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

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



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The India 5C evaluation team

List of abbreviations and acronyms

5 C	Capacity development model which focuses on 5 core capabilities
AfC	Action for Children
ASSOCHAM	Associated Chambers of Commerce and Industries
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
CBO	Community Based Organisation
CDI	Centre for Development Innovation, Wageningen University and Research centre
CEO	Chief Executive Officer
CFA	Co-Financing Agency
CFC	Child for Child
CESE	Coordenadoria Ecumênica de Serviço (AfC partner in Brazil)
COO	Chief Operational Officer
CSR	Corporate Social Responsibility
Detailed causal map	Also 'model of change'. the representation of all possible explanations – causal pathways for a change/ outcome. These pathways are that of the intervention, rival pathways and pathways that combine parts of the intervention pathway with that of others. This also depicts the reciprocity of various events influencing each other and impacting the overall change. In the 5C evaluation identified key organisational capacity changes and underlying reasons for change (causal mechanisms) are traced through process tracing (for attribution question).
ECOSOC	Economic and Social Council of the UN
GE	General Electric
General causal map	Causal map with key organisational capacity changes and underlying reasons for change (causal mechanisms), based on SPO perception.
GPS	Global Positioning System
HP	Hewlett-Packard Company
HR	Human Resources
IBM	International Business Machines Corporation
IDBI	Industrial Development Bank of India
IDF	India Development Foundation
INGO	International Non-Governmental Organisation
IP	Individual Partnership
IPE	Institute of Public Enterprise
KCDF	Kenya Community Development Foundation
LIC	Life Insurance Corporation of India
M&E	Monitoring and Evaluation
MFS	Dutch co-financing system
MIS	Management Information System
NGO	Non-Government Organisation
PME	Planning, Monitoring and Evaluation
Process tracing	Theory-based approach to trace causal mechanisms
PSU	Public Sector Unit
OCA	Organisational Capacity Assessment
OD	Organisational Development
OSG	Operations Support Group
RECL	Rural Electrification Corporation Limited
SAFRG	South Asian Fundraising Group

SAIL	Steel Authority of India Limited
SPO	Southern Partner Organisation
SROI	Social Return on Investment
SVP	Social Venture Philanthropy
TCS	Tata Consultancy Services
ToC	Theory of Change
ToT	Training of Trainers
UNDP	United Nations Development Programme
UPS	United Parcel Service of North America, Inc
Wageningen UR	Wageningen University & Research centre
WG	Wilde Ganzen

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: Smile Foundation in India. The baseline report is described in a separate document.

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

For those SPOs involved in process tracing a summary description of the causal maps for the identified organisational capacity changes in the two selected capabilities (capability to act and commit; capability to adapt and self-renew) is provided (evaluation questions 2 and 4). These causal maps describe the identified key organisational capacity changes that are possibly related to MFS II interventions in these two capabilities, and how these changes have come about. More detailed information can be found in appendix 5.

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

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

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

1.2 Brief summary of analysis and findings

Over the last two years Smile has slightly improved in its capability to act and commit. Important improvements were the strengthened second line leadership, more decentralised structure and improved fundraising capacity. In the capability to adapt and self-renew Smile also improved slightly. This was mainly due to improved internal cooperation and communication which led to better internal and external reporting, more participatory planning, better tracking of its operating environment and being more responsive to their stakeholders. Smile improved very slightly in the capability to deliver on development objectives. Smile is reaching its planned outputs better and has become more cost-effective in its resource use. The organisation improved slightly in its capability to relate. There is a strong feedback mechanism in place, they have improved their networks and relations within the organisation have also improved. Finally there was a very slight improvement in the capability to achieve coherence because the staff and director now share the same vision for the organisation.

The evaluators considered it important to also note down the SPO's perspective on the most important changes in in the organisation since the baseline. During the endline workshop the key organisational capacity changes that were brought up by Smile's staff were improved fundraising capacity and improved capacity to organise trainings for CBOs. These changes happened to overlap with the key organisational capacity changes that were selected for process tracing as they were linked to MFS II funded capacity development interventions. MFS II supported capacity development interventions have played an important role in improving the fundraising capacity of Smile, particularly its improved knowledge and skills on branding and fundraising and its brand development and positioning can be to a large extent attributed to MFS II funding. However, internal factors like hiring new fundraising staff and improved interdepartmental communication also have played an important role. MFS II supported capacity development interventions have also played an important role in improving the capacity of Smile to organize trainings for CBO, particularly in terms of enhancing the competencies of a now well-trained CBO team. The other change to which the dedicated and well-trained CBO team can be attributed is the "redesign and restructuring of the organization", which cannot be attributed to MFS II supported capacity development interventions and overall played a less important role.

2. General Information about the SPO – Smile

2.1 Context and general information about the Southern Partner Organisation (SPO)

Country	India
Consortium	Together4Change
Responsible Dutch NGO	Wilde Ganzen
Project (if applicable)	Action for Children
Southern partner organisation	Smile Foundation (Smile)

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

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

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

Nearly one third of the states and union territories in India have seen an increase in the dropout rate in primary education despite an overall increase in enrolment two years after the Right to Education Act (RTE) was implemented. This comes at a time when fund allocation has been doubled. These include progressive states like Tamil Nadu and Gujarat that have seen an increase in drop out ratio from 0.1% to 1.2% and 3.9% to 4.3% respectively between 2009-2010 and 2010-2011. This dropout rate is higher amongst underprivileged children and especially, girls. Further, learning assessments show that the children who do remain in school have poor learning outcomes. Poor education outcome is directly related to lack of infrastructure, lack of trained teachers, basic amenities like drinking water, toilets and text books in schools, ill health, malnutrition, unemployment, poverty which further leads to an intergenerational poverty trap. A comprehensive approach that maintains a continuum from education of children to gainful employment by strengthening vocational training skills for income generation; and continuing education with a special focus on empowerment of girls who in turn will ensure the literacy of their children can go a long way in strengthening communities. In this context, the efforts of NGOs and Community based organizations that focus on health and education of children can enhance and engender bridging the gaps created by poor Governance. Smile Foundation tries to do so by empowering underprivileged children and youth through relevant education, innovative healthcare and market-focused livelihood programs.

The NGOs and CBOs need funding support to carry out their work but the current donor environment is not very favourable to sustain their programs. The dwindling of foreign resources brings in the need to compete more aggressively with other similar NGOs working on issues of children, as the competition becomes tougher with smaller pots of money. There has been a notable decrease in the funders base mainly with foreign funds, owing to a very volatile donor environment across the world and more so in India. Most foreign donors have been revising their grant making policies and funding

priorities, and the current trend in India shows a decline in foreign funds and conclusion of operations by certain bilateral and multilateral organizations. International posturing of successive Indian governments has been that of a developing to developed nation, building on its economic growth, and young educated middle class. However, things on the ground tell a different story. The situation speaks of new forms of poverty, deprivation, inequalities and suffering.

But every closed door opens several new windows. The new Companies Act 2014, with a very strong CSR Clause, mandates companies with an average profit of INR 50 million in the last three years, to proactively design and undertake welfare and other developmental activities. This is seen as a great opportunity for Smile as the corporate sector would be required to spend 2 % of their net profit for social development actions. Smile is devising innovative and effective strategies to tap into this potential windfall. Though the Companies Act 2014 is being seen as a great opportunity and Smile is devising innovative and effective strategies to target the same, in all their interactions with Corporate houses in the recent months they have experienced that due to the Companies Act the nature of corporate funding for CSR has changed. Companies are now more inclined towards restricted funding for projects to be implemented. In the context of AfC, Smile's challenge is to raise unrestricted funds to meet premium and own costs. In addition, the middle class in India, estimated to be 50 million people and projected to reach 600 million by 2030 represents a large and potential support base for raising funds for developmental work. The increasing middle class population and individual motivations for giving, will contribute to social change.

The myth that people do not donate in India can be understood in the context of donation to religious institutions and trusts. However, the donations for the developmental causes are quite low. Anecdotal evidence suggests that, it is due to lack of trust. Vesterlund (2003) assumes that if donors possess information about charity quality, they may be motivated to donate. This brings in the need for branding, accountability and transparency for improving credibility of the organisation.

2.3 Contracting details

When did cooperation with this partner start: 20 December 2007

What is the MFS II contracting period: 1st of January 2011-31st December 2015

Did cooperation with this partner end? No

Is there an expected collaboration after the 31st of December 2015? Yes, Wilde Ganzen will continue to collaborate with Smile. This will be done in at least two ways:

By continuing to fund part of the premium for local projects, as under the Action for Children (AfC) model. The aim is to jointly fund between 70 and 88 new projects every year during the years 2016-2020. As under AfC, the local contribution is 50 %; the percentage of the contribution from funds raised at the national level increases and the percentage of the foreign (i.e. Wilde Ganzen) contribution decreases every year. Thus, the whole AfC cycle of steadily increasing local and national fundraising for local projects will be implemented until for this aspect Smile becomes completely independent from foreign funding.

By involving Smile in the Change the Game (CtG) programme that will provide training on local fundraising and on 'mobilising support (other than financial support)' (lobby & advocacy) to CBOs and NGOs. Smile is involved in:

- a. the development of the training courses
- b. training for Smile staff to become better trainers themselves (which will probably lead to the establishment of a specialized trainers unit within the organisation)
- c. providing actual 'classroom' trainings to groups
- d. providing coaching and advice to trainees who follow one of the digital courses provided by CtG.

The speed with which activities will be developed and implemented depends on available funding. Wilde Ganzen has approximately € 450,000 per year from its own funds. CtG is prosed by the ICCO-CNV International and Wilde Ganzen consortium for the Strategic Partnership with the Dutch Ministry of Foreign Affairs. If accepted, this should allow for a quicker development of the courses at different

levels, for training more CBOs and NGOs in India, for expansion to other countries and for developing specialized courses for specific themes.

2.4 Background to the Southern Partner Organisation

History

Smile was conceived in 2002, registered as a Trust. The focus during the early years was on children and their primary health care and education. The organisation then evolved to thinking about the youth and adolescents and focused on livelihood development.

The organisation followed a SVP (Social Venture Philanthropy) model where they identified community based organisations working with children and developing their capacities.

From 2002 to 2005, they ventured into education by starting their mission education (ME) program. This program was spread across 21 states by 2010-2011. In 2005-2007, Swabhiman, the women empowerment programme, STEP (Smile Twin E-learning Programme) and Smile ON WHEELS (mobile health clinic) were launched. Thus Smile started diversifying in terms of areas of intervention and themes. Their focus however continued to be on children.

STEP programme (2007) was designed for the youth in the age group of 18-30 years as a short term skill development programme. It was meant to generate income for the youth as well as their family. The programme included a vocational training programme as well as developing soft skills. All programmes of Smile Foundation are spread across 25 states.

From 2007 onwards Smile Foundation started focusing on fund raising and sustaining its staff and offices. The corporate partnership programme came up in 2007, as did the Child for Child program. There was a team formed for retail fundraising. Smile Foundation started building institutional alliances (both national and international). The Child for Child program was a sensitisation program for the "privileged" children in schools to be aware of their counterparts in the slums.

Smile Foundation also started forming alliances with corporates around this time. Communication and brand building became important and there were specific departments (units) set up across the country for this purpose. In 2010, the movie "I am Kalam" came out, funded by Smile Foundation, and this was a milestone in their branding achievements. It was an important stage of growth in their communication strategy. Trainings to their own employees gained momentum and their ability to respond to market forces strengthened.

Smile Foundation started with two employees and a turnover of about INR 300,000¹(€3,868). The turnover was INR 103,300,000 (€1,332,043) in 2010-11 and to about INR 150,000,000 (€1,934,236) in financial year 2011-12 , INR 159,338,591(€ 2,054,656) in 2012-2013; INR 146,393,868 (€1,887,735) in 2013-2014.

As far as funding of Smile Foundation goes, it was mainly through funds arranged by trustees that provided the funding in 2002. From 2002 to 2005-06 it was financed by the surplus fund arranged by the trustees. In 2006-07, the main funders were Population Foundation of India (PFI), German Embassy, Times Foundation, and HDFC. In 2012, they started their fund raising strategy and had about 140 corporates financing them, among which some regular funders are PFI, SAIL, Samsung, Tech Mahindra, Jindal Steel, etc. In 2014, while the funding from the regular funders is continuing, there are some new funders on board such as Herbalife, Barclays, MTS, Harley Davidson, ANZ bank etc. In addition to the corporate partnerships, Smile over the last two years has been trying to focus on individuals as well as PSUs (public sector undertakings) for funding support.

MFS II supports about 53 projects of Smile Foundation. MFS II helps in their programmes of mission education, fundraising and brand building activities, and communication. It has also helped in capacity building and training of internal staff. It also provided technical support in the form of a booklet by

¹ Exchange rate: 1 Euro=77.55 Indian Rupee as on October 13,2014.

Wilde Ganzen called "Money Maker" that helps build capacity by providing trainings to the staff. The technical support helps in online fundraising channels (restructuring online presence) and communication workshops.

Vision

(source: <http://www.smilefoundationindia.org/aboutus.htm#2> 08-10-2014)

As a catalyst to bring changes in the lives of millions of children, youth and women, who are not privileged, by addressing the real need at the grassroots level and also enabling the civil society across the world to engage proactively in the change process following the philosophy of Civic Driven Change and adopting the highest standard of governance and thereby emerging as a leading knowledge and technology driven, innovative and scalable international development organisation from India.

Mission

(source: <http://www.smilefoundationindia.org/aboutus.htm#3> 08-10-2014)

Smile Foundation is to empower underprivileged children, youth and women through relevant education, innovative healthcare and market-focused livelihood programmes. Smile Foundation is to deploy best possible methodology and technology for achieving ideal SROI (social return on investment), to practice and promote good governance. To link business competitiveness of the corporate with social development initiatives; also to sensitize privileged children, youth and citizens in general to promote Civic Driven Change.

Strategies

(source: <http://www.smilefoundationindia.org/aboutus.htm#6> and #7 08-10-2014)

Smile adopts a lifecycle approach by involving children, their families and the community. Smile Foundation believes that education is both the means as well as the end to a better life: the means because it empowers an individual to earn his/her livelihood and the end because it increases one's awareness on a range of issues – from healthcare to appropriate social behaviour to understanding one's rights – and in the process help him/her evolve as a better citizen. Education is the most effective tool which helps children build a strong foundation; enabling them to free themselves from the vicious cycle of ignorance, poverty and disease.

Smile Foundation realised that Education for Children cannot be achieved without the family, particularly, unless the mother is assured of health care and empowered. Moreover, when an elder sibling is educated and relevantly skilled to be employable and begins earning, the journey of empowerment continues beyond the present generation.

Smile Foundation extended its thematic areas of intervention by supporting family health, livelihood, and women empowerment. Children, their families and the community become the target group for Smile Foundation's activities as child education cannot be done in isolation and nothing else but education for children can bring long lasting change in the society.

Smile Foundation has evolved two working models namely, Social Venture Philanthropy (SVP) and Outreach. Depending on the necessity and circumstances, either of the models is deployed.

1. Social Venture Philanthropy (SVP) is an innovative model based on the business concept of venture capital. Under SVP, Smile Foundation not only identifies & implements its development projects through credible Community Based Organisations (CBOs) but also, handholds and builds capacities of these organisations, focusing on achieving scalability and sustainability, creating a culture of leadership and excellence and inculcating a deep sense of accountability among them.
2. Outreach - While working in the remote rural areas, Smile Foundation realized that many a times capacities of community based organisations (CBOs) were not adequate to meet the high expectations of large corporate social investors. Under the Outreach model, Smile Foundation implements the development interventions directly as it requires intensive and professional engagement for a wider and sustained outcome. Smile Foundation gets a first-hand experience in the nuances of development at the grassroots through its Outreach model and then implements the learning in its SVP Projects through its SVP Partners.

During the endline workshop, the current strategy was defined as being focused on livelihood and environment, health, networking and alliances at national and international levels.

Smile Foundation's website via the description of a work statement gives a broader scope to the organisation strategies:

1. To pursue the most critical development indices like child education, innovative healthcare, livelihood, and women empowerment to achieve large scale penetration and highest Social Return on Investment (SROI);
2. To engage SVP (Social Venture Philanthropy) model by working hand in hand with grassroots organisations, building their capacities, giving strategic directions, sharing resources and knowledge, upgrading technology with the aim to achieve scalability, accountability, sustainability and leadership;
3. To promote and practice good governance in every sphere of its activities and inculcate the same among the grassroots partners; to build trust and credibility with all stakeholders;
4. To source and implement suitable technology of relevance across its operations for optimisation of management and operation bandwidth;
5. To form alliances with the government, national and international institutions, bilateral and multilateral organisations to share resources and knowledge, and to complement and supplement the efforts of these institutions;
6. To engage the corporate sector in the welfare initiatives by linking their business competitiveness and social contributions, wherever befitting, to make the engagement sustainable;
7. To link business necessity with critical development indices in alignment with Smile Foundation agenda and expand programme coverage in the rural outreach to achieve integrated social development;
8. To sensitize the privileged citizens including opinion makers, mass media and to encourage them to participate in the civic driven change through various forms of engagement;
9. To promote and imbibe social sensibility among youth and privileged children to help them emerge as responsible citizens and also participate in Civic Driven Change;
10. To develop a management bandwidth which can not only support the broad vision of the organisation but also will strive for excellence, innovation and institution building.

3. Methodological approach and reflection

3.1 Overall methodological approach and reflection

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

The description of indicators for the baseline in 2012 served as the basis for comparison during the endline in 2014. In practice this meant that largely the same categories of respondents (preferably the same respondents as during the baseline) were requested to review the descriptions per indicator and indicate whether and how the endline situation (2014) is different from the described situation in 2012².

² The same categories were used as during the baseline (except beneficiaries, other funders): staff categories including management, programme staff, project staff, monitoring and evaluation staff, field staff, administration staff; stakeholder categories including co-financing agency (CFA), consultants, partners.

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

The information on the indicators was collected in different ways:

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

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

Key steps to assess changes in indicators are described

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

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

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

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

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

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

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

3.3.1 Selection of SPOs for 5C process tracing

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

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

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

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

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

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

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

Liberia: BSC, RHRAP (2/5).

3.3.2 Key steps in process tracing for the 5C study

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

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

Key steps in process tracing for the 5C study

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

3.3.3 Methodological reflection

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

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

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

Utilisation of the evaluation

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

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

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

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

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

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

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

4. Results

4.1 MFS II supported capacity development interventions

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

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
Participation in international Director's Meeting, once every year (2011: in New Delhi, India; 2012: in Mombasa, Kenya; 2013: in Salvador de Bahia, Brazil).	These interventions flow from the Programme Proposal for Action for Children. It is a yearly meeting to discuss progress and issues that partners encounter to have a content related discussion between partners about fundraising, to learn together.	Market where all partners could show the materials they use for fundraising (including, flyers, informational / educational material); to recruit participants (CBOs) to learn from each other. Active participation in formulation of new programme Change the Game. Bilateral discussions of WG staff with Smile participants before and after the sessions. Recurrent discussion in Meeting on possibilities to integrate AfC in overall strategy of our partners. Improved facilitation by WG by employing a highly experienced trainer/facilitator.	13-16 September 2011 2-7 September 2012 26- 30 August 2013	For Smile alone: 2011: €3,994 2012: €13,840 2013: € 13,750
Monitoring visits by WG AfC program manager (only in 2011 and April 2014, as a consequence of pregnancy and maternity leave of the manager)	Part of the Programme Proposal for Action for Children. Monitoring in 2012 and 2013 done during workshops (in the evenings). In November 2012 the part-time coordinator visited the workshop in Kenya.	Repeatedly discussing whether and how the AfC is applicable to other programs of the organisation.	7 -10 September 2011 15-19 April 2014	2011 € 1,671 2014 € 5,000.
Yearly international exchange visit of Smile AfC staff to an AfC partner in another country. 2012 -Soul City, South Africa 2013- KCDF in Kenya	Flows from the Programme Proposal for Action for Children. The hosting/receiving organisation organises the visit. The visiting organisation writes the terms of reference (they formulate their request/ what they want to learn from the organisation the visit). This ToR goes to	Partner organisations exchange experiences and views without presence of the donor (WG)	May 2012 (3 days) 13-15 November 2013	2012: € 3,500 2013: € 3,305

	Wilde Ganzen, who then decide to fund it or not			
Year round frequent e-mail exchanges to put forward ideas and help solve problems	From the application straight forward: partners & WG have to communicate	Very frequent communications.	All year round (2011-2014)	Part of overall costs of coordination
Financial contributions to branding and marketing of Smile	This intervention was planned in the Programme Proposal for Action for Children: if you want to raise funds you have to first position yourself in your society: people have to get an idea/feeling about your organisation. The organisation has to be positioned.	Discussion stimulated by WG staff and with other partners on importance of diversification of sources of funding. Funding earmarked (but with great freedom on how to spend it within the given aim) for branding and marketing of the organisation.	Continuous	Total expenses for Brand development and fundraising for Organizational cost: 2011:€ 216,367 2012: € 218,323 2013: € 234,125 Smile's total own contribution through fundraising by corporates: 2011: € 97,763 2012: € 129,526 2013: € 153,998 Difference is funded by Wilde Ganzen (MFS II): 2011: € 118604 2012: € 88797= 40,67% 2013: € 80127 = 34 %
Funding of a 3-day capacity development workshop organised by Smile on organisational capacity and local fundraising for CBO's, in July 2013, with observation and recommendations report from WG hired Dutch consultant	Part of the linking & learning to make the lessons of the programme more widely available	Request from Wilde Ganzen to organize such a workshop (already done by Smile for CBOs participating in AfC program) for local partners of WG that do not participate in AfC. WG hiring Dutch consultant on local fundraising. WG suggested to contact Dasra. Smile organises the workshop, they did the opening, closing and a training on the 5C model translated to the CBO level. Later Wilde Ganzen based their Organisational Capacity Assessment (OCA) on this, which is used to assess on which level an organisation can get into the Change the Game programme and to identify gaps. The other trainings were given by, among others: a former director from Oxfam India who is a retired "guru" on local fundraising with his own communication advice bureau on the use of visuals; a specialist on good governance and several others. Smile hires these	July 2013	None MFS II: The total budget for this workshop was: € 9,133. The actual costs was € 8,212. Funded by extra contribution of Wilde Ganzen (outside of MFS II)

		consultants or they volunteer to give trainings		
		Dutch consultant Veronica Uhl was also present as observer and later to give feedback to Smile		
Funding of a capacity development workshop for 100 participants organised by Smile on local fundraising and 'mobilising support (other than financial support)' (lobby & advocacy); in Bangalore, India, with observation by WG hired Dutch consultants and 1 WG staff in local fundraising and mobilising support (other than financial support). Evenings: joint evaluation (Wilde Ganzen and Smile) Evenings also: jointly preparing the new Change the Game program on local fundraising and mobilising support (other than financial support)'(Wilde Ganzen and Smile)	Part of learning and linking	Observations by WG hired Dutch consultants and 1 WG staff in local fundraising and mobilising support (other than financial support). Evenings: joint evaluation and program development of Change the Game (Wilde Ganzen and Smile) Evenings also: jointly preparing the new Change the Game program on local fundraising and mobilising support (other than financial support). (Wilde Ganzen and Smile)	27-29 February 2014 29-30 February 2014	The contribution from T4C is € 50,000. The total budget is € 55,000 of which € 5,000 will be contributed by WG outside of MFS II.

Source: 5C endline_support to capacity development sheet_CFA perspective_India_Smile_WildeGanzen_NB_interview.docx

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

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

4.2.1 Changes in the five core capabilities

Capability to act and commit



change in terms of leadership was the strengthening of second line management through the appointment of a Chief Operational Officer (COO). Decisions are taken in a more participatory manner in consultation with departmental heads, the COO and the executive trustee. The induction process has been streamlined and leadership is built at all levels by exposure of staff to trainings and decentralisation. Staff turnover is lower in some departments than during baseline, this is because there is more clarity on responsibilities and objectives and there are HR retention and appreciation policies in place. Staff turnover is still higher at lower levels. Structural changes in the organogram of the organisation brought in a decentralized approach that gave autonomy to different departments which further led to interdepartmental integration. Departmental heads are in a better position to address the set of skills they need due to decentralisation and more autonomy in the departments. This is guiding middle and higher level staff recruitment and at junior level staff is trained by seniors. The gap in skills in narrative reporting and marketing that was present during baseline has been filled. Trainings have improved for middle and senior level staff, but no improvement has been observed at the junior level. Next to trainings, the freedom at work makes staff members driven and enthusiastic to work for Smile, even though financial incentives are still not at par with the market.

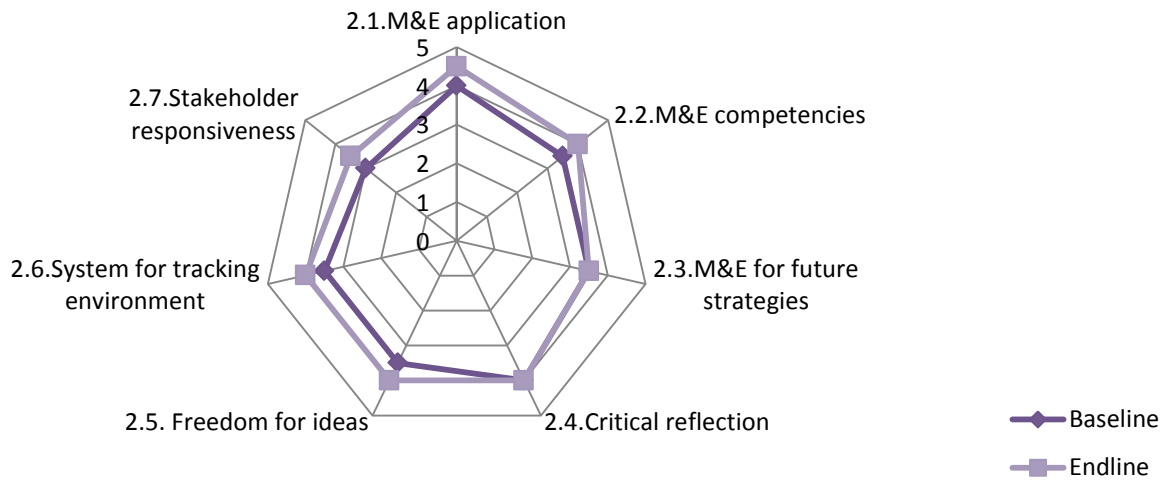
The development of programme strategies is still part of an annual planning exercise in consultation with stakeholders. For longer term programmes strategies are adjusted when needed. There are now inter-departmental weekly meetings and more specific targets in terms of focus, defined parameters, elaborate work plans, precise and specific outcomes, guide daily operations.

Smile continues to treat its donors as customers through its retention and nurturing programmes for both corporate and individual donors. New and innovative ways of fundraising have been introduced and the new alliance department for outreach project (which is donor driven and fully donor financed and targets Public Sector Units and institutional collaboration) and individual partnership department have strengthened Smile's strategy of fundraising among public sector units and individuals. Smile continues to effectively raise funds from the corporate sector. The organisation is now tapping into individual fundraising, by implementing a much needed, strong and credible brand strategy. Smile is closely following the developments of the CSR bill for new funding opportunities. While Smile is focussing a lot on fundraising the fruits of these efforts will be reaped in the coming years. The response from the donors is usually not an immediate one.

Score baseline: 3.5

Score endline: 4.0 (slight improvement)

Capability to adapt and self-renew

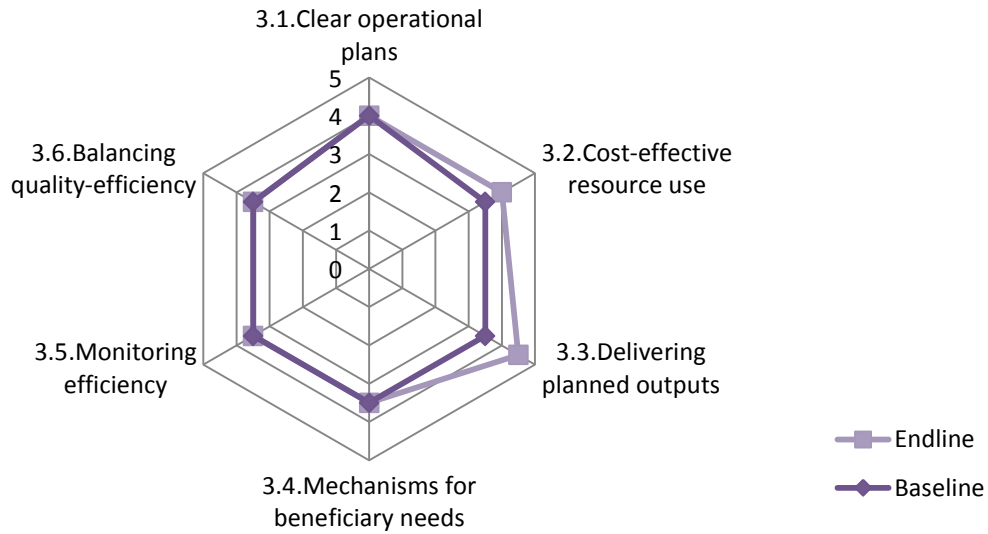


Over the last two years there have been some improvements in the way that M&E is applied. All MIS formats and systems are now compatible at the national level within departments and respective programmes by standardising the system and restructuring departments. The communication department works closely with all the divisions keeping track of their performance and achievement of targets and assessing programme outcomes and impact. The greater use of technology has enhanced this capacity further. The coordination between the regional officers and the head office in the M&E process has been streamlined and regional officers have received needed training on M&E. There has been an improvement of involving field staff in finalising future strategies looking at the M&E results. Smile receives input from its target group (mostly local NGOs) through their feedback on trainings they participated in and through regular feedback on planned interventions. This input is used to tailor the interventions to the stakeholders needs. Smile keeps in contact with its existing donors, both individual and corporate, through its donor nurturing and retention plan. The organisation is now better able to follow international trends through having a Special Consultative Status with The Economic and Social Council of United Nations. Smile staff has also received training to be in touch with general developments in its operation environment, closely following the Corporate Affairs Bill and its implications and setting up an Alliance and Institutional Partnership department. Management welcomes open ideas and takes considerable interest in the functioning of staff through engaging in weekly, monthly and annual meetings. An improvement in this regard has been that staff have more ownership over project implementation and planning has become a more participatory exercise.

Score baseline: 3.5

Score endline: 4.0 (slight improvement)

Capability to deliver on development objectives

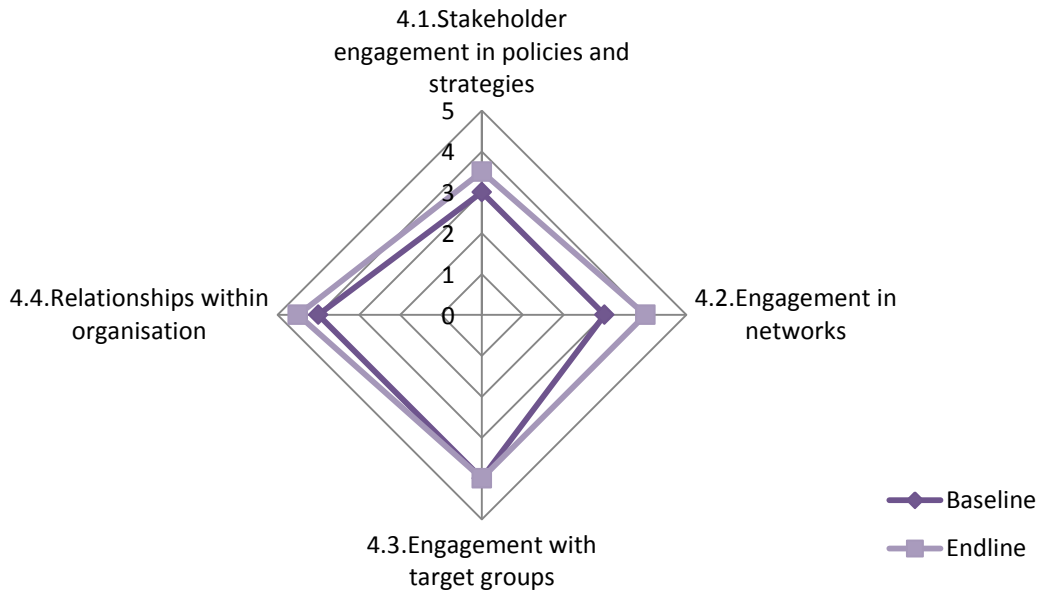


While operational plans are still in place for all projects, there is now more synergy between departments and protocols are smoothed for quick implementation. Cost-effectiveness has always been high on Smile’s agenda. Several measures are taken to ensure this, including use of technology to avoid travel costs, seeing audits as part of the general system and sensitising staff on the issue. The responsibility load of regional offices is now more in line with their capacity in terms of resources. Smile continues to achieve the targets set out in the Project Implementation Plan at planning level. Training of local civic groups, Smile’s partners, has been an important focus of the last period. This will also help Smile to deliver planned outputs through its partners. Better planning and presence of an operational support group has helped to improve the quality and efficiency of Smile’s work. For monitoring its efficiency Smile continues to use SROI and links targets to achievements and inflows of resources to outflows. Systems to identify if services meet beneficiaries’ needs are still in place. Smile now conducts baseline surveys to identify needs before starting a project and after its trainings participants are asked for feedback.

Score baseline: 3.5

Score endline: 3.8 (very slight improvement)

Capability to relate



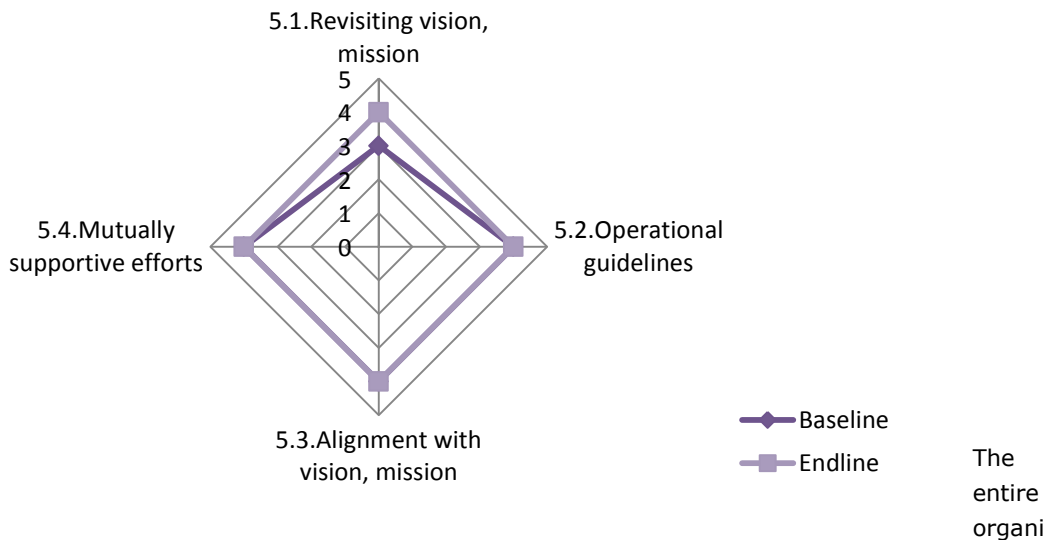
There has been some improvement in involving local groups (through workshops and trainings) and individual donors (through a regular contact and a volunteer cell) in policy and strategy development. However, this is only at the programme level. At the organisational level senior management and second line leadership make the decisions. Smile has increased its participation in relevant forums, workshops and platforms for networking and has become affiliated with a few major international bodies like the ECOSOC of the UN, UNICEF and the Indian Development Foundation of overseas Indians of the Ministry of Indian Overseas Affairs.

The quality of the monitoring visits to beneficiaries has improved. Online media, like Facebook and email, are now being used to stay connected to the beneficiaries. While Smile continues to have an open internal culture, staff do now dare to speak out more which is stimulated by both the CEO and new COO. The decentralisation of the organisational structure led to interdepartmental integration so that staff are enabled to share and learn more from other departments.

Score baseline: 3.5

Score endline: 4.0 (slight improvement)

Capability to achieve coherence



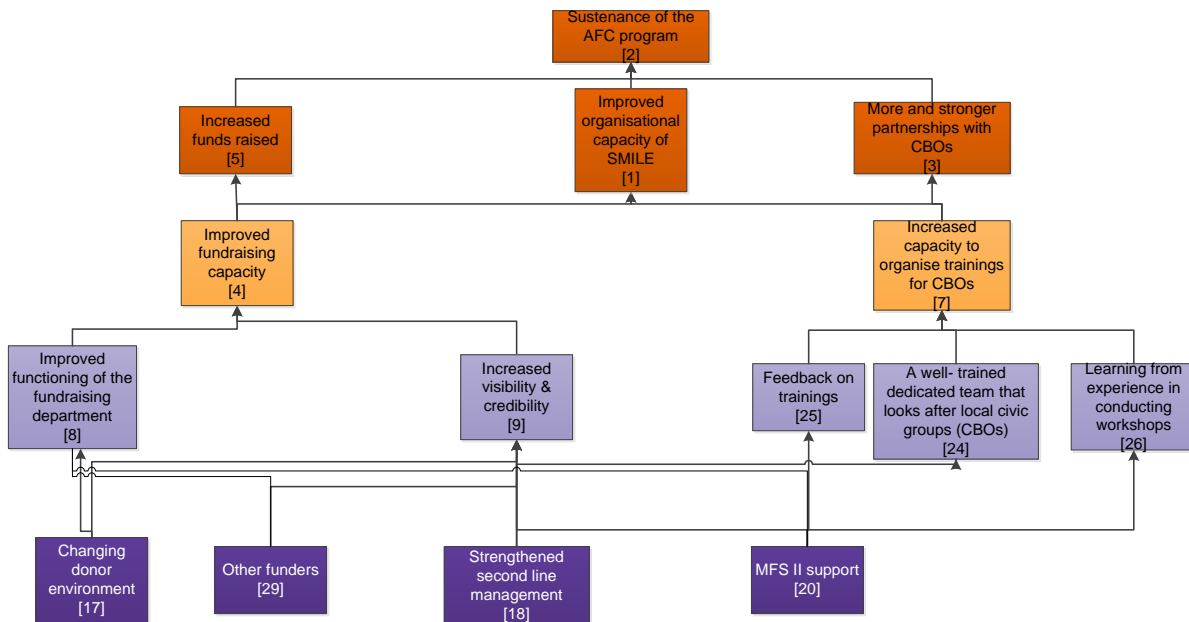
sation now works towards the same mission and vision. The visions of staff and the director grew closer together as both their visions, focus on fundraising and sensitising the community respectively, are now combined. Annual goal and work plan meetings help staff to align their work and ideas with the vision of the organisation which still is to improve the lives of under-privileged children, youth and women by adopting a Life Cycle Approach of development. All programmes are in line with this vision. All programmes of Smile are mutually supportive and cross-learning between projects is applied. Operational guidelines are in place and are updated from time to time. Standard Operational Procedures for donor retention and nurturing are strengthened.

Score baseline: 3.75

Score endline: 4.0 (very slight improvement)

4.2.2 General changes in the organisational capacity of the SPO

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



The evaluation team carried out an endline assessment at Smile from 14 to 16 May 2014. During this workshop, the team made a recap of key features of the organisation in the baseline in 2012 (such as vision, mission, strategies, clients, partnerships). This was the basis for discussing changes that had happened to the organisation since the baseline. The two main changes that happened in the organisation since the baseline, as identified by the staff during self-assessments, interviews and during the workshop were:

1. Improved fundraising capacity [4], and related to this improved visibility and credibility of Smile [9]
2. Improved capacity of Smile to organise trainings for CBOs [7]

These two changes happened to coincide with the outcome areas that were chosen for process tracing, so as to get detailed information on how these changes in organisational capacity came about. Therefore the general causal map overlaps strongly with the causal maps developed for each of these outcome areas/organisational capacity changes to be analysed during the process tracing. All the details about these changes in organisational capacity as well as the underlying factors that influenced these changes are described in the narrative and visual below.

The two main organisational capacity changes are described in the light orange boxes and some of their key consequences are noted above these cards in dark orange. Light purple boxes represent factors and aspects that influence the key organisational capacity changes (in light orange). Key underlying factors that have impacted the organisation are listed at the bottom in dark purple. The narrative describes per organisational capacity change, the contributing factors as described from the top down. The numbers in the visual correspond with the numbers in the narrative.

Improved Fundraising Capacity [4]

As a consequence of Smile's improved fundraising capacity [4], more funds were raised [5] and the overall organisational capacity of Smile was strengthened [1].

The strengthened focus on raising more funds was one of the key areas that was identified by the management keeping in line with Smile's philosophy of civic driven change to increase the domestic donor base. Improved fundraising capacity [4] was a key organisational capacity change that was mentioned by many staff during the workshop and their self-assessments. Smile's capacity to raise funds has improved mainly because of:

- The improved functioning of its fundraising department [8]: Smile has a full-fledged improved fundraising team [8] consisting of 14 staff, responsible for raising its own cost and premium from high net worth individuals and corporates. In 2014, the Individual Partnership (IP) sub-division under the resource department was strengthened.
- Improved visibility and credibility [9]: Smile's improved visibility and credibility [9] is evident from awards and recognitions received by Smile. For example Smile Foundation was conferred with the "EDUCATION EXCELLENCE AWARDS – 2013" by the Associated Chambers of Commerce and Industries (ASSOCHAM) & The Education. The award is given to a university / institute and individuals performing their best in education sector.

Improved capacity of Smile to organise trainings for CBOs [7]

As a consequence of improvement in this capacity [7] more and stronger partnerships with CBOs [3] were formed and Smile's organisational capacity improved [1].

Smile has improved its capacity to organise trainings for CBOs over the last two years [7]. This has been keeping in line with the Social Venture Philanthropy (SVP) model of Smile as well as the requirements of the contract with Wilde Ganzen. As per the agreement between Smile and Wilde Ganzen training and advising local civic groups in fundraising and advocacy for civic actions for children is one of the mentioned outputs in the Terms of Reference. Smile's improved capacity in this area was confirmed in an interview with Wilde Ganzen and can be found in the Empowering Grassroots training report of July 2013. While Smile focused on streamlining its relations with its partners in the initial years of the contract, during the last two years Smile mainly focused on capacity development of partners. The improved capacity of Smile to organise trainings [7] is due to:

- A well -trained dedicated team that looks after local civic groups (CBOs) [24]: This team seeks applications from local civic groups through physical applications and also through online mode.
- Feedback on trainings from Wilde Ganzen and participants [25] Most of the trainings that Smile organised to strengthen the capacity of the CBOs were funded by Wilde Ganzen under MFS II [20]. Smile's capacity in developing trainings for CBOs mainly improved due to the feedback they have received on two trainings given to CBOs.
- Learning from experience in conducting workshops [26]. Smile organised 7 trainings on local fundraising, with 30 people from 15 different organisations per training since the baseline, these were funded by MFS II [20] and one on local fundraising and mobilising support (other than financial support). for 100 people, while 20 of these also followed an annexed pilot workshop on mobilising support (other than financial support) (also funded by MFS II [20]).

The main underlying causes for these three key organisational changes were:

- Changing donor environment [17]: this includes end of contract with Wilde Ganzen in 2015, dwindling foreign resources and new opportunities for (local) fundraising. This underlying factor has influenced:
- The improved functioning of its fundraising department [8], as the need for new funding strategies that arose from the changing donor environment led to applying certain measures (e.g. hiring new staff) to improve the functioning of the fundraising department.
- Increased visibility and credibility [9], as the need for new funding strategies triggered trainings on branding and fundraising.
- Other funders [29] have funded trainings to improve branding and fundraising, which in turn have led to improved functioning of the fundraising department [8] and improved visibility and credibility [9].
- MFS II support [20] has been going to trainings on branding and fundraising which led to improved function of the fundraising department [8] and improved visibility and credibility [9]. MFS II support also went to the trainings that Smile gave to CBOs [26] and to the feedback provided on these trainings [25].
- Strengthened second line management [18]: has introduced more structured planning and a new organisational structure which has affected the team looking after CBOs [24] and indirectly, increased visibility and credibility [9] and improved functioning of the fundraising department [8].

4.3 Attributing changes in organisational capacity - 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. The following outcome areas have been identified under the capability to act and commit and the capability to adapt and self-renew. Also the MFS II capacity development interventions that could possibly be linked to these outcome areas are described in the table below.

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 fundraising capacity	Participation in international Director's Meeting, once every year; Yearly international exchange visit of Smile AfC staff; Financial contributions to branding and marketing of Smile
Capability to act and commit	Improved capacity to organise trainings for CBOs	Funding of a 3-day capacity development workshop; Funding of a capacity development workshop on local fundraising and mobilising support (other than financial support) (lobby & advocacy); organised by Smile on organisational capacity and local fundraising for CBO's;

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.

Improved fundraising capacity

For the complete narrative with sources and the figure that has the numbers that are referred to in this narrative see Appendix 5.

As a consequence of Smile's improved fundraising capacity [4], more funds were raised [5] and the overall organisational capacity of Smile was strengthened [1]. Smile's improved capacity to raise funds [4] has led to increased funds raised [5]. This is evident from, for example the premiums³ raised among the middle class and the corporate sector in the year 2012 and 2013. In 2012, a total of € 86,179 was raised as a premium against the annual target of € 53,375. The increase in amount of funds raised together with the improved organisational capacity[1] and more and stronger partnerships with CBOs [3] (explained further on) in turn contributed to the sustainability of Smile's projects, especially the Action for Children (AfC) programme [2]. The strengthened focus on raising more funds was one of the key areas that was identified by the management keeping in line with Smile's philosophy of civic driven change to increase the domestic donor base. The fundraising department is using innovative ideas for fundraising. Improved fundraising capacity [4] was a key organisational capacity change that was mentioned by many staff during the workshop and their self-assessments. Smile's capacity to raise funds has improved mainly because of the improved functioning of its fundraising department [8] and its improved visibility and credibility [9].

³ Premiums are funds that can be used for specific projects.

Improved functioning of the fundraising department [8]

Smile has a full-fledged improved fundraising team consisting of 14 staff, responsible for raising its own cost and premium from high net worth individuals⁴ and corporates. Also each department has corporate, individual, institutional and child for child fundraising staff. The national fundraising team is based in Delhi, Mumbai and Bangalore. Every member of the Corporate Partnership department is well trained to generate resources from corporates. A restructuring of the resource department clearly highlights the intent on fundraising. In 2014, the Individual Partnership (IP) sub-division under the resource department was strengthened as is evident from the responsibility centre structure of 2014. The functioning of the fundraising department improved [8] because new fundraising staff was hired [11], knowledge and skills on fundraising and branding improved [12] and interdepartmental communication improved [13]:

- New fundraising staff was hired [11]: In order to fulfil its mandate to mobilise resources Smile recruited staff who had expertise in fundraising. As an example of new fundraising staff, a General Manager for fundraising was hired who, in his previous job, had worked on fundraising and brand promotion through event and corporate alliances.
- Improved interdepartmental communication [13] improved because of a redesign and restructuring of the organisation [23] by strengthened second line management [18]. This was an important step in a direction to further decentralize Smile's organizational structure and empower respective departmental leads to take proactive initiatives in the sustenance of the organisation. The communications department is now divided into internal and external communications divisions. While the internal department creates content (types of programs being implemented, their impact etc.) for circulation within and outside the organization the external division is responsible for public relations and media coverage, so that Smile foundation as a brand may be read out clearly in the society to further improve its visibility.
- Knowledge and skills on fundraising and branding improved [12] because of several trainings/workshops, exchange events organized by Wilde Ganzen and several in house training workshops on branding and fundraising[14]. Some of these trainings were funded by MFS II [20] some by other funders [29].

Need for new fundraising strategies [15]

Smile started hiring new fundraising staff [11] and focusing more on capacity building of staff on fundraising and branding [14] because of:

- New fundraising strategies [15] were needed because of changes in the donor environment [17]:
 - End of contract with Wilde Ganzen in 2015. As per the contract with Wilde Ganzen (WG), Smile foundation would get funds, if a yearly increasing part of the project finances were raised by Smile and other stakeholders of the project
 - Dwindling foreign resources bring in the need to compete more aggressively with other similar NGOs working on issues of children, as the competition becomes tougher with smaller pots of money. There has been a notable decrease in the funders base mainly with foreign funds, owing to a very volatile donor environment across the world and more so in India.
 - New opportunities for (local) fundraising: The new Companies Act 2014, with a very strong CSR Clause, mandates companies to proactively design and undertake welfare and other developmental activities. This is seen as a great opportunity for Smile as the corporate sector would be required to spend 2% of their net profit for social development actions. Smile is devising its own strategies to tap into this potential windfall
- Improvement of human resource development policies and practices [16] because of more structured and focused planning [17] that was introduced by a new Chief Operations Officer (COO) who was hired in January 2013. This was a strengthening of second line management [18].

⁴ High Net worth Individuals are those having investable assets (financial assets, excluding primary residence) of \$1 million or more.

Improved visibility and credibility of the organization [9]

Smile's improved visibility and credibility [9] is evident from awards and recognitions received by Smile [Source: Smile Foundation Website]. For example Smile Foundation was conferred with the "EDUCATION EXCELLENCE AWARDS – 2013" by the Associated Chambers of Commerce and Industries (ASSOCHAM) & The Education. The award is given to a university / institute and individuals performing their best in education sector. Smile increased its visibility and credibility [9] because of brand development and brand positioning [19] and because of improved internal and external reporting [21].

- Brand development and brand positioning [19] have been key parts of the agreement between Smile and Wilde Ganzen. This has been one of the key deliverables supported by MFS II funding.
 - During the period under review (2012-14), Wilde Ganzen has supported the branding and marketing of Smile with MFS II funds [20] making up to around 35 percent of Smile's total marketing budget [28] for the Action for Children programme.
 - Brand development and brand positioning has also improved because of improved knowledge and skills on branding and fundraising [12], which was a result of training on branding and fundraising [14], which were partly funded by MFS II [20].
- Smile's credibility [9] improved because of improved internal and external reporting [21], which are part of the overall improved M&E and governance of Smile.
 - Internal reporting includes better and more timely reports because of strengthened MIS and formats and templates in place [27]. Processes, procedures and systems for this were strengthened by new second line management [18].
 - The external reporting [21] improved mainly due to the improved functioning of the communications department [22] to communicate its work and to appeal for support. Smile has focused on accurate and relevant information which has helped it to earn respect and recognition. The communications department is working better [22] because trainings [14] have been conducted for field staff on photography and case study documentation as they are the first point at the field in the middle of the action. The trainings have helped generate good quality information which is further edited and brushed-up before being used in various communication and related actions. 2013-14 has been focus year for "Capturing our Impact" which for Smile has meant – "to tell our stories better". Thus the communications department improved because of trainings [14] and a redesign and restructuring of the organization [23] by the new second line management [18].

Improved capacity of staff to train CBOs

For the complete narrative with sources and the figure that has the numbers that are referred to in this narrative see Appendix 5.

As a consequence of improvement in this capacity [7] more and stronger partnerships with CBOs [3] were formed and the overall organisational capacity of Smile improved [1].

Smile has improved its capacity to organise trainings for CBOs over the last two years [7]. This has been keeping in line with the Social Venture Philanthropy (SVP) model of Smile as well as the requirements of the contract with Wilde Ganzen. As per the agreement between Smile and Wilde Ganzen training and advising local civic groups in fundraising and advocacy for civic actions for children is one of the mentioned outputs in the Terms of Reference. In delivering this output, Smile has improved its capacity to organise trainings for CBOs. This was confirmed in an interview with Wilde Ganzen and can be found in the Empowering Grassroots training report of July 2013.

The improved capacity of Smile to organise trainings is due to:

- A well -trained dedicated team that looks after local civic groups (CBOs) [24]. This team seeks applications from local civic groups through physical applications and also through online mode. The same application goes through the scrutiny process and the final application gets selected by the team. After due diligence and field appraisal the proposal gets approved and local actions are conducted. Later the premium is matched and disbursed to the local civic groups as per the contract and the project guidelines. It is the responsibility of the programme managers and officers to build the capacities of the partners through the Training of Trainers (ToT) mode and in the last two years, a lot of focus was given on training of partners. The programme officers travelled to the project

partners, local groups and communities, met with them and supported them for conducting local actions. Further, in 2013 two capacity building workshops titled "Empowering Grassroots" were organized for NGO Partners of North and West region. The dedicated team [24] has been empowered further as a result of:

- The restructuring of the organisation [23] by strengthened second line leadership [18]
- Several trainings and exposure visits [31] have contributed to the development of an experienced team who in turn contributed to the capacity building of the CBOs. These started before the MFS II funding period under MFS-I and continued under the Action for Children Programme under MFS II. As an example an exchange visit to CESE (Brazil) was made by the staff to understand the context of the partner and learn how they implement programmes and bring about civic driven change. In the last two years: AfC (Action for Children) Directors' Meets in 2012 and 2013, in Kenya and Brazil respectively and a three day capacity building workshop was organized for all the staff of Smile Foundation: This training helped them in improving their capacities to train the CBOs as the topics of the training were later on also used in the trainings for CBOs. These trainings and exposure visits were funded under MFS II [20].
- Feedback on trainings from Wilde Ganzen and participants [25]. Most of the trainings that Smile organised to strengthen the capacity of the CBOs [26] were funded by Wilde Ganzen under MFS II [20]. Smile's capacity in developing trainings for CBOs mainly improved due to the feedback they have received on two trainings given to CBOs. Wilde Ganzen hired the consultant Veronika Uhl from Himmelblau to observe the first of these two workshops given by Smile and share her observations in a report.
Smile received feedback from the partners that participated in the workshop. According to the training report of July 2013, participants thought that the workshop was very useful, had a good location, was very well organised, and said that income generation should also be included in the modules not just fundraising. The second workshop was observed by three Dutch consultants hired by Wilde Ganzen (including Veronika Uhl) and a staff member of Wilde Ganzen itself. In evening sessions, feedback was given.
- Learning from experience in conducting workshops [26]. Smile organised 7 trainings on local fundraising, 30 people from 15 different organisations per training since the baseline, these were funded by MFS II [20]. The Smile team has learnt from the resource persons on how to conduct training independently during the course of these workshops The topics that were covered in the trainings were effective leadership for development & strengthening, 5 c model of building organizational competencies and good governance, involving local support for sustainability, better fund utilization, meeting the expectations of donors, good fundraising practices, communicating with the stakeholders etc.

5. Discussion and conclusion

5.1 Methodological issues

As the COO was new to the organisation he felt it was necessary to have a better understanding of the 5C model framework to trace down the changes over the two years period. For this reason a pre-workshop briefing was given to the COO and staff.

The Organisation Development Consultant was interviewed which gave a good insight into Smile's new appraisal and training needs assessment system which are part of their improved HR policy and systems. The Consultant is only concerned with HR and Admin and not overall organisational development.

If one looks at the way Smile works, it would be clear that they co-fund (50% by Smile and the other half by the local organization), train, and carry out much of the ground level work with the locally based NGOs. These NGOs are not Smile's partners. Hence they were not interviewed.

In order to get detailed information on the capacity development of the staff, self-assessment forms were being filled up by the management (GM-Corporate Partnerships, Manager-HR, GM-Programmes, AGM-Communications, AGM-Finance & Accounts, National Manager-Corporate Partnerships them), Programme staff (Chief Manager - Programs, Manager - Corporate Partnership, Manager - Alliance, Chief Manager - Programs), HR/Administration staff (Communication, HR, Three Finance and Accounts manager) and field staff (Associate - Communication Placement Officer - Programme Officer - Programme Sr. Executive - Programme). Except for GM-Corporate Partnership, Associate - Communication Placement Officer - Programme Officer - Programme Sr. Executive - Programme, HR, 3 Finance and Accounts manager, Chief Manager - Programs, Manager - Corporate Partnership, Manager - Alliance, Chief Manager - Programs, the rest participated in the baseline workshop.

Self-assessment forms were filled in by two groups of management because of the nature of the programme and their designations and responsibilities they carried out. It was done to ensure that the answers are not influenced by each other's opinion. The communication department of Smile works on M&E, receiving HR/Admin consultancy support from the Organisation Development consultant. As the staff performs multiple tasks, the evaluators decided to include communication staff in the HR/Admin group.

Smile did not fill in the support to capacity development sheet but rather sent an overview of trainings, without budgets, and for some without dates and other details, even though the evaluation team requested the correct forms to be filled on a number of times.

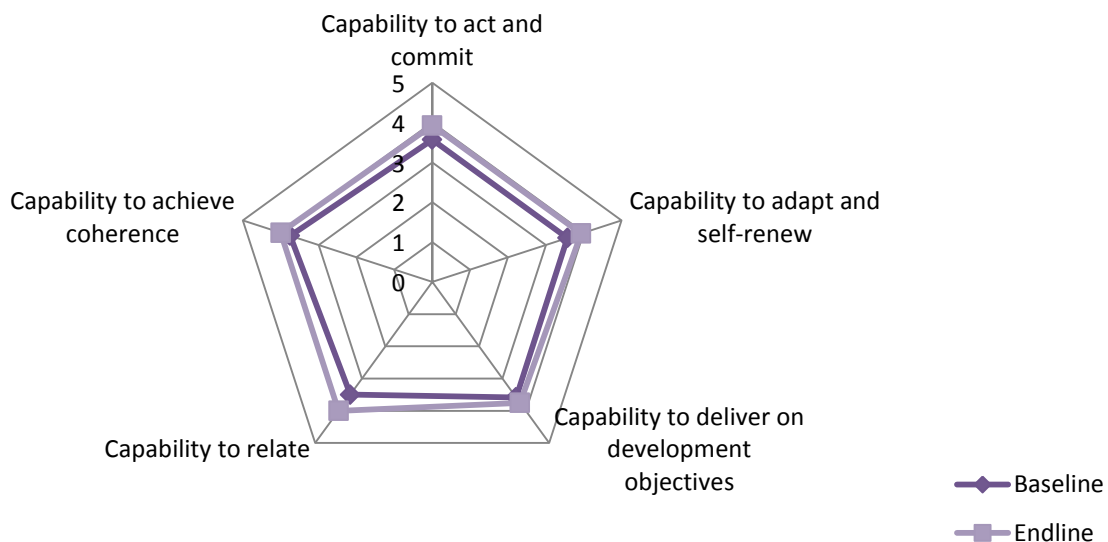
In relation to training questionnaires, Smile's staff was supposed to fill in four training (supported by MFS II) questionnaires. Despite evaluator's persistence only one questionnaire was filled by them. However, for the staff it was sometimes difficult to recall what they learnt during a specific training as they are exposed to various training programmes and exposure visits (both under MFS II programme and others). Therefore, the observed changes could be attributed to various factors beyond a specific training programme.

5.2 Changes in organisational capacity

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

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

4. What factors explain the findings drawn from the questions above?



During the baseline Smile was already one of the stronger organisations. Also in talking to the CFA it became clear that Wilde Ganzen greatly values Smile as an organisation that is taking initiative and is mostly itself responsible for the changes over the last two years.

Whilst changes took place in all of the five core capabilities, the improvements were only minor since SMILE's organisational capacity was already quite well developed during the baseline in 2012. Below the changes in each of the capabilities are further explained, by referring to the specific indicators that changed.

Over the last two years most improvements took place in the indicators under the capability to act and commit. As the second line leadership was strengthened by appointment of the Chief Operations Officer, leadership became more responsive and Smile's whole structure became more decentralised. Staff had clearer job responsibilities and a better HR system was implemented in which staff appraisal and training needs assessments started taking place. This had a positive effect on staff's incentives to work for Smile and the staff turnover at the fundraising, communications and programme department decreased and new additional fundraising staff were hired. Smile has also worked hard to improve its funding situation. With many changes in the donor environment and being involved in the Action for Children programme, they have been triggered to look for new (local) funding sources, which includes CSR and Individual Partnerships. Over the years Smile's staff has gained skills in many areas through the trainings and exposure visits provided by their donors and at their own initiative. The organisation considered it to be important that they improved their staff's capacity. This improvement was mainly observed in their capacity to organise trainings for CBOs and their capacity to raise funds. They also improved their skills in narrative reporting and marketing. Through the decentralised structure staff is now also learning from other departments within the organisation. The decentralisation also led to less dependence among staff on the management for decision making and more participatory planning. In the operational plans the targets have become more specific.

In the capability to adapt and self-renew Smile also improved slightly in various indicators. Their MIS systems are now standardised for all departments and as different departments within Smile started working more together there is now a better connection between the programme and communications department. This has led to better internal and external reporting on Smile's activities and results. Smile's competences in M&E improved as regional officers were trained in M&E and experienced programme staff is responsible for M&E. As mentioned earlier, planning has become more participatory giving more freedom for ideas of staff. Smile has become better at tracking its operating environment as they now have a department for Alliances and Institutional Partnerships that track developments in Public Sector Units. Smile also obtained a Special Consultative Status with The Economic and Social Council of United Nations and is following the developments on the CSR bill closely. There is now also a department that keeps in touch with their individual donors to be more responsive to their stakeholders.

In terms of the capability to deliver on development objectives, there is very minor improvement and this improvement particularly is in the area of delivering planned outputs. Smile's partners, on which they rely for this, have been trained and have been better able to reach planned outputs. Also, Smile itself has reached all the planned outputs (and sometimes even more) in the AfC programme. They have also become more cost-effective in their resource use as the responsibilities of the regional officers now fit better with the funding they have available and Smile is making use of technology to drive down costs.

In the capability to relate Smile has also somewhat improved. They now have a stronger feedback mechanism to get input from the CBOs they train and guide, and from their corporate and individual donors. They have improved on their networks, as they are now part of a CSR hub, which is very important for funding opportunities, and have also started engaging in more international networks. Internally the relations within the organisation have improved as staff is taking more responsibilities and speaking out more. The establishment of the Operations Support Group, the decentralisation of decision making and the support of a HR consultant in the staff appraisal system have all contributed to stronger internal relations within Smile.

Finally, Smile has slightly improved in its capability to achieve coherence as staff and the director are now closer together in their vision for the organisation as they now both understand that a focus on fundraising and sensitising the community are both needed for the sustainability of Smile.

During the endline workshop some key organisational capacity changes were brought up by Smile's staff: improved fundraising capacity and improved capacity to organise trainings for CBOs. The evaluators considered it important to also note down the SPO's story and this would also provide more information about reasons for change, which were difficult to get for the individual indicators. Also for some issues there may not have been relevant indicators available in the list of core indicators provided by the evaluation team. These changes happened to overlap with the key changes that were selected to process tracing. The changing donor environment was one of the most important underlying changes for the improved fundraising capacity. Dwindling foreign funding but also new opportunities like the CSR Bill have led to the need to diversify funding strategies, which has influenced Smile in organising its communication and fundraising departments but also in identifying the need for trainings. The MFS II funding of Wilde Ganzen (that combined a deliberate dwindling of foreign funding with investments in Smile's branding and marketing) also played an important role in both the key changes. This will further be explained below in 5.3.

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.

During the baseline there were a few interventions planned under the capability to adapt and self-renew. These were: participation in director's meetings to exchange challenges and successes, monitoring visits by Wilde Ganzen and continuous email exchange between Smile and Wilde Ganzen to solve problems. There were however only minor changes observed in Smile's capability to adapt and self-renew and these changes were not linked to MFS II interventions based on document review and according to discussions with the SPO and CFA. As from the beginning there was no observable link between these MFS II and Smile's improved capability to adapt and self-renew, these interventions and changes were not further looked into during 'process tracing.'

The organisational capacity changes that were focused on were:

- improved fundraising capacity;
- improved capacity to organise trainings for CBOs.

Both of these organisational change areas fall in the capability to act and commit. 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, and therefore inadequate information is available on this. Then again, this wasn't the purpose of this 5c evaluation.

Improved fundraising capacity.

The following MFS II capacity development interventions were mentioned by Wilde Ganzen and were linked to the key organisational capacity "improved fundraising capacity":

1. Participation in international Director's Meeting, once every year;
2. Yearly international exchange visit of Smile AfC staff;
3. Financial contributions to branding and marketing of Smile

Participation in international Director's Meeting, once every year

Design

The immediate effect of this intervention that was formulated during the baseline was the same as for the other MFS II funded capacity development interventions: "to exchange successes and challenges among the AfC partners and to contribute to efficient and effective involvement of AfC staff, especially through the international contacts." Wilde Ganzen specified that with "AFC partners" they mean CESE in Brazil, Smile in India, Soul City Institute in South Africa and KCDF in Kenya. With "AFC staff" they mean "those of the staff of each AfC partner actively involved with the implementation of the AfC programme in their country." With "international contacts" Wilde Ganzen means for Smile, contact with the three other AfC partners mentioned in previously. The long term effect that was formulated was: "fully India- financed AfC programme for Smile by 2020, independent from foreign aid." By "fully India financed" Wilde Ganzen meant that in 2020 the planned number of new local projects [to be found in the monitoring protocol of the application] would be funded completely by a combination of local funding (raised by the CBOs and other beneficiary organisations of Smile) and contribution from Smile itself. The number of projects was set, the amount of money involved was set, the percentage of independence (100 %) was set and the time was set (2020).

These effects were relevant for Smile, as during the baseline workshop discussions the organisation formulated the condition "established fund raising ability" in order to achieve their goal for the next five years: "improved capacity to achieve international presence and sustainability." Working on international contacts to in the end secure financing for the AfC programme of Smile, is in line with these objectives.

These expected effects were to some extent formulated in a SMART way (specific, measurable, achievable, relevant and time-bound). The long term effect is specific (number of projects etc. was set), measurable (100 % independence and amount of money set), achievable (probably), relevant (as explained above) and time bound (by 2020). The immediate effect is not very specific: what is understood by efficient and effective involvement? It is also not measurable nor time-bound. Then again, the evaluation team did not ask the CFA for SMART objectives specifically, but rather asked about the expected or observed immediate and long term effects of the interventions.

Implementation

Yearly Director's meetings were planned during the baseline and these have also been implemented. Each year multiple staff of Smile participated, as was anticipated. Detailed plans on the content of these meetings are lacking, but detailed minutes of the meetings are in place.

Reaching objectives

The focus of this evaluation has been the role of the MFS II funded capacity development interventions in the key organisational capacity changes that were identified, and explain in a detailed causal map. The Director's Meetings came up in the map and narrative on the organisational capacity change 'improved fundraising capacity'. In this regard we can conclude that these meetings were useful as there were in-depth discussions around fundraising and that this was an excellent platform for sharing experiences which led to improved knowledge and skills on branding and fundraising.

With regard to the immediate and long-term objectives that were formulated during the baseline, though not the focus of this evaluation, we observe and the CFA confirms that the immediate objective of "to exchange successes and challenges among the AfC partners and to contribute to efficient and effective involvement of AfC staff, especially through the international contacts" has been achieved. Smile has had exchanges of successes and challenges with the other AfC partners: KCF, Soul City and CESE during the Director's Meetings, as can be seen in the minutes of these meetings. According to the CFA and the SPO, the staff of Smile who have been involved in AfC (mostly the CEO, COO, the AfC coordinator, the coordinator of programs, and the Head of Finance) were all very efficiently and effectively involved and the Directors Meetings have certainly helped in this. The CFA also states that it helped that Smile was very consistent in sending the same people every year, which was efficient (no loss of time because they couldn't grasp all the subjects under discussion) and effective (staff of Smile for instance always gave a quick and good follow up to actions agreed at the Directors Meeting, more so than any of the other partners or even Wilde Ganzen itself). The long term objective has not yet been reached, as it was set for 2020.

Yearly international exchange visit of Smile AfC staff

Design

The immediate objective of this intervention that was formulated during the baseline was the same as the other MFS II funded capacity development interventions: "to exchange successes and challenges among the AfC partners and to contribute to efficient and effective involvement of AfC staff, especially through the international contacts." The long term effect that was formulated was: "fully India-financed AfC programme for Smile by 2020, independent from foreign aid." For the full explanation of the objectives see "*Participation in international Director's Meeting*" above.

The immediate and long term effects of this intervention are the same as for the previous intervention, they are relevant for Smile but partly formulated in a SMART way. Then again, the evaluation team did not ask the CFA for SMART objectives specifically, but rather asked about the expected or observed immediate and long term effects of the interventions.

Implementation

During the baseline it was unclear to which partner the exchange visits would be and when, this is because Smile itself takes the initiative and hands in a proposal for a visit to Wilde Ganzen, which they can then decide to fund.

Reaching objectives

The focus of this evaluation has been the role of the MFS II funded capacity development interventions in the key organisational capacity changes that were identified, and for which a detailed causal map has been developed. The exchange visits came up in the map and narrative on the organisational capacity change 'improved fundraising capacity'. In this regard we can conclude that these exchange visits enhanced Smile's knowledge on brand communication strategies, fundraising ideas, donor retention strategies and high value institutional fundraising which led to improved knowledge and skills on branding and fundraising.

Though not the focus of this evaluation, we can provide an indication of the extent to which the objectives as formulated during the baseline and endline have been achieved. The immediate objective was "to exchange successes and challenges among the AfC partners and to contribute to efficient and effective involvement of AfC staff, especially through the international contacts." Both the CFA and the SPO feel that this immediate objective has been achieved, as the exchange visits helped to increase the motivation of AfC staff of Smile for the programme and for working with Smile. These visits, according to the CFA also led to improvements in the areas studied during each exchange visit, although such improvements can hardly ever be attributed to one exchange visit only. Exchange visits can either help trigger a new process or new ideas, or strengthen an ongoing process. Finally the exchange visits helped in finding practical solutions (those used by the other AfC partners) to concrete bottlenecks encountered during the implementation of AfC (e.g. what to do if a local beneficiary organisation does not raise their 50 % of the funding for the local project?). The long term objective has not yet been reached, as it was set for 2020.

Financial contributions to branding and marketing of Smile

Design

During the baseline the following intervention was mentioned "the AfC program includes (financial) means to develop further in-country fundraising capacity, in order to make the program gradually independent from foreign involvement." These financial means were in this case used as a branding and marketing budget that was 35 percent of Smile's total marketing budget, used at their own discretion. Together with the interventions mentioned above the immediate effect of this intervention would also be: "to exchange successes and challenges among the AfC partners and to contribute to efficient and effective involvement of AfC staff, especially through the international contacts." The long term effect that was formulated was: "fully India- financed AfC programme for Smile by 2020, independent from foreign aid." These objectives have been further explained under "*Participation in international Director's Meeting, once every year.*" During the endline Wilde Ganzen mentioned that an immediate objective of this intervention was to position Smile in society to be able to raise more funds. A longer term effect that the CFA identified was: a more diversified funding base, continued expansion of volume of aid raised domestically and provided by Smile to CBOs and NGOs, Smile part of top 10 or even top 5 of biggest development NGOs in India.

These effects, both those formulated during the baseline and endline were again very relevant for Smile. During the baseline workshop discussions the organisation formulated the condition "established fund raising ability" in order to achieve their goal for the next five years: "improved capacity to achieve international presence and sustainability." Working on branding and marketing to increase visibility to in the end secure financing for the AfC programme of Smile, is in line with these objectives.

The objectives or effects of this interventions as formulated during the baseline were to some extent formulated in a SMART way. The immediate objective formulated during the endline was not very specific and how do you measure whether your organisation has positioned itself? The longer term objectives are also not very specific, measurable (except for Smile in top 5 or 10 and 'continued expansion of volume of aid raised domestically and provided by Smile to CBOs and NGOs') and time-bound. Then again, the evaluation team did not ask the CFA for SMART objectives specifically, but rather asked about the expected or observed immediate and long term effects of the interventions.

Implementation

Smile could use the funding for marketing and branding of their organisation as they seemed fit, and so they did. These funds are for example being used for Smile's TV show on a national channel in which children from the target group of Smile play a role: they explain their problems, sing and dance. This has helped in making Smile more known. It is not known for which specific other branding and marketing activities this budget has been used.

Reaching objectives

The focus of this evaluation has been the role of the MFS II funded capacity development interventions in the key organisational capacity changes that were identified, and which are further explained in the detailed causal map. The financial contributions to branding and marketing of Smile came up in the map and narrative on the organisational capacity change 'improved fundraising capacity'. In this regard we can conclude that the financial contributions of Wilde Ganzen led to brand development and positioning of Smile.

Though not the focus of this evaluation, we can provide an indication of the extent to which the objectives as formulated during the baseline and endline, have been achieved. The immediate objective as formulated during the baseline "to exchange successes and challenges among the AfC partners [...]" does not seem to be achieved. The CFA confirms that this was not the immediate objective of this intervention. Rather it was, as formulated during the endline, "to position Smile in society to be able to raise more funds", has according to the CFA been reached as the number of people having heard of Smile has increased over the years and the number of corporates that donate has also grown. The overall income of Smile has gradually grown too.

Attribution of observed results to MFS II interventions

The improved fundraising capacity of Smile, which was one of the two key organisational changes over the last two years can to some extent be attributed to MFS II organisational capacity development support. Fundraising capacity improved because of an improved functioning of the fundraising department and increased visibility and credibility (see also section 4.3). The improved functioning of the fundraising department resulted from internal organisational factors like hiring new staff and improving interdepartmental communication, but was also due to improved knowledge on branding and fundraising acquired at several trainings and meetings on branding and fundraising. This is where MFS II support to organisational capacity development of Smile played a role, especially the director's meetings and yearly exchange visits. The Director's meetings made the need to diversify the donor base very clear and also the idea to work on fundraising from individual donors was discussed here, while Smile had been trying to work on that for a while. However, the improved knowledge on branding and fundraising was also due to at least three other trainings funded by other funders (Institute of Rural Management Anand (in 2011), Quantum Leap Performance Solutions Bangalore (in 2011) and South Asian Fundraising Group (1st Quarter of 2012)). In addition to the above-mentioned MFS II capacity development interventions that were planned for during the baseline, the improved knowledge on branding and fundraising was also due to two other important trainings that were not mentioned during the baseline by the CFA but that were funded by MFSII. One of these trainings was on fundraising from PSU's which played a role in improving knowledge and skills on fundraising from other sources. The other one was a three day workshop for all staff on on Fundraising, Leadership, Program Management & Governance, Brand Development and Media Advocacy, with a special session for the national fundraising team of Smile on new ways of fundraising for raising premium and organizational cost. This last training led to more efficiency in Smile's fundraising. The hiring of new fundraising staff and in improved interdepartmental integration cannot directly be attributed to MFS II capacity development interventions, but an underlying change in terms of dwindling donor funding, including from Wilde Ganzen (the contract end in 2015, while until September 2014 it was not known whether there would be a new contract) has played an important role in the organisation to strengthen their fundraising capacity.

The fundraising capacity of Smile also improved because of increased visibility and credibility of Smile. This was mainly due to developing and positioning its brand as well as to improved internal and external reporting. This brand development and positioning was partly a result of the contribution of Wilde Ganzen to Smile's marketing budget (around 35 %) and to the knowledge and skills on branding

they acquired through trainings funded by MFS II and other funders as mentioned above. The improved internal and external reporting cannot be attributed to MFS II capacity development interventions that took place after the baseline in 2012.

While Smile's fundraising capacity improved and also the funds raised for their projects increased, they still struggle to raise funds for their own administrative costs. This is something that all NGOs deal with, and the MFS II interventions to strengthen the fundraising capacity of Smile still have to come into effect in terms of raising adequate funds .

The drive to improve the fundraising capacity can also be attributed to a more underlying factor that the overall foreign funding is dwindling, including the fact that the contract with Wilde Ganzen is nearing its end and until September 2014 it was not yet known whether WG could continue funding Smile after 2015. This dwindling of foreign funding and the CSR Bill, led to a need for new funding strategies which had an effect on most of the initiatives Smile has taken to improve its fundraising capacity, including: hiring new staff and sending staff to trainings on branding and fundraising.

All in all, MFS II supported capacity development interventions have played an important role in improving the fundraising capacity of Smile, particularly its improved knowledge and skills on branding and fundraising can be greatly attributed to MFS II funding and its brand development and positioning.

Among the two underlying factors that have led to Smile's improved fundraising capacity, namely improved functioning of the fundraising department and, increased visibility and credibility, the first one has played a more important role. This change, improved functioning of the fundraising department, was due to new fundraising staff, improved interdepartmental communication and improved knowledge and skills on branding and fundraising. While MFS II has played a big role in improving the knowledge and skills, the internal changes of hiring new fundraising staff and improving the communication between the fundraising, programme and communication departments has played an even more important role.

Improved capacity to organise trainings for CBOs

The following MFS II funded capacity development interventions were mentioned by Wilde Ganzen and were linked to the key organisational capacity "Improved capacity to organise trainings for CBOs":

1. Funding of a 3-day capacity development workshop organised by Smile on organisational capacity and local fundraising for CBO's, in July 2013, with observation and recommendations report from a by WG hired Dutch consultant.
2. Funding of a capacity development workshop for 100 participants organised by Smile on local fundraising and mobilising support (other than financial support) (lobby & advocacy), in January 2014, with observations by WG hired Dutch consultants and 1 WG staff.

3-day capacity development workshop in July 2013 on organisational capacity and local fundraising for CBOs with observations and feedback from WG hired Dutch consultant

Design

This specific intervention was not planned during the baseline by the CFA. The training report mentions the following objectives: to identify strengths and points for improvement for the training and to share these with Smile Foundation, to discuss with Smile Foundation lessons learnt and how to use them for the development of the training programme in India, to share lessons learnt and possible use for the programmes in the other countries with Wild Geese. The long term effect the CFA mentions in the endline support to capacity development sheet is: "income generation by using training capacity and methodologies developed for offering training to partner organisations of other donors."

These objectives were relevant for Smile as improved sustainability of their organisation is their goal for the next years. Providing these trainings to CBOs can be a source of income, but the topics they train the CBOs in include local fundraising, so that in the end the CBOs become more capable in local fundraising which aids the sustainability of Smile as an organisation. The model behind the AfC programme and the rationale behind the Social Venture Philanthropy philosophy of Smile is that they provide funding for CBOs but that the organisations themselves also have to come up with part of the

funding through local fundraising. Improving the training programme is therefore a very relevant objective for Smile

The objectives of this training given by Smile with feedback from Wilde Ganzen hired consultants were not formulated in a SMART way. Then again, the evaluation team did not ask the CFA for SMART objectives specifically, but rather asked about the expected or observed immediate and long term effects of the interventions.

Implementation

This intervention was not planned for during the baseline and details about the specific design cannot be provided, since this wasn't the focus of the evaluation. However, the training itself did take place in July 2013 and from the training report it can be concluded that the training was implemented as designed. It dealt with the following topics: local fundraising for sustainability, project management, communication and brand building for sustainability, effective leadership for organizational development & strengthening, good governance for organizational development & strengthening, and building organizational competences – 5 c model.

Reaching objectives

The focus of this evaluation has been the role of the MFS II funded capacity development interventions in the key organisational capacity changes that were identified, as explained in the detailed causal map. The 3-day capacity development workshop in July 2013 of Smile came up in the map and narrative on the organisational capacity change: improved capacity to organise trainings for CBOs. In this regard we can conclude that the feedback that Smile received from Wilde Ganzen hired consultants helped to improve Smile's capacity to develop trainings for CBOs.

Though not the focus of this evaluation, we can provide an indication of the extent to which the objectives as formulated during the baseline and endline, have been achieved. The immediate objectives were "to identify strengths and points for improvement for the training and to share these with Smile Foundation, to discuss with Smile Foundation lessons learnt and how to use them for the development of the training programme in India, to share lessons learnt and possible use for the programmes in the other countries with Wild Geese." According to the CFA and the SPO the training methodology improved and Smile increased their network with the Indian capacity building organisation Dasra. Therefore this immediate objective has been achieved to some extent. However, the CFA also states that this workshop has to be seen as one in a series of workshops. The workshop in January 2014 was the next step. The long term objective of generating income by offering these types of trainings to partner organisations has not yet been reached. To achieve this long term objective MDF consultants are constructing Training of Trainers Courses. After the Train the Trainers Courses have been developed and given to Smile staff, and Smile has created a Trainers Pool or Unit, the organisation can start offering trainings and generate income. Though not a stated aim of the AfC programme, income generation from capacity building workshop can be a possible outcome of the new programme according to Smile.

Capacity development workshop for organised by Smile on local fundraising and mobilising support (other than financial support) (lobby & advocacy) for CBOs, in January 2014, with observations by WG hired Dutch consultants and 1 WG staff.

Design

This specific intervention was not planned for during the baseline by the CFA. Details about the specific design cannot be provided, since this wasn't the focus of the evaluation. Objectives of this interventions could not be found in the minutes of the evening sessions in which the feedback was given by the consultants and WG staff member. The long term effect the CFA expects, as mentioned in the endline support to capacity development sheet, is: ability to develop own programmes on mobilising support (other than financial support).

The long term expected effect is relevant for Smile as improved sustainability of their organisation is their goal for the next years and as Smile may become involved in the Change the Game programme of Wilde Ganzen that they are developing now and in this way secure some funding for the future. As mobilising support (other than financial support) is part of this new programme, Smile's ability to

develop their own programmes on mobilising support (other than financial support) will help Smile to not only participate in the Change the Game programme but also approach new donors for funding.

The expected effect was not formulated in a SMART way (specific, measurable, achievable, relevant and time-bound). Then again, the evaluation team did not ask the CFA for SMART objectives specifically, but rather asked about the observed immediate and expected long term effects of the interventions.

Implementation

This intervention was not planned during the baseline and details about the specific design cannot be provided, since this wasn't the focus of the evaluation. Therefore, no judgement can be made on whether this intervention was implemented as designed. However, the training itself did take place in January 2014. It dealt with the following topics: local fundraising, mobilising support (other than financial support) and lobby & advocacy for CBOs.

Reaching objectives

The focus of this evaluation has been the role of the MFS II funded capacity development interventions in the key organisational capacity changes that were identified, as explained in the detailed causal map. The 3-day capacity development workshop in January 2014 of Smile came up in the map and narrative on the organisational capacity change: improved capacity to organise trainings for CBOs. In this regard we can conclude that the feedback that Smile received from Wilde Ganzen hired consultants helped to improve Smile's capacity to develop trainings for CBOs.

Though not the focus of this evaluation, we can provide an indication of the extent to which the objectives as formulated during the baseline and endline, have been achieved. The immediate effects of this workshop that the CFA observed were: a request to the AfC programme to facilitate the participation of Smile staff to follow a Train the Trainers course at MDF; decreased fear of working with (local) government, willingness to participate also in the "Mobilising Support" part of the new Change the Game programme. According to the CFA, Smile became convinced that mobilising support by CBOs versus local government was feasible, when Smile staff is properly trained in this to train the CBOs. The training of MDF will be given in the spring of 2015 to all relevant Smile staff as indicated by Smile (around 8 persons preferably). The long term objective of Smile developing their own programmes on mobilising support has not yet been reached, as the manner in which to take this forward is still under discussion and development.

Attribution of observed results to MFS II funded capacity development interventions

The increased capacity to organise trainings for CBOs, which was the second key organisational capacity change that happened over the last two years can to a large extent be attributed to MFS II organisational capacity development support by Wilde Ganzen. This capacity improved because of a well-trained dedicated team that looks after the CBOs, feedback on trainings that Smile organised and learning from experience in conducting workshops (see also section 4.3). The well-trained dedicated team working with CBOs resulted on the one hand from an internal organisational factor: the redesign and restructuring of the organisation, but on the other hand was also an effect of trainings and exposure visits for this team that were funded by MFS II, feedback on trainings from consultants hired by Wilde Ganzen and learning from experience in conducting workshops that were funded by MFS II.

Under the trainings and exposure visits supported by MFS II, the Director's Meetings that were mentioned under the previous capacity change also played a role. This meeting set the tone for innovations on empowering grassroots and brand building. Smile's CBO team after the 2013 meeting, started improving the quality of the capacity building programme to empower the grassroots. Another training that falls under this is the three day capacity building workshop that was organised for all Smile's staff, which was not planned for during the baseline but was funded by MFS II (Wilde Ganzen). This training helped the CBO team to train the CBOs as they could use the topics discussed during this workshop in the trainings they organised for CBOs. As far as the evaluation team could gather from information provided by Smile and Wilde Ganzen, there were no trainings on the same topics that were funded by other funders.

MFS II also played a role in the feedback provided on trainings which both directly and indirectly through the CBO team had an effect on Smile's increased capacity to organise trainings for CBOs. The

first training Smile received feedback on is the “Empowering Grassroots Capacity Building training” for CBOs in July 2013. This is the first MFS II capacity development intervention mentioned above under this capacity change. MFS II funding played a role in this feedback as Wilde Ganzen facilitated the feedback on the trainings from its own consultant and the participants. There was a second training in January 2014, which was a consequence of the July 2013 workshop to pilot a workshop on mobilising support (other than financial support). This is the second MFS II intervention mentioned under this capacity. Smile also received feedback from participants, the WG consultants and a WG staff member, and staff from the AfC partner organisation from Brazil on this trainings. This has helped Smile improve its capacity to organise trainings for CBOs and has also strengthened the CBO team. As far as the evaluation team could gather from information provided by Smile and Wilde Ganzen, there were no other funders that have provided this type of feedback to Smile.

Another factor to which a strengthened CBO team for Smile’s increased capacity to organise trainings for CBOs can partly be attributed, included simply the learning from experience in conducting and organising these workshops. The two workshops above were part of a series of 7 workshops that Smile has organised since the baseline, that were all funded by MFS II.

All in all, MFS II supported capacity development interventions have played an important role in improving the capacity of Smile to organize trainings for CBO, particularly in terms of enhancing the competencies of a now well-trained CBO team. This can largely be attributed to MFS II funded training, consultant feedback on their training and facilitation and the experience that Smile gained in organizing these trainings. The only other change that led to a dedicated and well-trained CBO team is the “redesign and restructuring of the organization”, which cannot be attributed to MFS II supported capacity development interventions. This change has played a less important role in the improvement in the CBO team, therefore more weight is given to the changes that can be attributed to MFS II supported capacity interventions, namely trainings, consultant feedback and the experience Smile got through giving trainings funded by MFS II.

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List of documents available

131127 - Final T4C Partners 2013 Fundraising Workshop Report.docx
AFC Directors Meet 2013- Brazil.doc
AfC Narrative Reporting 2013 SMILE delivered 20140210.doc
Annual Plan 2012 Smile.docx
Appendix 32 Outline Proposal Action for Children - Alliantie Together for change.pdf
Contract Smile.pdf
Empowering Grassroots_jul2013_draft.docx
Media Coverage Report - Empowering Grassroots.pdf
Minutes of evening sessions Change the Game meeting Bangalore, India, January 2014.docx
Minutes evening meetings Kisumu 2013.pdf
Minutes of AfC meeting Mombasa 17-10-2012.docx
Monitoring visit Smile by Esther Haalstra.doc
Monitoringvisit WildeGanzen at Smile April 2014.doc
Narrative -annual report AFC Smile 2011 (f).docx
Outline Annual Plan AFC programme 2013.doc
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Quarterly Financial Reporting AfC Q4_2012 SMILE delivered 20130205 Updated - cashflow request.pdf
Quarterly Financial Reporting AfC Q4_2012 SMILE delivered 20130205 Updated - financial monitoring.pdf
Quarterly Financial Reporting AfC Q4_2012 SMILE delivered 20130205 Updated - fundraising results.docx
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Report on Exchange Learning Visit with KCDF by Smile.doc
Smile exchange with Soul city.doc
SMILE Financial report-Q4 2011 aangeleverd 20120206 met 3 maands gem koers.pdf
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Smile Foundation-Narrative 2012.doc
Smile's exchange with Cese.docx
Summary of T4C 5C Smile 2013.docx
WG Quarterly Financial Reporting AfC Q4_2013 SMILE delivered 20140210 FINAL fundraising results.docx
WG Quarterly Financial Reporting AfC Q4_2013 SMILE delivered 20140210 FINAL.pdf
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AFC Directors Meet 2011 (final).doc
Copy of Staff Training (Robert Bhatra's conflicted copy 2014-05-09).xls
Copy of Staff Training.xls
Evaluation -Final Report Smile Foundation 2010.doc
Organogram.docx
Outline AfC Narrative Reporting 2013-1st Quarter.doc
Outline AfC Narrative Reporting 2014.doc
Outline Narrative -annual report AFC (f).docx
Project information doc_IPER.docx
Project information doc_IPER.dotx
Quarterly Financial Reporting AfC Q2_2012 SMILE 1(1).xls
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REPORTING SCHEDULE.doc
Smile Foundation-Narrative 2012.doc
Smile Staff Training 2012-2013.doc
Summary of documents & ppts related to fundraising & communication.docx
Thank you cards.docx
WG Quarterly Financial Reporting AfC Q4_2013 SMILE - fundraising results.pdf
WG Quarterly Financial Reporting AfC Q4_2013 SMILE.pdf

WG Quarterly Financial Reporting AfC Q4_2013 SMILE.xls
WILDE GANZEN Anti fraud and Sanction policy.docx
afc contract2011-15.doc
Annual Narrative Report-2010.docx
Hospitality Biz India __ CSR_ Practice What You Preach.pdf
HR PPT Goals Work Plan 2014.pdf
IP-2014.pdf
Presentation - Content & Creative.pdf
Sandip. Comm. 21052014.pdf
STeP_2012 (operational guidelines).pdf
techcomm_2014.pdf
Thank you and Spot the hero card.jpg
The New Indian Express.jpg
Corporate Partnerships.ppt
External Communication 2014 - 2015.ppt
IP-2014.ppt
Presentation - Content & Creative.ppt
Sandip. Comm. 21052014.ppt
techcomm_2014.ppt
HR PPT Goals Work Plan 2014.pptx
afc contract2011-15.doc
AFC Directors Meet 2013- Brazil.doc
AfC Narrative Reporting 2013 SMILE delivered 20140210.doc
learnings from IP sessions.doc
Outline AfC Narrative Reporting 2013-1st Quarter.doc
Outline Annual Plan AFC programme 2013.doc
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Report on Exchange Learning Visit with KCDF by Smile.doc
Smile Foundation-Narrative 2012.doc
Empowering Grassroots_jul2013_draft.docx
Minutes of evening sessions Change the Game meeting Bangalore, India, January 2014.docx
Minutes of AfC meeting Mombasa 17-10-2012.docx
Report workshop March 3-7 2014.docx
Smile's exchange with Cese.docx
Vijay Karnataka.docx
Contract Smile.pdf
Corporate Partnerships.pdf
External Communication 2014 - 2015.pdf

Fieldwork data:

Appendix K_5c endline workshop_key changes and factors_SPO perspective_India_SMILE.docx
5c endline observation sheet - observations by in-country evaluators during the endline capacity assessment at the SPO_SMILE.docx
5c endline self-assessment India Smile - Program staff.docx
5c endline self-assessment sheet_Group II management_India_SMILE.docx
5c endline self-assessment sheet_Group II management_India_SMILE_NB.docx
5 C Endline Assessment - Group - I - management - Smile - India.doc
5C Endline Assessment - India Smile - field staff.docx
5C endline self-assessment India Smile -HRM and admin.docx
5c endline_questionnaire_training_participant_perspective_India_Smile_name_SMILE_Satnam Singh (Chief Manager - Programmes participant.docx
5c endline_questionnaire_training_participant_perspective_India_Smile_namep_SMILE_Bipasha Patnaik(Chief Manager - Programmes) participant.docx
5c endline_questionnaire_training_participant_perspective_India_Smile_namep_SMILE_Kavita Tiwari (Resource Mobilization) participant.docx
ATTENDANCE SHEET for SMIEL 14-16 May Workshop.docx

5C endline_support to capacity development sheet_CFA perspective_India_SMILE_WildeGanzen_NB_interview.docx
final 5c endline_assessment sheet_Dutch co-financing organisations_India_SMILE_WildeGanzen_NB_interview.docx

List of Respondents

Smile staff:

SL.NO	NAME	DESIGNATION	14 th May	15 th May	16 th May
1.	Vikram Singh Verma	COO	Present	Present	Present
2.	Sandip Nayak	AGM (Fund raising and communication)	Present	Present	Present
3.	Pratap Roy	AGM (Finance)	Present	Present	Present
4.	Swatantra Gupta	National Manager (Corporate partnership)	Present	Present	Present
5.	Puja Trisal	GM - Programmes	Present	Present	Present
6.	Hema Malhotra	Manager (HR)	Present	Present	Present
7.	Rajeev Sharma	GM - Corporate Partnerships	Present	Present	Present
8.	Satnam Singh	Chief Manager - Programmes	Present	Present	Present
9.	Bipasha Patnaik	Chief Manager - Programmes (STeP)	Present	Present	Present
10.	Joieta Rajput	Manager – Corporate Partnership	Present	Present	Present
11.	Kavita Tiwari	Manager - Alliance	Present	Present	Present
12.	Sonia Tohan	Finance & Accounts	Present	Present	Present
13.	K.M. Srivastava	Finance & Accounts	Present	Present	Present
14.	Prashant Mishra	Finance & Accounts	Present	Present	Present
15.	Swagata Sengupta	HR	Present	Present	Present
16.	Ashok Mohapatra	AM – TECH & DIGITAL COMMUNICATION	Present	Present	Present
17.	Prashant Kumar	Placement Officer - Programme	Present	Present	Present
18.	Vivek	Sr. Executive - Programme	Present	Present	Present
19.	Uttam Dutta	Officer - Programme	Present	Present	Present
20.	Akanksha Rawat	Associate - Communication	Present	Present	Present

CFA

Robert Wiggers, Deputy director; Manager of programs and strategic policy at Wilde Ganzen. Interviewed on 3 April 2014.

Others

Ira Das, OD Consultant, providing support in mentoring and staff appraisal. Interviewed on 20 May 2014.

Appendix 1 Methodological approach & reflection

1. Introduction

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

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

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

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

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

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

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

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

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

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

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

The description of indicators for the baseline in 2012 served as the basis for comparison during the endline in 2014. In practice this meant that largely the same categories of respondents (preferably the same respondents as during the baseline) were requested to review the descriptions per indicator and indicate whether and how the endline situation (2014) is different from the described situation in 2012.⁵ 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:

- 6) **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;
- 7) **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;
- 8) **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;
- 9) **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;
- 10) **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

16. Provide the description of indicators in the relevant formats – CDI team
17. Review the descriptions per indicator – in-country team & CDI team

⁵ 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.

18. Send the formats adapted to the SPO to CFA and SPO – in-country team (formats for SPO) and CDI team (formats for CFA)
19. Collect, upload & code the documents from CFA and SPO in NVivo – CDI team
20. Organise the field visit to the SPO – in-country team
21. Interview the CFA – CDI team
22. Run the endline workshop with the SPO – in-country team
23. Interview SPO staff – in-country team
24. Fill-in observation sheets – in-country team
25. Interview externals – in-country team
26. Upload and auto-code all the formats collected by in-country team and CDI team in NVivo – CDI team
27. Provide to the overview of information per 5c indicator to in-country team – CDI team
28. Analyse data and develop a draft description of the findings per indicator and for the general questions – in-country team
29. Analyse data and develop a final description of the findings per indicator and per capability and for the general questions – CDI team
30. 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

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

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

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

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

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

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

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

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

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

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

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

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

Background information on process tracing

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

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

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

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

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

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

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

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

Selection of SPOs for 5C process tracing

Process tracing is a very intensive methodology that is very time and resource consuming (for development and analysis of one final detailed causal map, it takes about 1-2 weeks in total, for

different members of the evaluation team). It has been agreed upon during the synthesis workshop on 17-18 June 2013 that only a selected number of SPOs will take part in this process tracing for the purpose of understanding the attribution question. The selection of SPOs is based on the following criteria:

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

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

ETHIOPIA

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

Table 1

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

Capability to:	AMREF	CARE	ECFA	FSCE	HOA- REC	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 nd phase)	Yes	Yes	Yes	Yes	ICCO & IICD	Suitable but ICCO & IICD already involved for process tracing - HUNDEE
TTCA	June 2015	Partly	Yes	No	Yes	Edukans Foundation	No - not fully matching

INDIA

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

Table 3

The extent to which the Dutch NGO explicitly targets the following capabilities – India⁶

Capability to:	BVHA	COUNT	DRISTI	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

⁶ 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 ikologi	ECPAT	GSS	Lem bage 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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

A model of change of good quality includes:

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

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

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

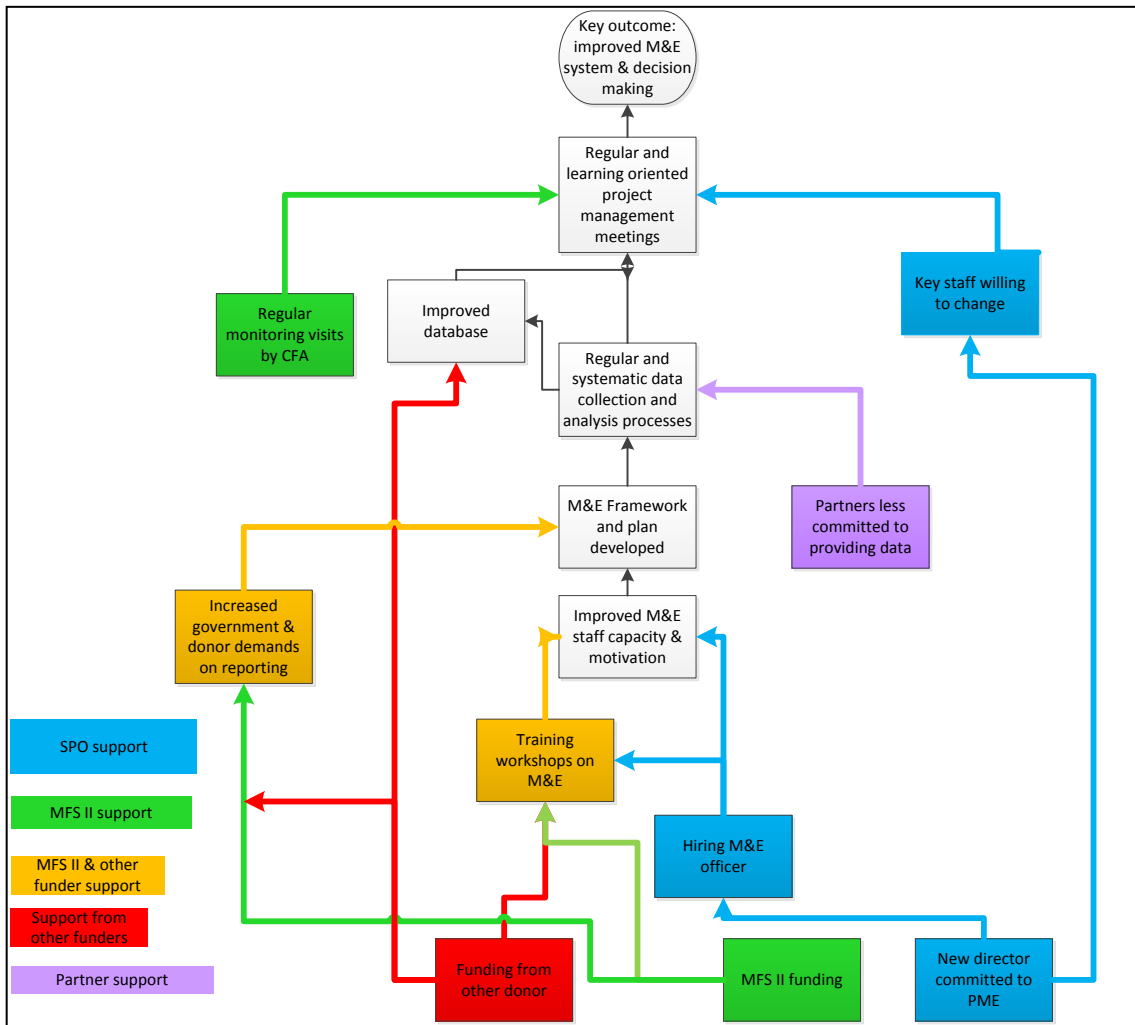


Figure 1 An imaginary example of a model of change

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

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

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

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

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

Types of evidence to be used in process tracing

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

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

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

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

Source: Beach and Pedersen, 2013

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

Table 9

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

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

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

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

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

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

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

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

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

Confirming/ rejecting a causal relation (yes/no);

Type of causal mechanism: intended contribution/ other contribution/ condition leading to intended contribution/ intended condition to other contribution/ feedback loop;

Strength of evidence: strong/ rather strong/ rather weak/ weak.

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

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

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

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

4. Explaining factors – evaluation question 4

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

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

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

5. Methodological reflection

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

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

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

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

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

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

A few remarks need to be made:

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

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

Utilisation of the evaluation

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

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

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

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

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

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

Appendix 2 Background information on the five core capabilities framework

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

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

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

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

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

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

Competencies are the energies, skills and abilities of individuals.

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

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

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

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

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

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

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

Capability to act and commit

Level of Effective Leadership

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

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

The leadership of the organisation still remains visionary, charismatic, effective, cooperative and inspiring, participating in meetings on a regular basis and gives due importance to the viewpoint of individuals. The main improvement since the baseline has been the inclusion of a new position of the Chief Operating Officer (COO). The COO understands the complexities and issues pertaining to the day to day functioning of each department. He interacts positively with staff and departmental heads report to him, which gives the Executive Trustee time to focus on planning and strategizing while not having to worry about day-to-day operations. Before reaching at any conclusion or final decision, the management gives due respect to the viewpoints of concerned people by adopting a more inclusive and consultative approach. The Executive Trustee consults the COO and Departmental heads before making a decision. Programmatic level decisions are taken quickly and effectively. The following areas are the ones in which the organisation has improved since the baseline.

- Increase in participatory decision making approach;
- Developing second cadre of leadership;
- Decentralisation of responsibilities at various levels, e.g. departmental heads have more decision making power;
- The younger, middle management staff have grown in experience, self-confidence and trust;
- Synchronisation of all departments for achieving the common goal.

Smile has developed a strong review mechanism, with frequent discussions held with the management on organisational growth. Exposure to trainings and sessions at various levels has also been given specific priority. In addition to this, various HR related initiatives have been undertaken to increase productivity. The most important factor has been the flexibility in decision making that has been given at all levels.

Score baseline: 4

Score endline: 4.5 (slight 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

Leadership still provides good strategic directions, as leadership is visionary and in touch with trends in the sector, and leaders have a strong and common vision on the strategy of the organisation and

programmes. During the baseline there was a high degree of dependence of staff members on senior management for important decisions. In this regard, the appointment of the COO in January 2013 has been a welcome move. Departmental Heads have also proactively started taking ownership of their responsibilities.

Based on the nature of the work, decision making has now been delegated at various levels. The COO plays a proactive role. The Departmental Heads are also given independence to make their own decisions as long as they are in line with the Annual Goal & Work Plans which have been worked out in consultation with the Management. The Departmental Heads ensure to keep management informed about all the operational aspects.

Many operational decisions are taken as per the job responsibility of the employees. Also, lot of operational activities are already decided in monthly, quarterly and annual plans which helps to take decisions faster. In case there are any deviations in the works plan or any strategic decisions required to be taken, appropriate steps are taken in consultation with departmental heads, the COO and the executive trustee.

To illustrate the specific steps that have been undertaken since the baseline:

- Induction has been streamlined for all new staff which includes detailed interaction with all department and divisions, but also practical induction like field visits etc. The same has been strengthened through an effective induction docket.
- Building leaderships at all levels by exposure of all the staff members into regular cross exchange programmes. Sufficient independence is given to every single member in execution of their roles and responsibilities.
- Standard operating processes have been developed for all the departments at various levels and are a part of the induction process.
- Decision making has been decentralized to the second level of leadership.

Score baseline: 3.5

Score endline: 4.5 (improvement)

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

This is about staff turnover.

Since 2012 there has been a considerable improvement in the situation of staff turnover at all the levels. Generally, the fundraising department experiences huge attrition but since the last two years the fundraising unit had a negligible turnover. Other departments like programme or communication had a very low attrition rate except for people that left due to personal reasons like marriage etc.

One of the reasons of curbing this attrition is that in Smile each department has a clear objective and there seems to be no confusion unlike a few years back. All the departments have a clear thought process and working methodology with the right kind of expectations.

Also, Smile's positive environment has motivated people to stick to the organisation and undoubtedly people at the leadership positions have played an important role to nurture their subordinates.

Positive steps that have been taken which have resulted in reduction of staff turnover are:

- There has also been an improvement in the increments which had a positive impact on staff turnover.
- New initiatives by HR for retention and appreciation of employees, and stress management workshops for employees;
- HR initiatives like 'Spot the Hero' and 'Thank You' cards to build mutual appreciation among the employees, encouragement and appreciation of employees at all levels (at times, whole staff meetings are called to laud a particularly commendable employee);
- Trainings for professional enhancement of employees – a motivational factor.

However, staff turnover remains high at lower levels due to low salary structure.

Score baseline: 3.5

Score endline: 4.0 (slight improvement)

Level of realistic strategic planning

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

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

A new Chief Operations Officer (COO) was hired in January 2013 with a view to give this position more independence to deal with the day to day running of Smile's operations, while the founder trustee could focus more on strategic and patronage issues to Smile. This was an important step in a direction to further decentralize Smile's organisational structure. The COO also started in this role with a profile which was significantly different than the previous incumbent in the same position. Among other immediate tasks undertaken by the new COO, was review of the roles and responsibilities of the staff, their capacities and their workloads. This was followed by a consultation and discussion with the board and department heads which resulted in the revamp and restructuring of the organogram and a revision of job profiles. The overstrained departmental heads are now supported by junior staff. This reduced the burden on the senior staff's time to allow them to work on improvements of the existing processes and identification of newer issues. This also enabled staff to share and learn from other departments within the organisation. The revamped structure brought in a decentralized and consultative approach that gave autonomy to different departments which further led to Interdepartmental integration.

Structural changes in the organogram have been undertaken with a focus on strengthening second line leadership and providing autonomy to departments, sub-departments and thematic teams. Assessment of all staff, their roles and responsibilities, their capacities, workloads; revision of job profiles has also been accomplished.

Score baseline: 4.0

Score endline:4.5 (slight 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.

At Smile Foundation, the development of the programme strategy is still part of an annual planning exercise in consultation with stakeholders. The strategies are reviewed every year by the concerned programme team and then shared with senior leadership for a discussion. For some of the long term missions it was observed that strategies are followed for a block period of 2 to 3 years with necessary improvements each year. This is also illustrated by Smile's narrative report of 2012. It regards the annual plan of 2013 as still relevant, but indicates that sometimes due to some unforeseen reasons, there is always a possibility of shuffling the activities as defined in the plan. The Smile team believes that this does not affect the quantitative targets and ultimately Smile's past experience and meticulous planning helps achieve all its qualitative targets as well.

Score baseline: 4.0

Score endline: 4.0 (no change)

Level of translation of strategy into operations

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

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

Management has been taking keen interest in the planning and operations of each department. Strategic discussions are planned and for the last two years, the yearly goals, vision and work plans have been discussed in presence of all departments, to develop mutual understanding for better day to day operations.

Some of the notable changes since the baseline are:

- The planning exercise is being done in the beginning of the Fiscal Year in consultation with stakeholders. The viewpoints shared by them are thoroughly analysed;

- The inter-departmental weekly meetings and monthly review with the management help to be focused on planning day to day operations to achieve the Yearly Goals;
- While the processes have remained the same, the targets have become specific in terms of focus, defined parameters, elaborate work plans, precise and specific outcomes;
- The entire work approach has become quality oriented as Smile constantly tries to benchmark its work with the best in the sector.

Score baseline: 4.0

Score endline: 4.5 (slight improvement)

Level of Staff Capacity and Motivation

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

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

Structural changes in the organogram have been undertaken with a focus on strengthening second line leadership and providing autonomy to departments, sub-departments and thematic teams. Assessment of all staff, their roles and responsibilities, their capacities, workloads; revision of job profiles has also been accomplished.

This reduced the burden on the senior staff's time to allow them to work on improvements of the existing processes and identification of newer issues. This also enabled staff to share and learn from other departments within the organisation. The revamped structure brought in a decentralized and consultative approach that gave autonomy to different departments which further led to Interdepartmental integration. Thus, departmental heads are in a better position to address the set of skills they would need to deliver on the key performance indicators set for their departments.

The staff recruitments at middle and higher level are done through a stringent recruitment process thus resulted into recruitments with required skill sets. At the junior level recruitments are focused majorly on new, young staff with limited skill sets. During their tenure with the organisation they are trained through continuous hand-holding by respective seniors. Such staff after acquiring required skill set move for better opportunities.

Further customized trainings and exposure programme make the staff have the necessary skills to deliver on their roles. Compared to the baseline the gap of staff's skills in narrative reporting and marketing has been filled.

Score baseline: 4.0

Score endline: 4.5 (slight improvement)

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

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

During the last two years Smile significantly focused on trainings and the level of training has been increased for middle and senior level staff. But no improvement has been observed at the junior level except inter-department handholding by respective reporting managers.

In order to develop the capacities of second level leadership, a series of workshops, training programmes and exposure visits have been organized focused on thematic areas, personality development, team work and coordination and specific skill sets, like fundraising. In-house trainings also contributed significantly towards development of the organisation.

Smile has a focussed approach to capacity building which includes recruiting people with appropriate skill sets, needs assessment of training by the OD consultant followed by training-in house, inviting resource persons and sending staff on exposure visits. The fundraising, programme, communication and governance team have all received specialised training in their area during the last 2 years. For field and lower level staff, in-house workshops are being conducted regularly primarily focusing on their monitoring, management and communication skill.

Some of the trainings and exposure programmes provided since the baseline include:

- Individual Fundraising Workshop

- Fundraising from Public Sector Units
- Specialized Training on MIS, reporting, monitoring and evaluation to Regional Officers/Project Managers. Also, a detailed discussion was organized as how to overcome challenges/concerns faced by managers and alternatives for addressing the same. Further, the roles and responsibilities of Project Managers/Regional Officers were discussed on community involvement including media, corporate houses, middle class etc. for civic driven change and fundraising.
- Capacity Building Workshop on Fundraising, Leadership, Program Management & Governance, Brand Development and Media Advocacy for all Smile Staff in National Conference
- Exchange Visit to Soul City Institute (South Africa)
- Face- to-Face fundraising workshop

Score baseline: 3.5

Score endline: 3.5 (no change)

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

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

The drive of staff members can be observed by their enthusiasm and the seriousness to complete all tasks even if this requires more time. Staff is proud of the quality of products and services delivered by them.

Though the financial incentives are not at par with the market, the organisation is trying to incentivise performers. The appraisal system plays an important role in identifying performers. Financial incentives are in place for only the fundraising teams, though other teams get recognized through various staff retention initiatives like thank you cards, "Spot the hero" and awards or certificates during organisational meets like the National Conference. There is immense freedom to work and grab opportunities. This is also felt as incentives by the staff.

Since there has been some considerable growth in resource raising, the organisation is taking care to the best of ability to fulfil the monetary requirements of the team members. Other than monetary benefits, incentives through skills enhancement is also an aspect that has been actively worked out and received well by the staff.

Score baseline: 3.0

Score endline: 3.5 (slight improvement)

Level of Financial Resource Security

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

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

Smile continues to effectively raise funds for premiums and for organisational costs, mainly from the corporate sector. Smile's corporate fundraising approach has emerged to be more structured and strategic as more qualified and experienced professional staff are at the helm of affairs. There is an increased number of big corporate donors and a better reporting system in place for donors. New donors like Union Bank, LIC, RECL, Hyatt, Harley Davidson have been roped in because of an effective communication strategy, specific and specialized communication material for acquisition, retention of corporate and individual donors, receiving timely trainings for all fundraising teams and having credible organizations as Smile's supporters has led to trust by other corporate and PSUs.

The fundraising staff of Smile consists of 14 people for the corporate team and Smile would like to increase the team for individual fundraising based in Delhi, Mumbai and Bangalore. Every department has corporate, individual, institutional and child for child fundraising staff.

During the baseline it was observed that Smile should strengthen its individual donor partnerships. Smile is currently preparing to set up a new programme for individual fundraising. From their research they found that one of the main challenges is the competition with INGOs who can invest vast amounts in building their social and fundraising programmes. With limited resources available, developing a strong and profitable individual giving programme poses a challenge to Smile. Therefore,

Smile plans to organize focus groups with donors regularly as a low-investment way of doing qualitative research to understand the needs and interests of donors to set up programmes to appeal the individuals for giving. The current network of corporate high-level individuals can be a powerful entry point to set up a medium and a major donor programme in the near future. Smile will try to create linkages between the individual giving with corporate giving programmes.

A well thought-out aggressive branding strategy is in place. Branding Smile aggressively results in attention from multiple sources of potential funding. A number of celebrity events, campaigns, interviews and interactions with distinguished personalities were held in 2013. These activities got covered in national and regional newspapers, radio and TV giving wide branding as well as advocacy for the cause that Smile Foundation is involved in. Due to brand penetration a lot of international organisations are showing interest in partnering with Smile. The communications department is now divided into internal and external communications divisions. While the internal department creates content (types of programs being implemented, their impact etc.) for circulation for both within and outside the organization the external division is responsible for public relations and media coverage. They realized that in order to tap resources from individuals it is important to focus on brand building as individuals before donating check the credibility and branding of organizations. Further, CSR being at a nascent stage, the Government and Corporate are yet to grasp the full implications of developmental work and thus, sometimes there is a clash with Smile's own organisational interests. However, Smile is trying its level best to contribute towards changing the prevailing situation.

Smile has been able to increase the diversity of its funders since the baseline. They are now receiving funds from 170 corporates, compared to 140 during the baseline. The corporates and Public Sector Units (PSUs) they receive funds from include: Barclays, British Council, Bank of America, Caterpillar, Capgemini, GAIL, GE, Ginni Filaments Ltd., HP, HDFC, HSBC, IBM - Daksh, IDBI Bank, Indian Institute of Foreign Trade, International Management Institute, Lotus Herbals, Microsoft, Sandwood Infratech, SAIL, Suzlon Energy, TARGET, Tata Chemicals Limited, TCS, The Grand Hotels, Times Foundation, UPS, Verint, Graphic Prints and Air France KLM etc. Smile also receives funds from individual partners, through charity sale amongst high end luxury brands like TODS and Ethos, etc.

Score baseline: 3.0

Score endline: 4.0 (improvement)

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 resource mobilization unit consists of four departments: corporate partnership, individual partnership, alliances and child for child. In the corporate department the funds raised are mostly programme level funds for either education, empowering women, healthcare or livelihoods. The new alliances department is for outreach projects, which is donor driven and fully donor financed and targets Public Sector Units and institutional collaboration. Donors are still treated as customers through donor retention and nurturing programmes for both corporate and individual donors. There was no attrition in the corporate partnership team and because of regular internal and external trainings, the momentum of fundraising from the team is good. Furthermore, the individual partnership department has started performing and some encouraging results are also seen. Trainings were given for fundraising staff on e.g. fundraising from public sector units and on face to face fundraising.

The following funding procedures are in place :

CSR Bill – The new CSR Bill which got approved by the Parliament (and will be effective from April 2014) is a great opportunity for Smile Foundation as corporate organisations would be required to spend 2 percent of their net profit for social development.

Ramp for Champs – Over the last few years Smile's celebrity fashion show for the cause has become a new property which is getting acceptance in major cities of India.

Brand Association – In the recent past Smile has experienced that because of being able to communicate well about the good work Smile is doing, many of the reputed brands are looking forward to get associated and for Smile definitely it's an opportunity.

Art Shows - The fundraising team in the recent past partnered with Hyatt to organize a multi city Art Exhibition-cum-sale. Smile did a lot of research and realized that India has a big Art market and Art could be one more interesting aspect to raise own cost or premium.

Luxury Brands - Another new area which Smile identified to raise own cost or premium is luxury brands. Smile has been successful in doing events like charity sale amongst high end luxury brands like TODS and Ethos and now they are trying to build a strategy to continuously engage luxury brands for such associations.

Celebrity Cultivation -There has been a slight improvement in celebrity's mind-set when it comes to charity. Now celebrities are (though few of them) at least trying to connect with a cause as they think it may positively impact their brand image in the society.

Mass Media Campaign - Also, mass media campaigns are gradually becoming popular amongst TV channels and it seems in coming times Smile will get an opportunity to scale up its Choone Do Aasman campaign and it may become one of the major sources of raising own cost and premium.

A challenge at the moment is the economic slowdown. Corporates have become more selective when it comes to investing for a cause. This in turn is restricting Smile to set up quality projects as even institutional funds are no longer readily available.

Score baseline: 4.0

Score endline: 4.0 (no change)

Summary of capability to act and commit

The main change in terms of leadership was the strengthening of second line management through the appointment of a Chief Operational Officer (COO). Decisions are taken in a more participatory manner in consultation with departmental heads, the COO and the executive trustee. The induction process has been streamlined and leadership is built at all levels by exposure of staff to trainings and decentralisation. Staff turnover is lower in some departments than during baseline, this is because there is more clarity on responsibilities and objectives and there are HR retention and appreciation policies in place. Staff turnover is still higher at lower levels. Structural changes in the organogram of the organisation brought in a decentralized approach that gave autonomy to different departments which further led to interdepartmental integration. Departmental heads are in a better position to address the set of skills they need due to decentralisation and more autonomy in the departments. This is guiding middle and higher level staff recruitment and at junior level staff is trained by seniors. The gap in skills in narrative reporting and marketing that was present during baseline has been filled. Trainings have improved for middle and senior level staff, but no improvement has been observed at the junior level. Next to trainings, the freedom at work makes staff members driven and enthusiastic to work for Smile, even though financial incentives are still not at par with the market.

The development of programme strategies is still part of an annual planning exercise in consultation with stakeholders. For longer term programmes strategies are adjusted when needed. There are now inter-departmental weekly meetings and more specific targets in terms of focus, defined parameters, elaborate work plans, precise and specific outcomes, guide daily operations.

Smile continues to treat its donors as customers through its retention and nurturing programmes. Donors are still treated as customers through donor retention and nurturing programmes for both corporate and individual donors. New and innovative ways of fundraising have been introduced and the new alliance department for outreach project (which is donor driven and fully donor financed and targets Public Sector Units and institutional collaboration) and individual partnership department have strengthened Smile's strategy of fundraising among public sector units and individuals. Smile continues to effectively raise funds from the corporate sector. The organisation is now tapping into individual fundraising, by implementing a much needed, strong and credible brand strategy. Smile is closely following the developments of the CSR bill for new funding opportunities. While Smile is focussing a lot on fundraising the fruits of these efforts will be reaped in the coming years. The response from the donors is usually not an immediate one.

Score baseline: 3.5

Score endline: 4.0 (slight improvement)

Capability to adapt and self-renew

Level of effective application of M&E

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

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

As a principle, Smile has put M&E as part of its operations system. All MIS formats and systems have been made compatible at the national level within departments and respective programmes. To achieve and maintain this, regular capacity workshops have been organized covering grassroots partners of all the regions wherein need and the method of proper reporting has been stressed and it has led to improvement in this regard. The human resources within the organisation have been restructured thereby giving focused attention towards MIS requirements. Furthermore, experienced staff with M&E skills has been recruited and MIS systems have been standardized. The regional officers now send detailed monthly plans to the head office detailing actions of the tour plan and the purpose of visit. After thorough discussion with the Responsibility Centre Heads and Chief Manager Programmes, the monitoring visit plans are authorized. Monthly monitoring visit reports are shared with the head office regularly. The observations from head office are shared with the regional officer and partner on the ground. During the next visit the regional officers keep a check on feedback given to the partner. The Project Implementation Plan is in place to check the achievements against the targets on a regular basis. The communications department has been working more closely with all the programmes, as well as assessing programme outcomes and impact. It is their responsibility to communicate programme achievements and impact both within and outside the organisation.

The following systems have strengthened the existing system:

- Innovations like online web based appraisal system
- Number of site visits has increased to keep a thorough check on the monitoring aspects
- Analyses of the outcomes are done on a regular basis
- Started the feedback process to the partner and implementing staff
- Streamlined and timely MIS
- Focus on improvements in quality
- Quantifiable & results oriented system
- GPS in all Smile on Wheels

However, issues regarding the availability of technology in remote areas are still a constraint.

Score baseline: 4.0

Score endline: 4.5 (slight improvement)

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

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

During the baseline a need for training staff to improve the quality of M&E was indicated, and workshops on M&E are a part of Smile's capacity building programme. In 2012 and 2014 regional officers were trained on maintenance of MIS, reporting, the purpose, processes and principles of M&E in the context of evaluating the impact of the projects/ programmes, and on different tools and techniques for quantitative data gathering and qualitative reporting. Furthermore, experienced management staff at the head office level continuously helps regional officers and guides them on proper M&E. There is no dedicated M&E person. Each programme has in built M&E and it is the responsibility of the programme head to take care of the M&E. However, the use of technology has made it easier to monitor and track programme activities.

Score baseline: 3.5

Score endline: 4.0 (slight improvement)

Level of strategic use of M&E

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

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

There is an improvement in the involvement of the field staff, especially regional officers and project coordinators during the planning of the future strategy. They contributed actively in terms of which indicators to include in the M&E framework. In the past, Smile has identified the shortfalls of regional and project coordinators, and other key field staff have been involved in strategy development and training on M&E. The plans for the each year are now developed through a participatory process involving all the staff members including field staff. Each division head is supposed to make a presentation on the previous year's achievements as well as plan for the coming year. This is usually done in presence of all the division heads and there is an open discussion for understanding the reasons for non-achievement of targets and planning for the future. A good example on how a better monitoring system leads to future strategies would be - Grading of STeP centres. In this case, performance grading was planned for Mission Education which formed the basis for arriving at decisions. Data is used to analyse trends and arrive at informed strategic decisions.

Score baseline: 3.5

Score endline: 3.5 (no change)

Level of openness to strategic learning

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

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

The management still takes considerable interest in functioning of all departments, and monthly meetings are regularly held for reviews. A more participatory way of working is being encouraged by the management.

Some of the steps are:

- Annual Review – Hits & Misses
- Creation of an Operations Support Group (OSG) was constituted to further enhance the process of decision making in case of any exigency. The OSG is constituted by senior members of the program division, finance and resource mobilization department
- Monthly Review Meetings
- Setting up of Key Performance Indicators to be able to track their progress and identify reasons for poor achievement

Smile has continued to carry on it's the standard operating procedures.

Score baseline: 4.0

Score endline: 4.0 (no change)

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

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

Freedom for ideas has been improved as the planning exercises have become more participatory in nature and even during implementation freedom is given in terms of operating the programme but the reporting manager is kept in the loop.

Management welcomes open ideas and considers them through weekly, monthly and annual meetings. Staff can go to the executive trustee whenever they wish. Monthly meetings of all departments are held with the executive trustee. The empowerment approach towards staff by the organisation plays an important role towards coming up with good, new ideas by lots of people. The improvement is entirely due to the managers and staff of Smile itself, and most probably can be attributed to a good

return on investment in human resource development. Younger staff have been trained, have grown more knowledgeable and experienced and thus can be (and are) entrusted with more space to improvise or do things in the way they know will produce the best results.

Score baseline: 3.5

Score endline: 4.0 (slight improvement)

Level of context awareness

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

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

Smile continues to follow a regular process of market intelligence and research, learning from the external environment. Smile also motivates employees of various departments to participate at the relevant forums and platforms so as to understand the current trends in the market which helps the organisation to align with the changing environment. While during the baseline there was a lack of linking with the government, now a new department named "Alliances and Institutional Partnership" has been set up that focusses on high value projects from Public Sector Units (PSUs) and gets in touch with like-minded institutions for financial and/or technical support.

Apart from being a member of a government based NGO advisory platform (already at the time of the baseline survey) Smile now has obtained a Special Consultative Status with The Economic and Social Council of United Nations, allowing it to follow international trends more closely. Through exchange visits and meetings with partner organisations in the AfC programme and the Together for Change alliance, Smile keeps track of the developments in the changing donor environment.

At baseline the need for more external training of staff at every level to track the environment was flagged, according to Wilde Ganzen's information such training has been provided.

Since the baseline Smile has engaged in the following initiatives:

- Following the Corporate Affairs Bill and its implications with NGOs
- Benchmarking with best in the sector
- Departmental Heads with the support of management keep track of the changes.

Score baseline: 3.5

Score endline: 4.0 (slight improvement)

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

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

At Smile different departments continue to take care of stakeholder ties. The programme department is in touch with the field staff and the target group. They organised a series of 7 trainings on local fundraising for local civic groups. These have brought together an average of 30 people of 15 stakeholder organisations at a time plus 100 people at the last training in Bangalore (January 2014). The trainings are participative and all trainings are evaluated. This allows for stakeholder feedback at the beneficiary level, in addition to the mechanisms that already existed. Smile has become more responsive to various critical stakeholders, like local NGOs. The inputs that are received during capacity building workshops, meetings or planned interventions at the operational level, are used to tailor the interventions to provide maximum satisfaction to critical stakeholders. Other stakeholders like parents, teachers, health workers and other community members are now involved more frequently, for example through parent teacher meetings and village education committees.

While during the baseline there was no organised structure for keeping in touch with individual donors, Smile now has a donor servicing department for individual donors. There is now regular correspondence with individual donors as Smile has an action plan for nurturing and retaining both corporate and individual donors. This is being made more robust. Corporate Partnership events like

Ramp for Champs, Charity Dinner etc. give a platform to interact with existing supporters. Also educating them about various initiatives and impact report by the end of the financial year has been implemented.

Score baseline: 3.0

Score endline: 3.5 (slight improvement)

Summary of capability to adapt and self-renew

Over the last two years there have been some improvements in the way that M&E is applied. All MIS formats and systems are now compatible at the national level within departments and respective programmes by standardising the system and restructuring departments. The communication department works closely with all the divisions keeping track of their performance and achievement of targets and assessing programme outcomes and impact. The greater use of technology has enhanced this capacity further. The coordination between the regional officers and the head office in the M&E process has been streamlined and regional officers have received needed training on M&E. There has been an improvement of involving field staff in finalising future strategies looking at the M&E results. Smile receives input from its target group (mostly local NGOs) through their feedback on trainings they participated in and through regular feedback on planned interventions. This input is used to tailor the interventions to the stakeholders needs. Smile keeps in contact with its existing donors, both individual and corporate, through its donor nurturing and retention plan. The organisation is now better able to follow international trends through its Special Consultative Status with The Economic and Social Council of United Nations. Smile staff has also received training to be in touch with general developments in its operation environment, closely following the Corporate Affairs Bill and its implications and setting up an Alliance and Institutional Partnership department. Management welcomes open ideas and takes considerable interest in the functioning of staff through engaging in weekly, monthly and annual meetings. An improvement in this regard has been that staff have more ownership over project implementation and planning has become a more participatory exercise.

Score baseline: 3.5

Score endline: 4.0 (slight improvement)

Capability to deliver on development objectives

Extent to which organisation delivers on planned products and services

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

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

Smile still has operational plans for each project and weekly team meetings help to understand progress and discuss weekly plans to conduct scheduled activities. As far as systems are concerned, they were already there, however, now more focus has been given on quality enhancement. Two important improvements since the baseline are that protocols have been smoothed to quicken the implementation and that there is more synergy between the departments which is useful since programmes involve considerable inputs from the different departments.

Score baseline: 4.0

Score endline: 4.0 (no change)

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

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

With the establishment of second level of leadership, the role and responsibility of each and every officer has been clearly demarcated. This helps in better programme and financial planning. With various systems in place the coordination between head office and regional officers has increased. While during the baseline the regional officers had too much responsibilities given the amount of funds

available to them, the project responsibility has now shifted from regional officers to head office. According to Wilde Ganzen's information there has also been an improvement in the funding base of several regional offices.

All projects are operating in a direct implementation mode. Under each project, monthly review of available and utilized funds helps in cost-effectiveness and proper utilization of resources. For any fundraising activity that Smile organises, they look into possibilities to get sponsors in terms of funding or free materials, services and the like, in order to keep costs as low as possible. Given Smile's culture, with senior management having a corporate background, financial considerations including cost-effectiveness have always been high on Smile's agenda.

Strengths of the current system are:

- Maximum use of technology e.g. Video Conferencing, to avoid travel costs;
- Online MIS for data compilation to address the issue of overhead costs;
- Audits as part of the general system, rather than looking at audits as only donor requirements;
- Staff is regularly sensitised on the optimum utilization of resources.

Score baseline: 3.5

Score endline: 4.0 (slight improvement)

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

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

Over the last two years, Smile Foundation has continued to achieve all its targets pertaining to local actions, fundraising for premium and Smile's own administrative expenses in the AfC programme according to its annual reports of 2012 and 2013. In the area of healthcare, the organisation was conferred with the 'Healthcare Leadership Award 2012' instituted by the Knowledge Resource Development & Welfare Group.

Further, apart from meeting the targets for local actions and raising funds, a lot of emphasis has been given to training and advising Local Civic Groups (Smile's partners) in fundraising, advocacy and proper programme management for Civic Actions for children. With regards to training and advising the Local Civic Groups, Smile delivered upon all its planned outputs and gave even two more trainings than planned: in July 2013 and January 2014. By the end of 2012, the training programmes also started showing results as staff and partners started feeling more confident in carrying out developmental projects. During the baseline it was flagged that the extent to which Smile could deliver planned outputs depended for a great deal on Smile's partners. With training and increased confidence of the partners, this issue is worked on. Apart from this, a number of brand building activities (big & small) were also conducted in 2012-2013.

The Project Implementation Plan chalked out at planning level gives a clear indication of targets to be achieved as per the agreed timelines with the donor. It helps in the execution and also helps achieve focus on the deliverables that Smile committed to the donor. Any changes in the timeline pertaining to deliverables are being communicated to the donor in advance.

Score baseline: 3.5

Score endline: 4.5 (improvement)

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

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

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

Before initiating new projects baseline surveys are carried out to identify the needs of the community. These surveys are done through external agencies as well as by in-house staff. During the implementation period regular feedback is taken from the community both in verbal and written

format. At the end of a training given by Smile, participants are asked to provide feedback, both collectively and individually.

MIS has become an important tool for project management. There has been a better coordination between field staff, local civic group and the head office.

Theoretically, with the rapid growth of Smile into new geographical areas, it might become more difficult to verify to what extent beneficiary needs are met. However, the systems (like the beneficiary management system) are still in place.

Score baseline: 3.5

Score endline: 3.5 (no change)

Level of work efficiency

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

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

These systems were already there, but the organisation is trying to make it more efficient. Smile Foundation has a four-tier audit and evaluation mechanism to ensure impact of investment and complete transparency and accountability in utilisation of funds. This four-tier audit mechanism reviews programmes and projects, internal operations, compliance of statutory norms and conducts an external evaluation for the impact and outcome of various development programmes. Newer systems have been brought into place to match the market standards. The auditing, evaluation & monitoring systems have been strengthened with knowledge from various auditing agencies, consultants and trainings. Social Return on Investment (SROI) is still used as a tool for measuring results. Input-output ratios are not calculated as such but in the MIS achievements are compared to targets and inflow and related outflows of resources are also monitored.

Score baseline: 3.5

Score endline: 3.5 (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

Smile integrated all the departments to ensure team work and optimum results. Qualified staff are motivated to use resources in an optimal way and follow operational guidelines. Resolution of issues, exchange of ideas, better planning and presence of an operational support group has helped to improve the quality and enhancing the efficiency of work. Overall, the business-like approach of Smile and the many good guidelines and procedures in place guarantee that sufficient attention is paid to achieve the balance between quality and efficiency. With the opening of new regional offices, with sometimes less experienced staff, at some places the balancing may be less than at headquarters or in 'older' regional offices.

During the baseline efficiency was sometimes compromised because of dependence of Smile on partner organizations, and also resource constraints prevented Smile from taking steps to improve conditions at regional level of operations. However, partners have now received more training in programme management and the balance between responsibilities and resources at the regional level has improved.

Smile's efficiency is ensured through:

- Communication materials;
- Donor reporting;
- Bench marking against other organisations that do work similar to Smile. This comparison stimulates them to improve their performance.

Score baseline: 3.5

Score endline: 3.5 (no change)

Summary of capability to deliver on development objectives

While operational plans are still in place for all projects, there is now more synergy between departments and protocols are smoothened for quick implementation. Cost-effectiveness has always been high on Smile's agenda. Several measures are taken to ensure this, including use of technology to avoid travel costs, seeing audits as part of the general system and sensitising staff on the issue. The responsibility load of regional offices is now more in line with their capacity in terms of resources. Smile continues to achieve the targets set out in the Project Implementation Plan at planning level. Training of local civic groups, Smile's partners, has been an important focus of the last period. This will also help Smile to deliver planned outputs through its partners. Better planning and presence of an operational support group has helped to improve the quality and efficiency of Smile's work. For monitoring its efficiency Smile continues to use SROI and links targets to achievements and inflows of resources to outflows. Systems to identify if services meet beneficiaries' needs are still in place. Smile now conducts baseline surveys to identify needs before starting a project and after its trainings participants are asked for feedback.

Score baseline: 3.5

Score endline: 3.75 (very slight change)

Capability to relate

Level of involving external parties in internal policy/strategy development

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

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

There have been processes and systems in place, but in the last couple of years a strong feedback mechanism from the local civic groups, corporate donors and individuals was introduced which has helped the organisation in improving the quality of its strategic planning and policies. Inputs from the partners are taken into consideration in consultation with management. During the baseline a need to increase involvement of local groups and individuals and donors in policy and strategy development, was flagged, as much focus was on corporate donors. In this regard the following improvements took place:

- Regularly being in touch with individual supporters has been a prime agenda and is implemented;
- In-kind contributions of individuals are facilitated through a volunteering cell;
- Corporate and institutional supporters continue to be nurtured, but a strong nurturing process has to be brought in place;
- "Empowering Grassroots" workshops were held in Mumbai, Bangalore and Delhi for grassroots NGOs: the aims were to provide the participants with a common platform to share their learning, success, achievements, challenges and difficulties and to also plan together for strengthening the partnership in future;
- Feedback and inputs from the participants (local civic groups: grantees from Smile's AfC programme and other programmes) during the training in January 2014 on local fundraising and mobilising support (other than financial support) were used to improve the content and approach of future trainings.

For programme implementation strategies, the needs of stakeholders, including the corporate donors, NGO partners and the community are considered, but on the organisational level policies and strategies are decided on by the senior management and second level leadership.

Score baseline: 3.0

Score endline: 3.5 (slight improvement)

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

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.

Smile is conducting regular capacity building workshops for its local partners, invites donors and involves celebrities in many campaigns. There has been increased participation of the organisation in the relevant forums, workshops and platforms for networking. The alliances department has been dedicated the work of presenting the organisation in such forums. An advocacy cell will be established. The networking with the local grass-root partners has increased many folds due to periodic empowering and capacity building workshops. Many events have been organised to network, nurture and strengthen the partnership with the existing donors such as donor meet, sending regular updates on the organisation development, festive greetings etc. Smile is investing in its network because they believe that in order to grow as a reputed brand, they have to make their presence in the relevant forums and also nurture the existing partnerships for the sustainability of the organisation.

Smile continues to engage in meetings and exchange visits with other Action for Children partners. The Foundation is also part of, through the AfC programme, of the Together for Change alliance, which also organises exchange events.

Smile has started an informal cooperation with Dasra, a highly professional Social Change promoting organisation coming from the corporate sector. Dasra has shared all their extensive and highly professional training materials with Smile and Wilde Ganzen free of charge. Smile staff are invited to participate in Dasra trainings. Smile has also become a part of 'National CSR Hub' of Tata Institute of Social Sciences. This means all the Public Sector Companies of India may consider Smile for implementation of big CSR projects. Smile indicated that in general, there is little collaboration and skill-sharing with other Indian NGOs, because of the highly competitive fundraising environment.

Since the baseline, Smile has started to participate and affiliate itself to a few major international bodies. Smile has been awarded a special consultative status with the Economic and Social Council (ECOSOC) of the UN. Furthermore, Smile's Director-Development was invited by UNICEF in a forum to discuss changing trends in giving culture (the tendency to donate among individuals). In the last quarter of 2013, the organisation worked closely with UNDP during a natural calamity (flood) in the North of India. Based on that linkage Smile Foundation started working with an Indian nationalized bank towards implementing a health based rehabilitation model in the flood affected areas. Finally, Smile started collaboration with the Indian Development Foundation of overseas Indians of the Ministry of Indian Overseas Affairs, and international due diligence agencies such as Charities Aid Foundation, United Way Worldwide and Guidestar.

Score baseline: 3.0

Score endline: 4.0 (improvement)

Extent to which organisation is actively engaging with target groups

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

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

A successful beneficiary management system is still operational within Smile Foundation, which helps tracking the progress and development of all the beneficiaries in its two major national level programmes. There has been improvement in the quality of monitoring visits. Smile staff handhold the local partners in terms of fundraising, brand development and project management. There are now quarterly tour planners in place to keep a complete note on each and every movement of the regional officers. With involvement of second cadre of leadership the programme operations have been smooth and a complete check is being kept in terms of programme deliverables and output. Beneficiaries are familiar with Smile's programme officers as well as in direct contact with them. Online media is now a transparent way to keep in touch with beneficiaries, e.g. through Facebook and email.

Score baseline: 4.0

Score endline: 4.0 (no change)

Level of effective relationships within the organisation

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

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

Wilde Ganzen staff has experienced and heard from staff that Smile has an open internal culture that is quite uncommon in India. At the same time, while staff tended to look to their CEO for the final word before, they are now taking more responsibility of their own, daring to speak out more, also if the CEO is present. Wilde Ganzen observed that this is because both the CEO and new COO stimulate people to speak up, come with ideas and take responsibility. Within the organisation there is an openness for suggestions and necessary changes are brought about after coming to a consensus. During the national conference which is an annual event for all Smile staff they learn from other Smile staff working in other states by sharing their experiences. Apart from regular practice of internal contacts, communication and decision making, Smile gives more focus to a friendly environment to make learning more effective. Some of other steps taken in this regard are:

- An Operations Support Group was constituted by senior members of the programme division, finance and resource mobilisation departments to further enhance the process of decision making in case of any exigency;
- Decentralisation and consultative approach: gave autonomy to different departments, led to interdepartmental integration so that staff are enabled to share and learn from other departments;
- Staff's one to one interaction with external HR Consultant.

Score baseline: 4.0

Score endline: 4.5 (slight improvement)

Summary of capability to relate

There has been some improvement in involving local groups (through workshops and trainings) and individual donors (through a regular contact and a volunteer cell) in policy and strategy development. However, this is only at the programme level. At the organisational level senior management and second line leadership make the decisions. Smile has increased its participation in relevant forums, workshops and platforms for networking and has become affiliated with a few major international bodies like the ECOSOC of the UN, UNICEF and the Indian Development Foundation of overseas Indians of the Ministry of Indian Overseas Affairs.

The quality of the monitoring visits to beneficiaries has improved. Online media, like Facebook and email, are now being used to stay connected to the beneficiaries. While Smile continues to have an open internal culture, staff do now dare to speak out more which is stimulated by both the CEO and new COO. The decentralisation of the organisational structure led to interdepartmental integration so that staff are enabled to share and learn more from other departments.

Score baseline: 3.5

Score endline: 4.0 (slight improvement)

Capability to achieve coherence

Existence of mechanisms for coherence

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

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

There have been many internal discussion platforms wherein management has shared their vision and mission with the employees. In such discussions many queries were resolved and at present the entire organisation works towards the same mission and vision. Staff and the director grew closer together as both their visions (fundraising and sensitising the community) are now combined. The director is now perfectly aware that the funding base needs to be broadened (whereas before he heavily leaned on companies alone and his personal network of owners of large companies to cover any deficits that might occur). Smile has definitely decided that they want to belong to the top 10 or top 5 fundraising organisations, but at the same time, sensitizing society will also remain a core element of Smile's approach.

To align the mission and vision of the organisation there is the annual goal and work plan meeting in which the focus is to address the life cycle approach i.e. children, their families and their communities. This workshop helps the employees in all the departments to align their work and ideas with the vision of organisation as Smile is and would remain a programme oriented organisation and improved fundraising would help execute these programmes. Thus, it is the cycle in which Smile implements its programme, sensitises the society and communicates with its stakeholders which helps in fundraising.

There have been multiple levels of interaction between the management and the staff. The emphasis has been to develop the organisation as a respected and trusted entity. Thus, every department works for the same mission. Since regular discussions and get-togethers have happened within the organisation at various levels and collectively for building coherence within the teams, the agenda of discussion usually comprises of vision of the organisation and ways to achieve it. While usually new team members take time to understand the long term vision, seniors also make it a point to spread the same philosophy across all levels.

Score baseline: 3.0

Score endline: 4.0 (improvement)

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

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

As the organisation is growing and new donors are partnering, there has been a need of better operational processes to enhance donor retention and nurturing. Standard Operational Procedures are now in place for this area. Although other processes and systems were already in place, the organisation has made a lot of quality improvement from time to time and has reviewed operational guidelines, and donor management system guidelines.

Score baseline: 4.0

Score endline: 4.0 (no change)

Level of coherence of various efforts of organisation

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

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

In order to bring an alignment to the vision and mission of Smile Foundation, an annual goal and work plan meeting is conducted every year. Goals and work plans ensure to keep the teams focussed. The exercise helps the employees of all the departments and divisions to align their work and ideas with the vision of organisation, which still is to improve the lives of under-privileged children, youth and women. The idea of the 'Life Cycle Approach' of development, i.e. children, their families and the community is established in such exercises. Social Venture Philanthropy is used as a key intervention to enhance the capacities of communities. This strategy is very similar to the model (local fundraising, brand enhancement, training of local civic groups and overall sustainability) used in Action for Children programme and continues to be used in Smile's other programmes as well. All their programmes are in line with the vision of the organisation.

Score baseline: 4.0

Score endline: 4.0 (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.

The avenues have been created for cross-learning between all the projects. The success and learnings of one programme is replicated in the other programmes. The training instruments and training workshops developed under the Action for Children programme continue to be used for training beneficiary organisations from other programmes of Smile as well. All the programmes are mutually supportive as all link to Smile's full life cycle approach to improving the lives of children, their families and their communities: education, health, livelihoods, girl-child and women empowerment.

Score baseline: 4.0

Score endline: 4.0 (no change)

Summary of capability to achieve coherence

The entire organisation now works towards the same mission and vision. The visions of staff and the director grew closer together as both their visions, focus on fundraising and sensitising the community respectively, are now combined. Annual goal and work plan meetings help staff to align their work and ideas with the vision of the organisation which still is to improve the lives of under-privileged children, youth and women by adopting a Life Cycle Approach of development. All programmes are in line with this vision. All programmes of Smile are mutually supportive and cross-learning between projects is applied. Operational guidelines are in place and are updated from time to time. Standard Operational Procedures for donor retention and nurturing are strengthened.

Score baseline: 3.75

Score endline: 4.0 (very slight change)

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

As the changes in organisational capacity in the general causal map and the detailed causal maps overlap completely, please refer to Appendix 5 for the detailed narrative and map.

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

The evaluation team carried out an endline assessment at Smile from 14 to 16 May 2014. During this workshop, the team made a recap of key features of the organisation in the baseline in 2012 (such as vision, mission, strategies, clients, partnerships). This was the basis for discussing changes that had happened to the organisation since the baseline. The two main changes that happened in the organisation since the baseline, as identified by the staff during self -assessments, interviews and during the workshop were:

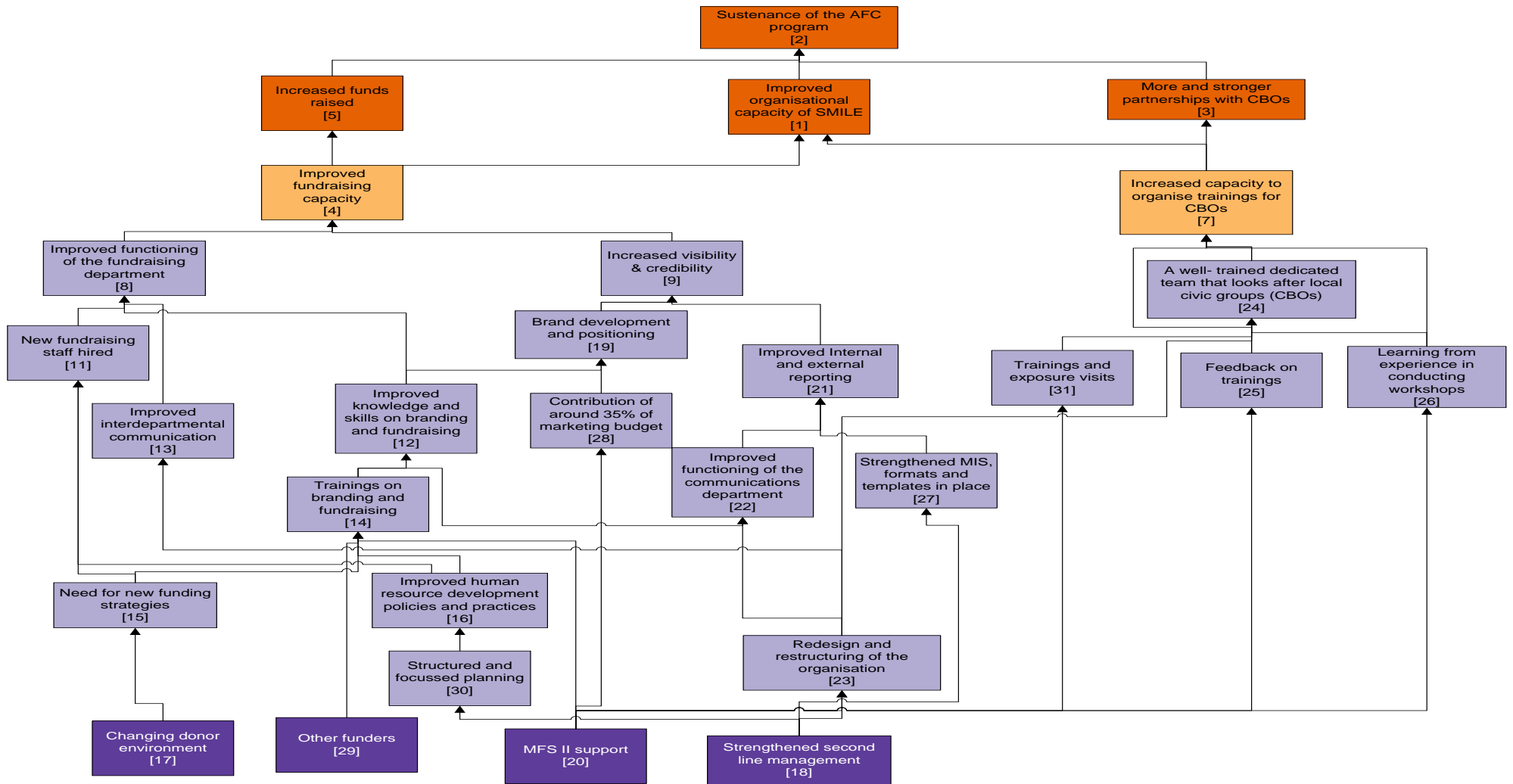
- Improved fundraising capacity, and related to this improved visibility and credibility of Smile;
- Improved capacity of Smile to organise trainings for CBOs.

These two changes happened to coincide with the outcome areas that were chosen for process tracing, so as to get detailed information on how these changes in organisational capacity came about. Therefore the general causal map overlaps strongly with the causal maps developed for each of these outcome areas/organisational capacity changes to be analysed during the process tracing. All the details about these changes in organisational capacity as well as the underlying factors that influenced these changes are described in the narrative and visual below.

During the course of the last two years, 2012 - 2014 (the period under focus for this evaluation), Smile Foundation (Smile) has undertaken several initiatives to improve its organizational capacity to bring about sustainability. This goal has mandated Smile to further improve its funding situation in order to continue its ongoing programmes, nurture community level partners as well as adopt a focused approach to capacity building. The focus has been more on the area of strengthening internal capacities for fundraising and setting forth an integrated approach to draw on expertise internally available and if lacking, fill in the gap with outsourced resource persons. There are two key underlying factors that have strongly influenced these changes in organisational capacity:

1. Strengthened senior management;
2. Changes in the donor environment.

The two main organisational capacity changes are described in the light orange boxes and some of their key consequences are noted above these cards in dark orange. Light purple boxes represent factors and aspects that influence the key organisational capacity changes (in light orange). Key underlying factors that have impacted the organisation are listed at the bottom in dark purple. The narrative describes per organisational capacity change, the contributing factors as described from the top down. The numbers in the visual correspond with the numbers in the narrative.



Improved Fundraising Capacity

As a consequence of Smile's improved fundraising capacity [4], more funds were raised [5] and the overall organisational capacity of Smile was strengthened [1]. Smile's improved capacity to raise funds [4] has led to increased funds raised [5] [Source: Endline Assessment CFA]. This is evident from, for example the premiums raised among the middle class and the corporate sector in the year 2012 and 2013. In 2012, a total of € 86,179 was raised as a premium against the annual target of € 53,375. Towards this premium, a major contribution was made by Prestige Group, CGI, National Small Industries Corporation Ltd. and Zeetex and Concern India Foundation [Source: Smile Foundation-Narrative 2012]. In 2013, a total of € 82,804 was raised as a premium against the annual target of € 78,785. Major contributions were made by corporate like TODS, Ericson, Tuskar Harley Davidson, ZAFCO, Tata Motors, LIC, United Way of Mumbai and Philips [Source: AfC Narrative Reporting 2013 Smile delivered 20140210]. The increase in amount of funds raised together with the improved organisational capacity[1] and more and stronger partnerships with CBOs [3] (explained further on) in turn contributed to the sustainability of Smile's projects, especially the Action for Children (AfC) programme [2].

The strengthened focus on raising more funds was one of the key areas that was identified by the management keeping in line with Smile's philosophy of civic driven change to increase the domestic donor base [Source: Interview with COO]. The fundraising department is using innovative ideas for fundraising, some examples:

- 'Ramp for Champs' is one of the many innovative initiatives that Smile Foundation has undertaken to raise resources for the education of underprivileged girls by organizing fashion shows and raising resources through the corporate sector [Source: AfC Narrative Reporting 2013 Smile delivered 20140210].
- 'Serve with Smile Week' is an innovative concept initiated by Smile Foundation to raise funds for the nutrition of the underprivileged children. The aim of the campaign was "Nutrition for Better Literacy". The target audiences of this campaign were the restaurant owners and the regular restaurant goers, who could empathize with the underprivileged children, who did not even get a proper meal in a day. This campaign touched the lives and hearts of 35 lakh (3.5 million) people through various media initiatives, from print media to social media [Source: Smile Foundation-Narrative 2012].
- CSR Bill – The new CSR Bill which got approved by the Parliament (and will be effective from April 2014) is a great opportunity for Smile Foundation to raise funds as corporate organisations would be required to spend 2 percent of their net profit for social development [Source: Outline AfC Narrative Reporting 2014].
- Brand Association – In the recent past Smile has experienced that because of being able to communicate well about the good work Smile is doing, many of the reputed brands are looking forward to get associated and for Smile definitely it's an opportunity [Source: Outline AfC Narrative Reporting 2014].
- Art Shows - The fundraising team in the recent past partnered with Hyatt to organize a multi city Art Exhibition-cum-sale. Smile did a lot of research and realized that India has a big Art market and Art could be one more interesting aspect to raise own cost or premium [Source: Outline AfC Narrative Reporting 2014].
- Luxury Brands - Another new area which Smile identified to raise own cost or premium is luxury brands. Smile has been successful in doing events like charity sale amongst high end luxury brands like TODS and Ethos and now they are trying to build a strategy to continuously engage luxury brands for such associations [Source: Outline AfC Narrative Reporting 2014].
- Celebrity Cultivation -There has been a slight improvement in celebrity's mind-set when it comes to charity. Now celebrities are (though few of them) at least trying to connect with a cause as

they think it may positively impact their brand image in the society [Source: Outline AfC Narrative Reporting 2014].

- Mass Media Campaign - Also, mass media campaigns are gradually becoming popular amongst TV channels and it seems in coming times Smile will get an opportunity to scale up its Choone Do Aasman campaign and it may become one of the major sources of raising own cost and premium [Source: Outline AfC Narrative Reporting 2014].

Improved fundraising capacity [4] was a key organisational capacity change that was mentioned by many staff during the workshop and their self-assessments. Smile's capacity to raise funds has improved mainly because of the improved functioning of its fundraising department [8] [Source: AfC Narrative 2012, Outline AP AfC Prog 2013] and its improved visibility and credibility [9] [Source: Smile Foundation Website].

Improved functioning of the fundraising department [8]

Smile has a full-fledged improved fundraising team [8] consisting of 14 staff, responsible for raising its own cost and premium from high net worth individuals⁷ and corporates. Also each department has corporate, individual, institutional and child for child fundraising staff. They use various modes of fundraising namely, the pay roll giving program, corporate contribution to a project, fundraising from cause related marketing, fundraising from events, direct mailing and e-direct mailing activities, general donations etc. [Source: Outline Annual Plan AFC programme 2013, Monitoringvisit WildeGanzen at Smile April 2014]. The national fundraising team is based in Delhi, Mumbai and Bangalore. The organisation would like to increase the team strength to focus on individual fundraising based in Delhi, Mumbai and Bangalore. Every member of the Corporate Partnership department is well trained to generate resources from corporates. Similarly, the direct mailing and direct e-mailing activities are done from Delhi but it is being planned to extend this team to other cities so that more individuals can be approached [Source: Evaluation Workshop May 2014, IP-2014, COO Interview, Outline Annual Plan AFC programme 2014 (3) Final delivered 30092013, Monitoringvisit WildeGanzen at Smile April 2014]. A restructuring of the resource department clearly highlights the intent on fundraising. In 2014, the Individual Partnership (IP) sub-division under the resource department was strengthened as is evident from the responsibility centre structure of 2014 [Source: HR PPT Goals Work plan 2014] which shows innovative approaches to connect with existing and potential donors. These initiatives include direct mailing, online resources, IP donor servicing and nurturing new donors. These were brought in to further strengthen fundraising from individuals [Source: IP-2014, Corporate Partnerships, Presentation - Content & Creative]. Further, Smile is preparing to set up a new programme for individual fundraising. From their research they found that one of the main challenges is the competition with Indian NGOs who can invest vast amounts in building their social and fundraising programmes. With limited resources available, developing a strong and profitable individual giving programme poses a challenge to Smile. The current network of corporate high-level individuals can be a powerful entry point to set up a medium and a major donor programme in the near future. Smile will try to create linkages between the individual giving with corporate giving programmes [Source: Monitoringvisit WildeGanzen at Smile April 2014].

The functioning of the fundraising department improved [8] because new fundraising staff was hired [11], knowledge and skills on fundraising and branding improved [12] and interdepartmental communication improved [13].

- **New fundraising staff was hired [11]**

In order to fulfil its mandate to mobilise resources Smile recruited staff who had expertise in fundraising. As an example of new fundraising staff, a General Manager for fundraising was hired who, in his previous job, had worked on fundraising and brand promotion through event and corporate alliances [Source: Minutes of AfC meeting Mombasa 17-10-2012]. The responsibility of Manager of Alliances and Institutional Partnerships was given to someone who had worked on CSR

⁷ High Net worth Individuals are those having investable assets (financial assets, excluding primary residence) of \$1 million or more.

in her previous job. Finally, a Manager for Corporate Partnerships was recruited who had nine years of experience in the corporate sector and in resource mobilisation [Source: Discussions during workshops].

- **Improved interdepartmental communication [13]** improved because of a redesign and restructuring of the organisation [23] by strengthened second line management [18]. This was an important step in a direction to further decentralize Smile's organizational structure and empower respective departmental leads to take proactive initiatives in the sustenance of the organisation. The overstrained departmental heads are now supported by junior staff. This restructuring has reduced the burden on the senior staff and has given them sufficient time to work on improvements of the existing processes. The communications department is now divided into internal and external communications divisions. While the internal department creates content (types of programs being implemented, their impact etc.) for circulation within and outside the organization the external division is responsible for public relations and media coverage, so that Smile foundation as a brand may be read out clearly in the society to further improve its visibility. Senior staff from the fundraising department also had more time to identify newer contextual issues and sharing with and learning from other organisations helped them acquire new ideas to develop better proposals for resource mobilisation. The new Chief Operations Officer (COO) reviewed the roles and responsibilities of the staff, their capacities and their workloads and chalked out the path forward for each departmental head and created a mechanism for coordination and cross accountability for each head [Source: Evaluation workshop May 2014, COO Interview, Endline workshop]. This enabled staff to share and learn from other departments within the organisation which further improved the functioning of the fundraising department. The revamped structure brought in a decentralized and consultative approach that gave autonomy to different departments which further led to improved interdepartmental communication. An Operations Support Group (OSG) [Source: Evaluation Workshop, May 2014, COO interview] was constituted to further enhance the process of decision making in case of any exigency. The OSG is constituted by senior members of the program division, finance and resource mobilization department. In case of any exigency they call for a meeting of all the departments and try to solve the issue at hand together. Since all the departments are present, action can be taken immediately to resolve the issues. OSG also creates a platform where all the senior members of different departments meet to exchange ideas and take actions quickly. It has improved/streamlined the competence and compliance of the organisation for better operation of the programmes. No minutes of the meetings are kept by Smile as they consider it an informal forum to solve issues of the organization [Source: Evaluation Workshop, May 2014].
- **Knowledge and skills on fundraising and branding improved [12]** because of several trainings/workshops, exchange events organized by Wilde Ganzen and several in house training workshops on branding and fundraising[14]. Some of these trainings were funded by MFS II [20] some by other funders [29]. Details of the trainings/workshops and exchange visits that had an impact on fundraising and branding are as follows:
 - In 2011⁸:
 - Everybody Wins: Negotiating Skills for Managers:** This training lead to a better coordination with the program and fundraising team and was expected to help in donor retention and converting occasional donors to loyal donors [Source: 5C endline_support to capacity development sheet_SPO perspective_India_Smile]. This training was funded by the Institute of Rural Management Anand, Gujarat.
 - ABC Leadership - Building High Performance Teams:** This training improved the knowledge of the participants on fundraising [Source: 5C endline_support to capacity development sheet_SPO perspective_India_Smile]. This training was funded by Quantum Leap Performance Solutions Bangalore - A professional training and corporate coaching company.
 - In 2012, 2013:
 - Exchange Visit to Soul City Institute (South Africa):** A two member team went to Soul City Institute in South Africa for an exchange program in the month of May 2012. The National Director-CFC and the Assistant Manager, Communications stayed at Soul City Institute and enhanced their knowledge on Soul City's brand communication strategies and

⁸ Though the period of evaluation is between 2012-2014 , we cannot disregard the trainings that were given in the year 2011 as the impact of these trainings would have been visible only in the subsequent years.

activities and helped them make an effort to implement them suitably in communication for brand building of Smile Foundation in the future [Source: Smile Foundation-Narrative 2012; Smile exchange with Soul City]. This exchange visit was funded by MFS II.

Exchange visit to Kenya: In November, 2013, three staff members from the fundraising background visited KCDF (Kenyan partner under AfC programme) for an exchange visit of 3 days. The idea behind this exchange was to create a networking platform among the four international AfC partners to share each other's experience, build the capacity of fundraising staff towards better brand integration for fundraising and also to learn about donor retention strategy, unique fundraising ideas like Charity Golf etc. [Source: AfC Narrative Reporting 2013 Smile delivered 20140210, Report on Exchange Learning Visit with KCDF by Smile]. As per the report submitted by the participants from Smile this was a good learning experience that enhanced their understanding on the programme implemented by their partner in Kenya as well as their unique fundraising ideas, asset development methods, donor retention strategies, networking strategies, high value institutional fundraising etc. [Source Report on Exchange Learning Visit with KCDF by Smile]. This exchange visit was funded by MFS II.

AfC (Action for Children) Directors' Meet: Two different meetings were organised in 2012 & 2013, in Kenya and Brazil respectively. Important issues discussed were – challenges of fund-raising, continuation of support beyond 2015, and furthering cause related marketing. The meeting of 2013 set the tone for innovations on empowering the grassroots, and brand building. [Source: AFC Directors Meet 2013- Brazil, AfC Narrative Reporting 2013 Smile delivered 20140210, Minutes of AfC meeting Mombasa 17-10-2012, 5c endline _questionnaire _training_participant_perspective _India_Smile_namep_Smile_Kavita Tiwari (Resource Mobilization) participant]. The take home action points after the Kenya meeting was the need to diversify donor base as well as to focus on individual donors [Source: Minutes of AfC meeting Mombasa 17-10-2012,pg 24]. An evaluation of the Directors' Meeting 2013 by the partners including Smile revealed the meeting was very useful as there were in depth discussions around fundraising and that this was an excellent platform for sharing experiences [Source: AFC Directors Meet 2013- Brazil]. These Directors' Meets were funded by MFS II.

A three day capacity building workshop was organized for all the staff of Smile Foundation: There was a pan India participation of staff from all the regions. The workshop was focused on Fundraising, Leadership, Program Management & Governance, Brand Development and Media Advocacy. This helped in improving efficiency in fundraising [Source: 5C endline_support to capacity development sheet_SPO perspective_India_Smile]. The MFS II funds supported the expenses of the AfC program staff to attend this conference [Source: Discussions during workshop]. Further, a special session was organized for the National Fundraising Team of Smile Foundation. The team was exposed to new ways of fundraising for raising premium and organizational cost [Source: AfC Narrative Reporting 2013 Smile delivered 20140210].

Training on Fundraising from Public Sector Units: Earlier in the 3rd quarter of 2012 in-house regional training of Corporate Partnership team (fundraising team) was conducted in Mumbai funded by MFS II. The objective was to build the understanding of fundraising from Public Sector Units (PSU) in India, so that it enhances the capacities of fundraising team to raise significant amount for premium and organization cost. PSUs as per the direction of Government of India have to invest some percentage of their profits for social development [Source: Smile Foundation-Narrative 2012, 5C endline_support to capacity development sheet_SPO perspective_India_Smile.]

Face- to- Face fundraising workshop: In the 1st quarter of 2012, the Individual Partnership divisions along with other marketing professionals of Smile Foundation were participated to Face to Face Fundraising training session organized by South Asian Fundraising Group (SAFRG). The aim was to help the participants learn the important skill and tips which requires on field while approaching a new donor [Source: Smile Foundation-Narrative 2012, 5C endline_support to capacity development sheet_SPO perspective_India_Smile].

Smile started hiring new fundraising staff [11] and focusing more on capacity building of staff on fundraising and branding [14] because of: a need for new fundraising strategies [15] [Source: Outline

AfC Narrative Reporting 2013-1st Quarter] and improvement of human resource development policies and practices [16] [Source: interview with the COO, HR PPT Goals Work Plan 2014, Thank you and Spot the hero card, Evaluation Workshop, May 2014, 5 C Endline Assessment - Group - I - management - Smile - India]. New fundraising strategies [15] were needed because of changes in the donor environment [17]:

- **End of contract with Wilde Ganzen in 2015.** As per the contract with Wilde Ganzen (WG), Smile foundation would get funds, if an ever increasing part of the project finances were raised by Smile and other stakeholders of the project [Source: Contract for Together for Change Programme, 2011-15]. In 2011, out of a total project cost, 62% was borne by WG and the remaining 38% percent was raised by Smile, however towards the end of 2015 only 26% of the total project cost will be given by WG and the remaining 74% will have to be raised by Smile. Also, WG in a number of communications has hinted at the reduction or uncertainty of a next phase of funding after MFS II [Source: Minutes of AfC Directors Meet, Kenya, September 2012]. Clear indications have been given that Smile should look to diversify its donor base.
- **Dwindling foreign resources** bring in the need to compete more aggressively with other similar NGOs working on issues of children, as the competition becomes tougher with smaller pots of money. There has been a notable decrease in the funders base mainly with foreign funds, owing to a very volatile donor environment across the world and more so in India. [Source: http://cprindia.org/Spring_2014_IDCR_Report_the_State_of_Indian_Development_Cooperation.pdf]. Most foreign donors have been revising their grant making policies and funding priorities, and the current trend in India shows a decline in foreign funds and conclusion of operations by certain bilateral and multilateral organisations. International posturing of successive Indian governments has been that of a developing to developed nation, building on its economic growth, and a young, educated, and expanding middle class. Also the challenge at the moment is the economic slowdown. Corporates have become more selective when it comes to investing for a cause. This in turn is restricting Smile to set up quality projects as even institutional funds are no longer readily available [Source: Outline AfC Narrative Reporting 2014]. However, things on the ground tell a different story. The situation speaks of new forms of poverty, deprivation, inequalities and suffering. That said, aid has not been more than a trickle, with aid policies of the developing world reorganized with respect to India [Source: Smile Foundation-Narrative 2012].
- **New opportunities for (local) fundraising:** Every closed door opens several new windows. The new Companies Act 2014, with a very strong CSR Clause, mandates companies to proactively design and undertake welfare and other developmental activities. This is seen as a great opportunity for Smile as the corporate sector would be required to spend 2% of their net profit for social development actions. Smile is devising its own strategies to tap into this potential windfall [Source: AFC Narrative Reporting 2013 Smile, COO Interview, Hospitality Biz India __ CSR_ Practice What You Preach].

Smile is and has been operating in a highly competitive funding environment. This space has become increasingly competitive with new players both in the NGOs community in India, and the corporate sectors. As explained in more detail above, there has been a notable decrease in the funders base mainly with foreign funds, owing to a very volatile donor environment across the world and more so in India. Smile's mission is to increase its domestic donor base, which has therefore prompted the organization to look at its internal structure, the necessary skills sets and strategies to successfully diversify its funding base. In addition to increasing its fundraising capacity, Smile decided to focus on three key areas: Communication, Visibility and Branding [Source: Evaluation Workshop May 2014, AfC Narrative Reporting 2013 Smile delivered 20140210], see also below.

The improvement of human resource development policies and practices [16] consisted of:

- **An improved appraisal system:** An OD consultant, who has been more of an accompanying mentor in the past was involved in the appraisal process [Source: interview with the COO] and reported to the senior management the training needs of Smile's staff, their strengths and weaknesses, and ability to deliver in time. This in turn led to a better match between training needs and selection of participants. [Source: HR PPT Goals Work Plan 2014].

- **Better staff retention initiatives:** Besides training opportunities, a series of new initiatives such as 'Spot the Hero', 'Thank you cards', and open acknowledgement of the efforts of staff at national meetings, further added to the motivation of the staff and their retention [Source: Thank you and Spot the hero card, Evaluation Workshop, May 2014].
- **Hiring new skilled staff:** Several new positions were created and recruited against. At the same time Smile proactively looked at professional skill sets to hire new staff against vacant positions. [Source: Evaluation Workshop, May 2014]. The idea was two pronged: first, to have clear cut accountability demarcations of responsibilities; and second, to plug the identified gaps in skill sets so that dependence on outside resource is reduced.

Human resource development policies improved [16] because of more structured and focused planning [30] that was introduced by a new Chief Operations Officer (COO) who was hired in January 2013 [Source: Interview with Founder Trustee] with a view to give this position more independence to deal with day to day running of Smile's operations, while the founder trustee could focus more on strategic and patronage issues to Smile [Source: Outline Narrative Reporting, AfC Narrative Reporting, 2013-1st Quarter], as well as strategic visibility, credibility and fundraising issues pertaining to the organisation. This was a strengthening of second line management [Source: Interview with Founder Trustee] [18].

Improved visibility and credibility of the organization

Smile increased its visibility and credibility [9] because of brand development and brand positioning [19] and because of improved internal and external reporting [21]. Smile's improved visibility and credibility [9] is evident from awards and recognitions received by Smile [Source: Smile Foundation Website]. For example Smile Foundation was conferred with the "EDUCATION EXCELLENCE AWARDS – 2013" by the Associated Chambers of Commerce and Industries (ASSOCHAM) & The Education. The award is given to a university / institute and individuals performing their best in education sector. Smile Foundation was also awarded the Corporate Excellence Award for NGO Excellence by the Institute of Public Enterprise (IPE); a Hyderabad based non-profit educational society, endorsed by World CSR Day and Asian Confederation of Business. The IPE Corporate Excellence Awards recognize and honor companies as well as individuals who, through their corporate practices, have helped to raise India's corporate disclosure standards and corporate governance. The Awards seek to identify and celebrate those companies that have had a positive impact on our environment and society as well as their business. Smile Foundation has been awarded the GE Healthcare - Modern Medicare Excellence Awards for its phenomenal work in healthcare. The 'NGO of the Year' award was given to Smile Foundation from among five nominations, in recognition of its phenomenal work supporting medical causes and offering various services within the healthcare industry. This award is instituted by GE Healthcare, a division of the global giant General Electric, which is into manufacturing and marketing of specialized hospital and pharmaceutical equipment. The objective of this award is to recognize real heroes in healthcare areas, especially related to hospitals, individual doctors and other NGO organizations which have contributed to the society in a large way. All these awards prove that Smile Foundations has improved its visibility and credibility as an organization [9] [Source: Smile Foundation Website].

Brand development and brand positioning [19] have been key parts of the agreement between Smile and Wilde Ganzen [Source: Contract for Together for Change Programme, 2011-15]. This has been one of the key deliverables supported by MFS II funding [28] [20]. During the period under review (2012-14), Smile has improved its visibility through the following brand development and brand positioning activities:

- Live streaming of target children's interviews;
- Use of radio and television;
- New branding activities, like celebrity engagement and endorsements, new corporate engagements and collaborative events, media campaigns, motorbike rallies, participation in film festival on children's films, art shows, short film on impact of Smile's programme, online media work for public relations; The film 'I am Kalam' was mainly used for branding of Smile. It was

shown to many groups, which created visibility [Source: Minutes of AfC meeting Mombasa 17-10-2012].

- Brand development and fund raising from middle class and corporates;
- Branding in digital space including website improvement and social media like Facebook and YouTube.

[Source: techcomm_2014, Sandip. Comm. 21052014, External Communication 2014 – 2015, IP-2014]

Wilde Ganzen has supported the branding and marketing of Smile with MFS II funds [20] [Source: [Interview with COO, Contract for Together for Change Programme, 2011-15] making up to around 35 percent of Smile's total marketing budget [28] for the Action for Children programme. The funding was earmarked but with a high amount of freedom on how to spend it within the given aim. Brand development and brand positioning [19] has also improved because of improved knowledge and skills on branding and fundraising [12], which was a result of training on branding and fundraising [14], which were partly funded by MFS II [20] [Source: Interview with COO; Contract for Together for Change Programme, 2011-15], see also the explanation on this above.

Smile's credibility [9] improved because of improved internal and external reporting [21], which are part of the overall improved M&E and governance of Smile. Internal reporting includes better and more timely reports because of strengthened MIS and formats and templates in place [27]. Processes, procedures and systems for this were strengthened by new second line management [18]. The external reporting [21] improved mainly due to the improved functioning of the communications department [22].

The communications department has been redesigned with a clear brief of improving internal communications, linking and learning, external communication, communication on programme achievements and impact. Over the last two years the communications department has changed its ways of working to maximize the impact of communications on the organisation [22]. Internally the department has been working more closely with programmes, as well as engaging target groups with programmes and programme impact. Target groups are defined as journalists, policy makers, educationists and parents of young children. Communications is an area that is still evolving, especially for charities, and non-governmental organizations. With competition to have an edge over rivals and/or bidders for the same pot of money rising, Smile has started engaging with PR Agencies, creative agencies and events management firms to communicate its work and to appeal for support. Smile has focused on accurate and relevant information which has helped it to earn respect and recognition. At times Smile has used customized communication for a target audience and selected stakeholders by outsourcing new material with concept and control remaining with Smile [Source: AfC Narrative Reporting 2013 Smile delivered 20140210, External Communication 2014 – 2015, IP-2014].

As is evident in the self-assessment sheet for field staff that new donors like Union Bank, LIC, RECL, Hyatt, Harley Davidson etc., have roped in and testimony to all organizations engaged in fundraising, a vibrant communication strategy, specific and specialized communication material for acquisition, retention of corporate and individual donors, receiving timely trainings for all fundraising teams along with aggressive branding further enhance the chance of garnering more resources. In a fast changing world, Smile decided to look at the key functions of communications, visibility and branding in greater detail. All three functions are intermeshed together, with the focus on visibility and funds generation. During the endline workshop at Smile, this was explained in detail by the Smile team and the concerned departmental heads and their team members [Source: Evaluation Workshop May 2014, AfC Narrative Reporting 2013 Smile delivered 20140210, 5C Endline Assessment - India Smile - field staff].

The communications department is working better [22] because trainings have been conducted for field staff on photography and case study documentation as they are the first point at the field in the middle of the action [Source: learnings from IP sessions, Report workshop March 3-7, Evaluation Workshop May 2014]. The trainings have helped generate good quality information which is further edited and brushed-up before being used in various communication and related actions. 2013-14 has been focus year for "Capturing our Impact" which for Smile has meant – "to tell our stories better".

Thus the communications department improved because of trainings [14] and a redesign and restructuring of the organization [23] by the new second line management [18]. This restructuring included clarification of roles and responsibilities and a more decentralised and consultative approach.

This restructuring also led to a division of the communications department into internal and external divisions. While creative/content management and technology was brought under the internal communications division; media advocacy and a new sub-division called "Celebrities and Events integration" for brand development was brought under the external communications division. This is evident from a comparison between its current [Source: HR PPT Goals Work plan 2014] and 2012 organograms [Source: STeP_2012 (operational guidelines)].

Improved capacity of Smile to organise trainings for CBOs

Smile has improved its capacity to organise trainings for CBOs over the last two years [7]. This has been keeping in line with the Social Venture Philanthropy (SVP) model of Smile as well as the requirements of the contract with Wilde Ganzen. Smile Foundation is guided by the philosophy of Social Venture Philanthropy, in which they identify handholds and build capacities of genuine grassroots NGOs to achieve accountability, sustainability, scalability and leadership. Smile provides seed money for launch of new projects, expansion of old projects, and also emphasizes regular counseling, better productivity, efficiency enhancement, capacity building of grassroots NGO's, communication and a process of Good Governance.

As per the agreement between Smile and Wilde Ganzen training and advising local civic groups in fundraising and advocacy for civic actions for children is one of the mentioned outputs in the Terms of Reference [Source: Contract for Together for Change Programme, 2011-15]. In delivering this output, Smile has improved its capacity to organise trainings for CBOs. This was confirmed in an interview with Wilde Ganzen and can be found in the Empowering Grassroots training report of July 2013. While Smile focused on streamlining its relations with its partners in the initial years of the contract, during the last two years Smile mainly focused on capacity development of partners [Source: Evaluation Workshop May 2014, The new India express, Empowering Grassroots_jul2013_draft].

In partnership with Wilde Ganzen and taking learnings from India and similar economies in the world, such as Brazil, Kenya and South Africa, Smile Foundation has built capacities of 500 grassroots NGOs in last two years under 'Empowering Grassroots' programme [Source: Media Coverage Report - Empowering Grassroots].

Smile Foundation, held a three day workshop between 27th and 29th January 2014 in Bangalore through their initiative "Empowering Grassroots" – capacity building of community based organizations, which received a tremendous response from national and international grassroots NGOs. The aim of this initiative was to enable and equip community based organizations (CBOs) to achieve sustainability by aligning themselves with the CSR mandate under the Companies Acts 2013 and the growing middle class in India with high net worth individuals, in the wake of foreign institutional funding slowing down. The outcome of this workshop was that CBOs were instilled with the need to achieve sustainability through credible delivery, whilst at the same time they were exposed to various tools that they could use to scale up their management, operational and governance bandwidth to establish credibility transparency and accountability so as to facilitate resource mobilization and thus achieve sustainability.

As a consequence of improvement in this capacity [7] more and stronger partnerships with CBOs [3] were formed [Source: Outline AfC Narrative Reporting 2014, p.1]

The improved capacity of Smile to organise trainings is due to:

- **A well -trained dedicated team that looks after local civic groups (CBOs) [24]**

This team seeks applications from local civic groups through physical applications and also through online mode. The same application goes through the scrutiny process and the final application gets selected by the team. After due diligence and field appraisal the proposal gets approved and local actions are conducted. Later the premium is matched and disbursed to the local civic groups as per the contract and the project guidelines. The same team reviews the

projects from time to time [Source: Outline Annual Plan AFC programme 2013, PLAN FOR 14-15, 5c

endline_questionnaire_training_participant_perspective_India_Smile_namep_Smile_Programmes participant]. It is the responsibility of the programme managers and officers to build the capacities of the partners through the Training of Trainers (ToT) mode and in the last two years, a lot of focus was given on training of partners.

The programme officers travelled to the project partners, local groups and communities, met with them and supported them for conducting local actions. In addition to the visits, follow up and handholding during the local actions events, Smile helped them with advocacy tools (movies, clips, campaigns etc.) and also by conducting fundraising activities at local level. Further, in 2013 two capacity building workshop titled "Empowering Grassroots" were organized for NGO Partners of North and West region. The objective of these workshops was to enhance the knowledge & skills of grassroots organizations towards sustainability and to give insights as how the grassroots NGOs can develop credibility, strengthen their organizational capabilities & build their competencies. The workshop also aimed at providing the participants with a common platform to share their learning's, success, achievements, challenges and difficulties and to also plan together for strengthening the partnership in future [Source: Outline AfC Narrative Reporting 2014].

The dedicated team [24] has been empowered further as a result of the restructuring of the organisation [23] by strengthened second line leadership [Source: 5c endline self-assessment India Smile - Program staff, 5c endline interview guide_OD consultants_selected indicators_Smile].

Several trainings and exposure visits [30] funded by MFS II [20] have contributed to the development of an experienced team who in turn contributed to the capacity building of the CBOs. These started much earlier than the MFS II funding period as a part of the activity under the Action for Children Programme under MFS I and are bearing fruit now. As an example an exchange visit to CESE (Brazil) was made by the staff to understand the context of the partner and learn how they implement programmes and bring about civic driven change. The focus was also to understand the best practices around fundraising for empowering grassroots which could be replicated back home as one of the components of training of CBOs [Source: Smile's exchange with Cese].

Trainings in the last two years are as follows:

- **AfC (Action for Children) Directors' Meet:** Two different meetings were organised in 2012 and 2013, in Kenya and Brazil respectively. Important issues discussed were – challenges of fundraising, continuation of support beyond 2015, and furthering cause related marketing. The meeting of 2013 set the tone for innovations on empowering the grassroots, and brand building. After the Directors' Meet of 2013 innovative fundraising campaigns and events like Marathon, ART Show were carried out by the organisation. The program managers and officers of Smile's CBO team provided handholding support to the partner NGOs and CBOs in organizing fundraising events and helped with advocacy tools (movies, clips, campaigns etc.), for raising fund and brand building. Further, the director's meet also set the tone for the organisation to improve the quality of empowering grassroots on capacity building programme for partner NGOs and CBOs, innovative ideas in fund raising [Source: AFC Directors Meet 2013- Brazil, AfC Narrative Reporting 2013 Smile delivered 20140210, Minutes of AfC meeting Mombasa 17-10-2012, 5c endline _questionnaire _training_participant_perspective _India_Smile_namep_Smile_ (Resource Mobilization) participant]. The take home action points after the Kenya meeting was the need to diversify donor base as well as to focus on individual donors [Source: Minutes of AfC meeting Mombasa 17-10-2012,pg 24]. An evaluation of the Directors' Meeting 2013 by the partners including Smile revealed the meeting was very useful as there were in depth discussions around fundraising and that this was an excellent

platform for sharing experiences [Source: AFC Directors Meet 2013- Brazil]. These Directors' Meets were funded by MFS II.

- **A three day capacity building workshop was organized for all the staff of Smile Foundation:** There was a pan India participation of staff from all the regions. The workshop was focused on Fundraising, Leadership, Program Management & Governance, Brand Development and Media Advocacy. This training helped them in improving their capacities to train the CBOs as the topics of the training were later on also used in the trainings for CBOs [Source: 5C endline_support to capacity development sheet_SPO perspective_India_Smile, AfC Narrative Reporting 2013 Smile delivered 20140210].

The improved capacity of Smile to organise trainings is also due to:

- Feedback on trainings from Wilde Ganzen and participants [25]. Most of the trainings that Smile organised to strengthen the capacity of the CBOs [26] were funded by Wilde Ganzen under MFS II [20]. Smile's capacity in developing trainings for CBOs mainly improved due to the feedback they have received on two trainings given to CBOs. Wilde Ganzen hired the consultant Veronika Uhl from Himmelblau to observe the workshop given by Smile in July 2013 and share her observations in a report and the other consultant – Train the Trainers trainer Ewoud Plate of MDF - to conduct a pilot workshop on mobilising support (other than financial support) in January 2014.
- The first training Smile staff received feedback on in the period 2012-2014 was the "Empowering Grassroots Capacity Building training" for CBOs from 10-12 July 2013 in Delhi. This training has been mentioned in interviews by the second Management group and Wilde Ganzen [Source: 5c endline self-assessment sheet_Group II management_India_Smile, AfC Narrative Reporting 2013 Smile delivered 20140210, Outline Annual Plan AFC programme 2014 (3) Final delivered 30092013]. Wilde Ganzen facilitated the feedback on the trainings [25] from its own consultants and the participants (partner CBOs). The feedback was that:
 - The training had been very well organized by Smile.
 - Smile succeeded very well in engaging experienced and competent trainers that connected to the grassroots context.
 - The training was developed on the basis of the specific needs of the CBO's.
 - Smile has developed a very good database of professional resource persons for different topics, also according to the training report of July 2013; and therefore has the capacity to design, conduct and organize these kinds of trainings with the support of external experts.
 - In general the feedback was very positive with some suggestions on the selection of topics that should have been relevant for the target audience.

The second training that Smile received feedback on was the "Empowering Grassroots Capacity Building workshop" in Bangalore, 27th-29th of January 2014 [Source: 5c end line self-assessment sheet_Group II management_India_Smile, AfC Narrative Reporting 2013 Smile delivered 20140210, Outline Annual Plan AFC programme 2014 (3) Final delivered 30092013]. Detailed information on the feedback given can be found in the minutes that were made during the evening sessions, where Veronika Uhl, Wilde Ganzen and staff from partner organisations CESE and KCDF provided feedback to Smile [Source: Minutes of evening sessions Change the Game meeting Bangalore, India, January 2014, Media Coverage Report - Empowering Grassroots]. The feedback was that:

- The title and objective of the meeting itself was very attractive and meaningful for the capacity building of the partners.
- Organizational Capacity Assessment (OCA) was discussed. On the basis of Kenya exchange visit learning the staff prepared a draft introducing 5C model for OCA. Feedback was given for further improvement.
- The organisation could very well bring the participants through experiential learning within a short period.
- The training helped the NGOs/CBOs to be motivated and capacitated on mobilising support (other than financial support) issues.
- The training methodology was well prepared to address the objective.
- The feedback was helpful for further improvement. It was suggested that more research on national issues would have been helpful to present a clear picture while explaining the future change the game program.

Smile received feedback from the partners that participated in the workshop. According to the training report of July 2013, participants thought that the workshop was very useful, had a good location, was very well organised, and said that income generation should also be included in the modules not just fundraising [Source: AfC Narrative Reporting 2013 Smile delivered 20140210].

- Learning from experience in conducting workshops [26]. Smile organised 7 trainings on local fundraising, 30 people from 15 different organisations per training since the baseline, these were funded by MFS II [20] [Source: 5 C End line Assessment - Group - I - management - Smile – India]. The Smile team has learnt from the resource persons on how to conduct training independently during the course of these workshops [Source: Smile Foundation Narrative, 2012]. The topics that were covered in the trainings were effective leadership for development & strengthening, 5 c model of building organizational competencies and good governance, involving local support for sustainability, better fund utilization, meeting the expectations of donors, good fundraising practices, communicating with the stakeholders etc. [Source: <http://www.smilefoundationindia.org/empowering-grassroots.htm>]

An improved capacity to organise trainings for CBOs has led to the staff becoming more confident in conducting training sessions with the CBOs. The 2012 Outline Reporting Narrative mentions that “the training programs for CBOs start showing results, staff & partners feel more confident in carrying out developmental projects” [Source: Smile Foundation-Narrative 2012].

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

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