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# EKHC end line report

MFS II country evaluations, Civil Society component

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This report describes the findings of the end line assessment of Ethiopian Kale Heywit Church (EKHC) in Ethiopia is a partner of Tear Fund Netherlands under the ICCO Alliance.

The evaluation was commissioned by NWO-WOTRO, the Netherlands Organisation for Scientific Research in the Netherlands and is part of the programmatic evaluation of the Co-Financing System - MFS II financed by the Dutch Government, whose overall aim is to strengthen civil society in the South as a building block for structural poverty reduction. Apart from assessing impact on MDGs, the evaluation also assesses the contribution of the Dutch Co-Funding Agencies to strengthen the capacities of their Southern Partners, as well as the contribution of these partners towards building a vibrant civil society arena.

This report assesses EKHC's efforts to strengthening Civil Society in Ethiopia and for this exercise it used the CIVICUS analytical framework. It is a follow-up of a baseline study conducted in 2012. Key questions that are being answered comprise changes in the five CIVICUS dimensions to which EKHC contributed; the nature of its contribution; the relevance of the contribution made and an identification of factors that explain EKHC's role in civil society strengthening.

Keywords: Civil Society, CIVICUS, theory based evaluation, process-tracing



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# List of abbreviations and acronyms

AAC	Anti Aids Club
AIDS	Acquired Immune Deficiency Syndrome
ART	Anti-Retroviral Therapy
BBBC	Bole Bible Baptist Church
CBO	Community Based Organisations
CCMD	Church and Community Mobilisation and Development
CDI	Centre for Development Innovation, Wageningen UR
CFAs	Co-Financing Agencies
CFO	Co-Financing Organisation
CLFZ	Child Labour Free Zones
CMC	Centre Management Committee
CRDA	Christian Relief and Development Association
CS	Civil Society
ECFE	Evangelical Church Fellowship of Ethiopia
EFM	Early Forced Marriage
EECMY-YDCS	Yemisrach Dimts Communication Services
EKHC	Ethiopian Kale Heywit Church
FBO	Faith Based Organisation
FGM	Female Genital Mutilation
GBV	Gender Based Violence
HBC	Home Based Care
HEW	Health Extension Workers
HIV	Human Immune Deficiency Virus
HRH	Human Resources for Health
HTC	HIV Testing and Counselling
HTP	Harmful Traditional Practices
ICCO	Inter-church organization for development cooperation
IFPRI	International food Policy Research Institute
M&E	Monitoring and Evaluation
MA	Medan Acts
MDG	Millennium Development Goal
MoFa	Ministry of Foreign Affairs
MFI	Micro Finance Institutions
MFS	Dutch co-financing system
MKC-RDA	Meserete Kristos Church – Relief and Development Association
NGO	Non-Governmental Organisation
OSSA	Organisation for Social Services for AIDS
OVC	Orphans or Vulnerable Children
PLWHIV	People Living with HIV
PLWHA	People Living with HIV and Aids
PMTCT	Prevention of Mothers to Child Transmission
PTA	Parent Teacher Association
SHG	Self Help Group
SIM	Serving in Mission
SPO	Southern Partner Organisation
SRH	Sexual and Reproductive Health
SSI	Semi-structured Interview
ToC	Theory of Change
VCT centres	Voluntary Counselling & Testing centres
Wageningen UR	Wageningen University & Research centre
5C	Capacity development model which focuses on 5 core capabilities



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# 1 Introduction

This report presents the civil society end line findings of the Ethiopian Kale Heywit Church in Ethiopia which is a partner of Tear Fund under the ICCO Alliance. It is a follow-up to the baseline assessment that was carried out in 2012. According to the information provided during the baseline study, EKHC is working on the MDG 'Health'.

These findings are part of the overall evaluation of the joint MFS II evaluations to account for results of MFS II-funded or –co-funded development interventions implemented by Dutch Co-Funding Agencies (CFA) and/or their Southern Partner Organisations (SPO) and to contribute to the improvement of future development interventions. The civil society evaluation uses the CIVICUS framework and seeks to answer the following questions:

- What are the changes in civil society in the 2012-2014 period, with a particular focus on the relevant MDGs & themes in the selected country?
- To what degree are the changes identified attributable to the development interventions of the Southern partners of the MFS II consortia (i.e. measuring effectiveness)?
- What is the relevance of these changes?
- What factors explain the findings drawn from the questions above?

The CIVICUS framework comprises five dimensions (civic engagement, level of organization, practice of values, perception of impact and contexts influencing agency by civil society in general). It has been used to orient the evaluation methodology.

## 1.1 Changes in the civil society arena of the SPO

In the 2012 – 2014 period the two most important changes that took place in the civil society arena of the SPO are related to civic engagement and perception of impact. With regards to the first dimension we observe a slight increase since the baseline study in terms of more People Living With HIV (PLWHIV) and Orphans and Vulnerable Children (OVC). These are now being reached by Anti Aids clubs, girls clubs, grain banks, schools and the FBO forum and that these have contributed towards combating social exclusion. Most of these organisations, apart from the two new districts that were added to EKHC's intervention zone, were already established before the current programme started in 2011 and received continuous support by EKHC.

With regards to perception of impact (which also includes the increased outreach already mentioned under civic engagement), we observe that the Anti-Aids Clubs (AACs), the girls clubs and the FBO forum are better embedded into society. AACs increasingly requested to intervene when parents have problems with their children and they are engaging in other development activities in their community as well. In Arba Minch town the FBO forum which regroups Protestant, Catholic and Muslim congregations is attracting material and financial support from many sources and is engaged in a wide range of development activities. It has gained sufficient bargaining power to negotiate positive outcomes with the university and with local government.

Relations of both EKHC and the forum with local government representatives has become more formal and more regular and increasingly, private sector organisations support EKHC in the accomplishment of its objectives regarding HIV and AIDS.

These findings were obtained through an analysis of documents, a workshop and follow-up interviews with EKHC, and interviews with external resources persons working in civil society organisations that receive support from EKHC; other civil society organisations with whom the SPO is collaborating; public or private sector agents and; external resource persons capable of overlooking the MDG or theme on which the SPO is concentrating.

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## 1.2 Contribution analysis

Based upon an analysis of the projects and programmes financed by the Dutch CFAs a selection was made of SPOs to be included in an in-depth process tracing trajectory and those to be included for a quick contribution assessment. EKHC was amongst those SPOs selected for in-depth-process tracing.

The first outcome that we looked at is the extent to which EKHC contributed to the reintegration of OVCs into the school community and to enhance their chances of becoming a full member in society. The pathway most likely explaining this reintegration consists in the first place of material support of diverse nature (food, school uniform, school contributions, etc) mobilised. The AACs, girls clubs and peer education groups are not able to sufficiently cater for these. Once these conditions have been met, counselling services by peers in the AACs, girls clubs and the education groups all do fulfil a meaningful role in the creation of solidarity by creating a level of trust and comfort with OVC that allows for more open discussions of sensitive topics. It remains difficult to disentangle the performance of the peer education system and that of the AACs, both implemented under the MFS II programme, because they overlap in terms of students taking part in both. EKHC's MFS II contribution consists of strengthening the performance of the above mentioned groups that seem to be socially sustainable because embedded in society but not in financial terms. Compared to the figures of OVCs and destitute children supported by the USAID program, also implemented by EKHC and reaching 2413 children with 260 volunteers (not only by counselling services but also by material support), the MFS II contribution seems to be rather limited.

The second outcome that we looked at is the capacity of the religious forum in Arba Minch town and the grain banks to ensure 'enhanced food and nutritional support for vulnerable groups'. The data available suggest that not only the religious forum and the grain banks provide food and nutritional support to vulnerable persons, but many other traditional and informal structures in society. There are multiple pathways that explain the outcome. The capacity of the FBO forum and the grain banks to deliver foods and nutritional support is limited; the first lacks a clear vision and mission in society, which might help it to concentrate on a few interventions rather than solving all problems in Arba Minch town. The grain banks suffer from the rampant inflation rate and cannot support more people and they are not capable of providing the food and nutrition requirements needed for PLWHIV under ART. EKHC's contribution to strengthening the performance of the forum and the grain banks is limited and most of these entities were already formed before the 2011 project started.

## 1.3 Relevance

Interviews with staff of EKHC, with external resource person, as well as contextual information helped to assess the relevance of EKHC's interventions in terms of; its Theory of Change (ToC) for Civil Society (SC) as designed during the baseline study; the context in which EKHC is operating; the CS policies of Tear Fund.

With regards to the 2012 ToC established with EKHC, the interventions and outcomes achieved are relevant to some extent because the AACs, the grain banks and the FBO forum have shown to be capable to fulfil a role of change agent in their community. The FBO forum lacks a clear vision and a position to take in society. Only the forum and the grain banks have proven to be capable of creating assets, whereas the AACs and the girls clubs are encountering difficulties. In particular the forum and the grain banks are based upon traditional institutions (idir and churches) and have been able to take up new roles in society.

The changes introduced by EKHC seem to respond to the context and needs assessment conducted in 2010. However the information made available is not explicit on changes introduced on the two new project sites where EKHC intervenes since 2011.

With regards to the MFS II policies of the ICCO alliance the changes are relevant because they are based upon the networks of churches that increasingly need to play in development. Tears' approach of creating SHGs was not assessed in EKHC, but they are a sustainable and high return intervention. The relevance of the programmatic approach in which EKHC takes part is not evident, because not documented by EKHC.

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## 1.4 Explaining factors

The information related to factors that explain the changes in CS, EKHC's contribution to these changes and the relevance of its interventions were collected at the same time as the data were gathered for the previous questions. Apart from searching for explaining factors related to these evaluation questions, the evaluation team was also informed about other important factors such as the organisational performance of EKHC, relations with Tear Fund that might have had an effect on its performance or external factors.

The most important internal factors that might explain failures in the implementation of the EKHC programme are the high transportation costs to join the new project sites and a high staff turnover. Apart from this considerable flaws exist in EKHCs financial and narrative reporting system.

The most external factors that may impact upon EKHC's performance are related to the 30/70 ratio for administrative versus operational costs imposed by the government; a high staff turnover in government offices and EKHC's approach regarding the creation of SHG that is different than the approach taken by other NGOs.

The relations between Tear and EKHC have become tenser since the co funding agency observed that EKHC's reporting and monitoring and evaluation standard does not provide quality. EKHC experiences difficulties with delays in budget releases and the annual contracts that delay the implementation of project activities and decrease EKHC's position to negotiate with the local government.

The following chapter briefly describes the political context, the civil society context and the relevant background with regards to the governance issues EKHC is working on. Chapter three provides background information on EKHC, the relation of its MFS II interventions with the CIVICUS framework and specific information on the contract with Tear Fund. An evaluation methodology has been developed for the evaluation of the Civil Society component which can be found in appendix 2; however, deviations from this methodology, the choices made with regards to the selection of the outcomes for contribution analysis, as well as difficulties encountered during data collection are to be found in chapter 4. The answers to each of the evaluation questions are being presented in chapter 5, followed by a discussion on the general project design in relation to CS development; an assessment of what elements of the project design may possibly work in other contexts or be implemented by other organisations in chapter 6. Conclusions are presented in chapter 7.

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## 2 Context

This paragraph briefly describes the context EKHC is working in.

### 2.1 Political context

The Ethiopian Government has enacted a five year Growth and Transformation Plan (GTP) to implement over the period of 2011-2015<sup>1</sup>. Two of the major objectives of the plan are to maintain at least an average real GDP growth rate of 11%, meet the Millennium Development goals, and expand and ensure the qualities of education and health services thereby achieving the MDGs in the social sectors (FDRE, 2010). The government acknowledged that NGO's and CSO have an important role to play in the implementation of this plan: According to the preamble of the new charities and societies proclamation NO. 621/2009 of Ethiopia, civil society's role is to help and facilitate in the overall development of the country<sup>2</sup>. This is manifested in the government's approach of participatory development planning procedures. For example, NGOs established a taskforce under the umbrella of the CCRDA to take part in the formulation of the country's first Poverty Reduction Strategy paper formulation. They were a major stakeholder in the planning process of the five year GTP plan. Despite fears that the NO. 621/2009 proclamation was thought to have negative impacts on Civil Society, the number of newly registered charities and societies have increased considerably. 800 new charities and civil societies were registered between 2010/11 and 2011/12 and as of February 2012, these were implementing over 113.916 projects in different social, economic and governance related sectors. Governance related projects comprise interventions in the area of democracy and good governance, peace and security, human rights, justice, and capacity building. The charities and societies are most engaged in the health sector (19.8%), followed by child affairs (11.9%), education (9.2%), governance (8.3%) and other social issues (7.8%). These figures are more or less similar to the pre-proclamation period, and would imply that new charities or societies have replaced foreign and Ethiopian charities that are not allowed to work on sectors related to governance and human rights<sup>3</sup>. This might indicate that there might have been some flexibility in the interpretation of some of the provisions of the proclamation.

### 2.2 Civil Society context

This section describes the civil society context in Ethiopia that is not SPO specific. The socioeconomic, socio-political, and sociocultural context can have marked consequences for civil society, perhaps more significantly at the lower levels of social development. The information used is in line with the information used by CIVICUS.<sup>4</sup>

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<sup>1</sup> November 2010, Growth and Transformation Plan 2011 – 2015, Ministry of Finance and Economic Development,(November 2010), Federal Democratic Republic of Ethiopia

<sup>2</sup> February 2009, Charities and Societies Proclamation (proc. no.621/2009), Federal Negarit Gazeta, Federal Democratic Republic of Ethiopia

<sup>3</sup> UNDP, January 2014, Civic Engagement for Effective Service Delivery in Ethiopia: Tools, Opportunities and Challenges, UNDP Ethiopia Working Paper Series No. 2/2014

<sup>4</sup> Mati J.M., Silva F., Anderson T., April 2010, *Assessing and Strengthening Civil Society Worldwide; An updated programme description of the CIVICUS Civil Society Index: Phase 2008 to 2010.*, CIVICUS

## 2.2.1 Socio-economic context

**Table 1**

*Ethiopia's rank on respectively the Human Development Index, World Bank Voice and Accountability Index and Failed State Index*

Ranking Body	Rank	Ranking Scale (best – worst possible)
UN Human Development Index	173 (2013)	1 – 187
World Bank Voice & Accountability Indicators	12 (2012)	100 – 0
Failed State Index	19 (2013)	177 – 1

Sources: UNDP, World Bank Governance Indicators, and Fund for Peace

The Human Development Index (HDI) is a summary measure for assessing long-term progress in three basic dimensions of human development: a long and healthy life, access to knowledge and a decent standard of living.<sup>5</sup> Ethiopia's HDI value for 2013 is 0.435— which is in the low human development category—positioning the country at 173 out of 187 countries and territories. Between 2000 and 2013, Ethiopia's HDI value increased from 0.284 to 0.435, an increase of 53.2 percent or an average annual increase of about 3.34 percent.

An alternative non-monetary measure of poverty and well-being is the Basic Capabilities Index (BSI). This index is based on key human capabilities that are indispensable for survival and human dignity.<sup>6</sup> Ethiopia falls with a BCI of 58 in the critical BCI category, which means the country faces major obstacles to achieving well-being for the population. 10% of children born alive do not grow to be five years old, only 6 % of women are attended by skilled health personnel and only 33% of school age children are enrolled in education and attain five years of schooling.

Ethiopia scores relatively low on the Social and Economic Rights Fulfilment Index (SERF Index)<sup>7</sup>. In 2012 Ethiopia is only protecting 58.10% of all its social and economic rights feasible given its resources, and the situation has worsened between 2010 and 2012. Especially the right to food and the right to housing remain problematic.

The Transparency International's Global Corruption Barometer survey shows how 1,000 Ethiopian people assess corruption and bribery in their home country: A low score indicates that a country is perceived as highly corrupt, while a high score indicates that a country is perceived as very clean. Ethiopia has a Corruption Perception Index score of 3.3 out of 10 in 2014, which places the country on position 110 out of 174 countries.<sup>8</sup> Survey participants were furthermore asked to rate their perceptions of corruption within major institutions in their home country on a scale of 1 to 5, 5 being most corrupt and 1 being least corrupt<sup>9</sup>. With a range of perceived corruption scores from around 2 (military, education and NGO's) to over 3 (private sector, public officials, and judiciary), most major institutions are perceived as corrupt.

Ethiopia's economic freedom score in 2014 is 50.0, making its economy the 151st freest out of 174 countries in the 2014 Index. Its 2014 score is 0.6 point higher than in 2013 due to improvements in five of the 10 economic freedoms, including business freedom, labour freedom, and fiscal freedom. Ethiopia is ranked 35<sup>th</sup> out of 46 countries in the Sub-Saharan Africa region, and its overall score continues to be below the regional average.<sup>10</sup>

<sup>5</sup> A long and healthy life is measured by life expectancy. Access to knowledge is measured by: i) mean years of education among the adult population, which is the average number of years of education received in a life-time by people aged 25 years and older; and ii) expected years of schooling for children of school-entry age, which is the total number of years of schooling a child of school-entry age can expect to receive if prevailing patterns of age-specific enrolment rates stay the same throughout the child's life. Standard of living is measured by Gross National Income (GNI) per capita expressed in constant 2011 international dollars converted using purchasing power parity (PPP) rates.

<sup>6</sup> [http://www.socialwatch.org/sites/default/files/BCI-MeasuringProgress2012\\_eng.pdf](http://www.socialwatch.org/sites/default/files/BCI-MeasuringProgress2012_eng.pdf)

<sup>7</sup> [http://www.socialwatch.org/sites/default/files/SERF2012\\_eng.pdf](http://www.socialwatch.org/sites/default/files/SERF2012_eng.pdf)

<sup>8</sup> <http://www.transparency.org/country/#ETH>

<sup>9</sup> <http://www.transparency.org/gcb2013/country/?country=ethiopia>

<sup>10</sup> <http://www.heritage.org/index/pdf/2014/countries/ethiopia.pdf>

## 2.2.2 Socio-political context

In February 2009, the Government adopted the NO. 621/2009 Proclamation which is Ethiopia's first comprehensive law governing the registration and regulation of NGOs. This law violates international standards relating to the freedom of association. Notably, the Proclamation restricts NGOs that receive more than 10% of their financing from foreign sources from engaging in essentially all human rights and advocacy activities.

The UN Special Rapporteur on the rights to freedom of peaceful assembly and of association, Mr. Maina Kiai, has commented that "The enforcement of these provisions has a devastating impact on individuals' ability to form and operate associations effectively, and has been the subject of serious alarms expressed by several United Nations treaty bodies." Mr. Kiai went on to recommend that "the Government revise the 2009 CSO law due to its lack of compliance with international norms and standards related to freedom of association, notably with respect to access to funding".<sup>11</sup> The Ethiopian Proclamation may effectively silence civil society in Ethiopia by starving NGOs of resources, and thus essentially extinguish their right to expression.<sup>12</sup>

In November 2011, the Ethiopian Charities and Societies Agency issued the Guideline on Determining the Administrative and Operational Costs of CSOs, which is applicable to all charities and societies (international and domestic). Retroactive to July 2011, when approved by the Agency without any consultation with organizations or donors, the "70/30" regulation limits administrative costs for all charities and societies to a maximum of 30% of their budgets.<sup>13</sup>

Freedom of assembly and association are guaranteed by the constitution but limited in practice. Organizers of large public meetings must request permission from the authorities 48 hours in advance. Applications by opposition groups are routinely denied. Peaceful demonstrations were held outside mosques in July 2012, but the security forces responded violently, detaining protestors, including several prominent Muslim leaders. A total of 29 Muslims were eventually charged with offences under the antiterrorism law. They were awaiting trial at year's end.<sup>14</sup>

**Table 2**

*Ethiopia's rank on respectively the World Bank Rule of Law Index, Transparency International Perception of Corruption Index and Freedom House's Ratings of Freedom*

Ranking Body	Rank	Ranking Scale (best – worst possible)
World Bank Rule of Law Index	31 (2012)	100 – 0
Transparency International perception of corruption index	111 (2013)	1 – 178
Freedom House: Freedom in the World	Status: Not Free Political Rights: 6 Civil Liberties: 6 (2014)	Free/Partly Free/Not Free 1 – 7 1 – 7

Sources: World Bank Governance Indicators, Transparency International and Freedom House

Freedom House evaluates the state of freedom in 195 countries annually. In 2014, Ethiopia scored a 6 on both the political rights and civil liberties ratings, indicating that the country is neither politically free nor performing on protecting civil rights.<sup>15</sup> Its total aggregate scores from the Freedom House Index decreased with 15 points in the 2008-2012 period.<sup>16</sup>

The media are dominated by state-owned broadcasters and government-oriented newspapers. One of the few independent papers in the capital, Addis Neger, closed in 2009, claiming harassment by the authorities. Privately-owned papers tend to steer clear of political issues and have low circulations. A

<sup>11</sup> see UN Human Rights Council, Report of the Special Rapporteur on the rights to freedom of peaceful assembly and of association, Maina Kiai, April 24, 2013.

<sup>12</sup> <http://www.icnl.org/research/monitor/ethiopia.html>

<sup>13</sup> Idem

<sup>14</sup> Idem

<sup>15</sup> Puddington, Arch (2013) <https://freedomhouse.org/report/freedom-world/2014/ethiopia-0>

<sup>16</sup> <http://www.freedomhouse.org/sites/default/files/FIW%202013%20Booklet.pdf>

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2008 media law criminalizes defamation and allows prosecutors to seize material before publication in the name of national security<sup>17</sup>.

Trade union rights are tightly restricted. All unions must be registered, and the government retains the authority to cancel registration. Two-thirds of union members belong to organizations affiliated with the Confederation of Ethiopian Trade Unions, which is under government influence. Independent unions face harassment. There has not been a legal strike since 1993.

Women are relatively well represented in Parliament, having won 152 seats in the lower house in the 2010 elections. Legislation protects women's rights, but they are routinely violated in practice. Enforcement of the law against rape and domestic abuse is patchy, with cases routinely stalling in the courts. Forced child labour is a significant problem, particularly in the agricultural sector. Same-sex sexual activity is prohibited by law and punishable with imprisonment.<sup>18</sup>

### 2.2.3 Socio-cultural context

The World Values Survey Wave 2005-2009 asked 1500 Ethiopians the question: "Generally speaking, would you say that most people can be trusted or that you need to be very careful in dealing with people?" Out of 1500 respondents, only 21,4 % stated that most people can be trusted. 66,2% indicated they needed to be very careful.<sup>19</sup> Additionally, only 36,1% of the respondents mentioned 'tolerance and respect for other people' as a quality that needs to be encouraged to learn children at home.<sup>20</sup> 74% of the respondents think that churches are giving adequate answers to people's spiritual needs.<sup>21</sup>

## 2.3 Civil Society context issues with regards to the MDG

A 20-year Health Sector Development Programme consisting of a series of 5-year rolling programmes was established in 1997–1998. Currently, the Health Sector Development Program IV 2010/11-2014/15 is rolled out. The recently implemented Business Process Reengineering of the health sector has introduced a three-tier health care delivery system which is characterized by a first level of a Woreda/District health system comprising a primary hospital (with a population coverage of 60,000-100,000 people), health centres (1/15,000-25,000 persons) and their satellite Health Posts (1/3,000-5,000 persons) that are connected to each other by a referral system. A Primary Hospital, Health centres and health posts form a Primary Health Care Unit (PHCU) with each health centre having five satellite health posts. The second level in the tier is a General Hospital with a population coverage of 1-1.5 million people; and the third a Specialized Hospital that covers population of 3.5-5 million.

The current health program also introduced a strategy to prevent and control major infectious diseases and to increase its coverage in the rural areas with the appointment of Health Extension Workers. Despite this still categories in society are still not being reached, including street children and youth, commercial sex workers, people with disabilities, PLWHIV, OVCs, destitute women and people living in geographically marginalized areas. In response to this gap, a number of actors, in particular NGOs, are striving to focus on the vulnerable groups of the community with the main purpose of improving access, quality and sustainability of health facilities and health services<sup>22</sup>.

The Ethiopian Health care system currently experiences a rapid expansion of private sector organisations and NGOs playing significant role in boosting the health service coverage and delivery of services through public/private/NGOs partnership. Health offices at different administrative levels from the Federal Ministry of Health to Regional Health Bureaus and Woreda Health Offices share decision making processes, decision powers, duties and responsibilities. The Federal and the Regional Offices

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<sup>17</sup> Puddington, Arch (2013) <https://freedomhouse.org/report/freedom-world/2014/ethiopia-0>

<sup>18</sup> Idem

<sup>19</sup> <http://www.worldvaluessurvey.org/WVSONline.jsp>

<sup>20</sup> Idem

<sup>21</sup> Idem

<sup>22</sup> Alemu E., September 2014, *Program and Project Evaluation of Basic Health and HIV/AIDS Implemented in Ethiopia (FinalReport)*, Covenant Development Consult

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are in charge of policy formulation and providing technical support whilst the Woreda Offices manage and coordinate the operation the district health system under their jurisdiction. The devolution of competencies to regional governments has resulted in a more decentralised decision making process.

Several reports indicate that Ethiopia the prevalence of HIV/AIDS has sharply decreased from 1.3 million persons in 2011 to 760,000 persons living with HIV/AIDS in 2013 (UNAIDS, 2013). However, the magnitude of socio-economic and psycho-social problems caused by the HIV/AIDS pandemic is still rampant: some 840,000 children lost one or both parents due to HIV/AIDS and were left behind without adequate parental care<sup>23</sup>.

The Arba Minch Zuria & Mirab Abaya woredas are known for a high prevalence of HIV/AIDS, because they are a transit way for many tourists and are a commercial hub for fruits like bananas and mangos, attracting transporters and labourers. Apart from these Arba Minch hosts universities and colleges which attracts many youth which are easily exposed to HIV infected persons. Youngsters that come to town for their education are easily exposed unprotected sex. Indications exist that stigma related to HIV/AIDS have been reduced in the urban areas, and therefore might increase the number of people that are being tested.

Several reports indicate that Ethiopia the prevalence of HIV/AIDS has sharply decreased from 1.3 million persons in 2011 to 760,000 persons living with HIV/AIDS in 2013 (UNAIDS, 2013). However, the magnitude of socio-economic and psycho-social problems caused by the HIV/AIDS pandemic is still rampant: some 840,000 children lost one or both parents due to HIV/AIDS and were left behind without adequate parental care<sup>24</sup>.

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<sup>23</sup> Alemu E., September 2014, *Program and Project Evaluation of Basic Health and HIV/AIDS Implemented in Ethiopia (Final Report)*, Covenant Development Consult

<sup>24</sup> Idem



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## 3 EKHC and its contribution to civil society/policy changes

### 3.1 Background of the SPO

#### **History**

The Ethiopian Kale Heywet Church was established in December 1927. The pioneers in the Church were native Ethiopians and Society of Integrated Missions (SIM). EKHC has a head office in Addis which comprises the Development Department and the Directorate General Secretary for Development works that are directly attached to the General Secretary of the church.

#### **Vision:**

EKHC's vision is to see a world where all the peoples of Ethiopia and beyond have heard the Gospel and become Christ's disciples and members of His Body – the Church, and actively involved in His service for holistic transformation.

#### **Mission:**

EKHC exists to serve God through proclaiming the Good News of Jesus Christ to the people of Ethiopia and beyond so that people may have eternal life, become Christ's disciples, and be fulfilled spiritually, socially, mentally, and physically so that they become salt and light for the glory of God.

Medan Acts (MA) is the Health/HIV department of the church at national level, and has 10 different programmes in different locations. Each location is quite independent, and may have a different approach. Different locations have often different donors and are different in strategy and activities. A characteristic of EKHC is that the structure is much compartmentalised, where different departments can work in a same area without much collaboration.

EKHC Medan Acts (MA) is being supported by Tear Fund for HIV related work in the Arba Minch area since 2005 and since 2006 under MFS I funding. The Head Quarter of Medan Acts is in Addis, and the programme office is in Arba Minch. Its main role with regards to HIV is on prevention and ensuring that People Living With HIV (PLWHIV) receive care and support through CBOs, FBOs and Anti AIDS Clubs. It completed its first phase in Jan, 2010 after which the project expanded to two new nearby woredas. In 2011 a one year pilot project was implemented in Arba Minchtown, six Kebeles of Arba Minchzuria woreda & seven Kebeles of Mirab Abaya woreda.

EKHC is one of seven Ethiopian partners in the Ethiopia Health Country Plan 2011-2015 of the ICCO Alliance. This Health HIV plan is the result of several consultations held in Ethiopia in 2010 and 2011, including a base line study implemented by local partners. It is the continuation of a new phase of cooperation between local partners in Ethiopia and Dutch partners of the ICCO Alliance.

The programme became operational in 2011 and evolved into a network of implementing partners that together and with other stakeholder draw lessons learned. Since 2012 the monitoring of the Ethiopia partners and the programme were decentralised to the ICCO Alliance Regional Office together with local staff of Dorcas, Red een Kind and Tearfund UK (called the Regional Working Organisation) that support the Ethiopian Health Program. Contracts are sent from the Netherlands after the ICCO office in Kampala has agreed.

With the support of the ICCO alliance, EKHC implemented two projects between 2012-2014, both part of the Health Sector Plan 2011-2015. The focus of this evaluation is on the project in Arba Minch called "Arba Minch Medan ACTS Comprehensive Community Based HIV Prevention & Control Project".

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## 3.2 MFS II interventions related to Civil Society

The overall objective for the Arba Minch project is linked to the overall ICCO Alliance country level objective and is formulated as “improving the quality, accessibility and sustainability of the health system for the most vulnerable groups in Arba Minch town, Mirab Abaya, and Arba Minch Zuria woredas.” Outcomes include: well-established accountability mechanisms in which civil society effectively calls the health system to account for the delivery of equally accessible basic health care, and; capacitated change agents through which civil society promotes the effective prevention of Sexual and Reproductive Health problems, HIV transmission and disabilities; and well-established HRH policies, strategies & activities that improve the quality, accessibility and sustainability of the health system.

The following relations exist between EKHC’s interventions and the CIVICUS framework: between 2012 and 2014 the focus on capacitating AACs and gender clubs and training peer educators to reach vulnerable youth in the area relates to the dimension of Civic Engagement. Strengthening the FBO forum and forming self-help groups and grain banks to provide support services to the most vulnerable groups in society relates to the dimensions ‘perception of impact’ and/or ‘level of organisation’ in terms of strengthening civil society organisations. This evaluation therefore tries to focus on these two orientations.

## 3.3 Basic information

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Table 3

*Basic information*

Topics	Answers
Name of SPO	EKHC
Consortium	ICCO Alliance
CFA	Tear Fund NL
Start date of cooperation	2007
MDG/theme	Health
MFS II project name 1	Arba MinchMedan ACTS comprehensive community based HIV prevention & control Project
Contract period	February 1, 2011 – January 31, 2015
Total budget Tear Fund	€ 376.354
Other donors if applicable	Other donor organisations that support EKHC are TearFund UK, EED, DORCAS AID International, Samaritan’s Purse – Canada, Canadian International Development Agency (CIDA), and Society of Integrated Missions (SIM) Ethiopia. It is not known to what extent these organisations also contribute to this particular project.
Estimation of % of budget for Civil Society <sup>25</sup>	66 %

Sources: Project documents

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<sup>25</sup> Costs that relate to civil society development or policy influence are those costs that possibly contribute to the development of the CIVICUS dimensions, excluding coordination and office costs; staff costs and financial reserves.

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# 4 Data collection and analytical approach

## 4.1 Adjustments made in the methodology of the evaluation

The project document has been formulated at the ICCO Alliance level for a period of five years which implies that annual plans and report are not taking into account the specific context in which EKHC operates. Progress reports only partially match the objectives formulated in the annual contracts with EKHC and most often describe activities and outputs implemented without linking these to the outcome level. Reporting on progress does not match with the contract periods. Apart from this it was hardly possible to accumulate information from different progress reports into a comprehensive overview enabling the evaluators to track progress against targets. The terminology used from one report to another was not consistent, making it therefore difficult to link EKHC's interventions to the CIVICUS framework and to set an orientation for the contribution analysis. This was only possible after the first workshop with EKHC after which the team could follow the evaluation methodology as planned.

Most important difficulties also are related to the fact that no difference is being made with support given to already existing structures before 2011 and newly created structure. It is not possible to tell how many new structures (AACs, gender clubs, grain banks, FBO forums, SHGs) were created in the new project and what differential support was given to both.

Also with regards to budgets and expenditure reports, the following issues have been observed. In the first place the 3 year budget has a different set up than the financial reports, therefore making comparisons impossible. Some budget lines in the financial reports are not included in the initial budget such as a budget line for capital items 542.101 which explains nearly 25% of all expenses and which according to Tear NL was spend on a second vehicle but wrongly recorded. The 2012/2013 budget seems completely overspent. Similar unclarified issues exists with regards to the contributions given to the forum, the grain banks and the AACs and expenditures made for the purchasing of formal bylaws by SHGs that however did not receive official papers.

## 4.2 Difficulties encountered during data collection

The evaluation team encountered difficulties in compiling all information from the project documents as a means to obtain a complete overview of outcomes and outputs achieved in line with the logical framework. Whereas the project is being implemented by EKHC in the Arba Minch area, the objectives set were on ICCO Alliance level and no comparison between actual outcomes and objectives could be made.

## 4.3 Identification of two outcomes for in-depth process tracing

In relation to the CIVICUS framework four strategic orientations for contribution analysis were identified: Ensuring that more people from more diverse background are engaging in civil society activities; ensuring that the organisations that receive support from the SPO are capable of playing their role in civil society – intermediate organisations; strengthening the relations with other organisations in civil society to undertake joint activities, and; influencing policies and practices of public or private sector organisations.

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With regards to the efforts of EKHC this assessment looked at the extent to which EKHC helped to reintegrate OVC into the school community to enhance their chances of becoming a full member in society as a result of the peer education groups and the AAC and Gender clubs.

The second topic looks at the extent to which the FBO forum and grain banks are capable of providing food and nutritional support to vulnerable groups in society

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# 5 Results

## 5.1 Results obtained in relation to project logframe

From the project documents we extracted the following information, which however has not been validated by EKHC or by the Co-Funding Agency. We reconstructed a logical framework based upon the annual contracts between Tear Fund NL and EKHC<sup>26</sup>. Results are covering the February 2011 – October 2013 period.

EKHC tries to reach its objectives by capacitating and supporting 15 (or 14 according to the budget) Anti Aids Clubs (AACs), 10 gender clubs, 15 schools, 63 SGH, between 22 and 25 grainbanks (numbers not clear), 1 CBO forum (which is the religious FBO forum of Arba Minch) and an unspecified number of volunteers. Community leaders, CBO- and FBO leaders are trained on numerous topics including lobby& advocacy, networking, entrepreneurial skills, community conversation skills. Peer educators are trained to inform youth on HIV related topics, to integrate vulnerable children into the school system and to decrease the number of drop-outs. EKHC furthermore initiated the religious FBO forum in the Arba Minch area in 2010, trained it and covered administrative costs between 2012 and 2014. Additionally, EKHC forms Self Help Groups (SHG) and grain banks to increase self-sufficiency in the area. Care and support services and referral of mothers to Prevention of Mother to Child Transmission (PMTCT) services is done via the FBO forum and volunteers. These volunteers receive training on adherence counselling and home based care services.

Objective 1: Well-established accountability mechanisms in which civil society effectively calls the health system to account for the delivery of equally accessible basic health care.

At this level no targets were formulated and we deduced from the report that 15 schools and 1 university, 10 gender clubs, 15 AACs, 1 CBO forum.

- Between 3200 and 3520 students were reached in 15 schools on HIV/AIDS, reproductive health and sexuality issues; the AACs reached 16977 persons and 7020 persons were reached by gender clubs. 544 pregnant women were linked to health institutions for PMCTC services; there is some indication that women become aware that female circumcision is a harmful practice;
- 60 female students received particular support in different schools through the peer education groups; 40 OVCs received educational material support because 6 schools generated income through their own agricultural plots;
- 66 CBO/FBO leaders and 240 idir<sup>27</sup> members (we do not know if CBO stands for idir) received training by peers on gender issues;
- One religious forum was established in Arba Minch town for care and support before 2011 and it is currently supporting 40 persons on a monthly basis. The idirs and churches support 30 vulnerable people in the new project areas and by October 2013, 129 PLWHIV received food support from grain banks;
- 1 kebele administration provided half an acre of land for the strengthening of the care and support activity. The beneficiaries are now growing bananas on the land. A newly established grain bank in Mirab Abaya woreda organised a fund raising conference on their local churches and collected more than 32,000 Birr and 200 kg of maize.

No progress seems to have been made on the establishment of similar CBO forums in Mirab Abaya, and Arba Minch Zuria woredas.

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<sup>26</sup> Contract 2011046; 2012046 and 2012-2015 proposal

<sup>27</sup> Among the most enduring, universal, effective, and relevant socio-economic informal institutions Ethiopians have created are Iquib and Idirs are an informal institution in Ethiopia; they are associations established among neighbors or workers to raise funds that will be used during emergencies, such as death within these groups and their families. An idir can be characterized as a traditional financial association.

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No examples have been documented that explain how these organisations collaborate with the health system and hold it accountable. We further observe that limited information has been reported with regards to the girls clubs.

Objective 2: Capacitated change agents through which civil society promotes effective prevention of SRH problems, HIV transmission and disabilities. At this level no targets were formulated and the figures are not reliable.

- Initially each AAC was supposed to organise 2 coffee ceremonies per month (180 coffee ceremonies per 6 months; this was downsized to 1 coffee ceremony per month per AAC as of May 2013. On average, 84 % of the planned ceremonies took place.
- 8104 people have got voluntary counselling and testing services of which 3535 females (44%) and 68 (0.8%) PLWHIV were referred to health facilities for ART follow up.
- 22/25 grain banks are operational, representing a network of 75 CBOs and FBOs; 9 grain banks formed a union in Arba Minch, received a mill and are searching for legal recognition. The government has provided a house for the grain mill.
- 63 SHG have been established that support members in financial and in social terms

Objective 3: Well-established Human Resources for Health (HRH) policies, strategies & activities that improve the quality, accessibility and sustainability of the health system: No targets were formulated for this objective and from the reports no clarification was obtained about the nature of this objective: was it about the CBO forum or was it about coordinating interventions in the Health sector with other NGOs in the district as a means to prevent duplication of efforts.

## 5.2 Changes in civil society in the 2012-2014 period

### 5.2.1 Civic Engagement

Civic engagement describes the formal and informal activities and participation undertaken by individuals to advance shared interests at different levels. Participation within civil society is multi-faceted and encompasses socially-based and politically-based forms of engagement.

Civic engagement only slightly increased since the baseline study, mostly by means of more PLWHIV and OVCs now being reached by EKHC's interventions.

The youth was mainly reached by using peer-education methods through anti-aids clubs. Between 2012 and 2014, 126 high school students and 75 university students were trained to lead discussion on HIV/AIDS, reproductive health and sexuality issues. These peer-educators reached between 3200 and 3520 students in 15 schools. Another 17000 persons received similar information by means of Anti Aids Clubs outside school and 7020 persons were reached by gender clubs. 544 pregnant women were linked to health institutions for PPTCT services; there is some indication that women become aware that female circumcision is a harmful practice<sup>28</sup>.

- 63 SHGs were formed and are saving money that can be borrowed by individual members who want to start their own business. These SHG are also perceived by their members as a social safety net and as a platform to address issues as social exclusion<sup>29</sup>.
- 22/25 grain banks are operational (9 in Arba Minch, 7 in Mirab Abay and 6 in Arba MinchZuria). Nine out of the existing grain banks in Arba Minch formed a union and received a grain mill from the government. By October 2013, 129 persons living with HIV received food support from grain banks.
- 8104 people received voluntary counselling and testing services of which 3535 females (44 %) and 68 (0.8%) PLWHIV were referred to health facilities for ART follow up.

These outcomes are the result of some 90 community volunteers providing care and support and counselling services, 75 university students engaging in peer education and 44 CBO and church leaders. (We are not sure about the numbers though).

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<sup>28</sup> Interview with programme staff

<sup>29</sup> Interviews with SHG members

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EKHC closely works with churches and idir leaders for its programming and implementation of activities which are mainly male, hence increasing the risk of not being able to represent the needs and interests of women.

Both EKHC and the groups it works with are engaging in a political sense.

**Score baseline 2012 on an absolute scale from 0-3: 2**

**Score end line 2014, relative change on a scale of (-2, +2): 1**

### 5.2.2 Level of Organisation

This dimension assesses the organisational development, complexity and sophistication of civil society, by looking at the relationships among the actors within the civil society arena.

EKHC is one of seven Ethiopian partners jointly implementing the Ethiopia Health Country Plan 2011-2015 of the ICCO Alliance. It is the continuation of a new phase of cooperation between local partners in Ethiopia and Dutch partners of the ICCO Alliance. At programme level a number of objectives were set that indicate how EKHC changed with regards to its engagement with other NGOs.

The programme has been instrumental for all partners to share experiences and to learn lessons through the organisation of mutual project visits that also included public sector staff, as well as exposure visits to other organisations. These visits have stimulated reciprocal learning amongst partners.

The alliance partners received courses on lobby and advocacy and a manual was developed that is suitable for the Ethiopian context. However no joint strategies were developed to influence public policies and practices as a coalition, some use the course lessons to hold the public sector accountable at their project sites, which is not the case with EKHC. Alliance partners developed new ways to include their churches into development efforts, such as is the case with EKHC, and some learned how to use the local media such as radio broadcasting (no indications found with EKHC).

As observed at the level of EKHC, also the coalition is missing a monitoring and evaluation systems that helps to track progress being made and to draw lessons for improving the programme's effectiveness and efficiency.

This coalition of partners is still financially dependent upon the ICCO alliance and did not undertake any initiatives to attract other financial resources. Apart from this the Head Quarters of the partners, because not foreseen in the organisational set up, are not providing the support needed to sustain the coalition<sup>30</sup>. According to Tear NL this issue is currently being addressed.

A positive trend observed is that EKHC is increasingly engaging with other religious congregations and not only its own protestant church<sup>31</sup>. Since 2010, Arba Minch town has a religious forum established by EKHC together with the local government that regroups Catholic, Muslim, Orthodox, and Protestant leaders and that are increasingly being solicited by the local government to resolve local conflicts. The forum is now self-supporting and provides support to 50 vulnerable people.

The Forum has constituted an Executive Committee of six members representing Orthodox Church (2 representatives), Protestant Church (2 representatives), Catholic Church (1 representatives) and Moslem (1 representative). It has developed its own bylaw, standard of work procedure in the process of beneficiary selection, service delivery and monitoring of activities<sup>32</sup>.

**Score baseline 2012 on an absolute scale from 0-3: 1**

**Score end line 2014, relative change on a scale of (-2, +2): 1**

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<sup>30</sup> Alemu E., September 2014, Program and Project Evaluation of Basic Health and HIV/AIDS Implemented in Ethiopia (Final Report), Covenant Development Consult

<sup>31</sup> Field staff and the programme staff

<sup>32</sup> Alemu E., September 2014, Program and Project Evaluation of Basic Health and HIV/AIDS Implemented in Ethiopia (Final Report), Covenant Development Consult

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### 5.2.3 Practice of Values

Practice of Values refers to the internal practice of values within the civil society arena. Important values that CIVICUS looks at such as transparency, democratic decision making, taking into account diversity that are deemed crucial to gauge not only progressiveness but also the extent to which civil society's practices are coherent with their ideals.

Hardly any changes occurred with regards to the baseline study. Most representatives in the social organs of EKHC are mostly from middle classes, and marginalised groups and women are underrepresented. However, since 2012 more disabled representatives take part in these organs.

The evaluation team observed many unclarified issues related to the project budget and real expenditures that require a further analysis by competent experts. At the same time EKHC's financial resource base from donors is declining.

**Score baseline 2012 on an absolute scale from 0-3: 2**

**Score end line 2014, relative change on a scale of (-2, +2): 0**

### 5.2.4 Perception of Impact

Perception of Impact assesses the perceived impact of civil society actors on politics and society as a whole as the consequences of collective action. In this, the perception of both civil society actors (internal) as actors outside civil society (outsiders) is taken into account. Specific sub dimensions for this evaluation are the extent to which the SPO has contributed to engage more people in social or political activities, has contributed to strengthening CSOs and their networks, has influenced public and private sector policies.

Since the baseline slightly positive changes are registered with regards to the extent to which beneficiaries are satisfied with services delivered, the organisations supported by EKHC have proven to make a considerable contribution to the civil society arena and have engaged in satisfactory relations with government representatives and public services and with private sector organisations. No policies of public or private sector organisations were influenced.

In the first place we observe that no systems are in place that measure the extent to which EKHC's beneficiaries are satisfied with services and support delivered by the AAC, the grain banks, the SHGs, the girls clubs, the FBO forum in Arba Minch and the many volunteers and community leaders that have been trained. Some positive indications show us that the outreach of these entities has increased since 2012 and that SHG are successful in combating social exclusion. AACs increasingly are being seen as the structures to solve issues relating to children in schools and in society, and they are engaging in other development activities as well. However AAC members frequently shift from one place to another, and occasionally AAC face internal conflicts, both factors therefore weakening the performance of these clubs<sup>33</sup>.

The 22 – 25 grain banks are capable to support some 125 vulnerable people (PLWHIV and OVCs, disabled persons), however an increase in their number is hampered by inflation rates and consequent rises in prices of staple foods. These grain banks are embedded in their community through the idirs and the church.

In Arba Minch town the FBO forum which regroupes Protestant, Catholic and Muslim congregations is attracting material and financial support from both other NGOs, universities and the local government, which enable it to also support some 45 vulnerable people (PLWHIV and OVCs, disabled and elderly persons) on a regular base and engages in other less regular community activities. It has become self-sufficient. Upon invitation of the local government it is assisting in the resolution of conflicts and it has gained sufficient bargaining power to negotiate positive outcomes with the university and with local government.

According to the information made available no such forums have been established in Mirab Abaya, and Arba Minch Zuria woredas.

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<sup>33</sup> Input-output analysis



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Relations of both EKHC and the forum with local government representatives has become more formal and more regular. This made the process of linking the 30 additional SHGs with microfinance institutions, which are established and sometimes managed by the government, easier. The government provides office space to the forum and the AACs and regularly is consulted by EKHC during meetings. They receive the technical and material support from EKHC that is necessary to play their roles in development.

Increasingly, private sector organisations support EKHC in the accomplishment of its objectives regarding HIV and AIDS. They provide free of charge health services, pay school fees or support OVC by ensuring vocational training.

No explicit policy influencing takes place targeting the public and the private sector.

**Score baseline 2012 on an absolute scale from 0-3: 1**

**Score end line 2014, relative change on a scale of (-2, +2): 1**

### 5.2.5 Civil Society Environment

It is very challenging to sign an agreement with government bodies for a project which only has a life span of one year. Yearly projects also mean that it is more difficult to adjust to the mandatory administrative/program budget ratio (30/70 ratio). Projects covering more years could probably solve this issue, providing more flexibility for EKHC. The regional Finance and Economic Development Bureau was strictly opposed to the initial starting date of the project set at February 2012, because at that moment EKHC was not capable to comply with the 30/70 ratio and was searching for additional funding. Finally, the official starting date was reported to May 2012 when additional funding was found with Help a Child. The 30/70 ratio also resulted in EKHC staff being underpaid.

The official agreement procedures with the government took a very long time and have delayed in particular those activities in the woredas (Mirab Abaya and Arba MinchZuria). High staff turnover in government offices explain these delays.

EKHC suffered from the absence of resource persons in Arba Minch that would be capable of providing courses on networking and lobby and advocacy which resulted in the postponement of these activities.

**Score baseline 2012 on an absolute scale from 0-3: 1**






**Score end line 2014, relative change on a scale of (-2, +2): -1**

## 5.3 To what degree are the changes identified attributable to the development interventions of the Southern partners of the MFS II consortia (i.e. measuring effectiveness)?

This paragraph assesses the extent to which some civil society outcomes achieved can be “attributed” to EKHC. Starting with an outcome, the evaluation team developed a model of change that identifies different pathways that possibly explain the outcome achieved. Data collection was done to obtain evidence that confirms or rejects each of these pathways. Based upon this assessment, the evaluation team concludes about the most plausible explanation of the outcome and the most plausible relation between (parts of) pathways and the outcome. The relations between the pathways and the outcomes can differ in nature as is being explained in table 4.

**Table 4**

*Nature of the relation between parts in the Model of Change*

Nature of the relation between parts and other parts or outcome	
The part is the only causal explanation for the outcome. No other interventions or factors explain it. (necessary and sufficient)	
The part does not explain the outcome at all: other subcomponents explain the outcomes.	
The part explains the outcome but other parts explain the outcome as well: there are multiple pathways (sufficient but not necessary)	
The part is a condition for the outcome but won't make it happen without other factors (necessary but not sufficient)	
The part is a contributory cause it is part of a 'package' of causal actors and factors that together are sufficient to produce the intended effect.	

Sources: Mayne, 2012; Stern et al, 2012

The following paragraph assesses EKHC's contribution to two outcomes. Each paragraph first describes the outcome achieved and the evidence obtained to confirm that the outcome has been achieved. It then presents the pathways identified that possibly explain the outcomes, as well as present information that confirms or refutes these pathways. The last section concludes in the first place about the most plausible explanation of the outcome, followed by a conclusion regarding the role of the SPO in explaining the outcome.

### 5.3.1 Civic engagement

The evaluation team looked at the extent to which EKHC's interventions helped to reintegrate OVCs into the school community to enhance their chances of becoming a full member in society. According to our information 60 female students received particular support in different schools through the peer education groups; 40 OVCs received educational material support because 6 schools generated income through their own agricultural plots.

EKHC does this by means of forming peer education groups within schools and by capacitating AACs and gender clubs in order for them to provide psychological support to OVC. The assumption is that students are more inclined to be influenced by their peers than by their parents or teachers. The cascade system of peer education furthermore ensures a wide coverage. The government is also involved in the re-integration of OVCs into the school system via the provision of special IDs that allow OVC to enter schools without a uniform, by exempting OVCs from paying school contributions, and by paying part of their health expenses. Apart from this volunteers employed by NGOs like USAID might also explain the enhanced inclusion of OVCs: they provide care and support services and distribute school uniforms, school materials and food to OVC.

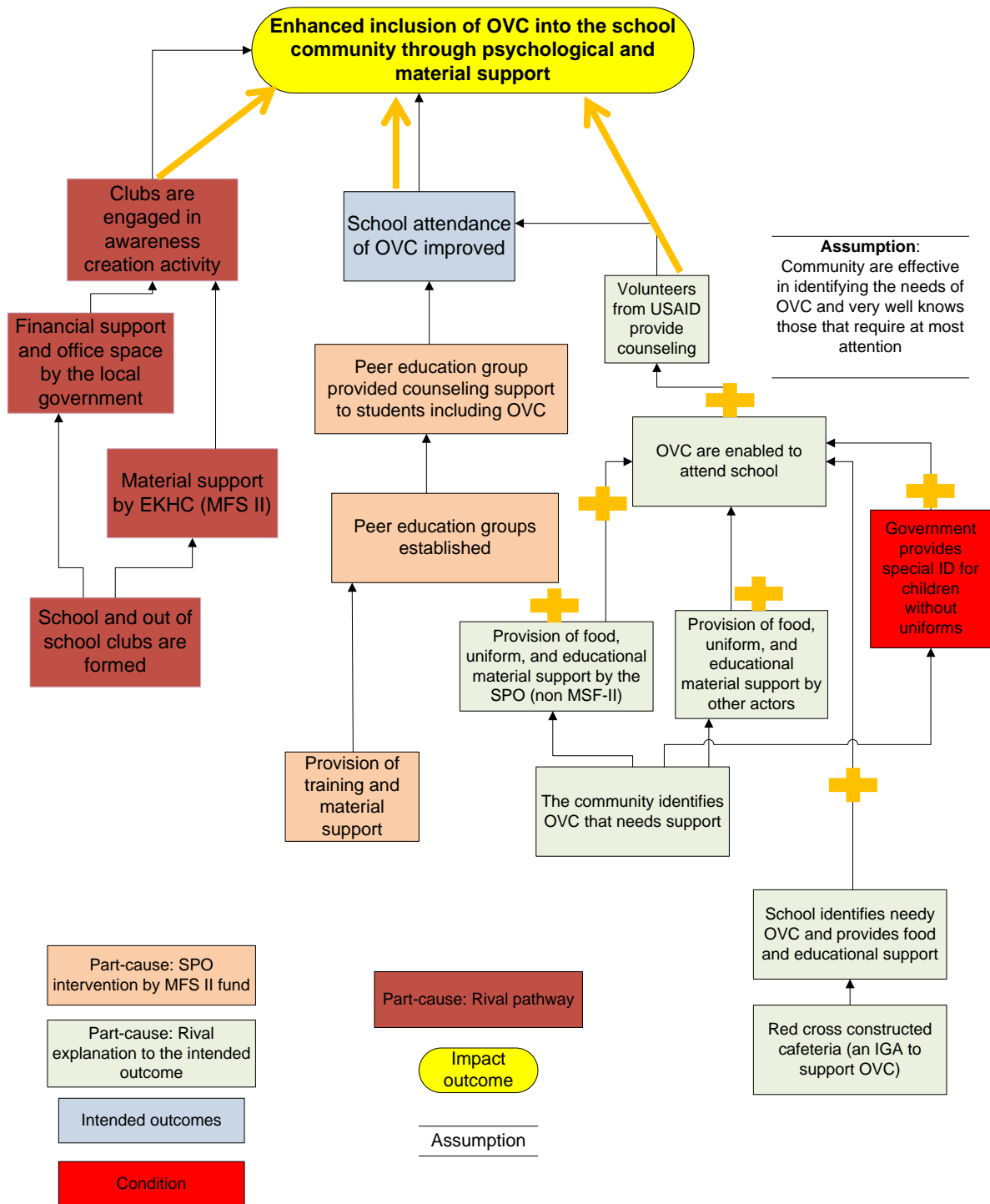
#### **Pathway 1: Enhanced inclusion through the efforts of peer education groups**

The first pathway that might explain the integration of OVCs into the school system is the formation of peer education groups. EKHC trains a total of 50 students per year as peer educators. These students then go to their respective schools and train 8 students each and those 8 teach 10 other students. Hence training one peer educator will result into 80 fellow students also becoming peer educators. The first 50 educators get training from EKHC for 10 days and in turn they train the 8 students for 5 days. The peer education members are in grade 5 or higher. Between 2011 and 2013, 126 out of the 140 planned peer educators were trained by EKHC.

The following information *confirms* the importance of the peer education groups in integrating OVC into the school system:

- Field staff believes peers of OVCs in schools know best their needs and hence can be instrumental in helping them. The peer educators furthermore conduct counselling of OVC school drop-outs and try to convince them to come back. The peer education system works well in identifying drop-outs. One of the peer educators mentions he was able to bring back three out of four OVC that dropped out in his school.
- A high school teacher interviewed underlines the positive effects of peer pressure to increase school attendance. An elementary school teacher adds that because the peer discussions are open to anyone and the topics are interesting, OVCs come to school to see their peers and to attend the peer discussions. Hence, the peer education groups increase the social cohesion between students.

- The peer educators interviewed highlight that students are more prone to listen to the advice of their peers than to the scolding of parents and teachers. Sensitive topics such as sexuality and sexual behaviour which are not addressed by parents are discussed in the peer education groups. This argument is valid for both the in- and out of school clubs.



**Figure 1:** Pathways that possibly explain outcomes and conclusions about the nature of the relations between pathways and the outcome, enhanced inclusion of OVCs into school community



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The following information collected highlights the fact that peer education groups *do not explain* the integration of OVCs into the school system:

- Though the cascade system looks promising in theory, the quality of the information transferred from peer educator to peer educator does not become clear from the data collected. The first educators are trained more extensively than their successors. Attendance rate of the students drops along the line: from the 10 students trained at the end only 60% finishes the full training<sup>34</sup>. The fact that peer educators need to be in grade 5 or higher means furthermore results in high succession rates. The peer educators who leave school recruit their successors. It does not become clear from the data collected how these successors are trained.
- The peer education groups focus mainly on awareness creation and they support OVCs through life skill advice. They do only have limited means to support OVCs with material or food support.

### **Pathway 2: Enhanced inclusion through awareness creation by AACs and gender clubs**

The second pathway that might explain the inclusion of OVC into the school system is the awareness creation by AACs and gender clubs. These in- and out of school clubs conduct awareness creation sessions aimed at convincing communities not to socially exclude OVCs. They furthermore provide counselling services to OVCs, which mainly consist of psychological support but occasionally they provide financial and material support.

EKHC supported 14 AACs and 10 gender clubs between 2012 and 2014. The number of newly established AACs or gender clubs since the baseline and their location cannot be deducted from the documents. The AACs are said to have reached a total of 16,977 persons by means of coffee ceremonies, poetry presentations and 10 drama plays. Initially each AAC was supposed to organise 2 coffee ceremonies per month (180 coffee ceremonies per 6 months). This was however downsized to 90 coffee ceremonies since May 2013. On average 84 % of the planned ceremonies during that period took place<sup>35</sup>.

The documents give the impression that 10 gender clubs have been created between 2012 and 2014, in charge of one coffee ceremony per month. No figures are available for the number of coffee ceremonies organised except for the May-October 2013 period: 85% of the planned coffee ceremonies were conducted during that period. The gender clubs were able to reach 7.020 persons via the coffee ceremonies.

The following information *confirms* the importance of AACs and gender clubs in integrating OVC into the school system:

- The AACs work together with the Kebele Children and Youth office and the school to reach children that are not going to school<sup>36</sup>. The AACs have easy access to the youth in the community via their members and they are able to approach the most destitute children.

The following information collected highlights the fact that AACs and clubs *do not explain* the integration of OVCs into the school system:

- The financial capacity of the clubs is limited: the members of the AAC interviewed emphasize that their club can only materially support a handful of OVCs. The sustainability of these clubs in terms of providing material support is low.

### **Pathway 3: Enhanced inclusion through support provided by the local government**

A third pathway that might contribute to the inclusion of OVCs into the school system is based on the efforts of the local government. The local education office provides various exemptions to improve the school attendance of OVCs. For example, vulnerable students who cannot afford uniforms are given a special ID to enter the school premises without uniforms. Though government schools are free, OVCs are exempted from paying school contributions like for example renovation fees. Furthermore, the

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<sup>34</sup> Based on attendance records of peer educator groups

<sup>35</sup> No information available for the other periods

<sup>36</sup> Interview with AAC member

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government covers their health expenses in the locality and works together with NGOs like the GamoGofa development association to provide food and material support.

The government is also working on bringing back school drop-outs. Kebele representatives are part of school committees that work together with Parent Teacher Associations (PTAs) to identify OVCs in town.

The following information *confirms* the importance of the local government in integrating OVC into the school system:

- The local government is willing to work together with different partners on the integration of OVCs. At Kebele level, the Children and Youth Office works with the AACs to identify OVCs and school drop-outs. At town level, the education bureau works together with school committees and PTAs to identify OVCs. After the selection process the government officials determine what support can be given via government services and through NGOs like PACT or the GamoGofa association.
- The local government has a broad strategy and support system like the exemption of admission fee and school contribution for destitute and OVC, OVC that can't afford to wear uniforms are given a specific ID where they are allowed to enter without uniform, and the Mayor's office covers a portion of health expenses from the regional annual budget.

The following information collected highlights the fact that the efforts of the local government *do not explain* the integration of OVCs into the school system:

- The local government takes a rather passive stance towards the implementation of their directive. As the interviewee of PACT confirms, actors need to approach the local education office to ask for support of identified OVCs. The local education office does not have a pro-active attitude towards supporting OVCs, but rather waits until NGOs approach them. The local government does not actively intervene although it has the mandate to do so. The education bureau confirms in an interview that their coverage of OVCs support is still rather low.

#### **Pathway 4: Other actors and factors**

The Red Cross constructed cafeteria in most of the schools in Arba Minch as a means to generate incomes to provide educational materials, uniform and sometimes food (maize) for destitute children. This initiative aims to ensure that students that are unable to attend class due to hunger or lack of learning materials can still integrate into the school system. NGOs like WFP, World learning also support these children with food and school materials, but these projects are phasing out.

EKHC is implementing an USAID project that provides school materials and food to destitute children (both OVC and otherwise). The USAID project also coordinates soft supports like tutorial and follows up on school attendance. This project works with 260 volunteers in and around Arba Minch, giving home based care, counselling and monitoring OVC's school performance. The project supports 2413 children of which 1297 have been linked with WFP and 38 have been linked to free technical and vocation education. Another actor supporting destitute children (OVC and others) is the local government that issues IDs for those children identified by the community so that they can attend school without the mandatory school uniform. The local government also has a monitoring system of school drop outs which is however not effective in bringing them back to school.

#### **Conclusion**

The most plausible explanation of the increased inclusion of OVCs into the school system is in the first place that they are being selected for an integration programme and that they receive material support like school uniforms, books, food and support in paying their school contributions. The peer education groups, AACs and gender clubs; NGOs like PACT and USAID that provided material and food support to 6,010 respectively 1,296 children; school cafeteria by the Red Cross, and: school gardens all are needed and are to be considered as a *condition* to enter the school system. This requires the coordination of multiple actors: In one kebele visited by the evaluation team, the local education office, the AAC, and the schools are working together and each fulfils a different role: the clubs have access to the most destitute OVCs and evidence exists that they can influence their peers; the school can guide the process of school integration; and the Kebele Children and Youth office can either involve a NGO to provide support

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needed or use their means available like providing an ID to exempt OVC from wearing school uniforms. All these are *conditions* that need to be in place before OVCs can actually start frequenting classes.

EKHC's peer education groups, the AACs and the girls clubs, as well as the 260 volunteers supported by USAID in and around Arba Minch, giving home based care, counselling and monitoring OVC's school performance all do fulfil a role in the creation of solidarity by creating a level of trust and comfort with their peers that allows for more open discussions of sensitive topics. It remains difficult to disentangle the contribution of these social-cultural interventions: Both the peer education groups and AACs are involved in the prevention of drop-outs and they cover the same discussion topics.<sup>37</sup> Additionally, students tend to be members of more than one club or group which means the effect of the peer education groups cannot be separated from other in- and out of school clubs. The USAID volunteers also provide counselling services and monitor monitoring OVC's school performance. All three approaches seem to contribute to an increased integration of OVCs into the school system and therefore each constitutes a *sufficient but not necessary explanation*: the peer education system itself can increase school attendance and performance, but this can also be attributed to the AACs the girl clubs and the USAID volunteers.

### **EKHC's contribution**

EKHC's most important contribution under MFS II therefore lies in strengthening the performance of peer education groups, AACs and gender clubs that play an important role in socially integrating the OVCs. This according to the information available led to 60 female students receiving support in different schools through the peer education groups and 40 OVCs receiving educational material support through agricultural plots in 6 schools. Though it could be argued these interventions are more sustainable, compared to the figures of OVCs and destitute children supported by the USAID program, also implemented by EKHC and reaching 2413 children with 260 volunteers (not only by counselling services but also by material support), the MFS II contribution seems to be rather limited. A major factor that might explain this consists of the fact that no material support is included in the support of OVCs under MFS II whereas the USAID program also provides these. The advantage of the MFS II interventions is that they are embedded in society. As psychological, social and material support are all needed, a combined interventions strategy is preferred. Appendix 6 provides more detailed information.

## **5.3.2 Strengthening Intermediate Organisations**

In order to assess the impact of capacity building efforts by EKHC on intermediate organisations, the evaluation team looked at the capacity of the religious forum in Arba Minch town and the grain banks to ensure 'enhanced food and nutritional support for vulnerable groups'. The FBO forum is currently supporting 45 persons on a monthly basis and 129 PLWHIV receive monthly food support from the grain banks.

### **Pathway 1: Food and nutritional support through the FBO forum – MFS II**

The first MFS II related pathway is that of capacitating the FBO forum that was initiated by religious leaders together with EKHC in 2010 with the objective of providing support to the most vulnerable groups in the community. Between 2012 and 2014, EKHC trained the administrators of this forum on community conversation, resource mobilization, lobby and advocacy, planning, counselling, and leadership skills. The forum furthermore received 10.000 birr from EKHC to facilitate training and meeting costs. Next to EKHC the forum receives contributions from mosques, churches and other NGOs (World Vision provided the forum with 50.000 birr to organise a discussion forum with the government). The university also paid the forum 40.000 birr for discussions held. The forum furthermore opened a grocery shop to generate an income.

With the mobilised resources the forum supports 40 beneficiaries (OVC, PLWHIV and elderly) on a monthly basis by giving them 250 birr per month. Ten more beneficiaries receive between 120 and 180

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<sup>37</sup> Interview with peer educator

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birr occasionally. With the support of American volunteers, the forum provides home based care to 10 people every 15 days and distributes teff, onion, shiro and oil to beneficiaries. Marry Joy donated 10,000 pairs of shoes of all sizes for both adults and children, which were distributed via the forum.

Information collected that *confirms* the contribution of the FBO forum in enhancing food and nutritional support to vulnerable groups is that the forum has a broad resource base that allows them to provide structural support. The American volunteers seem to play an important role by providing the commodities to support the beneficiaries during home based care. The forum is furthermore well institutionalised and their influence in the community and with the local government is felt by the interviewees.

The following remarks can be made in relation to the contribution of the FBO forum in providing food and nutritional support:

- The forum itself says they are not able to provide as much support as needed as they are overburdened by the activities they are already performing. Their range of activities range from providing home based care to building and renovating homes for destitute families, to repairing latrines for handicapped people, to organising discussion forums with the government. This lack of focus results in a rather broad but shallow spectrum of support which makes their impact on food and nutritional support questionable.
- It does not become clear from the data collected how the beneficiaries for structural financial support are being selected; neither does it become clear whether they use the money to buy food. The selection of the people to be included in home based care activities can neither be deducted from the data. The provision of the commodities for both the grocery shop and the home based care activities by the American volunteers does not seem sustainable.
- Other actors such as idirs, clubs and community committees can also provide food and nutritional support (this has not been assessed by the evaluation team).

### **Pathway 2: Food and nutritional support through the grain banks – MFS II**

A second pathway explains enhanced food and nutritional support via grain banks. Grain banks are formed by idirs and church representatives. EKHC started providing initial capital for grain banks in 2010 and two more grain banks per year after that. In 2014, EKHC provided start-up capital for a total of 22 grain banks (9 in Arba Minch, 7 in Mirab Abay, and 6 in Arba Minch Zuria). The nine grain banks in Arba Minch formed a union in 2013 and received a grain mill from the government.

After start up, the grain banks receive contributions from members on a monthly basis. Since the baseline the monthly amount has increased from 0.25 birr to 1 birr per month due to inflation and some grain banks have agreed to contribute up to 3 birr per month. There are also individuals who contribute more than the set amount and in the rural areas some members contribute in kind. EKHC supports the grain banks in their development by providing stationary materials and training on various subject like management skills (23 persons in 2013), planning, monitoring and evaluation (33 persons in 2013), and resource mobilisation (74 persons in 2013).

With the member contributions, the grain banks support 4-9 beneficiaries each which add up to around 125 beneficiaries in total. They mainly provide grain, oil, money and clothing to destitute people in the community. Besides food support, two or three volunteers of each grain bank conduct home based care at least two times a week. Some beneficiaries are also supported by the grain banks to engage in petty trade and saving activities.

Information that confirms that the grain banks increase food support to vulnerable groups is:

- The interviews give an indication that the food support given by the grain banks is structural, which is an indication of their effectiveness. The beneficiaries chosen to be supported are the most destitute in the community, mostly elderly and people with HIV/AIDS, which have no alternatives (like petty trade) to provide in their basic needs as they are physically impaired. The beneficiary interviewed receives food and oil on a monthly basis for the past three years. The grain bank members are well informed about the number of beneficiaries reached and the support provided and the grain bank union in Arba Minch was able to attain a grain mill. The social control of the members that provide care and support

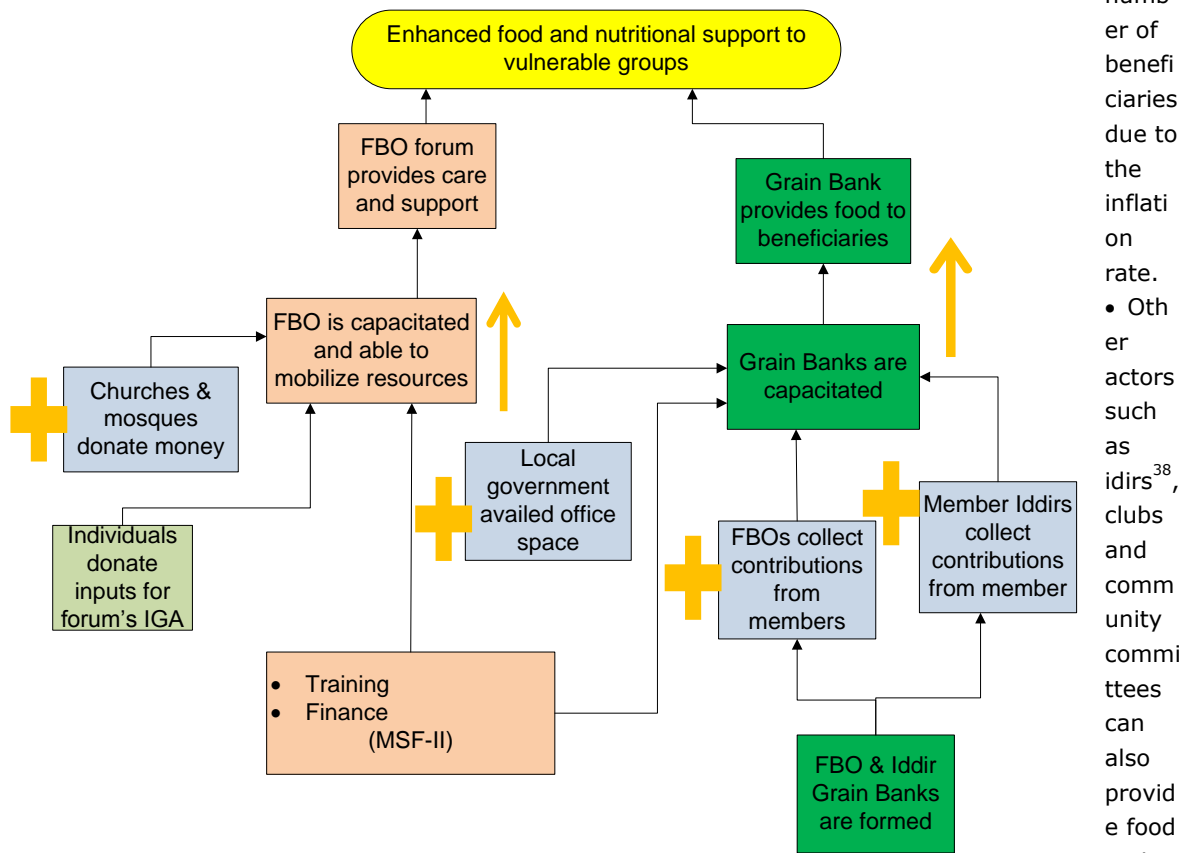


services is furthermore high. However, the documents received do not provide sufficient data on the financial and organisational performance.

- The grain banks try to increase food security in multiple ways: they provide direct food and nutritional support to OVCs, PLWHIV and elderly, but also give beneficiaries the opportunity to be involved in petty trade or saving activities. There is also a plan to invest the savings to build a store where larger volumes of grain, bought at a cheaper price, can be stored and there are plans to invest in opening up a store.

The following information collected highlights the fact that the efforts of the grain banks *do not explain* an increased provision of food and nutrition security.

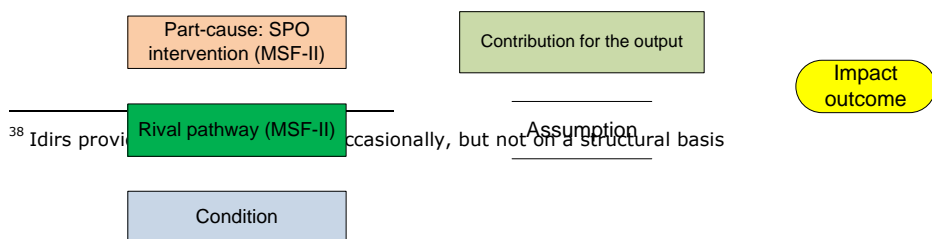
- The food support given consists mainly of the same products being grain or oil. The nutritional value of these products is not sufficient in terms of the preferred nutrition needed in combination with ART.
- Even though the grain banks have increased their member's contribution they could not increase the



**Assumption**  
 -The presence of respect and positive attitude towards religion and the leaders  
 -Strong government attention to FBO forum

**Assumption**  
 Presence of Iddir everywhere and societal respect of FBO strengthens grain banks' activity

**Legend**



number of beneficiaries due to the inflation rate. Other actors such as idirs<sup>38</sup>, clubs and community committees can also provide food and nutritional support (this has not been assessed by the

<sup>38</sup> Idirs provide

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evaluation team).

### **Pathway 3: Food and nutritional support through the Health Extension Programme**

A third pathway explains increase food and nutrition security consists of the public health extension workers (HEW) who are assigned by the local government to extend the health service from the health centres to the community. This approach exists for 3-4 years and is based upon the 1:5 approach adopted from the agricultural extension programme: one model family visited by the HEW has to pass a message along to 5 other families. Some 15-17 public messages have to be extended to households, comprising amongst others pre/post-natal care, PPTCT awareness creation, hygiene and sanitation, child nutrition, vaccination, reproductive health, male involvement in family planning, STD, environment protection, giving family planning pills and injection. During their household visits, these HEW could probably intervene by means of referring destitute people to those instances that are capable to provide the food and nutritional support needed.

Information that *confirms* the role of the HEW in providing food and nutritional support is the following: The HEW visit 8-10 households each per week and have the possibility to refer malnourished persons to public hospitals, PLWHIV to those organisations capable of providing food and nutrition supplies and support the local government in identifying these persons<sup>39</sup>.

Information that *rejects* their role in providing food and nutritional supplies is given by the Health Office and HEW themselves, telling that they are not engaging in this type of activity. Another informant also states that the extension system is not performing and that any services that is supposed to be delivered free of charge, including free ART, needs to be requested at the office.

### **Pathway 4: Food and nutritional support through other actors**

As mentioned earlier, USAID support 2413 children of which 1297 have been linked to the World Food Programme and ONG PACT provides food support to 6,010 children. However the intervention structure is not known and this contribution analysis focusses in particular on the capacity of intermediate organisations to cater for food and nutrition support. Therefore we did not assess this pathway further.

### **Conclusion**

The data available support the idea that vulnerable groups are easily identified and reached by the FBO forum and the grain banks which, based upon FBOs and idirs are grounded in society. Apart from these idirs that do not collaborate in grain banks, clubs and community committees also provide food and nutrition support to destitute persons.

The capacity of the FBO forum and the grain banks to deliver foods and nutritional support is limited in the following terms. Though through the forum a platform is created for actors to come together and decide on actions, the forum itself is being seen as the solution to all problems and lacks a clear vision and mission in society, which might help it to concentrate on a few interventions rather than solving all problems in Arba Minch town. The Grain Banks suffer from the rampant inflation rate that constrains them to support more people. Other actors that explain an increase in food and nutritional support are women groups, the WFP, PACT etc. Critical issues to look into when targeting PLWHIV under ART are in the first place the nutritious quality of the food supplies. Support provided by the grain banks does not meet these criteria.

All these different actors each explain an increase in the provision of food and nutrition supplies, implying that there are multiple ways that explain the outcome (*sufficient but not necessary explanation of the outcome*).

When taking into account the particular food and nutrition requirements for PLWHIV, the contribution of these pathways needs to be further assessed in terms of the quality of support given.

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<sup>39</sup> PACT and HEW

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## **The role of EKHC**

EKHC's role with regard to the outcome of increased food and nutritional support to vulnerable groups via the FBO forum and the grain banks is not convincing. EKHC's main contribution in relation to the FBO forum is that of capacity building. No conclusions can be drawn with regards to the long term effectiveness of this intervention. Its intention to enhance food and nutritional support through the formation and support of grain banks is only partly successful in terms of food security since the low variety in food provided does not ensure enough variety in nutrients for PLWHIV and under ART.

## **5.4 What is the relevance of these changes?**

### **5.4.1 Relevance of the changes in relation to the Theory of Change of 2012**

In its 2012 ToC EKHC formulated its overall objective with regards to civil society as "empowered civil societies that comprises of agents of change for the self-sufficiency of their surroundings." In order to reach this objective four conditions need to be in place: capacity building of CBOs; asset based community development through SHGs and cooperatives; promoting indigenous knowledge, and; strengthening networks among CBOs.

The progress reports highlight an impressive list of courses being given to various target groups, but the links between these courses and the performance of the AACs, girls clubs, grain banks, SHGs and the forum has not been documented. Those entities all have showed some progress in terms of becoming change agents as has been documented in paragraph 5.1. AACs play an important role in the integration of OVCs in the school system and in society, and they are also being solicited by parents and by the community, grain banks are capable of providing food and nutrition support and the FBO forum has gained a bargaining position that enables it to influence local institutions, including the local government and it is being solicited by the local government to manage conflicts. However it lacks a vision that will clarify its position into society; service provider, addressing issues with government services or addressing community conflicts?

With regards to asset based community development, some progress has been made and in particular at the level of the grain banks and the forum resources are being mobilised. Asset creation by AACs remains minimal as the AACs generate only a small income via organising activities for students such as table tennis tournaments or movie nights. The probability that AACs will be able to provide material support in large quantities seems unrealistic, as students have no income yet. Asset creation by the SHGs is unknown.

With regards to the promotion of indigenous knowledge we observe that especially the grain banks, established and managed by idirs or churches ensure that these are embedded in the existing institutions, however also assigning new roles to these institutions. The CBO forum is another example where existing institutions are now combining forces to make a change in society.

Apart from the forum in Arba Minch town we have not found evidence of networks being formed in the other woredas.

### **5.4.2 Relevance of the changes in relation to the context in which the SPO is operating**

The need assessment conducted at the end of 2010 in Arba Minch Zuria and Mirab Abaya woredas revealed that the infection rate and impact of HIV is still high in the intervention area, especially among the adolescents coming to Arba Minch from the surrounding rural kebeles who go to secondary school or to the university. There is also a high-risk group of young immigrants, mainly females, coming from the

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rural areas to Arba Minch for casual labour such as household maid. These youth tend to live in overcrowded rooms which leaves room for casual and unprotected sex and hence the spread of Sexually Transmitted Infections and HIV<sup>40</sup>. The need assessment study furthermore concluded that awareness on HIV/AIDS and care and support services provided is higher in terms of quality, quantity and coverage in Arba Minch town as compared to Arba Minch Zuria and Mirab Abaya. Based on these findings EKHC determined to expand its activities to the rural areas as of 2011.

The progress reports however do not describe what the exact changes in these new areas are.

### 5.4.3 Relevance of the changes in relation to the policies of the MFS II alliance and the CFA

Tear believes civil society is best strengthened by using the networks of churches. In the past, the churches did not fulfil a role in bringing people together in society next to religious gatherings. By forming and supporting NGOs and SHGs, Tear believes churches can play an important role in building civil society.

Tearfund helped introduce the SHGs approach to Ethiopia via EKHC in 2002. The first five SHGs were started by 100 women in Nazareth (Adama); today the number of SHGs as part of Tearfund funded programmes has increased to well over 12,000 across Ethiopia, impacting over 1 million people. The growth in numbers of SHGs has been primarily because local churches have embraced it and replicated it using their own resources. According to Tear forming self-help groups is a sustainable and high return intervention as was concluded in a cost-benefit study on SHGs in 2013<sup>41</sup>.

One of the goals formulated in the Ethiopian Thematic Country Plan 2011-2015 was the programmatic cooperation between ICCO Alliance partners<sup>42</sup>. It is believed that due to its size, the ICCO Alliance partners in Ethiopia would be able to link up with other health partners, and also identify issues which they can address together, e.g. in dealing with the government. It is furthermore stressed that since the issue of access to and quality of health care is complex, the ICCO Alliance wants to work from its strength of partnerships with large community organisations (FBOs), which have gained experience over a number of years. This will improve the local organisational strengths of communities, to make them more relevant. Within these local organisations there will be a provision that marginalised local groups will be especially targeted. By the possibilities of linking and learning, the results of different Partner Organisations can be brought to a higher level, where systemic issues can be addressed as an Alliance. Feedback provided by Tear to EKHC on the 2013 annual report however mentions no reporting on collaboration between EKHC and the other ICCO Alliance Partners.

## 5.5 Explaining factors

### 5.5.1 Internal factors

EKHC reports that the new implementation sites increased their transportation costs significantly. Additionally, their turnover of high skilled manpower is high without explaining why this is the case.

The financial reporting of EKHC lacks coherence: the 2 year budget over 2012-2013 shows a different set-up than the budget reported in the financial reports (the original budget for this period was Birr 1.836.790, the new budget given is Birr 1.757.608); there are items in the budget which were not

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<sup>40</sup> EKHC Arba Minch project proposal 2012-2015

<sup>41</sup> In October 2013, Tearfund UK and Tearfund Ireland funded a cost-benefit analysis of the SHGs in Ethiopia. The results of this study indicate the SHG intervention has a very high return, as much as £173 for every £1 spent, and is demonstrating transformational change<sup>41</sup>. They however question the (long-term) effectiveness of peer-to-peer education, the grain banks and the FBO forum.

<sup>42</sup> Ethiopia Thematic Country Plan 2011-2015, ICCO alliance, update 2013.

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included previously; and the annual budget is overspent with 20%. It is furthermore unclear how the budget is spent as the contributions for CBOs and expenses of trainings do not add up: the SPO gives 10,000 birr per year for the FBO forum and only gave initial capital for the 22 grain banks. After the first batch only one or two grain banks are formed per year and they are given initial capital of around 30,000 birr.

### 5.5.2 External factors

EKHC is supported by many donors next to Tear<sup>43</sup>. In order to align with the 70/30% procedure they pay staff from different programmes. EKHC mentions it has become more difficult to raise funding in recent years due to the economic crisis. Since the 2012-2015 budget was submitted to the government, it is not custom to deviate from the original budget and EKHC struggles to gather funds for to comply with the original budget.

EKHC mentions a high staff turnover in government offices delayed the implementation of some project activities. The project agreement with the government took a very long time and has pulled back some activities from schedule, particularly those in the new rural project woredas (Mirab Abaya and Arba MinchZuria). It is very challenging to sign an agreement with government a project which has a life span of one year. With a lower budget it was difficult to adjust the administrative/program budget ratio (30/70 ratio). The regional Finance and Economic Development Bureau was strictly opposed to the starting date of project implementation (February 2012), because more than 3 months elapsed as EKHC was searching for additional funds. As a result EKHC had to postpone the starting date to May 2011.

One other challenge is the lack of commitment among church leaders to engage with the programme. This seems however to contradict with the success of the FBO forum mentioned in annual reports.

EKHC looked for consultants in Arba Minch to provide training on lobby and advocacy and networking, but suitable candidates were not available, leading to the postponement of these activities.

EKHC's approach with regards to the creation of SHGs is based upon the creation of internal savings. Other NGOs that have the policy to provide their SHGs with an initial capital are interfering in EKHCs approach, because they create false expectations of those persons that like to form a SHG under the guidance of EKHC.

### 5.5.3 Relations Tear-EKHC

Tear provided EKHC with serious feedback on EKHC's 2013 annual report by stating that all feedback given by Tear during previous periods was not addressed properly, implying that EKHC is not following up the feedback and is not taking appropriate measures accordingly. They furthermore state that observed that the monitoring and evaluation system in place does not help to relate inputs to outputs, that no gender disaggregated data are provided and that EKHC does not report on its collaboration with other NGOs and other projects it is implementing with other donor organisations.

A delay of the budget release from Tear has pushed forward the project activities for four months<sup>44</sup>.

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<sup>43</sup> The Arba Minch Medan ACTS programme has only Tear as a funder

<sup>44</sup> This delay was caused by mistakes in the financial and audit reports, which first needed clarification before EKHC decided to release the budget.

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## 6 Discussion

### 6.1 Design of the intervention

Peer education programs are based on the rationale that peers have a strong influence on individual behaviour (Medley, Kennedy, O'Reilly, and Sweat, 2009). As members of the target group, peer educators are assumed to have a level of trust and comfort with their peers that allows for more open discussions of sensitive topics (Campbell & MacPhail, 2002). Similarly, peer educators are thought to have good access to hidden populations that may have limited interaction with more traditional health programs. Peer education programs may be empowering to both the educator (Milburn, 1995; Strange, Forrest & Oakley, 2002) and to the target group by creating a sense of solidarity and collective action (Campbell & Mzaidume, 2001).

The above confirms EKHC's project design in terms of working with peer education and clubs to reach vulnerable youth groups and bring about behavioural change. Whereas the peer educators play a role in getting a message across to the vulnerable youth in society and convincing them of the importance of education, the clubs involve and inform the youth via coffee ceremonies. However, the selection procedures in place to identify peer educators are essential to program success. Similarly, how peer educators are recruited can determine how they are perceived by the target population. For example, peer educators chosen by their peers might be expected to be more popular, but less motivated than volunteers, or less skilled than peer educators chosen by program staff. Training and supervision of peer educators is also likely to be an important factor in intervention effectiveness. Retention of trained peer educators is crucial to program effectiveness and sustainability. Peer education is often believed to be more cost-effective than other interventions because it uses volunteers, or minimally paid peers to deliver information (Milburn, 1995).

The training along the chain of peer-educators, the high turnover rate among peer educators and the quality in training of successors in EKHC's programme questions the programme's effectiveness. The selection and the extent to which EKHC manages to motivate these young people (beyond material motivation) is not well documented and hence no conclusions can be drawn on this issue.

In 2011, Tear supported a Master thesis on the impact of SHGs on the capacities of the people in Meta Robi, Ethiopia<sup>45</sup>. This thesis stresses that although a lot of effort and time goes to encouragement and convincement, attitude change can take place when visible impact is reached. New SHGs will emerge when husbands and other outsiders get convinced of the usefulness of the group. Therefore in newer groups more attention is to be paid to education and training, instead of encouragement and convincement. It is expected that others will follow when only a few start to cooperate initially. The interviews conducted with SHGs reveal a positive stance towards the usefulness of self-help groups and their contribution. In this thesis the crucial role of a capable and committed facilitator who helps in the early formation of a cluster level association (CLA)<sup>46</sup> to enhance independency after one or two years is furthermore highlighted. From the documents it could not be retrieved whether SHGs are facilitated well.

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<sup>45</sup> Thesis Klaas Evers "Many hands make light work? The impact of self-help groups on the capabilities of people in Meta Robi, Ethiopia" (2011)

<sup>46</sup> Above SHGs, Cluster Level Associations (CLAs) are formed to represent and monitor a number of SHGs on village level. Per SHG 2 members are part of the CLA. Developed CLAs monitor the groups, initiate the formation of new groups and represent the interests of the SHGs to local governments and other relevant institutions (like Micro Finance Institutions (MFIs) and Banks).

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The grain banks managed by idirs and churches are to be considered as a long standing community based self-help system as well as the youth clubs such as the AACs and the girls clubs.

With regards to replicability we observe that EKHC is using traditional institutions like the AACs, girls clubs, and grain banks that are being managed by idirs or churches that take up new roles assigned to them that orient them into development issues. Also other organisations like OSSA and MKC-RDA are making use of these existing institutions. Information and data are lacking with regards to EKHC's performance in supporting these structures to respond to these new roles and therefore it is difficult to conclude about the replicability of the project.

The creation of the religious forum is a promising intervention that helps to organise civil society at a level beyond idir and congregation. Similar experiences exist with OSSA and with JeCCDO. The vision and the mandate of such new structures need to be clear before these organisations become effective. Their potential lies in their capacity to hold public services accountable for good quality service. In terms of replicability we observe that the possibility of establishing such forums goes beyond the average project duration and largely depends upon the capacity of congregations or idirs willing to cooperate and the capacity of the SPO to create such a civil society space.

## 6.2 Evaluation methodology

A methodology was design to conduct this evaluation – see appendix 2. The methodology in itself provides enough guidance to conduct a Theory Based Evaluation, although the process tracing methodology requires substantial understanding of the different steps to take.

Generally speaking we observe that the CIVICUS framework has never been used for evaluation purposes, and that the period between the baseline and end line study hardly covers two years, whereas the entire MFS II period covers 5 years. Furthermore, we observe that the interventions by the SPOs do not distinguish interventions that relate to Civil Society or Policy influencing from other interventions. This makes it occasionally difficult to obtain a clear focus for the civil society evaluation.

Critical steps in the evaluation methodology are the following:

1. Linking project interventions from the SPO to the CIVICUS framework. The project documents do not provide this information and are based upon the interpretation by the evaluation team in the Netherlands.
2. The extent to which the project documentation enables the Dutch team to understand the in-country realities. If the quality of the reports is weak, then the guidance provided to the in-country evaluation team is weak. Therefore deciding upon the outcomes to be selected for in-depth process tracing was sometimes hampered by incomplete and un-clear project documents.
3. After the workshop with the SPO, the in-country team had to decide upon which outcomes they will focus on for the in-depth process tracing. There was a tendency to selecting positive outcomes achieved.
4. Designing the model of change that explains the outcome achieved, followed by the inventory of rival pathways to explain that outcome has also proven to be a critical and difficult step. In this phase it is critical that the evaluation team works together to brainstorm on alternative pathways. A major challenge is that in-country teams at this moment of the evaluation have obtained a lot of information from the SPO, and not from other NGOs or resource persons, which possibly might strengthen their bias in favour of attributing change to the SPO.
5. The following step of identifying the information needs to confirm or reject these pathways and to identify the method of collecting the information needed. Also this step has most chances to be successful when the evaluators work together.

Information gathering to assess the relevance of the changes in civil society and the explaining factors generally speaking was not challenging.

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Critical conditions for this evaluation methodology are:

1. Project documents and progress reports need to be available in time, and they need to systematically report not only on outputs but also on effects on the changes in peoples livelihoods (civic engagement), and at least the performance of organisations that received support from the SPO. None of the SPOs in the sample have an M&E system in place that measures the organizational capacity of the organisations they support.
2. The evaluation team needs to have a thorough understanding of the CIVICUS framework and the interpretation of the indicators used for this evaluation.
3. The evaluation team needs to understand how process-tracing works and the in-country evaluation teams need to develop a critical stance towards the interventions of the SPO that enables them to identify rival explanations for the outcomes achieved and to identify the appropriate questions to confirm or reject pathways. Because this is a new methodology, much depends upon the team's previous experiences of theory-based evaluations.
4. The methodology developed and in more generally terms theory-based evaluations are more time-consuming than randomized control trials.
5. The process-tracing methodology requires a continuous process of analysis of information obtained and identification of further information needs to be able to make a plausible contribution claim. This capacity of critical reflection is one of the core capacities needed to successfully conduct a theory-based evaluation like process-tracing.



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## 7 Conclusion

### 7.1 Changes in the civil society arena of the SPO

In the 2012 – 2014 period the two most important changes that took place in the civil society arena of the SPO are related to civic engagement and perception of impact. With regards to the first dimension we observe a slight increase since the baseline study in terms of more People Living With HIV (PLWHIV) and Orphans and Vulnerable Children (OVC). These are now being reached by Anti Aids clubs, girls clubs, grain banks, schools and the FBO forum and that these have contributed towards combating social exclusion. Most of these organisations, apart from the two new districts that were added to EKHC's intervention zone, were already established before the current programme started in 2011 and received continuous support by EKHC.

With regards to perception of impact (which also includes the increased outreach already mentioned under civic engagement), we observe that the Anti-Aids Clubs (AACs), the girls clubs and the FBO forum are better embedded into society. AACs increasingly requested to intervene when parents have problems with their children and they are engaging in other development activities in their community as well. In Arba Minch town the FBO forum which regroups Protestant, Catholic and Muslim congregations is attracting material and financial support from many sources and is engaged in a wide range of development activities. It has gained sufficient bargaining power to negotiate positive outcomes with the university and with local government.

Relations of both EKHC and the forum with local government representatives has become more formal and more regular and increasingly, private sector organisations support EKHC in the accomplishment of its objectives regarding HIV and AIDS.

These findings were obtained through an analysis of documents, a workshop and follow-up interviews with EKHC, and interviews with external resources persons working in civil society organisations that receive support from EKHC; other civil society organisations with whom the SPO is collaborating; public or private sector agents and; external resource persons capable of overlooking the MDG or theme on which the SPO is concentrating.

### 7.2 Contribution analysis

Based upon an analysis of the projects and programmes financed by the Dutch CFAs, four orientations strategic for civil society development were identified: Ensuring that more people from more diverse backgrounds are engaging in civil society activities; ensuring that the organisations that receive support from the SPO are capable of playing their role in civil society – intermediate organisations; strengthening the relations with other organisations in civil society to undertake joint activities, and; influencing policies and practices of public or private sector organisations. For Ethiopia the focus was initially on the intermediate organisations and on the position of SPOs in their respective networks. The Ethiopian team however concluded that there is little room for networking amongst NGOs that receive foreign funding in Ethiopia, and that NGOs mainly collaborate with each other by instigation of the government to come to a division of labour per district and region. Therefore the second strategic orientation for most SPOs is now focussing on civic engagement.

Based upon an estimation of the percentage of the MFS II project budget related to interventions that are relevant for civil society, those SPOs whose absolute budgets for civil society were most important were selected for in-depth process tracing on two outcomes. The evaluation team conducted a quick

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assessment on contribution for the other SPOs. EKHC was amongst those SPOs selected for in-depth-process tracing.

The first outcome that we looked at is the extent to which EKHC contributed to the reintegration of OVCs into the school community and to enhance their chances of becoming a full member in society. The pathway most likely explaining this reintegration consists in the first place of material support of diverse nature (food, school uniform, school contributions, etc) mobilised. The AACs, girls clubs and peer education groups are not able to sufficiently cater for these, which is understandable as the activities they organise only generate a small amount of income and hence they can only provide in stationary material for a limited amount of children. Once these conditions have been met, counselling services by peers in the AACs, girls clubs and the education groups all do fulfil a meaningful role in the creation of solidarity by creating a level of trust and comfort with OVC that allows for more open discussions of sensitive topics. It remains difficult to disentangle the performance of the peer education system and that of the AACs, both implemented under the MFS II programme, because they overlap in terms of students taking part in both. EKHC's MFS II contribution consists of strengthening the performance of the above mentioned groups that seem to be socially sustainable because embedded in society but not in financial terms. Compared to the figures of OVCs and destitute children supported by the USAID program, also implemented by EKHC and reaching 2413 children with 260 volunteers (not only by counselling services but also by material support), the MFS II contribution seems to be rather limited.

The second outcome that we looked at is the capacity of the religious forum in Arba Minch town and the grain banks to ensure 'enhanced food and nutritional support for vulnerable groups'. The data available suggest that not only the religious forum and the grain banks provide food and nutritional support to vulnerable persons, but many other traditional and informal structures in society. There are multiple pathways that explain the outcome. The capacity of the FBO forum and the grain banks to deliver foods and nutritional support is limited; the first lacks a clear vision and mission in society, which might help it to concentrate on a few interventions rather than solving all problems in Arba Minch town. The grain banks suffer from the rampant inflation rate and cannot support more people and they are not capable of providing the food and nutrition requirements needed for PLWHIV under ART. EKHC's contribution to strengthening the performance of the forum and the grain banks is limited and most of these entities were already formed before the 2011 project started.

## 7.3 Relevance

Interviews with staff of EKHC, with external resource person, as well as contextual information helped to assess the relevance of EKHC's interventions in terms of; its Theory of Change (ToC) for Civil Society (SC) as designed during the baseline study; the context in which EKHC is operating; the CS policies of Tear Fund.

With regards to the 2012 ToC established with EKHC, the interventions and outcomes achieved are relevant to some extent because the AACs, the grain banks and the FBO forum have shown to be capable to fulfil a role of change agent in their community. The FBO forum lacks a clear vision and a position to take in society. Only the forum and the grain banks have proven to be capable of creating assets, whereas the AACs and the girls clubs are encountering difficulties. In particular the forum and the grain banks are based upon traditional institutions (idirs and churches) and have been able to take up new roles in society.

The changes introduced by EKHC seem to respond to the context and needs assessment conducted in 2010. However the information made available is not explicit on changes introduced on the two new project sites where EKHC intervenes since 2011.

With regards to the MFS II policies of the ICCO alliance the changes are relevant because they are based upon the networks of churches that increasingly need to play in development. Tears' approach of creating SHGs was not assessed in EKHC, but they are a sustainable and high return intervention. The

relevance of the programmatic approach in which EKHC takes part is not evident, because not documented by EKHC.

## 7.4 Explaining factors

The information related to factors that explain the changes in CS, EKHC’s contribution to these changes and the relevance of its interventions were collected at the same time as the data were gathered for the previous questions. Apart from searching for explaining factors related to these evaluation questions, the evaluation team was also informed about other important factors such as the organisational performance of EKHC, relations with Tear Fund that might have had an effect on its performance or external factors.

The most important internal factors that might explain failures in the implementation of the EKHC programme are the high transportation costs to join the new project sites and a high staff turnover. Apart from this considerable flaws exist in EKHCs financial and narrative reporting system.

The most external factors that may impact upon EKHC’s performance are related to the 30/70 ratio for administrative versus operational costs imposed by the government; a high staff turnover in government offices and EKHC’s approach regarding the creation of SHG that is different than the approach taken by other NGOs.

The relations between Tear and EKHC have become tenser since the co funding agency observed that EKHC’s reporting and monitoring and evaluation standard does not provide quality. EKHC experiences difficulties with delays in budget releases and the annual contracts that delay the implementation of project activities and decrease EKHC’s position to negotiate with the local government.

**Table 5**  
*Summary of findings.*

When looking at the MFS II interventions of this SPO to strengthen civil society and/or policy influencing, how much do you agree with the following statements?	Score
The CS interventions were well designed	7
The CS interventions were implemented as designed	6
The CS interventions reached their objectives	6
The observed outcomes are attributable to the CS interventions	5
The observed CS outcomes are relevant to the beneficiaries of the SPO	6

Score between 1 to 10, with 1 being “not at all” and 10 being “completely”.

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# References and Resources

## **Documents by SPO**

<i>Title</i>	<i>Year</i>
Budget Plan 2011-2013	2011
ArbaMinch budget plan 2012-2014	2012
ArbaMinch budget plan 2013	2013
Budget Plan 2011-2015	2011
Arbaminch project proposal 2013	2013
Project Proposal Arba Minch 2011-2015	2011
Progress report February 2011- July 2011	2012
Progress report August 2011 – January 2012	2012
Progress report May 2012- October 2012	2012
Progress report November 2012-April 2013	2013
Progress report May 2013 – October 2013	2013
Financial report January-June 2011	2011
Financial report 2012	2012
Financial report 2013	2013

## **Documents by CFA**

<i>Title</i>	<i>Year</i>
Contract February 2011-January 2012	2011
Contract March 2012-February 2013	2012
Contract March 2012-February 2014	2013
Memo EKHC Arba Minch 2013	2013
Proposal Assessment 2013	2013
Assessment of EKHC 2012 HIV proposal	2012
Answers for the comments on proposal	2013
Arba Minch report review feedback	2013
Travel report related to EKHC	2013
Arba Minch Revised selected results & indicators that contribute to the ICCO alliance objectives	?
Transfer Document for project 2012046	?

## **Documents by Alliance**

<i>Title</i>	<i>Year</i>
ICCO Alliance Progress Report 2011	2011
ICCO Alliance Progress Report 2012	2012
ICCO Progress Report 2013 Narrative	2013
ICCO Progress Report 2013 ANNEXES	2013
Rapportage Kerk in Actie en ICCO	2014

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Institute for Future Studies, World Values Survey Wave 5: 2005-2009, <http://www.worldvaluessurvey.org/WVSONline.jsp>, 2009

### Resource persons consulted

<b>Name of key informant</b>	<b>Organisation</b>	<b>Function in organisation</b>	<b>Relation with SPO</b>	<b>Contact details including e-mail.</b>
Asres Abera	Arba Minch Grain Bank Union	Union Chair person	Receives support to work with beneficiaries/ households	Tel: +251 912 411 031
Bahru Chemesha	Arba Minch Health Office	HIV/AIDS Officer	Is collaborating with SPO	-
Lamlak Mulu	Religious Forum	Finance Head	Receives support to work with beneficiaries/ households	-
Pastor Yaekob	Religious Forum	Deputy Chair	idem	-

Tarikua	Kalehiwot AAC and Gender Club	GC Chair Person	idem	-
Deginet Dejene	Kalehiwot AAC and Gender Club	AAC Chair person	idem	-
Mahlet Gebre	Yibeltal SHG	Chair person	idem	-
Aberash Adare	Yibeltal SHG	Member	idem	-
Edlu Beriba	Mirab Abaya Grain bank	Social worker	idem	-
Ermias Fola		GB Deputy chair person	idem	-
Assan Julu	Kebele (Arbaminch zuria)	Kebele Admin	Support the GB	-
Ermias	Kebele	Kebele Head Spokes person	Support the GB	-
Ayelech Dache	Beza Gender	Secretary	Receives support to work with beneficiaries/ households	-
Nigist Jerse	Beza Gender	Casher	idem	-
Asamenech	Beza Gender	Member	idem	-
Esayas				
Eyasu Monturi	Raiy AAC	Casher	idem	-
Chilo Chelbo	Raiy AAC	Deputy Chair	idem	-
Deginet Dejene	Kale Hiwot AAC	Chair	idem	-
Temesgen	Kale Hiwot AAC	Member	idem	-
Desalegn	Kale Hiwot AAC	Member	idem	-
Tarikua	Kale Hiwot Gender Club	Chair	idem	-
Amsalu Asefa	Chamo GB/in school AAC focal person	Finance	idem	Tel. +251 916 341 732
Mahibere Kebede	Hayat GB	Volunteer	idem	-
Etagegn Taye		PLWHIV-beneficiary	idem	Tel: +2510923 471 405
Biniam		Peer Educator	idem	-
Mihret Tekalegn		Peer educator	idem	-
Abebe Haile	PACT	HVC Project Coordinator		-
Abebech	Health Office	HEW	Is collaborating with SPO	-
Alemayehu W/Giorgis	Health Office	Multi Sectoral/HIV response Coordinator	Is collaborating with SPO	-
Sister Yenenesh Eshete	Health Office	HEW	Is collaborating with SPO	-
Wondmagegn Urgessa	EKHC-Arbaminch	Project officer		wondeurgessa@gmail.com
Selamawit Dagne	EKHC-Arbaminch	Project Manager		selamtheo@yahoo.com
Temesgen Geta	EKHC-Arbaminch	Social Worker		
Befekadu Dawit	EKHC-Arbaminch	Social Worker		befekadudawit@gmail.com
Sintayehu	EKHC-Arbaminch	Social Worker		
Yohannes				
Merkineh Mitiku	EKHC-Arbaminch	HCBC and CED Coordinator		
Melaku Mamo	EKHC-Arbaminch	IEC/BCC Coordinator		
Caspar Waalewijn	Tear	Horn of Africa Programme Coordinator SHG/Food Security Coordinator		cwaalewijn@tear.nl

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# Appendix 1 CIVICUS and Civil Society Index Framework

CIVICUS, the World Alliance for Citizen Participation is an international alliance of members and partners which constitutes an influential network of organisations at the local, national, regional and international levels, and spans the spectrum of civil society. It has worked for nearly two decades to strengthen citizen action and civil society throughout the world. CIVICUS has a vision of a global community of active, engaged citizens committed to the creation of a more just and equitable world. This is based on the belief that the health of societies exists in direct proportion to the degree of balance between the state, the private sector and civil society.

One of the areas that CIVICUS works in is the Civil Society Index (CSI). Since 2000, CIVICUS has measured the state of civil society in 76 countries. In 2008, it considerably changed its CSI.

## 1.1 Guiding principles for measuring civil society

**Action orientation:** the principal aim of the CSI is to generate information that is of practical use to civil society practitioners and other primary stakeholders. Therefore, its framework had to identify aspects of civil society that can be changed, as well as generate knowledge relevant to action-oriented goals.

**CSI implementation must be participatory by design:** The CSI does not stop at the generation of knowledge alone. Rather, it also actively seeks to link knowledge-generation on civil society, with reflection and action by civil society stakeholders. The CSI has therefore continued to involve its beneficiaries, as well as various other actors, in this particular case, civil society stakeholders, in all stages of the process, from the design and implementation, through to the deliberation and dissemination stages.

This participatory cycle is relevant in that such a mechanism can foster the self-awareness of civil society actors as being part of something larger, namely, civil society itself. As a purely educational gain, it broadens the horizon of CSO representatives through a process of reflecting upon, and engaging with, civil society issues which may go beyond the more narrow foci of their respective organisations. A strong collective self-awareness among civil society actors can also function as an important catalyst for joint advocacy activities to defend civic space when under threat or to advance the common interests of civil society vis-à-vis external forces. These basic civil society issues, on which there is often more commonality than difference among such actors, are at the core of the CSI assessment.

**CSI is change oriented:** The participatory nature that lies at the core of the CSI methodology is an important step in the attempt to link research with action, creating a diffused sense of awareness and ownerships. However, the theory of change that the CSI is based on goes one step further, coupling this participatory principle with the creation of evidence in the form of a comparable and contextually valid assessment of the state of civil society. It is this evidence, once shared and disseminated, that ultimately constitutes a resource for action.

**CSI is putting local partners in the driver's seat:** CSI is to continue being a collaborative effort between a broad range of stakeholders, with most importance placed on the relationship between CIVICUS and its national partners.

## 1.2 Defining Civil Society

The 2008 CIVICUS redesign team modified the civil society definition as follows:

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*The arena, outside of the family, the state, and the market – which is created by individual and collective actions, organisations and institutions to advance shared interests.*

*Arena:* In this definition the arena refers to the importance of civil society's role in creating public spaces where diverse societal values and interests interact (Fowler 1996). CSI uses the term 'arena' to describe the particular realm or space in a society where people come together to debate, discuss, associate and seek to influence broader society. CIVICUS strongly believes that this arena is distinct from other arenas in society, such as the market, state or family.

Civil society is hence defined as a political term, rather than in economic terms that resemble more the 'non-profit sector'.

Besides the spaces created by civil society, CIVICUS defines particular spaces for the family, the state and the market.

*Individual and collective action, organisations and institutions:* Implicit in a political understanding of civil society is the notion of agency; that civil society actors have the ability to influence decisions that affect the lives of ordinary people. The CSI embraces a broad range of actions taken by both individuals and groups. Many of these actions take place within the context of non-coercive organisations or institutions ranging from small informal groups to large professionally run associations.

*Advance shared interests:* The term 'interests' should be interpreted very broadly, encompassing the promotion of values, needs, identities, norms and other aspirations.

They encompass the personal and public, and can be pursued by small informal groups, large membership organisations or formal associations. The emphasis rests however on the element of 'sharing' that interest within the public sphere.

### 1.3 Civil Society Index- Analytical Framework

The 2008 Civil Society Index distinguishes 5 dimensions of which 4 (civic engagement, level of organisation, practice of values and perception of impact), can be represented in the form of a diamond and the fifth one (external environment) as a circle that influences upon the shape of the diamond.

*Civic Engagement*, or 'active citizenship', is a crucial defining factor of civil society. It is the hub of civil society and therefore is one of the core components of the CSI's definition. Civic engagement describes the formal and informal activities and participation undertaken by individuals to advance shared interests at different levels. Participation within civil society is multi-faceted and encompasses socially-based and politically-based forms of engagement.

*Level of Organisation.* This dimension assesses the organisational development, complexity and sophistication of civil society, by looking at the relationships among the actors within the civil society arena. Key sub dimensions are:

- Internal governance of Civil Society Organisations;
- Support infrastructure, that is about the existence of supporting federations or umbrella bodies;
- Self-regulation, which is about for instance the existence of shared codes of conducts amongst Civil Society Organisations and other existing self-regulatory mechanisms;
- Peer-to-peer communication and cooperation: networking, information sharing and alliance building to assess the extent of linkages and productive relations among civil society actors;
- Human resources, that is about the sustainability and adequacy of human resources available for CSOs in order to achieve their objectives:
  - Financial and technological resources available at CSOs to achieve their objectives;



- International linkages, such as CSO’s membership in international networks and participation in global events.

*Practice of Values.* This dimension assesses the internal practice of values within the civil society arena. CIVICUS identified some key values that are deemed crucial to gauge not only progressiveness but also the extent to which civil society’s practices are coherent with their ideals. These are:

- Democratic decision-making governance: how decisions are made within CSOs and by whom;
- Labour regulations: includes the existence of policies regarding equal opportunities, staff membership in labour unions, training in labour rights for new staff and a publicly available statement on labour standards;
- Code of conduct and transparency: measures whether a code of conduct exists and is available publicly. It also measures whether the CSO’s financial information is available to the public.
- Environmental standards: examines the extent to which CSOs adopt policies upholding environmental standards of operation;
- Perception of values within civil society: looks at how CSOs perceive the practice of values, such as non-violence. This includes the existence or absence of forces within civil society that use violence, aggression, hostility, brutality and/or fighting, tolerance, democracy, transparency, trustworthiness and tolerance in the civil society within which they operate.

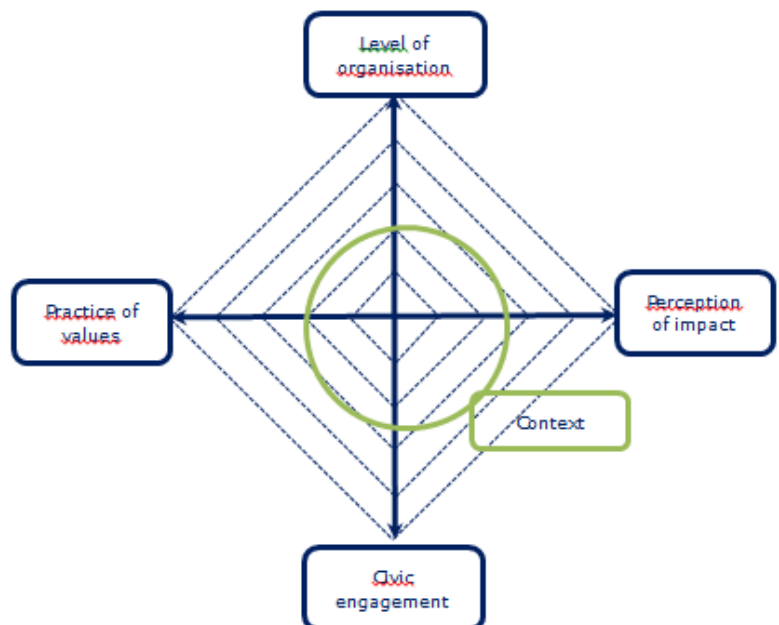
*Perception of Impact.* This is about the perceived impact of civil society actors on politics and society as a whole as the consequences of collective action. In this, the perception of both civil society actors (internal) as actors outside civil society (outsiders) is taken into account. Specific sub dimensions are

- Responsiveness in terms of civil society’s impact on the most important social concerns within the country. “Responsive” types of civil society are effectively taking up and voicing societal concerns.
- Social impact measures civil society’s impact on society in general. An essential role of civil society is its contribution to meet pressing societal needs;
- Policy impact: covers civil society’s impact on policy in general. It also looks at the impact of CSO activism on selected policy issues;
- Impact on attitudes: includes trust, public spiritedness and tolerance. The sub dimensions reflect a set of universally accepted social and political norms. These are drawn, for example, from sources such as the Universal Declaration of Human Rights, as well as CIVICUS’ own core values. This dimension measures the extent to which these values are practised within civil society, compared to the extent to which they are practised in society at large.

*Context Dimension: External*

*Environment.* It is crucial to give consideration to the social, political and economic environments in which it exists, as the environment both directly and indirectly affects civil society. Some features of the environment may enable the growth of civil society. Conversely, other features of the environment hamper the development of civil society. Three elements of the external environment are captured by the CSI:

- Socio-economic context: The Social Watch’s basic capabilities index and measures of corruption, inequality and macro-economic health are used to portray the socioeconomic context that can have marked consequences for civil society, and perhaps most significantly at the lower levels of social development;



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- Socio-political context: This is assessed using five indicators. Three of these are adapted from the Freedom House indices of political and civil rights and freedoms, including political rights and freedoms, personal rights and freedoms within the law and associational and organisational rights and freedoms. Information about CSO experience with the country's legal framework and state effectiveness round out the picture of the socio-political context;
  - Socio-cultural context: utilises interpersonal trust, which examines the level of trust that ordinary people feel for other ordinary people, as a broad measure of the social psychological climate for association and cooperation. Even though everyone experiences relationships of varying trust and distrust with different people, this measure provides a simple indication of the prevalence of a world view that can support and strengthen civil society. Similarly, the extent of tolerance and public spiritedness also offers indication of the context in which civil society unfolds.

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## Appendix 2 Methodology

This appendix describes the evaluation methodology that was developed to evaluate the efforts of Dutch NGOs and their Southern Partner Organisations (SPO) to strengthen Civil Society in India, Ethiopia and Indonesia. The first paragraph introduces the terms of reference for the evaluation and the second discusses design issues, including sampling procedures and changes in the terms of reference that occurred between the 2012 and 2014 assessment.

### 2.1 Introduction

#### 2.1.1 Terms of reference for the evaluation

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

One component of the MFS II programme addresses the extent to which the Southern Partners of the Dutch Consortia are contributing towards strengthening civil society and this evaluation assesses this contribution for Southern Partner countries in Indonesia, India and Ethiopia. The evaluation comprised a baseline study, carried out in 2012, followed by an end line study in 2014.

The entire MFS II evaluation comprises assessments in eight countries where apart from a civil society component, also assessments towards achieving MDGs and strengthening the capacity of the southern partner organisations by the CFAs. A synthesis team is in place to aggregate findings of all eight countries. This team convened three synthesis team meetings, one in 2012, one in 2013 and one in 2014. All three meetings aimed at harmonising evaluation methodologies for each component across countries. CDI has been playing a leading role in harmonising its Civil Society and Organisational Capacity assessment with the other organisations in charge for those components in the other countries.

This appendix describes the methodology that has been developed for the evaluation of the efforts to strengthen civil society priority result area. We will first explain the purpose and scope of this evaluation and then present the overall evaluation design. We will conclude with describing methodological adaptations, limitations and implications.

#### 2.1.2 Civil Society assessment – purpose and scope

The overall purpose of the joint MFS II evaluations is to account for results of MFS II-funded or –co-funded development interventions implemented by Dutch CFAs and/or their Southern partners and to contribute to the improvement of future development interventions.

The civil society evaluation is organised around 5 key questions:

- What are the changes in civil society in the 2012-2014 period, with particular focus on the relevant MDGs & themes in the selected country?
- To what degree are the changes identified attributable to the development interventions of the Southern partners of the MFS II consortia (i.e. measuring effectiveness)?
- What is the relevance of these changes?
- Were the development interventions of the MFS II consortia efficient?
- What factors explain the findings drawn from the questions above?

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Furthermore, the evaluation methodology for efforts to strengthen civil society should:

- Describe how a representative sample of Southern partner organisations of the Dutch CFAs in the country will be taken
- Focus on five priority result areas that correspond with dimensions of the Civil Society Index (CSI) developed by CIVICUS (see paragraph 6.4 - Call for proposal). For each of those dimensions the call for proposal formulated key evaluation questions.
- Should compare results with available reference data (i.e. a CSI report or other relevant data from the country in question).

The results of this evaluation are to be used by the Dutch Ministry of Foreign Affairs, the Dutch Consortia and their partner organisations. The evaluation methodology has to be participatory in the sense that Dutch Consortia and their partner organisation would be asked to give their own perception on a range of indicators of the adjusted CIVICUS analytical framework in 2012 and in 2014.

## 2.2 Designing the methodology

### 2.2.1 Evaluation principles and standards

The overall approach selected is a participatory, theory-based evaluation through a before and after comparison. This paragraph briefly describes these principles and how these have been translated into data collection principles. It also describes how a 'representative sample' of Southern Partner Organisations was selected and how the initial terms of references were adjusted with the consent of the commissioner of the evaluation, given the nature of the evaluation component and the resources available for the evaluation.

#### *Recognition of complexity*

The issues at stake and the interventions in civil society and policy influence are complex in nature, meaning that cause and effect relations can sometimes only be understood in retrospect and cannot be repeated. The evaluation methods should therefore focus on recurring patterns of practice, using different perspectives to understand changes and to acknowledge that the evaluation means to draw conclusions about complex adaptive systems (Kurtz and Snowden, 2003)<sup>47</sup>.

Changes in the values of the Civil Society Indicators in the 2012-2014 period are then the result of conflict management processes, interactive learning events, new incentives (carrots and sticks) that mobilise or demobilise civil society, rather than the result of a change process that can be predicted from A to Z (a linear or logical framework approach)<sup>48</sup>.

#### *A theory-based evaluation*

Theory-based evaluation has the advantage of situating the evaluation findings in an analysis that includes both what happened over the life of the project as well as the how and why of what happened (Rogers 2004). It demonstrates its capacity to help understand why a program works or fails to work, going further than knowing only outcomes by trying to systematically enter the black box (Weiss 2004).

Theory-based evaluations can provide a framework to judge effectiveness in context of high levels of complexity, uncertainty, and changeability when traditional (impact) evaluation methods are not suitable: the use of control groups for the civil society evaluation is problematic since comparable organizations with comparable networks and operating in a similar external environment would be quite difficult to identify and statistical techniques of matching cannot be used because of a small n.

Because SPO's theories of change regarding their efforts to build civil society or to influence policies may alter during the 2012-2014 period, it requires us to develop a deep understanding of the change process

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<sup>47</sup> C. F. Kurtz, D. J. Snowden, The new dynamics of strategy: Sense-making in a complex and complicated world, in IBM Systems Journal vol 42, no 3, 2003)

<sup>48</sup> Caluwe de, L & Vermaak H. (2003) "Learning to Change. A Guide for Organization Change Agents" Sage Publications.

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and the dynamics that affect civil society and policies. It is important to understand what has led to specific (non-) changes and (un)-expected changes. These external factors and actors, as well as the SPO's agency need to be taken into account for the attribution question. Linear input-activities-outputs-outcomes-impact chains do not suffice for complex issues where change is both the result of SPOs' interventions as those by other actors and/or factors.

Therefore, the most reasonable counterfactual that can be used for this evaluation is that of considering alternative causal explanations of change (White and Philips, 2012). Therefore the SPOs' Theory of Change constructed in 2012 is also related to a Model of Change constructed in 2014 that tries to find the ultimate explanations of what happened in reality, including other actors and factors that might possibly explain the outcomes achieved.

#### *Triangulation of methods and sources of information*

For purposes of triangulation to improve the robustness, validity or credibility of the findings of the evaluation we used different types of data collection and analysis methods as well as different sources of information. The CIVICUS analytical framework was adjusted for this evaluation in terms of providing standard impact outcome indicators to be taken into account. Data collection methods used consisted of workshops with the SPO, interviews with key resource persons, focus group discussions, social network analysis (during the baseline), consultation of project documents; MFS II consortia documents and other documents relevant to assess general trends in civil society.

#### *Participatory evaluation*

The evaluation is participatory in that both baseline and end line started with a workshop with SPO staff, decision makers and where possible board members. The baseline workshop helped SPOs to construct their own theory of change with regards to civil society. Detailed guidelines and tools have been developed by CDI for both baseline and follow-up, and these have been piloted in each of the countries CDI is involved in. Country based evaluators have had a critical input in reviewing and adapting these detailed guidelines and tools. This enhanced a rigorous data collection process. Additionally, the process of data analysis has been participatory where both CDI and in-country teams took part in the process and cross-check each other's inputs for improved quality. Rigorous analysis of the qualitative data was done with the assistance of the NVivo software program.

#### *Using the evaluation standards as a starting point*

As much as possible within the boundaries of this accountability driven evaluation, the evaluation teams tried to respect the following internationally agreed upon standards for program evaluation (Yarborough et al, 2011). These are, in order of priority: Utility; Feasibility; Propriety; Accuracy; Accountability. However, given the entire set-up of the evaluation, the evaluation team cannot fully ensure the extent to which the evaluation is utile for the SPO and their CFAs; and cannot ensure that the evaluation findings are used in a proper way and not for political reasons;

### 2.2.2 Sample selection

The terms of reference for this evaluation stipulate that the evaluators draw a sample of southern partner organisations to include in the assessment. Given the fact that the first evaluation questions intends to draw conclusions for the MDGs or the themes (governance or fragile states) for each countries a sample was drawn for the two or three most frequent MDGs or themes that the SPOs are working in.

The Dutch MFS II consortia were asked to provide information for each SPO regarding the MDG/theme it is working on, if it has an explicit agenda in the area of civil society strengthening and/or policy influence. The database then give an insight into the most important MDG/themes covered by the partner organisations, how many of these have an explicit agenda regarding civil society strengthening and/or policy influence. For Indonesia, 5 partner organisations were randomly selected for respectively MDG 7 (natural resources) and 5 for the governance theme. For India 5 SPOs were selected for MDG 1 (economic or agricultural development) and 5 others for the theme governance. The sample in Ethiopia consists of 3 SPOs working on MDG 4,5 and 6 (Health); 3 SPOs for MDG 2 (education) and 3 SPOs for MDG 1 (economic or agricultural development).

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### 2.2.3 Changes in the original terms of reference

Two major changes have been introduced during this evaluation and accepted by the commissioner of the MFS II evaluation. These changes were agreed upon during the 2013 and the 2014 synthesis team meetings.

#### *The efficiency evaluation question:*

During the June 2013 synthesis meeting the following decision was made with regards to measuring how efficient MFS II interventions for organisational capacity and civil society are:

*[...] it was stressed that it is difficult to disentangle budgets for capacity development and civil society strengthening. SPOs usually don't keep track of these activities separately; they are included in general project budgets. Therefore, teams agreed to assess efficiency of CD [capacity development] and CS activities in terms of the outcomes and/or outputs of the MDG projects. This implies no efficiency assessment will be held for those SPOs without a sampled MDG project. Moreover, the efficiency assessment of MDG projects needs to take into account CD and CS budgets (in case these are specified separately). Teams will evaluate efficiency in terms of outcomes if possible. If project outcomes are unlikely to be observed already in 2014, efficiency will be judged in terms of outputs or intermediate results (e-mail quotation from Gerton Rongen at February 6, 2014).*

#### *Attribution/contribution evaluation question*

During the June 2013 NWO-WOTRO workshop strategies were discussed to fit the amount of evaluation work to be done with the available resources. Therefore,

1. The number of SPOs that will undergo a full-fledged analysis to answer the attribution question, were to be reduced to 50 percent of all SPOs. Therefore the evaluation team used the following selection criteria:
  - An estimation of the annual amount of MFS II funding allocated to interventions that have a more or less direct relation with the civil society component. This implies the following steps to be followed for the inventory:
    - Covering all MDGs/themes in the original sample
    - Covering a variety of Dutch alliances and CFAs
2. The focus of the attribution question will be on two impact outcome areas, those most commonly present in the SPO sample for each country. The evaluation team distinguishes four different impact outcome areas:
  - The extent to which the SPO, with MFS II funding, engages more and diverse categories of society in the 2011-2014 period (Civicus dimensions "Civic engagement" and "perception of impact")
  - The extent to which the SPOs supports its intermediate organisations to make a valuable contribution to civil society in the 2011 -2014 period (Civicus dimension "Level of organisation" and "perception of impact")
  - The extent to which the SPO itself engages with other civil society organisations to make a valuable contribution to civil society in the 2011-2014 period (Civicus dimension "level of organisation")
  - The extent to which the SPO contributes to changing public and private sector policies and practices in the 2011-2014 period (Civicus dimension "perception of impact")
3. The CS dimension 'Practice of Values' has been excluded, because this dimension is similar to issues dealt with for the organisational capacity assessment.

The aforementioned analysis drew the following conclusions:

**Table 6**

*SPOs to be included for full-fledged process tracing analysis.*

Country	SPO in the in-depth analysis	Strategic CS orientation to include
Indonesia	Elsam, WARSI, CRI, NTFP-EP, LPPSLH	<ol style="list-style-type: none"> <li>1. Strengthening intermediate organisations AND influencing policies and practices</li> <li>2. If only one of the two above mentioned is applicable, then select another appropriate impact outcome area to look at.</li> </ol>
India	NNET, CWM, CECEOEDCON, Reds Tumkur, CSA	<ol style="list-style-type: none"> <li>1. Enhancing civic engagement AND strengthening intermediate organisations</li> <li>2. If only one of the two above mentioned is applicable then select another appropriate impact outcome area to look at.</li> </ol>
Ethiopia	OSSA, EKHC, CCGG&SO, JeCCDO and ADAA	<ol style="list-style-type: none"> <li>1. Strengthening the capacities of intermediate organisations AND SPO's engagement in the wider CS arena</li> <li>2. If only one of the two above mentioned is applicable then select another appropriate impact outcome area to look at.</li> </ol>

Source: Consultation of project documents

## 2.3 Answering the evaluation questions

### 2.3.1 Evaluation question 1 - Changes in civil society for the relevant MDGs/topics

Evaluation question 1: *What are the changes in civil society in the 2012-2014 period, with particular focus on the relevant MDGs & themes in the selected country?*

#### *Indicators and tools used*

In line with the CIVICUS Civil Society Index, a scoring tool was developed in 2012 which comprises 17 indicators. The selection was inspired by those suggested in the terms of reference of the commissioner. Each indicator was, also in line with the CIVICUS index accompanied by an open evaluation question to be used for data collection in 2012 and 2014. In 2012 the scoring tool contained four statements describing the level of achievements of the indicator and scores ranged from 0 to 3 (low score - high score).

A comparison of the scores obtained in 2012 informed the evaluation team that there was a positive bias towards high scores, mostly between 2 and 3. Therefore during the 2014 assessment, it was decided to measure relative changes for each indicator in the 2012 – 2014 period, as well as the reasons for changes or no changes and assigning a score reflecting the change between -2 (considerable deterioration of the indicator value since 2012) and +2 (considerable improvement).

In 2012 and based upon the Theory of Change constructed with the SPO, a set of *standard indicators* were identified that would ensure a relation between the standard CIVICUS indicators and the interventions of the SPO. However, these indicators were not anymore included in the 2014 assessment because of the resources available and because the methodology fine-tuned for the attribution question in 2013, made measurement of these indicators redundant.

Also in 2012, as a means to measure the 'level of organisation' dimension a *social network analysis tool* was introduced. However this tool received very little response and was discontinued during the end line study.

#### *Key questions to be answered for this evaluation question*

In 2012, SPO staff and leaders, as well as outside resource persons were asked to provide answers to 17 questions, one per standard indicator of the scoring tool developed by CDI.

In 2012, the SPO staff and leaders were given the description of each indicator as it was in 2012 and had to answer the following questions:

1. How has the situation of this indicator changed compared to its description of the 2012 situation? Did it deteriorate considerably or did it improve considerably (-2 → +2)
2. What exactly has changed since 2012 for the civil society indicator that you are looking at? Be as specific as possible in your description.
3. What interventions, actors and other factors explain this change compared to the situation in 2012? Please tick and describe what happened and to what change this led. It is possible to tick and describe more than one choice.
  - Intervention by SPO, NOT financed by any of your Dutch partners .....
  - Intervention SPO, financed by your Dutch partner organisation .....(In case you receive funding from two Dutch partners, please specify which partner is meant here)
  - Other actor NOT the SPO, please specify.....
  - Other factor, NOT actor related, please specify.....
  - A combination of actors and factors, INCLUDING the SPO, but NOT with Dutch funding, please specify...
  - A combination of actors and factors, INCLUDING the SPO, but WITH Dutch funding, please specify...
  - Don't know
4. Generally speaking, which two of the five CIVICUS dimensions (civic engagement, level of organisation, practice of values, perception of impact, environment) changed considerably between 2012 – 2014? For each of these changes, please describe:
  - Nature of the change
  - Key interventions, actors and factors (MFS II or non-MFS II related) that explain each change (entirely or partially).

#### *Sources for data collection*

During the baseline and the end line and for purposes of triangulation, several methods were used to collect data on each (standard) indicator:

- Self-assessment per category of staff within the SPO: where possible, three subgroups were made to assess the scores: field staff/programme staff, executive leadership and representatives of the board,, general assembly, and internal auditing groups if applicable completed with separate interviews;
- Interviews with external resource persons. These consisted of three categories: key actors that are knowledgeable about the MDG/theme the SPO is working on and who know the civil society arena around these topics; civil society organisations that are being affected by the programme through support or CSOs with which the SPO is collaborating on equal footing, and; representatives of public or private sector organisations with which the SPO is interacting
- Consultation and analysis of reports that relate to each of the five CIVICUS dimensions.
- Project documents, financial and narrative progress reports, as well as correspondence between the SPO and the CFA.
- Social network analysis (SNA), which was discontinued in the end line study.

During the follow-up, emphasis was put on interviewing the same staff and external persons who were involved during the baseline for purpose of continuity.

### 2.3.2 Evaluation question 2 – “Attribution” of changes in civil society to interventions of SPOs.

*Evaluation question 2: To what degree are the changes identified attributable to the development interventions of the Southern partners of the MFS II consortia (i.e. measuring effectiveness)?*

#### *Adapting the evaluation question and introduction to the methodology chosen*

In line with the observation of Stern et al. (2012) that the evaluation question, the programme attributes, and the evaluation approaches all provide important elements to conclude on the evaluation design to select, the teams in charge of evaluating the civil society component concluded that given the attributes of the programmes it was impossible to answer the *attribution* question as formulated in the



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Terms of References of the evaluation and mentioned above. Therefore, the evaluation teams worked towards answering the extent *to which the programme contributed towards realising the outcomes*.

For this endeavour explaining outcome process-tracing<sup>49</sup> was used. The objective of the process tracing methodology for MFS II, in particular for the civil society component is to:

- Identify what interventions, actors and factors explain selected impact outcomes for process tracing.
- Assess how the SPO with MFS II funding contributed to the changes in the selected impact outcomes and how important this contribution is given other actors and factors that possibly influence the attainment of the outcome. Ruling out rival explanations, which are other interventions, actors or factors that are not related to MFS II funding.

#### *Methodology – getting prepared*

As described before a limited number of SPOs were selected for process tracing and for each country strategic orientations were identified as a means to prevent a bias occurring towards only positive impact outcomes and as a means to support the in-country evaluation teams with the selection of outcomes to focus on as much as was possible, based upon the project documents available at CDI. These documents were used to track realised outputs and outcomes against planned outputs and outcomes. During the workshop (see evaluation question on changes in civil society) and follow-up interviews with the SPO, two impact outcomes were selected for process tracing.

#### *Steps in process tracing*

1. Construct the theoretical model of change – by in-country evaluation team

After the two impact outcomes have been selected and information has been obtained about what has actually been achieved, the in-country evaluation team constructs a visual that shows all pathways that might possibly explain the outcomes. The inventory of those possible pathways is done with the SPO, but also with external resource persons and documents consulted. This culminated in a Model of Change. A MoC of good quality includes: The causal pathways that relate interventions/parts by any actor, including the SPO to the realised impact outcome; assumptions that clarify relations between different parts in the pathway, and; case specific and/or context specific factors or risks that might influence the causal pathway, such as for instance specific attributes of the actor or socio-cultural-economic context. The Models of Change were discussed with the SPO and validated.

2. Identify information needs to confirm or reject causal pathways as well as information sources needed.

This step aims to critically reflect upon what information is needed that helps to confirm one of causal pathways and at that at same time helps to reject the other possible explanations. Reality warns that this type of evidence will hardly be available for complex development efforts. The evaluators were asked to behave as detectives of Crime Scene Investigation, ensuring that the focus of the evaluation was not only on checking if parts/interventions had taken place accordingly, but more specifically on identifying information needs that confirm or reject the relations between the parts/interventions. The key question to be answered was: "What information do we need in order to confirm or reject that one part leads to another part or, that X causes Y?". Four types of evidence were used, where appropriate:<sup>50</sup>

- *Pattern evidence* relates to predictions of statistical patterns in the evidence. This may consist of trends analysis and correlations.
- *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. However, if we found that event B took place before event A, the test

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<sup>49</sup> 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. The aim of process tracing is not to verify if an intended process of interventions took place as planned in a particular situation, but that it aims at increasing our understanding about what works under what conditions and why (Beach & Pedersen, 2013).

<sup>50</sup> Beach and Pederson, 2013

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 meeting minutes, if authentic, provides 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.

3. Collect information necessary to confirm or reject causal pathways

Based upon the inventory of information needs the evaluation teams make their data collection plan after which data collection takes place.

4. Analyse the data collected and assessment of their quality.

This step consists of compiling all information collected in favour or against a causal pathway in a table or in a list per pathway. For all information used, the sources of information are mentioned and an assessment of the strength of the evidence takes place, making a distinction between strong, weak and moderate evidence. For this we use the traffic light system: **green letters mean strong evidence**, **red letters mean weak evidence** and **orange letter mean moderate evidence**: The following table provides the format used to assess these issues.

Table 7

*Organisation of information collected per causal pathway and assessing their quality*

Causal pathway	Information that confirms (parts of) this pathway	Source of information	Information that rejects (parts of) this pathway	Source of information
Pathway 1	<b>Information 1</b>	Source of information	<b>Information 1</b>	Source of information
Part 1.1	<b>Information 2</b>	Source of information	<b>Information 2</b>	Source of information
Part 1.2	<b>Information 3</b>	Source of information	<b>Information 3</b>	Source of information
Etc	etc	etc	etc	etc
Pathway 2	<b>Information 1</b>	Source of information	<b>Information 1</b>	Source of information
Part 2.1	<b>Information 2</b>	Source of information	<b>Information 2</b>	Source of information
Part 2.2	<b>Information 3</b>	Source of information	<b>Information 3</b>	Source of information
Etc.	etc	etc	etc	etc
Pathway 3				






Sources: Dieuwke Klaver

5. Assessing the nature of the relations between parts in the model of change

The classification of all information collected is being followed by the identification of the pathways that most likely explain the impact outcome achieved. For this the evaluators assess the nature of the relations between different parts in the MoC. Based upon Mayne (2012) and Stern et al (2012) the following relations between parts in the MoC are mapped and the symbols inserted into the original MoC.

Table 8

*Nature of the relation between parts in the Model of Change*

Nature of the relation between parts and other parts or outcome	
The part is the only causal explanation for the outcome. No other interventions or factors explain it. (necessary and sufficient)	
The part does not explain the outcome at all: other subcomponents explain the outcomes.	
The part explains the outcome but other parts explain the outcome as well: there are multiple pathways (sufficient but not necessary)	
The part is a condition for the outcome but won't make it happen without other factors (necessary but not sufficient)	
The part explains the outcome, but requires the help of other parts to explain the outcome in a sufficient and necessary way (not a sufficient cause, but necessary) → it is part of a causal package	

Sources: Mayne, 2012; Stern et al, 2012

6. Write down the contribution and assess the role of the SPO and MFS II funding

This final step consists of answering the following questions, as a final assessment of the contribution question:

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- The first question to be answered is: What explains the impact outcome?
  - The second question is: What is the role of the SPO in this explanation?
  - The third question, if applicable is: what is the role of MFS II finding in this explanation?

#### *Sources for data collection*

1. Information necessary to answer this evaluation question is to be collected from:

- Interviews with resource persons inside and outside the SPO
- Project documents and documentation made available by other informants
- Websites that possibly confirm that an outcome is achieved and that the SPO is associated with this outcome
- Meeting minutes of meetings between officials
- Time lines to trace the historical relations between events
- Policy documents
- etc

### 2.3.3 Evaluation question 3 – Relevance of the changes

Evaluation question 3: *What is the relevance of these changes?*

The following questions are to be answered in order to assess the relevance of the changes in Civil Society.

- How do the MFS II interventions and civil society outcomes align with the Theory of Change developed during the baseline in 2012? What were reasons for changing or not changing interventions and strategies?
- What is the civil society policy of the Dutch alliance that collaborates with the SPO? And how do the MFS II interventions and civil society outcomes align with the civil society policy of the Dutch alliance that collaborates with the SPO?
- How relevant are the changes achieved in relation to the context in which the SPO is operating?
- What is the further significance of these changes for building a vibrant civil society for the particular MDG/ theme in the particular context?

#### *Sources for data collection*

For this question the following sources are to be consulted:

- Review of the information collected during interviews with the SPO and outside resource persons
- The 2012 Theory of Change
- Interview with the CFA liaison officer of the SPO;
- Review of reports, i.e: the civil society policy document of the Dutch Alliance that was submitted for MFS II funding, relevant documents describing civil society for the MDG/ theme the SPO is working on in a given context.

### 2.3.4 Evaluation question 4, previously 5 - Factors explaining the findings

Evaluation question 4: *What factors explain the findings drawn from the questions above?*

To answer this question we look into information available that:

- Highlight changes in the organisational capacity of the SPO
- Highlight changes in the relations between the SPO and the CFA
- Highlight changes in the context in which the SPO is operating and how this might affect positively or negatively its organisational capacity.

#### *Sources for data collection*

Sources of information to be consulted are:

- Project documents
- Communications between the CFA and the SPO
- Information already collected during the previous evaluation questions.

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## 2.4 Analysis of findings

A qualitative software programme NVivo 10 (2010) was used to assist in organizing and making sense of all data collected. Although the software cannot take over the task of qualitative data analysis, it does 1) improve transparency by creating a record of all steps taken, 2) organize the data and allow the evaluator to conduct a systematic analysis, 3) assist in identifying important themes that might otherwise be missed, and 4) reduce the danger of bias due to human cognitive limitations, compared to “intuitive data processing” (Sadler 1981). The qualitative data in the evaluation consisted of transcripts from semi-structured interviews, focus group discussions workshops, field notes from observation, and a range of documents available at the SPO or secondary information used to collect reference data and to obtain a better understanding of the context in which the CS component evolves.

To analyse this diverse collection of data, several analytical strategies are envisioned, specifically content analysis, discourse analysis, and thematic analysis. Although each of these strategies can be understood as a different lens through which to view the data, all will require a carefully developed and executed coding plan.

Data have been coded according to: standard civil society indicator; outcome included for in-depth contribution analysis; relevance, and; explaining factors.

This qualitative analysis will be supported by a limited amount of quantitative data largely arising from the score assigned by the evaluation team to each performance indicator described in the civil society scoring tool. Other quantitative data in this study are drawn information provided in background literature and organisational documents as well as the Social Network Analysis method.

## 2.5 Limitations to the methodology

### 2.5.1 General limitations with regards to the MFS II evaluation

#### *The MFS II programme and CIVICUS*

Although the MFS II programme stated that all proposals need to contribute to civil society strengthening in the South<sup>51</sup>, mention was made of the use of the CIVICUS framework for monitoring purposes. The fact that civil society was to be integrated as one of the priority result areas next to that of organisational capacity and MDGs became only clear when the MoFA communicated its mandatory monitoring protocol. In consequence, civil society strengthening in the MFS II programmes submitted to the ministry is mainstreamed into different sub programmes, but not addressed as a separate entity.

This late introduction of the Civil Society component also implies that project documents and progress reports do not make a distinction in MDG or theme components vs those of civil society strengthening, leaving the interpretation of what is a civil society intervention our outcome and what not to the interpretation of the evaluation team.

At the same time the evaluation team observes that SPOs and CFAs have started to incorporate the organisational capacity tool that is being used in the monitoring protocol in their own organisational assessment procedures. None of the SPOs is familiar with the CIVICUS framework and how it fits into their interventions.

#### *Differences between CIVICUS and MFS II evaluation*

CIVICUS developed a Civil Society Index that distinguishes 5 dimensions and for each of these a set of indicators has been developed. Based upon a variety of data collection methods, a validation team composed of civil society leaders provides the scores for the civil society index.

Major differences between the way the Civil Society Index is been used by CIVICUS and for this MFS II evaluation is the following:

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<sup>51</sup> Policy Framework Dutch Cofinancing System II 2011 - 2015

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1. CIVICUS defines its unit of analysis in terms of the civil society arena at national and/or subnational level and does not start from individual NGOs. The MFS II evaluation put the SPO in the middle of the civil society arena and then looked at organisations that receive support; organisations with which the SPO is collaborating. The civil society arena boundaries for the MFS II evaluation are the public or private sector organisations that the SPO relates to or whose policies and practices it aims to influence
  2. The CIVICUS assessments are conducted by civil society members itself whereas the MFS II evaluation is by nature an external evaluation conducted by external researchers. CIVICUS assumes that its assessments, by organising them as a joint learning exercise, will introduce change that is however not planned. With the MFS II evaluation the focus was on the extent to which the interventions of the SPO impacted upon the civil society indicators.
  3. CIVICUS has never used its civil society index as a tool to measure change over a number of years. Each assessment is a stand-alone exercise and no efforts are being made to compare indicators over time or to attribute changes in indicators to a number of organisations or external trends.

#### *Dimensions and indicator choice*

The CIVICUS dimensions in themselves are partially overlapping; the dimension 'perception of impact' for instance contains elements that relate to 'civic engagement' and to 'level of organisation'. Similar overlap is occurring in the civil society scoring tool developed for this evaluation and which was highly oriented by a list of evaluation questions set by the commissioner of the evaluation.

Apart from the overlap, we observe that some of the standard indicators used for the civil society evaluation were not meaningful for the SPOs under evaluation. This applies for instance for the political engagement indicator "How intense is your (individual staff or organisational) participation in locally-nationally elected bodies and/or sectoral user groups?".

#### *Measuring change over a two-year period*

The MFS II programme started its implementation in 2011 and it will finish in 2015, whereas its evaluation started mid-2012 and will end in the beginning of 2014. The period between the baseline and the end line measurement hardly covers 2 years in some cases. Civil society building and policy influence are considered the type of interventions that requires up to 10 years to reap significant results, especially when taking into account attitudes and behaviour. Apart from the fact that the baseline was done when MFS II was already operational in the field for some 1,5 years, some SPO interventions were a continuation of programmes designed under the MFS I programme, hence illustrating that the MFS II period is not a clear boundary. Contracts with other SPOs ended already in 2012, and practically coincided with the baseline assessment being conducted at the moment the relationship with the CFA had practically ended.

#### *Aggregation of findings*

Although working with standard indicators and assigning them scores creates expectations of findings being compared and aggregated at national and international level, this may lend itself to a quick but inaccurate assessment of change. Crude comparison between programs on the basis of findings is problematic, and risks being politically abused. The evaluation team has to guard against these abuses by ensuring the necessary modesty in extrapolating findings and drawing conclusions.

#### *Linking the civil society component to the other components of the MFS II evaluation*

The Theory of Change in the terms of reference assumes that CFAs are strengthening the organisational capacity of their partners, which is evaluated in the organisational capacity components, which then leads to impact upon MDGs or upon civil society. Because the evaluation methodology designed for both the organisational capacity and the civil society evaluation require considerable time investments of the SPOs, a deliberate choice was made not to include SPOs under the organisational capacity component in that of Civil Society. This may possibly hamper conclusions regarding the assumption of capacitated SPOs being able to impact upon civil society. However, where information is available and where it is relevant, the civil society component will address organisational capacity issues.

No such limitations were made with regards to SPOs in the MDG sample, however, apart from Indonesia; none of the SPOs in the civil society sample is also in that of MDG.

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## 2.5.2 Limitations during baseline with regards to the methodology

A very important principle upon which this evaluation methodology is based is that of triangulation, which implies that different stakeholders and documents are consulted to obtain information about the same indicator from different perspectives. Based upon these multiple perspectives, a final score can be given on the same indicator which is more valid and credible.

For Ethiopia this has not always been possible:

- A Survey Monkey questionnaire was developed to assess the intensity of the interaction between stakeholders in the Basic Education Network of Ethiopia. Out of 85 actors that were invited to fill in this 5 minute questionnaire, none of them effectively filled in the questionnaire. The online Social Network Analysis aims at having both the opinion of the SPO on the intensity of the interaction with another actor, as well as the opinion of the other actor for triangulation. Important reasons for not filling in this form are that actors in the network are not technology savvy, or that they have difficulties in accessing internet.
- With regards to filling in offline interview forms or answering questions during interviews a number of civil society actors did not want to score themselves because they do not benefit from the interventions of the MFS II projects. Having the scores of their own organisations will help to assess the wider environment in which the SPO operates and possibly an impact of the SPO on other civil society organisations in 2014.
- All respondents working for CSOs are working on a voluntary basis. It has not been easy for the evaluation team to fix appointments with them. Voluntary work so high staff turn-over → new staff is not knowledgeable about the interview topics ( loss of institutional memory)
- SPOs in Ethiopia are not influencing public sector policies but are implementing these public sector policies. This means that most often there will be no efforts to influence those policies, but efforts are made to make those policies operational at local level and to revitalise them.

## 2.5.3 Limitations during end line with regards to the methodology

### *Project documentation*

The methodology assumed that project documents and progress reports would be helpful in linking project interventions to the CIVICUS framework and obtaining an overview of outputs-outcomes achieved versus planned. These overviews would then be used to orient the in-country evaluation teams for the quick or in-depth contribution analysis.

In practice the most recent progress reports were hardly available with the CFAs or were made available later in the process. These reports often were not helpful in accumulating outputs towards to the planned outputs and even outcomes. Hardly any information is available at outcome or impact level and no monitoring systems are available to do so. Key information missing and relevant for civil society impact (but also to track progress being made on effects of project interventions) is for instance a comprehensive overview of the organisational performance of organisations supported by the SPO. For a number of SPOs the reality was different than the progress reports reflected which meant that constant fine-tuning with the in-country evaluation team was necessary and that CDI could not always provide them with the guidance needed for the selection of impact outcomes for contribution analysis.

A number of organisations that the evaluation team looked at for the civil society component are working in a programmatic approach with other partner organisations. In consequence reporting was organised at the programme level and to a lesser extent at the level of the individual partner, which seriously hampered the possibilities to get oversight on outcomes and output achieved. This was the case with EKHC and MKC-RDA, ERSHA, EfDA and JeCCDO.

The Ethiopian evaluation team made the following evaluation remarks with regards to the methodology.

### *1. What worked?*

The team had no difficulties in triangulating information obtained from different resource persons (Government, beneficiaries and SPOs) which helped to cross check information.

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The document analysis by CDI, including providing guidance for the fieldwork has been helpful for the team.

The use of the Models of Change for process-tracing helped both the evaluation team as the SPO staff in obtaining a clear picture of the inputs, out puts and outcomes and to get a general picture of the evaluation.

### *2. What didn't work and why?*

There was repetition in a number of questions in the evaluation methodology, such the forms used during the workshop with the SPO, the interviews with the SPO after the workshops; questions were interpreted by the SPO staff of being more or less the same and therefore made them less interested to go into detail or be specific.

The workshop form to be filled in for the CS indicators was long and therefore answers given may have been too general. Some of the questions were not clear and seemed similar to the others and therefore were misunderstood and got wrong responses.

### *3. Challenges encountered*

The team observes that it was very difficult to obtain exact information from resource persons, including those representing the SPOs. Resource persons were able to give facts based upon general observations in most cases but were not able to provide figures. Therefore the in country team suggests to identify a number of indicators during the baseline and to ask the SPO and their headquarters to monitor those indicators since the baseline as a means to inform the end line study.

Some beneficiaries were not aware or did not keep track of numbers and figures, making it also difficult to confirm or reject quantitative information from the SPO. The in-country evaluation team suggests to incorporate quantitative analysis in the evaluation of the CS component.

The partner organisations do not keep records of progress and what they document is available in hard copy. They also keep (monthly) records but do not aggregate these.

High staff turnover within the SPOs also hampered the evaluation.

## Civil Society Scoring tool - baseline

### Civil Society Assessment tool – Standard Indicators

Dimension	Outcome domains		Question	Statements				x	What are factors (strengths, weaknesses) that explain the current situation?
				0	1	2	3		
Civic engagement	1	Needs of marginalised groups	How does your organisation take the needs of your beneficiaries/target groups, in particular marginalised groups into account in your planning, actions, activities, and/or strategies?	Are NOT taken into account	Are POORLY taken into account	Are PARTLY taken into account	Are FULLY taken into account	Question not relevant, because .....	
	2	Involvement of target groups	What is the level of participation of your beneficiaries/target groups, in particular marginalised groups in the analysis, planning and evaluation of your activities?	They are INFORMED about on-going and/or new activities that you will implement	They are CONSULTED by your organisation. You define the problems and provide the solutions.	They CARRY OUT activities and/or form groups upon your request. They provide resources (time, land, labour) in return for your assistance (material and/or immaterial)	They ANALYSE PROBLEMS AND FORMULATE IDEAS together with your organisation and/or take action independently from you.	Question not relevant, because .....	
	3	Political engagement	How intense is your (individual staff or organisational) participation in locally-nationally elected bodies and/or sectoral user groups?	No participation	You are occasionally CONSULTED by these bodies	You are a member of these bodies. You attend meetings as a participant	You are a member of these bodies. You are chairing these bodies or sub groups	Question not relevant, because .....	



level of organisation	5	Relations with other organisations	In the past 12 months what has been the most intensive interaction you had with other CSOs?	No interaction at all	Networking - Cooperation: Inform each other; roles somewhat defined; all decisions made independently	Coordination - Coalition: ideas and resources shared; roles defined and divided; all have a vote in decision making	Collaboration: organisations belong to one system; mutual trust; consensus on all decisions.	Question not relevant, because .....	
	5	Frequency of dialogue with closest CSO	In the past 12 months how many meetings did you have with the CSO that you have most intensive interaction with?	No interaction at all	Less than 2 times a year	Between 2 and 3 times a year	More than 4 times a year	Question not relevant, because .....	
	6	Defending the interests of marginalised groups:	Which CSO are most effective in defending the interests of your target groups? In the past 12 months, how did you relate to those CSOs?	No interaction at all	Networking - Cooperation: Inform each other; roles somewhat defined; all decisions made independently	Coordination - Coalition: ideas and resources shared; roles defined and divided; all have a vote in decision making	Collaboration: organisations belong to one system; mutual trust; consensus on all decisions.	Question not relevant, because .....	
	7	Composition current financial resource base	How does your organisation finance institutional costs such as workshops of the General Assembly (if applicable); attendans to workshops of other CSOs; costs for organisational growth and/or networking?	Depends on 1 international donor	Depends on few financial sources: one fund cover(s) more than 75% of all costs.	Depends on a variety of financial sources; one fund cover(s) more than 50% of all costs.	Depends on a variety of sources of equal importance. Wide network of domestic funds	Question not relevant, because .....	
Practice of Values	8	Downward accountability	To what extent can mandatory social organs (steering committee, general assembly, internal auditing group) ask your executive leaders to be accountable to them?	(financial) information is made available and decisions are taken openly	They fulfil their formal obligation to explain strategic decisions and actions	They react to requests of social organs to justify/explain actions and decisions made	Social organs use their power to sanction management in case of misconduct or abuse	Question not relevant, because .....	
	9	Composition of social organs	What % of members of your mandatory social organs belong to the marginalised target groups you are working with/for?	Between 0-10 % of all members of the social organs	Between 11-30 % of all members of the social organs	Between 31-65 % of all members of the social organs	More than 65% of all members of the social organs	Question not relevant, because .....	

	10	External financial auditing	How regularly is your organisation audited externally?	Never	Occasionally, upon request of funders	Periodically and regularly, because our external funder asks for it	Periodically and regularly, because it is part of our code of conduct	Question not relevant, because .....	
Perception of impact	11	Client satisfaction	What are the most important concerns of your target groups? How do your services take into account those important concerns?	Majority of target groups are NOT satisfied	Majority of target groups are POORLY satisfied	Majority of target groups are PARTLY satisfied	Majority of target groups are MOSTLY satisfied	Question not relevant, because .....	
	12	Civil society impact.	In the past 12 months, what impact did you have on building a strong civil society?	You have not undertaken any activities of this kind	You have undertaken activities of this kind but there is no discernible impact	You have undertaken activities of this kind but impact is limited	You have undertaken activities and examples of significant success can be detected.	Question not relevant, because .....	
	13	Relation with public sector organisations.	In the past 12 months, what interaction did you have with public sector organisations to realise your programme and organisations' objectives?	No direct interaction	You have been invited by public sector organisations for sharing of information	You have been invited by public sector organisations for regular consultations (but public sector decides)	Formal and regular meetings as a multi-stakeholder task force.	Question not relevant, because .....	
	14	Relation with private sector organisations	In the past 12 months, what interaction did you have with private sector organisations to realise your programme and organisations' perspective?	No direct interaction	You have been invited by private sector organisations for sharing of information	You have been invited by private sector organisations for regular consultations (but public sector decides)	Formal and regular meetings as a multi-stakeholder task force.	Question not relevant, because .....	
	15	Influence upon public policies, regulations	How successful have you been in influencing public policies and practices in the past 2 years?	No activities developed in this area	Some activities developed but without discernible impact	Many activities developed in this area, but impact until so far has been limited	Many activities developed in this area and examples of success can be detected	Question not relevant, because .....	

		Influence upon private sector agencies' policies, rules, regulations.	How successful have you been in influencing private sector policies and practices in the past 2 years?	No activities developed in this area	Some activities developed but without discernible impact	Many activities developed in this area, but impact until so far has been limited	Many activities developed in this area and examples of success can be detected	Question not relevant, because .....	
	16								
context Environmental			In the past 2 years, how did your organisation cope with these changes in the context that may have been positive or negative consequences for civil society.	No analysis of the space and role of civil society has been done.	You are collecting information of the space and role of civil society but not regularly analysing it.	You are monitoring the space and role of civil society and analysing the consequences of changes in the context for your own activities. Examples are available.	You are involved in joint action to make context more favourable. Examples are available.	Question not relevant, because .....	
	17	Coping strategies							



# Appendix 3 Civil Society Scoring Tool

This table presents the appreciation of the evaluation team regarding changes occurred for each indicator between 2012 and 2014 on a scale of -2 to + 2

- 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

Dimension		Indicators	Question	Change in the indicators in the 2012 – 2014 period
Civic engagement	1	Needs of marginalised groups	How does your organisation take the needs of your beneficiaries/target groups, in particular marginalised groups into account in your planning, actions, activities, and/or strategies?	+1
	2	Involvement of target groups	What is the level of participation of your beneficiaries/target groups, in particular marginalised groups in the analysis, planning and evaluation of your activities?	+0
	3	Political engagement	How intense is your (individual staff or organisational) participation in locally-nationally elected bodies and/or sectoral user groups?	+0
Level of organisation	5	Relations with other organisations	In the past 12 months what has been the most intensive interaction you had with other CSOs?	+0
	5	Frequency of dialogue with closest CSO	In the past 12 months how many meetings did you have with the CSO that you have most intensive interaction with?	+1
	6	Defending the interests of marginalised groups	Which CSO are most effective in defending the interests of your target groups? In the past 12 months, how did you relate to those CSOs?	+0
	7	Composition current financial resource base	How does your organisation finance institutional costs such as workshops of the General Assembly (if applicable); attendance to workshops of other CSOs; costs for organisational growth and/or networking?	+0
Practice of Values	8	Downward accountability	To what extent can mandatory social organs (steering committee, general assembly, internal auditing group) ask your executive leaders to be accountable to them?	+0
	9	Composition of social organs	What % of members of your mandatory social organs belong to the marginalised target groups you are working with/for?	+0
	10	External financial auditing	How regularly is your organisation audited externally?	+0
Perception of impact	11	Client satisfaction	What are the most important concerns of your target groups? How do your services take into account those important concerns?	+1
	12	Civil society impact.	In the past 12 months, what impact did you have on building a strong civil society?	+1
	13	Relation with public sector organisations.	In the past 12 months, what interaction did you have with public sector organisations to realise your programme and organisations' objectives?	+1

	14	Relation with private sector organisations	In the past 12 months, what interaction did you have with private sector organisations to realise your programme and organisations' perspective?	+1
	15	Influence upon public policies, rules, regulations	How successful have you been in influencing public policies and practices in the past 2 years?	+0
	16	Influence upon private sector agencies' policies, rules, regulations.	How successful have you been in influencing private sector policies and practices in the past 2 years?	+0
<b>CS context</b>				
	17	Coping strategies	In the past 2 years, how did your organisation cope with these changes in the context that may have been positive or negative consequences for civil society.	-1

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# Appendix 4 Changes in civil society indicators between 2012 and 2014

## 4.1 Civic Engagement

### 4.1.1 Needs of marginalised groups SPO

Score: +1

As of 2011 the project has expanded to two new nearby woredas and it has been implementing a one year pilot project in Arba Minch town, six Kebeles of Arba Minch Zuria woreda & seven Kebeles of Mirab Abaya woreda.

- Between 3200 and 3520 students were reached in 15 schools on HIV/AIDS, reproductive health and sexuality issues; the AACs reached 16977 persons and 7020 persons were reached by gender clubs. 544 pregnant women were linked to health institutions for PPTCT services; there is some indication that women become aware that female circumcision is a harmful practice;
- 60 female students received particular support in different schools through the peer education groups; 40 OVCs received educational material support because 6 schools generated income through their own agricultural plots;
- One FBO forum for care and support was established before 2011 and is supporting 45 vulnerable persons including OVCs; The idirs and churches support 30 vulnerable people in the new project areas and by October 2013, 129 PLWHIV received food support from grain banks; 1 kebele administration provided half an acre of land for the strengthening of the care and support activity. The beneficiaries are now growing bananas on the land. A newly established grain bank in Mirab Abaya woreda organised a fund raising conference on their local churches and collected more than 32,000 Birr and 200 kg of maize.
- 84/120 Community Conversation sessions were organised on stigma and social exclusion due to aids, disabilities and sexual and reproductive health have been conducted by FBOs, CBOs and clubs and reached 750 people
- 8104 people received voluntary counselling and testing services of which 3535 females (44 %) and 68 (0.8%) PLWHIV were referred to health facilities for ART follow up.
- More than 42 CBO and church leaders received training on lobbying and advocacy, on networking which led to the establishment of a town level FBOs care and support forum in the first semester of the project.
- 9 grain banks formed a union in Arba Minch and received a mill from EKHC. They are still searching for legal recognition as a union. The government has provided a house for the grain mill. 22/25 grain banks received office furniture and stationeries. Each grain bank supports 4-9 beneficiaries and in total there are more than 120 beneficiaries.
- 63 SHG have been established. The group members are engaged in saving and any one of the members that is interested to engage on business borrows the money and latter return it with interest payment. The SHGs are also used as platform for the members to help one another and discuss health issues particularly HIV and social discrimination. SHG members also believe that they are a living proof of the changes seen through the effort of EHKC as they had nothing before and now they are coordinated and working together.

These outcomes are the result of some 90 community volunteers providing care and support and counselling services, 75 university students engaging in peer education and 44 CBO and church leaders. (We are not sure about the numbers).

#### 4.1.2 Involvement of target groups SPO

Score: 0

No changes occurred since the baseline. EKHC closely works with churches and Idir leaders which are mainly male, hence implying a risk of taking into account the needs and interests of women. Working with the community has showed to increase their ownership for the project and the approach has increased the involvement of communities in care & support activities for PLWHIVs. The active participation of Anti Aids clubs in social mobilization has increased the voluntary counselling uptake. Two review meetings have taken place with volunteers in the period August 2011 – January 2012 and 6 review meetings between November 2012 and April 2013.

#### 4.1.3 Intensity of political engagement SPO

Score: 0

EKHC is not engaged in political activities

### 4.2 Level of Organisation

#### 4.2.1 Relations with other organisations SPO

Score: 0

EKHC is, together with Ethiopia Muluwongel Believers Church Relief and Development Organization – MKC-RDA, Evangelical Church Fellowship of Ethiopia (ECFE), and EECMY one of the Ethiopian coalition partners in the Ethiopia Health Country Plan 2011-2015 of the ICCO Alliance. The program has started implementing activities since 2011 and developed into a network in which lessons are learned from each other and from other important stakeholders. We do not have any information to be able to assess changes in the intensity of collaboration within this network.

There is no sexual and reproductive health alliance in Arba Minch to coordinate activities in the sector. However EKHC is a member of the USAID CORHA (Consortium of Reproductive Health Associations) but the intensity of collaboration is unknown.

The Medan Act project has sought a relationship with the urban ministries' department in Arba Minch in support of the creation of 30 SHG in Arba MinchZuria and Mirab Abaya woreda. The project is also working with CBOs, FBOs, AAC and schools, 22 grain banks, 15 AAC and 16 schools.

#### 4.2.2 Frequency of dialogue with closest civil society organisation SPO

Score: +1

EKHC is increasingly engaging with non-protestant churches and with the Muslim community, and it is to be observed that Arba Minch town forum is a religious forum of Catholic, Muslim, Orthodox, and Protestant congregations.

EKHC organized Church and Community Mobilisation and Development (CCMD) quarterly meetings where members enhance and provide some experiences and gather ideas on approaches to various issues. EKHC also mobilises additional expertise required for the implementation of its programme through its network. Since the 2012 baseline engaged more frequently with other NGOs and the religious forum of which it is a member. In its capacity as a member of the religious forum, EKHC engaged in a dialogue with government offices and NGOs to enhance cooperation regarding a number of social issues.



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### 4.2.3 Defending the interests of marginalised groups SPO

Score: 0

The only way in which EKHC is defending the interests of marginalised groups is through its community based interventions. Though EKHC collaborates with the government on program implementation, no traces have been found of EKHC defending the interests of these groups vis-à-vis local government or at higher administrative levels. By increasing the capacity of the FBO forum and the grain-banks EKHC indirectly defended the interests of PLWHIV and OVCs than EKHC itself.

### 4.2.4 Composition financial resource base SPO

Score: -1

Other donor organisations that support EKHC are Tear Fund UK, EED, DORCAS AID International, Samaritan's Purse – Canada, Canadian International Development Agency (CIDA), and Society of Integrated Missions (SIM) Ethiopia. It has become difficult to find funding in recent days which may be due to the economic crisis in many countries but the fact has affected the schedules of the SPO delaying its interventions.

## 4.3 Practice of Values

### 4.3.3 Downward accountability SPO

Score: 0

No changes occurred with regards to downward accountability.

EKHC's policies, procedures, administrative manual are well designed and give room for the General Assembly and the board to take corrective measures. However EKHC's monitoring and evaluation system need to be strengthened. At the project site stakeholders are informed about decisions taken in a transparent way. The quality of decisions taken may sometimes lack quality because those who are in the general assembly or in the board are elected based upon their role in church and not upon their professional competency. EKHC projects are accountable to community committees to which they report semi- annually or quarterly<sup>52</sup>.

### 4.3.4 Composition of social organs SPO

Score: +1

EKHC's federal board consists of 4 representatives from each of 9 regions, 1 representative from each of four areas (areas are locations that are not large enough to be regions like Bale area, North area), 4 representatives of national youth association, 4 representatives of national female association and 4 implementers. This board is in turn accountable to the General assembly which consists of 2 representatives of each of the 95 to 100 assemblies and those in the board.

Even though most of the social organ groups of the Ethiopian Kale Heywet church are from middle classes, there are representatives from marginalized groups, but their presence is limited. In addition, women participation is low because of culture and social system. Since 2012 more disabled representatives take part in these organs.

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<sup>52</sup> Baseline report 2012

### 4.3.5 External financial auditing SPO

Score: 0

As it is a set regulation by the government of Ethiopia for organizations unless stated otherwise have to report on their whole budget and expenditure activity there is no change seen on this indicator.

Also the FBO forum and grain banks are audited annually as required by law but AACs don't get audited which was the case also in the baseline.

## 4.4 Perception of Impact

### 4.4.1 Client satisfaction SPO

Score: +1

No systems are in place to measure the extent to which beneficiaries are satisfied with services and support delivered by the AAC, the grain banks, the SHGs, the girls clubs, the FBO forum in Arba Minch and the many volunteers and community leaders that have been trained. Only indications exist with regards to the following issues:

The CBO forum, grain banks, AAC and gender clubs increased their outreach since 2012. Motivation of the many community members is ensured by EHKC in terms of providing technical support and material – financial support to these organisations. Occasionally the government also provides office space or land. Churches provide moral support and material support if possible and organised a HIV testing session in church.

The 63 SHGs are also used as a platform for the members to help one another and discuss health issues particularly HIV and social discrimination. SHG members also believe that they are a living proof of the changes seen through the effort of EHKC as they had nothing before and now they are coordinated and working together.

The AACs organise community conversations on HIV and related health issues. Those clubs in school coordinate drama and poems on how to engage with OVCs in order to prevent social exclusion taking place. Out-of-School clubs do the same but reach youngsters in their respective kebeles. Parents have started sending children with problems to the AACs for counselling that in their turn also start to counsel others when they have resolved their own problems. Occasionally the AAC help resolve conflicts amongst children that grow out of hand at school or in the community. Apart from addressing health issues they increasingly engage in road and housing maintenance for destitute persons.

Grain banks are supporting destitute and PLWHIV on a monthly basis. Compared to the baseline almost all grain banks have added at least one regular beneficiary than what they started with. Since the baseline membership contribution has increased from 0.25 birr to 1 birr per month and some idirs/CBOs have agreed to contribute up to 3 birr. In the rural areas members also contribute in kind. The collected money is used to buy maize and oil. Each beneficiary gets 20-25kg of maize, 1 litter of oil and 10 birr for milling per month. There are also individuals who contribute more personally. With these contributions, the grain banks support 4-9 beneficiaries each- around 125 beneficiaries in total. However the number of beneficiaries does not increase very quickly due to high inflation rates. Representatives from the Idirs and church form its management committee and are accountable to the churches and Idirs that constituted the grain banks.

### 4.4.2 Civil Society Impact SPO

Score: 1

The FBO forum in Arba Minch town is well embedded in civil society and solicited by the local government to address community issues such as conflicts. The forum cooperates with other NGOs like Mercy Corps, Mary Joy, World Vision and also with the Arba Minch University in providing services to beneficiaries. It is able to deliver food, education, and clothing support to the elderly, OVC, and PLWHIV and currently supports 45 beneficiaries (OVC, PLWHIV and destitute) on a monthly basis

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against the 15 persons during the baseline. On a more irregular basis it refers women for health treatments, reconstructs houses, constructs latrines, arranges free education for OVCs and feeds homeless people on holidays. Upon invitation of the local government the forum is helping to resolve conflicts. The forum also gained in its capacity to influence decisions made by the university to accept or not OVCs as students and through the discussion platforms it regularly organises with government officials.

Its financial resource base has increased since the baseline and sources have become more divers and it has become self-sufficient.

There is no relation between the FBO forum and the Grain Banks; both are supporting vulnerable people on their own way after having received the same technical support by EKHC.

EKHC's work on HIV/Aids related issues is now accepted by the church and they have started to support AACs and even coordinated a HIV testing session in church.

According to the information made available no such forums have been established in Mirab Abaya, and Arba Minch Zuria woredas.

#### 4.4.3 Relation with public sector organisations SPO

Score: +1

During The Medan Act project EKHC established a regular and more formal collaboration with the urban government office in Arba Minch. As a result, support was given to the SHG approach and the local government supported the creation of 30 SHGs. EKHC furthermore participated in several meetings held with government offices and NGOs to discuss existing social issues and ways to address these. The provision of office space by the government for the forum and other CBOs EKHC is working with is an expression of good relationships between EKHC and the government offices. On the other side government officials receive trainings and material support that enable them to play their role in the programme and participate in meetings organised by EKHC.

EKHC not only has good relations with Arba Minch local government, but also with kebele administrators, health extension workers, schools, woreda finance offices and other related bodies.

There is no information available that describes how EKHC is collaborating with local government and public services in Mirab Abaya, and Arba Minch Zuria woredas and the kebeles under their supervision.

#### 4.4.4 Relation with private sector agencies SPO

Score: +1

Private sector organisations contribute to the grain banks to support destitute people. EKHC also engaged with the private sector to ensure medical care for OVCs by private health centres, to ensure exemption of the payment of school fees, and to ensure that older OVCs receive vocational training. Networking discussions continue to take place since the baseline study.

#### 4.4.5 Influence upon public policies, rules, regulations SPO

Score: 0

There is good collaboration with the public sector at the project location, but no policy influencing takes place.

#### 4.4.6 Influence upon private sector agencies' policies, rules, regulations SPO

Score: 0

Not applicable

#### 4.4.7 Client satisfaction CSO

Score: +1

### 4.5 Coping strategies in relation to context

#### 4.5.1 Coping strategies

Score: -1

It is very challenging to sign an agreement with government bodies for a project which only has a life span of one year. Yearly projects also mean that it is more difficult to adjust to the mandatory administrative/program budget ratio (30/70 ratio). Projects covering more years could probably solve this issue, providing more flexibility for EKHC. The regional Finance and Economic Development Bureau was strictly opposed to the initial starting date of the project set at February 2012, because at that moment EKHC was not capable to comply with the 30/70 ratio and was searching for additional funding. Finally, the official starting date was reported to May 2012 when additional funding was found with Tear Fund UK. The 30/70 ratio also resulted in EKHC staff being underpaid.

The official agreement procedures with the government took a very long time and have delayed in particular those activities in the woredas (Mirab Abaya and Arba MinchZuria). High staff turnover in government offices explain these delays.

EKHC suffered from the absence of resource persons in Arba Minch that would be capable of providing courses on networking and lobby and advocacy which resulted in the postponement of these activities.



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

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

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