Endline report – Indonesia, Yayasan Kelola
MFS II country evaluations

Capacity of Southern Partner Organisations (5C) component

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Wageningen, February 2015

Report CDI-15-049

Kusters, C., Wieriks, M., Dwi Andari, B., Suprobo, N., Priyahita, W., Sihombing, R.R., Rokhmatulloh, S.W., Rosita, I., 2015. *Endline report – Indonesia, Yayasan Kelola. MFS II country evaluations; Capacity of Southern Partner Organisations (5C) component.* Centre for Development Innovation, Wageningen University & Research centre. Report CDI-15-049. Wageningen.

This report presents the findings of the endline of the evaluation of the organisational capacity component of the MFS II country evaluations. The focus of this report is Indonesia, Yayasan Kelola. The format is based on the requirements by the synthesis team and NWO/WOTRO. The endline was carried out in 2014. The baseline was carried out in 2012.

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

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Acknowledgements

We are grateful to all the people that have contributed to this report. We particularly would like to thank the Southern Partner Organisation Yayasan Kelola and the Co-Financing Agency Hivos for their endless patience and support during this challenging task of collecting the endline data. We hope that this endline report will provide useful insights to Yayasan Kelola, Hivos, the synthesis team, IOB and NWO/Wotro.

The Indonesia 5C evaluation team

List of abbreviations and acronyms

5 C	Capacity development model which focuses on 5 core capabilities
Causal map	Map with cause-effect relationships. See also ‘detailed causal map’.
Causal mechanisms	The combination of parts that ultimately explains an outcome. Each part of the mechanism is an individually insufficient but necessary factor in a whole mechanism, which together produce the outcome
CDI	Centre for Development Innovation, Wageningen University & Research centre
CFA	Co-Financing Agency
CFO	Co-Financing Organisation
CS	Civil Society
Detailed causal map	Also ‘model of change’. the representation of all possible explanations – causal pathways for a change/ outcome. These pathways are that of the intervention, rival pathways and pathways that combine parts of the intervention pathway with that of others. This also depicts the reciprocity of various events influencing each other and impacting the overall change. In the 5C evaluation identified key organisational capacity changes and underlying reasons for change (causal mechanisms) are traced through process tracing (for attribution question).
General causal map	Causal map with key organisational capacity changes and underlying reasons for change (causal mechanisms), based on SPO perception.
M&E	Monitoring and Evaluation
MFS	Dutch co-financing system
MIS	Management Information System
MoFA	Ministry of Foreign Affairs
NGO	Non-Governmental Organisation
OD	Organisational Development
PME	Planning, Monitoring and Evaluation
PRA	Priority Result Area
Process tracing	Theory-based approach to trace causal mechanisms
RCT	Randomized Control Trials
SPO	Southern Partner Organisation
SSI	Semi-structured Interview
ToC	Theory of Change
Wageningen UR	Wageningen University & Research centre

1 Introduction & summary

1.1 Purpose and outline of the report

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

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

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

Achievement of Millennium Development Goals (MDGs) & themes;

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

Efforts to strengthen civil society.

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

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

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

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

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

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

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

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

1.2 Brief summary of analysis and findings

Since the baseline, two years ago, Yayasan Kelola has seen a slight increase in the capability to act and commit. The director's leadership is more approachable and attentive, staff skills have improved, and new funding sources have been acquired. In terms of the capability to adapt and self renew a slight improvement has also occurred as M&E is performed more regularly and systematically. The capability to deliver on development objectives has very slightly improved as a result of more cost-effective use of resources. The capacity to relate has improved slightly as well as the organization has engaged in more networking activities with prominent organizations and is now starting to get more recognized. No changes have occurred in the capability to achieve coherence compared to 2012.

The evaluators considered it important to also note down the SPO's story in terms of changes in the organisation since the baseline, and this would also provide more information about reasons for change, which were difficult to get for the individual indicators. Also for some issues there may not have been relevant indicators available in the list of core indicators provide by the evaluation team. During the endline workshop some key organisational capacity changes were brought up by Yayasan Kelola's staff: increase of staff capacity, and becoming an organization with an international reputation. According to the SPO staff, these key organisational capacity changes can only to a minor extent be attributed toMFS II capacity development interventions. The involvement of Hivos to support Kelola with the arts coalition initiative since 2012 has helped in building connections to government and lobbying and advocating activities, although this was not executed in the form of a specific MFS II capacity development intervention. Also a small role of MFS II continues to exist in trainings and workshops. Hivos has stated that they were able to reduce their fundraising from 30% to 5% in recent years due to the increased fundraising capacity of the organization. This is difficult to attribute to MFS II interventions without going into more detail through for example process tracing.

2 General Information about the SPO – Yayasan Kelola

2.1 General information about the Southern Partner Organisation (SPO)

Country	Indonesia
Consortium	People Unlimited 4.1
Responsible Dutch NGO	HIVOS
Project (if applicable)	1. Empowering Women Artists; 2. Arts Grants; 3. National Internships; 4. Discussion Series 5. Theatre for Development and Education
Southern partner organisation	Yayasan Kelola

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

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

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

The socio-economic, cultural and political context in which the partner operates
Yayasan Kelola is a *"national arts service organization"*[1] operating in Indonesia. Out of a population of approximately 240 million inhabitants over 2800 Indonesian cultural organizations are registered[2]. Still a legacy of the Soeharto era, Indonesia has laws and regulations (normally implying high fees and charges) which limit and weaken the activities of art and cultural organizations[3]. On the other hand, more recent laws also made the development of arts in Indonesia more difficult, for instance the Anti-Pornography bill passed in 2009 by the Muslim party[4]. Public and financial support for arts and cultural enterprises remains rather limited and sporadic. This is mainly due to the fact that there are no incentives from the government for private organizations to invest in arts and culture. Nor is there a system for using some of the tax money for investing in arts and cultural objectives[5]. Moreover, the small public funding available for artists is rather inaccessible since it is *"channelled through a complex, slow and uncooperative bureaucracy"*[6].
Kelola Foundation encourages and facilitates arts. The focus is taken not without the reason, which is in Indonesia many artists only restrict the meaning on the performance or creation of the artwork. But it is less concern on the management. It is how the performance must be managed in such a way, by including the arrangement of financial report done properly so that this is the role of Kelola Foundation to stimulate the progress and increase vitality of arts in Indonesia by providing the access to the

1 HIVOS (2012) "Yayasan Kelola" Available at: http://www.HIVOS.nl/eng/community/partner/10002818 Accessed on: 14.11.2012
2 Yayasan Kelola (2011) *"Narrative Proposal for Activities of Kelola 2011-2013: Application for funding from HIVOS"*.
3 Yayasan Kelola (2011) *"Narrative Proposal for Activities of Kelola 2011-2013: Application for funding from HIVOS"*.
4 Yayasan Kelola (2011) *"Narrative Proposal for Activities of Kelola 2011-2013: Application for funding from HIVOS"*.
5 Yayasan Kelola (2011) *"Narrative Proposal for Activities of Kelola 2011-2013: Application for funding from HIVOS"*.
6 Yayasan Kelola (2011) *"Narrative Proposal for Activities of Kelola 2011-2013: Application for funding from HIVOS"*.

learning and knowledge, access to the information and fund. Due to the focus is in management, Kelola Foundation is the organization of arts which never produce artworks, does not perform the art activities itself. [7]

Kelola's programs range from workshops on management of cultural organizations and festivals to lighting, stage design, business partnership as well as offering learning opportunities through National Internships and International Residencies. The Art Grants offer monetary assistance to individual artists and ensembles. Through its website, Kelola opens access to information for and about the arts communities.[8]

Since Yayasan Kelola's current project implies five different programs, it is worth it describing the particular contexts relevant to each program. The program called *"Empowering Women Artists, Giving Voice to Women Artists"* consists of *"developing untapped potential of women artists by supporting their work and facilitating access to knowledge and networks"*[9]. Generally, this program aims at providing a platform for female artists where relevant topics can be discussed and translated into action. Developing female artists in a leadership position (like film directors and choreographers) is the main focus of this program[10]. One of the biggest challenges faced by the people involved in this program is that of social norms that dictate gender differences. For example, figures from the Kelola's Art Grant program revealed that only 25% of the recipients of the grant were female[11], which reflects how women are under-represented in leading positions in arts. In order to tackle this inequality the Empowering Women Artists program must be carried out over a long term (9 years), what poses another challenge since raising funds for such long periods is a challenge in itself.

The program "*Performing Arts Grants: Stimulating Innovation and Appreciation of different forms"* relates to a core activity of Yayasan Kelola and already exists for eleven years[12]. The relevance of this program in the artistic context in Indonesia, besides stimulating competition in the sector, is the fact that this is the only current grant program carried out in transparency and fair selection processes[13]. The main challenge faced in Indonesia in relation to this program is the fact that, despite having a long tradition in performing arts, the public and financial support for such activities has experienced a downturn in the past decade[14]. In this context, Yayasan Kelola aims at raising awareness both about the importance of Indonesian performing arts and about the need for regular funding in the artistic sector.

"*National Internships: Developing Human Resources for the Art Sector*" is the third program currently being carried out. As in the above programs, the main limiting challenge is the lack of funding. The National Internships have been elaborated as a solution for the lack of a common platform for Indonesian artists[15]. The program aims at bringing art students, performers, art and cultural organizations together, so that knowledge and inspiration can be shared and improved. Also, with this program Yayasan Kelola aims at preparing young Indonesian artists for a work life. The first Internship took place in 2000 and 12% of the total applicants have had the chance to participate[16]. The small amount of participants does not reflect a lack of will from Yayasan Kelola to place more candidates. Rather, the limited amount of participants is a result of Yayasan Kelola's limited resources.
The "*Series of One Day workshop: Building Skills and Knowledge*" is aimed at improving actors' communication and management skills, so as to ensure that the coming generations of artists can be as autonomous as possible[17]. Also in this case, limited resources form a barrier to the broadening and improvement of the program.

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[7] FGD MFS II Workshop, Kelola Office 26-27 June 2014
[8] Change in the Organizational Capacity of Kelola Foundation in 2012-2014
[9] Yayasan Kelola (2011) *"Narrative Proposal for Activities of Kelola 2011-2013: Application for funding from HIVOS"*.
[10] Yayasan Kelola (2011) *"Narrative Proposal for Activities of Kelola 2011-2013: Application for funding from HIVOS"*.
[11] Yayasan Kelola (2011) *"Narrative Proposal for Activities of Kelola 2011-2013: Application for funding from HIVOS"*.
[12] Yayasan Kelola (2011) *"Narrative Proposal for Activities of Kelola 2011-2013: Application for funding from HIVOS"*.
[13] Yayasan Kelola (2011) *"Narrative Proposal for Activities of Kelola 2011-2013: Application for funding from HIVOS"*.
[14] Yayasan Kelola (2011) *"Narrative Proposal for Activities of Kelola 2011-2013: Application for funding from HIVOS"*.
[15] Yayasan Kelola (2011) *"Narrative Proposal for Activities of Kelola 2011-2013: Application for funding from HIVOS"*.
[16] Yayasan Kelola (2011) "Narrative Proposal for Activities of Kelola 2011-2013: Application for funding from HIVOS".
[17] Yayasan Kelola (2011) "Narrative Proposal for Activities of Kelola 2011-2013: Application for funding from HIVOS".

Also, there is the Theatre for Development and Education (TDE), which started as a pilot project in 2010. TDE is a program which uses theatre as a method to discuss social issues. Its methods are based on those of Augusto Boal's Theater Forum. Boal believes that theatre can find alternatives and solutions to the ongoing problems of society by involving individual people and communities directly. Recently, a large program implemented by the Kelola Foundation concerns PNPM Support Facility (PSF) for Creative Community program using the method of created empowerment process by using the cultural expression in voicing their aspiration through the theater of empowerment and participative video to empower the marginalized community and increase their participation. The program is the grant of creative community and a process of creative empowerment. The project is divided into 2 phases. The first phase will end in September, working in 3 locations, Landak in West Kalimantan, Bone in South Sulawesi, and North Lombok in NTB. The second phase between October-December 2015 we will work in 50 locations in 8 Provinces.[18]

All programs still continue until now. And all Kelola programs are open and competitive. The program is announced to the wide community and whoever fulfilling the requirement can apply. The applicants are then selected by the independent team which consists of the experts of art, and the selected applicants are announced through Kelola's website.[19]

2.3 Contracting details

When did cooperation with this partner start: 2003

What is the MFS II contracting period: 31-12-2010 to 30-12-2013

Did cooperation with this partner end: Not applicable

If yes, when did it finish: Not applicable

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

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

[18] Annex M, Interview with Meuthia Susanti (Assistant Project Manager), MFS II Endline, 2014.
[19] Kelola Foundation Activities Report 2013

2.4 Background to the Southern Partner Organisation

History

Yayasan Kelola was established in 1999 in Solo (Indonesia)[20]. In collaboration with Indonesia's leading management school, Lembaga Manajemen PPM, it offered art modules for art organizations. To enhance and promote the vitality of Indonesian arts, Kelola works directly with Indonesian arts practitioners, across nationwide communities, in response to the needs by providing access to learning opportunities, funding, and information. Kelola also promotes cultural exchange by facilitating artists and art practitioners to engage in dialogue, gain and share skills and knowledge, as well as to build networks within Indonesia and with the international cultural communities.[21]

In 2004 Yayasan Kelola moved to Jakarta and kept on expanding the scope of its interventions. Nowadays Yayasan Kelola has five running programs and has reached more than 15000 people through it, direct and indirectly. Yayasan Kelola has sent 37 arts practitioners in residency programs to the USA and Australia and has supplied 90 arts practitioners with internships in 14 established institutions in Jakarta, Bandung, Yogyakarta, Jambi and Lampung. Finally, Yayasan Kelola has more than 1,000 arts practitioners in workshops and international conferences in 26 provinces[22]. Yayasan Kelola has regularly received support from HIVOS, the Ford Foundation and the Asian Cultural Council. Yet these organizations form only a fraction of the impressive network this organization has built up throughout the years of its existence[23].

Led by Director whose capacity has been well-recognized both in National and International level, the working pattern from Kelola Foundation is not similar to the other art organizations, but more similar to the formal agency instead, in which the staffs working with the artists receiving the grant, have the duty to maintain the order of management from all the artists.[24]

Kelola Foundation is the initiator of the artists gathering which then born the Indonesian Art Coalition (KSI) in 2010. There are 60 members, both personal and agencies throughout Indonesia. This coalition is the part of the learning due to the absence of association for the artists. The goal in the future is in order that the artists can be the legal entity. Thus with the existence of Indonesian Art Coalition, it is as the effort to the information access regarding the policy especially the art in Indonesia, and has the advocacy function for the art in Indonesia. [25]

Kelola programs drafted in response to the need and the problems uncovered by the visual arts, dance, Indonesian music and theatre society. If the need of art and cultural society shifts and turns, the Kelola program will also about to change.[26]

Please see appendix A for more details in the historical time line that was developed during the baseline workshop.

Vision

"Kelola aims to celebrate, nurture and promote the creativity of Indonesian artists and arts practitioners working in visual arts, music, dance, theatre and film. Through programs with a focus on educational activities, while engaging in cross-cultural dialogue, Yayasan Kelola aims at promoting cultural diversity"[27].

Mission

"To develop its programs in response to the needs and concerns articulated by the Indonesian visual and performing arts as well as by the film communities. As the needs of the communities shift and change, Kelola's programs change in response. Promoting cultural exchange by facilitating artists and

[20] Historical time line developed by Evaluation team (2012
[21] Change in the Organizational Capacity of Kelola Foundation in 2012-2014
[22] HIVOS (2012) "Yayasan Kelola" Available at: http://www.HIVOS.nl/eng/community/partner/10002818 Accessed on: 14.11.2012
[23] HIVOS (2012) "Yayasan Kelola" Available at: http://www.HIVOS.nl/eng/community/partner/10002818 Accessed on: 14.11.2012
[24] Annex D, MFS II Endline Interview with Egbert, 2014
[25] MFS II Endline, FGD Key of change Kelola, 2014
[26] Kelola Foundation Activities Report 2013
[27] Yayasan Kelola (2011) "Narrative Proposal for Activities of Kelola 2011-2013: Application for funding from HIVOS".

art practitioners' engagement in dialogue, so as to gain and share skills and knowledge is also a focus of Yayasan Kelola. Finally, Yayasan Kelola aims at building networks within Indonesia as well as in the international cultural communities"[28].

Strategies

Yayasan Kelola's strategies vary per program. Nevertheless, there are a few features based on Kelola's guiding principles, which outline all strategies carried out by Yayasan Kelola. Yayasan Kelola's guiding principles are: respect for diversity, fairness and accountability. The features that outline the specific program strategies are:

- a work ethic is based on impartiality, clarity and transparency.
- clear organizational objectives and structure,
- a focused program delivery system and
- financial accountability.

[28] Yayasan Kelola (2011) "Narrative Proposal for Activities of Kelola 2011-2013: Application for funding from HIVOS".

3 Methodological approach and reflection

3.1 Overall methodological approach and reflection

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

The description of indicators for the baseline in 2012 served as the basis for comparison during the endline in 2014. In practice this meant that largely the same categories of respondents (preferably the same respondents as during the baseline) were requested to review the descriptions per indicator and indicate whether and how the endline situation (2014) is different from the described situation in 2012[29].

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.

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

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

Key steps to assess changes in indicators are described

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

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

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

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

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

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

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

3.3.1 Selection of SPOs for 5C process tracing

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

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

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

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

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

3.3.2 Key steps in process tracing for the 5C study

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

Key steps in process tracing for the 5C study

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

3.3.3 Methodological reflection

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

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

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

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

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

A few remarks need to be made:

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

result of different factors, actors and interventions. Organisations change because people change and therefore understanding when and how these individuals change behaviour is crucial. Also attrition and change in key organisational positions can contribute considerably to the outcome.

Utilisation of the evaluation

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

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

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

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

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

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

4 Results

4.1 MFS II supported capacity development interventions

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

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
Empowering Women artists	Support Women artists in Indonesia	Artistic and gender assistance, leadership training and production support	2011-2013	IDR 315,300,000
Organizational support	Support the organization in various ways	6-8 managers supported and given internships in local/foreign cultural institutions. Funding support for national media coverage. Fundraising efforts supported	2011-2013	IDR 433,000,000 (for all organizational support activities)
Series of workshops	Improve performance art related knowledge	Workshops	2011-2013 Annually	IDR 23,000,000

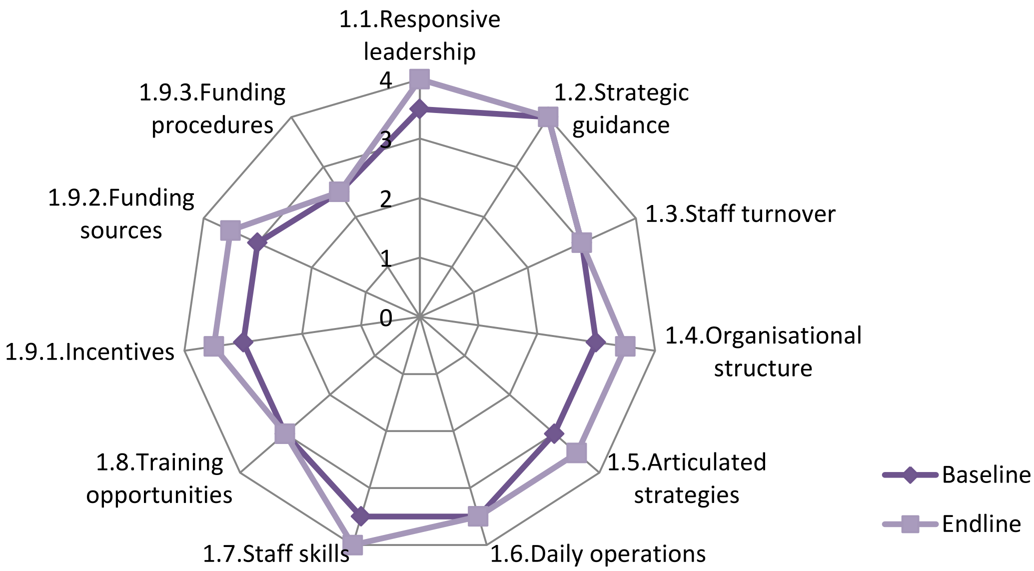
Source: 5C endline_support to capacity development sheet_CFA perspective_Indonesia_Yayasan Kelola – Exchange rate: 1 Euro = IDR 12,200

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

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

4.2.1 Changes in the five core capabilities

Capability to act and commit

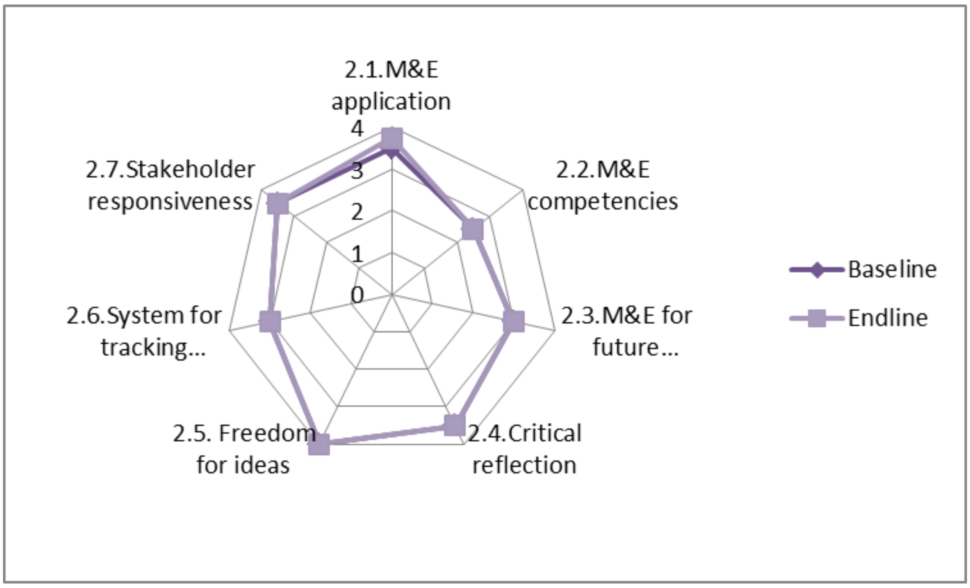


Kelola has a limited number of staff and only a few separate divisions, making it an effective and efficient organization.The Director has been a great asset for the foundation as she can encourage her staffs to improve their skills and go beyond their limit. She is well connected to the target groups and also the funders which has positive impact on the organization. Compared to the baseline the director is now more approachable and attentive, especially for those who feel uncomfortable to talk to her directly. She has been able to attract additional funding, from FirstState Investment, and consequently new staff have been recruited. These include two staff members with finance and procurement expertise and two staff members with foreign language skills. These have improved the overall level of knowledge and skills in the organisation, but with the new project, there are also new competences that need to be addressed and training opportunities are more limited having more staff are not enough funds available. However, Kelola also offers them a number of incentives in the form of larger network exposure and great experiences. Even though new staff has been recruited the organisational structure hasn't changed. New staff with specific expertise is expected to provide more advantages in the long run especially in acquiring more funds for the organization. Whilst the strategic plan continues to be the basis for guiding staff in their work, the staff themselves receive clear guidance to achieve their goals through bi-weekly meetings and SOPs. Program activities all derive from the vision and mission, and the design and implementation are always based on the results of the evaluations. Kelola's evaluation mechanism itself is clear and structured. Since the funding is limited, their main programs are their priority and the scale of the projects depends on the funds.

Note: As it is quite difficult to find a replacement for the Director who is approaching the time for her retirement, Kelola may be on the edge of a managerial crisis that needs to be taken care of as soon as possible for the long run.

Score: 3.2 to 3.4 (very slight improvement)

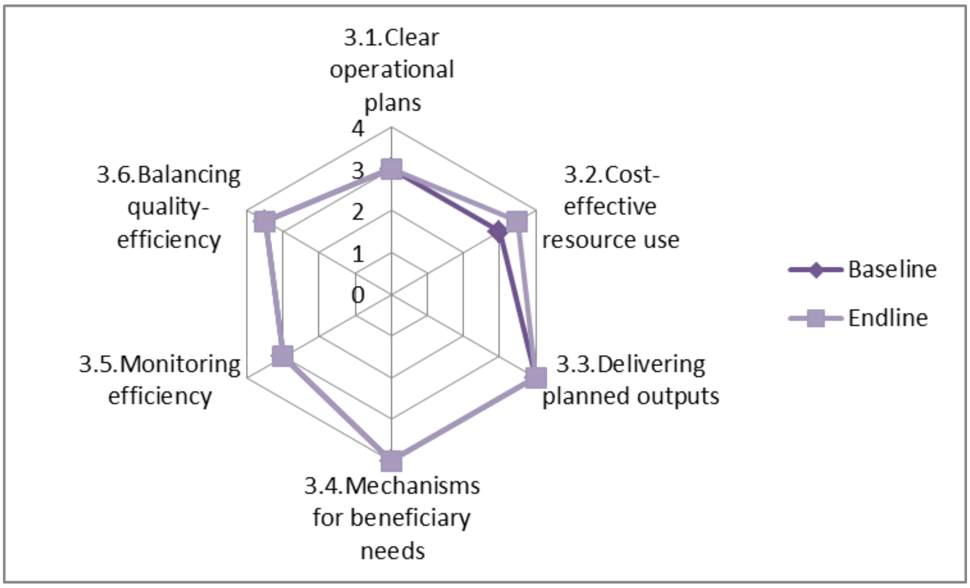
Capability to adapt and self-renew



YAYASAN KELOLA still needs to make efforts to improve its M&E system especially with regards to the education and appointment of individual staff members dedicated to this area, but also to have a more strategically oriented, monitoring and evaluation that helps in making strategic decisions. YAYASAN KELOLA continues to have regular evaluations and discussions with their beneficiaries and stakeholders (media, artists, public, etc). The outcomes of these sessions are used to develop future strategies. The system enables them to meet the beneficiaries' needs and to measure the effectiveness of their programThere is no significant change in terms of internal culture or critical reflection and sharing of ideas. The staff still feels free to share their ideas and offer feedback. The cooperation with stakeholders has proven to have great impact on the operational and strategic decision-making. YAYASAN KELOLA is responsive to the changes in their environment, including the needs of stakeholders and the networks. The good relationship they have with stakeholders and networks help them to be aware of what is happening in their environment. Overall there is no significant change compared to the baseline in 2012.

Score: 3.3 to 3.3 (no change)

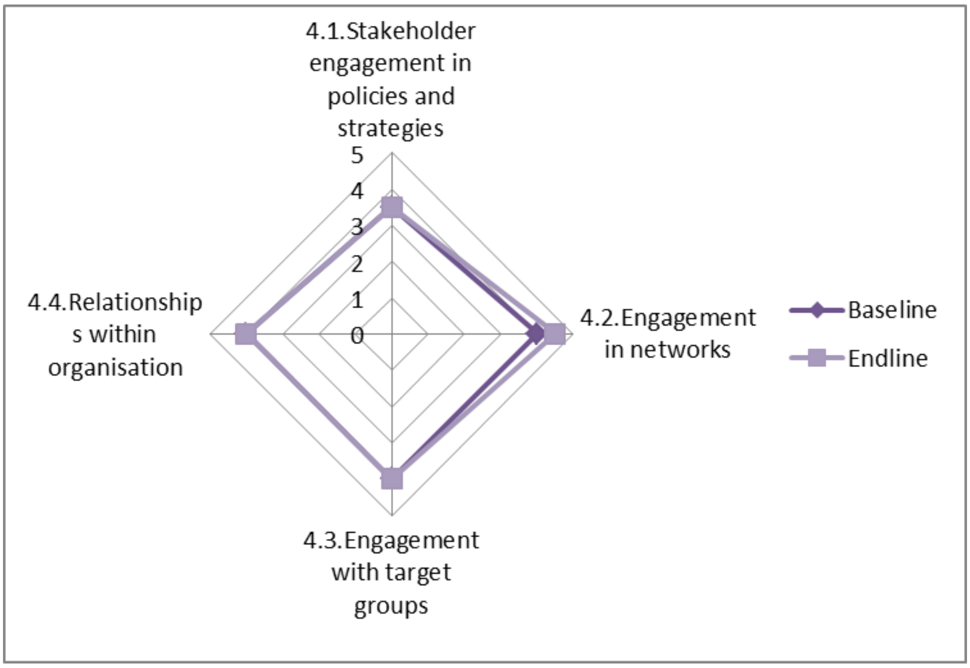
Capability to deliver on development objectives



YAYASAN KELOLA has clear operational plans in place. YAYASAN KELOLA has been working under budget constraints for a long time forcing the organization to focus on using resources efficiently and focussing on what's important. All the staff is aware of the limited funds received and attempt to use their resources optimally. It has good system to respond to the need of the beneficiaries and meet the funders' qualifications. Although there is no formal system yet for its monitoring and evaluation to assess the beneficiary needs, efficiency and quality of their work, they show efforts to use minimal resources as best as they can. Outputs have generally still been implemented according to plan.

Score 3.4 to 3.5 (very minor improvement)

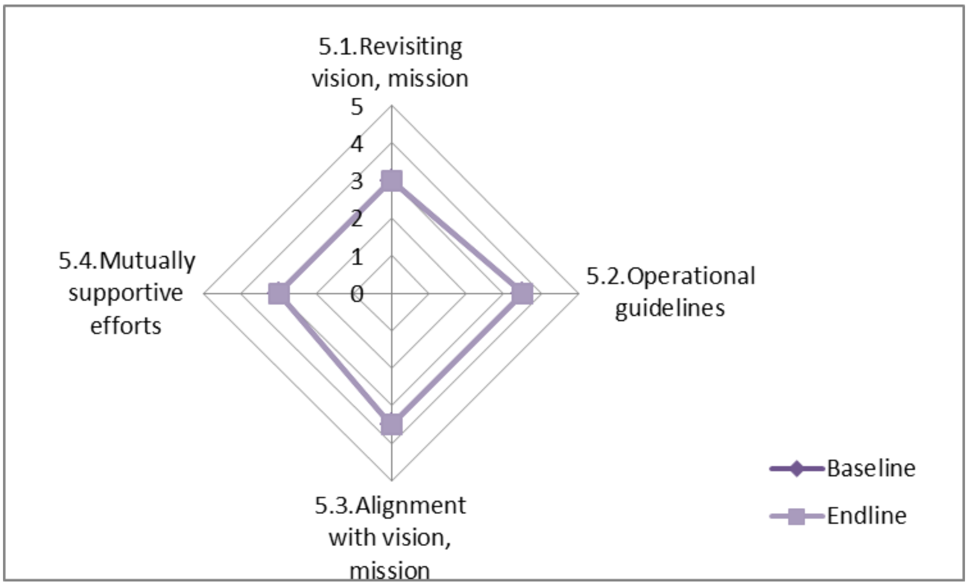
Capability to relate



The capability to relate has hardly improved mainly due to having a Director who is very active and well connected with the organization's network. As the result of good networking, YAYASAN KELOLA is getting more acknowledged both nationally as well as internationally. YAYASAN KELOLA continues to work closely with the target groups through dialogue, performances, information sharing, skills improvement, and networking. Internal relationships facilitate open communication, both formally and informally. Yayasan Kelola also actively work with the Koalisi Seni in particular to advocate the government policy collectively to run PP No 93 /2010.

Score: 3.9 to 4.0 (very minor improvement)

Capability to achieve coherence



Overall this organization has a good understanding on how to achieve coherence. They have a vision and mission which is reviewed every two years, and adjusted to the national needs and global trends. Nonetheless, changes have not been made since 2008 because the organization's vision and mission are still considered relevant and applicable. Each of the programs Kelola develops is derived from the vision and mission and even though Kelola makes innovations, they are all within the field of "arts and cultural development" framework of the organization's vision. Because all the programs are in line with their vision and mission, all of the programs support and complement each other. Furthermore staff members and partners are encouraged to share and conduct cross-program learning, as to apply lessons learned across all programs. YAYASAN KELOLA is a well-established organisation and since long as has adequate Standard Operating Procedures in place which are utilized by new staff members to start their work.

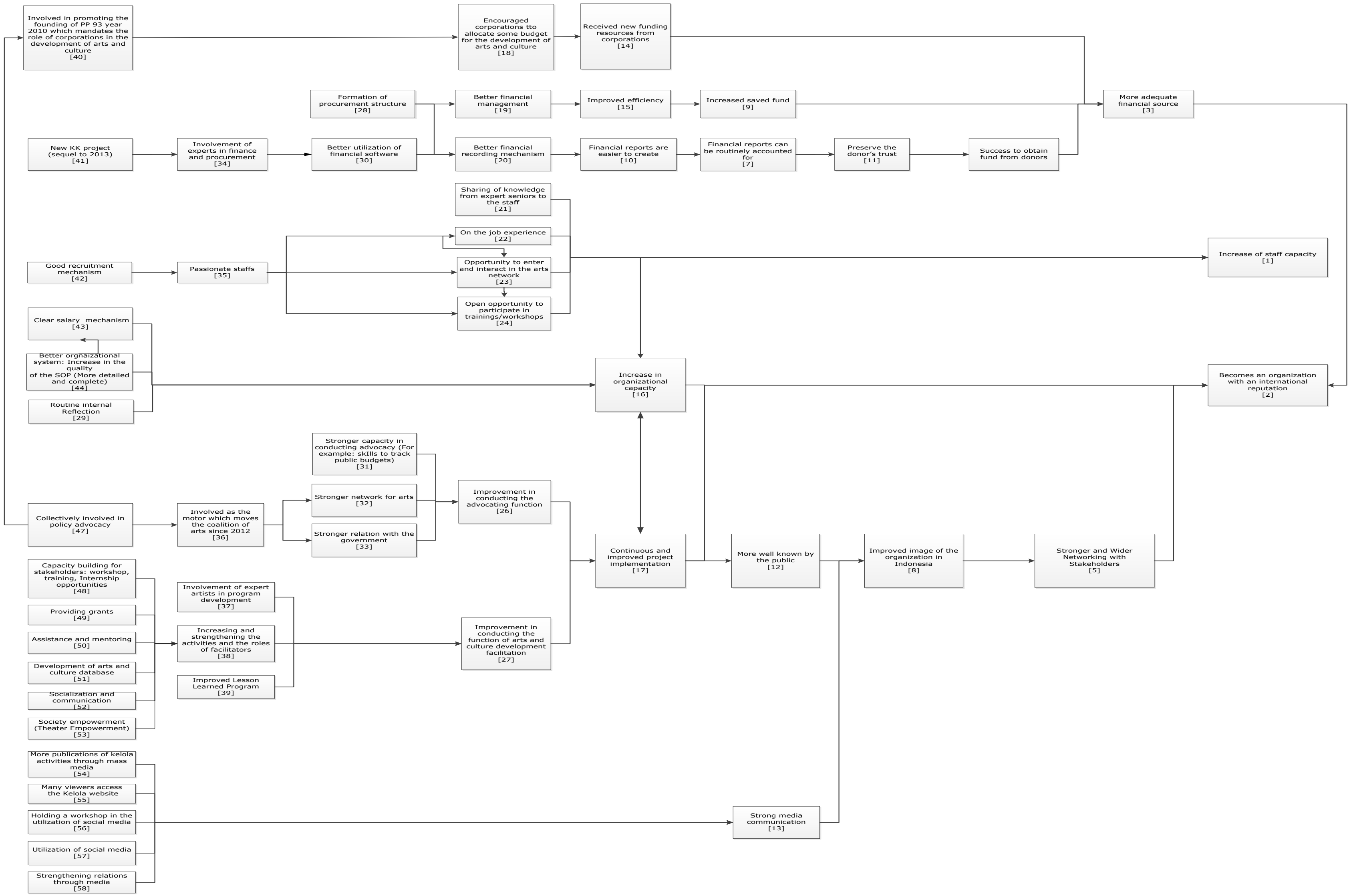
Score: 3.2 to 3.2 (no change)

4.2.2 General changes in the organisational capacity of the SPO

The evaluation team carried out an endline assessment at Yayasan Kelola from 26 to 27 June 2014. During this workshop, the team made a recap of key features of the organization in the baseline in September 2012 (such as vision, mission, strategies, clients, partnerships). This was the basis for discussing changes that had happened to the organization since the baseline. The two main changes that happened in the organization since the baseline in 2012, as identified by the staff during the endline workshop were:

1. Increase of staff capacity [1]
2. Becoming an organization with an international reputation [2]

Each of these organizational capacity changes is elaborated in detail below.



Involved in promoting the founding of PP 93 year 2010 which mandates the role of corporations in the development of arts and culture [40]
Encouraged corporations tto allocate some budget for the development of arts and culture [18]
Received new funding resources from corporations [14]
Formation of procurement structure [28]
Better financial management [19]
Improved efficiency [15]
Increased saved fund [9]
More adequate financial source [3]
New KK project (sequel to 2013) [41]
Involvement of experts in finance and procurement [34]
Better utilization of financial software [30]
Better financial recording mechanism [20]
Financial reports are easier to create [10]
Financial reports can be routinely accounted for [7]
Preserve the donor's trust [11]
Success to obtain fund from donors
Sharing of knowledge from expert seniors to the staff [21]
On the job experience [22]
Good recruitment mechanism [42]
Passionate staffs [35]
Opportunity to enter and interact in the arts network [23]
Open opportunity to participate in trainings/workshops [24]
Increase of staff capacity [1]
Clear salary mechanism [43]
Better orgnaizational system: Increase in the quality of the SOP (More detailed and complete) [44]
Routine internal Reflection [29]
Increase in organizational capacity [16]
Becomes an organization with an international reputation [2]
Stronger capacity in conducting advocacy (For example: skIlls to track public budgets) [31]
Stronger network for arts [32]
Stronger relation with the government [33]
Improvement in conducting the advocating function [26]
Collectively involved in policy advocacy [47]
Involved as the motor which moves the coalition of arts since 2012 [36]
Continuous and improved project implementation [17]
More well known by the public [12]
Improved image of the organization in Indonesia [8]
Stronger and Wider Networking with Stakeholders [5]
Capacity building for stakeholders: workshop, training, Internship opportunities [48]
Providing grants [49]
Assistance and mentoring [50]
Development of arts and culture database [51]
Socialization and communication [52]
Society empowerment (Theater Empowerment) [53]
Involvement of expert artists in program development [37]
Increasing and strengthening the activities and the roles of facilitators [38]
Improved Lesson Learned Program [39]
Improvement in conducting the function of arts and culture development facilitation [27]
More publications of kelola activities through mass media [54]
Many viewers access the Kelola website [55]
Holding a workshop in the utilization of social media [56]
Utilization of social media [57]
Strengthening relations through media [58]
Strong media communication [13]

Increase of staff capacity [1]

According to staff present at the endline workshop, overall staff capacity within Yayasan Kelola has increased [1] which has also influenced the increase in the organizational capacity [16].

The following underlying factors can be related to this development. *First,* sharing of knowledge from senior staff to junior staff took place [21]. *Secondly,* staff gained significant experience on the project [22] therefore staff learned through the opportunity to enter and interact with members of the arts network [23] that Yayasan Kelola is involved in. *Thirdly,* the benefit of staff close relation with the art networks makes them get invitation to participate in trainings and workshops held by other organizations within Yayasan Kelola network [24].

The staffs that have very good passion [35] on art see these opportunities for them to increase their capacities therefore Yayasan Kelola does not need to develop their staffs through internal capacity building. The passion in staff was in turn one of the qualities looked for during the recruitment of staff [42]. This is the cause why all staffs' passion on arts has supported their capacities both for the job and for their own developments.

Becoming an organization with an international reputation [2]

According to staff, Yayasan Kelola has significantly raised its profile and international reputation through various activities and developments. These developments have resulted in the director of the organization receiving an international award from Fullbright, USA.

The *first* factor that affected the organizational reputation was obtaining more adequate financial sources therefore the organization can operate continuously [3]. There are at least three folds influenced the first factor.

1. New funding resources were for instance obtained from corporations [14] as an effect of the establishment of PP 93 year 2010 which mandates the role of corporation in the form of art and culture [40]. This regulation effectively encourages corporations to allocate some budget for art and culture [18]. It was not solely a public effort to bring about the formulation of this policy however, as a collective effort to be involved in policy advocacy was a clear target for Yayasan Kelola to be achieved in the years prior [47].
2. Increase saved fund [9] as the result of improved financial efficiency [15] as an effect of better financial management [19]. It is caused by formation of procurement structure [28], and better utilization of financial software [30].
3. Yayasan Kelola has good ability in fund management resulted in the ability to fund some projects which has no donors. The fund from donors is used efficiently for a project, and the remained fund will be used as cross subsidy for other projects. The efficiency in fund use is the factor contributes to adequate financial sources. Whilst the frequent and accountable financial reports supports the organization to gain international reputation
4. Succeed in obtaining fund from international donors because of the trust from the donors [11]. The organization can preserve the trust due to the following:
   a. Routine and accountable financial reports. The financial reports are easier to create [10] after the implementation of a better financial recording mechanism [20]. The implementation of this mechanism was enabled by better utilization of the financial software [30] after the involvement experts in finance and procurement [34] through the new establishment of *Komunitas Kreatif* (Creative Community) project in 2013 [35].
   b. Increase in organizational capacity (will be elaborated in other paragraph) [16]
   c. Continuous and improved project implementation [17]

The *second* factor is the increase in organizational capacity [16], as is explained further below in this narrative. There are fourfold influenced the second factor:

1. Internal reflection [29] in monthly, quarterly, semester, annual organizational meetings, and also in project meetings based on the needs.
2. Increase staff capacity [1].
3. Better organizational system – complete standard operating procedures (SOPs) [44], including payroll mechanism - staffs' salaries increase based on Cost of Living Adjustment mechanism [43].
4. Continuous and improved project implementation (16), as elaborated below:
   a. There is an improvement in conducting the advocating function of the organization [26]. The advocating function of the organization improved through stronger capacity in advocacy such as the skill to keep track of public budgets [31]. But also through a stronger network in the

arts sector [32] as well as stronger relations with the government and authorities [33]. Both these factors were enabled by Kelola's role as the driving actor in the coalition of arts since 2012 [36]. This role was obtained after taking a leading position in the collective policy advocacy initiative [47].

b. There is an improvement in conducting the facilitation of arts and cultural development on the other hand [27], was improved through an improved lesson program [39] and the involvement of experts and artists themselves in the program's development [37]. Another factor that played an important role in improved facilitation was through strengthening and increasing the activities of facilitators themselves [38]. Six developments enabled this:
   - Capacity building for stakeholders through workshops, trainings, internships and other opportunities in which facilitators were directly applied [48].
   - Providing grants to fund their development [49]
   - Direct assistance and mentoring [50]
   - Development of an arts and culture database accessible to facilitators to enable learning and knowledge sharing [51]
   - Socialization and communication amongst facilitators [52]
   - Society empowerment through art activities [53].

The *third* factor affecting Yayasan Kelola's reputation was the stronger and wider networking efforts that the organization undertook. Not only were networking activities intensified, they were also applied to a broader range of organizations in a variety of fields of work [5].The improved image of Yayasan Kelola in Indonesia played a significant role in reaching out to these parties and broadening the network as a whole [8]. The greater image of the organization in turn came about from being better known amongst the public [10] through successful project implementation [13], but also through strong communication with the media [30]. Communication with the media was a carefully devised strategy consisting of a range of activities namely:

1. More publications and articles relating to Kelola's activities in mass media [50]. The number of publications regarding EWA in the media up to December 2013 are 81 articles (including news on the performances of the grantees, and also profiles on Kelola), and 61 publications for *Hibah Seni*.

2. An increase in online content leading to a greater audience on the organization's website [51]. Due to improvements in the content of the website, the number of visitors of Kelola's website up to December 2013 increased more than 20% with the total visitors : 160,457 117,606 and total clicks : 2,324,644 1,824,977.

3. The organization of a workshop through the utilization of social media [52]

4. Utilization of social media [53]. Since 2013, the Kelola newsletter was improved by sending several news in one email with attractive photos. The appearance of the newsletter with attractive visuals and layout caused a 25% increase in newsletter subscribers from 3,600 to 4,532. In addition, Kelola has 5000 friends on Facebook and 1697 followers on Twitter.

5. Approaching media as one of the organization stakeholders [54]. In 2013, Kelola succeeded in collaborating with five medias: Dewi, Femina, The Jakarta Globe, Suara Pembaruan and www.beritasatu.com. Through these collaborations, three performances of the Kelola grantees in Jakarta (Theater Performance "Mada" by Bambang Prihadie; Dance Performance "*Ruang Waktu*"by Nabilla Rasul; and Dance Performance "This Cycle We're In" by Andara F. Moeis) received support in the form of print ad, and publication before and after the performances in printed and online media. If counted, the value of Kelola's collaboration with the five media partners above are a total of IDR 480.300.00,- .

5 Discussion and conclusion

5.1 Methodological issues

General: Applied to all or most SPOs

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

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

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

Yayasan Kelola

The endline workshop in Kelola started with the brainstorm on key organisational capacity changes since the baseline in 2012 and factors influencing these changes, which resulted in the general causal map for the organisation. The discussion on this general causal map, was initiated by discussing the *historical time* line (from the baseline in 2012), and how this has changed over the years: critical changes in the organization, development of vision, mission and strategies; target groups; numbers and functions of staff; total budget and funders; important influencing factors and actors. This resulted in a broad range of organisational capacity changes.

In-depth interviews were held with SPO staff to follow up the information that was provided on the self-assessment sheets and also to further explore issues discussed during the workshop. There were six staff members who participated in the workshop: 2 management staffs, 3 program staffs and 1 administration and HRM staffs. The evaluator did not conduct interview with M&E staff because Kelola did not have specific M&E staff. However, the M&E issue was discussed with other staff, specifically with the management, who has taken over the M&E role.

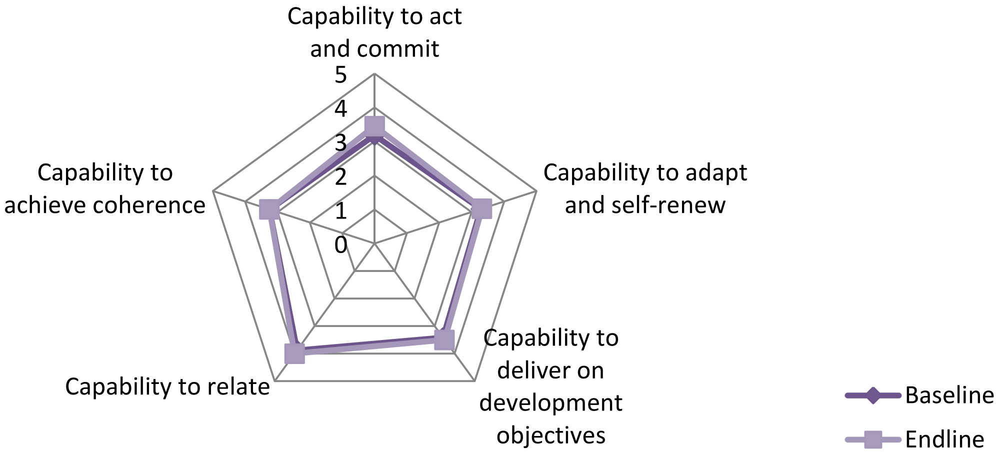
There were no differences in the baseline and endline respondents because Kelola Foundation staff turnover was very low. The external partner respondents were selected together by the evaluator and Kelola Foundation. They were a member of Koalisi Seni as a partner; a cultural specialist involved in one of the project as a consultant; and an art curator who had received a grant from Kelola as a beneficiary. The consultant and beneficiary were not located in Jakarta (Kelola's office), so the interview with them was conducted at different time.

5.2 Changes in organisational capacity development

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

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

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



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 for Yayasan Kelola. A slight improvement occurred in the responsiveness of leadership. After an effort to cover the gap between senior and junior staff with management, the director is now more approachable and attentive, especially for those who feel uncomfortable to talk to her directly. This enabled all the staff to give input and feedback comfortably. In terms of articulation of strategies a slight improvement took place through even greater integration of program activities in relation to strategic objectives and vision and mission. Staff skills improved slightly through the hiring of newly skilled staff, but also through the continuous learning of staff members in the issues related to local artists as well as report writing. Incentives have slightly improved at the organization by offering exposure to a large professional network which allows for significant personal growth of the staff members. Funding sources have slightly improved as well, true the long term cooperation with First State Investment which started in 2012.

The capability to adapt and self-renew has only very slightly improved compared to the baseline situation in 2012. The application of M&E for instance is still done informally, although now more regularly. Every program activity is reviewed by a third party to ensure the objectivity of the analysis, but further analysis and implementation is needed for M&E to be truly useful for the organization.

The capability to deliver on development objectives has demonstrated a very minor improvement. A slight improvement has occurred in the cost-effective use of resources of Yayasan Kelola. Since every staff member now understands the difficulty of obtaining funds and managing them, they are even more motivated to be precise in their estimations as well as utilizing their resources as effectively as possible.

The capacity to relate has a very minor improvement resulting from Yayasan Kelola’s engagement in networks. The organization has engaged in more networking activities with prominent organizations is now starting to get more recognized.

No change has occurred in the capability to achieve coherence compared to 2012.

General organisational capacity changes related to MFS II Interventions

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

During the endline workshop some key organisational capacity changes were brought up by Yayasan Kelola staff, these have been captured in the general causal map in 4.2.2:

1. Increase of staff capacity
2. Becoming an organization with an international reputation

Yayasan Kelola staff experienced these as the most important capacity changes in the organisation since the baseline.

An increase in staff capacity was due to sharing of knowledge from expert seniors to the staff; on the job experience; the opportunity to enter and interact in the arts network; and opening the opportunity to participate in trainings and workshops. Each of these was enabled by passionate staff, which can be attributed to the good recruitment mechanism of Yayasan Kelola.

Becoming and organization with an international reputation was due an increase in organizational capacity, more adequate financial sources and a stronger and wider network with stakeholders. Increased organizational capacity was due on the job experience, a clear salary mechanism, better organizational systems through higher quality SOPs, routine internal reflection and continuous and improved project implementation. The latter was due improvements in advocating and improvements in arts and culture development facilitation. Improvements in advocating can be attributed to stronger capacity in advocacy skills, a stronger network for arts, as well as better relations with the government. This in turn was enabled by Yayasan Kelola acting as the engine which drove the coalition of arts since 2012 and the organization being collectively involved in policy advocacy. This was a Hivos sponsored MFS II activity, but could not be identified as a specific capacity development intervention. The improved function of arts and culture development facilitation resulted from involvement of expert artists in program development, improved lessons learned program, and increasing and strengthening the activities and roles of facilitators. This was due to a variety of interventions namely; capacity building for stakeholders, workshops, training and internship opportunities (partially funded by MFS II), providing grants, assistance and mentoring, development of arts and culture database, Socialization and communication as well as society empowerment.

More adequate financial sources were enabled by new funding from corporations, increased saving funds, as well as additional donor funding. Corporations were encouraged to allocate budget for the development of arts and culture due to Yayasan Kelola being involved in promoting the government regulation PP93 which encouraged corporations to do so. Increased savings were made possible by improved efficiency in operations due to better financial management. This was enabled by the formation of a procurement structure. The successful acquisition of new donor funds were enabled by preserving donor trust, accountable financial reports as a result of a simplified mechanism to do financial recording. This was enabled by the utilization of financial software after the involvement of finance experts as part of the KK project in 2013.

The stronger and wider network of stakeholders that Yayasan Kelola that was developed since the baseline was due an improved image of the organization in Indonesia. This can be attributed to it being better known by the public, as well as the strong media communication that took place. Public awareness increased as a result of continuous and improved project implementation, as was already explained above. The strong media communication can be attributed to more publications of Kelola activities through mass media, an increase in website traffic, holding a workshop in the utilization of social media, utilizing social media and strengthening media relations.

In conclusion, and based only on the information provided by the SPO staff during the endline workshop, only a small part of MFS II capacity development interventions can be related to the key organizational capacity changes that have taken place. The involvement of Hivos to support Kelola with the arts coalition initiative since 2012 has helped in building connections to government and lobbying and advocating activities, although this was not executed in form of a specific MFS II capacity development intervention. Also a small role of MFS II continues to exist in trainings and workshops.It must be noted that the information provided has not been verified through other sources of information. However Hivos has stated themselves that they were able to reduce their fundraising from 30% to 5% in recent years due to the increased fundraising capacity of the organization. This is difficult to attribute to MFS II interventions without going into more detail through for example process tracing.

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Kenschets Page 1.doc
Kenschets Page 2.doc
partners capacity assessment-Kelola.rtf

Grant Hivos 2011-2012 dan Rencana Realokasi.ods
Pengalihan dana 2012 ke 2013.pdf
1002502 budget status 2011.xls
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1002502-Audit Assm Y2011.doc
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Feedback laporan 2011 dari Kelola.pdf
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Report assessed-2011.doc
report-assessed-2011-osiris-final.xls
Assessment sheet_Dutch co-financing organisations_Indonesia_Yayasan Kelola-12102012.doc
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Workplan Kelola 2012.pdf
Annex A_5c endline_assessment sheet_Dutch co-financing organisations_indonesia_yayasan kelola_hivos.docx
Annex B_5C endline_support to capacity development sheet_CFA perspective_indonesia_yayasan kelola_hivos.docx
Kelola_2013_AnnualReviewAssessment.xls
Alur Kerja HS.docx
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Artikel Langitberita.com Ruang. Waktu..doc
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Kelola's Statement of Activities and Fund Balances 2013.pdf
ANGGRA~1.JPG
Bambang Prihadi, Sutradara - Hibah Seni.jpg
Citra Pratiwi, Koreografer - EWA.jpg
Danardono, Koreografer - Hibah Seni.JPG
DWIWIN~1.JPG
Gema Swaratyagita, Komposer - EWA.jpg
Ibed Suryana Yuga, Sutradara - Hibah Seni.JPG
Nabilla Rasul, Koreografer - Hibah Seni.JPG
Rapat Evaluasi EWA.JPG
Susandra Jaya, Komposer - Hibah Seni.JPG
TONYAS~1.JPG
Laporan Naratif FSII.pdf
Kelola's Statement of Activities and Fund Balances 2013.pdf
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Laporan Naratif Kegiatan Kelola 2013.pdf
Annex Q_5c endline observation sheet_country_name SPO.doc
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BAHASA-Annex D_5c endline interview guide_mitra_egbert_koalisi seni.doc

BAHASA-Annex D_5c endline interview guide_mitra_selected indicators_Alia.fix.doc
BAHASA-Annex L_5c endline interview guide_subgroup_management.doc
BAHASA-Annex O -5c endline interview guide_admin and HRM staff_ Windi Wulandari.doc
Form Annex M - 5c endline interview guide_subgroup_program staff_Viranti Dara.doc
Form Annex M -5c endline interview guide_subgroup_program staff_ Meuthia Susanti -rev.doc
Form Annex M -5c endline interview guide_subgrup_program staff_ Endah Pertiwi.doc

List of Respondents

List of Respondents

People Present at the Workshops

Date:		**26-27 June 2014**	**Organisation: YayasanKelola**	
NAME	**ROLE IN THE ORGANISATION**	**DURATION OF SERVICE**	**PHONE**	**E-MAIL**
Management				
Amna Kesuma	Direktur			amna@indo.net.id
Linda Hoemar Abidin	Ketua Pengurus	15 years	08161884288	lhabidin@gmail.com
Program/ Project staff				
Viranti Dara Anggari	Koordinator Program	1 year		
Endah Pertiwi	Staff Program	2 years		
Meuthia Susanti	Asisten Project Manager	10 years		
Admin/ HR/Finance staff				
Windi Wulandari	Finance Administration	4 years	081387119231	
Field staff staff				
Others				

List of People Inteviewed

Date:		**25-28 June 2012**	**Organisation: Lembaga Kita**	
NAME	**ROLE IN THE ORGANISATION**	**DURATION OF SERVICE**	**PHONE**	**E-MAIL**
Management				
Amna Kesuma	Direktur			amna@indo.net.id
Linda HoemarAbidin	Ketua Pengurus	15 years	08161884288	lhabidin@gmail.com
Program/ Project staff				
Viranti Dara Anggari	Koordinator Program	1 year		-
Meuthia Susanti	Asisten Project Manager	10 years		
Endah Pertiwi	Staff Program	2 years		
Admin/ HR/Finance staff				
WindiWulandari	Finance Administration	4 years	081387119231	-
Sri Asih	Finance Accounting	1 year		
Field staff staff				
Others				
Egbert Willems Wits	Partner	2 years	081388302679	

Appendix 1 Methodological approach & reflection

Introduction

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

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

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

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

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

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

Changes in partner organisation's capacity – evaluation question 1

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

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

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

The description of indicators for the baseline in 2012 served as the basis for comparison during the endline in 2014. In practice this meant that largely the same categories of respondents (preferably the same respondents as during the baseline) were requested to review the descriptions per indicator and indicate whether and how the endline situation (2014) is different from the described situation in 2012.[30] 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.

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

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

Key steps to assess changes in indicators are described

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

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

Below each of these steps is further explained.

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

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

General questions about key changes in the capacity of the SPO

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

An endline workshop with the SPO was intended to:

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Background information on process tracing

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

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

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

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

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

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

Selection of SPOs for 5C process tracing

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

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

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

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

ETHIOPIA

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

Table 1

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

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

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

Source: country baseline report, Ethiopia.

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

Table 2
SPOs selected for process tracing – Ethiopia

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

INDIA

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

Table 3

The extent to which the Dutch NGO explicitly targets the following capabilities – India[31]

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

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

Source: country baseline report, India.

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

Table 4

SPOs selected for process tracing – India

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

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

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

INDONESIA

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

Table 5

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

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

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

Source: country baseline report, Indonesia.

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

Table 6
SPOs selected for process tracing – Indonesia

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

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

LIBERIA

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

Table 7

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

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

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

Source: country baseline report, Liberia.

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

Table 8

SPOs selected for process tracing – Liberia

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

Key steps in process tracing for the 5C study

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

Key steps in process tracing for the 5C study

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

A model of change of good quality includes:

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

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

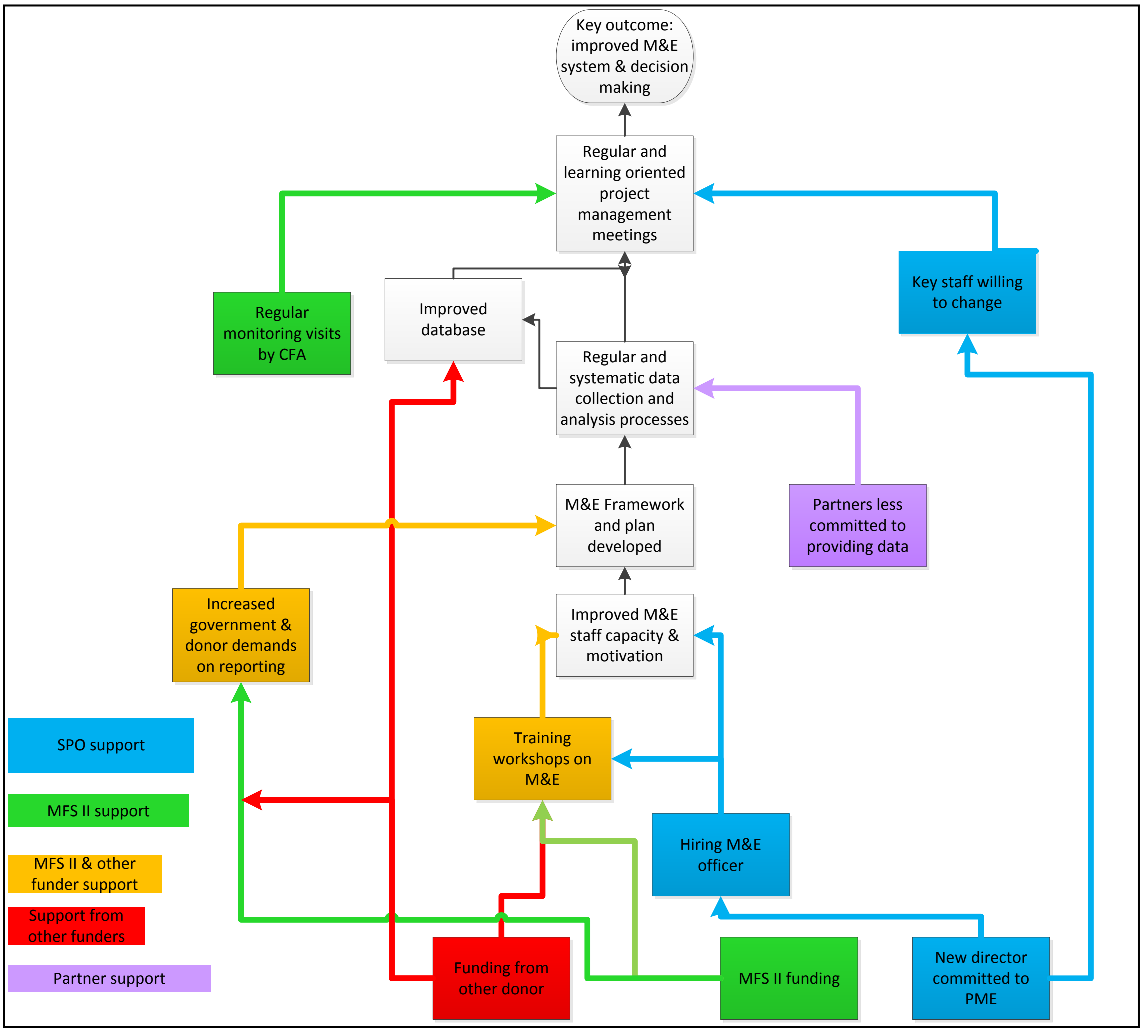


Figure 1 *An imaginary example of a model of change*

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

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

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

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

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

Types of evidence to be used in process tracing

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

Source: Beach and Pedersen, 2013

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Explaining factors – evaluation question 4

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

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

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

Methodological reflection

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

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

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

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

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

A few remarks need to be made:

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

crucial. Also attrition and change in key organisational positions can contribute considerably to the outcome.

Utilisation of the evaluation

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

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

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

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

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

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

Appendix 2 Background information on the five core capabilities framework

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

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

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

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

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

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

Competencies are the energies, skills and abilities of individuals.

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

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

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

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

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

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

Description of Endline Indicators Yayasan Kelola

Capability to act and commit

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

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

The Director of Yayasan Kelola is an experienced professional with good managerial skills and vision. Since she is quite senior, there is sometimes a gap the junior staff, although the gap is basically in terms of content (vision, mission, the future and infrastructure of Indonesian arts & culture). In regard to this problem already recognized in the baseline, the second in command has increased efforts to cover the gap between senior and junior staff and the Director. The director is now more approachable and attentive, especially for those who feel uncomfortable to talk to her directly. This enabled all the staff to give input and feedback comfortably.

The Director has also performed intensive weekly meetings to reduce the gap with junior staff and to assist the staff to improve themselves by delegating tasks as budgeting and joining workshops or discussions. She is highly respected and considered as a very important and valuable person for the organization.

Score: from 3.5 to 4 (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

The strategic plan continuous to be the guidance for the activities within the YAYASAN KELOLA. Vision and mission remain clear and the Director has supervised all work performance. Staff has received clear guidance to achieve their goals through bi-weekly meetings and standard operating procedures (SOPs) (consists of all procedures in the organization). Although the implementation might be differed based on the personal style of individual staff members, the guidelines have been standardized.

As for the project teams, the meetings are held once a month as some of the staff members are located in different cities such as Jakarta and Yogyakarta. There is also standard guidance for the team to run the project i.e. *Manual Operasional Proyek or* MOP/Project Operational Manual or POM, which is one of the donor requirements.

Score: from 4 to 4 (no change)

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

This is about staff turnover.

Several changes have occurred in terms of staff turnover. Whereas in the baseline YAYASAN KELOLA was struggling with limited funding, the addition of new programs and funds have helped change this situation. Two new staff members have been recruited between 2012-2013 to fill vacant positions in the program. The positions opened up after former staff members were transferred to other new projects. Ten new staff openings were created due to the new projects. To date three staff members have left the organization, two of them left of family reasons and one for accepting a higher paying job elsewhere Hiring occurs by project demand. But on the whole turnover in permanent staff is still low, whilst there is a high turnover in temporary staff since these are project based and externally funded.

Score: from 3 to 3 (no change)

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

Yayasan Kelola is a small foundation that runs programs aimed at the Indonesian arts. It has a limited number of staff and only a few separate divisions, making it an effective and efficient organization. In 2013, Kelola gradually employed 5 new staff members (project based staff) for their Komunitas Kreatif (KK) project, making a total of 12 staff members (10 women and 2 men). Despite this growth, Kelola did not undergo a significant change in the organizational formation and structure, such as the board, executive officer and auditor. The organization continues to work effectively towards its objectives.

The loyalty of Kelola's staff is high. Having a good recruitment mechanism directly controlled by the director contributes to selecting loyal staff. Passion has always been the main qualification requested. The activities at Kelola are not just considered as work, but also personal development, dedication and engagement for the development of arts in Indonesia.

Score: from 3 to 3 (no change)

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.

All the programs are derived from the vision, mission and strategic plan. In addition, program design and implementation are always based on the results of the evaluations conducted with stakeholders. In the annual evaluation Kelola used to invite external expert such as art experts. Kelola has a clear and structured evaluation mechanism. Kelola hires a public accountant for their finance. Kelola always asks for suggestions from their stakeholders, such as involving art experts, to increase the quality of their programs. Internally, Kelola conducts regular meetings every month, three months, and year for purposes of evaluation and strategic and operational decision-making. Evaluations are also supported by supervision from their Donor in term of input to program content, admin and finance. The demands for written reports force Kelola to conduct routine and systematic reflections. This is what has been improving Kelola's working performance.

Score: from 3 to 3.5 (slight improvement)

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

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

The strategic plan continues to be the guidance for the activities within the YAYASAN KELOLA. YAYASAN KELOLA has been working under budget constraints for a long time forcing the organization to focus on using resources efficiently and focussing on what's important. Program objectives as lined out in the work plans and strategic plans are key to this approach. Little to no deviation from these plans occurs.

To date the routine programs still run even though new funds have been acquired.

Score: from 3.5 to 3.5 (no change)

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

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

The organization has recruited four new program staff members of which 2 with finance and procurement expertise and two with foreign language skills. The finance officer has done excellent bookkeeping and used IT optimally for financial record purposes. The ability to correspond in English has been improved with the arrival of new staffs.

Over the years staff has improved their skills in issues related to local artists and making reports.

The organization has accepted new funding from First State Investments Indonesia and the World Bank for new projects with a bigger scale than Kelola's previous programs. Therefore, new staff members with specific qualifications are needed.

Score: from 3.5 to 4 (slight improvement)

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

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

So far the Kelola Foundation has organized several trainings for their target groups. The staff is allowed to join these trainings as well to enhance their knowledge. Other training has been provided by sponsors and funders. Unfortunately, limited funds and the increased number of staff members make it difficult to send staff to join more training.

Score: from 3 to 3 (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.

One of the staff incentives that Kelola has offered is in the form of exposure to a large professional network and through offering great working experience. Some of the staff members have significantly grown in terms of skill and experience due to the exposure to this network, and as a result now receive salaries to compensate accordingly. Further incentives stated by staff members were the flexibility and freedom in working in a comfortable work environment.

Score: from 3 to 3.5 (slight improvement)

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.

It remains a difficult task in Indonesia to get funding for art and culture. However, Kelola is actively involved in fund raising, though mostly in small amounts or for short period projects. Over the past two years there has been an increase in funding received and in the number of donors. First State Investment started showing interest in YAYASAN KELOLA in 2012, and has developed a long-term cooperation with the organization. And also with the World Bank for new projects with a bigger scale than Kelola's previous programs.

Score: from 3 to 3.5 (slight 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.

There is no change in fund raising procedures. The Director and Board of Directors continue to play the most important role in acquiring funding, with a limited role for subordinate staff members. Nonetheless, any ideas related to new funding opportunities are accepted and considered.

Score: from 2.5 to 2.5 (no change)

Summary Capability to act and commit

Kelola has a limited number of staff and only a few separate divisions, making it an effective and efficient organization.The Director has been a great asset for the foundation as she can encourage her staffs to improve their skills and go beyond their limit. She is well connected to the target groups and also the funders which has positive impact on the organization. Compared to the baseline the director is now more approachable and attentive, especially for those who feel uncomfortable to talk to her directly. She has been able to attract additional funding, from FirstState Investment, and consequently new staff have been recruited. These include two staff members with finance and procurement expertise and two staff members with foreign language skills. These have improved the overall level of knowledge and skills in the organisation, but with the new project, there are also new competences that need to be addressed and training opportunities are more limited having more staff are not enough funds available. However, Kelola also offers them a number of incentives in the form of larger network exposure and great experiences. Even though new staff has been recruited the organisational structure hasn't changed. New staff with specific expertise is expected to provide more advantages in the long run especially in acquiring more funds for the organization. Whilst the strategic plan continues to be the basis for guiding staff in their work, the staff themselves receive clear guidance to achieve their goals through bi-weekly meetings and SOPs. Program activities all derive from the vision and mission, and the design and implementation are always based on the results of the evaluations. Kelola's evaluation mechanism itself is clear and structured. Since the funding is limited, their main programs are their priority and the scale of the projects depends on the funds.

Note: As it is quite difficult to find a replacement for the Director who is approaching the time for her retirement, Kelola may be on the edge of a managerial crisis that needs to be taken care of as soon as possible for the long run.

Score: 3.2 to 3.4 (very slight improvement)

Capability to adapt and self-renew

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

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

M&E is done informally although regularly, much as was already done during the baseline two years ago. YAYASAN KELOLA is however learning to improve its M&E capacity, by focussing on project evaluations together with their beneficiaries as part of their project management cycle. Every program activity is reviewed by a third party to ensure the objectivity of the analysis. There is also a supervision session every two months with the Empowerment Woman Artist (EWA) association. Every project is completed with M&E, either qualitative or quantitative. YAYASAN KELOLA continues to have regular evaluations and discussions with their beneficiaries and stakeholders (media, artists, public, etc). The outcomes of these sessions are used to develop future strategies. The system enables them to meet the beneficiaries' needs and to measure the effectiveness of their program. However, further analysis and implementation of M&E is needed

Score: from 3.5 to 3.75 (very 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.

Kelola still needs to improve staff competency in relation to M&E. There is still no particularly dedicated or trained staff on the subject. All staff are involved in evaluation, in the form of a collective process. Every year an external Auditor evaluates all the projects since the audits are important to get more funds.

Score: from 2.5 to 2.5 (no change)

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

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

Due to the lack of a clear M&E procedure and system, its application and relation to future strategies remains limited. M&E is mostly done through end of project evaluations, but lessons learned are applied mostly at the operational level, not the strategic level. End of project findings in the form of reports are shared with stakeholders and beneficiaries for feedback. YAYASAN KELOLA continues to have regular evaluations and discussions with their beneficiaries and stakeholders (media, artists, public, etc). The outcomes of these sessions are used to develop future strategies. The system enables them to meet the beneficiaries' needs and to measure the effectiveness of their programThis allows some degree of feedback and trend monitoring that is helpful in deciding on future strategies, but it is not yet systematic

Score: from 3 to 3 (no change)

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

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

YAYASAN KELOLA continues to hold bi-weekly meetings where the staff can critically reflect upon what they have achieved and discuss issues and their solutions. In depth analysis of results, feedback and other issues remain open for improvement.

Score: from 3.5 to 3.5 (no change)

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

This is about whether staffs feel that ideas they bring for implementation of the programme are welcomed a

Staff is comfortable to share ideas and give suggestions during meetings. Suggestions and feedback are often considered and addressed by management. An example of this was one of the suggestions by staff to share more supporting materials between office and field staff, as better coordination affects the organization as a whole. This was addressed and encouraged, which has resulted in a simpler implementation and reporting process. Overall the freedom to express ideas has remained unchanged.

Score: from 4 to 4 (no change)

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.

YAYASAN KELOLA continuous to monitor media and utilize their network to keep in touch with general trends in the are of performing arts and their other program activities. Nothing has changed in this regard over the last two years.

Score: from 3 to 3 (no change)

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

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

Close stakeholder involvement and interaction allows YAYASAN KELOLA to continuously adapt programs to their needs. Particularly in regards to providing funding for admin and finance staff training. Regular contact through discussions with local government, organizations and the public continue to be held, as well as the steady progression of expanding the network by meeting new stakeholders. Practices have remained unchanged over the last two years in this regard.

Score: from 3.5 to 3.5 (no change)

Summary capability to adapt and self-renew

YAYASAN KELOLA still needs to make efforts to improve its M&E system especially with regards to the education and appointment of individual staff members dedicated to this area, but also to have a more strategically oriented, monitoring and evaluation that helps in making strategic decisions. YAYASAN KELOLA continues to have regular evaluations and discussions with their beneficiaries and stakeholders (media, artists, public, etc). The outcomes of these sessions are used to develop future strategies. The system enables them to meet the beneficiaries' needs and to measure the effectiveness of their programThere is no significant change in terms of internal culture or critical reflection and sharing of ideas. The staff still feels free to share their ideas and offer feedback. The cooperation with stakeholders has proven to have great impact on the operational and strategic decision-making. YAYASAN KELOLA is responsive to the changes in their environment, including the needs of stakeholders and the networks. The good relationship they have with stakeholders and networks help them to be aware of what is happening in their environment. Overall there is no significant change compared to the baseline in 2012.

Score: 3.3 to 3.3 (no change)

Capability to deliver on development objectives

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

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

All team members are responsible for their work plan and budget. Every division proposes a work plan completed with budget needed. Furthermore, they have to manage the fund under the supervision of their direct supervisor and the finance team. Therefore, whenever a change of plan occurs, appropriate decisions can be taken faster. The individual responsibility of staff over work plans and their budgets, encourages understanding and effective use of them.

Score: from 3 to 3 (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.

YAYASAN KELOLA has been working under budget constraints for a long time forcing the organization to focus on using resources efficiently and focussing on what’s important. The individual responsibility of staff over work plans and their budgets, encourages understanding and effective use of them. The work plans are still made with realistic expectations and the scope of most projects remains in line with the funds provided. Since every staff member now understands the difficulty of obtaining funds and managing them, they are motivated to be even more precise in their estimations as well utilizing their resources as effectively as possible. This sense of awareness has improved compared to the baseline situation two years ago, resulting in a minor improvement with respect to this indicator.

Score: from 3 to 3.5 (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.

No changes have occurred with respect to this indicator. Overall YAYASAN KELOLA remains able to deliver on planned outputs, although some delays take place at times due to problems in the field. YAYASAN KELOLA closely coordinates their plans with the donors which improves their overall quality and balances expectations. Systematic planning according to a clear set of indicators provided by the donor, allow for realistic goal setting and delivery in practice.,

Score: from 4 to 4 (no change)

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

YAYASAN KELOLA continues to have regular evaluations and discussions with their beneficiaries and stakeholders (media, artists, public, etc). The outcomes of these sessions are used to develop future strategies. For instance as the result of inputs received, YAYASAN KELOLA has been responsive to the need of a special program for women: theater for empowering. The system enables them to meet the beneficiaries’ needs and to measure the effectiveness of their program. Government is also included in stakeholder consultation sessions.

Score: from 4 to 4 (no change)

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.

Monitoring efficiency has remained unchanged. Outcomes and targets are tested to the objectives in the work plans, but no further analysis is done in terms of what this means for efficiency. Donors remain closely involved in the formulation of targets and work plans, ensuring a quality check for realistic expectations.

Score: from 3 to 3 (no change)

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

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

No change has occurred in this indicator. YAYASAN KELOLA has been working under budget constraints for a long time forcing the organization to focus on using resources efficiently and focussing on what's important. Limited funding encourages the organization and its staff to operate efficiently, this can create quality concerns. Nonetheless the stringent preparation in work plans and goal setting in cooperation with the donor allow for setting up minimum quality targets. Kelola always asks for suggestions from their stakeholders, such as involving art experts, to increase the quality of their programs. Through these mechanisms both efficiency and quality are to some degree ensured, however a conscious balancing decision is not made.

Score: from 3.5 to 3.5 (no change)

Summary of capability to deliver on development objectives

YAYASAN KELOLA has clear operational plans in place. YAYASAN KELOLA has been working under budget constraints for a long time forcing the organization to focus on using resources efficiently and focussing on what's important. All the staff is aware of the limited funds received and attempt to use their resources optimally. It has good system to respond to the need of the beneficiaries and meet the funders' qualifications. Although there is no formal system yet for its monitoring and evaluation to assess the beneficiary needs, efficiency and quality of their work, they show efforts to use minimal resources as best as they can. Outputs have generally still been implemented according to plan.

Score 3.4 to 3.5 (very minor improvement)

Capability to relate

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

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

The Director is actively interacting with stakeholders and beneficiaries to analyze their needs to fit the program. Furthermore, YAYASAN KELOLA has initiated and is actively involved in the Coalition of Indonesian Art (Koalisi Kesenian Indonesia) in particular to advocate the government policy collectively to run PP No 93 /2010.

Score: from 3.5 to 3.5 (no change)

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.

YAYASAN KELOLA has cooperated with many organizations, both domestically and internationally, such as with KSI, Centre Culturel Français, Goethe Institute, Asian Cultural Council and Centre for Civic Education from US. The network meets every 2 months to share information, make programs, and offer apprenticeships.

As a result of good networking, YAYASAN KELOLA is getting more acknowledged. Last year the Director has been invited to three different countries (Czechoslovakia, South Korea and Hong Kong) as a speaker and Indonesian representative. She also received an award for Art Management from Rockefeller, NY.

Some testimonials from local and international NGOs prove that YAYASAN KELOLA has great credibility.

Score: from 4 to 4.5 (slight improvement)

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

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

YAYASAN KELOLA continues to work closely with the target groups through dialogue, performances, information sharing, skills improvement, and networking. The organization is always open to any email or contact made. With limited funds, the organization tries its best to assist the target group optimally through regular meetings and end of project evaluations. No significant changes have occurred with respect to this indicator since the baseline evaluation in 2012.

Score: from 4 to 4 (no change)

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

How do staffs 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?

Generally the relation within the organization is good and comfortable. Staff is free to share their ideas informally at the lunch table as well as formally in bi-weekly meetings. YAYASAN KELOLA has recruited capable staff to close the gap between the senior and junior staff members. Although this addition of staff members to bridge the gap has been effective in mitigating potential problems, it has not contributed to a significant change in terms of organizational structure and culture.

Score: from 4 to 4 (no change)

Summary capability to relate

The capability to relate has hardly improved mainly due to having a Director who is very active and well connected with the organization’s network. As the result of good networking, YAYASAN KELOLA is getting more acknowledged both nationally as well as internationally. YAYASAN KELOLA continues to work closely with the target groups through dialogue, performances, information sharing, skills improvement, and networking. Internal relationships facilitate open communication, both formally and informally. Yayasan Kelola also actively work with the Koalisi Seni in particular to advocate the government policy collectively to run PP No 93 /2010.

Score: 3.9 to 4.0 (very minor improvement)

Capability to achieve coherence

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

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

YAYASAN KELOLA has a clear and unique scope of work which are well formulated in the organization’s vision and mission. Both vision and mission are regularly reviewed and if needed, adjusted to national needs or global trends. All of the staff members are familiar with the vision and mission because they are involved in designing programs which are in line with that vision. The vision and mission are reviewed every two years. However, changes have not been made since 2008 because they are still considered relevant and applicable.

Score: from 3 to 3 (no change)

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

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

YAYASAN KELOLA is a well-established organization and adequate Standard Operating Procedures have been in place for a long time. New staff members have indicated to find this extremely helpful in getting started in their new positions. YAYASAN KELOLA has maintained its level of professionalism since the baseline. Overall no significant change has occurred with respect to the operational guidelines of the organization.

Score: from 3.5 to 3.5 (no change)

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

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

No change has occurred in the last two years related to this indicator. YAYASAN KELOLA continues to be very selective in designing programs. Each one is derived from their vision and mission, ensuring that they are well aligned with the organization's purpose and strategy. In the last two years, YAYASAN KELOLA has expanded their stakeholder network and scope of work. The organization works in advocating arts and cultural policies in Indonesia. In addition, Kelola also has a new program called Komunitas Kreatif which is a form of empowerment through the arts. It is all within the framework of "arts and cultural development in Indonesia" as the organization's vision.

Score: 3.5 to 3.5 (no change)

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

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

No change has occurred since the baseline evaluation in 2012. Because all the programs are in line with the organization's vision and mission, all of the programs support and complement each other. Kelola gives special attention so that generation of art and culture in Indonesia continues to live and to be competitive in the international world. This is done by providing opportunities of learning, funding and information. Kelola also realizes cultural exchange with the cooperation between artists for dialogue, sharing skills and knowledge, and building working networks with national and international arts and cultural communities. The programs are *Magang Nusantara, Hibah Seni, Komunitas Kreatif, Pemberdayaan Seniman Perempuan* and *Hibah Cipta Perempuan*. Close relations with partners and work amongst colleagues ensures that cross-program learning occurs which allows the application of lessons learned amongst all programs

Score: from 3 to 3 (no change)

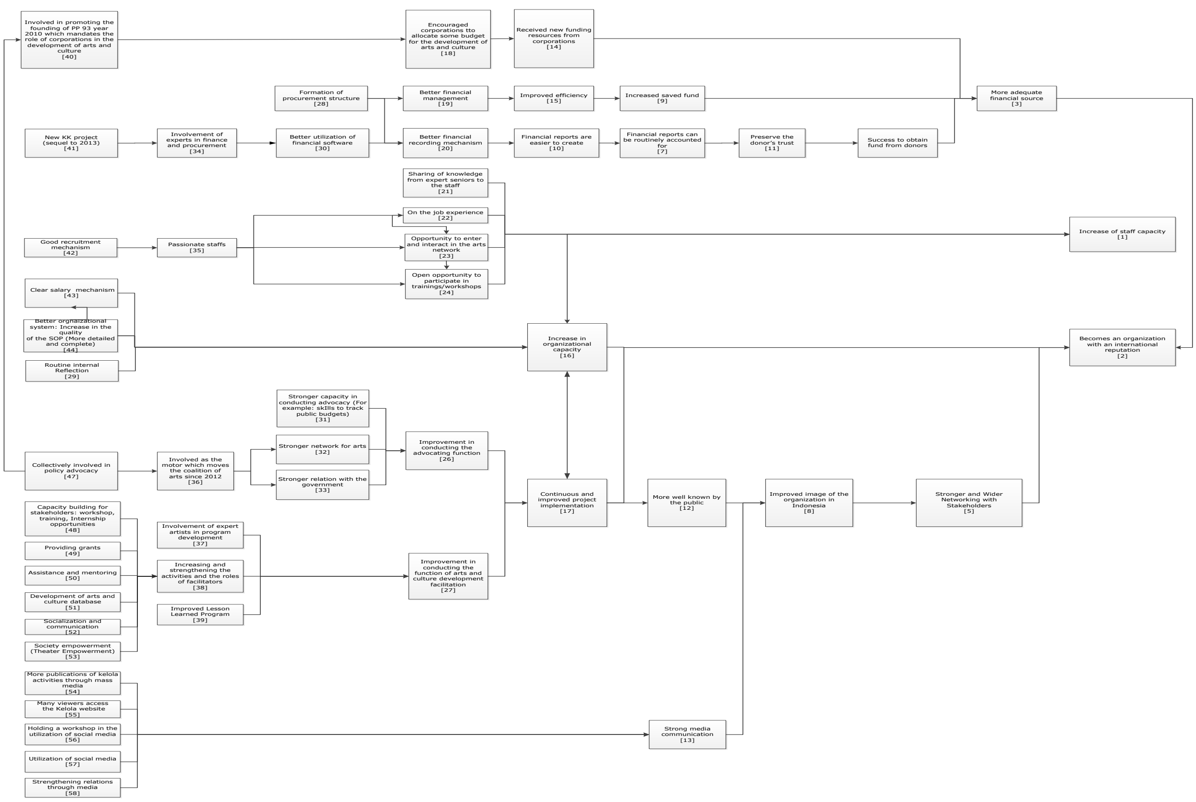
Overall description of the capability to achieve coherence

Overall this organization has a good understanding on how to achieve coherence. They have a vision and mission which is reviewed every two years, and adjusted to the national needs and global trends. Nonetheless, changes have not been made since 2008 because the organization's vision and mission are still considered relevant and applicable. Each of the programs Kelola develops is derived from the vision and mission and even though Kelola makes innovations, they are all within the field of "arts and cultural development" framework of the organization's vision. Because all the programs are in line with their vision and mission, all of the programs support and complement each other. Furthermore staff members and partners are encouraged to share and conduct cross-program learning, as to apply lessons learned across all programs. YAYASAN KELOLA is a well-established organisation and since long as has adequate Standard Operating Procedures in place which are utilized by new staff members to start their work.

Score: 3.2 to 3.2 (no change)

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

Yayasan Kelola General Causal Map



Narrative of Yayasan Kelola General Causal Map

The evaluation team carried out an endline assessment at Yayasan Kelola from 26 to 27 June 2014. During this workshop, the team made a recap of key features of the organization in the baseline in September 2012 (such as vision, mission, strategies, clients, partnerships). This was the basis for discussing changes that had happened to the organization since the baseline. The two main changes that happened in the organization since the baseline in 2012, as identified by the staff during the endline workshop were:

1. Increase of staff capacity [1]
2. Becoming an organization with an international reputation [2]

Each of these organizational capacity changes is elaborated in detail below.

Increase of staff capacity [1]

According to staff present at the endline workshop, overall staff capacity within Yayasan Kelola has increased [1] which has also influenced the increase in the organizational capacity [16].

The following underlying factors can be related to this development. *First,* sharing of knowledge from senior staff to junior staff took place [21]. *Secondly,* staff gained significant experience on the project [22] therefore staff learned through the opportunity to enter and interact with members of the arts network [23] that Yayasan Kelola is involved in. *Thirdly,* the benefit of staff close relation with the art networks makes them get invitation to participate in trainings and workshops held by other organizations within Yayasan Kelola network [24].

The staffs that have very good passion [35] on art see these opportunities for them to increase their capacities therefore Yayasan Kelola does not need to develop their staffs through internal capacity building. The passion in staff was in turn one of the qualities looked for during the recruitment of staff [42]. This is the cause why all staffs' passion on arts has supported their capacities both for the job and for their own developments.

Becoming an organization with an international reputation [2]

According to staff, Yayasan Kelola has significantly raised its profile and international reputation through various activities and developments. These developments have resulted in the director of the organization receiving an international award from Fullbright, USA.

The *first* factor that affected the organizational reputation was obtaining more adequate financial sources therefore the organization can operate continuously [3]. There are at least three folds influenced the first factor.

1. New funding resources were for instance obtained from corporations [14] as an effect of the establishment of PP 93 year 2010 which mandates the role of corporation in the form of art and culture [40]. This regulation effectively encourages corporations to allocate some budget for art and culture [18]. It was not solely a public effort to bring about the formulation of this policy however, as a collective effort to be involved in policy advocacy was a clear target for Yayasan Kelola to be achieved in the years prior [47].
2. Increase saved fund [9] as the result of improved financial efficiency [15] as an effect of better financial management [19]. It is caused by formation of procurement structure [28], and better utilization of financial software [30].
3. Yayasan Kelola has good ability in fund management resulted in the ability to fund some projects which has no donors. The fund from donors is used efficiently for a project, and the remained fund will be used as cross subsidy for other projects. The efficiency in fund use is the factor contributes to adequate financial sources. Whilst the frequent and accountable financial reports supports the organization to gain international reputation
4. Succeed in obtaining fund from international donors because of the trust from the donors [11]. The organization can preserve the trust due to the following:
    a. Routine and accountable financial reports. The financial reports are easier to create [10] after the implementation of a better financial recording mechanism [20]. The implementation of this mechanism was enabled by better utilization of the financial software [30] after the involvement experts in finance and procurement [34] through the new establishment of *Komunitas Kreatif* (Creative Community) project in 2013 [35].
    b. Increase in organizational capacity (will be elaborated in other paragraph) [16]

c. Continuous and improved project implementation [17]

The *second* factor is the increase in organizational capacity [16], as is explained further below in this narrative. There are fourfold influenced the second factor:

1. Internal reflection [29] in monthly, quarterly, semester, annual organizational meetings, and also in project meetings based on the needs.
2. Increase staff capacity [1].
3. Better organizational system – complete standard operating procedures (SOPs) [44], including payroll mechanism - staffs' salaries increase based on Cost of Living Adjustment mechanism [43].
4. Continuous and improved project implementation (16), as elaborated below:

   a. There is an improvement in conducting the advocating function of the organization [26]. The advocating function of the organization improved through stronger capacity in advocacy such as the skill to keep track of public budgets [31]. But also through a stronger network in the arts sector [32] as well as stronger relations with the government and authorities [33]. Both these factors were enabled by Kelola's role as the driving actor in the coalition of arts since 2012 [36]. This role was obtained after taking a leading position in the collective policy advocacy initiative [47].

   b. There is an improvement in conducting the facilitation of arts and cultural development on the other hand [27], was improved through an improved lesson program [39] and the involvement of experts and artists themselves in the program's development [37]. Another factor that played an important role in improved facilitation was through strengthening and increasing the activities of facilitators themselves [38]. Six developments enabled this:

      - Capacity building for stakeholders through workshops, trainings, internships and other opportunities in which facilitators were directly applied [48].
      - Providing grants to fund their development [49]
      - Direct assistance and mentoring [50]
      - Development of an arts and culture database accessible to facilitators to enable learning and knowledge sharing [51]
      - Socialization and communication amongst facilitators [52]
      - Society empowerment through art activities [53].

The *third* factor affecting Yayasan Kelola's reputation was the stronger and wider networking efforts that the organization undertook. Not only were networking activities intensified, they were also applied to a broader range of organizations in a variety of fields of work [5].The improved image of Yayasan Kelola in Indonesia played a significant role in reaching out to these parties and broadening the network as a whole [8]. The greater image of the organization in turn came about from being better known amongst the public [10] through successful project implementation [13], but also through strong communication with the media [30]. Communication with the media was a carefully devised strategy consisting of a range of activities namely:

1. More publications and articles relating to Kelola's activities in mass media [50]. The number of publications regarding EWA in the media up to December 2013 are 81 articles (including news on the performances of the grantees, and also profiles on Kelola), and 61 publications for *Hibah Seni*.

2. An increase in online content leading to a greater audience on the organization's website [51]. Due to improvements in the content of the website, the number of visitors of Kelola's website up to December 2013 increased more than 20% with the total visitors : 160,457 117,606 and total clicks : 2,324,644 1,824,977.

3. The organization of a workshop through the utilization of social media [52]

4. Utilization of social media [53]. Since 2013, the Kelola newsletter was improved by sending several news in one email with attractive photos. The appearance of the newsletter with attractive visuals and layout caused a 25% increase in newsletter subscribers from 3,600 to 4,532. In addition, Kelola has 5000 friends on Facebook and 1697 followers on Twitter.

Approaching media as one of the organization stakeholders [54]. In 2013, Kelola succeeded in collaborating with five medias: Dewi, Femina, The Jakarta Globe, Suara Pembaruan and www.beritasatu.com. Through these collaborations, three performances of the Kelola grantees in Jakarta (Theater Performance "Mada" by Bambang Prihadie; Dance Performance "*Ruang Waktu*"by Nabilla Rasul; and Dance Performance "This Cycle We're In" by Andara F. Moeis) received support in the form of print ad, and publication before and after the performances in printed and online media. If counted, the value of Kelola's collaboration with the five media partners above are a total of IDR 480.300.00,- .

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Report CDI-15-049

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

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