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# Endline report – Indonesia, ECPAT MFS II country evaluations

Capacity of Southern Partner Organisations (5C) component

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This report presents the findings of the endline of the evaluation of the organisational capacity component of the MFS II country evaluations. The focus of this report is Indonesia, ECPAT. 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.

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



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The Indonesia 5C evaluation team

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# List of abbreviations and acronyms

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

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# 1 Introduction & summary

## 1.1 Purpose and outline of the report

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

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

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

Achievement of Millennium Development Goals (MDGs) & themes;

Capacity development of Southern partner organisations (SPO) (5 c study);

Efforts to strengthen civil society.

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

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

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

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

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

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describe the identified key organisational capacity changes that are possibly related to MFS II interventions in these two capabilities, and how these changes have come about. More detailed information can be found in appendix 5.

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

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

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

## 1.2 Brief summary of analysis and findings

Since the baseline, two years ago, ECPAT has seen a slight improvement in the capability to act and commit. The change in leadership style brought about more open communication between staff and management and more room for feedback. Staff turnover remained high, whilst day to day operations were more in line with the strategic plan and supported by new SOPs. ECPAT has very slightly improved in its capability to adapt and self-renew, which was mainly due a clear M&E protocol being in place for 2014 and onwards. ECPAT staff has also developed it's M&E competencies, and is more aware of developments in their environment. A slight improvement occurred in the capability to deliver on development objectives as well: clear operational plans have been developed in the form of an implementation work plan and budget plan to control the execution of activities. Delivering planned outputs has improved as virtually all objectives have been met, particularly in the CSEC case program. The capability to relate improved somewhat as a result of better coordination of with partners and stakeholders. Strong lobby activities ensured strong ties to key government and policy makers. Informal communication amongst the staff is now stronger and helps them connect and discuss programmatic issues. Finally, ECPAT has realised a slight improvement in the capability to achieve coherence through its operational guidelines. In 2013 ECPAT hired a consultant to support them to improve the management system and develop several new sets of standard operating procedures in terms of finance, HR and program procedures.

The evaluators considered it important to also note down the SPO's story in terms of changes in the organisation since the baseline, and this would also provide more information about reasons for change, which were difficult to get for the individual indicators. Also for some issues there may not have been relevant indicators available in the list of core indicators provided by the evaluation team. During the endline workshop some key organisational capacity changes were brought up by ECPAT's staff: professionalization of the organization; expansion and sustaining of donors; more effective advocacy; improved staff capacity for CSEC case monitoring.

Professionalization of the organization occurred mainly due to the improvement of ECPAT's financial system and staff management. Both factors can be partially attributed to the development of the secretariat on the one hand, and the development and expansion of program activities on the other. Both these factors can be attributed in part to MFS II funding, whilst funds from the Bodyshop Indonesia were also applied. Improved program management and implementation capacity also led to the professionalization of the organization, and could be attributed to a specific MFS II intervention in the form of a capacity scan carried out by Mensen met een Missie in 2012. In addition the hiring of new manpower of the organization as part of the MFS II funded legal service unit program, has also led to organizational capacity change in the form of improved job descriptions, functioning of the secretariat and ultimately the improved program management and implementation capacity.

The expansion and sustaining of donors can be attributed to the fact that donors credited ECPAT's work more frequently, which significantly raised their profile amongst other potential partners and donors. This was enabled by better program implementation, made possible through the strategic



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planning 2011-2014 as well as the staff's capacity improvements to manage programs, their knowledge on CSEC as well as the lobby and negotiation skills. This was in turn enabled by the program becoming more diverse and larger in scale, which was enabled by Mensen met een Missie's support in developing ECPAT's program. The development of ECPAT's program and secretariat were both due MFS II funding and funding from The Bodyshop Indonesia, although not specific MFS II capacity development interventions.

More effective advocacy can be attributed to ECPAT having a better bargaining position in their negotiations with authorities. This came about from the support and recommendations from ECPAT International, the expansion of the national network, as well as more information about the organization and their activities being distributed. This can be attributed to becoming more recognized by various stakeholders in Indonesia after the program has expanded and became more diverse, largely funded with MFS II funds. However, no MFS II funded capacity development interventions were specifically mentioned under this organisational capacity change.

Lastly the improved staff capacity for CSEC monitoring was enabled by an increased ability to conduct written documentation, raising the awareness about CSEC issues, and having a monitoring instrument in place. The former two changes were the result of assisting the reflection process of the law unit service, the latter through a better understanding about monitoring CSEC issues of the program staff. Strengthening the ECPAT monitoring and investigation efforts contributed significantly to this. Both these changes can be attributed to the development of program documentation, as part of the program diversification and expansion funded by MFS II. These are not organisational capacity development interventions, but through staff's experience of being involved in these projects their understanding in conducting investigations, monitoring and reporting on CSEC cases has improved and they have been able to develop a monitoring instrument for CSEC cases. Therefore, their capacity has been built not through specific organisational capacity development interventions but rather through the experience in these 2 projects.

During the process tracing workshop a closer look was taken at detailed information concerning the organizational development changes that have occurred. This was done in order to get a better answer to the second and fourth evaluation questions dealing with the attribution of changes to specific development interventions and their underlying factors. The organizational capacity changes that were focussed on were:

- Improved program management and implementation capacity;
- Improved skill of ECPAT in the investigation, monitoring and reporting of CSEC cases.

According to ECPAT, the improved program management and implementation capacity of ECPAT has resulted in better organizational work performance, increased bargaining power over donors and government and greater recognition of ECPAT as an organization dealing with CSEC issues. The improved program management and implementation capacity can be attributed to the improved functioning (operating) of the secretariat, the availability of human resources to conduct programming, and improved operational management. Whilst none of these capacity changes can be directly attributed to MFS II interventions, the hiring of staff that has occurred, as well as the consultant assessments are results of the funding from programs sponsored by Mensen met een Missie (legal unit service implementation, November 2013).

On the other hand operational management improved due to an improved administration mechanism as regulated in the organization's statutes, as well as due greater financial efficiency. This administrative mechanism was altered due to a revision in the organization's statutes and SOP's, as recommended by the consultant in the March 2013 assessment, as well as the 2012 capacity scan performed by an external consultant hired by MM. Greater financial efficiency could also be attributed to the development of these new SOPs, which regulated stricter financial procedures as well as program and project procedures. More accountable and transparent financial reports allowed for improved financial management as well, which was enabled by the revision of the financial guidelines as recommended by the Indonesian consultant in her assessment. The MFS II funded intervention of hiring another independent consultant to perform a capacity scan in 2012 was part of a greater Mensen met een Missie initiative to scan all their partner organizations in Indonesia. This resulted in a report which laid the foundation for self-inspection of ECPAT, and the series of organizational capacity changes, initiatives and developments that took place.

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Improved skill of ECPAT in the investigation, monitoring and reporting of CSEC cases resulted in the successful handling of 10 CSEC victim cases as well as the development of a referral mechanism of CSEC cases for other organizations to use. This skill was improved due to a monitoring instrument for CSEC cases being available, and to program staff having gained better understanding in conducting investigations, monitoring and reporting of CSEC cases in practice. ECPAT's monitoring system can be attributed to the development of program documentation for the justice unit service project. The program was intended to build a model for other organizations to work on similar issues, which was done through the publication of a book and a database on the 10 CSEC cases that were followed and supported. This in turn was enabled by the staff's increased ability to capitalize on learning experiences which can be attributed to the staff's work on the reflection process in the case work to find lessons learned, challenges and develop best practices. This resulted directly from the Legal Unit Service Project supported by MFS II, which was a continuation of the CSEC investigating, Monitoring and Reporting project which took place in 2012.

In conclusion the key organizational capacity of improved skill of ECPAT on CSEC monitoring, investigation and monitoring of CSEC cases can be fully attributed to both MFS II funded intervention programs. These are not organisational capacity development interventions, but through staff's experience of being involved in these projects their understanding in conducting investigations, monitoring and reporting on CSEC cases has improved and they have been able to develop a monitoring instrument for CSEC cases. Therefore, their capacity has been built not through specific organisational capacity development interventions but rather through the experience in these 2 projects.

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## 2 General Information about the SPO – Name SPO

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

<b>Country</b>	Indonesia
<b>Consortium</b>	Press Freedom 2.0
<b>Responsible Dutch NGO</b>	Mensen met een Missie
<b>Project (if applicable)</b>	Developing investigation, monitoring and reporting mechanisms for CSEC cases
<b>Southern partner organisation</b>	ECPAT

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

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

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

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

Human trafficking is the third biggest crime in the world and believed to produce by the quintillion dollars annually. Related to the Commercial Sexual Exploitation of Children (CSEC), the fact remains that nearly 80 percent of trafficking in all over the world is for the purpose of sexual exploitation, and an estimated 1.2 million children are trafficked globally for the purpose of sexual exploitation and other purposes each year.

Indonesia is known for being a transition country where mostly women and children are the victims of human trafficking. ECPAT's activities concentrate on trafficking of children and have a strong focus on preventing the sexual exploitation of children. As these activities take place in secret, data on sexual exploitation and trafficking of children is limited. Nevertheless, some research has been done and a few statistics are available. It estimated that, every year, around 100.000 Indonesian women and children are being trafficked, about 30% is below 18 years old. Trafficking of women and girls occurs within and across the borders of Indonesia. The International Organization for Migration (2010) studied and published some figures of the 3,735 cases that were assisted by IOM during the period March 2005 and March 2010. The International Organization for Migration (IOM) estimated that more than 80 per cent of victims they assisted were cross-border cases, the rest involved internal trafficking. About half worked in domestic servitude outside of Indonesia and 16 per cent was forced into prostitution within Indonesia. Approximately 30 per cent of victims experienced sexual abuse and/or rape.

Most trafficking victims originate from Java, West Kalimantan, Lampung, North Sumatra, Banten, South Sulawesi, West Nusa Tenggara, East Nusa Tenggara and North Sulawesi. Common trafficking destinations are Malaysia, Singapore, Japan, Saudi Arabia, Kuwait and other part of the Middle - East. IOM (2010) reports that especially women and girls trafficked to Malaysia and Japan end-up sex industry. IOM (2010) explains that initially victims are labour migrants employed as domestic workers but are later on sold and forced into prostitution. This displays one of the major problems with labour migration in Indonesia: labour agencies and brokers are not providing transparent information and people are often misled. IOM (2010) states that illegal but also legal recruitment agencies are

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misleading women and girls about what type and duration of their employment abroad as well as their salary. Debt bondage is a common problem and used as a means for exploitation.

Also internal trafficking is occurring in Indonesia. IOM (2010) cited two reports that indicate increasing figures on internal trafficking of women and children for sexual exploitation. More particularly, there seems to be a rise in the number of young rural women who are exploited as sex workers in urban areas.

During the past years the Government of Indonesia has developed multiple policies to combat human trafficking. For example, the Government adopted Law no. 21 on the "Eradication of Criminal Act of Trafficking in Persons" in 2007. In 2008 the Ministry for Women's Empowerment provided anti-trafficking outreach education in 33 provinces. And in 2009 they legalized the "National Plan of Action on the Eradication of Trafficking in Persons and Sexual Exploitation of Children 2009 – 2014". In 2011, the Ministry of Women's Empowerment and Child Protection launched a program, "Protecting and Empowering Victims of Indonesia (EMPOWER)", aimed at improving the capacity of state as well as non-state organizations working in the field of trafficking in West-Java, West Kalimantan and West Nusa Tenggara. Activities within this program are: policy support; training of law enforcement officials, service providers and health workers; equipment grants, coordination meetings and research; victim assistance and community awareness on safe migration and the risks of trafficking; and capacity building for high-risk communities to better prevent human trafficking at the community level. The Indonesian Government also follows international conventions with respect to Human Trafficking and Child Labour such as ILO Conventions 182 on the "Worst Form of Child Labour" in 2000 and the "Protocol to Prevent Suppress and Punish Trafficking in Persons, Especially Women and Children Supplementing the United Nations Convention Against Transnational Organized Crime" in 2009. However enforcement of these laws and convention by the Government of Indonesia can be improved.

As a part of a global network, ECPAT Indonesia is involved in the implementation of various initiatives on key issues at both national and regional level. The involvement of the national coalition is to be followed by the members at provincial level on behalf of the national initiatives. Our commitment is strengthen national actions in the efforts to prevent and eliminate CSEC within the country by building collaboration with crossed-sectoral key stakeholders include civil society actors and broader child rights organizations, academics, professionals, government bodies, private sectors, international agencies and many more. Our presence is to ensure the state community and the government to take serious action addressing this severe crime.

## 2.3 Contracting details

When did cooperation with this partner start: 1<sup>st</sup> July 2009.

What is the MFS II contracting period: 1-1-2014 to 31-12-2014

Did cooperation with this partner end: Not applicable

If yes, when did it finish: Not applicable

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

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

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## 2.4 Background to the Southern Partner Organisation

### History

ECPAT Indonesia is the National Coalition for the elimination of Commercial Sexual Exploitation of Children (CSEC).<sup>1</sup> It was founded when a group of professionals organized a National Consultation Meeting on Fighting CSEC in Jakarta in 2000. This National Consultation resulted in the establishment of the National Coalition for the Elimination of CSEC in Indonesia named ECPAT Indonesia. The objective of this coalition is: *"to eliminate child prostitution, child pornography and child trafficking for sexual purposes and to push community members and government to ensure the fulfillment of children's basic rights and protection from sexual exploitation"*.<sup>2</sup> In 2005, the National Coalition was acknowledged as an Affiliate Member Group of the ECPAT International Network.

ECPAT International was founded in 1990 to end child prostitution in relation to travelling in Asia. ECPAT's original name End Child Prostitution in Asian Tourism was changed in 1996 to End Child Prostitution, Child Pornography and the Trafficking of Children for Sexual Purposes, reflecting the organization's geographic expansion and broader mandate. There are now 81 groups in 75 countries in the ECPAT network. The International Secretariat is based in Bangkok, Thailand.<sup>3</sup>

ECPAT Indonesia is a network of 24 members, 20 NGOs in Indonesia and 4 individuals who are working in the field of CSEC. These organizations are spread over 11 provinces in Indonesia: Aceh, North Sumatra, Lampung, Kepulauan Riau, Jakarta, West Java, East Java, Central Java, Yogyakarta, West Kalimantan and West Nusa. The network does not cover all areas where child trafficking takes place because in these areas there is no (trustworthy) NGO working on CSEC.<sup>4</sup>

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

### Vision

The mission of ECPAT Indonesia since 2000 is the following: *Every child in Indonesia is free and protected from any forms of commercial sexual exploitation and the fulfillment of fundamental rights of the children is guaranteed by the whole elements of the society and government*.<sup>5</sup>

### Mission

The mission of ECPAT Indonesia from 2000 until 2012 is: Working together for the elimination of child sex trafficking, child prostitution, child pornography, child sex tourism and child marriage and encouraging the state community and the government to ensure the fulfillment of the rights and the protection of the children from all forms of commercial sexual exploitation in Indonesia.<sup>6</sup>

Since 2012 ECPAT Indonesia specifies its mission towards three different target groups, being members, society and government<sup>7</sup>:

- Mission towards members: to build strong commitment and cooperation, adequate capacity and broader network in every effort to combating CSEC<sup>8</sup>.
- Mission towards society: to build and raise awareness cares critical value and participation of society at large, children, and young people to work together in combating CSEC<sup>9</sup>.
- Mission towards government: to encourage the government to commit and make tangible efforts<sup>10</sup>.

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<sup>1</sup> Mensen met een Missie (2012) Beroordelingsmemo incl. kenschets ECPAT Indonesia 2012 – 2013 - Onderzoek, monitoren en rapporteren cases m.b.t. seksuele uitbuiting van kinderen

<sup>2</sup> National Coalition for the Elimination of CSEC (2011) Organization Profile

<sup>3</sup> ECPAT International (2012) Website: [http://www.ecpat.net/ei/Ecpat\\_vision.asp](http://www.ecpat.net/ei/Ecpat_vision.asp)

<sup>4</sup> ECPAT Indonesia (2011) Antwoorden op goedkeuringsbrief

<sup>5</sup> Historical Timeline developed by Evaluation Team (2012)

<sup>6</sup> Historical Timeline developed by Evaluation Team (2012)

<sup>7</sup> Historical Timeline developed by Evaluation Team (2012)

<sup>8</sup> Historical Timeline developed by Evaluation Team (2012)

<sup>9</sup> Historical Timeline developed by Evaluation Team (2012)

<sup>10</sup> Historical Timeline developed by Evaluation Team (2012)

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## Strategies

Strategic program of ECPAT Indonesia<sup>11</sup> are through advocacy, prevention, protection, strengthening the capacity of staff and strengthening Networking and Communications.

### Strategic Direction of 2014-2016<sup>12</sup> :

#### 1. To strengthen the provision of legal aid, rehabilitation and psychosocial services for sexually exploited children.

##### *Strategy:*

- Cooperating with various law enforcement institutions at national level in Indonesia
- Building the capacity of civil society organizations to enable them to directly provide legal aid for sexually exploited children
- Developing a model for working with sexually exploited children comprehensively
- Building the capacity of local partners to enable them to provide rehabilitation and psychosocial services

##### *Main Activities:*

- Cooperating with the Supreme Court, Attorney General's Office, the Indonesian Police Headquarters and Indonesian Advocates Association
- Providing direct legal aid or referral services
- Holding various trainings, education and information sharing with partner organizations
- Providing psychosocial and rehabilitation training for sexually exploited children to strengthen them internally and externally

#### 2. To advocate for policy making and harmonize national laws related to sexual exploitation of children with the Convention on the Rights of the Child

##### *Strategy:*

- Raising the status of the Convention on the Rights of the Child from presidential decree to law
- Encouraging the revision of Law on Child Protection and
- other laws, including local regulations, related to sexual exploitation of children
- Ensuring budget allocation for sexually exploited children in the national and local budgets
- Developing a model for a sustainable advocacy work at provincial and national levels

##### *Main Activity:*

- Actively participating in efforts to raise the ratification status of the
- CRC from presidential decree to law through public studies and reviews
- Proactively and constructively participating in the formulation of the National Plan of Action for the Elimination of CSEC and in monitoring its implementation

#### 3. To raise public awareness of the elimination of demands for sexual exploitation of children

##### *Strategy:*

- Developing a guide and instrument for the prevention of sexual exploitation of children at sex buyer level
- Building a strategic partnership with a number of tourism and recreation industries to promote the prevention of sexual exploitation of children
- Developing IT-based and conventional strategies to raise public awareness of the issue
- Building IT-based and conventional capacity for child protection
- Improving young people participation in CSEC elimination

##### *Main activity:*

- Developing a guide and instrument for the prevention of sexual exploitation of children at sex buyer level
- Establishing cooperation with a number of tourism and recreation industries in promoting the prevention of sexual exploitation of children at sex buyer level
- Developing IT-based and conventional strategies to raise public awareness of the issue

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<sup>11</sup><http://ecpatindonesia.org/tentang-kami>, accessed 18/12/2014

<sup>12</sup> Strategic Directions Ecpat Indonesia 2014-2016

- 
- Building IT-based and conventional capacity for child protection

**4. To encourage the development of a mechanism that is integrated with human rights to improve the implementation of the Optional Protocol to the CRC on the sale of children, child prostitution and child pornography**

*Strategy:*

- Advocating government to immediately implement the Optional Protocol to the CRC on the sale of children, child prostitution and child pornography
- Advocating for policy changes through the writing of an alternative
- report to the UN Committee on the Rights of the Child, especially for cluster 8, by civil society organizations

*Main Activity:*

- Encouraging government to immediately implement the Optional Protocol to the CRC on the sale of children, child prostitution and child pornography
- Writing an alternative report to the UN Committee on the Rights of the Child, especially for cluster 8, by civil society organizations

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## 3 Methodological approach and reflection

### 3.1 Overall methodological approach and reflection

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

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

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

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

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

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

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



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

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

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

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

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

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

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

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

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

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

The description of indicators for the baseline in 2012 served as the basis for comparison during the endline in 2014. In practice this meant that largely the same categories of respondents (preferably the same respondents as during the baseline) were requested to review the descriptions per indicator and indicate whether and how the endline situation (2014) is different from the described situation in 2012<sup>13</sup>.

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<sup>13</sup> The same categories were used as during the baseline (except beneficiaries, other funders): staff categories including management, programme staff, project staff, monitoring and evaluation staff, field staff, administration staff; stakeholder categories including co-financing agency (CFA), consultants, partners.

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

The information on the indicators was collected in different ways:

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

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

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

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

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

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

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

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

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

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

#### 3.3.1 Selection of SPOs for 5C process tracing

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

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

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

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

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

#### 3.3.2 Key steps in process tracing for the 5C study

In the box below you will find the key steps developed for the 5C process tracing methodology. These steps will be further explained here. Only key staff of the SPO is involved in this process: management; programme/ project staff; and monitoring and evaluation staff, and other staff that could provide information relevant to the identified outcome area/key organisational capacity change. Those SPOs selected for process tracing had a separate endline workshop, in addition to the ' general endline workshop. This workshop was carried out after the initial endline workshop and the interviews during the field visit to the SPO. Where possible, the general and process tracing endline workshop

have been held consecutively, but where possible these workshops were held at different points in time, due to the complex design of the process. Below the detailed steps for the purpose of process tracing are further explained. More information can be found in Appendix 1.

#### Key steps in process tracing for the 5C study

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

### 3.3.3 Methodological reflection

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

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

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

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

**Using process tracing for dealing with the attribution question:** this theory-based and mainly qualitative approach has been chosen to deal with the attribution question, on how the organisational capacity changes in the organisations have come about and what the relationship is with MFS II supported capacity development interventions and other factors. This has proven to be a very useful process, that provided a lot of very rich information. Many SPOs and CFAs have already indicated that they appreciated the richness of information which provided a story about how identified

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

A few remarks need to be made:

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

### **Utilisation of the evaluation**

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

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

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

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

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

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

## 4 Results

### 4.1 MFS II supported capacity development interventions

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

Table 1

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

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

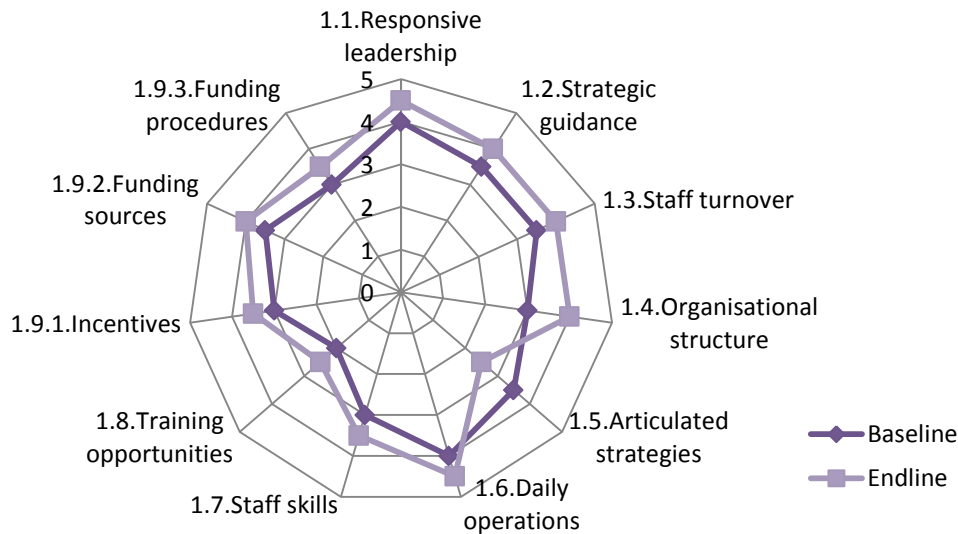
Source: 5C endline\_support to capacity development sheet\_CFA perspective\_Indonesia\_ECPAT

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

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

#### 4.2.1 Changes in the five core capabilities

##### Capability to act and commit



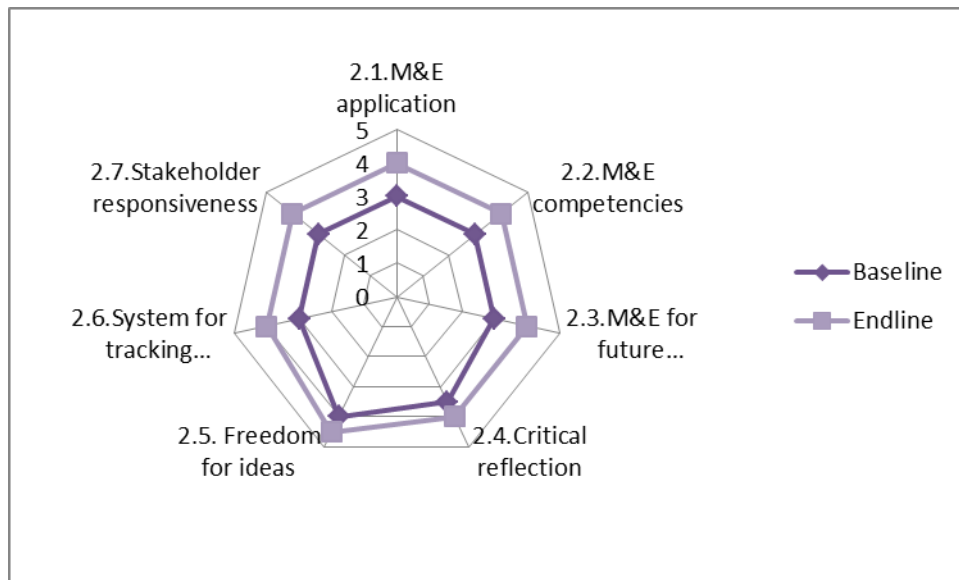
After the program manager resigned, the responsibility was taken over by the director who then fulfilled a dual role as both director and program manager, and leadership has been more active, hands-on, inspiring, and engaging since then. This has helped to bridge the large capacity gap between the director and staff, although a gap still remains. Staff has been involved in developing plans and strategic guidance by the director has improved which led to the board to reduce their strategic input. The strategic plan has been developed for the period of 2013-2016, and together with having standard operating procedures in place; this guided the day-to-day implementation of activities. Staff are motivated to work for ECPAT in relation to its work and is due to increased funding staff remuneration has improved which has also contributed to improved staff incentives. This improved funding situation is due to having a strategic plan which attracted more funders.

In terms of staff knowledge and skills, there have been some slight improvements in terms of capacity to implement the program due to the staff's professional skill on legal service, but much of the learning relates to internal sharing and learning on-the-job. In terms of the organizational structure, ECPAT has broadened the organization structure due to new program which obviously needs extra staff. ECPAT recruited some new staff to fill in the position to implement program, but overall there has been a high staff turnover with two people leaving the organisation since 2012 and 8 people joining the organisation and having an increase in staff members from 4 in 2012 to 10 in 2014.

Score: from 3.3 to 3.7 (slightly improved)



## Capability to adapt and self-renew



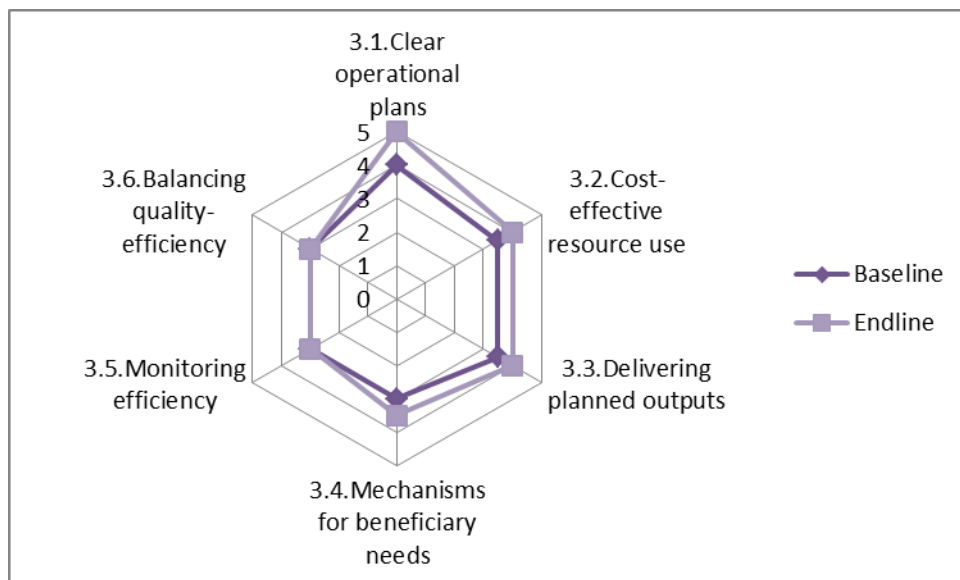
M&E in ECPAT has improved mainly in relation to donor requirements and donor support for strengthening M&E capacity. An overall monitoring and evaluation system is lacking in the organisation, although on the whole, monitoring and evaluation has become more systematic. The monitoring and evaluation refers to ME in Pelhuk implementation; the monitoring, investigating, and reporting of CSEC Cases. However, the director also applied day to day web based monitoring. He would provide feedback on the reports written by staff. Monitoring and evaluation is mainly focus on activities and outputs, but not outcomes and impact. Overall ECPAT currently has strong capacity in M&E in 'the form of its leader, but less so in it's' staff members. The skill gap is bridged through close assistance of the leader in day to day activities and hands-on training.

The staff has practiced monitoring in their regular visits or activities and the results are discussed at monthly meeting. They also have simple monitoring tools in place such as child protection cases handling monitoring. The director implemented web based monitoring to ensure the day to day operations and provided feedback on the assignment or work that has been in progress or completed. One of the staff members has good research skills and this assists in scanning the environment for relevant issues.

The organization's internal culture has been described as open and positive, allowing for feedback and input from all levels of staff. Although the role of ECPAT as coalition network manager has diminished, the external connections to stakeholders and beneficiaries has increased over the last two years in the form of the establishment of a new service division on the one hand, and stronger cooperation with government and public agencies as a result of their newly acquired status to function as the official ECPAT Indonesia organization.

Score: from 3.2 to 4.1 (improvement)

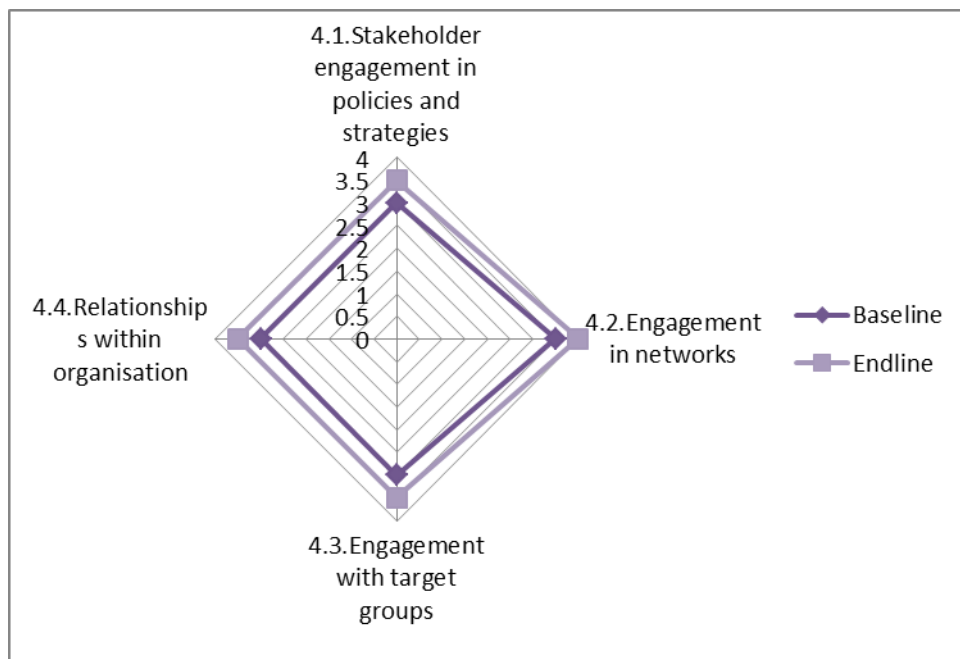
## Capability to deliver on development objectives



Based on the strategic plan and the new standard operating procedures, there are clear work plans and budgets in place. The organization aims to work as cost effectively as possible and efficiency is being measured by having an external finance expert help in the organization and by reviewing progress with plans and budgets regularly. However, there is no clear mechanism in place to balance efficiency with quality of the work. ECPAT verifies whether the organization meets the needs of the beneficiary by direct observation, as well as close collaboration with other organizations. From the coalition manager's point of view, ECPAT Indonesia failed to deliver the expected results, but this did not affect the program and development objectives of ECPAT themselves.

Score: From 3.3 to 3.7 (slight improvement)

## Capability to relate

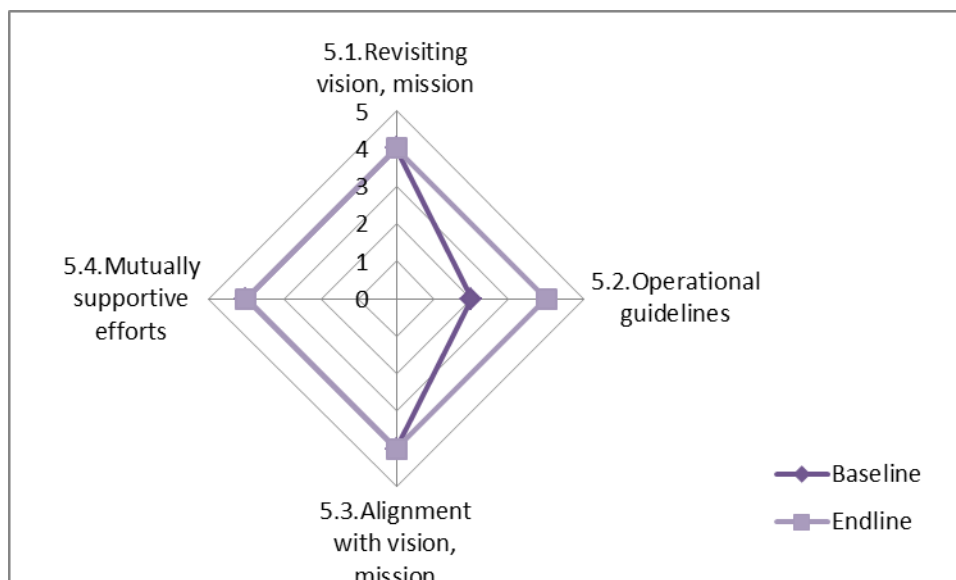


ECPAT is very strong in lobbying and has an extensive network with the government and other key players in ECPAT's policy making, planning and implementation. Overall, ECPAT is a reliable, strong partner in the field of combating CSEC, especially through advocacy, lobby and publishing, and remains widely considered as the expert institute on CSEC issues. On the other hand the function of

ECPAT Indonesia as CSEC coalition manager has deteriorated after the leadership change due to a shift in organizational priorities. Coalition members now publicly voice their concern and wonder what added value ECPAT still provides to the coalition as a whole. There was a change in terms of relating to the beneficiaries of ECPAT due to the implementation of *Pelhuk* program. The nature of direct service has made ECPAT possible to engage closely with the dynamic of the beneficiaries. Internally, relationships have improved due to improved leadership and more regular meetings.

Score: from 3.1 to 3.6 (slight improvement)

### Capability to achieve coherence



ECPAT has consistently adjusted strategic plan and program area with its vision and mission. It was stated clearly in the new strategic program 2014-12016. The new strategic program area has been discussed with the boards member and reflected ECPAT International strategic directions.

The vision, mission and strategies are still yearly review with the support from other stakeholders, especially coalition members. And they program activities are line with the vision and mission of ECPAT, and also mutually supportive. Since the baseline in 2012, several new standard operating procedures have been put in place with the help of an external consultant. This has supported programme implementation.

Score: from 3.5 to 4 (slightly improvement)

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

The evaluation team carried out an end line assessment at ECPAT from 23th to 25th June 2014. During the end line 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.

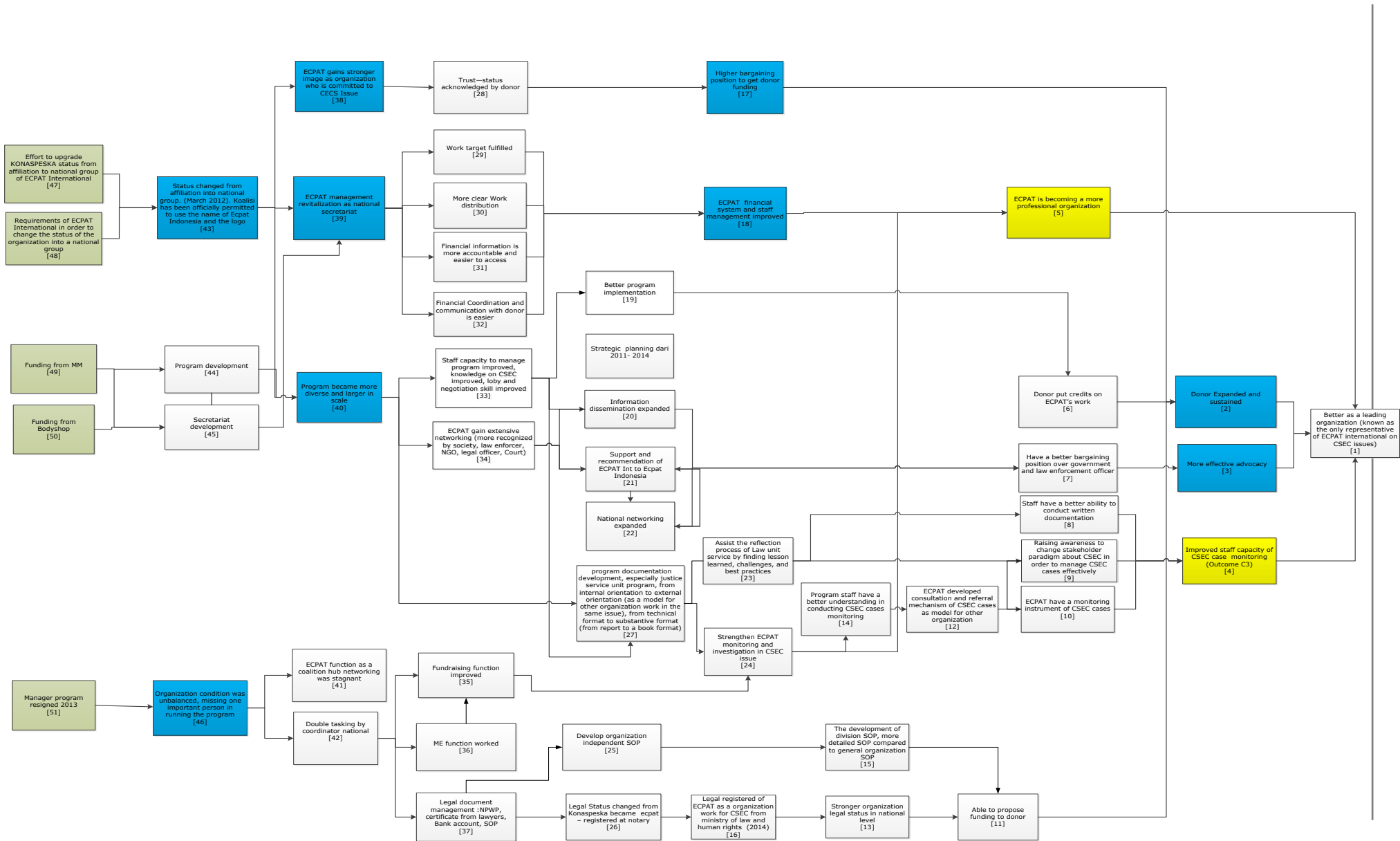
According to ECPAT staff present at the end line workshop, the key change in ECPAT since the baseline in 2012 was the development of ECPAT into a leading organization on CSEC issues with good management, independent, transparent, accountable, and supportive to its member.

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There are four developments that have led to this change:

1. Professionalization of the organization [5]
2. Expansion and sustaining of donors [2]
3. More effective advocacy [3]
4. Improved staff capacity for CSEC case monitoring [4]

Each of these factors will be explained below. The numbers in the narrative correspond to the numbers in the visual.



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### **Professionalization of the organization [5]**

According to ECPAT staff present at the end line workshop, the organization of ECPAT professionalized over the last two years. Two factors contributed to this.

First, ECPAT's financial system and staff management improved [18]. This occurred due to the successful accomplishing of work targets [29], a better distribution of work activities [30], financial information being more accountable and easier to access [31] and financial coordination and communication with the donor being easier [32]. Each of these developments resulted from the overall revitalization of the ECPAT as the national secretariat [39], through the addition of new personnel, an independent financial mechanism (without ties to the previous PKPA arrangement), and moving in to a new office space. This spurt in development was enabled on the one hand by now being able to handle the name and logo of ECPAT Indonesia [43] by adhering to the strict requirements of ECPAT International and efforts to upgrade the status of *Konaspeska-Koalisi Nasional Penghapusan Eksploitasi Seksual Komersial Anak*/National Coalition on the Elimination of Child Sexual Commercial Exploitation-embryo of ECPAT from affiliate to National group of ECPAT International [48]. On the other hand through the development of the secretariat [45] through funding from two separate sources (The Body Shop [49] and Mensen met een Missie [50]).

Secondly, fundraising efforts finally got rewarded as the system in place started to perform [35] after significant efforts by the national coordinator in a double role, as a director of ECPAT and took over the role of the resigned project manager [42]. The drive for the national coordinator to take on the double role came about from the organization's need for additional key personnel [46] as the program manager resigned in 2013 [51].

### **Expansion and sustaining of donors [2]**

The acquisition of new donors and sustaining current donors was greatly supported by the fact that donors started affiliating themselves more with ECPAT's work [6]. They explicitly gave their credits on activities carried out by ECPAT Indonesia, which significantly raised their profile amongst other potential donors in the network. The willingness of donors to do so resulted from the overall higher quality of program implementation [19] that has occurred over the last two years as set out in the strategic planning 2011-2014 [52]. Overall, this quality improvement can be attributed to the improved staff's capacity to manage their programs and their increased CSEC related knowledge as well as lobbying and negotiation skills [33]. The latter was largely a learning effect resulting from a more diverse and larger program and related work activities [40]. Examples of the diversification and expansion of activities include the Justice support service, direct CSEC services in terms of rehabilitation, reintegration and consultation, monitoring and investigating of CSEC cases and the engagement in international activities for instance through the youth partnership project. The expansion in terms of all these program activities was driven by systematic program development [44] enabled by funds from Mensen met een Missie (MM) [49] and The Body Shop [50].

The second factor which has led to expansion and sustaining of donors was the ability to (successfully) propose for funding [11]. In doing so, ECPAT expanded its funding sources to for example Child fund in 2013. This ability came about from two factors. First, the development of clear standard operating procedures (SOPs) for each division [15], based on SPO for the organization as a whole and independent from other organizations [25], allowed for clear guidelines on how to formulate proposals. Secondly, the organizations legal status at the national level became much stronger [13] which made ECPAT Indonesia a more attractive partner for funding. The improvement of legal status was initiated through registering ECPAT with the ministry of law and human rights in 2014 [16]. This was made possible after the official affiliation with ECPAT international was made official in Indonesian law through registration at a notary [26]. Both the development of ECPATs own SOP and the registration as a formal and legally accepted institution were made possible by the creation and management of the right set of official documentation [37]. This included the organizations *NPWP* (tax registration number), a certificate from lawyers and a bank account. The preparation of all this legal work was done by the national coordinator in his double role [42], who next to this important role in fundraising [35], also oversaw the function of monitoring and evaluation [36].

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### **More effective advocacy [3]**

Advocacy efforts by ECPAT increased greatly over the last two years largely due to an improvement in the bargaining position of ECPAT over government and law enforcement authorities [7]. This bargaining position got strengthened for three particular reasons: (a) greater access and dissemination of information [20]; (b) The close involvement of ECPAT International with direct support and advice of ECPAT International [21] and; (c) the expansion of the national network [22]. Each of these factors in turn was developed through the higher quality of connections to key stakeholders in society, NGOs legal and law enforcement authorities as well as the local courts [34]. Access and contacts to these key stakeholders was once again possible through the larger and more diverse program activities that were now carried out [40].

### **Improved staff capacity to of CSEC case monitoring [4]**

ECPAT's staff was able to increase its capacity regarding CSEC case monitoring through three specific factors: (a) an increased ability to write documentation on case work [8]; (b) ability to engage stakeholder in the reflection process in order to change stakeholders' paradigm about CSEC [9] and; (c) staff now being able to utilize the ECPAT monitoring instrument for CSEC cases [10]. The first two of these three factors were enabled by increased reflection on working processes within the law service unit by looking at lessons learned, challenges and best practices [23]. The last of the three factors, the utilization of the monitoring instrument, was enabled by the formulation of a clear referral mechanism for CSEC cases as a model for other organizations [12]. This model was developed as a result of the increased understanding of program staff on how to conduct CSEC case monitoring [14] which was enabled by strengthened ECPAT's monitoring and investigation in CSEC issues gained through the implementation of the program [24]. All these previous factors were enabled by a greater effort in program documentation and reporting [27]. ECPAT expanded its reporting from mere technical formats to more substantive forms such as reports or even books for publication. The greater effort required to write these documents formed a clear learning process for all staff involved. This effort once again sprung from the diversification and overall increase of program activities [40].

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

Note: for each country about 50% of the SPOs has been chosen to be involved in process tracing, which is the main approach chosen to address evaluation question 2. For more information please also see chapter 3 on methodological approach. For each of these SPOs the focus has been on the capability to act and commit and the capability to adapt and self-renew, since these were the most commonly addressed capabilities when planning MFS II supported capacity development interventions for the SPO.

For each of the MFS II supported capacity development interventions -under these two capabilities- an outcome area has been identified, describing a particular change in terms of organisational capacity of the SPO. Process tracing has been carried out for each outcome area. In the capability to act and commit the following outcome area has been identified, based on document review and discussions with SPO and CFA: 'improved program management and implementation capacity'. However, this organisational change area was not limited to this capability but also covered other capabilities. This indicates the importance of the interconnectedness of the 5 core capabilities.

In the capability to adapt and self-renew the following outcome area has been identified, based on document review and discussions with SPO and CFA: 'improved skill of ECPAT in the investigation, monitoring and reporting of CSEC'

Table 2

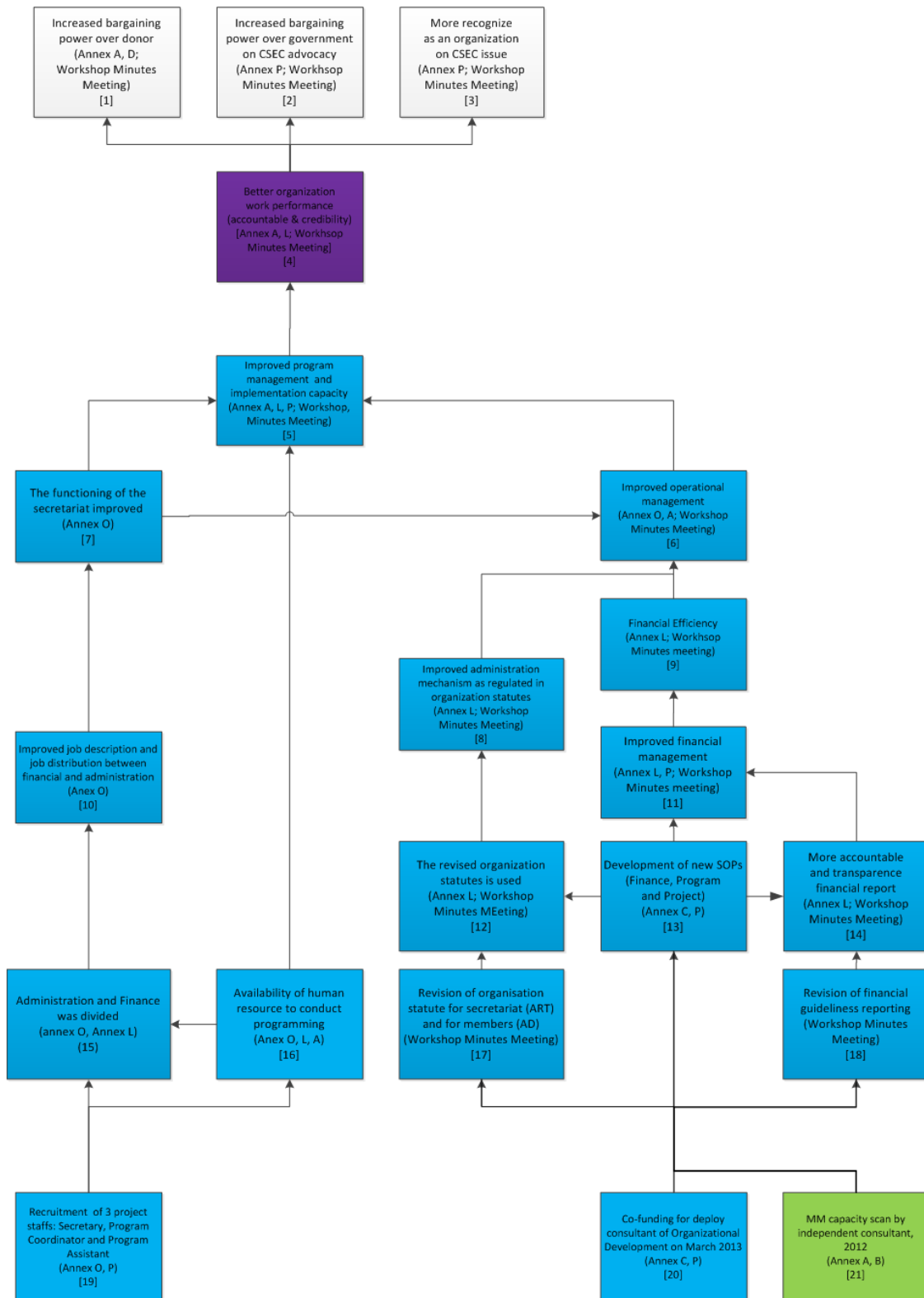
*Information on selected capabilities, outcome areas and MFS II supported capacity development interventions since the baseline*

Capability	Outcome area	MFS II supported capacity development intervention(2)
Capability to act and commit	Improved program management and implementation capacity	MM Capacity Scan by Independent consultant in 2012
Capability to adapt and self-renew	Improved skill of ECPAT in the investigation, monitoring and reporting of CSEC cases	n/a

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



#### 4.3.1 Improved program management and implementation capacity



ECPAT International has officially recognized ECPAT Indonesia as part of its organization and network. One of the requirements from ECPAT International was that ECPAT Indonesia carries out programs and activities independently. The organization was forced to take on more responsibilities and to formulate and carry out their own programs to maintain the new status and secure funding. For this purpose, there was a need to strengthen the program management of ECPAT. This is expected to improve program management and implementation capacity [5] (source: *(annex L, annex A, Process*

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*tracing minutes meeting*) and herewith overall work performance. This is expected to lead to increased bargaining power with donors [1] (*annex, A, annex D, process tracing minutes meeting*); increased bargaining power with over government on CSEC advocacy [2] (*annex P, process tracing minutes meeting*); and being more recognized as an organization on CSEC issues [3] (*annex P, process tracing minutes meeting*).

ECPAT achievement to be an organization with improved program management & implementation capacity was the result of [6] (*source: annex O, annex A, and process tracing minutes meeting*) Improved functioning of the secretariat [7]; more human resources for implementation [16]; and improved operational management [6]. Each of these areas is further discussed below.

**The functioning of the secretariat improved** due to having an improved job description and job distribution between administration and finance [10] (*source: annex o and process tracing minutes meeting*). This was the result of ECPAT starting to separate the financial function and administration function [15] (*source: annex O, annex L*). There was a clear job distribution and description between finance and administration which has contributed to strengthen administration and made administration function well[15] (*annex O and annex L*) . The other reason for improved functioning of the secretariat is having more human resources available to conduct programming: a secretary, a programme coordinator and a programme assistant [19] (*source: annex O, annex P*).

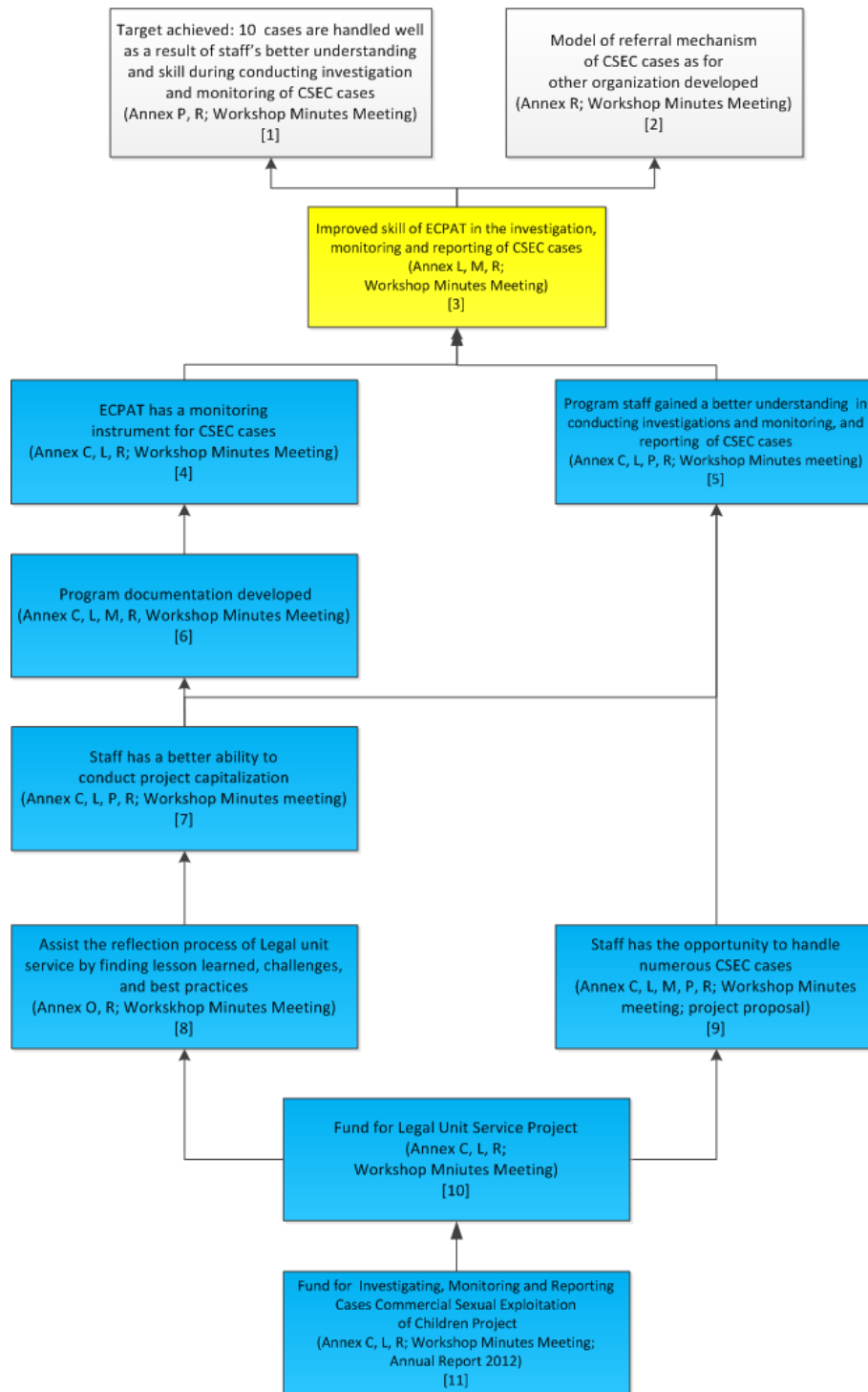
The second reason for improved program management and implementation capacity was **the improved Operational management of the organization** [6] (*source: annex O, A; workshop minutes meeting*) which was the result of improved administration mechanisms [8] (*source: annex L; process tracing meeting minutes*) and improved financial efficiency [9] (*source: annex L; process tracing meeting minutes*). In relation to administrative mechanisms [8], all the organizational documents and organization used to follow PKPA mechanisms and management. But as a new organization, ECPAT needed to have their own organizational management mechanism [8]. According to some staff, the organizational development was not funded by MM, however. ECPAT also put some of the budget from MM on the process of organizational development.

The administrative mechanisms have improved due to using the revised organisation statues [12] (*source: annex L; process tracing meeting minutes*). This was the result of having a revised organization statute document (ART) for the secretariat and Anggaran Dasar (basic regulations of an organization) for ECPAT members [17] (*source: process tracing minutes meeting*) . The Indonesian organisational development consultant [20] (*source: annex C&P*) assisted in this revision in March 2013. It is unclear who funded this consultant: MM or the Body Shop Indonesia. On the other hand, MM funded their own capacity scan in 2012 performed by another external consultant [21].

The other reason for improved operational management [6] (*source: annex O&A; process tracing meeting minutes*) was the improved financial efficiency [9] (*source: annex L; process tracing meeting minutes*) The Financial matters were efficiently applied because there was an improvement on the financial management (11) (*source: annex L&P, process tracing meeting minutes*). The improved Financial management existed as a result of the development of new SOPs for divisions, such as finance SOP, program SOP, and project SOP) [13] (*source: annex C, annex P*), and the assistance of the organisational development consultant [20], as well as recommendations made by the MM funded external consultant who did the capacity scan in 2012 [21]. One of the staff said that finance SOP has made them easier to conduct procurement.

Furthermore, financial management improved due to having more accountable and transparent financial reports [14] (*source: annex L; process tracing meeting minutes*). These financial reports have improved due to the newly developed SOPs [13] (*source: annex C&P*) and through revised financial guidelines on reporting [18] (*source: process tracing minutes meeting*). Again here the support of the Indonesian organisational development consultant has helped [20], as well as the MM capacity scan performed in 2012 [21].

#### 4.3.2 Improved skill of ECPAT in the investigation, monitoring and reporting of CSEC cases



During 2012-2014, there was an improvement on the ECPAT staff's skill in the investigation, monitoring, and reporting of CSEC cases [3] (Annex L, M, R; Workshop Minutes Meeting). This improvement has helped ECPAT in achieving their target. They succeeded to handle 10 cases as a result of staffs' better understanding and skills during conducting investigation and monitoring of CSEC cases [1] (Annex P, R; Workshop Minutes Meeting). Besides that, it also encouraged ECPAT to generate a model of referral mechanism for CSEC cases for other organization [2] (Annex R; Workshop Minutes Meeting). The referral mechanism for CSEC cases model provided steps, guidance, also strategy to manage CSEC cases. It was expected that other organization can learn, adopt, and adjust the model of CSEC cases handling.

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The improved skill of ECPAT staff in investigating, monitoring and reporting of CSEC cases [3], can be attributed on the one hand to the fact that ECPAT now has a monitoring instrument in place for CSEC cases [4] (Annex C, L, R; Workshop Minutes Meeting). The other reason is that program staff gained better understanding in how to, investigate, monitor, and report on CSEC cases [5] (Annex C, L, P, R; Workshop Minutes Meeting). Each of these two reasons is explained in more detail below.

#### **ECPAT as a monitoring system for CSEC cases [4]**

ECPAT now has a monitoring instrument for CSEC cases [4] (Annex C, L, R; Workshop Minutes Meeting). This is the result of the development of program documentation for the justice unit service [6] (Annex C, L, M, R; Workshop Minutes Meeting). This program was intended to build a model for other organizations to work on the same issues. The form of that documentation is a book containing the details of how ECPAT handled 10 CSEC cases. The book also became a reporting mechanism for cases of CSEC and is available nationally through a database system. This reporting mechanism has changed in terms of being more externally oriented than only internally oriented. This means that ECPAT shared the lesson learned of the CSEC cases handling and provided models for other organization working in CSEC issues. Furthermore, the format has changed from being more administrative reporting to being described in the form of a book.

The development of the program documentation was enabled by the fact that ECPAT staff now has a better ability to develop program documentation as the staff were now better able to capitalise on their learning during the justice service project implementation [7] (Annex C, L, P, R; Workshop Minutes Meeting). This learning process occurred amongst staff following an increased focus on the process of reflection on work and challenges, developing lessons learned and best practices. [8] (Annex O, R; Workshop Minutes Meetings). This shift in critical reflection can be attributed to requirements established in the fund received for the development of the legal unit service project [10] (Annex C, L, R, Workshop Minutes).

#### **Increased staff skill in investigating, monitoring and reporting on CSEC cases [5]**

Program staff now has a better understanding of how to investigate, monitor and report on CSEC cases [5] (Annex C, L, P, R; Workshop Minutes Meeting). This was due to two reasons. Firstly, there was an increased ability of staff to capitalize on project learning [7] [6] (Annex C, L, P, R; Workshop Minutes Meeting), as already disclosed above. Secondly, staff have had the opportunity to handle a greater number of CSEC cases [9] (Annex C, L, M, P, R; Workshop Minutes Meeting; Project Proposal). This is demonstrated by the fact that the staff succeed to reach the target to handle at least 10 cases during the implementation of the project.

The foundation of the positive organizational developments with respect to this key outcome is a series of activities and processes of two projects. First, the fund for the Legal Service Unit Project – commenced in November 2012 [10] (Annex C, L, R; Workshop Minutes Meeting). The Legal Unit Service Project implementation was a new direct service for CSEC cases handling, and this is funded by MM. This project is actually a continuation of the Investigating, Monitoring, and Reporting CSEC Project [11] (Annex C, L, R; Workshop Minutes Meeting, Annual Report 2012), - which was concluded in September 2012. The initiative to develop a model of handling CSEC cases has started during the implementation of that project. So that it has resulted in the development of guideline of CSEC handling cases for the member of ECPAT [2].

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## 5 Discussion and conclusion

### 5.1 Methodological issues

#### **General: Applied to all or most SPOs**

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

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

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

#### **ECPAT**

Prior to the endline workshop, the interview sheets were sent to the SPO. Although it was instructed to be filled in within group, the SPO worked on the interview sheet individually. However, the SPO was able to send back the filled interview sheets prior to the endline workshop. All staff, mostly newly recruited and a representation from management, admin/HR, program, and field staff attended the endline workshop. However, the key persons, - the finance manager and the program manager of Legal service Division- were not available during the process tracing workshop. Therefore, the team conducted phone interviews and email communication with these key persons after the workshop to gain more information and to confirm information from the endline workshop. There was no person with specific M&E role, but this function was attached to the coordinators and director's role. The evaluation team was able to interview 1 partner and 1 consultant of organization capacity development.

The general causal map was developed, which included key organizational capacity changes as from the perspective of the SPO. As ECPAT was one of the selected SPOs for process tracing, a pre workshop activity was conducted to analyze the secondary data and draw initial causal maps for the selected capabilities, and this was used during the endline workshop. The initial process tracing causal map that has been developed prior to the endline workshop, needed to be adjusted based on the new information from the staff involved in the endline workshop. In relation to this process tracing, only 1 staff who attended MFS II funded training is still in the organisation, the others have left. This is a program manager from the legal service division and this person filled the training questionnaire on the Proposal Development, Monitoring and Evaluation training that was held in 2014 and MFS II funded.

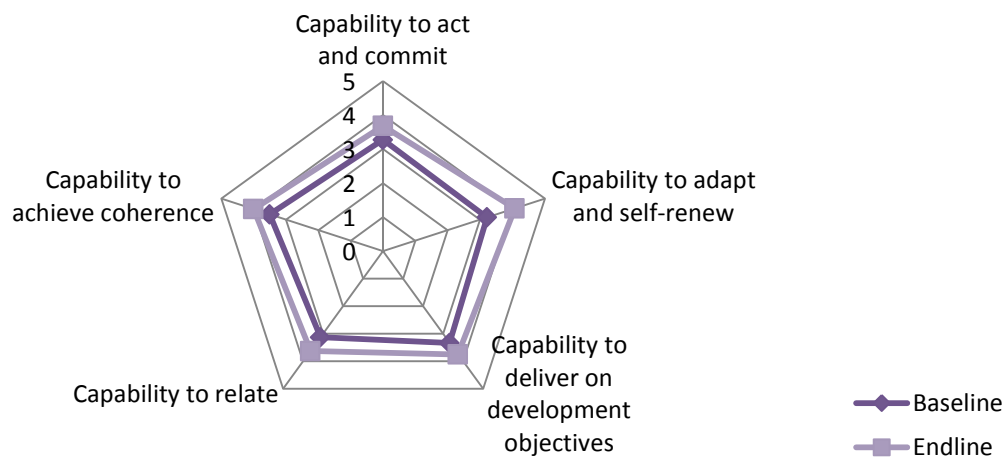
Although the endline workshop had been planned carefully, some key persons were absent during the endline process due to personal reasons. Most staff that attended the workshop were new to the organisation and they did not have a complete picture of the initial condition of the organization. In the process tracing workshop, only the director attended as senior staff, and provided most of the information. As a result of the process, the evaluation team needed to verify all the information with key staff of ECPAT such as, the admin staff/secretary, finance manager, and program manager so as to develop the final causal map of ECPAT after the workshop. Another concern about ECPAT was in the analysis process; ECPAT has two different functions as a secretary of the consortium and as organization. As the focus was not clear in the beginning, the workshop and process tracing did not differentiate ECPAT's two functions. As a result, the causal map development put the two functions as

outcome of the organizational capacity changes. However, after reviewing this, it was decided that the analysis should focus on the role of ECPAT as organization not as a consortium. The causal map was adapted accordingly.

## 5.2 Changes in organisational capacity development

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

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



Whilst changes took place in all of the five core capabilities, over the last two years most improvements for ECPAT took place in the indicators under the capability to adapt and self-renew. Below the changes in each of the capabilities are further explained, by referring to the specific indicators that changed.

The capability to act and commit improved slightly for ECPAT in the last two years. Responsive leadership improved slightly as the overall leadership style within ECPAT has changed from a 'one man show' to a more accommodating and inspiring style. Particularly the supportive style, open communication, as well as the increased clarity in the descriptions of roles and responsibilities was much appreciated. Strategic guidance also improved slightly: a monthly meeting is now organized as to regularly meet staff, discuss issues and evaluate performance which involves all staff members. Staff turnover deteriorated, and overall turnover has remained high, with experienced staff members resigning to seek out better job offers, whilst new inexperienced staff take over and must be hired with the addition of new program activities. Organisational structure improved as with the new direct service program of Pelhuk (Pelayanan Hukum\_Legal Service Unit), the organogram has reflected strongly the objectives of the organization to commit more in addressing the CSEC issues. In terms of daily operations, a slight improvement has occurred: ECPAT has implemented its operations in accordance to the strategic plan, which has attracted additional funding for research projects, internships and direct legal services. Strategies have been more articulated due to this strategic plan for 2014-2016 as well, as current strategic planning was formulized based on the consultation with ECPAT's board members and aligned with ECPAT International's strategic directions for the East Asia Region. Daily operations have improved slightly with the introduction of several new standard operating procedures SOPs related to this strategic plan. Overall staff skills improved slightly too, this occurred mainly due to the increase of ECPAT's internal spending on training and development. Incentives for staff members have improved slightly due to a raise in staff benefits and remuneration. New funding sources were found in forms of DH and Child Fund as well as local campaign funds from the Ministry of Education and Culture. Funding procedures have improved as the involvement of staff members has increased in proposal development.

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In the capability to adapt and self-renew ECPAT also improved slightly in various indicators. In the application of M&E, ECPAT now has a clear M&E protocol in place for 2014 and onwards as a result of stricter donor requirements on the generation of monitoring and evaluation data. M&E competences increased as well due to the active involvement of the Director to teach and assist his staff members in conducting M&E. The application of these results for future strategies has resulted in an improvement of this indicator. ECPAT also actively gathered data on CSEC cases which were bundled and teaching materials have been developed for new employees, partners and other interest groups. Overall critical reflection improved slightly with as more meetings were created for staff to express themselves. For the same reason, the freedom for staff to express their ideas slightly improved. ECPAT's system to track their environment has improved too. The director actively performs situational analysis and collects details on issues related to the organization and its' activities. He also seeks information through coalition members and from the media. The responsiveness of stakeholders has improved after ECPAT adopted the name ECPAT Indonesia. This change in status associated to the name ("brand") have allowed networking activities to expand.

In terms of the capability to deliver on development objectives, there has been a slight improvement overall. Clear operational plans have been developed in the form of an implementation work plan and budget plan to control the execution of activities. Furthermore clear standard operating procedures have been developed to guide operational work. Delivering planned outputs has improved as virtually all objectives have been met, particularly in the CSEC case program. Beneficiaries have enjoyed ECPAT's improved mechanism to ensure their needs are being met. Close cooperation with beneficiaries at all stages of project execution ensures their continuous involvement, albeit an intensive effort to maintain.

In the capability to relate ECPAT slightly improved its stakeholder engagement by coordinating their work more with government parties, for instance the Pelhuk Program. Similarly other stakeholders such as local enforcement authorities are closely integrated in the handling of case work. ECPAT's engagement in its network is strong through lobbying activities amongst key government and policy making figures. Despite this overall improvement, some coalition members have voiced their concern whether ECPAT can still maintain its role as leader of the coalition given its current priorities. Target groups continue to be engaged through direct services to beneficiaries, and ECPAT expanded these groups to youth clubs and schools to raise awareness to prevent CSEC. Overall relationships within the organisation have improved slightly. Informal communication amongst the staff is now stronger and helps them connect and discuss programmatic issues.

Finally, ECPAT has realised a slight improvement in the capability to achieve coherence through its operational guidelines. In 2013 ECPAT hired a consultant to support them to improve the management system and develop several new sets of standard operating procedures in terms of finance, HR and program procedures.

### **General organisational capacity changes related to MFS II Interventions**

The evaluators considered it important to also note down the SPO's story in terms of changes in the organisation since the baseline, and this would also provide more information about reasons for change, which were difficult to get for the individual indicators. Also for some issues there may not have been relevant indicators available in the list of core indicators provide by the evaluation team. Please note that this information is based only on the information provided by ECPAT staff during the endline workshop, but no validation of this information has been done like with the process tracing causal maps. For details in relation to attribution, we refer to the next section (5.3).

During the endline workshop some key organisational capacity changes were brought up by ECPAT staff, these have been captured in the general causal map in 4.2.2: professionalization of the organization; expansion and sustaining of donors; more effective advocacy; improved staff capacity for CSEC case monitoring. All of these changes are expected to contribute to ECPAT being better as a leading organization (known as the only representative of ECPAT international on CSEC issues). ECPAT staff experienced these as the most important capacity changes in the organisation since the baseline.

According to SPO staff present at the endline workshop, professionalization of the organization can be attributed to the improvement of ECPAT's financial system and staff management, this occurred through the achieving of work targets, clearer work distribution, more accountable and accessible

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financial information and financial coordination and communication with the donor having become easier. Each of these factors in turn were enabled by ECPAT's management revitalization as a national secretariat. This can be attributed to the status change into ECPAT Indonesia on the one hand, and a more diverse and larger scale program on the other. The status change occurred after serious effort was undertaken on ECPAT Indonesia's behalf, and by meeting the requirements of ECPAT International. On the other hand the more diverse programs resulted from the expansion and development of the programs as well as the secretariat. Both of these changes occurred with help of capacity development interventions funded by MFS II by Mensen met een Missie, but were also enabled by some additional funding from the Bodyshop Indonesia.

The expansion and sustaining of donors can be attributed to the fact that donors credited ECPAT's work more frequently, which significantly raised their profile amongst other potential partners and donors. This was enabled by better program implementation, made possible through the strategic planning 2011-2014 as well as the staff's capacity improvements to manage programs, their knowledge on CSEC as well as the lobby and negotiation skills. This was in turn enabled by the program becoming more diverse and larger in scale, which was enabled by Mensen met een Missie's support in developing ECPAT's. On the other hand, a better bargaining position of ECPAT due to a better trust status by the donor allowed it to make it easier to expand and sustain donor support. This trust increase can be attributed to ECPAT's stronger image as an organization who is committed to the CSEC issues, which was enabled by the name and status change of the organization. The last capacity change that can be attributed to the sustaining and expansion of ECPAT's donors is the ability to develop proposals for funding. This was enabled by the development of standard operating procedures on the one hand, and a stronger legal status at the national level on the other hand. Both can be attributed to the management of legal documents to formalize the organization as a legitimate entity under Indonesian law.

More effective advocacy can be attributed to ECPAT having a better bargaining position in their negotiations with authorities. This came about from the support and recommendations from ECPAT International, the expansion of the national network, as well as more information about the organization and their activities being distributed. This can be attributed to becoming more recognized by various stakeholders in Indonesia after the program has expanded and became more diverse, largely funded with MFS II funds.

Lastly the improved staff capacity for CSEC monitoring was enabled by an increased ability to conduct written documentation, raising the awareness about CSEC issues, and having a monitoring instrument in place. The former two changes were the result of assisting the reflection process of the law unit service, the latter through a better understanding about monitoring CSEC issues of the program staff. Strengthening the ECPAT monitoring and investigation efforts contributed significantly to this. Both these changes can be attributed to the development of program documentation, as part of the program diversification and expansion funded by MFS II. The strengthening of ECPAT's monitoring and investigation was enabled by the improvement of the fundraising function, which can be attributed to the double tasking set for the national coordinator who filled in on one of the missing organizational roles after the manager resigned in 2013.

In conclusion, the general organizational capacity changes that were identified as importance by SPO staff during the endline workshop can be partly related to MFS II funded capacity development interventions, particularly in terms of staff capacity for CSEC case monitoring, effective advocacy and professionalization of the organization in terms of better work distribution, more accountable financial information, better program implementation, more detailed SOPs and a better legal foundation of the organization according to the Indonesian law. Funding from other sources (e.g. the Bodyshop) have also enabled some of these changes. Fundraising capacities on the other hand were more the result of internal developments, namely the resignation of the program manager, and the effect of the name change and status associated with the adoption of the ECPAT name. This was not the purpose of this particular exercise. It must be noted that the information provided has not been validated through other sources of information, and therefore the conclusions must be understood in that respect. More detailed information can be found in the next section where selected organisational capacity changes have been thoroughly investigated through process tracing.



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## 5.3 Attributing changes in organisational capacity development to MFS II

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

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

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

- Improved program management and implementation capacity
- Improved skill of ECPAT in the investigation, monitoring and reporting of CSEC cases

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

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

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

Please note that whilst (d) addresses the evaluation question related to attribution (evaluation question 2), the other three issues (a, b and c) have been added by the synthesis team as additional reporting requirements. This was done when fieldwork for the endline process had already started.

### **Improved program management and implementation capacity**

The following MFS II capacity development interventions supported by Mensen met een Missie (MM) were linked to the key organisational capacity change "Improved program management and implementation capacity":

1. MM Capacity Scan by Independent consultant in 2012

In addition to this capacity intervention, human resources were hired through the Mensen met een Missie sponsored projects. The hiring of these people can not be seen as a capacity development intervention, but did contribute to capacity changes in the organization. More on this will be elaborated whilst answering the attribution question.

## **Design**

This intervention was planned for all partner organizations of Mensen met een Missie during the baseline in 2012, although the details still had to be specified.

The short term objective of this intervention was that the document would serve as input for all SPO's for reflection. The long term expectation was that based on this document and this self-reflection, decisions would be made in terms of capacity strengthening.

The relevancy for both Mensen met een Missie and ECPAT are clear; as the capacity scan was to act as an evaluation moment for the organization and highlight opportunities for growth. The objectives were not formulated in a SMART way.

## **Implementation**

This intervention was planned for during the baseline in 2012, and took place later that year in July-August 2012. As far as the evaluation team knows, it was implemented as designed, however, details about the specific design cannot be provided, since this wasn't the focus of the evaluation.

## **Reaching objectives**

Not having objectives formulated makes it difficult to assess this issue. Despite that, the MM funded capacity scan was communicated to the SPO and served as a basis for new capacity development interventions. Amongst others, an additional initiative to hire an Indonesian consultant for an organizational management scan was taken, which resulted in a series of organizational changes related to organizational development.

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

According to ECPAT, the improved program management and implementation capacity of ECPAT has resulted in better organizational work performance, increased bargaining power over donors and government and greater recognition of ECPAT as an organization dealing with CSEC issues. The improved program management and implementation capacity can be attributed to the improved functioning (operating) of the secretariat, the availability of human resources to conduct programming, and improved operational management. Whilst none of these capacity changes can be directly attributed to MFS II interventions, the hiring of staff that has occurred, as well as the consultant assessments are results of the funding from programs sponsored by Mensen met een Missie. How these have contributed to organizational capacity change will be explained in detail below.

The improved functioning and operating of the secretariat was due to improved job descriptions and job distributions between financial and administrative tasks. This in turn could be attributed to the new recruitment of three project staff members; a secretary, program coordinator and program assistant. These new functions were possible due to the recruitment of staff to implement the legal unit service, a program funded by Mensen met een Missie in November 2012. Similarly, the availability of human resources to conduct programming of staff was enabled by the hiring of new staff in light of the MM funded legal unit service project. Although these are not interventions specifically, the hiring of human resources and manpower to work on the MFS II sponsored program for a Legal Unit Service, has contributed a lot to the organizational changes described above.

On the other hand operational management improved due to an improved administration mechanism as regulated in the organization's statutes, as well as due greater financial efficiency. This administrative mechanism was altered due to a revision in the organization's statutes and SOP's, as recommended by the consultant in the March 2013 assessment, as well as the 2012 capacity scan performed by an external consultant hired by MM. Greater financial efficiency could also be attributed to the development of these new SOPs, which regulated stricter financial procedures as well as program and project procedures. More accountable and transparent financial reports allowed for improved financial management as well, which was enabled by the revision of the financial guidelines as recommended by the Indonesian consultant in her assessment. The MFS II funded intervention of hiring another independent consultant to perform a capacity scan in 2012 was part of a greater

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Mensen met een Missie initiative to scan all their partner organizations in Indonesia. This resulted in a report which laid the foundation for self-inspection of ECPAT, and the series of organizational capacity changes, initiatives and developments that took place.

In conclusion, the improved program management and implementation capacity observed in ECPAT since the baseline can be attributed to the MFS II funded intervention supported by Mensen met een Missie, in particular the capacity scan performed in July-August 2012. In addition the hiring of new manpower of the organization as part of the MFS II funded legal service unit program, has also lead to organizational capacity change in form of improved job descriptions, functioning of the secretariat and ultimately the improved program management and implementation capacity

### **Improved skill of ECPAT in the investigation, monitoring and reporting of CSEC cases**

No specific MFS II capacity development interventions supported by Mensen met een Missie (MM) were implemented since the baseline in relation to "Improved skill of ECPAT in the investigation, monitoring and reporting of CSEC" (please also see section 4.3). Instead, the execution of the MFS II funded programs for a legal unit service as well as its preceding program on Investigating, Monitoring and Reporting of CSEC cases, has led to organizational learning which has brought about organizational capacity changes. This will be explained in more detail below

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

Improved skill of ECPAT in the investigation, monitoring and reporting of CSEC cases resulted in the successful handling of 10 CSEC victim cases as well as the development of a referral mechanism of CSEC cases for other organizations to use. This skill was improved due to a monitoring instrument for CSEC cases being available, and to program staff having gained better understanding in conducting investigations, monitoring and reporting of CSEC cases in practice.

ECPAT's monitoring system can be attributed to the development of program documentation for the justice unit service project. The program was intended to build a model for other organizations to work on similar issues which was done through the publication of a book and a database on the 10 CSEC cases that were followed and supported. This in turn was enabled by the staff's increased ability to capitalize on learning experiences which can be attributed to the staff's work on the reflection process in the case work to find lessons learned, challenges and develop best practices. This resulted directly from the Legal Unit Service Project supported by MFS II, which was a continuation of the CSEC investigating, Monitoring and Reporting project which took place in 2012.

On the other hand, better staff understanding on how to conduct investigations as well as monitor and report on CSEC cases was the direct cause of staff being able to handle several CSEC cases, as well as studying these cases closely. This too was enabled by the Legal Unit Service Project.

In conclusion the key organizational capacity of improved skill of ECPAT on CSEC monitoring, investigation and monitoring of CSEC cases can be fully attributed to both MFS II funded intervention programs. These are not organisational capacity development interventions, but through staff's experience of being involved in these projects their understanding in conducting investigations, monitoring and reporting on CSEC cases has improved and they have been able to develop a monitoring instrument for CSEC cases. Therefore, their capacity has been built not through specific organisational capacity development interventions but rather through the experience in these 2 projects.

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Annex B\_5C endline\_support to capacity development  
sheet\_Indonesia\_ECPAT\_mensenmeteenmissie\_DEF.docx  
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Annex Q\_5c endline observation sheet\_country\_ECPAT.doc  
Annex R\_5c endline\_observable indicators at SPO\_Indonesia\_ECPAT.docx  
BAHASA-Annex Q\_5c endline observation sheet\_Indonesia\_Ecpat.doc  
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indicators\_Indonesia\_ECPAT.doc  
BAHASA-Annex D\_5c endline interview guide\_partners\_selected indicators\_Indonesia\_ECPAT.doc  
Training interview\_sebagai peserta pelatihan\_ECPAT.doc  
BAHASA-Annex P\_5c endline interview guide\_subgroup\_field staff\_selected  
indicators\_Indonesia\_ECPAT.doc  
BAHASA-Annex O\_5c endline interview guide\_subgroup\_admin and HRM staff\_selected  
indicators\_Indonesia\_ECPAT-1.doc  
Annex C\_5CBAHASA- endline\_support to capacity development sheet\_SPO  
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BAHASA-Annex L\_5c endline interview guide\_subgroup\_management\_selected  
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indicators\_Indonesia\_Ecpat-.doc  
General Key Changes\_ECPAT\_22102014.docx  
Map of General Key Changes ECPAT\_22102014.vsd

# List of Respondents

## People Present at the Workshops

<b>Date:</b>	<b>23 Juni 2014</b>	<b>Organisation: ECPAT Indonesia</b>		
NAME	ROLE IN THE ORGANISATION	DURATION OF SERVICE	PHONE	E-MAIL
<i>Management</i>				
Ahmad Sofian	National Coordinator	14 years	0812 6064 126	sofianpkpa@yahoo.com
Desmarinta	Admin/Finance	4 year	0813-1865-2015	desmarinta@yahoo.com
<i>Program/ Project staff</i>				
Erna	Manajer Divisi pelayanan hukum	2 years	0821 1385 0972	ermelinasingereta@yahoo.com
<i>Admin/ HR/Finance staff</i>				
Fitria Noviana	Secretary and HR	2 years	(081213672543)	
Oviani Fathul Jannah	Receptionist	7 Month	(085710004423)	
Yulitasari	Finance assistance			
<i>Field staff staff</i>				
Rio Hendra	Staf Pelhuk	2 years		
Abdurrachman Wisnu Mahardi	Program Officer Children & Youth	1 years		
Rebana Adawiyah	Media Officer & Interpreter	1 years		
<i>Others</i>				

## List of People Interviewed

<b>Date:</b>	<b>24 Juni 2014</b>	<b>Organisation:</b>		
NAME	ROLE IN THE ORGANISATION	DURATION OF SERVICE	PHONE	E-MAIL
<i>Management</i>				
Ahmad Sofian	National Coordinator	14 years	0812 6064 126	sofianpkpa@yahoo.com
Desmarinta	Admin/Finance	4 year	0813-1865-2015	desmarinta@yahoo.com
<i>Program/ Project staff</i>				
Erna	Manajer Divisi pelayanan hukum	2 years		
<i>Admin/ HR/Finance staff</i>				
Fitria Noviana	Secretary and HR	2 years	(081213672543)	
Oviani Fathul Jannah	Receptionist	7 Month	(085710004423)	
Yulitasari	Finance assistance			
<i>Field staff staff</i>				
Rio Hendra	Staf Pelhuk	2 years		
Abdurrachman Wisnu Mahardi	Program Officer Children & Youth	1 years		
Rebana Adawiyah	Media Officer & Interpreter	1 years		
<i>Others</i>				

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# Appendix 1      Methodological approach & reflection

## Introduction

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

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

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

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

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

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

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

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

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.

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

The description of indicators for the baseline in 2012 served as the basis for comparison during the endline in 2014. In practice this meant that largely the same categories of respondents (preferably the same respondents as during the baseline) were requested to review the descriptions per indicator and indicate whether and how the endline situation (2014) is different from the described situation in 2012.<sup>14</sup> Per indicator they could indicate whether there was an improvement or deterioration or no change and also describe these changes. Furthermore, per indicator the interviewee could indicate what interventions, actors and other factors explain this change compared to the baseline situation. See below the specific questions that are asked for each of the indicators. Per category of interviewees there is a different list of indicators to be looked at. For example, staff members were presented with a list of all the indicators, whilst external people, for example partners, are presented with a select number of indicators, relevant to the stakeholder.

The information on the indicators was collected in different ways:

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

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<sup>14</sup> The same categories were used as during the baseline (except beneficiaries, other funders): staff categories including management, programme staff, project staff, monitoring and evaluation staff, field staff, administration staff; stakeholder categories including co-financing agency (CFA), consultants, partners.



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

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

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

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

Below each of these steps is further explained.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

#### General causal map

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

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

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

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

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

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

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

An endline workshop with the SPO was intended to:

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

## Background information on process tracing

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

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

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

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

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

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

### Selection of SPOs for 5C process tracing

Process tracing is a very intensive methodology that is very time and resource consuming (for development and analysis of one final detailed causal map, it takes about 1-2 weeks in total, for different members of the evaluation team). It has been agreed upon during the synthesis workshop on

17-18 June 2013 that only a selected number of SPOs will take part in this process tracing for the purpose of understanding the attribution question. The selection of SPOs is based on the following criteria:

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

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

## ETHIOPIA

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

**Table 1**

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

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

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

Source: country baseline report, Ethiopia.

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

Table 2

*SPOs selected for process tracing – Ethiopia*

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



## INDIA

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

Table 3

*The extent to which the Dutch NGO explicitly targets the following capabilities – India<sup>15</sup>*

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

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

Source: country baseline report, India.

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

Table 4

*SPOs selected for process tracing – India*

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

<sup>15</sup> RGVN, NEDSF and Women's Rights Forum (WRF) could not be reached timely during the baseline due to security reasons. WRF could not be reached at all. Therefore these SPOs are not included in Table 1.

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

## INDONESIA

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

Table 5

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

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

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

Source: country baseline report, Indonesia.

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

**Table 6**  
*SPOs selected for process tracing – Indonesia*

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

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

## LIBERIA

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

Table 7

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

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

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

Source: country baseline report, Liberia.

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

Table 8

*SPOs selected for process tracing – Liberia*

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

### Key steps in process tracing for the 5C study

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

## Key steps in process tracing for the 5C study

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

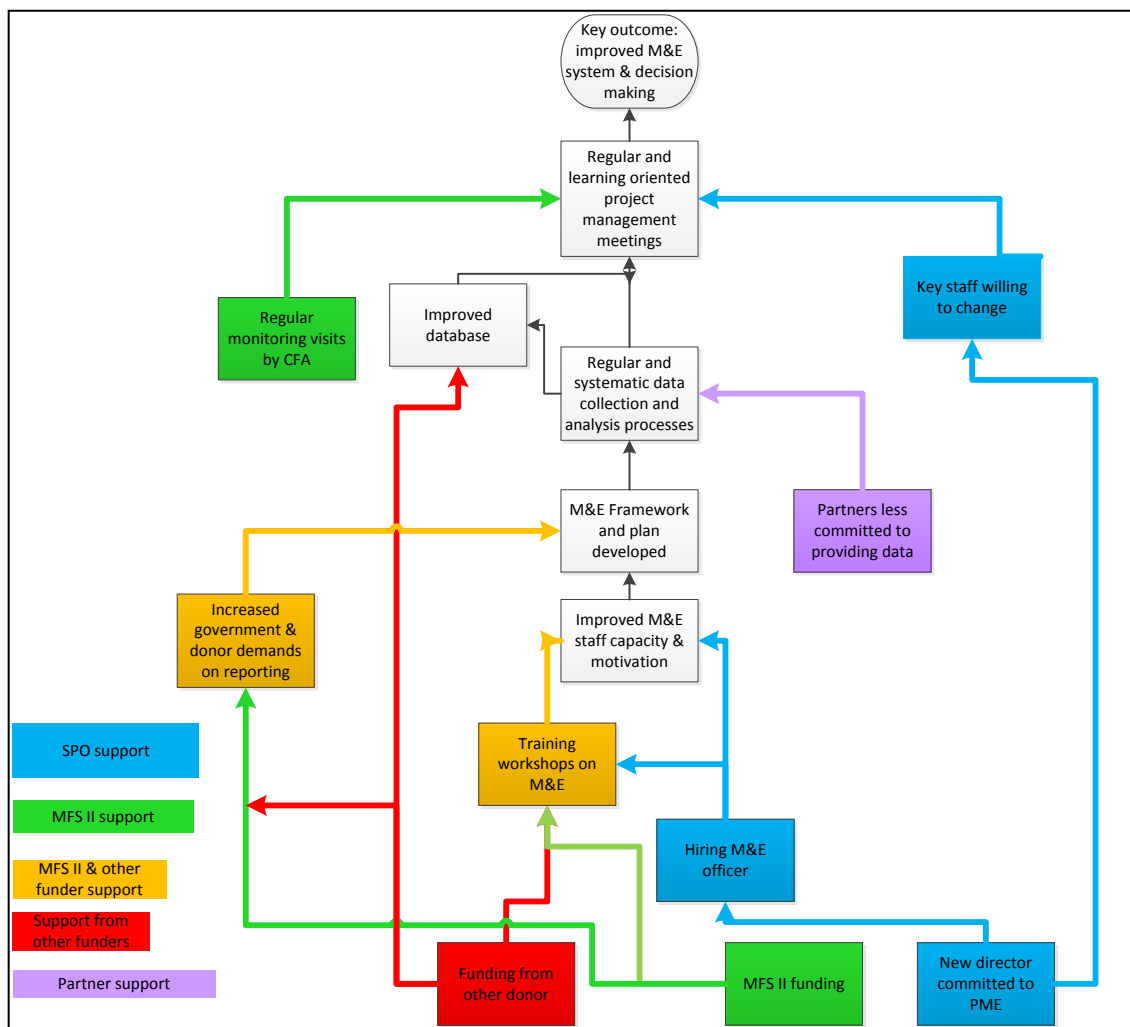
A model of change of good quality includes:

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

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

The construction of the model of change started with the identified key organisational capacity change/ outcome, followed by an inventory of all possible subcomponents that possibly have caused the change/ outcome in the MFS II period (2011-up to now, or since the baseline). The figure below presents an imaginary example of a model of change. The different colours indicate the different types of support to capacity development of the SPO by different actors, thereby indicating different pathways of change, leading to the key changes/ outcomes in terms of capacity development (which in this case indicates the ability to adapt and self-renew).





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

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

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

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

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

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

## Types of evidence to be used in process tracing

- **Pattern evidence** relates to predictions of statistical patterns in the evidence. For example, in testing a mechanism of racial discrimination in a case dealing with employment, statistical patterns of employment would be relevant for testing this part of the mechanism.
- **Sequence evidence** deals with the temporal and spatial chronology of events predicted by a hypothesised causal mechanism. For example, a test of the hypothesis could involve expectations of the timing of events where we might predict that if the hypothesis is valid, we should see that the event B took place after event A took place. However, if we found that event B took place before event A took place, the test would suggest that our confidence in the validity of this part of the mechanism should be reduced (disconfirmation/ falsification).
- **Trace evidence** is evidence whose mere existence provides proof that a part of a hypothesised mechanism exists. For example, the existence of the minutes of a meeting, if authentic ones, provide strong proof that the meeting took place.
- **Account evidence** deals with the content of empirical material, such as meeting minutes that detail what was discussed or an oral account of what took place in the meeting.

Source: Beach and Pedersen, 2013

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

Table 9

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

Part of the model of change	Key questions	Type of evidence needed	Source of information
Describe relationship between the subcomponents of the model of change	Describe questions you would like to answer 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

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discard particular causal mechanisms in the detailed, initial causal map. Different types of evidence was asked for in these questions.

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

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

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

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

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

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

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

<i>Example format for the adapted evidence analysis database (example included)</i>	<b>Confirming/ rejecting a causal relation (yes/no)</b>	<b>Type of information providing the background to the confirmation or rejection of the causal relation</b>	<b>Strength of evidence: strong/ rather strong/ rather weak/ weak</b>	<b>Explanation for why the evidence is (rather) strong or (rather) weak, and therefore the causal relation is confirmed/ rejected</b>
<b>Description of causal relation</b>				
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 be a very useful framework to assess organisational capacity. The five core capabilities provide a comprehensive picture of the capacity of an organisation. The capabilities are interlinked, which was also reflected in the description of standard indicators, that have been developed for the purpose of this 5C evaluation and agreed upon for the eight countries. Using this framework with a mainly qualitative approach has provided rich information for the SPOs and CFAs, and many have indicated this was a useful learning exercise.

**Using standard indicators and scores:** using standard indicators is useful for comparison purposes. However, the information provided per indicator is very specific to the SPO and therefore makes

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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 has 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.

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## 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

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SPOs. Having a process whereby SPO staff were very much engaged in the process of self-assessment and reflection has proven for many to be a learning experience for many, and therefore have enhanced utility of the 5C evaluation.

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## Appendix 2      Background information on the five core capabilities framework

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

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

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

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

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

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

**Competencies** are the energies, skills and abilities of individuals.

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

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

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



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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.

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

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

### **Description of Endline Indicators ECPAT Indonesia**

#### **Capability to Act and to Commit**

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

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

Since the baseline ECPAT went through a series of changes in terms of leadership. After the program manager resigned, the responsibility was taken over by the director who then fulfilled a dual role as both director and program manager. The absence of a dedicated program manager influenced ECPAT's work both as an organization and as a coordinator of the coalition of organizations work on CSEC issues. Upon taking over the dual leadership role, a large gap of capacity existed between leaders and working staff. To address this, the new leader became more involved in day to day administrative and program activities. This hands on approach was paired with close coaching which enabled staff to develop their own responsibilities. Staff acknowledged that the overall leadership style within ECPAT has changed from a 'one man show' to a more accommodating and inspiring style. Particularly the supportive style, open communication, as well as the increased clarity in the descriptions of roles and responsibilities was much appreciated. Even though, some of the staff mentioned that there is a possibility that his leadership style will lead to a 'single fighter image' of the organization, the organization is stronger under his leadership. Staff has stressed that their involvement in decision making and planning has led to better decisions and stated further that they perceive his leadership as effective, inspiring and action-oriented.

The second role that ECPAT fulfills is that as the national secretariat of the coalition. Within this role, ECPAT's leadership was not considered very strong. Board members were unable to meet frequently due to a lack of financial support, which severely undermined the influence of ECPAT as a coalition leader. After the resignation of the former program manager and leadership change, ECPAT focused its' activities inwards in order to develop and strengthen their internal capacity. As the internal organization grew stronger, so did the capabilities of the coalition's secretariat. However, due to the minimal contact and interaction of the coalition, coalition members have grown uneasy and have started to question ECPAT's leadership and role as acting secretariat for the coalition.

Score: From 4 to 4.5 (slightly improvement)

##### 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*

Since 2013, ECPAT leadership has been applying a new approach towards handling relationships to staff members with respect to strategic and operational aspects. A monthly meeting is now organized as to regularly meet staff, discuss issues and evaluate performance. On an annual basis a general meeting is organized in which future programming and general organizational development issues are discussed openly. Staff experienced many benefits in relation to this strategy of constructive guidance. For example, all staff members are involved in the new proposal development process.

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Staff considers this as personal development on how to develop proposals, but also appreciate the opportunity to give input and offer their own ideas. Both program staff and non-program staff are included on these meetings, to also offer those staff members not directly involved in field work the opportunity to develop program related skills. On the other hand, the board members have reduced their involvement in these operational meetings as a result of their increased confidence in the capacity of the organization's leadership and guidance.

Whereas internal strategic guidance improved, the guidance offered to the coalition and to coalition partners decreased in intensity. Members of the coalition indicated that they thought of ECPAT as having their own agenda instead of fulfilling their role and responsibilities as a national secretariat. Coordination between coalition members has proven weak, which is in sharp contrast to the way the coalition was managed under previous leadership. The former program manager actively built communication and coordination amongst other members of the coalition. But as the current leader holds two responsibilities at once (as both a director of national secretariat and coordinator of national network), he prioritizes the development and strengthening of the internal ECPAT organization.

Score: From 3.5 to 4 (slightly improvement)

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

*This is about staff turnover.*

ECPAT has increased the number of staff as a result of additional funding. The new funding sources included MM The Body Shop, which have been supporting the organization for the last two years. ECPAT has 10 (ten) staff members in total, with three of them as non-exempt (permanent) staff and the rest of them as contractual/project based staff. Only two staff members resigned in this period with as reason getting a better offer from another organization. Compared to 2012, ECPAT has increased the number of staff from 4 in 2012 to 10 in 2014. Some staff left in 2012 whilst 8 joined the organization in 2012 and 2013. The organogram in 2012 and in 2014 had showed clearly the different number of the staff due to addition of new programs.

Score: From 3.5 to 2.5 (deterioration)

### 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*

The current organizational structure of ECPAT has accommodated the need of staff to carry out the program implementation. With a total of ten staff, clearly separated function and roles of finance and administration, and the new direct service program of Pelhuk (*Pelayanan Hukum*\_Legal Service Unit), the organogram has reflected strongly the objectives of the organization to commit more in addressing the CSEC issues. In the baseline, ECPAT had 4 staff that focused more to work on advocating the CSEC issues with coalition members, whilst in the end line; ECPAT had opportunity to carry out direct service to CSEC victims

Score: From 3 to 4 : (considerable 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.*

A strategic plan 2014-2016 has been developed which has attracted additional funding for research projects, internships and direct legal services. This success is also contributed by donor intervention to develop ECPAT institutional capacity in strategic planning. The current strategic planning was formulized based on the consultation with ECPAT's board members and aligned with ECPAT international's strategic directions for East Asia Region. The strategic directions were developed based

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on the recommendation from the ECPAT's evaluation, the organization capacity assessment done by consultant, and consultation with ECPAT International.

Score: From 3.5 to 4 (slightly improvement)

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

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

ECPAT has implemented its operations in according to the strategic plan. In addition to that, the strategic plan developed has proven attracted additional funding for research projects, internships and direct legal services. This success is also contributed by donor intervention to develop ECPAT institutional capacity in strategic planning. The development of the several SOPs which were the reflection of the strategic planning has played as important guidelines to ensure the day to day operations are in line with strategic plans. ECPAT's activities in conducting the program have reflected the strategic plans.

Score: From 4 to 4.5 (slightly improvement)

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

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

The budget allocation for personal development has helped to improve the technical capacity of ECPAT staff. Despite these efforts the need for further technical capacity development is apparent in the organization. Staff members are now actively involved in program implementation and generating lessons learned to boost their experience and skills. Management and staff are open to external capacity building opportunities whenever they arise. To implement direct legal service program funded by MM, ECPAT recruited experienced staff to ensure the implementation and reflection process of monitoring, investigation, and reporting CSEC cases. The staff has provided her skill to develop the steps by steps legal process (SOP) in documentation to the organization.

Score: From 3 to 3.5 (slightly improved)

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

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

Various training opportunities are available and encouraged for staff members. Most of them are offered through external channels through ECPAT's network and coalition. Due to limited budget allocation to training, ECPAT actively seeks out alternative training opportunities at lower cost. These include participation in seminars, talkshows, public discussions as well as invitation to act as presenters and moderators in related events. For the last two years ECPAT has internally trained their finance staff in support management. The objective to train all other staff in this field remains, but will not be able to be realized until after this MFS II evaluation has been completed. MM provided training opportunity to develop project proposal in May 2014, one staff joined the training, however, further follow up has not yet taken after the training. Other trainings funded by MM was for staff who have left the organisation in 2012 and 2013.

Score: From 2 to 2.5 (slightly improved)

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.*

With respects to incentives, ECPAT's situation has remained stable since the baseline evaluation. At several times during the interviews, staff members indicated that their primary reasons for working with ECPAT are non-monetary, but instead driven by a passion for the work and beneficiaries. Their

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achievements with the organization lead to respect from colleagues and partners in their network and coalition which in turn resulted in a lot of motivation to keep organizational performance high.

The acquisition of new funding sources allowed for management to raise staff benefits and remuneration.

Score: From 3 to 3.5 (slightly improved)

#### 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.*

Overall ECPAT was able to increase their funding sources since the baseline. Additional funding was secured for research projects from TDH and ChildFund. Direct support service and campaign funds were acquired from the Indonesian Ministry of Education and Culture (KEMENDIKBUD). Program support was received from ECPAT International, ECPAT Netherlands and MM-N.

Despite the acquisition of new sources, staff members indicated that funding competition on the issue of child protection is increasing. In future it may therefore become more difficult to secure steady funding growth.

Score: From 3.5 to 4 (slightly improved)

#### 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 existence of strategic planning for the years 2013 to 2016 has facilitated resource mobilization, particularly to regulate and identify funding opportunities. The involvement of all staff including their leader has strengthened the strategic plan and, as acknowledged by all staff, functions as the guideline to find more funding sources. The role of the board in fundraising has diminished however. The director of ECPAT acted as the only upper management person to deal with fundraising.

Score: From 3 to 3.5 (slightly improved)

### **Summary Capability to Act and to Commit**

After the program manager resigned, the responsibility was taken over by the director who then fulfilled a dual role as both director and program manager, and leadership has been more active, hands-on, inspiring, and engaging since then. This has helped to bridge the large capacity gap between the director and staff, although a gap still remains. Staff has been involved in developing plans and strategic guidance by the director has improved which led to the board to reduce their strategic input. The strategic plan has been developed for the period of 2013-2016, and together with having standard operating procedures in place; this guided the day-to-day implementation of activities. Staff are motivated to work for ECPAT in relation to its work and is due to increased funding staff remuneration has improved which has also contributed to improved staff incentives. This improved funding situation is due to having a strategic plan which attracted more funders.

In terms of staff knowledge and skills, there have been some slight improvements in terms of capacity to implement the program due to the staff's professional skill on legal service, but much of the learning relates to internal sharing and learning on-the-job. In terms of the organizational structure, ECPAT has broadened the organization structure due to new program which obviously needs extra staff. ECPAT recruited some new staff to fill in the position to implement program, but overall there has been a high staff turnover with two people leaving the organisation since 2012 and 8 people joining the organisation and having an increase in staff members from 4 in 2012 to 10 in 2014.

Score: from 3.3 to 3.7 (slightly improved)

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## Capability to Adapt and Self Renew

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

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

At ECPAT M&E is perceived as a donor driven mechanism. Despite adequate M&E mechanisms being in place, and it function quite well at the strategic level. Donor interventions , such as MM through Direct Legal Service Unit funding and the body shop have assisted ECPAT in strengthening overall M&E capacity. For example, strict funding requirements from The Body Shop have imposed the generation of monitoring and evaluation data for every meeting they have together. ECPAT now has a clear M&E protocol in place for 2014 and onward, although there is no dedicated person who handles the portfolio. The director takes up a role in monitoring and evaluation. For example, he has implemented web based monitoring to ensure the day to day operations are being implemented and to provide feedback on the assignment or work that has been in progress or completed.

For their latest direct service project, PELHUK- *Pelayanan Hukum*, direct legal unit service required an intensive case monitoring and documentation system of all the steps taken. The procedures to do so provide a clear guide for stakeholders and coalition members to carry out M&E and program activities on CSEC.

Score: From 3 to 4 (considerable 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.*

The current ECPAT leader has a strong capacity and experience in M&E. In order to assist staff members in developing these skills of their own four major developments took place. First, the director directly assisted staff members in the implementation of their activities and allowed them to practice M&E in the field. Secondly, simple monitoring tools such as child protection cases handling monitoring were put in place and applied. Thirdly, a yearly program review was conducted to evaluate overall program implementation with the whole organization. Finally, staff was trained in project cycle management for 5 days in May 2014 as supported by the MM.

Struggling to document CSEC case monitoring, ECPAT published a book on the compilation of all case management that took place between 2012 and 2014. Documenting over 10 CSES cases in the form of a book has greatly supported staff members in learning to apply M&E.

Score: From 3 to 4 (considerable improvement)

### 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.*

ECPAT did not have specific person in ME; however the latest direct service project, PELHUK required an intensive cases monitoring and documented all the steps and experienced in conducting cases monitoring in a book. The documentation process has provided opportunity for the staff to assess the effect of the program delivery as it captured the details on the planning and outcome even impact of the program. The book provided a resources and a guide for the stakeholders and members of coalition specifically to carry out program on CSEC.

Struggling to document the CSEC cases monitoring; ECPAT developed a book on the compilation of all CSEC cases management within 2012-2014. The experience of documenting 10 CSEC cases monitoring in a book has already supported staff learning process in conducting ME.

Score: From 3 to 4 (considerable improvement)

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

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

The regular monthly meetings conducted for the last two years has facilitated discussion related to the program, achievements and problems amongst the staff. The leader role has stimulated the discussion in the meetings to be more open and comfortable whilst discussing implementation problems. The director implemented web based monitoring to ensure the day to day operations are being implemented and to provide feedback on the assignment or work that has been in progress or completed. Next to being a strong control mechanism of the work of staff members, the daily web based monitoring system encouraged staff members to be more critical about their own work, communication and scheduling.

Score: From 3.5 to 4 (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 indicated that ECPAT offers an open office environment where it is possible to freely discuss ideas and provide input. This is also possible during the internal meetings that occur on a monthly basis, which can be characterized as less formal. The current leader plays an important role in managing the meetings to be a safe environment to share knowledge, discuss ideas and receive constructive feedback.

Score: From 4 to 4.5 (slight improvement)

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.*

ECPAT benefits from the skills of one particular staff member-, the director, who has a strong research background. He performs situational analysis and collects details on issues related to the organization and its' activities. He also seeks information through coalition members and from the media. Apart from this individual's efforts, ECPAT has made it a habit to use their networks to gather information about their surroundings.

Score: From 3 to 4 (improvement)

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

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

The most noticeable response that ECPAT has received from its stakeholders and the general public has come about from its formal acknowledgement as ECPAT Indonesia. The change in status has become an important factor for ECPAT to expand its networking activities. ECPAT is now involved in several projects with government authorities, law enforcers and other organizations. Furthermore a new division was established whose responsibility has become to provide direct service to beneficiaries.

Score: From 3 to 4 (improvement)

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### **Summary Capability to Adapt and to Self Renew**

M&E in ECPAT has improved mainly in relation to donor requirements and donor support for strengthening M&E capacity. An overall monitoring and evaluation system is lacking in the organisation, although on the whole, monitoring and evaluation has become more systematic. The monitoring and evaluation refers to ME in Pelhuk implementation; the monitoring, investigating, and reporting of CSEC Cases. However, the director also applied day to day web based monitoring. He would provide feedback on the reports written by staff. Monitoring and evaluation is mainly focus on activities and outputs, but not outcomes and impact. Overall ECPAT currently has strong capacity in M&E in 'the form of its leader, but less so in it's' staff members. The skill gap is bridged through close assistance of the leader in day to day activities and hands-on training.

The staff has practiced monitoring in their regular visits or activities and the results are discussed at monthly meeting. They also have simple monitoring tools in place such as child protection cases handling monitoring. The director implemented web based monitoring to ensure the day to day operations and provided feedback on the assignment or work that has been in progress or completed. One of the staff members has good research skills and this assists in scanning the environment for relevant issues.

The organization's internal culture has been described as open and positive, allowing for feedback and input from all levels of staff. Although the role of ECPAT as coalition network manager has diminished, the external connections to stakeholders and beneficiaries has increased over the last two years in the form of the establishment of a new service division on the one hand, and stronger cooperation with government and public agencies as a result of their newly acquired status to function as the official ECPAT Indonesia organization.

Score: from 3.2 to 4.1 (improvement)

### **Capability to Deliver Development Objectives**

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 staffs use it in their day-to-day operations.*

Guided by the strategic plan, ECPAT developed an implementation work plan and budget plan to control the execution of activities. In addition to that, ECPAT has hired a consultant to develop standard operating procedures (SOPs) to guide operational work to become better and more transparent. The activities and budget are always reviewed in monthly meetings to ensure their compliance and progress against the plan.

Score: From 4 to 5 (considerable improvement)

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

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

ECPAT has external support in financial expertise to monitor the organization financially. They are continuously working within the network to support their activities and reduce cost. Additionally, more care is taken in who should travel in response to field activities in order to cut down on travelling expenses.

Score: From 3.5 to 4 (slight improvement)



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### 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.*

In the FGD it was mentioned that ECPAT research project was finished as expected. Staff reported that not all output in the *Pelhuk* program was delivered in a timely manner. ECPAT succeeded in handling 10 CSEC cases and sent to court, however, as some cases needed extra time to conclude, ECPAT need more time to finish developing a book about how to monitor, investigate, and report CSEC cases. In sum, the achievements made were (1) capacity and expertise of ECPAT Indonesia increased in investigating, monitoring and reporting of cases of CSEC, (2) ECPAT Indonesia and the Indonesian National Police (POLRI) have agreed to cooperate in the handling of cases of CSEC and (3) reporting mechanism for cases of CSEC is available nationally through database system.

The MOU with the police was still in the process of lobbying due to the rotation within police authorities. Most of the unfinished program was caused by external factors which were very difficult to handle by ECPAT. Some of the unfinished output was carried away to the next phase of funding.

However, staff indicated that ECPAT submitted activity report to ECPAT Netherland on time to fulfill the requirement of being a member of ECPAT International. The punctuality to submit report on time to ECPAT International was a strict requirement as it influenced the ECPAT Indonesia status as a member of ECPAT International. ECPAT Indonesia gained the first rank in the report submission punctuality from ECPAT Netherland.

Compared to the baseline, ECPAT gained slightly improvement on the output delivery due to the finishing some projects in a timely manner.

Score: From 3.5 to 4 (slight improvement)

### 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*

The *Pelhuk* program has implemented direct observation to check whether ECPAT has met beneficiary needs. The regular monitoring, investigating, and reporting mechanism on the cases using monitoring form has enabled ECPAT to ensure that the program has met the needs of the beneficiaries (victim of CSEC). Some of the cases took longer time to conclude to meet the beneficiary's expectation. As the CSEC cases are individual cases, the solution of each cases was very contextual, based on the needs of the beneficiaries. The regular monitoring has assisted ECPAT to ensure the proper intervention needed by beneficiaries. Nonetheless this method proved quite intensive and challenging to apply in practice, leading to mixed results. The Apart from direct contact with beneficiaries, ECPAT worked closely together with other organizations to check on trending issues in the field of CSEC and how the organization could contribute to solving these.

From the perspective of the coalition members however, ECPAT was considered weak in meeting the needs of the coalition. In fact, a specific call for a mechanism to ensure meeting the needs of coalition beneficiaries was mentioned by some partner organizations. The mechanism of close monitoring, investigating, and reporting CSEC cases was not yet applied in the baseline. Regardless the challenge in the implementation, the *Pelhuk* program implementation has made ECPAT possible to verify that service meet beneficiaries need.

Score: From 3 to 3.5 (slight improvement)

### 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.*

The mechanism of monitoring program efficiency in the end-line applied the same mechanism as in the baseline. Both staff accounts and documentation shows that linking outputs to inputs takes place. ECPAT has demonstrated that they efficiently use their budget by considering lower cost alternatives in the implementation of activities. The regular monitoring, investigating, and reporting of CSEC cases

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has encouraged ECPAT to apply efficiency by linking output and input more often and reported in the staff monthly meeting.

Score: From 3 to 3 (no change)

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*

ECPAT still ensures quality of their work by looking at the achievements of the project through monthly, quarterly, and annual meetings. They aim to find out the results of their work and look at the changes that occur in the target group., and the possibility to conduct the program more efficient and keep the quality of its work. Every activity in the program implementation applied budget wise and pursue a quality of the work.

Score: From 3 to 3 (no change)

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

Based on the strategic plan and the new standard operating procedures, there are clear work plans and budgets in place. The organization aims to work as cost effectively as possible and efficiency is being measured by having an external finance expert help in the organization and by reviewing progress with plans and budgets regularly. However, there is no clear mechanism in place to balance efficiency with quality of the work. ECPAT verifies whether the organization meets the needs of the beneficiary by direct observation, as well as close collaboration with other organizations. From the coalition manager's point of view, ECPAT Indonesia failed to deliver the expected results, but this did not affect the program and development objectives of ECPAT themselves.

Score: From 3.3 to 3.7 (slight improvement)

### **Capability to relate**

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.*

ECPAT has actively involved stakeholders, particularly government, in annual evaluation or review. The government parties provide their input to program planning as well as feedback to government for their program improvement. The *Pelhuk* Program implementation has broadened ECPAT's networking, especially in building cooperation with other parties such as legal aid and NGOs in handling the cases of children and cooperation in handling of the special case with law enforcer, Police Headquarter , METRO JAYA Police, South Jakarta Police, East Jakarta Resort Police, Bogor Police, Tangerang Police, Singaraja Denpasar police, south Sumatra Police, Tegal Police, Bogor Attorney, south of Jakarta district Attorney, Attorney State of Singaraja, Palembang District Attorney , South Jakarta District Court , Singaraja District Court, Bogor District Court, and Palembang District Court.

Score: From 3 to 3.5 (slight improvement)

4.2. Engagement in networks: 'Extent to which the organisation 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.*

ECPAT is very strong in lobbying and has an extensive network with the government and other key players in policy making and implementation, especially after it' newly acquired formal recognition by ECPAT International Overall, ECPAT is a reliable, strong partner in the field of combating CSEC,

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especially through advocacy, lobby and publishing. Current networking capability has increased when ECPAT played at international level. On the other hand, there are some concerned voices relating to the role of ECPAT as coalition manager. Some coalition members have indicated that they consider that there is no added value of ECPAT for the coalition.

Score: From 3.5 to 4 (slight improvement)

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.*

ECPAT provides direct service to beneficiaries, such as closely assisting and provide referral consultation service, advocating and lobbying to law enforcers, as well as government. ECPAT also worked directly in youth clubs and schools to raise awareness to prevent CSEC. In the baseline, the work of ECPAT was still limited to connect stakeholders and duty bearer in child protection issue as well as linking referral systems. However, in the last two years, the role as a hub was weaker than previous because no professional individual was available to maintain the networking.

Score: From 3 to 3.5 (slight improvement)

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

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

ECPAT has not established a new internal mechanism since baseline. They intensified the use of current and available means of communication through monthly meetings. The significant change shows in informal relationships amongst the staff when the leadership changed. Informal communication within the staff is now stronger and it helps them to connect and discuss more programmatic issues with their leader and amongst themselves.

Score: From 3 to 3.5 (slight improvement)

### **Summary Capability to relate**

ECPAT is very strong in lobbying and has an extensive network with the government and other key players in ECPAT's policy making, planning and implementation. Overall, ECPAT is a reliable, strong partner in the field of combating CSEC, especially through advocacy, lobby and publishing, and remains widely considered as the expert institute on CSEC issues. On the other hand the function of ECPAT Indonesia as CSEC coalition manager has deteriorated after the leadership change due to a shift in organizational priorities. Coalition members now publicly voice their concern and wonder what added value ECPAT still provides to the coalition as a whole. There was a change in terms of relating to the beneficiaries of ECPAT due to the implementation of *Pelhuk* program. The nature of direct service has made ECPAT possible to engage closely with the dynamic of the beneficiaries. Internally, relationships have improved due to improved leadership and more regular meetings.

Score: from 3.1 to 3.6 (slight improvement)

### **Capability to Achieve 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.*

ECPAT Indonesia has revised its vision and mission in 2012, but no further revisions have taken place since. The revision affected the current policies in ECPAT. The Board members, the National

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Coordinator and the Program Manager were involved in this process. The Board members of ECPAT are mostly the leaders of the coalition members. ECPAT discusses the vision, mission and strategies at least once per year with the coalition members. They consult the coalition members and based on this consultation a program strategy for the next three years is formulated. They subsequently convey the vision, mission and strategy to the staff, so that the staff can understand and implement them in their daily operations. This process has been continued up until now.

Score: From 4 to 4 (no change)

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

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

In 2013, ECPAT hired a consultant to support them to improve the management system. The activity has resulted in the development of several standard operating procedures (SOPs), such as: financial SOP, HR SOP, and Program SOP. All the SOPs have been used as a guideline in conducting day to day operations and program implementation.

Score: From 2 to 4 (significant improvement)

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.*

ECPAT has launched new strategic programs for 2014-2016. The strategic programs were formulized based on consultation with respective members and board and aligned with ECPAT International's strategic directions for East Asia Region. All programs are in line with the vision and mission of ECPAT. They have been working on children's issues consistently. ECPAT is coherent in their vision and mission and their goals and activities. Their work on policy influencing, trainings and protocols is all connected to their primary mission. This alignment is done with relative ease due to their specific focus. Last year a new program paired with a new legal unit service was launched to address youth projects for CSEC, which again aligns clearly with the organizations overall vision and mission.

Score: From 4 to 4 (no change)

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

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

ECPAT's work has supported the youth roles in advocacy and legal aid which provides several opportunities for mutually supportive efforts. Nonetheless the degree to which mutually supportive efforts take place remains the same to those two years ago. The close relations of programs and divisions have made it very easy for staff members from different programs to cooperate and support each other mutually. For instance, the newly establish legal services unit not only supports CSEC case handling of youths, but also provides opportunities for other stakeholders such as law enforcement agencies and government to strengthen, learn and cooperate on case work. A second example is the advocacy program, a citizen advocacy project of a group of young social advocates supported by the European Union to strengthen youth participation in the elimination of trafficking.

Score: From 4 to 4 (no change)

### **Summary Capability to Achieve Coherence**

ECPAT has consistently adjusted strategic plan and program area with its vision and mission. It was stated clearly in the new strategic program 2014-2016. The new strategic program area has been discussed with the boards member and reflected ECPAT International strategic directions.

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The vision, mission and strategies are still yearly review with the support from other stakeholders, especially coalition members. And they program activities are line with the vision and mission of ECPAT, and also mutually supportive. Since the baseline in 2012, several new standard operating procedures have been put in place with the help of an external consultant. This has supported programme implementation.

Score: from 3.5 to 4 (slightly improvement)

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

### **Narrative of ECPAT Indonesia General Causal Map**

The evaluation team carried out an end line assessment at ECPAT from 23th to 25th June 2014. During the end line 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.

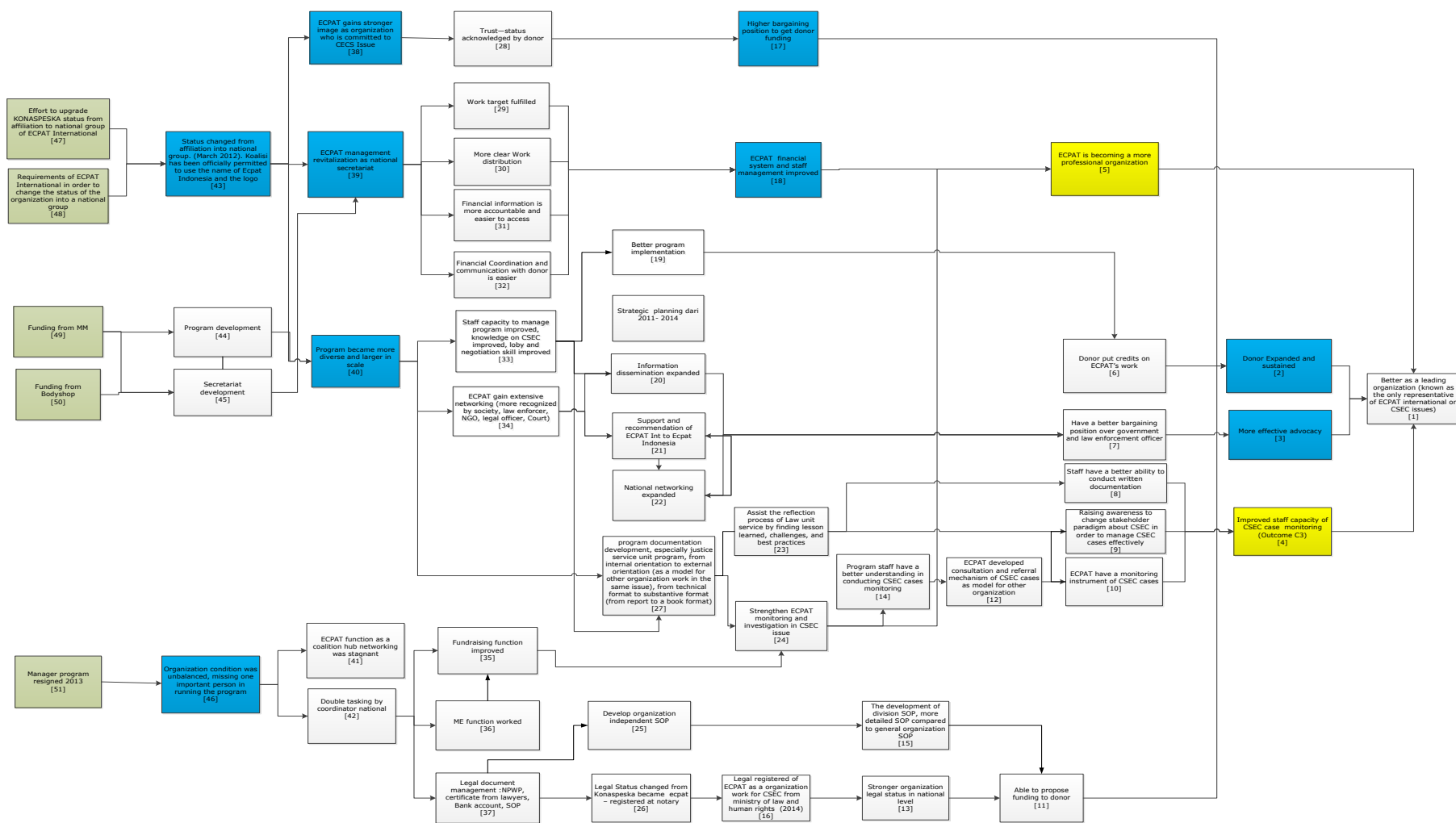
According to ECPAT staff present at the end line workshop, the key change in ECPAT since the baseline in 2012 was the development of ECPAT into a leading organization on CSEC issues with good management, independent, transparent, accountable, and supportive to its member.

There are four developments that have led to this change:

1. Professionalization of the organization [5]
2. Expansion and sustaining of donors [2]
3. More effective advocacy [3]
4. Improved staff capacity for CSEC case monitoring [4]

Each of these factors will be explained below. The numbers in the narrative correspond to the numbers in the visual.

## ECPAT Indonesia General Causal Map



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### **Professionalization of the organization [5]**

According to ECPAT staff present at the end line workshop, the organization of ECPAT professionalized over the last two years. Two factors contributed to this.

First, ECPAT's financial system and staff management improved [18]. This occurred due to the successful accomplishing of work targets [29], a better distribution of work activities [30], financial information being more accountable and easier to access [31] and financial coordination and communication with the donor being easier [32]. Each of these developments resulted from the overall revitalization of the ECPAT as the national secretariat [39], through the addition of new personnel, an independent financial mechanism (without ties to the previous PKPA arrangement), and moving in to a new office space. This spurt in development was enabled on the one hand by now being able to handle the name and logo of ECPAT Indonesia [43] by adhering to the strict requirements of ECPAT International and efforts to upgrade the status of Konaspeska-Koalisi Nasional Penghapusan Eksploitasi Seksual Komersial Anak/National Coalition on the Elimination of Child Sexual Commercial Exploitation-embryo of ECPAT from affiliate to National group of ECPAT International [48]. On the other hand through the development of the secretariat [45] through funding from two separate sources (The Body Shop [49] and Mensen met een Missie [50]).

Secondly, fundraising efforts finally got rewarded as the system in place started to perform [35] after significant efforts by the national coordinator in a double role, as a director of ECPAT and took over the role of the resigned project manager [42]. The drive for the national coordinator to take on the double role came about from the organization's need for additional key personnel [46] as the program manager resigned in 2013 [51].

### **Expansion and sustaining of donors [2]**

The acquisition of new donors and sustaining current donors was greatly supported by the fact that donors started affiliating themselves more with ECPAT's work [6]. They explicitly gave their credits on activities carried out by ECPAT Indonesia, which significantly raised their profile amongst other potential donors in the network. The willingness of donors to do so resulted from the overall higher quality of program implementation [19] that has occurred over the last two years as set out in the strategic planning 2011-2014 [52]. Overall, this quality improvement can be attributed to the improved staff's capacity to manage their programs and their increased CSEC related knowledge as well as lobbying and negotiation skills [33]. The latter was largely a learning effect resulting from a more diverse and larger program and related work activities [40]. Examples of the diversification and expansion of activities include the Justice support service, direct CSEC services in terms of rehabilitation, reintegration and consultation, monitoring and investigating of CSEC cases and the engagement in international activities for instance through the youth partnership project. The expansion in terms of all these program activities was driven by systematic program development [44] enabled by funds from Mensen met een Missie (MM) [49] and The Body Shop [50].

The second factor which has led to expansion and sustaining of donors was the ability to (successfully) propose for funding [11]. In doing so, ECPAT expanded its funding sources to for example Child fund in 2013. This ability came about from two factors. First, the development of clear standard operating procedures (SOPs) for each division [15], based on SPO for the organization as a whole and independent from other organizations [25], allowed for clear guidelines on how to formulate proposals. Secondly, the organizations legal status at the national level became much stronger [13] which made ECPAT Indonesia a more attractive partner for funding. The improvement of legal status was initiated through registering ECPAT with the ministry of law and human rights in 2014 [16]. This was made possible after the official affiliation with ECPAT international was made official in Indonesian law through registration at a notary [26]. Both the development of ECPAT's own SOP and the registration as a formal and legally accepted institution were made possible by the creation and management of the right set of official documentation [37]. This included the organizations NPWP (tax registration number), a certificate from lawyers and a bank account. The preparation of all this legal work was done by the national coordinator in his double role [42], who next to this important role in fundraising [35], also oversaw the function of monitoring and evaluation [36].



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**More effective advocacy [3]**

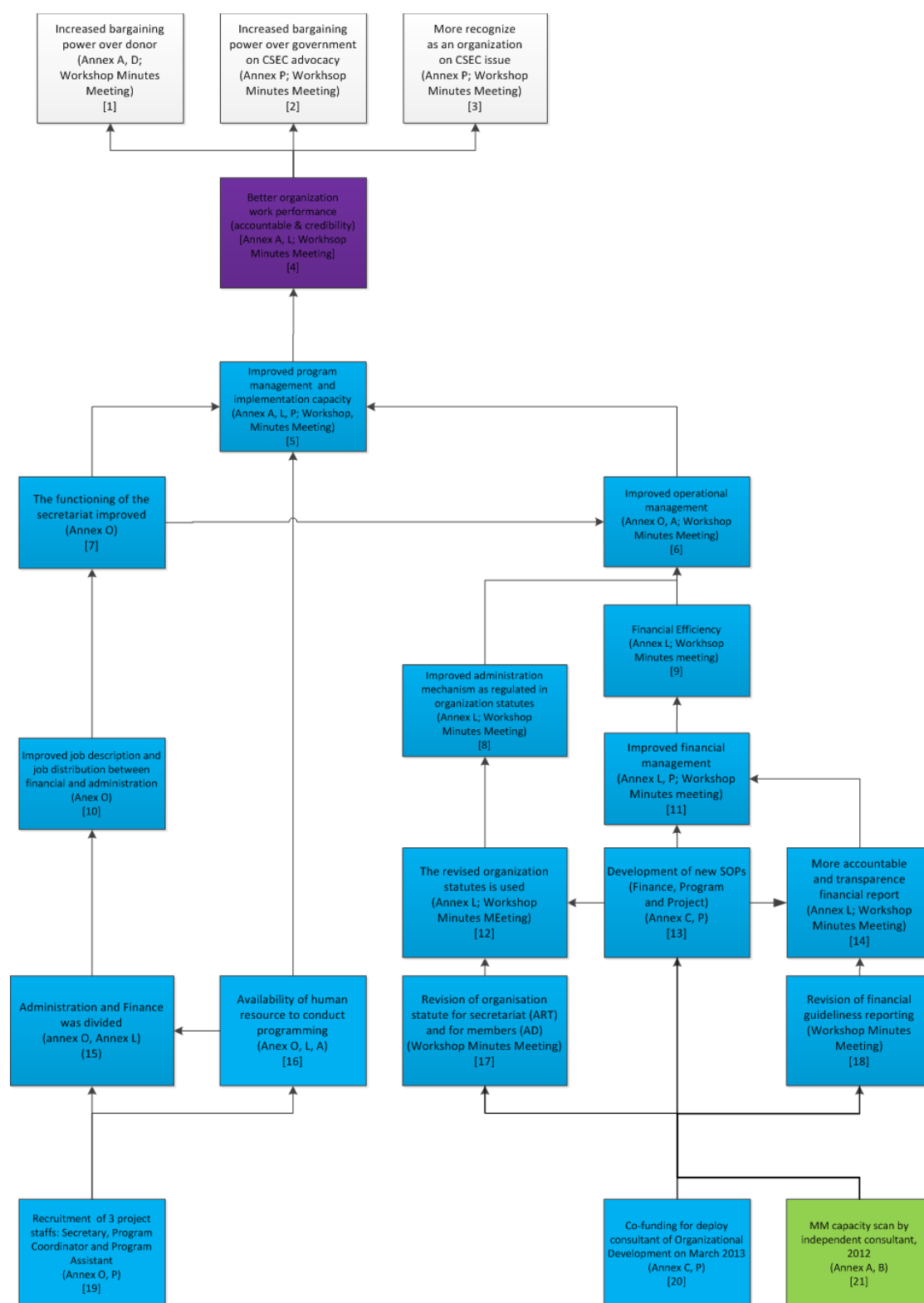
Advocacy efforts by ECPAT increased greatly over the last two years largely due to an improvement in the bargaining position of ECPAT over government and law enforcement authorities [7]. This bargaining position got strengthened for three particular reasons: (a) greater access and dissemination of information [20]; (b) The close involvement of ECPAT International with direct support and advice of ECPAT International [21] and; (c) the expansion of the national network [22]. Each of these factors in turn was developed through the higher quality of connections to key stakeholders in society, NGOs legal and law enforcement authorities as well as the local courts [34]. Access and contacts to these key stakeholders was once again possible through the larger and more diverse program activities that were now carried out [40].

**Improved staff capacity to of CSEC case monitoring [4]**

ECPAT's staff was able to increase its capacity regarding CSEC case monitoring through three specific factors: (a) an increased ability to write documentation on case work [8]; (b) ability to engage stakeholder in the reflection process in order to change stakeholders' paradigm about CSEC [9] and; (c) staff now being able to utilize the ECPAT monitoring instrument for CSEC cases [10]. The first two of these three factors were enabled by increased reflection on working processes within the law service unit by looking at lessons learned, challenges and best practices [23]. The last of the three factors, the utilization of the monitoring instrument, was enabled by the formulation of a clear referral mechanism for CSEC cases as a model for other organizations [12]. This model was developed as a result of the increased understanding of program staff on how to conduct CSEC case monitoring [14] which was enabled by strengthened ECPAT's monitoring and investigation in CSEC issues gained through the implementation of the program [24]. All these previous factors were enabled by a greater effort in program documentation and reporting [27]. ECPAT expanded its reporting from mere technical formats to more substantive forms such as reports or even books for publication. The greater effort required to write these documents formed a clear learning process for all staff involved. This effort once again sprung from the diversification and overall increase of program activities [40].

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

## Narrative Key Outcome C.1.2.: Improved program management and implementation capacity



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Note: for each country about 50% of the SPOs has been chosen to be involved in process tracing, which is the main approach chosen to address evaluation question 2. For more information please also see chapter 3 on methodological approach. For each of these SPOs the focus has been on the capability to act and commit and the capability to adapt and self-renew, since these were the most commonly addressed capabilities when planning MFS II supported capacity development interventions for the SPO.

For each of the MFS II supported capacity development interventions -under these two capabilities- an outcome area has been identified, describing a particular change in terms of organisational capacity of the SPO. Process tracing has been carried out for each outcome area.

In the capability to act and commit the following outcome area has been identified, based on document review and discussions with SPO and CFA: 'improved program and implementation capacity'. However, this organisational change area was not limited to this capability but also covered other capabilities. This indicates the importance of the interconnectedness of the 5 core capabilities.

In the capability to adapt and self-renew the following outcome area has been identified, based on document review and discussions with SPO and CFA: 'improved staff capacity to communicate results on diversity issues'

Below you will find a description of the 'improved program and implementation capacity and how this has come about.

ECPAT International has officially recognized ECPAT Indonesia as part of its organization and network. One of the requirements from ECPAT International was that ECPAT Indonesia carries out programs and activities independently. The organization was forced to take on more responsibilities and to formulate and carry out their own programs to maintain the new status and secure funding. For this purpose, there was a need to strengthen the program management of ECPAT. This is expected to improve program management and implementation capacity [5] (source: *annex L, annex A, Process tracing minutes meeting*) and herewith overall work performance. This is expected to lead to increased bargaining power with donors [1] (*annex, A, annex D, process tracing minutes meeting*); increased bargaining power with over government on CSEC advocacy [2] (*annex P, process tracing minutes meeting*); and being more recognized as an organization on CSEC issues [3] (*annex P, process tracing minutes meeting*).

ECPAT achievement to be an organization with improved program management & implementation capacity was the result of [6] (source: *annex O, annex A, and process tracing minutes meeting*) Improved functioning of the secretariat [7]; more human resources for implementation [16]; and improved operational management [6]. Each of these areas is further discussed below.

**The functioning of the secretariat improved** due to having an improved job description and job distribution between administration and finance [10] (source: *annex o and process tracing minutes meeting*). This was the result of ECPAT starting to separate the financial function and administration function [15] (source: *annex O, annex L*). There was a clear job distribution and description between finance and administration which has contributed to strengthen administration and made administration function well [15] (*annex O and annex L*). The other reason for improved functioning of the secretariat is having more human resources available to conduct programming: a secretary, a programme coordinator and a programme assistant [19] (source: *annex O, annex P*).

The second reason for improved program management and implementation capacity was **the improved Operational management of the organization** [6] (source: *annex O, A; workshop minutes meeting*) which was the result of improved administration mechanisms [8] (source: *annex L; process tracing meeting minutes*) and improved financial efficiency [9] (source: *annex L; process tracing meeting minutes*). In relation to administrative mechanisms [8], all the organizational documents and organization used to follow PKPA mechanisms and management. But as a new organization, ECPAT needed to have their own organizational management mechanism [8]. According to some staff, the organizational development was not funded by MM, however. ECPAT also put some of the budget from MM on the process of organizational development.

The administrative mechanisms have improved due to using the revised organisation statutes [12] (source: *annex L; process tracing meeting minutes*). This was the result of having a revised organization statute document (ART) for the secretariat and Anggaran Dasar (basic regulations of an

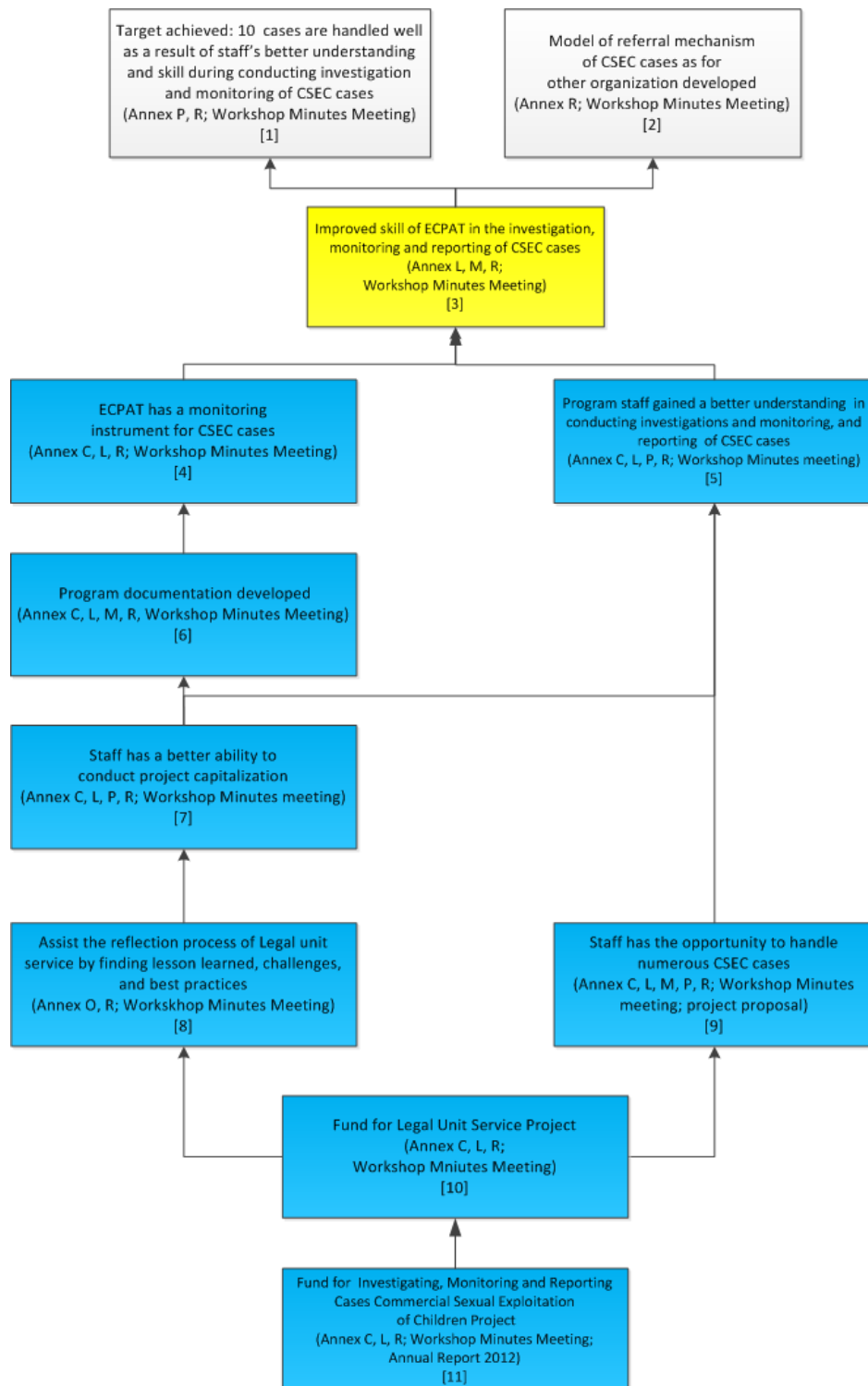
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organization) for ECPAT members [17] (*source: process tracing minutes meeting*) . The Indonesian organisational development consultant [20] (*source: annex C&P*) assisted in this revision in March 2013. It is unclear who funded this consultant: MM or the Body Shop Indonesia. On the other hand, MM funded their own capacity scan in 2012 performed by another external consultant [21].

The other reason for improved operational management [6] (*source: annex O&A; process tracing meeting minutes*) was the improved financial efficiency [9] (*source: annex L; process tracing meeting minutes*) The Financial matters were efficiently applied because there was an improvement on the financial management (11) (*source: annex L&P, process tracing meeting minutes*). The improved Financial management existed as a result of the development of new SOPs for divisions, such as finance SOP, program SOP, and project SOP) [13] (*source: annex C, annex P*), and the assistance of the organisational development consultant [20], as well as recommendations made by the MM funded external consultant who did the capacity scan in 2012 [21]. One of the staff said that finance SOP has made them easier to conduct procurement.

Furthermore, financial management improved due to having more accountable and transparent financial reports [14] (*source: annex L; process tracing meeting minutes*). These financial reports have improved due to the newly developed SOPs [13] (*source: annex C&P*) and through revised financial guidelines on reporting [18] (*source: process tracing minutes meeting*). Again here the support of the Indonesian organisational development consultant has helped [20], as well as the MM capacity scan performed in 2012 [21].

### Narrative of Causal Map C3 : Improved Skill on ECPAT in the investigation, monitoring and reporting of CSEC cases



Note: for each country about 50% of the SPOs has been chosen to be involved in process tracing, which is the main approach chosen to address evaluation question 2. For more information please also see chapter 3 on methodological approach. For each of these SPOs the focus has been on the capability to act and commit and the capability to adapt and self-renew, since these were the most commonly addressed capabilities when planning MFS II supported capacity development interventions for the SPO.

For each of the MFS II supported capacity development interventions -under these two capabilities- an outcome area has been identified, describing a particular change in terms of organisational capacity of

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the SPO. Process tracing has been carried out for each outcome area. In the capability to act and commit the following outcome area has been identified, based on document review and discussions with SPO and CFA: 'recognised as a leading organisation on CSEC issues'.

In the capability to adapt and self-renew the following outcome area has been identified, based on document review and discussions with SPO and CFA: 'improved skill of ECPAT in the investigation, monitoring and reporting on CSEC cases'

Below you will find a description of the 'improved skill of ECPAT in the investigation, monitoring and reporting on CSEC cases' and how this has come about. The numbers in the visual correspond with the numbers in the narrative.

During 2012-2014, there was an improvement on the ECPAT staff's skill in the investigation, monitoring, and reporting of CSEC cases [3] (Annex L, M, R; Workshop Minutes Meeting). This improvement has helped ECPAT in achieving their target. They succeeded to handle 10 cases as a result of staffs' better understanding and skills during conducting investigation and monitoring of CSEC cases [1] (Annex P, R; Workshop Minutes Meeting). Besides that, it also encouraged ECPAT to generate a model of referral mechanism for CSEC cases for other organization [2] (Annex R; Workshop Minutes Meeting). The referral mechanism for CSEC cases model provided steps, guidance, also strategy to manage CSEC cases. It was expected that other organization can learn, adopt, and adjust the model of CSEC cases handling.

The improved skill of ECPAT staff in investigating, monitoring and reporting of CSEC cases [3], can be attributed on the one hand to the fact that ECPAT now has a monitoring instrument in place for CSEC cases [4] (Annex C, L, R; Workshop Minutes Meeting). The other reason is that program staff gained better understanding in how to, investigate, monitor, and report on CSEC cases [5] (Annex C, L, P, R; Workshop Minutes Meeting). Each of these two reasons is explained in more detail below.

#### **ECPAT as a monitoring system for CSEC cases [4]**

ECPAT now has a monitoring instrument for CSEC cases [4] (Annex C, L, R; Workshop Minutes Meeting). This is the result of the development of program documentation for the justice unit service [6] (Annex C, L, M, R; Workshop Minutes Meeting). This program was intended to build a model for other organizations to work on the same issues. The form of that documentation is a book containing the details of how ECPAT handled 10 CSEC cases. The book also became a reporting mechanism for cases of CSEC and is available nationally through a database system. This reporting mechanism has changed in terms of being more externally oriented than only internally oriented. This means that ECPAT shared the lesson learned of the CSEC cases handling and provided models for other organization working in CSEC issues. Furthermore, the format has changed from being more administrative reporting to being described in the form of a book.

The development of the program documentation was enabled by the fact that ECPAT staff now has a better ability to develop program documentation as the staff were now better able to capitalise on their learning during the justice service project implementation [7] (Annex C, L, P, R; Workshop Minutes Meeting). This learning process occurred amongst staff following an increased focus on the process of reflection on work and challenges, developing lessons learned and best practices. [8] (Annex O, R; Workshop Minutes Meetings). This shift in critical reflection can be attributed to requirements established in the fund received for the development of the legal unit service project [10] (Annex C, L, R, Workshop Minutes).

#### **Increased staff skill in investigating, monitoring and reporting on CSEC cases [5]**

Program staff now has a better understanding of how to investigate, monitor and report on CSEC cases [5] (Annex C, L, P, R; Workshop Minutes Meeting). This was due to two reasons. Firstly, there was an increased ability of staff to capitalize on project learning [7] [6] (Annex C, L, P, R; Workshop Minutes Meeting), as already disclosed above. Secondly, staff have had the opportunity to handle a greater number of CSEC cases [9] (Annex C, L, M, P, R; Workshop Minutes Meeting; Project Proposal). This is demonstrated by the fact that the staff succeed to reach the target to handle at least 10 cases during the implementation of the project.

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The foundation of the positive organizational developments with respect to this key outcome is a series of activities and processes of two projects. First, the fund for the Legal Service Unit Project – commenced in November 2012 [10] (Annex C, L, R; Workshop Minutes Meeting). The Legal Unit Service Project implementation was a new direct service for CSEC cases handling, and this is funded by MM. This project is actually a continuation of the Investigating, Monitoring, and Reporting CSEC Project [11] (Annex C, L, R; Workshop Minutes Meeting, Annual Report 2012), - which was concluded in September 2012. The initiative to develop a model of handling CSEC cases has started during the implementation of that project. So that it has resulted in the development of guideline of CSEC handling cases for the member of ECPAT [2].

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