strategic plan.

Score: 3 to 3 (no change)

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

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

Critical reflection is done in executive meetings, program meetings, and monthly meetings in the form of "debates". The monthly meeting is held to discuss any concerns related to programs or non-programs openly. There is an informal mechanism within the staff and management to discuss those concerns for example during lunch time.

The suggestion box is changed into a digital forum through social media and short message service, which staff members can use as a tool to convey feedback to management. Despite offering this mechanism in an electronic format now, there is no difference compared to two years ago.

Monitoring and evaluation on programme implementation of respective divisions are carried out on a montly, quarterly, semester and annual basis as well as per activity. The instruments used to monitor the programme implementation are Activity Implementation Plan (RPK), Activity Implementation Analysis (APK), monthly reports that are submitted by staff to programme manager, Quarterly reports that are submitted by programme manager to Division Manager, Semester reports that are submitted by Division Manager to Director. In addition, monitoring and evaluation are also held during monthly meetings, executive meetings and programme's year-end evaluation and monitoring.

Monitoring and evaluation aimed at ensuring that programmes implemented in compliance with work plans that have been previously formulated and providing feedback for perfection and improvement of programmes taking into account today's development ongoing in the facilitated communities.
Monitoring on budget is carried out every day, once in 4 months, semester and year. The aims of monitoring are not only to ensure that every activity is implemented on time, on target and on budget but also to provide input and recommendation for the next activities.
Daily monitoring is carried out every working day at the secretariat of Institut Dayakologi in Pontianak, whereas the monitoring on the implementation of Grasshopper IV programme in Tanjung, Jelai Hulu, Ketapang District is carried out once in 4 months (quarterly) by conducting a direct visit to the field to see whether the budget is used appropriately for the programme implementation in the field.
The aim of evaluation is to evaluate the progress and outcomes of the programme implementation as well as to identify constraints sustained. The aspects that are evaluated, among which are the time of activity implementation, the compliance of preparation of activity with the work plan, the compliance of activity implementation with time table, human and financial resources, costs, how the activity is carried out, goals and what instruments are used as well as all the notes and receipts as source of evidence for the activity implementation. All these aspects are evaluated as to see whether they comply with the Work plan, Activity Implementation Plan, Activity Implementation Plan and Budget Form.
Score: 3.5 to 3.5 (no change)

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

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

There is no change regarding sharing ideas among the staff. They feel that the organization is always open for any comments and ideas through formal meetings or personal communication. For example, if the finance staff needs an external financial consultant to develop organizational financial software, the organization will find an appropriate consultant to develop this idea. The new ideas, including technical suggestions for program implementation are accommodated as long as they are in line with the vision and mission of the organization.

Score: from 3 to 3 (no change)

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.

There has been no change in the way that Institut Dayakologi tracks its environment. *Institut Dayakologi* as a leading NGO on the Dayak culture in West Borneo finds that it has to follow general trends and developments in its environment, particularly developments with good impact for the organization. It is easy to find information about the changes and trends as it has coaching programs with activists being involved in the community’s everyday life. Another method to obtain information is by conducting a forum for external reflection with participants from universities, church representatives and local community members.

Since 2012, the organization has held an annual celebration for its anniversary with particular events such as book/documentary film/journal launching to attract public attention.

Score: 4 to 4 (no change)

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

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

No changes have taken place with regards to stakeholder responsiveness. *Institut Dayakologi* invites all stakeholders and other organizations in an evaluation meeting to evaluate the implemented programs and to obtain suggestions for next programs. There is also a general evaluation session which involves stakeholders and beneficiaries to obtain criticisms and suggestions for the next implemented programs.

Score: 3 to 3 (no change)

Summary of capability to adapt and self-renew

There is still not comprehensive and functional monitoring and evaluation system in place , but the organization receives feedback from other organizations and beneficiaries and evaluates the impact of the implemented programs as part of program implementation. ID has setup a M&E Division as one of its main programs starting 2015. This program will be managed by a Division Manager and put in the management structure of the organization. Furthermore, regular meetings are held to discuss progress program implementation and annual planning and review meeting is held to look back and plan ahead for the next year. There is no specific and dedicated trained staff to do M&E. Monitoring and evaluation is mainly focused on project and not organisational level and on activities and outputs and impact. The organisation also has published lots of publication that provided a deep analysis on the indigenous people culture. The book is a reflection of how the intervention bring changes on people’s life.There are many ways for staff to deliver their ideas and critiques both informally and formally. Currently with the fast growth of social media, the staff are also able to deliver their ideas through digital media. The organisation tracks what is happening in the environment, mainly by engaging with the communities but also with the media.

Score: from 3.1 to 3.1 (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.

Programs are implemented based on work plans and detailed operational budgets in the Program Implementation Planning (RPK) which includes activities, output, result, resources (asset), and budget. Beside the RPK, there is also Program Implementation Analysis (APK) which analyzes program implementation. RPK and APK are used by the staff as a reference for daily operational activities. However, various staff members have raised concerns related to the effectiveness of RPK due to lack of staff to implement all the programs, and an alternative, simpler way of planning may be more applicable and effective.

Score: 4 to 4 (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.

Cost effective resource use is promoted through the budget arrangement . Budget is the first process to be prepared to ensure that the organization has the resources needed and make a cost effective activitivy plan. The staff needs to propose the budget before the program starts and they need to submit reports and receipts to be verified by the finance department. This mechanism gives a significant impact in budget saving and the staff can work efficiently before the budget is allocated without considering the needs or real demand in the field. This mechanism has remained unchanged since 2012, relating in no change with respect to this indicator.

Score: 4 to 4 (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.

There is no change related to operational planning and program implementation. *Institut Dayakologi* implemented the program based on the planning. Acivities to implement the program was conducted to achive the objective of the program. on the planning made by all the staff. Generally, operational planning runs smoothly as long as the planning is well and carefully prepared. Any deviation that occurred was caused by external factors or other situational conditions in the field. Most staff members have high commitment regarding program implementation which enables them to run their planning well. Overall outputs have been delivered according to the plans consistently.

Score: from 3.5 to 3.5 (no change)

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

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

There is no change in the way the organization fulfills the needs of the beneficiaries. The organization holds a workshop and discussions at the start of a program to assess the newest condition in the community. Community involvement is the key for this organization in implementing the programs as well as doing monitoring and evaluation. During program implementation, the team will allocate time to stay together with the beneficiaries. This engagement with the communities supports assessing whether the services meet beneficiary needs.

Score: from 4 to 4 (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.

There is no change related to the monitoring efficiency. The organization reviews Program Implementation Planning (RPK) and undertakes Program Implementation Analysis (APK). This is the most effective way to find out the relation between the input and output of the implemented program, and to find out the achievement of target percentage. Staff performance is evaluated by each program manager biweekly and by division manager monthly.

Score: from 3 to 3 (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

Quality and efficiency are balanced by comparing the used resources and the impact of an implemented program, and this has been performed consistently over the last two years. No significant changes have therefore been found with respect to this indicator.. Program quality or activity can be seen from the positive feedback from the beneficiaries, local government, and other stakeholders. The needs of the beneficiaries and the demand in the field are high whilst the available resources are limited. Staff has to be creative in way to keep the result optimal.

Score: 3 to 3 (no change)

Summary of Capability to deliver on development objectives

Programs are implemented based on work plans and detailed operational budgets in the Program Implementation Planning (RPK) which includes activities, output, result, resources (assest) , and budget. All staff has a responsibility to develop RPK and APK. Beside the RPK, there is also Program Implementation Analysis (APK) which supports the analysis of program implementation. RPK and APK are used by the staff as a reference for daily operational activities. *Institut Dayakologi* has an approach for project implementation which requires developing the work plan and budget arrangement first and analyze it afterwards. This way, the staff can work efficiently and the resources are used appropriately. It also helps them to compare the input, the output and the impact. There is still deviation from the planning because of the external factors although the organization always finishes their program completely. In order to fulfill the needs of the beneficiaries, the organization held discussions and workshops before the programs are implemented. Sometimes, the staff stays with the beneficiaries to ensure optimal delivery. Since staff engages frequently with beneficiaries, this assists in assessing whether the services meet their needs.

Score: from 3.6 to 3.6 (no change)

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.

Institut Dayakologi is a part of an extensive network, GPPK or Gerakan Pemberdayaan Pancur Kasih (Pancur Kasih Empowerment Movement), in Borneo. The organization has developed various activities to exchange experience within the network from the village level up to the international level. It also develops good relationships with some external communities to develop its policy and strategy through strategic planning and review meetings for and these meetings are open for feedback and suggestions by anybody.

Score: 4 to 4 (no change)

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

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

Institut Dayakologi has maintained its engagement level in it's networks. The internal relation within *Institut Dayakologi* has remained strong as well as the relations with other strategic networks whether local, national or at the international level. External relations have been developed since the program was implemented. The network consists of the Credit Union (CU), Catholic Church (diocese), the regency (Education Department, animal husbandry, fishery, and National Land Agency, libraries, etc.), the local village government (in the beneficiaries' areas), traditional organization, partner organization, and international NGO i.e. Cordaid.

The organization participates in other organizations' programs and vice versa, or implements a joint program such as lobbying at the national level and amongst government. The relationship with government was better as government has put more trust on ID's work. The stakeholders trust was shown from the use of books published by ID as their reference, including being used by school as a textbook. ID also developed stronger relationship with Media, such as Ruai TV.

The new "Jurung" also contributed to strengthen ID networking as it opened for any organization activities.

Score: 4.5 to 4.5 (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.

Institut Dayakologi has continued its processes related to the engagement with its target groups. It visits the targeted communities frequently, which has become an important part of program implementation. The amount of visits depends on the program, for example in the division for Collaboration and Advocacy the staff had to stay with the beneficiaries. In another program, the organization communicates with the targeted community by visiting their homes, or holding seminars or meetings. The amount of visits depends on the needs of the community but because of the distance and cost, not all the communities have been visited with the same frequency. In that case, the staff communicate with the community representative via telephone.

Score: 4 to 4 (no change)

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?

Relationships within the organization have remained strong and well. Communication and decision making is still done through routine meetings: monthly, executive, managerial, annual evaluation and annual program. The organization also uses a mailing list to communicate with the staff/activists. An annual performance review by the executive director has also become a forum to communicate in which the director closely communicates with the staff whilst the staff can share any problems related to their performance.

The other way is through suggestions via short message service and social media. Previously the organization provided a suggestion box to obtain the staff's ideas, feedback, and suggestions. The daily communication is open through direct communication or electronic media (email, SMS, or phone call).

Sejauh ini seperti itu, ketika pembicaraannya sampai ke tingkat direktur mengenai masslah pribadi, itu harus dilakukan. Tetapi sebelumnya terlebih dahulu di bicarakan di tingkat pengurus, baru kalau tidak diselesaikan di tingkat pengurus, baru ke tingkat direktur, disitu keputusannya, dan itu harus dilakukan. Kalau mailing list di beberapa tahun ini tidak jalan. Dan saat ini di lakukan di grup bbm untuk share-share pekerjaan walaupun belum mencakup semua staf karena tidak semua menggunakan bbm.
Score: 4 to 4 (no change)

Summary of Capability to relate

The organization has an extensive network and develops good relationships from village level to international level. Stakeholders are invited to provide suggestions to aid in the development of the strategic planning and asked to work together with the organization in the implementation of projects. There is frequent contact between staff members and beneficiaries through frequent visits or even by phone if distance or resources do not allow frequent visits. Sometimes staff members stay with the beneficiaries There are many ways to get staff feedback or involvement in the decision making process through routine meetings, informal communication and a suggestion box.

Score: from 4.1 to 4.1 (no change)

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.

No changes have occurred regarding the revisiting of Institut Dayakologi vision and mission. The vision and mission are reviewed formally in the meeting for strategic planning which is held every three years. Stakeholders are involved in the discussion with the founders, management, executives, and staff. The discussion about the vision and mission is not always producing changes but can be a reflection of the current social situation (consider vision and mission in any program).

Score: from 4 to 4 (no change)

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

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

Operational guidelines have stayed the same over the last two years, and continue to be effectively applied to day to day work. The organization has clear rules to direct the performance of the staff. There is a twenty page document regarding Standard Operational Procedures (SOP) which has been revised many times -. The newest version is from the year of 2007 regarding technical operation guidelines, administration and HRM. Th was a new SOP of building maintenance. The SOP refered to the new building of ID that just finished its construction in 2013. The SOP is used and supported by the management. There is also a description of the jobs and the documentation process as well as financial procedures. Before using the SOP, the description of the jobs is discussed and the staff members are asked to provide feedback.

Score: 3.5 to 3.5 (no change)

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

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

No changes have occurred since 2012 with regards to the alignment with vision and mission. Project and strategy are still in line with work programs of the organization, the objective and the activities are taken directly from the vision and mission. ID staff has internalized the vision and mission of the organization. The work has reflected the vision and mission of the organization.

Score: 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.

Dayakologi’s efforts remain greatly mutually supportive. All the running projects are designed to relate to each other, for example the documentation of *Dayak* culture has given an impact towards the awareness amongst the community regarding the importance of maintaining their culture. The publication has suppoted the work of ID direct intervention with community. One of the issue was a conservation of indigenous territory which has to face with private company expansion. The publication hads influenced the community in such a way they have a good knowledge and understanding to defend indigenous territory. This common issue was an example of how reserach division support the publication division and , adcocacy division to solve the environmental problems followed by an increase in income. All the programs support each other in such a way.

Score: 4.5 to 4.5 (no change)

Summary Capability to achieve coherence

The vision and mission of the *Institut Dayakologi* are reviewed every three years. Strategic planning directly becomes work planning, which enables projects to generally be in line with the vision and mission. The projects are also related to and supporte each other, therefore, mutually supportive. There is an agreed SOP to support the work of the staff covering HRM and finance which is developed together with the staff and these are effectively applied, but this hasn’t changed since the baseline in 2012 .

Score: 3.9 to 3.9 (no change)

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

Narrative of Genral Causal Map of Institut Dayakologi

Institute Dayakologi (ID) is an advocacy organization which works for the preservation of the cultural preservation of the Dayak. One of the main activities of ID was to conduct advocacy of the natural and indigenous environment which is increasingly threatened by the expansion of plantation companies. In addition, ID takes a leading role in creating awareness in the community on pluralism through local subjects at schools. It targeted junior high school level students and was intended to bring awareness to children that they are part of a multi-cultural society.

1. The evaluation team carried out an end line assessment at Institut Dayakologi from 20 to 23 August 2014. During this workshop, the team made a recap of key features of the organisation in the baseline in 2012 (such as vision, mission, strategies, clients, partnerships). This was the basis for discussing changes that had happened to the organisation since the baseline. The three main changes that happened in the organisation since the baseline, as identified by the staff during the end line workshop were: improved secretarial coordination and support [20]
2. improved staff morale [1]
3. strengthened role as a networking hub for advocacy on Dayak communities and culture [7]
4. increased executive team's capacity to develop proposals [8]
5. improved staff decision-making process [28]
6. more qualified human resources [16]

According to staff present at the end line workshop, these organizational capacity changes are expected to contribute to the development of Dayakologi as a leading organization in indigenous culture preservation.

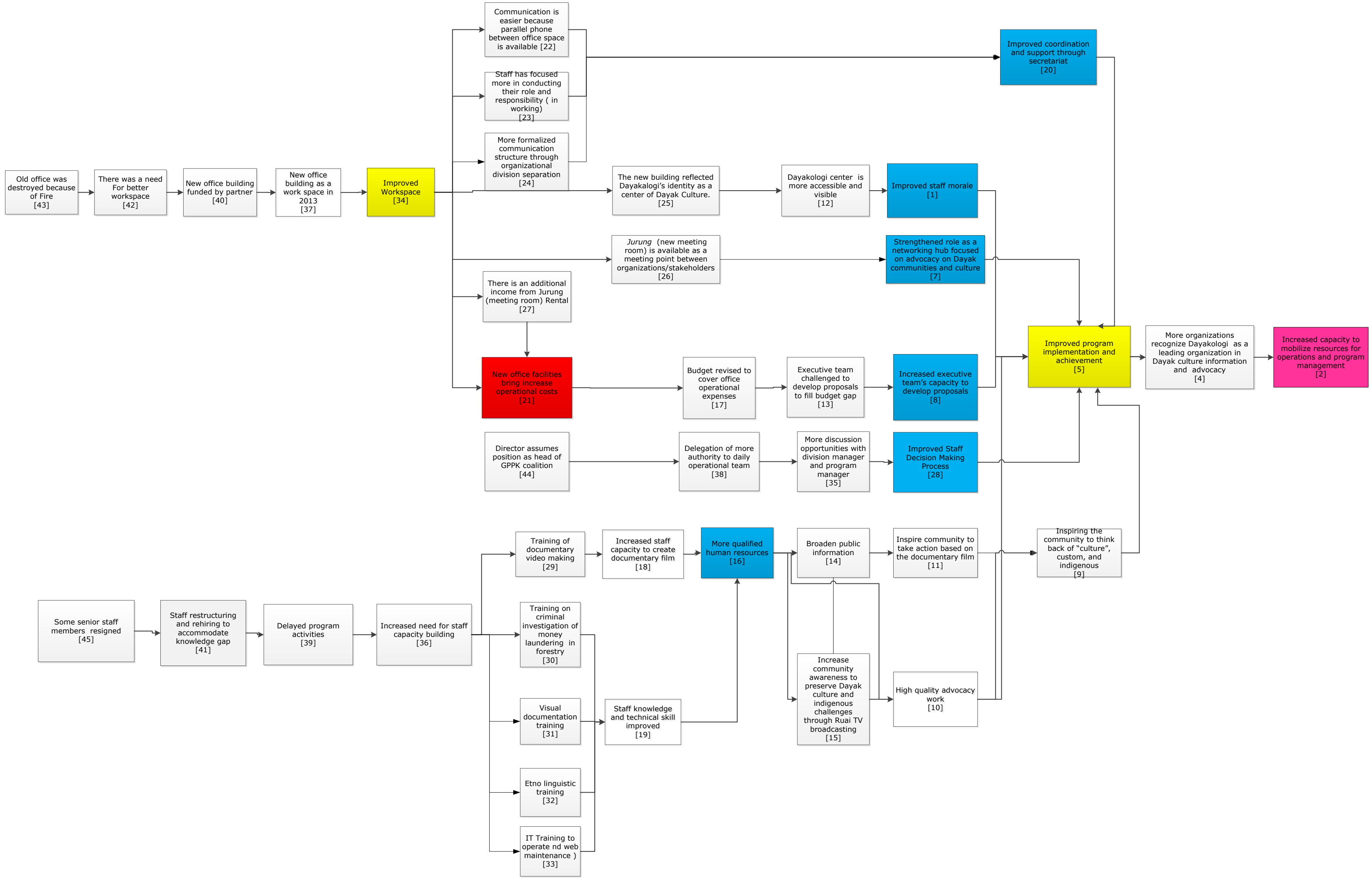
Apart from the fourth issue, all of these issues have contributed to improved programme implementation and achievements [5] which have helped the organization to be better recognized as a leading organization on the Dayak culture in terms of information and advocacy work [4]. This increased recognition as well as the increased executive team's capacity to develop proposals is helping the organization in the capacity to mobilize resources for operations and program management [2].

One example of improved programme implementation could be seen in inspiring the community to think about the culture, customs and indigenous communities of the Dayak [9]. On the one hand this was done through the publication of a documentary film published by Institut Dayakologi [11], in an attempt to broaden public information [14]. On the other hand community awareness was addressed by pointing out the need to preserve the Dayak culture and the challenges that indigenous communities face on a daily basis through Ruai TV broadcasting. Based on the FGD with staff, Ruai TV had a role to publish or broadcast documenter films/movies produced by Institut Dayakologi.[15]. Both these initiatives were enabled by the increased staff capacity to create documentary films [18] , which are further explained below.

Another example includes the high quality advocacy work [10] that has been done by Institut Dayakologi. Next to specific new work initiatives, the quality of advocacy work went up significantly as well [10] due to more qualified staff and human resources available to the organization [16]. This is further explained below.

Each of the five key organizational changes are further explained below. The numbers in the narrative correspond with the numbers in the visual.

General Causal Map of Institut Dayakologi



Improved secretarial coordination and support [20]

Daily tasks and program implementation work were more effectively executed [5] by having better coordination and support from the organization's secretariat [20]. Program activities could now be carried out with more coordination, focus and in a timely manner. The secretariat now possesses good communication infrastructure, such as multiple phone connections [22], stronger work discipline and focus in carrying out their duties [23] and most importantly, a more formalized communication structure which was brought about by the physical restructuring of the department into separate divisions [24]. The underlying cause for this overall professionalization of the secretariat was the improved workspace [34] which was upgraded as part of the new office building in 2013 [37]. Funds for this rebuilding was provided for 35% by partner donor agencies, and the remainder was paid for with Institut Dayakologi's sustainability fund [40].The new office building was a necessity [42] after the old building got destroyed in a fire in 9 August 2007[43], but also a welcome change after working for years in an inadequate and improvised environment. It greatly impacted staff morale and the professionalization of the organization as a whole.

Improved staff morale [1]

According to staff present at the end line workshop, staff morale overall was greatly impacted by the accessibility and visibility of the newly constructed Institut Dayakologi building [12]. More people came to visit this building to learn and look for references about Dayak Culture, which enthused and engaged the organization's staff. The new building-itself became more visible through their designs, which incorporate and display both the Dayak Culture's and the organization's identity [25]. This major overhaul of office space was part of a greater initiative to improve office space [34], which will be explained as a separate change factor in more detail further below. Improved staff morale is expected to lead to improved programme implementation [16].

Strengthened role as a networking hub for advocacy on Dayak communities and culture [7]

Dayakologi strengthened its role as a hub in the network that focuses on the advocacy for Dayak communities and culture [7]. Partners and stakeholders supported Institut Dayakologi's role as such due to their provision of meeting space in their new office as meeting point for thenetwork [26]. The meeting room, or better known traditionally as a "Jurung", was created as part of the new office environment, and meant to be used both for internal use as well as external use by renting out the space publicly. The Jurung is a true replication of a traditional Dayak meeting space, and provides an important role in the Dayak culture.

Increased executive team's capacity to develop proposals [8]

The executive team's capacity to develop proposals [8] has been increased after the executive team was challenged to increase their competencies and find additional funding for the organization in order to be able and fill the new budget gap [13]. Institut Dayakologi's budget had to be revised [17] after it came under strain as a result of the higher operational expenses brought in from usage of the new office facilities [21]. Although some of these expenses could be covered by income from renting out the "Jurung" meeting room [27], new funds were required to balance the organization's budget after the workspace improvements had been realized [34].

Improved staff decision-making process [28]

The organization has improved its decision making process [28]. The junior Staffs were given more opportunities to discuss matters with the division manager and program manager [35], who in turn utilized this input into their management decisions. These opportunities were created through the delegation of more authority to the daily operational team [38]. Prior to this it was mostly the Director who dealt with such issues and management decisions, but as he assumed position as head of the GPPK coalition [44], the director was forced to put down some of his day to day Institut Institut Dayakologi activities and delegate them to his subordinates.

More qualified human resources [16]

Institut Dayakologi now has more qualified human resources [16] . Due to having increased capacity for staff to create documentary films [18], after following a training session on the subject of documentary video making [29]. Staff capacity also increased due to improved technical knowledge and skills of staff [19]. This was due to a series of trainings. On the knowledge side, staff was trained for instance on Etno linguistic skills, which enabled them to understand and communicate with Dayak communities at a higher level [32]. On the technical skill side, staff went through training on criminal investigations of money laundering in forestry [30], visual documentation [31] and IT training to operate IT but also maintain for example the website [33]. All the trainings provided by Institut Dayakologi were part of the organization addressing the need for further staff capacity building [36]. This became evident after program activities became more and more delayed after a large restructuring operation of human resources [41]. Staff was relocated, newly hired and repositioned to accommodate the knowledge gap [41] that was left behind after several senior staff members resigned [45] from the organization in the observed period in the end of 2012.

1. Improved program implementation and meeting the set objectives [5]
    a. The strategy of program implementation was broadened through the use of visual documentation of indigenous custom through movies or videos. This was enabled by inspiring community (not only beneficiaries) to think about the culture, customs and indigenous communities of the Dayak [9]. On the one hand this was done through the publication of a documentary film published by Institut Dayakologi [11], in an attempt to broaden public information [14]. On the other hand community awareness was addressed by pointing out the need to preserve the Dayak culture and the challenges that indigenous communities face on a daily basis through Ruai TV broadcasting (15]. Both these initiatives were enabled by the increased staff capacity to create documentary films [18] after following a training session on the subject of documentary video making [29].
2. High quality advocacy work [10]
    a. Next to specific new work initiatives the quality of advocacy work went up significantly as well [10] due to more qualified staff and human resources available to the organization [16].Both staff knowledge as well as technical skills improved [19]

Better recognition of Dayakologi as a Dayak Culture information center [2]

Institut Dayakologi has become known as the leading organization with respect to Dayak Culture information [2] amongst both the public as well as public and private institutions. The prime reason for this was the fact that more organizations have experienced and observed Institut Dayakolog'si efforts in advocacy for the natural and indigenous environments which are increasingly threatened by the expansion of plantation companies and the Dayak culture in general. The reasons for this recognition have already been explained in the sections above.

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

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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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