Endline report – India, Shivi Development Society
MFS II country evaluations

Capacity of Southern Partner Organisations (5C) component

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

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

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

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

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Acknowledgements

List of abbreviations and acronyms

5 C	Capacity development model which focuses on 5 core capabilities
AIDMAM	All India Dalit Mahila AdhikarManch
BBO	Bridging People and Politics
CASH	Committee Against Sexual Harassment
Causal map	Map with cause-effect relationships. See also 'detailed causal map'.
Causal mechanisms	The combination of parts that ultimately explains an outcome. Each part of the mechanism is an individually insufficient but necessary factor in a whole mechanism, which together produce the outcome
CDI	Centre for Development Innovation, Wageningen UR
CFA	Co-Financing Agency
CSO	Civil Society Organisation
CSR	Corporate Social Responsibility
Detailed causal map	Also 'model of change'. the representation of all possible explanations – causal pathways for a change/ outcome. These pathways are that of the intervention, rival pathways and pathways that combine parts of the intervention pathway with that of others. This also depicts the reciprocity of various events influencing each other and impacting the overall change. In the 5C evaluation identified key organisational capacity changes and underlying reasons for change (causal mechanisms) are traced through process tracing (for attribution question).
FCRA	Foreign Contribution Regulation Act
FK	Fredskorpset
General causal map	Causal map with key organisational capacity changes and underlying reasons for change (causal mechanisms), based on SPO perception.
HR	Human Resources
IDF	India Development Foundation
INSEC	Informal Sector Service Center
IPAC	Indraprastha Public Affairs Centre
M&E	Monitoring and Evaluation
MFIC	Migration Facilitation and Information Centre
MFS	Dutch co-financing system
MIS	Management Information System
NCR	National Capital Region
NGO	Non-Governmental Organisation
OD	Organisational Development
PME	Planning, Monitoring and Evaluation
Process tracing	Theory-based approach to trace causal mechanisms
SDS	Shivi Development Society
SPO	Southern Partner Organisation
ToC	Theory of Change
UNHCR	United Nations High Commissioner for Refugees
Wageningen UR	Wageningen University & Research centre
WHRD	Women Human Rights Defenders
WinG	Women in Governance

1 Introduction& summary

1.1 Purpose and outline of the report

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

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

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

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

This report focuses on the assessment of capacity development of southern partner organisations. This evaluation of the organisational capacity development of the SPOs is organised around **four key evaluation questions**:
1. What are the changes in partner organisations' capacity during the 2012-2014 period?
2. To what degree are the changes identified in partner capacity attributable to development interventions undertaken by the MFS II consortia (i.e. measuring effectiveness)?
3. Were the efforts of the MFS II consortia efficient?
4. What factors explain the findings drawn from the questions above?

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

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

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

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

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

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

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

1.2   Brief summary of analysis and findings

Over the last two years, SDS has very slightly improved in its capability to act and commit. Important improvements have been less staff turnover at the Delhi office, a well-defined organogram in place, situational analysis is now used to articulate strategies, improved staff skills, improved funding procedures. The funding situation deteriorated slightly because SDS now only has one funder (MISEREOR). In the capability to adapt and self-renew SDS also improved very slightly. This was mainly due to taking a more community centric approach, improved communication between the head and regional offices, more critical reflection, more freedom for ideas and more responsiveness to stakeholders. SDS showed a very slight improvement in the capability to deliver on development objectives, as SDS works more cost-effectively and is now monitoring its inputs and outputs through activity related financial reporting. While the organisation overall showed no change in the capability to relate, SDS is now working with more partners in networks at different levels. Finally there was a slight improvement in the capability to achieve coherence because they now have a formulated mission, revised their vision, have better aligned projects and improved in their operational guidelines on procurement and sexual harassment.

The evaluators considered it important to also note down the SPO's perspectives on the most important organisational capacity changes since the baseline. During the endline workshop the key organisational capacity changes that were brought up by SDS' staff were: improved research capacity, improved documentation related to FCRA and improved focus on community outreach programme and action research. SDS said it improved its research capacity because of hiring skilled new staff, training existing staff (both mentioned above) and experience they gained by doing more research. The underlying reasons for these changes were the new vision and mission of SDS and the separation of IPAC, so that SDS could focus on research. SDS improving its documentation related to FCRA was triggered by a documentation training and a changing donor environment in which the government regulations for foreign-funded NGOs became stricter and the CSR Act was implemented. SDS improved its focus on community outreach programme and action research because of their new vision and mission. The vision and mission were changed because of the changing donor environment and IPAC becoming a separate entity. MFS II funded capacity development interventions were not mentioned as having played in important role in the organisational capacity changes that SDS identified as being key, during the endline workshop.

2 General Information about the SPO – Shivi Development Society

2.1 General information about the Southern Partner Organisation (SPO)

Country	India
Consortium	Communities of Change
Responsible Dutch NGO	Cordaid
Project (if applicable)	Women in Governance Assam (until 31 March 2013) National support to coalition on environment & national resources (until 31 May 2014)
Southern partner organisation	Shivi Development Society (SDS)

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

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

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

Shivi Development Society (SDS) is a civil society organisation works on the issues of human rights, good governance, and promotion of people's participation with gender as a cross cutting theme undertaking development initiatives to positively influence the lives and improve the quality of living of poor and marginalized sections of the society. Therefore, SDS also strives to support the policy work through lobby and advocacy strategies of the grassroots voluntary organizations by engaging them in capacity building in lobbying, undertakes direct community outreach programmes and analysing grassroots actions.

SDS from 2006 started receiving funds from foreign donors such as ICCO, Cordaid and Entrée. In 2008, SDS through Cordaid funding organised capacity building programme for Guwahati based partners of Cordaid: Women in Governance[1] and those working with Dalit women. In 2010, it also started working with Fredskorpset, Norway and Western Union Foundation on various capacity building programmes, safe migration etc. In 2012, with the termination of ICCO funding, MISEREOR became the major funder for Chhattisgarh programme on Women Human Rights Defenders. In these years, SDS's area of intervention has been in the conflict zones of the country: states of North East and Chhattisgarh.

Since 2010, NGOs working in conflict areas started coming under the radar of Intelligence Bureau of India. NGO activities especially in the North East were seen as processes aimed at derailing the developmental objectives of the government of India[2]. Despite putting all the legal and financial compliances in place and training its staff to fulfil the requirements of FCRA (Foreign Contribution

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[1] Women in Governance is not a network of SDS at present and receives funds through Chindu, a Hyderabad based organisation.

[2] http://timesofindia.indiatimes.com/india/Dutch-funded-NGO-trying-to-stall-oil-drilling-in-northeast-IB-report/articleshow/36513963.cms

Regulation Act, 2010, implemented for regulating foreign funding) the external environment of government suspicion continued with regard to lobbying activities. North Eastern region sharing its international borders with China, Bangladesh and Myanmar continued to remain a major law and order issue for the state[3]. An on-going separatist struggle has continued in the region since the late 1940s, making it the longest running separatist struggle in South Asia. In order to ensure law and order situation there has been imposition of Armed Forces (Special Powers) Act, 1958 with special powers granted to the armed forces resulting in human rights violation. AFSPA has been criticized from different sections and commissions such as the Jeevan Reddy Commission of 2005 and the Verma Commission of 2012, demanded repeal of this Act from the region for ensuring peace. While AFSPA is not in place in Chhattisgarh, there is often escalation of conflict in the Baster region of Chhattisgarh between Maoist groups and Central Reserve Police Force leading to similar violation of rights.

SDS changed its focus on increasing its research capabilities over lobbying due to legal and political changes in the external environment. In working directly with the community, SDS focused on issues of women with the rise in cases of crime against them across the country. According to National Crime Records Bureau of India Statistics, there has been an increase in crime against women in the last two years; its rate of crime in 2013 is 5.69 against 4.26 in 2012[4]; and incidence of immoral trafficking of 2579 female in 2013 as against 2563 in 2012.

Women in conflict regions are more vulnerable to human rights violation, being placed between the militant outfits on the one hand and the army or police personnel on the other hand.

In addition to this, the socio-economic situations of women in tribal areas have often led to their vulnerable condition. For instance, in North East there is community control over resources and presence of customary laws among different tribes. Economic participation of women includes clearing jungles, collection of food and firewood from the forest. However, economic participation of women could not increase their status due to the presence of customary practices being followed in these areas, such as differential allocation of resources in land and their control by the community as a whole.[5] Continuance of customary laws over resources has found an explicit support in the Sixth Schedule of the Constitution. Sixth Schedule of the Constitution of India allows the District Councils and Regional Councils of the areas mentioned under the Schedule to make laws in certain specific areas such as: use of water and land resources, cultivation, inheritance of property, marriage and divorce, social customs etc. In recent times, oil extraction has started in the North Eastern regions adversely impacting the situation of women who hardly have been able to impact the decision-making processes in the region, such as articulating their needs, negotiating compensation through participation in decision making bodies at the community as well as, the state level. Taking into account the complexity of the situation research based intervention by SDS helped them to get an overall understanding of the situation.

2.3   Contracting details

When did cooperation with this partner start: 2007 (discussions), 2008 (projects).

What is the MFS II contracting period:

- Women in Governance Assam, under MFS II: 1 January 2011 until 31 March 2013 (Chindu became the legal holder of Women in Governance Assam);
- National support to coalition on environment & national resources: 1 September 2013 – 31 June 2014.

Did cooperation with this partner end? Yes.

What is the reason for ending the cooperation with this partner: General phasing out of programme in India. Only some of the counterparts will be supported further during some months in 2015, in case

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[3] Mridula Dhekial Phukan, 'Ethnicity, Conflict and Population Displacement in Northeast India', *Asian Journal of Humanities and Social Sciences,* Volume 1, Issue 2, August 2013

[4] http://ncrb.nic.in/CD-CII2012/Statistics2012.pdf

[5] http://ncw.nic.in/pdfreports/Customary%20Law.pdf

they contribute in a very direct way for the planned achievements of Cordaid's Unit "Women's Leadership for Peace and Security." This is not the case for SDS.

Is there any expected future collaboration with this partner? No future collaboration is expected with SDS.

2.4 Background to the Southern Partner Organisation

History

Shivi Development Society (SDS) started in 1995 as a small, volunteer based initiative to work towards the empowerment of disadvantaged sections of the society. The organization was initiated with the objective of enabling the vulnerable and socially excluded by building up their capabilities for a decent, dignified and independent life.

Until 2002, SDS's work was sustained through contributions made by members and the activities were operated on a small scale with a very limited budget (in 2002, budget of maximum 2,500 Euros). From 2002 onwards, SDS members decided that activities needed to be more organized and systematic. The Board was reconstituted and new members were taken in. Funds were organized by way of donations mainly from individual donors. Executive committee meetings were made regular and accounts were audited.

SDS got its FCRA registration in 2006 (the Foreign Contribution Regulation Act is a pre requisite to receive funding from foreign donors) and began in that year after to have contacts with foreign funders: ICCO, CORDAID and Entrée. ICCO funded a one year project as an experiment which enabled the organisation to better organise itself and to find people within the sector to work with. Also in 2007, a lobby and advocacy support centre began: the Indraprastha Public Affairs Centre (IPAC). The mission of IPAC is to provide and organize professional lobby support to client organisations in not-for-profit sector, to influence decision makers in the selected areas of policy regime. Entrée contacted SDS for lobbying. The same year, discussions with CORDAID were successful and SDS/IPAC was made the Indian counterpart for capacity building for all CORDAID partners. Therefore, in 2008, SDS organized capacity building program in Guwahati for all CORDAID partners and in the process, some programs came to the forefront, such as- Women in Governance and issues of Dalit women.

In 2009, SDS started its activities in Assam and the North East region through network of women titled: Women in Governance (WinG). After 2009, SDS has obtained many more funders and it has been able to diversify its operations and their geographical spread.

In 2010, SDS got new projects sponsored by different funders. In 2010, SDS also begun a program on Staff Exchange, funded by Fredskorpset, Norway where SDS is part of group of 4 organisations focusing on issues of Human Rights. This has been an extremely useful exercise in terms of skill development, exposure and capacity building for employees of SDS. Also, this is a logical culmination of an organisation working on capacity Development and advocacy to openly choose Rights based Approach and a network approach to make its voice heard in policy circles.

In 2011 the focus had centred on developing SDS as a centre for excellence in research. A step towards this was started with a pilot project to explore the extent of malnutrition and nutritional deficiencies among the age-group of 0-6 yrs. of children in Northern Delhi area and also review/analyse the causative factors of its existence. This was funded by Child Rights and You (CRY) and expanded to cover the whole state in 2012.

Safe migration program began in 2011 through funding given by Western Union Foundation, expanding geographical spread of SDS to Bihar and Rajasthan. As there has been a rise in funders and projects, the total budget of the organization has grown and SDS has also been able to hire qualified and skilled staff- bringing the total number of employees to 17 including the staff of WinG. In 2014 the SDS staff consists of 8.

In 2012, ICCO funding ended for the project Women Human Rights Defender in Chhattisgarh and on July 2012 MISEREOR began to fund for to continue the project. The total funding of SDS was about 140,000 Euros in 2012.

Over time, SDS has organized many training workshops and sends its employees to other organisations as resource persons. The present situation indicates that SDS is moving towards its aim to become a resource organisation for capacity development for other organisations and help them in skill development and advocacy work.

To that end, SDS has been working towards improving its documentation process. In August 2013, SDS has sent one of its staffs to Bangkok to receive training in documentation skills. There have also been programmes with INSEC Nepal to develop staff capacity for putting all legal compliances in place.

Till 31st March 2013, SDS received funds from ICCO Netherlands on Action for Empowerment of Marginalized Communities Supported by ICCO; Women in Governance India 2012 supported by Cordaid; Personality Development Training Support by Netherlands, FK Partnership Agreement Supported by INSEC, Nepal; Promotion of Women Human Rights Defenders in Chhattisgarh supported by MISEREOR, Germany; BBO Training Supported by BBO Netherlands; A Study on Malnutrition Among Children in Delhi supported by CRY; India lobby Support Supported by Cordaid, Netherlands.

In 2013, SDS received fund from CORDAID for the project Manipur Coalition Support 2013, later named *National support to coalition on environment & national resources* for the project period September 2013 to May 2014. It got an extension of one month for this project. As per the contract, Cordaid contribution was EUR 19.200,00.

Among other changes, WinG which was earlier a part of SDS, started working with its new legal holder, a Hyderabad based organisation Chindu. WinG received a project extension fund from Cordaid from 1st September, 2013 to 31st March, 2014. Now MISEREOR is the only funder for the SDS who will support still 2016 for the Chhattisgarh project.

Vision

SDS vision is to foster a growth oriented, just and equitable society based on the respect for the rights of the individuals and non-discrimination among the caste, communities and gender by enabling the under-privileged and uninitiated secure their rights.

Mission

Using rights based approach to development, SDS works towards capability building of its partner communities, with a focus on marginalised women, children and youth, so that they are able to achieve their lasting well-being.

Strategies

SDS works on the issues of child development, human rights, good governance and promotion of people's participation with gender as a cross cutting theme. SDS undertakes the following strategies to achieve its objectives:

- Community Engagement and Outreach Intervention: SDS undertakes engagement with communities either directly or through its partner organizations to understand the existing realities within the communities and identify the gaps. Targeted interventions and Community Outreach are then undertaken to support the development of the communities in an inclusive and holistic manner.
- Capacity Building: SDS undertakes capacity building initiatives within communities to enhance the community's ability to access their rights and efficiently organize themselves in order to empower and support community based development.
- Promoting Self-Help Initiatives: SDS also promotes either directly or through its partners to enable the creation and development of self-help groups to empower and create opportunities for access to sustainable means of livelihoods.
- Advocacy and Education: SDS undertakes academic and policy oriented research on important issues related to its thematic focus to better inform its own actions as well as to make a case for policy work and engagement with public sector. In addition, advocacy initiatives are also be routed through SDS partner/sister organization and Indraprastha Public Affairs Centre (IPAC). It further promotes education within the communities on the relevant issues in order to equip the communities to participate in the decision making process.

- Coalition Building and Networking: SDS engages extensively with coalitions and other likeminded CSO's in order to create a network of supporters to facilitate policy dialogues and policy change. Networking with Parliamentarians to initiate effective policy change is also a core strategy at SDS.

3 Methodological approach and reflection

3.1 Overall methodological approach and reflection

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

The description of indicators for the baseline in 2012 served as the basis for comparison during the endline in 2014. In practice this meant that largely the same categories of respondents (preferably the same respondents as during the baseline) were requested to review the descriptions per indicator and indicate whether and how the endline situation (2014) is different from the described situation in 2012[6].

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

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

The information on the indicators was collected in different ways:

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

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

Key steps to assess changes in indicators are described

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

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

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

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

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

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

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

3.3.1 Selection of SPOs for 5C process tracing

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

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

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

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

- Ethiopia: AMREF, ECFA, FSCE, HUNDEE (4/9)
- India: BVHA, COUNT, FFID, SMILE, VTRC (5/10)
- Indonesia: ASB, ECPAT, PtPPMA, YPI, YRBI (5/12)
- Liberia: BSC, RHRAP (2/5).

3.3.2 Key steps in process tracing for the 5C study

In the box below you will find the key steps developed for the 5C process tracing methodology. These steps will be further explained here. Only key staff of the SPO is involved in this process: management; programme/ project staff; and monitoring and evaluation staff, and other staff that could provide information relevant to the identified outcome area/key organisational capacity change.

Those SPOs selected for process tracing had a separate endline workshop, in addition to the ' general endline workshop. This workshop was carried out after the initial endline workshop and the interviews during the field visit to the SPO. Where possible, the general and process tracing endline workshop have been held consecutively, but where possible these workshops were held at different points in time, due to the complex design of the process. Below the detailed steps for the purpose of process tracing are further explained. More information can be found in Appendix 1.

Key steps in process tracing for the 5C study

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

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3.3.3 Methodological reflection

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

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

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

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

Using process tracing for dealing with the attribution question: this theory-based and mainly qualitative approach has been chosen to deal with the attribution question, on how the organisational capacity changes in the organisations have come about and what the relationship is with MFS II

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

A few remarks need to be made:

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

Utilisation of the evaluation

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

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

Centre for Development Innovation, Wageningen University and Research centre has been involved in, the budget has been overspent.

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

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

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

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

4 Results

4.1 MFS II supported capacity development interventions

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

Table 1

Information about MFS II supported capacity development interventions since baseline

Title of the MFS II supported capacity development intervention	Objectives	Activities	Timing and duration	Budget
Capacity building support for SDS Assam staff and stakeholders on engagement with UN		In region training course is organized in Guwahati on international humanitarian and human rights law, UN mechanisms and engagement with UN bodies by an expert from Geneva for Human Rights, in which 7 members from SDS Assam office and main stakeholders participated	December 2011, 4 days	About 6,600 EUR
		The SDS director, SDS regional coordinator Assam and selected WinG Assam member participated in an exposure visit to Geneva to learn about the UPR (Universal Periodic Review) is a new and unique mechanism of the Human Rights Council (HRC) aiming at improving the human rights situation on the ground) process for India at the UN HRC. It was more a political exposure and to see in practice how lobby is going on and how the following steps are designed.	May 2012	About 3,600 EUR

Source: Baseline report

Between the baseline and the 31st of March 2013 when the WinG Assam project changed its legal holder from SDS to Chindu, there have not been any capacity development interventions supported by Cordaid for SDS. In the new project that ran until June 2014 is a small project, in which SDS functions as a consultancy/ support organization. It is not a project aimed at capacity building, but more like a consultancy assignment.

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

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

4.2.1 Changes in the five core capabilities

Capability to act and commit

The director of SDS continues to be responsive and sensitive. However, there is still no second line leadership, and everything depends on the chief functionary, and a fall back option is needed for when he is not there. SDS leadership continues to provide strategic directions, and there is still clarity as to how different initiatives, interventions lead to one goal. In the last two years SDS leadership has identified women empowerment and gender justice to be its core thematic area. SDS's chief functionary has focused on research capacity of the organisation to better inform its own actions, and this is done by hiring staff who have good research knowledge and skills. An important change in the organisational structure of SDS is that its advocacy initiative IPAC was registered as an independent organisation in April 2008, however, the independent operations on a significant level could start only in July 2014 when it got its FCRA registration. The director is part of both SDS and IPAC and is now expanding the area of operation for both organizations (IPAC is now separated from SDS). They are in the process of selecting a chief functionary for IPAC who will then take-over this task. In the last two years there has been a change in the organisational structure as SDS no longer hosts the WinG Assam office. The leadership has not changed, but staff turnover remains high in the Delhi office because staff are often hired on a project-basis and new graduates leave SDS after a short period to move on to other jobs or post-graduate studies. New staff have a good understanding of policy related work and are hindered less by travelling alone and having no social security, compared to the baseline situation. SDS now has a well-defined organogram so that it is clear to all staff who is responsible for what. SDS has revised its strategies, and over the last two years they worked on improving their research capacity, improving their documentation related to FCRA and they have increased their focus on community outreach programme and action research. Strategies are based on research and needs assessment, but there are no mechanisms to use M&E findings systematically in the strategic planning process. SDS's daily operations are still in line with their strategic plans. Staff at SDS pointed out that in the last two years, their staff have a better understanding of annual action plans and leadership now provides guidance on a daily basis. SDS has sufficient capacity, knowledge base, technical skills, as well as capacity to co-ordinate, train and empower persons at community level in order to foster community mobilization within local communities. In the last two years staff has improved their skills in: accounting , financial management and monitoring in adherence to all accounting standards, documentation and computer related skills. As SDS envisages to become an excellent research centre,

staff that has been longer with the organisation still have to develop more research skills. External resource persons were invited by SDS to train their staff members in research skills. Appropriate training is being given to the staff, and also communication among the internal staff is also very helpful. Staff has also attended trainings in Thailand and Nepal, on legal compliances and women human rights. SDS remains a small organization with a dedicated team that enjoys the freedom and flexibility at workplace and trainings. There are now more financial incentives in place which are linked to a regular performance appraisal system, but the director takes the final decision on increment. In the last two years SDS has had challenges in terms of exploring and mobilizing new donors as the two consistent resource agencies that have been supporting SDS in its development pursuits are facing severe resource constraints. Several projects that received funding are coming to an end and at the moment SDS is not receiving adequate funds, since several projects of Cordaid, MISEREOR and BBO end in 2014.The donor environment has changed over the last two years. The donor base is shrinking and foreign NGOs, including Cordaid, are under the radar of the Indian government as they are suspected of activism that stalls India's development projects for example in the extractive industry. SDS now has a systematized approach to access and look for funding opportunities: they are member of "Fund for NGOs" and " Global Giving" websites, are responding to UN requests for interests, have undertaken an extensive scanning of corporate funding under CSR, a new staff member was hired for writing proposals for funding, a yearly report of is made of which proposals are sent and staff meet monthly to discuss this. Unfortunately, this hasn't led to any concrete results at the moment.

Score baseline: 2.8

Score endline: 3.0 (very slight imporvement)

Capability to adapt and self-renew

SDS still gathers information at the output level. Depending on the donors' requirements they use log-frame or results-based management to report on objectives, activities and expected results of projects. The information is compiled at project level. Long term monitoring of projects is still underway. There is still no dedicated person for taking on M&E for all projects. Most field and programme staff has a sufficient knowledge of M&E in relation to their specific projects and consult their senior staff and management when in doubt. SDS uses the findings from their needs assessments to develop their programme strategies in order to ensure that the work they do for the community is aligned with their needs. There is still a need to set up a mechanism to systematically gather longer term results of their interventions and to use this information in strategic planning. Every year SDS continues to conduct Annual Retreats with all staff members to review the existing programmes, job responsibilities of staff and future possibilities and strategies. Staff is given the opportunity to voice their opinions and contribute to the organizational thinking. In the last two years weekly staff meetings were introduced for more frequent reflection. Staff continue to feel free to share their ideas. Staff are taking more ownership and responsibility to implement new ideas. SDS continues to keep track of the changing external environment through newspaper articles, parliamentary proceedings, information through network partners, policy briefings and legislations. As SDS is focussing more on research, they first do research in their operating environment before starting project implementation. SDS continues to be responsive to its stakeholders through various events of different civil society networks. Meetings with stakeholders are regular. There is now some engagement with government functionaries in the state of Chhattisgarh where the WHRD (Women Human Rights Defenders) project is ongoing.

Score baseline: 3.2

Score endline: 3.4 (very slight improvement)

Capability to deliver on development objectives

SDS continues to prepare its proposals and plans in consultation with all staff, and staff members follow annual plans and even daily activities plans. During monthly meetings the finished work and occasional deviations from the planned activities are discussed. Cost effectiveness is still a highly valued operational principle at SDS. If there is deviation of budget vis – a – vis activities, it is well documented and conveyed to the donors. Every year, SDS submits the reports to the Ministry of Home Affairs as required under FCRA and income tax returns as required under the Income Tax Act. SDS now follows a procurement policy for purchase of goods and services. This is done to ensure cost-effective utilisation of resource use. SDS continues to deliver most of its outputs as planned, except for when there are delays due to external factors like natural disasters and unrest in the North East, delays in transfer of funds or delays in implementation by other stakeholders. SDS continues to base its services on needs assessments, which is part of its project design process. The needs assessments are discussed with the beneficiaries of its services. SDS still does not have a formal mechanism to ascertain whether beneficiaries are happy with the benefits and services they receive (after receiving them) or to what extent the different target groups benefit. They have now started working directly with their target groups which will help them to get an idea of whether their services meet beneficiary needs. Efficiency in finance is kept under check by not increasing the expenses beyond the allotted budget. All staff members are given targets to be achieved. SDS has put in place a system monitoring of inputs related to outputs through activity related financial reporting. SDS continues to aim at balancing efficiency requirements with the quality of their work, they ensure this by doing proper research and background work. Sometimes due to limited availability of resources, quality work is hindered and work is often hurried up.

Score baseline: 3.6

Score endline: 3.8 (very slight improvement)

Capability to relate

The organisation continues to actively engage with its stakeholders in policy and strategy development through meetings, workshops and consultations. An example is that they have organised a get together with friends of SDS in December 2013. Through consultations like these SDS informs its strategies and policies for the benefit of the organisation. In the past two years SDS has significantly increased the number of partners, including NGOs, CSOs, government agencies, international networks, UN agencies and parliamentarians. SDS has engaged with local NGOs, CSOs, lobby groups and local administration, which increased its knowledge of the ground situation. SDS staff continue to meet beneficiaries frequently: during needs assessment, research, implementation and follow up. SDS continues to be a small organization providing ample space for staff to interact and communicate freely. A dedicated team has been working for SDS, which is spread over three offices and one field centre. SDS has also put in place an office management, communication, monitoring and reporting system; communication between state office and central office is improving because of this.

Score baseline: 3.9

Score endline: 4.0 (no change)

Capability to achieve coherence

The organisation continues to organise annual retreats for leadership and staff to reflect on vision, mission and strategies. Since the baseline SDS has revised its vision and has formulated its mission. SDS works on research and project implementation with a specific focus on women empowerment and gender justice and is using a rights-based approach. The organisation continues to have a financial (from 2009), HR (from 2011) and gender policy (from 2007) in place. To implement the gender policy, the Committee Against Sexual Harassment (CASH)was formed during the Annual Retreat in 2013. SDS also adheres to the FCRA, Income Tax Act and now has a procurement policy in place. As IPAC is now a separate entity working on lobby and advocacy, SDS's research and project implementation are all aligned with its revisited and now consolidated vision of working on the wellbeing of marginalised women and children through women empowerment, gender justice and a rights based approach. SDS continues to take up different programmes which mutually support each other, and now documents the experiences, which informs future planning in the same regions or elsewhere. The areas in which SDS continues to work are: community outreach and research. Its research work informs their activities in the community.

Score baseline: 3.5

Score endline: 3.9 (slight improvement)

4.2.2 General changes in the organisational capacity of the SPO

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

The evaluation team carried out an endline assessment at SDS from 16 to 17 August 2014. During this workshop, the team made a recap of key features of the organisation in the baseline in 2012 (such as vision, mission, strategies, clients, partnerships). This was the basis for discussing changes that had happened to the organisation since the baseline.

According to the staff present at the endline workshop, the three key changes in SDS over the last two years since the baseline in 2012 have been:
- Improved research capacity [2];
- Improved documentation related to FCRA [3];
- Increased focus on community outreach programme and action research [4].

The three main organisational capacity changes are described in the light orange boxes. These are expected to lead to improved organisational capacity [1], visualised in dark orange. Light purple boxes represent factors and aspects that influence the key organisational capacity changes (in light orange). Key underlying factors that have impacted the organisation are listed at the bottom in dark purple. The narrative describes per organisational capacity change, the contributing factors as described from the top down. The numbers in the visual correspond with the numbers in the narrative.

1. Improved Research Capacity [2]

SDS in the course of the last two years (2012-2014) has been working towards establishing its research capabilities and working directly with the community. SDS initiated research work to better inform its own actions as well as to make a case for policy work and engagement with public sector. Improved research capacity of SDS has been due to:

- Hiring of staff trained in research and data collection methods [3] SDS hired staff trained in research and data collection methods.

- Training of existing staff in research [5]: External resource persons were invited by SDS to train their staff members in research. SDS thus claims that their staff with the presence of trained colleagues and trainings have increased their capacity in the field of research.
- Experience acquired while working in projects [4] In order to expand its research based work, SDS conducted a research for CRY on the Study on Malnutrition among Children in the State of Delhi of children between the age-group of 0-3 years in Delhi and study on quality of education among government schools in Delhi. Under this project, 500 persons were interviewed of which 220 were from resettled colonies, 220 from JJ colonies and 60 were homeless.

Each of these changes has been informed by a change in the vision and mission of the organisation. During the last two years, SDS began envisaging itself as a centre for excellence in research with a specific focus on women [11]. The mission of the organisation which was not very clear during the baseline became focused on women related issues and women empowerment. The organisation is now directing its efforts towards working with the community through women centric community based programmes instead of lobbying and advocacy. When IPAC became independent organisation [8] , this helped the organisation to refocus its orientation which was an important change happening in the organisation. Thus the focus of SDS became research and programme implementation while that of IPAC became lobbying and advocacy.

2. Improved Documentation related to FCRA [5]

NGOs working in conflict areas in the North East are in general under the radar of Intelligence Bureau of India. The report of the Intelligence Bureau under the Ministry of Home Affairs "Concerted efforts by select foreign funded NGOs to 'take down' Indian development projects" stated explicitly the work of NGOs especially the foreign funded donors like CORDAID, whom they fear anti-development activities in the country with reference to the extractive project in North East:

"Furthering its efforts on the North-East, Netherlands-based, Dutch Government funded, donor, CORDAID, has recently added 'Extractive Industries in the North East' as the fourth focal point for its interventions in India. It organized another 'Side-Event on Extractive Industries Operations on the Enjoyment of Human Rights (September 14,2012/Geneva) with Swami Agnivesh as the prominent speaker…..To assess the potential for civil rights activism, Senior Policy Officer, CORDAID, Eelco De Groot (earlier associated with the Dutch Ministry of Economic Affairs), has planned a visit to Manipur from March 5-12, 2013, which was denied. He has planned the visit under the cover of an organization called Extractive Industries Transparency Initiative…"

In a latest report in a national daily in India the negative impacts that foreign funded NGOs working in India, including Cordaid, are stalling oil drilling in the North East. With foreign funded NGOs being brought under the radar of the government [10], NGOs have to put in place an improved process of documentation both financially and programme related. To that end, SDS worked on improving their legal compliances of aligning with the FCRA (Foreign Contribution Regulation Act) [10] and drawing the focus of companies engaged in CSR (Corporate Social Responsibility) initiative [9]. In August 2013, SDS sent one of the staff members to Bangkok to receive training in 'Documentation Skills'. There was also an exchange programme with INSEC[7], Nepal. These trainings were based on putting all legal compliances in place. So SDS improved its documentation related to FCRA [5] because of the changing donor environment [6], which was influenced by government regulations for foreign funded NGOs [10] and the CSR Act in 2014 [9] helps to improve the documentation related to FCRA.

3. Increased focus on Community outreach programme and Action Research [7]

Some examples of SDS' work on community outreach and action research are mentioned below:

- SDS also published "Experiences of Women Human Rights Defenders (WHRD) in the South Asian Context" in November 2013, a documented report on issues of human rights violation of women across South Asia.

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[7] Informal Sector Service Centre

- Mining Extraction Project since 1st September 2013 to 31st May, 2014 in Manipur is supported through the Cordaid funding and is based on SDS's research on the impact of mining on women working in the field.
- Shivi Development Society has improved its focus on community outreach programmes and action research [7], as a result of their revised vision and new mission [11]. This change was also made because of:
- Change in the donor environment [6]: With the Corporate Social Responsibility(CSR[8]) Act coming into force in 2014 [9], SDS realized that in order to approach the corporate sector they had to focus on community related interventions as the corporate sector did not fund lobbying and advocacy initiatives.
- IPAC became registered as an independent organization [8]: Another important change that occurred was that the advocacy initiative within SDS i.e. IPAC, became registered as an independent organisation. Thus the focus of SDS became research and programme implementation while that of IPAC became lobbying and advocacy.

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[8] The new Companies Act 2014, with a very strong CSR Clause, mandates companies with an average profit of INR 50 million in last three years, to proactively design and undertake welfare and other developmental activities.
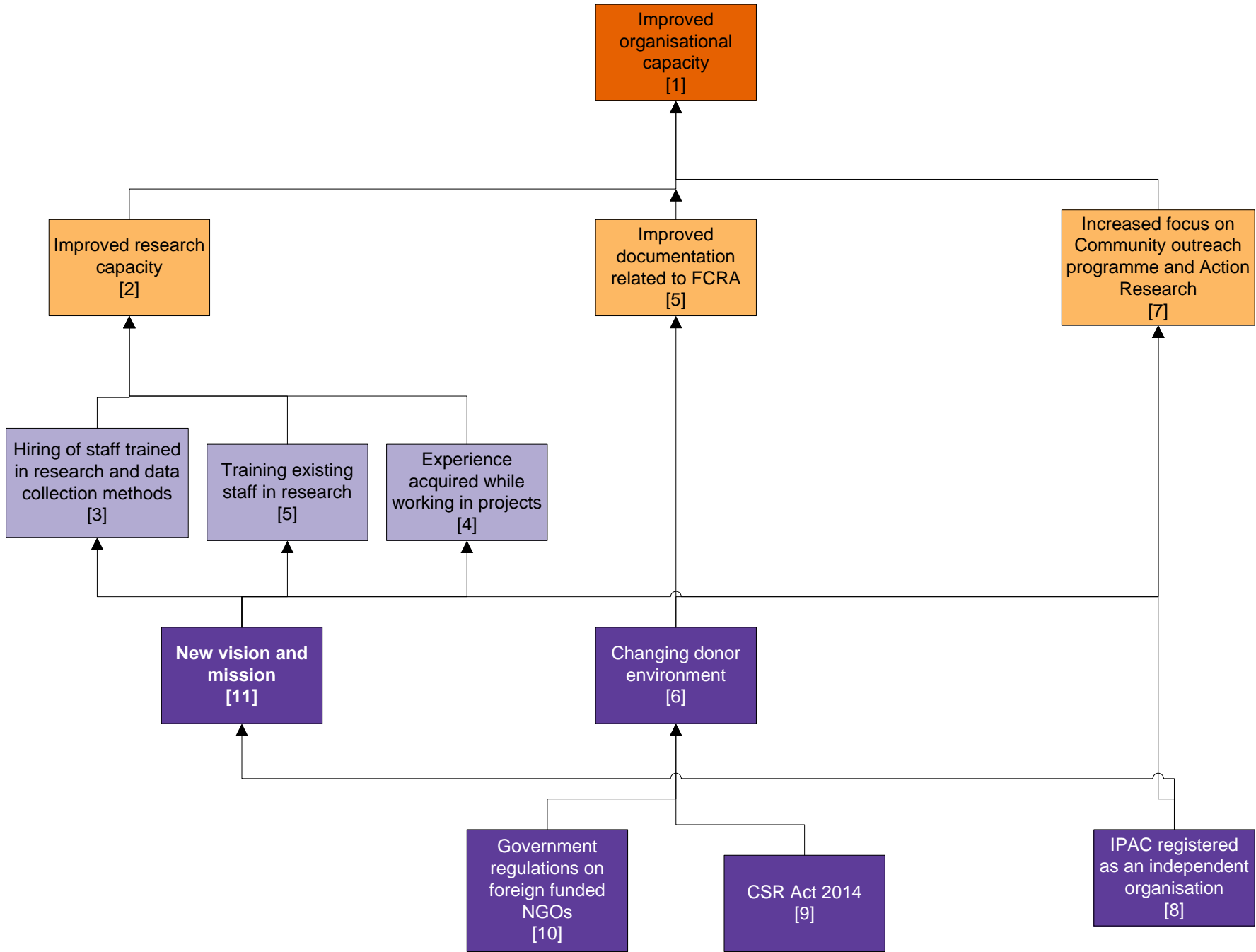
5 Discussion and conclusion

5.1 Methodological issues

During the SDS baseline, WinG (Women in Governance) was still their network partner. During the endline this was no longer the case. It was decided by the evaluation team to document an interview with WinG separately and not to follow the questions in the self-assessment form, since the secretary of WinG did not want to be interviewed, as their partnership with SDS was over. Evaluators conducted a telephonic interview with WinG which is based in the North Eastern part of India and at the time of baseline it was not possible to travel to that part due to security reasons, as explained in the baseline report. Currently, WinG is not working with SDS and has no knowledge of organisational level changes in SDS. They are being hosted by a different organisation and have severed their funding links with SDS. However, since SDS was the unit of analysis, the evaluation team proceeded with focusing on SDS as a unit of analysis for the endline process, even though the links with WinG were not established any more. It must be noted that Cordaid still collaborates with SDS but then on different issues.

There was some difference in the baseline and endline situation of Shivi Development Society. The baseline evaluation, while taking SDS as the unit of analysis, focussed mostly on their Assam Office from which the Women in Governance programme was hosted. This programme was funded by Cordaid. The baseline took place in June 2012 and in March 2013 the legal holder of WinG changed from SDS to Chindu, a Hyderabad based organisation. Cordaid continued to fund this programme but no longer through SDS. Cordaid was funding a smaller project of SDS until June 2014, but because of complications in getting visa for Cordaid staff to travel to India a proper verification of the organisational capacity development interventions could not be carried out. Further, this smaller project did not involve any capacity development support to SDS. Cordaid could provide very little information about SDS and its organisational changes during the evaluation period. For the endline, SDS remained the unit of analysis, but the focus was no longer on WinG.

In order to get detailed information on the capacity development of the staff, self–assessment forms were filled up by the management (Chief functionary, Special invitee to EC, Program Coordinator), programme staff (Daily operations help, Program Associate), HR/Administration (Administration, HR and Finance). Except for the Program Coordinator, Daily operations help, Program Associate, all staff also participated in the baseline process. The financial situation did not allow SDS to form a separate M&E unit and staff. There are no field staff, as SDS works with its networking partners. The agreed questionnaire was aimed at teasing out information from various levels of staff without putting them in any awkward situation. The modified and nuanced repetition of questions when translated to an audience not properly exposed to the English language, created a sense of repetitiveness. Evaluators tried to resolve this, by clarifying the responses by a follow-up interview after studying the responses.

The Organisation Development Consultant of the organisation, who was interviewed during the baseline, is now a special invitee to the Executive Council of SDS. He was part of the endline assessment and filled in the self-assessment forms with the management. So it was decided not to interview him separately.

SDS did not fill in the support to capacity development sheet because they did not receive any MFS II support intervention training programme in the post baseline period. Cordaid also did not fill this in. However, since this organisation was not involved in process tracing the consequences of this was minimal for the analysis.

5.2   Changes in organisational capacity

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

1. *What are the changes in partner organisations' capacity during the 2012-2014 period?*

4. *What factors explain the findings drawn from the questions above?*
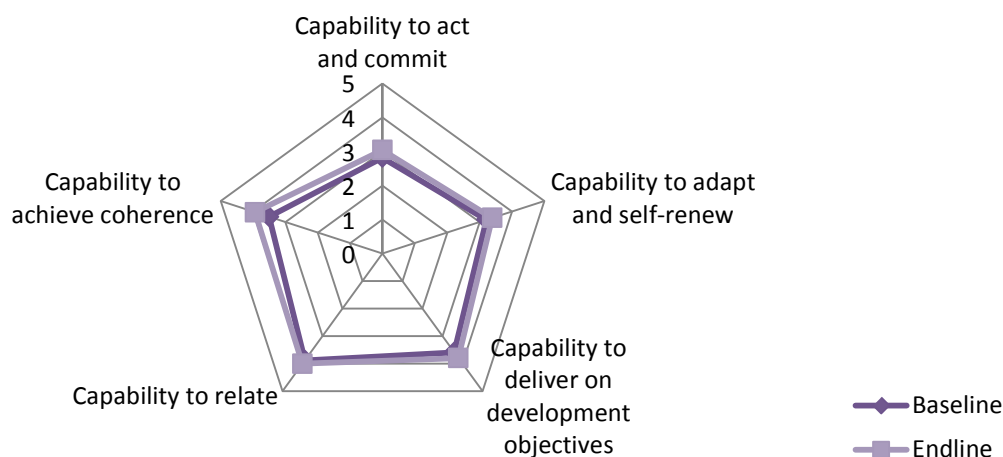
Whilst changes took place in all of the five core capabilities. Below the changes in each of the capabilities are further explained, by referring to the specific indicators that changed.

Over the last two years most improvements took place in the indicators under the capability to act and commit. There was a very slight improvement in the indicator on staff turnover, as there was less staff turnover at the Delhi office. The reason for this was that all staff now have a good understanding of policy related work and know what kind of work to expect. There is now a well-defined organogram that clearly explains who is responsible for what, which was lacking during the baseline. A slight improvement in the indicator on articulation of strategies was noted because of SDS' improved focus on research and programme implementation and the fact that they use situational analysis; research and M&E for their strategies. Staff now has a better understanding of annual action plans. New staff that was hired is skilled in research and the accounting staff has improved their skills. The financial incentives for staff have improved since the baseline. There has, however, been a slight deterioration in the funding situation of SDS as they now only have one funder, MISEREOR. To improve their funding situation SDS has slightly improved their funding procedures as they now have a more systematised approach to look for funding opportunities.

In the capability to adapt and self-renew SDS also improved slightly in various indicators. SDS improved their M&E because of taking a more community centric approach and improving the communication between the head office and regional office through an office management, communication, monitoring and reporting system. There is more time for critical reflection through weekly staff meetings and more freedom for ideas because of more flexible leadership and staff taking more ownership. SDS has also increased its engagement with stakeholders, especially with government functionaries in the state Chhatisgarh.

In terms of the capability to deliver on development objectives, there has been a very slight improvement in cost-effectiveness as SDS now has a procurement policy to ensure the cost-effective utilisation of resources. There has also been improvement in the monitoring of inputs and outputs as SDS put in place a system for activity related financial reporting.

In the capability to relate SDS improved in its networking capacity. During the baseline there was a need to increase the number of partners. There are now more partners that SDS works with, including local NGOs, CSOs, lobby groups, government agencies and international networks.

Finally, SDS has slightly improved in its capability to achieve coherence as they have now formulated their mission (which was absent during the baseline), have revised their vision and were able to align their projects better with their mission and vision because of IPAC becoming a separate entity. SDS

now focusses on research and project implementation. SDS has also adopted a procurement policy and has formed a Committee against Sexual Harassment.

During the endline workshop some key organisational capacity changes were brought up by SDS' staff: improved research capacity, improved documentation related to FCRA and improved focus on community outreach programme and action research. SDS said it improved its research capacity because of hiring skilled new staff, training existing staff (both mentioned above) and experience they gained by doing more research. The underlying reasons for these changes were the new vision and mission of SDS and the separation of IPAC, so that SDS could focus on research. SDS improving its documentation related to FCRA was triggered by a changing donor environment in which the government regulations for foreign-funded NGOs became stricter and the CSR Act was implemented. SDS improved its focus on community outreach programme and action research because of their new vision and mission. The vision and mission were changed because of the changing donor environment and IPAC becoming a separate entity. MFS II funded capacity development interventions have played no role in the organisational capacity changes that SDS identified as being key, during the endline workshop.

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List of Staff_2014.docx
1.Shivi-factsheet140401docx.docx
Project Proposal 2012.doc
Project Proposal 2013.doc
Budget Coaltion on Extractive industries.docx
Considerations for Project Approval in 2012.docx

Considerations for Project Approval in 2012_EN.docx

Project Propsal for extension of the period of the project.docx

Small Project Decision Form 2013.docx

Summary of Project for Approval in 2012.docx

1. 'Manipuri Madhumathi' (Theatre workshop), Imphal, Manipur.pdf

2. 'Let's Watch (PBT training, Kandhamal, Orissa).pdf

3. 'GENDER AND CULTURE' (A workshop for WinG, India, Cordaid Partner.._.pdf

3a. Wing Words - an experience of Gender and Culture workshop.pdf

4. 'Sun Sabho' - Who Am I - Tripura report.pdf

Contract.pdf

Budget Extension Project Sept 13 to Mar 14 - Swadikhar.xls

Budget 2012 overall & sub budgets.xls

Budget 2013-14.xls

Budget 108469 Sub 2 revised groot contract.xlsx

Budget Project.xlsx

SHIVI 108469 - Summary of expenses for Sep 2012 - Aug 2013 (1).xlsx

Table of activities for extension of the period of the project.xlsx

Chindu Narrative report.doc

Follow Up 110237.doc

My experiences.doc

Gender Policy.PDF

Finance Policy.PDF

FCRA Consolidate 2013.PDF

Consolidated Audit 2013.docx

Conslolidate Audit2013.PDF

Concept note_Shivi Development Society.doc

WHRD News.PDF

Summary of FK activities report from Tanka.doc

Submission to UN SR on VAW by IPAC.docx

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SHIVI 2013.PDF

SDS Annual Report 2012-2013.pdf

Report of retreat Program by SDS (1).doc

Proucrement Policy.PDF

News cliping.PDF

News cliping 2.PDF

Minute of Staff Meeting on 20th February 2013..doc

Intelligence Bureau.docx

Intelligence Bureau Report-NGO.pdf

IB-Report-NGO.pdf

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Fieldwork data:

5c endline self-assessment of the SPO on organisational capacity – management_India_Shivi.doc
5c endline self-assessment of the SPO on organisational capacity – program_India_Shivi.doc
5c endline self-assessment of the SPO on organisational capacity – HRADMIN_India_Shivi.doc
ATTENDANCE SHEET for SDS 16 17 SEPT Workshop.docx
Interview with WinG.doc
Annex K.docx shivi.docxAnnex K_5c endline workshop_key changes and
    factors_SPOperspective_country_name SPO SHIVI.docx
5c endline observation sheet - observations by in-country evaluators during the endline capacity
    assessment at the SPO_SHIVI.doc

List of Respondents

SDS staff:

NAME	DESIGNATION	16th Sept	17th Sept
Narendar Kumar	Chief functionary	Present	Present
LaxmiNarain	Special invitee to EC	Present	Present
Hanuman Sahay Sharma	Admin, H.R and Finance (Delhi)	Present	Present
Lokesh Kumar	Daily operations help	Present	Present
Shreya Banerjee	Program Associate	Present	Present
SuparvaNarsimahaiah	Program Coordinator	Present	Present

Others:

Bondita Acharya, Head of WinG, Assam. Interviewed on 19th of September 2014.

CFA:

Eliane Faerstein, Programme Officer at Cordaid. Email correspondence between June –November 2014.

Stephanie Joubert, Specialist in Women's Leadership at Cordaid. Email correspondence in April 2014 and December 2014.

Appendix 1   Methodological approach & reflection

Introduction

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

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

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

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

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

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

Changes in partner organisation's capacity – evaluation question 1

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

This question was mainly addressed by reviewing changes in 5c indicators, but additionally a 'general causal map' based on the SPO perspective on key organisational capacity changes since the baseline has been developed. Each of these is further explained below. The development of the general causal map is integrated in the steps for the endline workshop, as mentioned below.

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

The description of indicators for the baseline in 2012 served as the basis for comparison during the endline in 2014. In practice this meant that largely the same categories of respondents (preferably the same respondents as during the baseline) were requested to review the descriptions per indicator and indicate whether and how the endline situation (2014) is different from the described situation in 2012.[9] Per indicator they could indicate whether there was an improvement or deterioration or no change and also describe these changes. Furthermore, per indicator the interviewee could indicate what interventions, actors and other factors explain this change compared to the baseline situation. See below the specific questions that are asked for each of the indicators. Per category of interviewees there is a different list of indicators to be looked at. For example, staff members were presented with a list of all the indicators, whilst external people, for example partners, are presented with a select number of indicators, relevant to the stakeholder.

The information on the indicators was collected in different ways:

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

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

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

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Key steps to assess changes in indicators are described

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

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

Below each of these steps is further explained.

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

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

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General questions about key changes in the capacity of the SPO

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

General causal map

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

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

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

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

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

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

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

An endline workshop with the SPO was intended to:

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Selection of SPOs for 5C process tracing

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

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

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

ETHIOPIA

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

Table 1

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

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

Note: Number 1 stands for not targeted, 5 for intensively targeted. These scores are relative scores for the interventions by the CFA to

strengthen the capacity of the SPO. The scores are relative to each other, a higher score means that this capability gets more attention by the

CFA compared to other capabilities.

Source: country baseline report, Ethiopia.

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

Table 2

SPOs selected for process tracing – Ethiopia

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

INDIA

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

Table 3
The extent to which the Dutch NGO explicitly targets the following capabilities – India[10]

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

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

Source: country baseline report, India.

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

Table 4
SPOs selected for process tracing – India

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

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

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

INDONESIA

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

Table 5
The extent to which the Dutch NGO explicitly targets the following capabilities – Indonesia

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

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

Source: country baseline report, Indonesia.

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

Table 6

SPOs selected for process tracing – Indonesia

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

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

LIBERIA

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

Table 7

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

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

Note: Number 1 stands for not targeted, 5 for intensively targeted. These scores are relative scores for the interventions by the CFA to

strengthen the capacity of the SPO. The scores are relative to each other, a higher score means that this capability gets more attention by the

CFA compared to other capabilities.

Source: country baseline report, Liberia.

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

Table 8

SPOs selected for process tracing – Liberia

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

Key steps in process tracing for the 5C study

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Note: the outcome areas were to be formulated as intermediates changes. For example: an improved monitoring and evaluation system, or enhanced knowledge and skills to educate the target group on

climate change. Key outcome areas were also verified - based on document review as well as discussions with the SPO during the endline.

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

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

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

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

A model of change of good quality includes:

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

A model of change (within the 5C study called a 'detailed causal map') is a complex system which produces intermediate and long-term outcomes by the interaction of other parts. It consists of parts or causes that often consist of one actor with its attributes that is implementing activities leading to change in other parts (Beach & Pedersen, 2013). A helpful way of constructing the model of change is to think in terms of actors carrying out activities that lead to other actors changing their behaviour. The model of change can be explained as a range of activities carried out by different *actors* (including the CFA and SPO under evaluation) that will ultimately lead to an outcome. Besides this, there are also '*structural*' elements, which are to be interpreted as external factors (such as economic conjuncture); and *attributes* of the actor (does the actor have the legitimacy to ask for change or not, what is its position in the sector) that should be looked at (Beach & Pedersen, 2013). In fact Beach and Pedersen, make a fine point about the subjectivity of the actor in a dynamic context. This means, in qualitative methodologies, capturing the changes in the actor, acted upon area or person/organisation, in a non sequential and non temporal format. Things which were done recently could have corrected behavioural outcomes of an organisation and at the same ime there could be processes which incrementally pushed for the same change over a period of time. Beach and Pedersen espouse this methodology because it captures change in a dynamic fashion as against the methodology of logical framework. For the MFS II evaluation it was important to make a distinction between those paths in the model of change that are the result of MFS II and rival pathways.
The construction of the model of change started with the identified key organisational capacity change/ outcome, followed by an inventory of all possible subcomponents that possibly have caused the change/ outcome in the MFS II period (2011-up to now, or since the baseline). The figure below presents an imaginary example of a model of change. The different colours indicate the different types of support to capacity development of the SPO by different actors, thereby indicating different pathways of change, leading to the key changes/ outcomes in terms of capacity development (which in this case indicates the ability to adapt and self-renew).
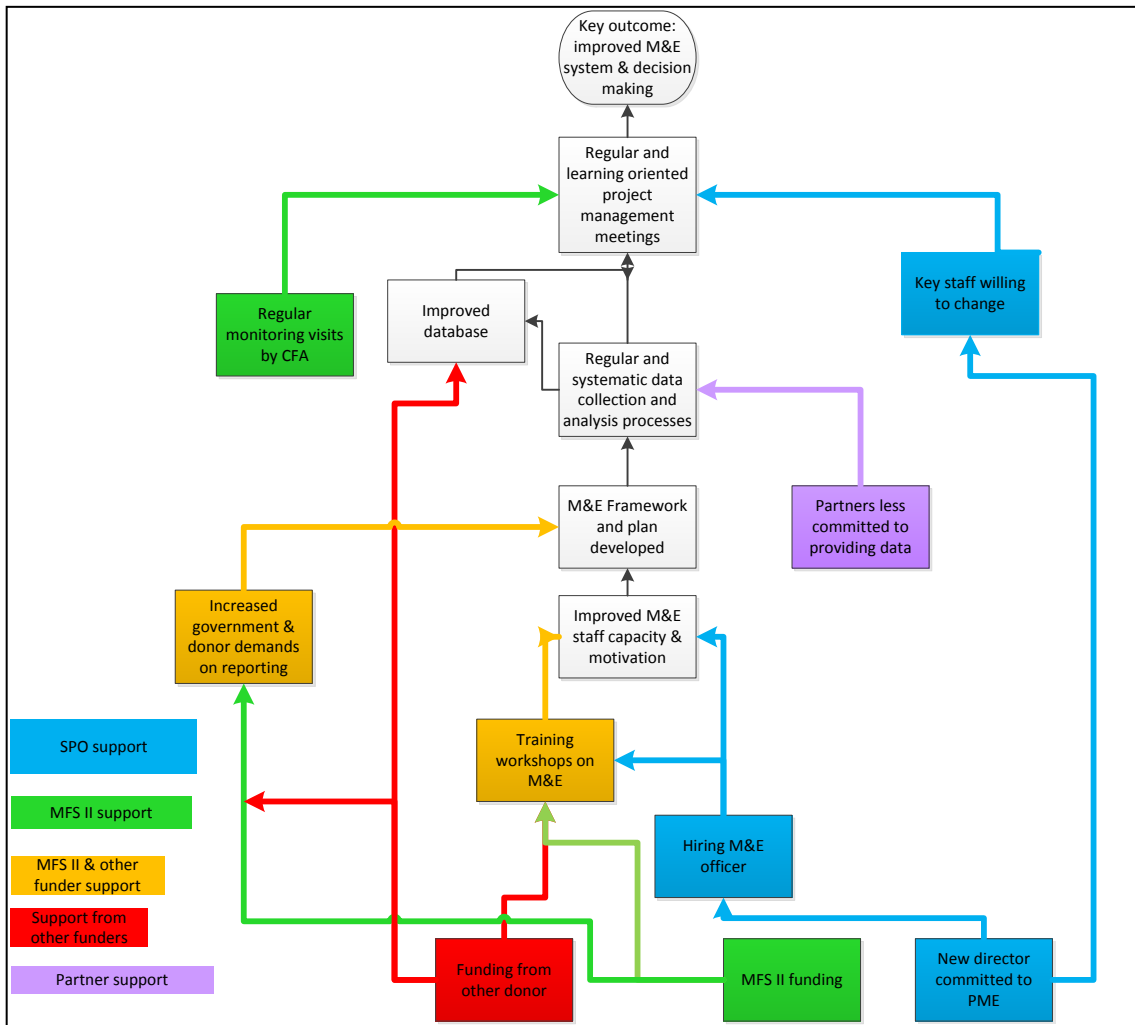
Figure 1   *An imaginary example of a model of change*

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

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

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

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

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

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

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

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

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

Source: Beach and Pedersen, 2013

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

Table 9
Format for identifying types of evidence for different causal relationships in the model of change (example included)

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

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

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

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

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

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

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

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

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

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

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

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

Explaining factors – evaluation question 4

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

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

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

Methodological reflection

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

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

and agreed upon for the eight countries. Using this framework with a mainly qualitative approach has provided rich information for the SPOs and CFAs, and many have indicated this was a useful learning exercise.

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

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

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

A few remarks need to be made:

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

change and therefore understanding when and how these individuals change behaviour is crucial. Also attrition and change in key organisational positions can contribute considerably to the outcome.

Utilisation of the evaluation

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

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

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

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

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

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

Appendix 2 Background information on the five core capabilities framework

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

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

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

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

- **Capacity** is referred to as the overall ability of an organisation or system to create value for others;
- **Capabilities** are the collective ability of a group or a system to do something either inside or outside the system. The collective ability involved may be technical, logistical, managerial or generative (i.e. the ability to earn legitimacy, to adapt, to create meaning, etc.);
- **Competencies** are the energies, skills and abilities of individuals.

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

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

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

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

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

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

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

Capability to act and commit

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

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

The director of SDS continues to be responsive and sensitive. He has been a part of the organisation since its inception. Over the last two years he has focused on firming up the mission of the organisation which was in the evolving stage during baseline. The director remains flexible and leads on strategic issues concerning SDS's organizational objectives and development programme agenda. He is strong on leading policy issues. However, there is still no second line leadership, and since everything depends on the chief functionary, a fall back option is needed for when he is not there.

Score baseline: 3.0

Score endline: 3.0 (no change)

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

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

SDS leadership continues to provide strategic directions, and there is still clarity as to how different initiatives, interventions lead to one goal, one vision. In the last two years SDS leadership has identified women empowerment and gender justice to be its core thematic area. In this regard, the inclusion of Muslim women within their programmes in addition to Dalit and Adivasi women is a positive change since 2012. SDS's chief functionary has focused on research capabilities of the organisation and working directly with the community. SDS initiated research work to better inform its own actions as well as to make a case for policy work and engagement with public sector. The director is part of both SDS and IPAC. As part of the future plan, he wants to expand their working area at both SDS and IPAC and fundraising is very significant part to expand the area of operation. He is applying for projects on behalf of SDS and IPAC, but raised the issue that IPAC should have somebody to work on this independently. They are in the process of selecting a chief functionary for IPAC.

Score baseline: 3.0

Score endline: 3.0 (no change)

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

This is about staff turnover.

In the last two years there has been a change in the organisational structure as SDS Development Society no longer hosts the WinG Assam, and therefore has no office in Assam anymore. The leadership has not changed at SDS in the Delhi office. In 2014 new programme staff was hired in the Delhi office. The present staff at Delhi office have a good understanding of policy related work and are hindered less by the reasons for leaving that were described in the baseline report: preferring to work

in a larger team, travelling alone and no social security. This has led to less staff turnover at the Delhi office.

Score baseline: 2.5

Score endline: 2.75 (very slight improvement)

Level of realistic strategic planning

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

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

There have been changes in the overall organizational structure of SDS. WinG-Assam is no longer a part of SDS, it is presently working with an organization in Hyderabad called Chindu, which is also its legal holder for receiving funds from donors. Another important change that occurred was that the advocacy initiative of SDS, IPAC was registered as an independent organisation. As a consequence SDS is now focussing on research and programme implementation while IPAC continues to work independently on lobbying and advocacy. SDS continues to be a small organisation and some staff members have been part of the organisation since its inception. There is therefore not a very strong hierarchal structure. The organisation now does have a well-defined organogram so that it is clear to all staff who is responsible for what. There is also a clear HR policy that defines the benefits to be received by the staff members.

Score baseline: 2.5

Score endline: 3.0 (some improvement)

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

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

SDS has well-articulated strategies for its programmes which are developed based on situational analysis through proper research and M&E to identify the issues. For example, SDS has revised its strategy by developing its capacity in research to undertake academic and policy oriented research on important issues such as human rights, women empowerment, gender, environment etc. It resulted in better informing its own actions as well as to make a case for advocacy in policy work and engagement with various public sector units. IPAC was registered as an independent organisation. SDS now focuses more on research and programme implementation while IPAC works on lobbying and advocacy.

Further, it is also directing its efforts towards working with the community through women centric community based programmes instead of lobbying and advocacy. In Chhattisgarh the organisation found out the issues of crime against women and challenges faced by leading women human rights defenders in working on human rights issues in the state. Thus, SDS along with IPAC planned a strategy to establish a network of WHRDs in the state and strengthen it. The following strategies were planned for this programme:
- To build the capacities of WHRDs to analyse the specificity of the risks they face and to develop their own security and protection strategies.
- To explore 'self' and 'us' from the perspective of strength and common grounds.
- To broaden the perspectives building a stronger coalitions to work efficiently.
- To take back ideas from each other for collaboration and work for human rights promotion and defence.
- To develop action plans for the next six months for lobby on specific common issues.

In another example, through the needs assessment research programme SDS identified that a segment of Muslim migrant labourers from Bangladesh who were displaced during 2010 Delhi Commonwealth Games are struggling with the issues acquiring documents to support their citizenship to avail government schemes. Thus, SDS developed a strategy to support for skill building of the

women of this community and looking forward to mobilise corporate social responsibility (CSR) fund towards this.

Score baseline: 2.5

Score endline: 3.0 (slight improvement)

Level of translation of strategy into operations

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

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

SDS's daily operations are still in line with their strategic plans. The operational plans continue to be developed out of strategic plans on a yearly basis and reviewed during the year. With the changes in the organisational structure, IPAC becoming an independent organisation and SDS no longer being the legal holder of WinG, an enhanced focus on research and community outreach has impacted SDS's operations. Staff at SDS pointed out that in the last two years; their staff has a better understanding of annual action plans, coordination with the field and policy approaches. Leadership now provides guidance on a daily basis.

Score baseline: 3.5

Score endline: 3.75 (very slight improvement)

Level of Staff Capacity and Motivation

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

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

SDS is working towards developing as a research centre. At present, the research capacities are only confined to the new recruits of SDS, who are skilled in research and data collection methods. The older (in terms of years of association with SDS) staff still have to develop this capacity. SDS has been inviting external resource persons to train their staff members. SDS thus claims that their staff with the presence of trained colleagues and trainings has increased their capacity in the field of research. Skills of accounting staff have improved, including the staff's ability to prepare aggregate project budgets, overall project budgets, financial management and monitoring in adherence to all accounting standards, documentation and computer related skills. SDS has sufficient capacity, knowledge base, technical skills, as well as capacity to co-ordinate, train and empower persons at community level in order to foster community mobilization within local communities. Currently SDS has staff that has previously worked with the United Nations High Commission for Refugees (UNHCR), India and therefore has knowledge, experience and skills of working with UNHCR. Through the current staff, SDS has been able to develop a concept note and financial management document for applying for the project "Strengthened and Expanded Community Mobilization and Promotion of Peaceful Coexistence with Local Communities" in Delhi and NCR. It was submitted by SDS on 13th September, 2014.

Score baseline: 3.5

Score endline: 4.0 (slight improvement)

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

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

SDS hired staff trained in research and data collection methods. Further external resource persons were invited by SDS to train their staff members. SDS thus claims that their staff with the presence of trained colleagues and trainings has increased their capacity in the field of research. Appropriate training is being given to the staff, and also communication among the internal staff is also very helpful. During the last two years the following trainings were given:
- In August 2013, SDS sent one of the staff members to Bangkok to receive training in 'Documentation Skills'.
- There was an exchange programme from July 2012 – June 2013 with INSEC, Nepal on legal compliances. The programme coordinator of SDS participated in this programme.

- In Chhattisgarh there has been a workshop funded by MISEREOR, on Women Human Rights Defenders, organized by SDS from 6-9 August 2014.

Score baseline: 4.0

Score endline: 4.0 (no change)

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

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

SDS remains a small organization with a dedicated team. They include freedom and flexibility at the workplace, independent functioning, exposures and trainings. There is scope for personal growth. There are now more financial incentives in place. Leadership in consultation with the board members of SDS prepares a performance appraisal once in a year based on which the director takes the final decision on increment. There is a system of regular assessments and related benefits associated with it. The staff is also supported to undertake trainings on a regular basis including trainings that are organised outside India.

Score baseline: 3.0

Score endline: 3.5 (slight improvement)

Level of Financial Resource Security

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

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

In the last two years SDS has had challenges in terms of exploring and mobilizing new donors as the two consistent resource agencies that have been supporting SDS in its development pursuits are facing severe resource constraints. Therefore, the organisation was required to be more pro-active in developing new programmes and seek funding, and to be more creative in resource generation through consultancy services. Cordaid continued to fund SDS till June 2014. Right now, the only funding that SDS has is from MISEREOR for the 'Women Human Rights Defenders' project, Chhattisgarh which will continue until February, 2016. One of the projects that is supported by Cordaid is "National support to coalition on environment & natural resources" for the period 1st September 2013 –31 st June 2014, but for the Women in Governance programme SDS is not the legal holder anymore because SDS is based in New Delhi and had limited knowledge on the socio-political and economic of the North Eastern states. Apart from this, there was logistical difficulty faced by WinG with regard to managing funds and preparation of budgets, so the decision was made by Cordaid to work with the Hyderabad based organisation called Chindu. SDS is continuously reviewing its programme priorities and has sharpened its focus to attract and be able to approach new donors. However, several projects that received funding are coming to an end. Thus, the organisation is not receiving adequate funds to carry out its mission and strategies.

Score baseline: 1.0

Score endline: 0.5 (slight deterioration)

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

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

The donor environment has changed over the last two years. The donor base is shrinking and foreign NGOs, including Cordaid, are under the radar of the Indian government as they are suspected of activism that stalls India's development projects for example in the extractive industry. As a result NGOs have to put in place improved processes of financial and programme documentation. Thus, SDS has improved their legal compliances of aligning with the FCRA (Foreign Contribution Regulation Act). SDS also trained their incumbent staff members, and this helps them to bid for new donors. SDS now has a systematized approach to access and look for funding opportunities. SDS is a premium member of the "Fund for NGOs" and "Global Giving" websites from where they gain access to regular updates

on funding opportunities. Through these websites SDS gets information on funding sources to approach for funding by sending proposals. SDS responds to specific calls for interests from UN, its agencies and other regional organisations operating in India. Currently SDS has staff that was previously worked with the United Nations High Commission for Refugees (UNHCR), India and therefore has knowledge, experience and skills of working with UNHCR. As a result SDS has been able to develop a concept note and financial management document for applying for the project "Strengthened and Expanded Community Mobilization and Promotion of Peaceful Coexistence with Local Communities in Delhi and NCR". It was submitted by SDS to UNHCR on 13th September, 2014, and is still in the pipeline. They have also undertaken an extensive scanning of corporate funding under CSR. However, several projects of MISEREOR, Cordaid and BBO (Bridging People and Politics) have come to an end in 2014. At present MISEREOR is the only funder and this funding will continue till February, 2016. Responsibility for exploring new funding opportunities lies with the director, but a new staff member is recruited for writing proposals for funding. Staff meet monthly to plan logistics and discuss internal issues regarding funding opportunities. Unfortunately, this hasn't led to any concrete results at the moment.

Score baseline: 2.5

Score endline: 3.0 (slight improvement)

Summary of capability to act and commit

The director of SDS continues to be responsive and sensitive. However, there is still no second line leadership, and everything depends on the chief functionary, and a fall back option is needed for when he is not there. SDS leadership continues to provide strategic directions, and there is still clarity as to how different initiatives, interventions lead to one goal. In the last two years SDS leadership has identified women empowerment and gender justice to be its core thematic area. SDS's chief functionary has focused on research capacity of the organisation to better inform its own actions, and this is done by hiring staff that have good research knowledge and skills. An important change in the organisational structure of SDS is that its advocacy initiative IPAC was registered as an independent organisation in April 2008, however, the independent operations on a significant level could start only in July 2014 when it got its FCRA registration. The director is part of both SDS and IPAC and is now expanding the area of operation for both organizations (IPAC is now separated from SDS). They are in the process of selecting a chief functionary for IPAC who will then take-over this task. In the last two years there has been a change in the organisational structure as SDS no longer hosts the WinG Assam office. The leadership has not changed, but staff turnover remains high in the Delhi office because staff are often hired on a project-basis and new graduates leave SDS after a short period to move on to other jobs or post-graduate studies. New staff have a good understanding of policy related work and are hindered less by travelling alone and having no social security, compared to the baseline situation. SDS now has a well-defined organogram so that it is clear to all staff who is responsible for what. SDS has revised its strategies, and over the last two years they worked on improving their research capacity, improving their documentation related to FCRA and they have increased their focus on community outreach programme and action research. Strategies are based on research and needs assessment, but there are no mechanisms to use M&E findings systematically in the strategic planning process. SDS's daily operations are still in line with their strategic plans. Staff at SDS pointed out that in the last two years, their staff have a better understanding of annual action plans and leadership now provides guidance on a daily bassists has sufficient capacity, knowledge base, technical skills, as well as capacity to co-ordinate, train and empower persons at community level in order to foster community mobilization within local communities. In the last two years staff has improved their skills in: accounting, financial management and monitoring in adherence to all accounting standards, documentation and computer related skills. As SDS envisages becoming an excellent research centre, staff that has been longer with the organisation still have to develop more research skills. External resource persons were invited by SDS to train their staff members in research skills. Appropriate training is being given to the staff, and also communication among the internal staff is also very helpful. Staff has also attended trainings in Thailand and Nepal, on legal compliances and women human rights. SDS remains a small organization with a dedicated team that enjoys the freedom and flexibility at workplace and trainings. There are now more financial incentives in place which are linked to a regular performance appraisal system, but the director takes the final decision on increment. In the last two years SDS has had challenges in terms of exploring and mobilizing new donors as the two

consistent resource agencies that have been supporting SDS in its development pursuits are facing severe resource constraints. Several projects that received funding are coming to an end and at the moment SDS is not receiving adequate funds, since several projects of Cordaid, MISEREOR and BBO end in 2014.The donor environment has changed over the last two years. The donor base is shrinking and foreign NGOs, including Cordaid, are under the radar of the Indian government as they are suspected of activism that stalls India's development projects for example in the extractive industry. SDS now has a systematized approach to access and look for funding opportunities: they are member of "Fund for NGOs" and "Global Giving" websites, are responding to UN requests for interests, have undertaken an extensive scanning of corporate funding under CSR, a new staff member was hired for writing proposals for funding, a yearly report of is made of which proposals are sent and staff meet monthly to discuss this. Unfortunately, this hasn't led to any concrete results at the moment.

Score baseline: 2.8

Score endline: 3.0 (very slight improvement)

Capability to adapt and self-renew

Level of effective application of M&E

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

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

There has been a very slight improvement in this indicator. SDS still gathers information at the output level. Depending on the donors requirements they use a log-frame or results-based management to report on objectives, activities and expected results of projects. The information is compiled at project level. Long term monitoring of projects is underway for long term projects of SDS like the Chhattisgarh project which is funded by MISEREOR. Staff submit monthly reports on their activities, but these are very short and do not convey the essence of the work done. This is an issue that was raised in the annual report for 2012 -2013. SDS has also put in place an office management, communication, monitoring and reporting system, which has been documented in a log sheet till 31st March, 2013. Through this process all the regional offices of SDS fill up in detail the output and outcomes of the project, staff activities, weekly planning and send it to the central office (SDS) on a monthly and weekly basis for further review and analysis of the report. This facilitates SDS to better monitor and evaluate the status and gaps in the programme to make appropriate strategies to address the issues through. Also it helped improve the communication between SDS and regional offices to better implement the programme. SDS's improved monitoring and evaluation of programmes is linked to their taking up of a community centric approach.

Score baseline: 3.0

Score endline: 3.5 (slight improvement)

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

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

There is still no dedicated person for taking on M&E for all projects. The Executive Director is well versed with M&E, setting indicators and plans for monitoring programmes and projects. Most field and programme staff has a sufficient knowledge of M&E in relation to their specific projects and consult their senior staff and management when in doubt.

Score baseline: 3.0

Score endline: 3.0 (no change)

Level of strategic use of M&E

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

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

SDS uses their findings from their needs assessments to develop their programme strategies in order to ensure that the work they do for the community is aligned with their need. An example is the need assessment programme in Bawana Industrial region located in the North Western district of New Delhi. In addition to the assessment a follow up was done to locate the reasons behind the migrant community's problem. SDS's improved monitoring and evaluation of programmes is linked to their taking up of a community centric approach. There is still a need to set up a mechanism to systematically gather and document the medium and longer term results of their interventions and to discuss and use this information in strategic planning and review.

Score baseline: 2.5

Score endline: 2.5 (no change)

Level of openness to strategic learning

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

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

Every year SDS continues to conduct Annual Retreats with all staff members. The focus of these retreats is to review the existing programmes and job responsibilities of staff, details of ongoing activities, forth coming programmes and future possibilities and strategies. It provides an opportunity for staff to meet each other, share about their work and reflect upon SDS's overall work and plans at the national level. This has given staff access and opportunity to voice their opinions and contribute to the organizational thinking. In the last two years weekly staff meetings were introduced for more frequent reflection.

Score baseline: 3.0

Score endline: 3.25 (very slight improvement)

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

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

Staff continue to feel free to share their ideas. In Delhi the team is small and ideas are always welcome. During Annual Retreats all staff are allowed to speak about their ideas and discuss issues. Leadership is now more flexible and staff are taking more ownership and responsibility to implement new ideas.

Score baseline: 3.5

Score endline: 3.75 (very slight improvement)

Level of context awareness

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

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

SDS continues to keep track of the changing external environment through newspaper articles, parliamentary proceedings, information through network partners and policy briefings. It also keeps track of important legislations. All staff are encouraged and almost mandated to record and keep track of changes in the external world. Furthermore, SDS gets a range of opportunities to engage at

international, national and regional level forums where policy issues and trends are discussed. However, the government in some cases still thinks of SDS's work and engagement as some kind of threat. In the last two years, SDS awareness about the general trends and developments led to their taking up issues on the rise in the cases of crime against women. The MFS II funding received by them is a case in point where the funding is used to finding out the situation of the rights of women in oil extracting industries in Manipur. The Delhi team is quite well aware of developments at national and international level, including the critical importance of information collection and information use. As SDS is focussing more on research, they first do research in their operating environment before starting project implementation.

Score baseline: 4.0

Score endline: 4.0 (no change)

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

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

SDS continues to be responsive to its stakeholders. It actively takes part in various events of different civil society networks and responds to their requests for information or assistance. Meetings are regular and according to an overall plan through which SDS stays in touch with other partner organisations. There is also an increased engagement with the stakeholders, in particular, the government functionaries in the state of Chhattisgarh where the WHRD (Women Human Rights Defenders) project is ongoing.

Score baseline: 3.5

Score endline: 3.75 (very slight improvement)

Summary of capability to adapt and self-renew

SDS still gathers information at the output level. Depending on the donors' requirements they use logframe or results-based management to report on objectives, activities and expected results of projects. The information is compiled at project level. Long term monitoring of projects is still underway. There is still no dedicated person for taking on M&E for all projects. Most field and programme staff has a sufficient knowledge of M&E in relation to their specific projects and consult their senior staff and management when in doubt. SDS uses the findings from their needs assessments to develop their programme strategies in order to ensure that the work they do for the community is aligned with their needs. There is still a need to set up a mechanism to systematically gather longer term results of their interventions and to use this information in strategic planning. Every year SDS continues to conduct Annual Retreats with all staff members to review the existing programmes, job responsibilities of staff and future possibilities and strategies. Staff is given the opportunity to voice their opinions and contribute to the organizational thinking. In the last two years weekly staff meetings were introduced for more frequent reflection. Staff continue to feel free to share their ideas. Staff are taking more ownership and responsibility to implement new ideas. SDS continues to keep track of the changing external environment through newspaper articles, parliamentary proceedings, and information through network partners, policy briefings and legislations. As SDS is focussing more on research, they first do research in their operating environment before starting project implementation. SDS continues to be responsive to its stakeholders through various events of different civil society networks. Meetings with stakeholders are regular. There is now some engagement with government functionaries in the state of Chhattisgarh where the WHRD (Women Human Rights Defenders) project is ongoing.

Score baseline: 3.2

Score endline: 3.4 (very slight improvement)

Capability to deliver on development objectives

Extent to which organisation delivers on planned products and services

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

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

There has been no change in this indicator. SDS continues to prepare its proposals and plans in consultation with all staff, and staff members follow annual plans and even daily activity plans. During monthly meetings they discuss the finished work in accordance with annual plans. Deviations from the operational plan, in terms of activities not so much in terms of the budget, happen as the successful implementation of activities very often depends on the other stakeholders.

Score baseline: 4.0

Score endline: 4.0 (no change)

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

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

Cost effectiveness is still a highly valued operational principle at SDS. While during the baseline underutilisation of the budget was covered in the budget variance reporting and activity and results linked financial reporting were missing, now, if there is deviation of budget vis – a – vis activities, it is well documented and conveyed to the donors. Every year, SDS submits the reports to the Ministry of Home Affairs as required under FCRA and income tax returns as required under the Income Tax Act. In addition, it submits regular financial reports to its donors depending on their requirement and project agreement. SDS also shares it budget and financial statements with its constituency, NGO partners and other key stakeholders. The Executive Committee of the organisation keeps a regular track of the financial management of the organisation. The organisation has a written financial policy to guide its daily operations. SDS now follows a procurement policy for purchase of goods and services. Employees making purchases as part of the project activity have to follow the mechanisms of filling up a requisition form. The finance department follows it up and gets it signed by Chief Executive/Executive Director, thereafter a delivery slip will be procured from the finance department of the supplier once the purchase is done and finally all these to be done as per the auditing methods. All of this is done to ensure cost-effective utilisation of resource use.

Score baseline: 4.0

Score endline: 4.25 (very slight improvement)

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

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

There has been no change in this indicator. SDS continues to deliver most of its outputs as planned. There are times when the delivery of outputs is delayed due to external factors beyond SDS' control, like natural disasters and unrest in the North East. Delays in transfer of funds also delay project implementation. The successful implementation of activities very often depends on the other stakeholders.

Score baseline: 3.5

Score endline: 3.5 (no change)

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

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

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

SDS continues to base its services on needs assessments, which is part of its project design process. The needs assessments are discussed with the beneficiaries of its services. In Chhattisgarh the team is in close contact with beneficiaries and its main stakeholders in the WHRD network. Fact finding missions are conducted prior to taking action and actions are discussed with concerned beneficiaries. Beneficiaries are participating in different planning and training activities of SDS. SDS's needs assessment programme in the Bawana Industrial region located in the North Western district of New Delhi has been linked to their research based work. These communities are migrant workers who were relocated in the region after being displaced during the Delhi Commonwealth Games in 2010. One of their main problems is acquiring documents to support their citizenship. This was followed up by locating the reasons behind their problem. Along with research, there was implementation of skill building programme for the women in these areas. This support for skill building is provided by SDS from their existing funds and based on the needs assessment in this district. Exploring this area of work as implementers, SDS wants to make use of the corporate social responsibility bill in their favour. SDS still does not have a formal mechanism to ascertain whether beneficiaries are happy with the benefits and services they receive (after receiving them) or to what extent the different target groups benefit. This is precisely the reason behind SDS changing its mandate and initiating the process of directly working with the community through its community centric approach. Through this approach they will get a better idea of whether their services meet beneficiary needs.

Score baseline: 3.5

Score endline: 3.5 (no change)

Level of work efficiency

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

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

Efficiency in finance is kept under check by not increasing the expenses beyond the allotted budget. Yearly plans are made during their annual retreat. All staff members are given targets to be achieved. Regular monthly meetings to review their progress are held every fourth day of the month. SDS has put in place a system monitoring of inputs related to outputs through activity related financial reporting.

Score baseline: 3.0

Score endline: 4.0 (improvement)

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

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

There has been no change in this indicator. SDS continues to focus on quality. Generally SDS aims at balancing efficiency requirements with the quality of its work. This is ensured by doing proper research and background work; advance preparation of materials; proper organizing and planning; and by periodically reviewing the utilisation and requirement of resources. Sometimes due to limited availability of resources, quality work is hindered and work is often hurried up.

Score baseline: 3.5

Score endline: 3.5 (no change)

Summary of capability to deliver on development objectives

SDS continues to prepare its proposals and plans in consultation with all staff, and staff members follow annual plans and even daily activities plans. During monthly meetings the finished work and occasional deviations from the planned activities are discussed. Cost effectiveness is still a highly valued operational principle at SDS. If there is deviation of budget vis – a – vis activities, it is well documented and conveyed to the donors. Every year, SDS submits the reports to the Ministry of Home Affairs as required under FCRA and income tax returns as required under the Income Tax Act. SDS now follows a procurement policy for purchase of goods and services. This is done to ensure cost-

effective utilisation of resource use. SDS continues to deliver most of its outputs as planned, except for when there are delays due to external factors like natural disasters and unrest in the North East, delays in transfer of funds or delays in implementation by other stakeholders. SDS continues to base its services on needs assessments, which is part of its project design process. The needs assessments are discussed with the beneficiaries of its services. SDS still does not have a formal mechanism to ascertain whether beneficiaries are happy with the benefits and services they receive (after receiving them) or to what extent the different target groups benefit. They have now started working directly with their target groups which will help them to get an idea of whether their services meet beneficiary needs. Efficiency in finance is kept under check by not increasing the expenses beyond the allotted budget. All staff members are given targets to be achieved. SDS has put in place a system monitoring of inputs related to outputs through activity related financial reporting. SDS continues to aim at balancing efficiency requirements with the quality of their work; they ensure this by doing proper research and background work. Sometimes due to limited availability of resources, quality work is hindered and work is often hurried up.

Score baseline: 3.6

Score endline: 3.8 (very slight improvement)

Capability to relate

Level of involving external parties in internal policy/strategy development

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

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

There has been no change in this indicator. The organisation continues to actively engage with its stakeholders in policy and strategy development through meetings, workshops and consultations. An example is that they have organised a get together with friends of SDS in December 2013, where well-wishers, consultants, board members and staff of SDS and IPAC were invited to share objectives and operations of both the organizations (SDS and IPAC) with friends and gradually with the public at large. The founding member presented the history, vision, mission, formation, growth, struggles and achievements of SDS and IPAC. There was also a consultation on the rights of Muslim women. Women were invited from eight states of the country i.e. Bihar, Uttar Pradesh, Chhattisgarh, Madhya Pradesh, Maharashtra, Rajasthan, Haryana and Delhi to discuss pressures on Muslim women in their areas. They expressed a need for more opportunities for education for Muslim women and girls, skill development and employment. Through consultations like these SDS informs its strategies and policies for the benefit of the organisation.

Score baseline: 4.0

Score endline: 4.0 (no change)

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

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

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

SDS continues to be engaged with various regional, national and international networks. The organisation has been involved with UDGHOSH (a network on the right to development) since the baseline. While during the baseline there was a need to engage with more partners, in the past two years SDS has increased the number of partners they engage with. SDS has engaged with local NGOs, CSOs, lobby groups and local administration, which increased its knowledge of the ground situation. Through IPAC, SDS remains in contact with a network of professional lobbyists working in the not-for-profit sector. SDS has also partnered with Fredskorpset (FK); this is a network of partners funded by Norwegian government, working on enhancing the capacity of youth professionals through exchange

programmes. SDS has also partnered with All India Dalit Mahila AdhikarManch (AIDMAM); North East Women's Network (NewNet), Lok Vikas Kendra, Bihar; Vaagdhara, Rajasthan, Prayatan, Rajasthan; Muslim MahilaAndolan, Mahila Swarozgar Samiti, Uttar Pradesh; Nange Paon Satyagraha, Chhattisgarh; INSEC, Nepal; and SHREE Bangladesh. SDS has been actively working with the network of Women Human Rights Defenders (WHRDs) in Chhattisgarh for the last three years. SDS has engaged with government agencies and parliamentarians as well as international networks like Civicus, Lobby Works and UN organs and agencies, specifically UN Human Rights Council. Concerned programme staff participate in the meetings and events organised by other partners when relevant.

Score baseline: 3.5

Score endline: 4.0 (slight improvement)

Extent to which organisation is actively engaging with target groups

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

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

There has been no change in this indicator. SDS staff continue to meet beneficiaries frequently: during needs assessment, research, implementation and follow up. Both qualitative and quantitative data was collected to understand the needs of the target groups. During the implementation of a programme staff engage with the target group through awareness programmes, legal follow up and quarterly meetings. For direct intervention at the grass root level, SDS works with volunteers who work as outreach agents.

Score baseline: 4.0

Score endline:4.0 (no change)

Level of effective relationships within the organisation

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

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

There has been no change in this indicator. SDS continues to be a small organization providing ample space for staff to interact and communicate freely. Staff use different modes of communication. Daily interactions among staff members continue to take place. A dedicated team has been working for SDS, which is spread over three offices and one field centre. SDS has also put in place an office management, communication, monitoring and reporting system, which has been documented in a log sheet till 31stMarch, 2013. Monthly reporting consists of programme activity and staff activity along with an analysis; and weekly reporting includes staff mobilization, project or program outcomes of activity, reporting of the program and planning for the week ahead. Minutes are kept of staff meetings and annual retreats. Communication between state office and central office is improving due to a stronger network that is being built.

Score baseline: 4.0

Score endline: 4.0 (no change)

Summary of capability to relate

The organisation continues to actively engage with its stakeholders in policy and strategy development through meetings, workshops and consultations. An example is that they have organised a get together with friends of SDS in December 2013. Through consultations like these SDS informs its strategies and policies for the benefit of the organisation. In the past two years SDS has significantly increased the number of partners, including NGOs, CSOs, government agencies, international networks, UN agencies and parliamentarians. SDS has engaged with local NGOs, CSOs, lobby groups and local administration, which increased its knowledge of the ground situation. SDS staff continue to meet beneficiaries frequently: during needs assessment, research, implementation and follow up. SDS

continues to be a small organization providing ample space for staff to interact and communicate freely. A dedicated team has been working for SDS, which is spread over three offices and one field centre. SDS has also put in place an office management, communication, monitoring and reporting system; communication between state office and central office is improving because of this.

Score baseline: 3.9

Score endline: 4.0 (no change)

Capability to achieve coherence

Existence of mechanisms for coherence

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

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

The organisation continues to organise annual retreats for leadership and staff to reflect on vision, mission and strategies. Since the baseline in 2012, SDS has revised its vision and has formulated its mission, which was not yet consolidated in 2012. With SDS no longer being the legal holder of the WinG and with IPAC, the lobby and advocacy initiative of SDS, now being an independent organisation, SDS is envisaging to become a centre for excellence in research with a specific focus on women. SDS initiated research work to better inform its own actions as well as to make a case for policy work and engagement with public sector. SDS also continues to work on project implementation. The organisation is now directing its efforts towards working with the community through women centric community based programmes working on achieving wellbeing for marginalised women and children through women empowerment, gender justice and a rights based approach.

Score baseline: 3.5

Score endline: 4.5 (improvement)

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

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

The organisation continues to have a financial (from 2009), HR (from 2011) and gender policy (from 2007) in place. These operational guidelines are followed. The HR manual provides guidelines to the staff consisting of office hours, compensation granted, insurance given, salary advances etc. SDS's gender manual supports the setting up of a Committee Against Sexual Harassment (CASH) for preventing cases of sexual harassment in the office. During the Annual retreat in 2013, this committee was formed, one for the Delhi and one for the Raipur office (in consultation with its local partners) to further stimulate the use of the gender policy. SDS reports to the Ministry of Home Affairs as required under the FCRA and sends income tax returns as required under the Income Tax Act. In addition, it submits regular financial reports to its donors depending on their requirement and project agreement. SDS also shares it budget and financial statements with its constituency, NGO partners and other key stakeholders. The Executive Committee of the organisation also keeps a regular track of the financial management of the organisation. SDS now also has a procurement policy in place. Policy making continues to be seen largely as a function of the management, so they continue to decide on processes and clauses within processes.

Score baseline: 3.0

Score endline: 3.25 (very slight improvement)

Level of coherence of various efforts of organisation

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

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

Operations, projects, interventions, networking and stakeholder engagement are all in line with the revisited vision and now consolidated mission of SDS, which means that all their operations are related to achieving wellbeing of marginalised women and children through women empowerment, gender justice and a rights based approach. Since the baseline SDS wanted to develop IPAC into a separate entity, it has now succeeded at this: in July 2014 IPAC obtained its FCRA registration and so that it could operate independently. This makes it easier for SDS to focus on its research and project implementation work in line with their vision and mission, while IPAC continues to work on lobby and advocacy.

Score baseline: 3.5

Score endline: 4.0 (slight improvement)

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

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

SDS continues to take up different programmes which strengthen each other, in terms of experiences, strategies, knowledge and networks. SDS now documents and reports on the experiences of its programmes and benefits from networks, which has consistently informed and educated future planning of projects and activities in the same regions or elsewhere. SDS no longer works on WinG and policy influencing; this last area is now done by the independent entity IPAC. The areas in which SDS continues to work are: community outreach on the issue of child rights, women for effective governance; and research and documentation around child and human rights, health and malnutrition, migration, voter's motivation levels in parliamentary elections, and Dalit land rights. These areas mutually support each other as SDS's research work informs their actions in the community outreach programme.

Score baseline: 4.0

Score endline: 4.0 (no change)

Summary of capability to achieve coherence

The organisation continues to organise annual retreats for leadership and staff to reflect on vision, mission and strategies. Since the baseline SDS has revised its vision and has formulated its mission. SDS works on research and project implementation with a specific focus on women empowerment and gender justice and is using a rights-based approach. The organisation continues to have a financial (from 2009), HR (from 2011) and gender policy (from 2007) in place. To implement the gender policy, the Committee Against Sexual Harassment (CASH) was formed during the Annual Retreat in 2013. SDS also adheres to the FCRA, Income Tax Act and now has a procurement policy in place. As IPAC is now a separate entity working on lobby and advocacy, SDS's research and project implementation are all aligned with its revisited and now consolidated vision of working on the wellbeing of marginalised women and children through women empowerment, gender justice and a rights based approach. SDS continues to take up different programmes which mutually support each other, and now documents the experiences, which informs future planning in the same regions or elsewhere. The areas in which SDS continues to work are: community outreach and research. Its research work informs their activities in the community.

Score baseline: 3.5

Score endline: 3.9 (slight improvement)

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

Below you will find a description of the general causal map that has been developed for the SPO during the endline workshop. Key changes in organisational capacity since the baseline as identified by the SPO during this endline workshop are described as well as the expected effects and underlying causal factors, actors and events. This is described in both a visual as well as a narrative.
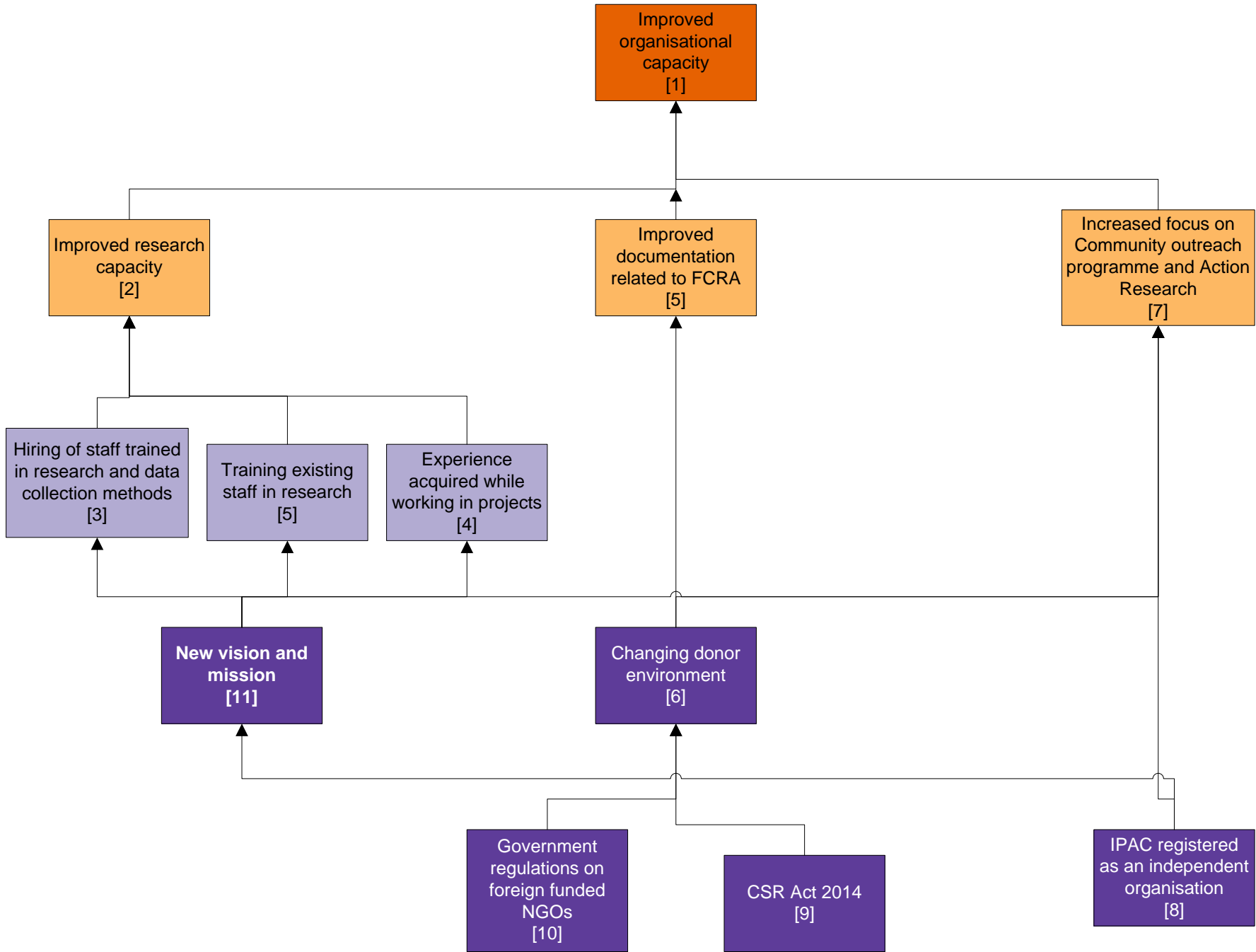
The evaluation team carried out an endline assessment at SDS from 16 to 17 August 2014. During this workshop, the team made a recap of key features of the organisation in the baseline in 2012 (such as vision, mission, strategies, clients, partnerships). This was the basis for discussing changes that had happened to the organisation since the baseline.

According to the staff present at the endline workshop, the three key changes in SDS over the last two years since the baseline in 2012 have been:

- Improved research capacity [2]
- Improved documentation related to FCRA [3]
- Increased focus on community outreach programme and action research [4]

The three main organisational capacity changes are described in the light orange boxes. These are expected to lead to improved organisational capacity [1], visualised in dark orange. Light purple boxes represent factors and aspects that influence the key organisational capacity changes (in light orange). Key underlying factors that have impacted the organisation are listed at the bottom in dark purple. The narrative describes per organisational capacity change, the contributing factors as described from the top down. The numbers in the visual correspond with the numbers in the narrative.

```
                          Improved
                          organisational
                          capacity
                          [1]


    Improved research          Improved                 Increased focus on
    capacity                   documentation            Community outreach
    [2]                        related to FCRA           programme and Action
                               [5]                       Research
                                                         [7]


  Hiring of staff trained    Training existing    Experience
  in research and data       staff in research    acquired while
  collection methods         [5]                  working in projects
  [3]                                              [4]


      New vision and             Changing donor
      mission                    environment
      [11]                       [6]


                     Government                              IPAC registered
                     regulations on                         as an independent
                     foreign funded       CSR Act 2014       organisation
                     NGOs                 [9]                [8]
                     [10]
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Improved Research Capacity [2]

SDS in the course of the last two years (2012-2014) has been working towards establishing its research capabilities and working directly with the community. SDS initiated research work to better inform its own actions as well as to make a case for policy work and engagement with public sector [Source: Workshop details 2014]. Improved research capacity of SDS has been due to hiring of staff trained in research and data collection methods [3], Training of existing staff in research [5] and experience acquired while working in projects [4].

- Hiring of staff trained in research and data collection methods [3] SDS hired staff trained in research and data collection methods [Source: Self-Assessment forms for Management, 2014].
- Training of existing staff in research [5]: External resource persons were invited by SDS to train their staff members in research. SDS thus claims that their staff with the presence of trained colleagues and trainings has increased their capacity in the field of research [Source: Self-Assessment forms for Management, 2014].
- Experience acquired while working in projects [4] In order to expand its research based work, SDS conducted a research for CRY on the Study on Malnutrition among Children in the State of Delhi of children between the age-group of 0-3 years in Delhi and study on quality of education among government schools in Delhi. Under this project, 500 persons were interviewed of which 220 were from resettled colonies, 220 from JJ colonies and 60 were homeless. A survey was done through "a social questionnaire to obtain quantitative date; for qualitative inputs focused group discussions were held with the help of interview schedules, and through observations with the service providers i.e. ICDS functionaries and doctors of health centres (private and governmental) [Source: SDS Annual Report 2012-2013.pdf].
- SDS's needs assessment programme in Bawana Industrial region located in the North West district of New Delhi has been linked to their research based work. These communities are migrant workers who were relocated in the region after being displaced during the Delhi Commonwealth Games in 2010. Majority of them are Muslims from Bangladesh, whose struggle start with the problem of acquiring documents to support their citizenship. This cumbersome process of acquiring an identity for acquiring government schemes for the poor led to a situation, where the powerful (resourceful in terms of those who could bribe officials) get easy access to these documents. This was followed up by locating the reasons behind their problem. Along with research, there was implementation of a skill building programme for the women in these areas. This support for skill building is provided by SDS from their existing funds. Exploring this area of working as implementers, SDS wanted to divert the corporate social responsibility in their favour.

Each of these changes has been informed by a change in the vision and mission of the organisation. During the last two years, SDS began envisaging itself as a centre for excellence in research with a specific focus on women [11]. The mission of the organisation which was not very clear during the baseline became focused on women related issues and women empowerment. The organisation is now directing its efforts towards working with the community through women centric community based programmes instead of lobbying and advocacy. When IPAC became independent organisation [8], this helped the organisation to refocus its orientation which was an important change happening in the organisation. The other important change was the fact that the advocacy initiative within SDS i.e. IPAC, became registered as an independent organisation [8] [Source: 5c endline self-assessment of the SPO on organisational capacity – management_India_Shivi]. Thus the focus of SDS became research and programme implementation while that of IPAC became lobbying and advocacy [11].

Improved Documentation related to FCRA [5]

NGOs working in conflict areas in the North East are in general under the radar of Intelligence Bureau of India. The report of the Intelligence Bureau under the Ministry of Home Affairs "Concerted efforts by select foreign funded NGOs to 'take down' Indian development projects" stated explicitly the work of NGOs especially the foreign funded donors like CORDAID, whom they fear anti-development activities in the country with reference to the extractive project in North East:

- "Furthering its efforts on the North-East, Netherlands-based, Dutch Government funded, donor, CORDAID, has recently added 'Extractive Industries in the North East' as the fourth focal point for its interventions in India. It organized another 'Side-Event on Extractive Industries Operations on the Enjoyment of Human Rights (September 14, 2012/Geneva) with Swami Agnivesh as the prominent speaker…..To assess the potential for civil rights activism, Senior Policy Officer, CORDAID, Eelco De Groot (earlier associated with the Dutch Ministry of Economic Affairs), has planned a visit to Manipur from March 5-12, 2013, which was denied. He has planned the visit under the cover of an organization called Extractive Industries Transparency Initiative…" [Source: IB-Report-NGO.pdf].
- In a latest report in a national daily in India the negative impacts that foreign funded NGOs working in India, including Cordaid, are stalling oil drilling in the North East [Source: http://timesofindia.indiatimes.com/india/Dutch-funded-NGO-trying-to-stall-oil-drilling-in-northeast-IB-report/articleshow/36513963.cms]. With foreign funded NGOs being brought under the radar of the government [10], NGOs have to put in place an improved process of documentation both financially and programme related. To that end, SDS worked on improving their legal compliances of aligning with the FCRA (Foreign Contribution Regulation Act) [10] and drawing the focus of companies engaged in CSR (Corporate Social Responsibility) initiative [9]. In August 2013, SDS sent one of the staff members to Bangkok to receive training in 'Documentation Skills'. There was also an exchange programme with INSEC[11], Nepal. These trainings were based on putting all legal compliances in place [Source: Discussion during Endline Workshop 2014]. So SDS improved its documentation related to FCRA [5] because of the changing donor environment [6], which was influenced by government regulations for foreign funded NGOs [10] and the CSR Act in 2014 [9] helps to improve the documentation related to FCRA.

Increased focus on Community outreach programme and Action Research [7]

Some examples of SDS' work on community outreach and action research are mentioned below:

- SDS is working with the community and had to take up issues on the rise in the cases of crime against women in the last two years; SDS working in the area of human rights violations could not have overlooked issues concerning violation of rights of women. The MFS II funding received by them is a case in point where the funding is taken on finding out the situation of rights of woman in oil extracting industries in Manipur. On the one hand, there is the changed mandate of working directly on issues of women and on the other hand, SDS is also working as direct implementers of the projects. Working directly with the community has led to scaling up their work.
- In Chattisgarh there has been a workshop funded by MISEREOR, on Women Human Rights Defenders, organized by SDS from 6-9 August, 2014. SDS work with this network of Human Rights Defenders is supported by SDS and IPAC [Source: State Level Workshop on Women Human Rights Defenders.docx]. The main objectives of the workshop were:
  - To build the capacities of WHRDs to analyse the specificity of the risks they face and to develop their own security and protection strategies.
  - To explore 'self' and 'us' from the perspective of strength and common grounds.
  - To broaden the perspectives building a stronger coalitions to work efficiently.
  - To take back ideas from each other for collaboration and work for human rights promotion and defence.
  - To develop action plans for the next six months for lobby on specific common issues. [Source: WHRD News.PDF].
- SDS also published "Experiences of Women Human Rights Defenders (WHRD) in the South Asian Context" in November 2013, a documented report on issues of human rights violation of women across South Asia. This document has been published from the funding received by SDS from Cordaid [Source: Experiences of Women Human Right Defenders in the South Asian Context]
- Mining Extraction Project since 1st September 2013 to 31st May, 2014 in Manipur is supported through the Cordaid funding and is based on SDS's research on the impact of mining on women working in the field. This project is at its initial stage of formulating of the concept note for it. Change in its theme led to SDS looking into the impact of oil extracting companies from the

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[11] Informal Sector Service Centre

perspective of its impact on gender. Dispelling the common perception of higher engagement of men in agriculture, this research looks into its impact upon the lives of women working in the agricultural fields.

- In 2013, SDS worked towards setting up a Migration Facilitation and Information Centre (MFIC) in Dudhaniya village in Jharkhand. The centres cater to migrant workers from the 18 villages in that region. It provides them with ID cards issued by Government of Bihar, providing basic services to the migrant workers. The programme focused on the awareness and effective implementation of "Pravasi Majdoor Durghatana12 Bima Yojana". SDS had set up health camps in Varanasi and Kota, Rajasthan to promote health awareness [Source: SDS Annual Report 2012-2013.pdf].

Shivi Development Society has improved its focus on community outreach programmes and action research [7], as a result of their revised vision and new mission [11]. This change was also made in response to a change in the donor environment [6] and because of IPAC, the lobby and advocacy initiative of SDS becoming an independent entity [8].

- Change in the donor environment [6]
- With the Corporate Social Responsibility(CSR13) Act coming into force in 2014 [9], SDS realized that in order to approach the corporate sector they had to focus on community related interventions as the corporate sector did not fund lobbying and advocacy initiatives.
- IPAC became registered as an independent organization [8]
- Another important change that occurred was that the advocacy initiative within SDS i.e. IPAC, became registered as an independent organisation [Source: 5c endline self-assessment of the SPO on organisational capacity – management_India_Shivi]. Thus the focus of SDS became research and programme implementation while that of IPAC became lobbying and advocacy.

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12 Accident insurance policy for migrant labourers

13 The new Companies Act 2014, with a very strong CSR Clause, mandates companies with an average profit of INR 50 million in last three years, to proactively design and undertake welfare and other developmental activities.

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

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