
Endline report – Ethiopia, TTCA MFS II country evaluations

Capacity of Southern Partner Organisations (5C) component

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

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



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The Ethiopia 5C evaluation team

List of abbreviations and acronyms

ABE	Alternative Basic Education
ACTE	Ayssaita College of Teachers Education
BEN-E	Basic Education Network Ethiopia
BEQIP	Basic Education Quality Improvement Program
BESO	Basic Education Strategic Objective
BPR	Business Process Reengineering
Causal map	Map with cause-effect relationships. See also 'detailed causal map'.
Causal mechanisms	The combination of parts that ultimately explains an outcome. Each part of the mechanism is an individually insufficient but necessary factor in a whole mechanism, which together produce the outcome
CBO	Community Based Organisation
CDI	Centre for Development Innovation, Wageningen UR, the Netherlands
CFA	Co-Financing Agency
CPD	Continuous Professional Development
CS	Civil Society
CSO	Civil Society Organization
C4C	Connect for Change Consortium
DEC	Development Expertise Center
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.
EF	Edukans Foundation
ESDP	Education Sector Development Programme
GEQIP	General Education Quality Improvement Package
HDP	Higher Diploma Program
IFPRI	International Food Policy Research Institute
IQPEP	Improving Quality of Primary Education Programme
M&E	Monitoring and Evaluation
MDG	Millennium Development Goal
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
SPO	Southern Partner Organisation
SSI	Semi-structured Interview
ToC	Theory of Change
TTCA	Teacher Training Centre Ayssaita (TTCA)
Wageningen UR	Wageningen University & Research centre
5 C	Capacity development model which focuses on 5 core capabilities

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: TTCA in Ethiopia. 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 chapter 4.2.2.

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, improvements took place in all of the capabilities.

Over the last two years many small improvements took place in the indicators under the capability to act and commit. Members of management have become more responsive and proactive and the academic dean is more easily approached by all staff. The management has become better at providing strategic guidance and staffs are able to discuss the strategic plan, which is available for all departments, with management. TTCA is using M&E feedback and takes the current situation into consideration when articulating operational plans. Staff skills have improved since the baseline, as college teachers now have second degrees, while they used to have first degrees; key tutors and the vice dean have been trained through the C4C Alliance (MFS II); and staff is making better use of ICT. There has been a slight improvement in the training opportunities that are offered to staff. Trainings through the C4C alliance (DEC) are for a limited number of staff, but USAID, MoE and Save the Children UK have also offered training opportunities for staff. There has been a very slight improvement in the funding situation of TTCA because UNICEF and UNESCO have started supporting primary schools. No new funding procedures are in place but some (successful) efforts have been made to approach donors by writing proposals for funding for e.g. ICT infrastructure, reference books, library etc.

In the capability to adapt and self-renew TTCA saw some improvements. Teaching practices are now evaluated in a more integrated way through joint M&E practice involving teachers, the department head and academic dean. Improvements have been observed in the number of staff evaluations, the utilization of evaluation reports, preparations of students' results in a timely fashion, and in delivery of scheduled progress reports by Department heads. The student and teacher behaviour observation matrix that is provided by the C4C alliance (MFS II funding) provides inputs for strategic planning and also to make actions and corrections. Opportunities for critical reflection have improved slightly as review meetings are organised to discuss progress and design improvement actions. TTCA has seen a very slight improvement in the way it is tracking its operating environment. Through sharing experience within the C4C alliance, linkages with primary schools and working closely with communities, TTCA understands better what is happening in its environment.

In terms of the capability to deliver on development objectives, TTCA has improved in some indicators. The centre has improved in delivering planned outputs because active teaching and learning strategies are now applied and teachers are aware of the need to actively involve students in the learning process. Mechanisms to check whether service meet beneficiaries' (students') needs, have improved very slightly because every 20 days there are discussions with students' representatives from each department and the students council about the teaching-learning process and other issues in the college with the academic dean and the respective heads of departments. Despite the limited resources, TTCA is trying to balance efficiency and quality by improving the quality of education and trainings.

In the capability to relate, TTCA improved in all indicators. According to management TTCA has improved its relations with external groups and is considering partners' feedback and reflection in their

strategy and future activity towards improving the quality of education. The college has started collaborating with Dessie and Jimma CTEs (through the C4C alliance) and therefore their engagement in networks improved slightly. TTCA is engaging slightly more with its target groups as there is now a formal system to support DEC intervention at schools, and parents' involvement in e.g. the preparation of strategies is encouraged. Within TTCA there is a slight improvement in relations between top management and staff as they are engaging more in open discussions and dialogue.

Finally, TTCA has shown a very slight improvement in the indicator "mutually supportive efforts" under the capability to achieve coherence. The college has started to work with other NGOs like USAID, UNESCO and UNICEF to complete projects and there are good efforts to help cluster schools through e.g. the provision of computers.

During the endline workshop some key organisational capacity changes were brought up by TTCA's staff in the 'general causal map': "improved knowledge in the application of active learning approaches and teaching skills"; "improvement in ICT utilization"; and "improved skills in compiling and recording student grades". The evaluators considered it important to also note down the SPO's story about what they considered to be key organisational capacity changes since the baseline, as this would also provide more information about reasons for change, which were difficult to get for the individual indicators. Also for some issues there may not have been relevant indicators available in the list of core indicators provided by the evaluation team.

According to TTCA staff, they have improved their knowledge in the application of active learning approaching and teaching skills because of progressively built knowledge on the different approaches of active learning and the improvement in ICT utilisation. Knowledge was progressively built during a training for mathematics and science teachers by the MoE and JICA (Japan International Cooperation Agency) in 2013; a training on active learning organized by USAID in 2012; Continuous Professional Development (CPD) on different subjects by the MoE and the college; practice active learning approaches in project elementary schools (MFS II funded), which teachers has learned during a series of trainings by DEC in 2012-2014 (MFS II funded) and through continuous supervision and follow up by DEC, UvA and Edukans in 2012-2014 (MFS II funded).

TTCA improved its utilisation of ICT because of installation of required infrastructure by DEC (MFS II funded); material (computer etc.) provision by USAID before 2012; and material provision and training by DEC during 2012-2013 (MFS II funded).

The college improved its skills in compiling and recording student grades because of improvement in ICT utilisation; cascading of the MIS training by USAID for the management before 2012 to other staff; and guidance and coaching by the college management, which was triggered by the USAID MIS training.

According to TTCA's staff, MFS II funded capacity development interventions have thus played a role in improved knowledge in the application of active learning approaches and teaching skills; improvement in ICT utilization; and the improved skills in compiling and recording student grades. This was through MFS II funded trainings, supervision and the provision of ICT infrastructure and material. However, internal factors like Continuous Professional Development by the college have also played an important role in the key organisational capacity changes that the TTCA's staff considered important since the baseline in 2012. Support from other funders, like MoE, JICA, USAID, in terms of trainings and material provision, has also been mentioned among the underlying factors for these changes.

2 Context and General Information about the SPO – TTCA

2.1 General information about the Southern Partner Organisation (SPO)

Ethiopia	
Consortium	Connect for Change (C4C)
Responsible Dutch NGO	Edukans Foundation (EF)
Project	Improving the Teaching-Learning Processes and Educational Management through ICT (C4 in MDG sample)
Southern Partner Organisation	Teacher Training Centre Ayssaita (TTCA)

The project/partner is part of the sample for the following evaluation components:

Achievement of MDGs and themes	
Achievement of MDGs and themes	X
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 fact that a large majority of the Ethiopian population lives in rural areas and in fairly dispersed communities poses specific problems for the education sector: spreading education and ensuring equitable access to education presents challenges in such a geographic context. In addition, the existence of many pastoral and semi-pastoralist groups raises issues of organization of the school system and also of the relevance of the curriculum. Nevertheless, Ethiopia, which had fewer than 2,000 primary schools 15 years ago now has 28,000, and is on the verge of providing access to education for all of its 20 million school age children. Development aid experts say Ethiopia has devoted as much as one quarter of all public expenditures to schools during the past few years. This commitment is prompting international donors to pump in an estimated \$150 million a year to support the effort.

Access to education in Ethiopia was a point of discussion and has been big on the agenda since decades. The average general enrolment rate of education in the country in 1991 was only 19 %. Access at all levels of the education system increased at a rapid rate in line with a sharp increase (more than 100 folds) in the number of teachers, schools and institutions. The long journey towards addressing the issue involved all education stakeholders which have been endeavoured to bring the enrolment rate to over 97% at present. However, the campaign made for access has precipitated quality of education in the whole country in all levels of education.

As access to education improves, it is also necessary to shift attention to quality concerns in general and to those inputs and processes which translate more directly into improved student learning and which help change the school into a genuine learning environment. These are: quality-focused school supervision, internal school leadership, increased student participation, school-community partnerships, etc. The General Education Quality Improvement Package (GEQIP), which was launched

a few years ago, has started this process. Education policies aimed at improving quality will build on GEQIP and further develop the package. GEQIP will thus become an integral part of ESDP IV.

Quality is also a crucial challenge at higher education level: due to the rapid expansion of this sub-sector, there is now an increased need to focus on quality improvement with regard to human and material resources as well as reform processes. The challenge of quality is closely linked to the challenge of completion. While access to primary education has increased, many children still do not complete the first cycle of primary and repetition and drop-out rates remain high throughout the whole cycle. Drop-out is particularly high in the early primary grades. This highlights the need to work on expanding early childhood education, which helps prepare children for primary school and which is at the moment still very scarce. One issue which needs more attention than in previous years is the low quality of school infrastructure, due to a strong reliance on low cost constructions (mainly through community support).

TTCA is one of the Partners/Target groups selected for the MFS II C4C "Improving the Teaching-Learning Processes and Educational Management through ICT" Program. This C4C programme is being implemented by 8 local civil society organizations (CSOs) that are partners of Edukans Foundation, 4 Community based organizations (CBOs), and 3 TTCs (of which TTCA is one) in 75 primary schools. The Development Expertise Centre (DEC) plays a coordinating role of the programme. While the local CSOs implement the program in primary schools where they are working, the TTCs implement it in their own campus as well as in the nearby primary schools to exercise the knowledge and skills they get from the program. For experience sharing and knowledge transfer, both CSOs and TTCs join and discuss on common issues and how to go about through the coordination.

The general objective of the programme is to contribute towards quality in primary education through improving the teaching learning processes and enhancing educational managements. The specific programme objectives are to capacitate educational institutions; enable the teachers and instructors apply active learning methodologies; improve the capacity of administration staffs in educational management; enhance friendly supportive supervision system in schools and TTCs.

Ayssaita Teachers Training College is found in Afar Regional State in the North- Eastern part of Ethiopia. Ayssaita College of Teachers Education was established in 2008. The college mainly focuses on primary teachers training targeting on the pastoralist community. Ayssaita TTC is currently training about 300 candidates annually. As the region is not yet fully using the Afar language for primary education system, the college in particular and the region in general will benefit a lot from the programme. The implementation of C4C in the compound of this TTC and the exercise teachers do in primary schools help education system maintain quality of education.

2.3 Contracting details

When did cooperation with this partner start:

July 2011

What is the MFS II contracting period:

July 2011 – June 2015

Did cooperation with this partner end?

No

If yes, when did it finish?

N.A.

What is the reason for ending the cooperation with this partner:

N.A.

If not, is there an expected end date?

June 2015.

2.4 Background to the Southern Partner Organisation

History

Aysaita College of Teachers Education (ACTE or TTCA) was established in 2007 with the vision of improving the backward life style of Afar region pastoralists. The mission of TTCA was to produce disciplined primary school teachers who can alleviate backwardness of the Afar community. The strategy of the organization in 2007 was cluster-based curriculum and no specialization. Three departments and 100 diploma and certificate students were indicated as target groups. The number of staff was 45 including 12 teachers and support staff. The funders included regional government and USAID/BESO. Capacity strengthening activities included gender training for instructors and librarian. Important influencing factors and actors pointed out by TTCA staff include limited power supply which influenced working condition including teaching learning process.

In 2011, the leadership of the College was changed. The vision during this time was to see an institute capable of producing teachers with democratic culture, well qualified and competent for teaching-learning process. ACTE's mission during the period was to reduce the shortage of primary school teachers and equip them with skills and competencies, deliver on the job training to improve capacity and problem solving research. The strategy was based on both cluster-based and linear approach (based on specialization). The number of students reached 223 (65 diploma, 78 certificate and 80 alternative basic education). In 2011, there were 98 staff including 23 teachers and the rest being support staff. The 2011 budget was 4372047 ETB from regional government, federal government (General Education Quality Improvement Program) and USAID. Capacity strengthening activities undertaken during the period included licensing for higher diploma program (HDP), metrology, Pedagogy (active learning), action research, classroom management, human resource management, financial management, and strategic planning training. Lack of teacher computer skills, initiation of HDP, purchase of laboratory equipment, and supply of more books have been indicated as important influencing factors affecting the college during the year.

The year 2012 was put as another critical milestone by the staff because of changes such as, change in physical environment and implementation of business process reengineering (BPR). The vision and mission were the same as in 2011. The strategy this time became fully linear which was based on specialization. The target group in 2012 included 247 students (31 evening extension, 78 diploma and 138 certificate. There were 137 staff in 2012 including 31 teachers and 106 support staff. The budget increased to 5847455 ETB with funders including regional government, federal government; MFSII and USAID. Capacity strengthening activities carried out during the period included higher diploma program (HDP), gender training, inclusive education, adult education, instructional planning, early childhood care and education, and training on data base. Experience sharing with three colleges (Kotebe, Dese, Hawasa), natural science training, different management training were also mentioned as capacity strengthening activities done during the period. The fact that the college developed its own curriculum and the subsequent development of course outlines and modules together with more experience sharing visits by staff were noted as important influencing factors during the year.

Vision

To see an institute capable of producing teachers with democratic culture, well qualified and competent for teaching-learning process.

Mission

To reduce the shortage of primary school teachers and equip them with skills and competencies, deliver on the job training to improve capacity and problem solving research.

Strategies

The college mainly focuses on primary teachers training targeting on the pastoralist community. Aysaita. It is currently training about 300 candidates annually.

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 2012¹.

¹ The same categories were used as during the baseline (except beneficiaries, other funders): staff categories including management, programme staff, project staff, monitoring and evaluation staff, field staff, administration staff; stakeholder categories including co-financing agency (CFA), consultants, partners.

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

The information on the indicators was collected in different ways:

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

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

Key steps to assess changes in indicators are described

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

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

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

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

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

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

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

3.3.1 Selection of SPOs for 5C process tracing

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

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

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

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

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

3.3.2 Key steps in process tracing for the 5C study

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

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

Key steps in process tracing for the 5C study

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

3.3.3 Methodological reflection

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

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

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

General causal map: whilst this general causal map, which is based on key organisational capacity changes and related causes, as perceived by the SPO staff present at the endline workshop, has not been validated with other sources of information except SPO feedback, the 5C evaluation team considers this information important, since it provides the SPO story about how and which changes in the organisation since the baseline, are perceived as being important, and how these changes have come about. This will provide information additional to the information that has been validated when

analysing and describing the indicators as well as the information provided through process tracing (selected SPOs). This has proven to be a learning experience for many SPOs.

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

A few remarks need to be made:

- Outcome explaining process tracing is used for this purpose, but has been adapted to the situation since the issues being looked at were very complex in nature.
- Difficulty of verifying each and every single change and causal relationship:
 - Intensity of the process and problems with recall: often the process tracing workshop was done straight after the general endline workshop that has been done for all the SPOs. In some cases, the process tracing endline workshop has been done at a different point in time, which was better for staff involved in this process, since process tracing asks people to think back about changes and how these changes have come about. The word difficulties with recalling some of these changes and how they have come about. See also the next paragraph.
 - Difficulty of assessing changes in knowledge and behaviour: training questionnaire 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 TTCA that have taken place since the baseline in 2012 are described. The information is based on the information provided by Edukans and IICD.

Table 1

Information about MFS II supported capacity development interventions since the baseline in 2012

Title of the MFS II supported capacity development intervention	Objectives	Activities	Timing and duration	Budget
Training of 5 key tutors (including the vice dean) of Assayta CTE and 20 key teachers of 5 primary schools about applying the Active Teaching and Learning Methodology	To improve the quality of education (moving from a teacher centered towards a student –centered approach)	Bottom-up approach: (1) take time to understand the education institution and its context before we develop a training programme. (2) develop a tailor made training programme – together with the tutors of the teachers college – aiming to hand over responsibility for the methodology change as soon as possible	During the 4-year programme provide continuous feedback and support to the Teachers college (twice year by Edukans/UoA and in between the training session by DEC Ethiopia): on-the-job training	€ 52.535 of which 85% MFS II funding: € 44.008
Education Management Information System (EMIS) for School Management team and key teachers	- Effective education management as a way of improving the schools and quality of education - Effective use the EMIS for school data management at the institution	The SMT participated in the EMIS development process and validated before it was developed in to software. SMT aware of using the EMIS for school data management	The process started in the second year intervention of the program (2012)	No info
Basic ICT Support and training for School Management team and key teachers	Support teachers to work towards quality of education; enable teachers to prepare lessons and keep students' records properly; Teachers able to use computers to prepare lesson, explore information and keeping records in their daily teaching learning process	Teaching learning process fully supported by ICT and integration of ICT and education.	At the begging of the project and refreshment trainings as required (all the key teachers and SMT in the targeted five primary schools)	No info

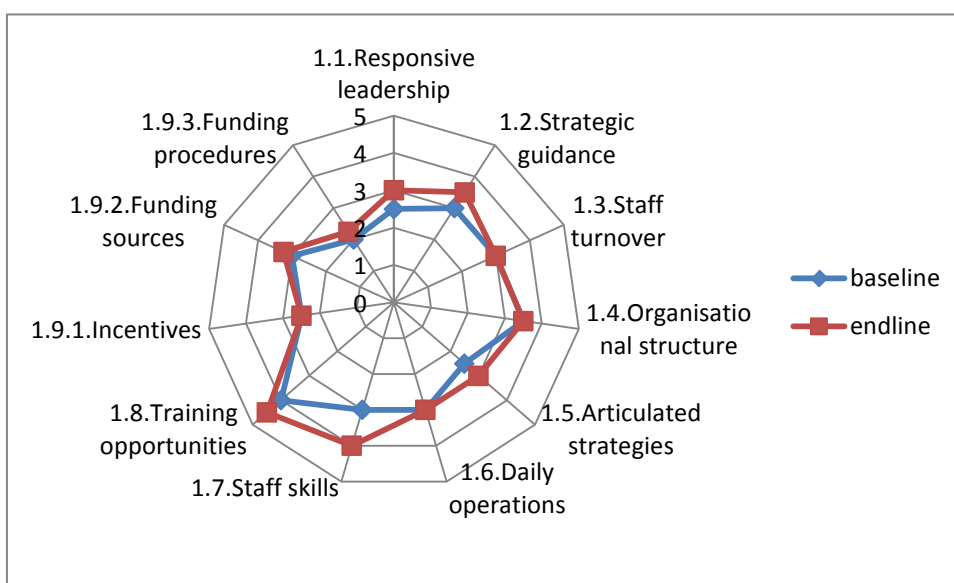
Sources: B_5C endline_support to capacity development sheet_EDUKANS; B_5C endline_support to capacity development sheet_CFA perspective_Ethiopia_TTCA_IICD

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

Below you can find a description of the changes in each of the five core capabilities (4.2.1). 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. In addition to this staff present at the endline workshop were asked to indicate what were the key changes in the organisation since the baseline. The most important is key organisational capacity changes have been identified, as well as the reasons for these changes to come about. This is described in a general causal map, both as a visual as well as a narrative. The detailed general map is described in 4.2.2.

4.2.1 Changes in the five core capabilities

Capability to Act and Commit

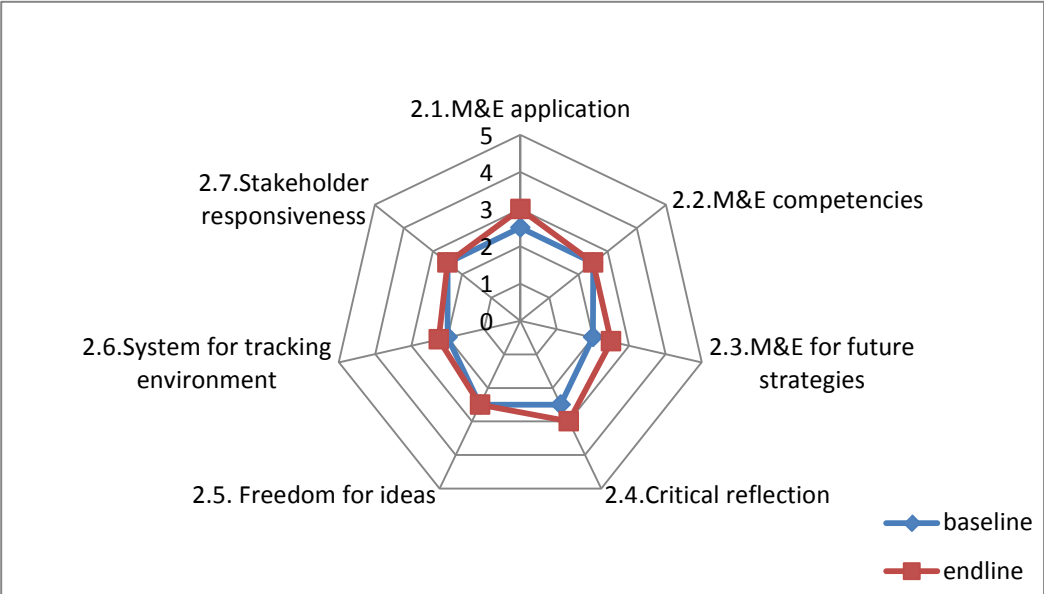


An overall very slight improvement has been observed in the colleges' capability to act and commit. The leadership of the college has shown an improvement in their willingness, commitment and capacity of managing the college. They have become more responsive and proactive. It resulted in a better provision of strategic guidance, and more openness and transparency in decision making. The middle management has freedom to exercise their responsibilities. The management has become close to the staff and they have discussed on the college's strategic plan and the day to day operational guide of the college is extracted from this. The college has worked in line with the strategic plan set by the Ministry of Education according to the education and training policy of the country and the region and the practical implementation of this is based on this strategic plan as well as based on monitoring results. The strategic plan is not shared with all staff and they are thus not all aware of this. The organizational structure of TTCA has not been changed and revised since the baseline and it is clearly communicated with staff and extensible to all. In line with the strategic plan the teaching methodology has improved from teacher centered to student-centered active learning. With support from the C4C alliance (MFS II funding) an ICT room has been established and the ICT technology supports teachers in preparing modules, lesson plans and other course materials. This stimulates staff in addition to having extension payment and training and experience sharing opportunities. Furthermore, incentives like upgrading staffs academic status from second to first degree has helped to retain staffs. Training has been provided to

staff in terms of recruitment of new students (i.e. in the proper utilization of the selection criteria), material or module preparation, practicum implementation and preparation of volunteer’s guideline, gender, quality education and property management. Different organisations supported these trainings: DEC, USAID, MoE, Save the Children UK. The C4C alliance (MFS II funding) has supported training on active learning, moving from teacher-centered to student centered learning. The government has remained the major funder of the college whereas DEC also increased its contribution (from MFS II) and additional funds were received from C4C for establishing ICT infrastructure. UNICEF and UNESCO have started to collaborate with the college to support primary school mother tongue education.

Score: from 2.9 to 3.2 (very slight improvement)

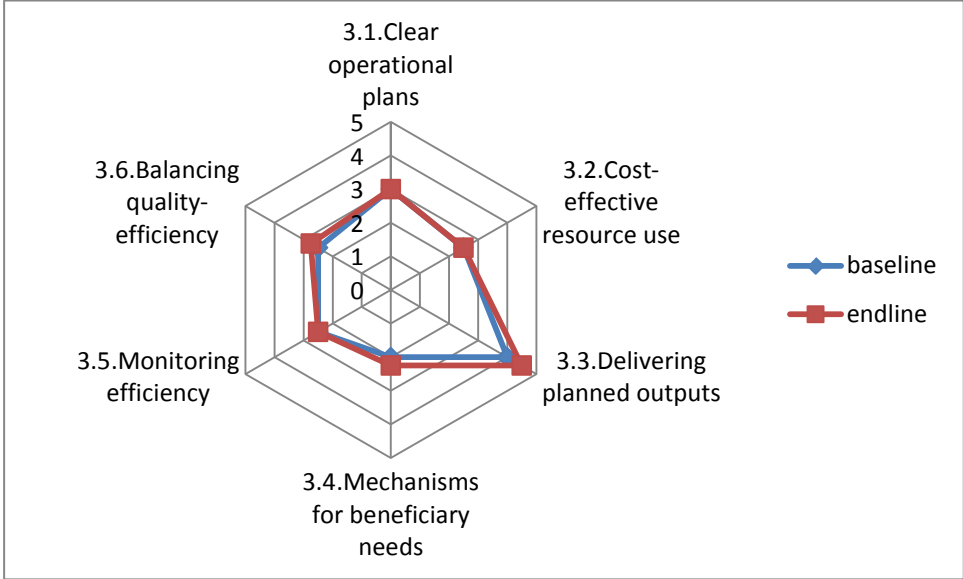
Capability to adapt and self-renew



DEC had accomplished the evaluation of its 15 implementing partners. The C4C pilot primary schools are also supervised by DEC in collaboration with the implementing partners. Shortage of administrative budget to monitor project activities at school level is found to be a major challenge for the implementing partners. TTCA has set up a joint M&E practice by teachers, department head and academic dean, where the evaluation report is utilized to make corrective actions, to give timely feedback to students and to report the progress. Staffs are well aware of the staff performance evaluation on what is to be evaluated and how. The C4C alliance provided and trained staff on an observation Matrix which has 16 indicators, of which 8 focus on behavior of the teacher and 8 on the behavior of the students. This is now used twice a year. Classes of key tutors as well as non-key tutors are observed. Insight in the progress made has been given by the CTE and communicated to the University of Amsterdam. The observation tool has become a monitoring tool for CTE tutors for assessing the quality of teaching and learning at classroom level. This also provides insights for strategic planning, along with inputs from few stakeholders. TTCA closely works with primary schools where they support and supervise them. There has been a slight improvement in terms of frequency of meetings and the dean has become more open and supportive to staff to share their ideas.

Score: from 2.4 to 2.6 (very slight improvement)

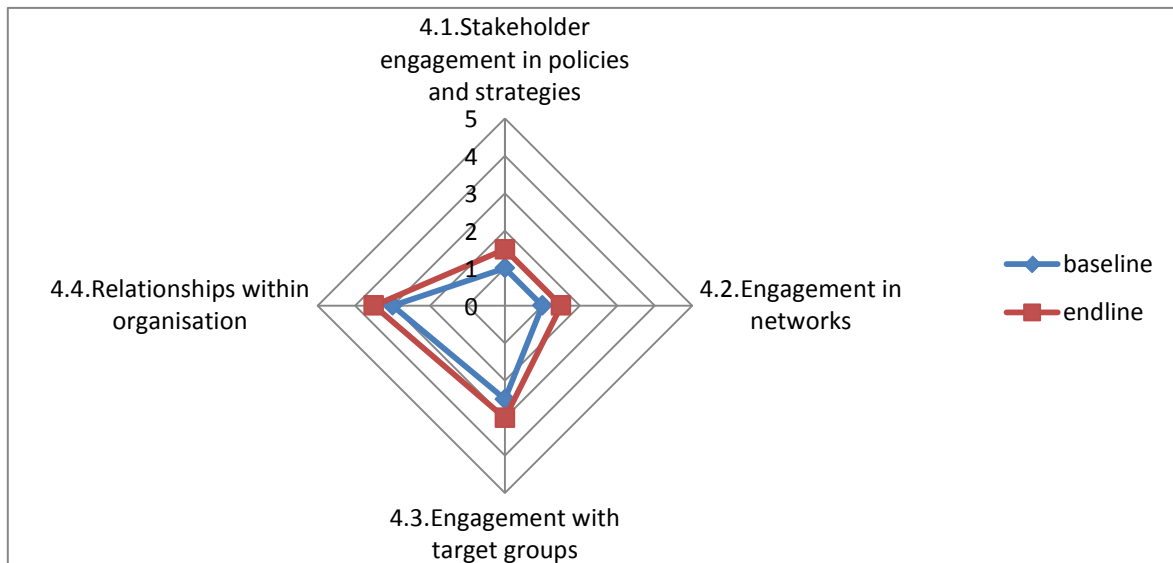
Capability to deliver on development objectives



All the activities of the college have their own operational plan with their respective budget. The operational plans are developed through a bottom up discussion, where all department heads and process owners discuss issues with their respected staffs. It's after this the academic commission and the management committee starts to follow up on the implementation of the operational plan. Operational plans are made at the end of each C4C project visit – for the coming 6 months. It is observed that fiscal and financial plans have started to be prepared timely by the Department heads. TTCA is trying to manage resources in a cost effective way, where budgets are allocated by prioritizing activities. Colleges and department heads are informed about their allotted budget so as to use these cost-effectively. Though there is no standardized monitoring system in the college yet, the vice dean has started to frequently supervise tutors and provide immediate feedback. Students' class representatives are also consulted frequently about the teaching learning process and other related issues and the identified gaps and problems are addressed accordingly. Active Teaching and Learning strategies are better applied at the college since 2013 by the key tutors which has enhanced quality of the work. Despite the limited resources, the college is trying to bring efficiency and quality in the college by improving the quality of education, partly through applying the Active Teaching and Learning strategies at the college since 2013 by the key tutors. This has also helped to improve on achieving objectives.

Score: from 2.75 to 2.9 (very slight improvement)

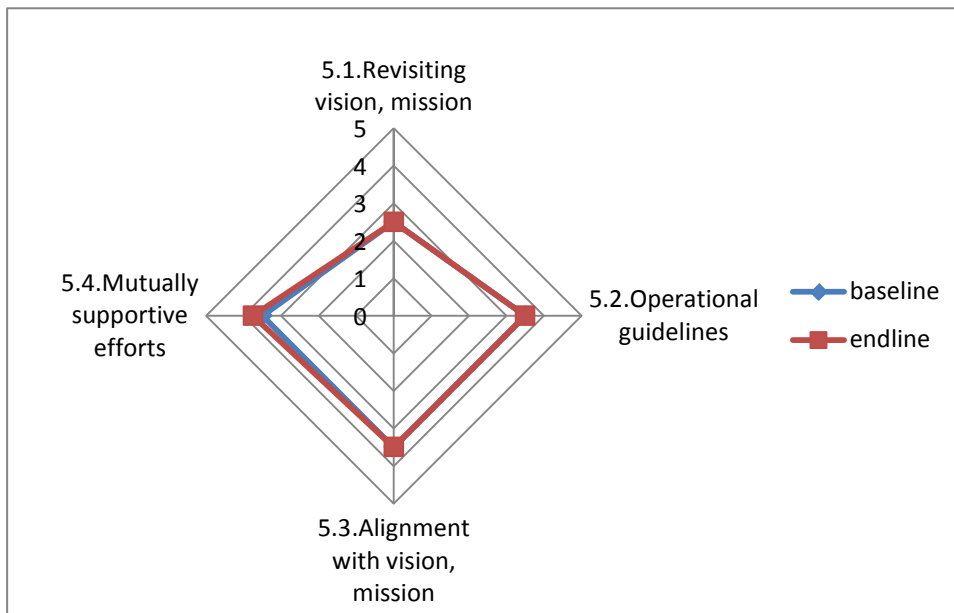
Capability to relate



There is a slight improvement in the ability of management to engage with external stakeholders. The feedbacks of the stakeholders have been considered during the preparation the college's strategic plan. Efforts are also made with parents to increase parents' involvement in education. TTCA has also collaborated with similar colleges such as Dessie and Jimma college of teacher education, where experiences and materials such as modules, curriculums are shared among their staffs. TTCA has also closely engaged with C4C intervention primary schools. In addition, the top level management, particularly the academic vice dean, has improved engagement with the staffs.

Score: from 1.9 to 2.4 (slight improvement)

Capability to achieve coherence



Vision, mission and strategies are discussed when the need arises. The strategies and activities of TTCA are still in line with these vision and mission. Other funding organisations like UNICEF and UNESCO have come on board to support implementation of mutually supportive efforts. TTCA still has operational guidelines in place on HRM, finance, goods and service procurement, trainee's selection and others and most of these guidelines are used for practical activities. However, these guidelines still require updating

and still staff do not seem to have adequate understanding of the guidelines. It is only the Education Management Information System (EMIS) that has developed and installed on computers of the 75 schools in the end line period.

Score: from 3.3 to 3.3 (no change)

4.2.2 Key organisational capacity changes - general causal map

Below you can find a description of the key changes in organizational capacity of TTCA since the baseline as expressed by TTCA staff during the endline workshop. First, a description is given of how this topic was introduced during the endline workshop by summarising key information on TTCA from the baseline report. This information included a brief description of the vision, mission and strategies of the organisation, staff situation, clients and partner organisations. This then led into a discussion on how TTCA has changed since the baseline.

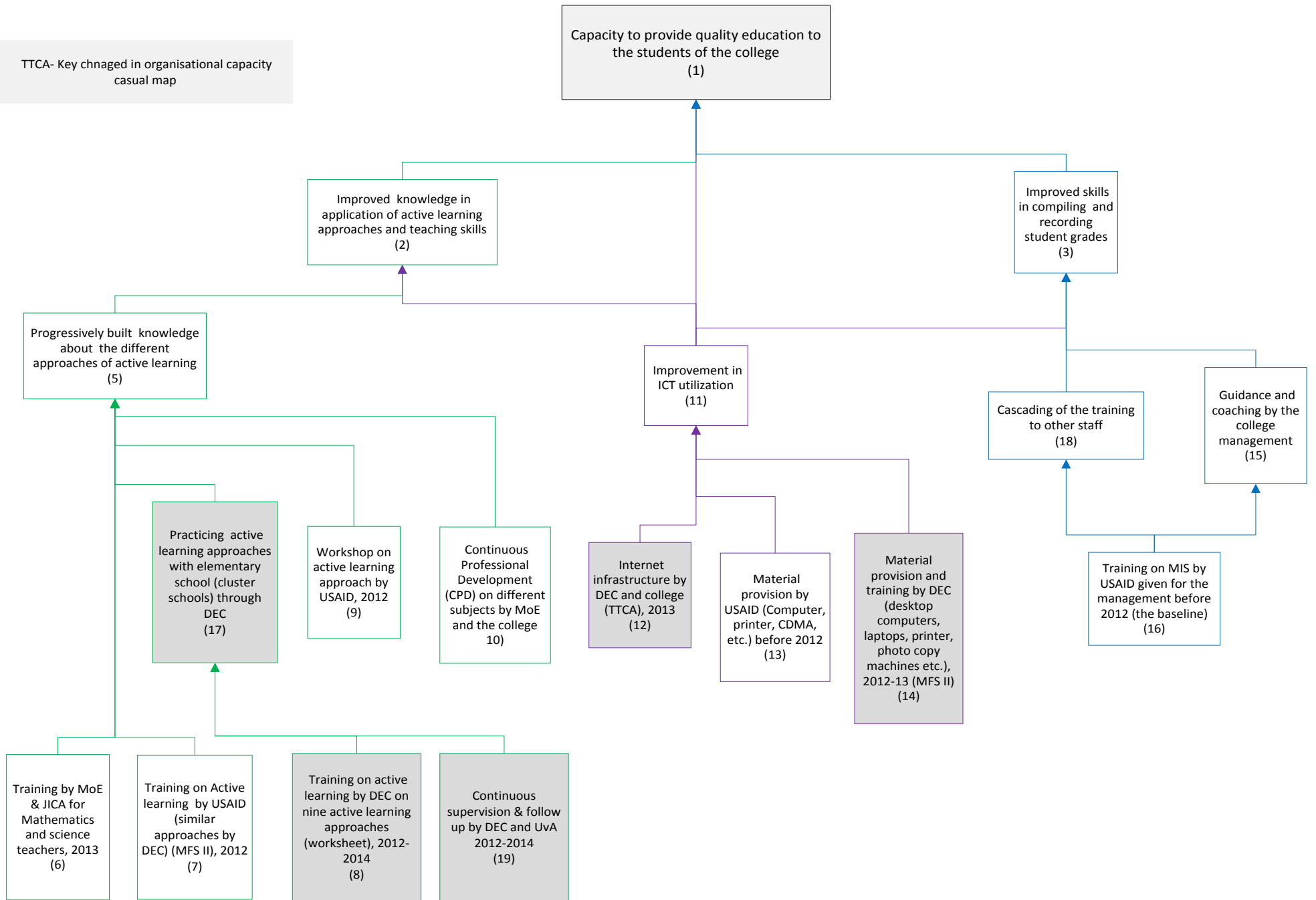
The endline workshop was conducted on May 01, 2014 starting from 9:00 am to 5:00 pm, at Assayita Teacher Training Centre office, Assayta, Afar Region, TTCA staff of five categories- management, program, M&E, field office and administration and finance- participated. From 11 staffs participating only three staffs had been in the baseline assessment carried out in 2012.

The goal of TTCA f is to provide quality education to the students of the college (1). Staff agreed that in the process of achieving this, the following three major changes were observed:

- Improved knowledge in the application of active learning approaches and teaching skills (2)
- Improvement in ICT utilization (11)
- Improved skills in compiling and recording student grades [3]

Each of these three key organisational capacity changes is explained below. The numbers correspond to the numbers in the visual.

TTCA- Key changed in organisational capacity casual map



Improved knowledge in the application of active learning approaches and teaching skills (2)

This refers to the knowledge gained by the college faculty to enhance the active learning of the college students. This includes the use of active learning approaches that increase the participation of students in the classroom (5).

This knowledge was gained as a result of different capacity development interventions which include different trainings and workshop and, improvement in ICT utilization.

Training and workshops:

The trainings that were given include: the training for mathematics and science teachers which was organized by the MoE and JICA (Japan International Cooperation Agency) in 2013 (6). This training targeted mathematics and science teachers and focused on how to deliver these courses interactively to improve the understanding of students. The other training was on active learning organized by USAID in 2012 (7) which was given to the majority of the faculty. Similar series of trainings were given on the nine modules/components by DEC (MFS II funded) from 2012 -2014 (8). This training was delivered to four focal teachers of the college identified by the (MFSII funded) project. These four teachers also had the opportunity to practice the active learning approaches they learned on the MFS II implemented in project elementary schools (cluster schools) (17).

The main difference between the two types of trainings was that the DEC trainings complemented training with continuous supervision and follow up by DEC and the experts coming from the University of Amsterdam, the Netherlands (19). However, the USAID supported training targeted the whole faculty of the TTCA. In addition, USAID also complemented this with a workshop on active learning (9). Note: Currently the focus of most donors and the government is related to active learning. However, the unique thing with DEC is trainers from the Netherlands coming twice a year and DEC staff visiting the college up to four times per year.

The other staff training intervention that contributed to the improved knowledge in application of active learning approaches and teaching skills (2) was the Continuous Professional Development (CPD) on different subjects (10) by the MoE and the college. This professional development training is provided to all faculties on the subjects the faculty is teaching including active teaching and learning methods. The workshop participants gave high value to this program.

It needs to be noted that active learning as a concept and practice was introduced not only by the Development Expertise Centre (DEC) but also by other stakeholders, such as through the Higher Diploma Program (HDP) of the ministry of Education and the World Bank.

The training given by DEC (MFS II funded) was attended by faculty members selected by the college as focal persons for the active learning project that is implemented by DEC. Some faculty members feel that the training received by the four faculty members was not cascaded to other teachers. Therefore, when reading this part of the causal map on this subject (8 and 19) we need to understand that the training was given to only a limited number of faculty staff.

The Academic Vice Dean mentioned that the change that happened in relation to active learning was a result of capacity building by HDP and DEC. Currently the focus of most donors and the government is related to active learning. However, the unique thing with DEC is trainers from the Netherlands coming twice a year and DEC staff visiting the college up to four times per year.

Improvement in ICT utilization (11)

The improvement in utilization of information and communication technology (ICT) (11) relates to the improved ability of the college staff to use computers, so as to access the internet for collecting information that is to be used in preparing lecture notes. In addition, it also refers to the use of computers for word processing and visualization techniques related to activities that help to improve the lecture notes as well as their delivery (e.g. preparation and presentation of power point slides). This was made possible because the college got computers and accessories (printers, photocopy machines etc.) from DEC in 2012 and 2013 with MFS II funding (14). Similarly, to improve internet access DEC installed the required infrastructure (financed the installation of land line broadband internet connection and provided CDMA's- Code Division Multiple Access) (12). However, earlier to this the college also received computers from USAID (13). Therefore, the computers received from both sources were instrumental in improvement of the knowledge in the ICT utilization.

Improved skills in compiling and recording student grades [3]

One activity, which contributes to quality education, is the proper recording and handling of student grades. TTCA believes that it has continuously improved in this. Now the college staff has better knowledge and skills in how to compile and record student grades [3]. This enabled to decrease student complaints regarding incorrect grading and misplacement of student grades.

The factors that helped in this include the training on MIS organized by USAID for the management before 2012 (16). However, since the management cascaded the training to other staff (18) and complemented it with guidance and coaching (15) it has contributed to the improvement of the skills in compiling and recording of more staff (3). Since the MIS utilizes the ICT facility, the improvement made in ICT utilization (11) was also helpful here.

5 Discussion and conclusion

5.1 Methodological issues

In preparation for the assessment, the Ethiopian 5C assessment team contacted, through telephone, TTCA's general manager located in the organization's HQs in Asayta town to explain the purpose and the process of the 5C end line assessment. In addition, the team also sent through email the "support to capacity development sheet" to be filled by TTCA staff.

Following this, the assessment team travelled to the area to carry out the assessment. The assessment team stayed for one week in Asayta town and visited the college on three occasions. During the first visit to the college, the self-assessment was carried out workshop with a total of 11 participants and the staffs were asked to fill the self-assessment form in their respective five subgroups (management (1); program (3); M&E (2); HRM and administration (2) and field staff (3)). It was difficult to make clear cut groupings based on the above mentioned categories as the college structure differs from other organizations. Though some staff members may be given leadership responsibilities they are still faculty members and are required to teach. Therefore, to form the groups we based the responsibilities they are given other than the teaching. In the self-assessment exercise we learned that the HRM and administration were unable to fill the form on their own due to their English language skills. Therefore, the assessment team combined the self-assessment and interview and conduct an interview. In a second visit a brainstorming session was organized to develop a general causal map that explains the key organisational capacity changes that have occurred in TTCA since the baseline in 2012. In the third visit an interview was conducted with one representative from each subgroup to triangulate the information collected through the self-assessment and to better understand the changes in TTCA's capacity since 2012. This was done after the 5C assessment team reviewed the completed self-assessment forms.

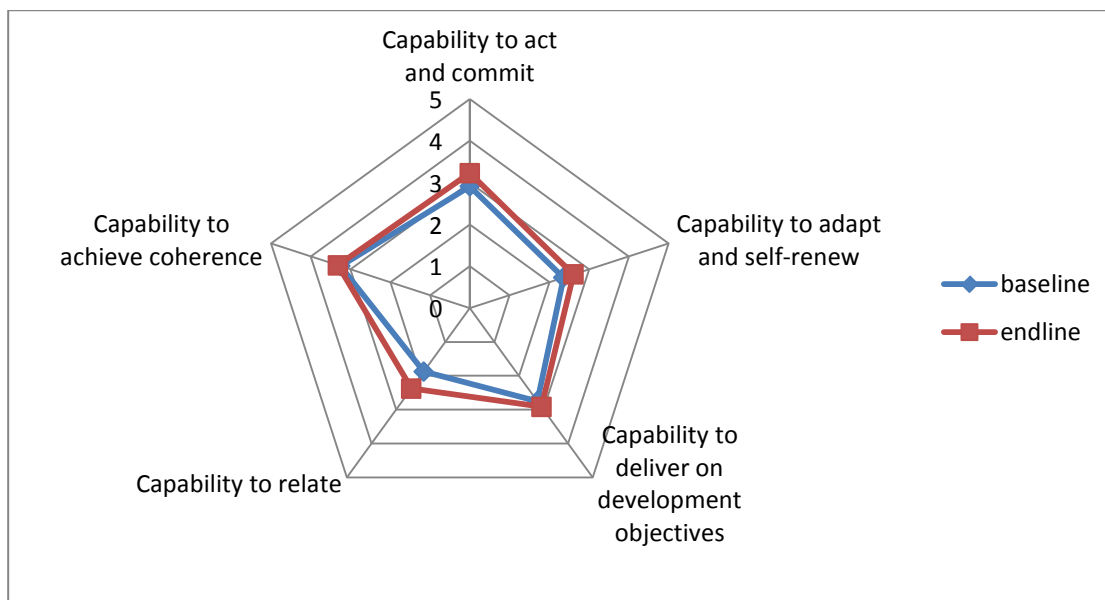
The plan of the evaluation team to conduct three interviews with TTCA partners did materialize. Instead, the evaluation team had an interview with the principals of three schools that were partner to TTCA. No consultants were interviewed since the college does not work with consultants.

By and large, there has been a lot of information available to be able to do adequate data analysis.

5.2 Changes in organisational capacity

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

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



Below the changes in each of the five core capabilities are further explained, by referring to the specific indicators that changed. In all of these capabilities improvements took place.

Over the last two years many small improvements took place in the indicators under the capability to act and commit. Members of management have become more responsive and proactive and the academic dean is more easily approached by all staff. The management has become better at providing strategic guidance and staff are able to discuss the strategic plan, which is available for all departments, with management. TTCA is using M&E feedback and takes the current situation into consideration when articulating operational plans. Staff skills have improved since the baseline, as college teachers now have second degrees, while they used to have first degrees; key tutors and the vice dean have been trained through the C4C alliance; and staff is making better use of ICT. There has been a slight improvement in the training opportunities that are offered to staff. Trainings through the C4C alliance (DEC) are for a limited number of staff, but USAID, MoE and Save the Children UK have also offered training opportunities for staff. There has been a very slight improvement in the funding situation of TTCA because UNICEF and UNESCO have started supporting primary schools. No new funding procedures are in place but some (successful) efforts have been made to approach donors by writing proposals for funding for e.g. ICT infrastructure, reference books, library etc.

In the capability to adapt and self-renew TTCA saw some improvements. Teaching practices are now evaluated in a more integrated way through joint M&E practice involving teachers, the department head and academic dean. Improvements have been observed in the number of staff evaluations, the utilization of evaluation reports, preparations of students' results in a timely fashion, and in delivery of scheduled progress reports by Department heads. The student and teacher behaviour observation matrix that is provided by the C4C alliance (MFS II funding) provides inputs for strategic planning and also to make actions and corrections. Opportunities for critical reflection have improved slightly as review meetings are organised to discuss progress and design improvement actions. TTCA has seen a very slight improvement in the way it is tracking its operating environment. Through sharing experience within the C4C alliance, linkages with primary schools and working closely with communities, TTCA is understanding better what is happening in its environment.

In terms of the capability to deliver on development objectives, TTCA has improved in some indicators. The centre has improved in delivering planned outputs because active teaching and learning strategies are now applied and teachers are aware of the need to actively involve students in the learning process. Mechanisms to check whether service meet beneficiaries' (students') needs have improved very slightly because every 20 days there are discussions with students' representatives from each department and students council about the teaching-learning process and other issues in the college with the academic dean and the respective heads of departments. Despite the limited resources, TTCA is trying to balance efficiency and quality by improving the quality of education and trainings.

In the capability to relate, TTCA improved in all indicators. According to management TTCA has improved its relations with external groups and is considering partners' feedback and reflection in their strategy and future activity towards improving the quality of education. The college has started collaborating with Dessie and Jimma CTEs (through the C4C alliance) and therefore their engagement in networks improved slightly. TTCA is engaging slightly more with its target groups as there is now a formal system to support DEC intervention at schools and parents' involvement in e.g. the preparation of strategies is encouraged. Within TTCA there is a slight improvement in relations between top management and staff as they are engaging more in open discussions and dialogue.

Finally, TTCA has shown a very slight improvement in the indicator "mutually supportive efforts" under the capability to achieve coherence. The college has started to work with other NGOs like USAID, UNESCO and UNICEF to complete projects and there are good efforts to help cluster schools through e.g. the provision of computers.

During the endline workshop some key organisational capacity changes were brought up by TTCA's staff in the 'general causal map': improved knowledge in the application of active learning approaches and teaching skills; improvement in ICT utilization; and improved skills in compiling and recording student grades. The evaluators considered it important to also note down the SPO's story about what they considered to be key organisational capacity changes since the baseline, and this would also provide more information about reasons for change, which were difficult to get for the individual indicators. Also for some issues there may not have been relevant indicators available in the list of core indicators provided by the evaluation team.

According to TTCA staff, they have improved their knowledge in the application of active learning approaching and teaching skills because of progressively built knowledge on the different approaches of active learning and the improvement in ICT utilisation. Knowledge was progressively built during a training for mathematics and science teachers by the MoE and JICA (Japan International Cooperation Agency) in 2013; a training on active learning organized by USAID in 2012; Continuous Professional Development (CPD) on different subjects by the MoE and the college; practice active learning approaches in project elementary schools (MFS II funded), which teachers has learned during a series of trainings by DEC in 2012-2014 (MFS II funded) and through continuous supervision and follow up by DEC, UvA and Edukans in 2012-2014 (MFS II funded). TTCA improved its utilisation of ICT because of installation of required infrastructure by DEC (MFS II funded); material (computer etc.) provision by USAID before 2012; and material provision and training by DEC during 2012-2013 (MFS II funded). The college improved its skills in compiling and recording student grades because of improvement in ICT utilisation; cascading of the MIS training by USAID for the management before 2012 to other staff; and guidance and coaching by the college management (which was triggered by the USAID MIS training).

According to TTCA's staff, MFS II funded capacity development interventions have thus played a role in improved knowledge in the application of active learning approaches and teaching skills; improvement in ICT utilization; and the improved skills in compiling and recording student grades. This was through MFS II funded trainings, supervision and the provision of ICT infrastructure and material. However, internal factors like Continuous Professional Development by the college have also played an important role in the key organisational capacity changes that the TTCA's staff considered important since the baseline in 2012. Support from other funders, like MoE, JICA, USAID; in terms of trainings and material provision has also been mentioned among the underlying factors for these changes.

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Training report UvA Jan-Dec 2013 (14-12-13).docx

Training report 2012 (UoA 18-01-2013).docx

Travel report HM 04-04-2012.pdf

Travel report HM 22-11-12.pdf

Travel report HM 07-04-13.pdf

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C4C Country Progress report Ethiopia 2013 (25-01-2014).doc

Financial Plan 2011-2015 %28March 2014%29.xlsx

Intake C4C - extra funds 2013 %28June 2013%29.doc

Partnership contract C4C 2013 DEC (13-02-2013).doc

Partnership contract C4C 2014 DEC (11-02-2014) v2.doc

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Progress Report C4C Ethiopia Jan-Jun 2012 (27-08-12) (2).doc

Summary of C4C project Ethiopia 2011-2015.docx

Fieldwork data:

B_5c endline_support to capacity development sheet_EDUKANS_perspective_Ethiopia_TTCA_with interview.docx

Notes to assessment sheets EDUKANS (TTCA).docx

Summary of C4C project Ethiopia 2011-2015-TTCA.docx

A_5c endline_assessment sheet_C4C)_Ethiopia_TTCA_Edukans (HM11Apr2014)_with_interview.docx

D_5c endline interview guide_partners_selected indicators_TTCA_Seid Mohammed.docx

F_5c endline self-assessment sheet_management_Ethiopia_name SPO_TTCA_completed.doc

G_5c endline self-assessment sheet_programme staff_Ethiopia_name SPO_TTCA_completed.doc

H_5c endline self-assessment sheet_MandE staff_Ethiopia_name SPO_TTCA_completed.doc

I_5c endline self-assessment sheet_HRM staff_Ethiopia_name SPO_TTCA_completed.doc

J_5c endline self-assessment sheet_field staff_Ethiopia_name SPO_TTCA_completed.doc

L_5c endline interview guide ú subgroup ú management ú selected indicators TTCA.docx

M_5c endline interview guide_subgroup_program staff_selected indicators_TTCA.docx

P_5c endline interview guide_subgroup_field staff_selected indicators_TTCA.docx

Q_5c endline observation sheet_Ethiopia_TTCA.docx

R_5c endline_observable indicators at SPO_Ethiopia_TTCA.docx

C_5c endline interview guide_partners_selected indicators_TTCA_completed.docx

D_5c endline interview guide_partners_selected indicators_TTCA_Abdullalim Ebrahim_Vice dean.docx

D_5c endline interview guide_partners_selected indicators_TTCA_Anwar Mohammed.docx

List of Respondents

Alliance/CFA officers:

No.	Name	Function
1	Hendrien Maat	Senior Education Specialist Edukans and C4C coordinator Ethiopia
2	Selamawit Fikremariam	IICD contact Ethiopia
3	Gezahegn Lamessa	C4C Programme Coordinator DEC Ethiopia
4	Olaf Erz	Regional Manager IICD East Africa; M&E officer

TTCA staff:

No.	Name	Function in the organisation
1	Ambachew Fekadu	Department head
2	Zertihun Hussen	Finance & purchasing head
3	Derara Tefera	N/science instructor
4	Sahile Zewudu	Professional study instructor
5	Arefeaynie Molla	social science Department head
6	Mohammed Yasin	Human Resource Manager
7	Ousman Kefyalew	Core Process
8	Abdulalim Ebrahim	Academic Vice Dean
9	Adulmejid Mohammed	Language Department head
10	Alemayehu Abebe	Mathematic Department head
11	Desalegn Kassu	Instructor

Others:

Anwar Mohammed, Simble General Elementary School, Partner of TTCA.

Seid Mohammed, Arado Elementary school, Principal of the schoolPartner, Partner TTCA.

Appendix 1 Methodological approach & reflection

1. Introduction

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

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

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

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

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

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

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

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

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

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

The description of indicators for the baseline in 2012 served as the basis for comparison during the endline in 2014. In practice this meant that largely the same categories of respondents (preferably the same respondents as during the baseline) were requested to review the descriptions per indicator and indicate whether and how the endline situation (2014) is different from the described situation in 2012.² 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;

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

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- 1) **Observation:** similar to what was done in 2012, also in 2014 the evaluation team had a list with observable indicators which were to be used for observation during the visit to the SPO.

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

Key steps to assess changes in indicators are described

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

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

Below each of these steps is further explained.

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

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

General questions about key changes in the capacity of the SPO

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

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

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

1. How has the situation of this indicator changed compared to the situation during the baseline in 2012? Please tick one of the following scores:
 - -2 = Considerable deterioration
 - -1 = A slight deterioration
 - 0 = No change occurred, the situation is the same as in 2012
 - +1 = Slight improvement
 - +2 = Considerable improvement
2. Please describe what exactly has changed since the baseline in 2012
3. What interventions, actors and other factors explain this change compared to the baseline situation in 2012? Please tick and describe what interventions, actors or factors influenced this indicator, and how. You can tick and describe more than one choice.
 - Intervention, actor or factor at the level of or by **SPO**:
 - Intervention, actor or factor at the level of or by the **Dutch CFA (MFS II funding)**:
 - Intervention, actor or factor at the level of or by the **other funders**:
 - **Other** interventions, actors or factors:
 - Don't know.

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

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

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

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

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

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

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

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

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

- Project documents: project proposal, budget, contract (Note that for some SPOs there is a contract for the full MFS II period 2011-2015; for others there is a yearly or 2-yearly contract. All new contracts since the baseline in 2012 will need to be collected);
- Technical and financial progress reports since the baseline in 2012; .
- Mid-term evaluation reports;
- End of project-evaluation reports (by the SPO itself or by external evaluators);
- Contract intake forms (assessments of the SPO by the CFA) or organisational assessment scans made by the CFA that cover the 2011-2014 period;

- Consultant reports on specific inputs provided to the SPO in terms of organisational capacity development;
- Training reports (for the SPO; for alliance partners, including the SPO);
- Organisational scans/ assessments, carried out by the CFA or by the Alliance Assessments;
- Monitoring protocol reports, especially for the 5C study carried out by the MFS II Alliances;
- Annual progress reports of the CFA and of the Alliance in relation to capacity development of the SPOs in the particular country;
- Specific reports that are related to capacity development of SPOs in a particular country.

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

- Annual progress reports;
- Annual financial reports and audit reports;
- Organisational structure vision and mission since the baseline in 2012;
- Strategic plans;
- Business plans;
- Project/ programme planning documents;
- Annual work plan and budgets;
- Operational manuals;
- Organisational and policy documents: finance, human resource development, etc.;
- Monitoring and evaluation strategy and implementation plans;
- Evaluation reports;
- Staff training reports;
- Organisational capacity reports from development consultants.

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

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

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

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

General causal map

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

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

Step 6. Interview the CFA – CDI team

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

This relates to:

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

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

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

An endline workshop with the SPO was intended to:

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

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

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

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

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

Step 8. Interview SPO staff – in-country team

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Background information on process tracing

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

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

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

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

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

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

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

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

Selection of SPOs for 5C process tracing

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

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

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

ETHIOPIA

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

Table 1

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

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

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

Source: country baseline report, Ethiopia.

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

Table 2

SPOs selected for process tracing – Ethiopia

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

INDIA

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

Table 3

The extent to which the Dutch NGO explicitly targets the following capabilities – India³

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

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

Source: country baseline report, India.

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

Table 4

SPOs selected for process tracing – India

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

³ 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. PPM/A	Rifka Annisa	WIIP	Yad upa	Yayasan Kelola	YPI	YRBI
Act and commit	4	4	4	5	4	4	5	3	3	2	5	4
Deliver on development objectives	1	1	1	2	2	1	2	1	1	1	1	1
Adapt and self-renew	3	1	2	4	2	3	4	4	1	1	4	3
Relate	1	1	2	3	3	2	1	2	2	2	3	2
Achieve coherence	1	1	1	2	1	1	2	2	1	1	2	1

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

Source: country baseline report, Indonesia.

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

Table 6
SPOs selected for process tracing – Indonesia

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

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

LIBERIA

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

Table 7

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

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

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

Source: country baseline report, Liberia.

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

Table 8

SPOs selected for process tracing – Liberia

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

Key steps in process tracing for the 5C study

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

Key steps in process tracing for the 5C study

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

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

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

A detailed causal map (or model of change) = the representation of all possible explanations – causal pathways for a change/ outcome. These pathways are that of the intervention, rival pathways and pathways that combine parts of the intervention pathway with that of others. This also depicts the reciprocity of various events influencing each other and impacting the overall change.

A causal mechanism = is the combination of parts that ultimately explains an outcome. Each part of the mechanism is an individually insufficient but necessary factor in a whole mechanism, which together produce the outcome (Beach and Pedersen, 2013, p. 176).

Part or cause = one actor with its attributes carrying out activities/ producing outputs that lead to change in other parts. The final part or cause is the change/ outcome.

Attributes of the actor = specificities of the actor that increase his chance to introduce change or not such as its position in its institutional environment.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

A model of change of good quality includes:

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

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

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

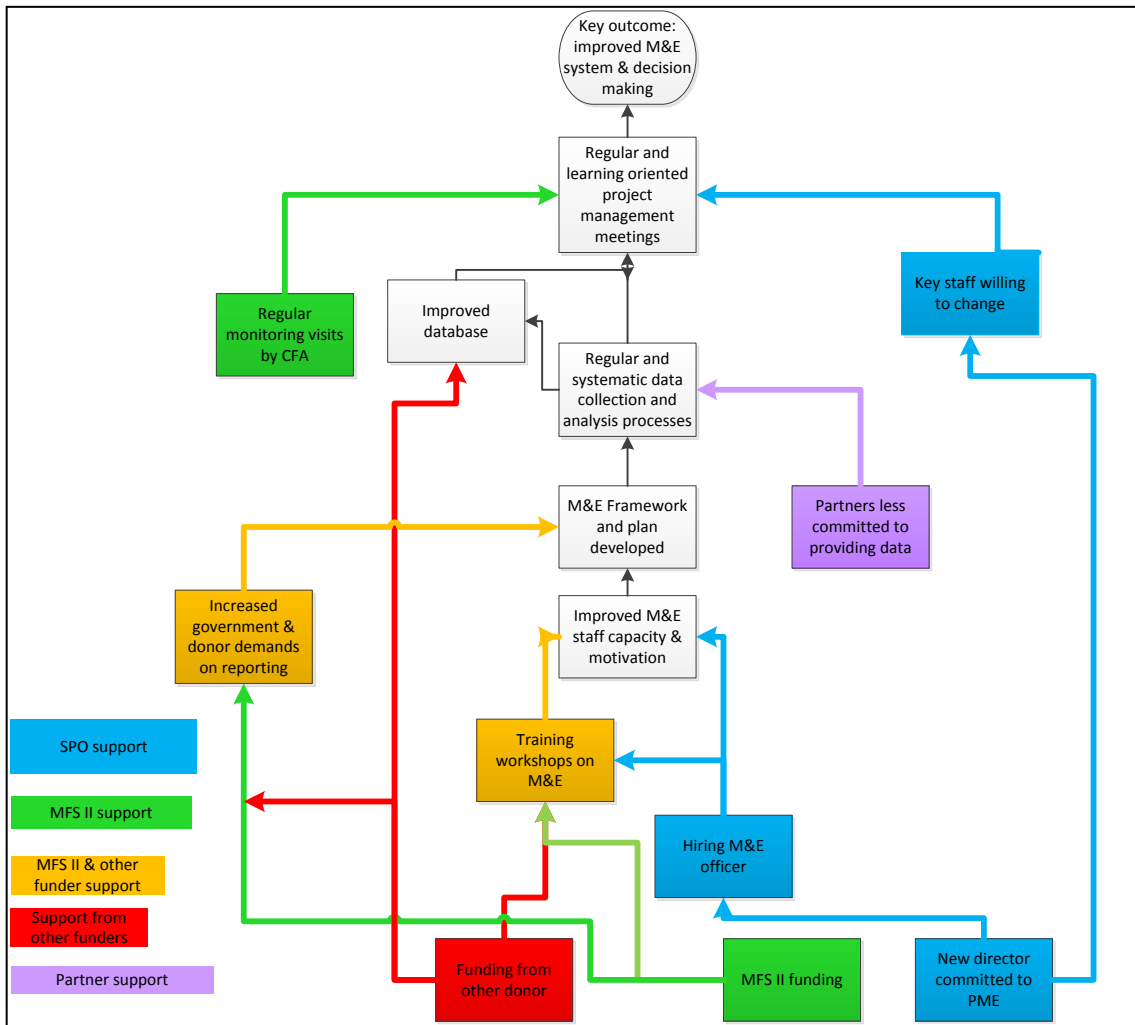


Figure 1 An imaginary example of a model of change

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

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

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

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

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

Types of evidence to be used in process tracing

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

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

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

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

Source: Beach and Pedersen, 2013

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

Table 9

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

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

Please note that for practical reasons, the 5C evaluation team decided that it was easier to integrate the specific questions in the narrative of the initial causal map. These questions would need to be

addressed by the in country team during the process tracing workshop so as to discover, verify or discard particular causal mechanisms in the detailed, initial causal map. Different types of evidence was asked for in these questions.

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

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

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

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

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

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

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

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

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

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

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

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

4. Explaining factors – evaluation question 4

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

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

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

5. Methodological reflection

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

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

provided rich information for the SPOs and CFAs, and many have indicated this was a useful learning exercise.

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

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

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

A few remarks need to be made:

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

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

Utilisation of the evaluation

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

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

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

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

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

5C Endline process, and in particular thoroughness of process tracing often appreciated as learning process: The SPO perspective has also brought to light a new experience and technique of self-assessment and self-corrective measures for managers. Most SPOs whether part of process tracing or not, deeply appreciated the thoroughness of the methodology and its ability to capture details with robust connectivity. This is a matter of satisfaction and learning for both evaluators and SPOs. Having

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

Appendix 2 Background information on the five core capabilities framework

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

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

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

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

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

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

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

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

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

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

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

Capability to act and commit

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.

Some staffs stated that in terms of leadership not much has changed since 2012 and that it even deteriorated through loss of inspiration, sensitivity and responsiveness on the overall activities of the college. In contrary the above argument, others believe that there is a slight improvement in the leadership of the college. They stated that the leaders have increased their commitment for change together with their enhanced decision making capacity, which comes partly through upgrading their academic status from first degree to second degree. Since the baseline, openness and transparency have improved, discussions with staffs. It is also mentioned that the members of management are becoming responsive and proactive. Compared to the baseline situation the academic dean is more easily approached and easily accessible to all staffs in his office. Similarly, the idle management has been given full authorities to exercise their responsibilities. Trainings have been given to the staffs during the last two years which was according to their demand during the baseline assessment. As a result, the teacher's commitment has improved and they started to work during their spare time on the week days and weekends.

Score: from 2.5 to 3 (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

Although some staff members believe that there is no change compared to the baseline in providing strategic guidance from the management, other staff members are mentioning the slight improvement that they observed. They stated that the improvement in the capacity, commitment and willingness of the management results in a better provision of strategic guidance. Accordingly, the strategic plan is already handed over to the departments. And hence, staffs are able to discuss on the strategic plan with management. In line with the strategic plan the active learning approach has improved.

Score: from 3 to 3.5 (slight improvement)

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

This is about staff turnover.

In terms of numbers there is no staff turnover since the baseline but teachers are dissatisfied by the existing situation in the college and they are looking for opportunities to leave the college. On the other hand, some staffs and the management believe that the staff turnover is low due to that fact that the college sets incentives for the teachers such as an opportunity to upgrade their academic status and academic rank.

Score: from 3 to 3 (no change)

1.4. Organizational structure: 'Existence of clear organizational structure reflecting the objectives of the organization'

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

The organizational structure of TTCA has not been changed and revised since the baseline. The structure is clearly communicated with staffs and accessible to all staff even it was posted on the Dean and Academic Dean Office. Most of the staffs also have a copy of the organizational structure.

Score: from 3.5 to 3.5 (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.

In this regard TTCA has started participatory supervision of progresses within the college and monitored primary schools supported by DEC on a regular basis. As a result the college has used monitoring and evaluation feedback to articulate operational plans with the consideration of current situation. However, the college has worked in line with the strategic plan set by the Ministry of Education according to the education and training policy of the country and the region. The college aims to practically follow the strategic plan on their day to day activities. However, the strategic document is not shared with all staff and they are not all well aware of the strategic plan.

Score: from 2.5 to 3 (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 day to day operational guide of the college is extracted from the strategic plan. To have a better implementation the management discussed with staffs as well as the academic commission to ensure the implementation is in line with the strategic plan. Despite such slight improvements, late submission of deliverables and late registration of students has continued to be a challenge after the baseline. In terms of financial and material orders and procurement of goods, specific formats are prepared to handle the issues.

Score: from 3 to 3 (no change)

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

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

Since 2012 four key tutors and the vice dean have been trained (twice a year), through the C4C alliance (MFS II) in Active Teaching and Learning strategies and their implementation. As a result teacher and tutor motivation has increased. Compared to the baseline situation, an improvement in teaching methodology from teacher-centered to student-centered resulted in an improvement in students learning outcomes. It is also believed that the improvements in staff skills are due to the fact that college teachers who had a first degree during the baseline now have a second degree which contributed to the increased learning outcomes of the students. Staff is now using ICT technologies in a better way than during the baseline situation. Teachers are using ICT to prepare modules, lesson plans and other course materials. It is also mentioned that experience sharing between different regions has its own share in improving staffs skill. Different staff have been trained on a variety of issues: recruitment of new students (i.e. in the proper utilization of the selection criteria), material or module preparation, practicum implementation and preparation of volunteer's guideline, gender, quality education and property management.

Score: from 3 to 4 (improvement)

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

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

Compared to the baseline situation a slight improvement in creating training opportunities are observed in the last two years. Training opportunities in the area of Active Teaching and Learning are offered by C4C though it is only for a limited number of staff. In addition to the above training, staff members have participated in different trainings such as recruitment of new students (i.e. in the proper utilization of the selection criteria), material or module preparation, practicum implementation and preparation of volunteer's guideline. DEC, USAID, MoE, Save the Children UK and others have been the stakeholders in providing such training opportunities. After the baseline training and awareness creation for support staff on different issues such as gender, quality education and property management have been given. Besides training opportunities experience sharing between different regions has been taking place.

Score: from 4 to 4.5 (slight improvement)

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.

In terms of providing incentives two contracting views are observed. The first group stated that, the availability of a good internet connection, extension and module preparation payment and participatory decision making is an improvement in the college. But the other group argued that there is a slight deterioration in providing appropriate incentives. Currently, there is no payment for module preparation and extension work. In addition, there is no budget for educational research and educational opportunities. In the cases that the payments are there for extension and module preparation it is not paid on time. Whilst some respondents indicated there was no salary increment, the evaluation team observed that the salary of the government civil servants has been adjusted since July 2014. Hence, the teachers are also benefited from the adjustment. There has been no adjustment in house allowance by considering the inflation. DEC mentioned that they are not engaged in providing financial incentives. Training opportunities have contributed to staff motivation.

Score: from 2.5 to 2.5 (no change)

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.

Similar to the baseline situation, government is the main source of the college funds. There is a slight budget increment compared to the baseline situation. The C4C alliance (MFS II funds) has been supporting the college by providing material support, particularly in expanding and developing the ICT infrastructure, such as an ICT room for instructors with 10 desktops; two laptops, two printers and one laminating machine. Recently, UNICEF and UNESCO has started to support primary schools to promote mother tongue education.

Score from 3 to 3.25 (very 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.

No new funding opportunities are created after the baseline. But some efforts are made to approach donors by writing proposals for setting up the ICT infrastructure, to get funds for reference books, for building the library and a latrine for girls, and solar panels to support the surrounding primary schools. The one successful story in this regard is in 2013 Assayta CTE, which— together with DEC in Addis Ababa – developed a project proposal, requesting for additional C4C funds for the college – in order to establish an ICT resource room for the tutors. The proposal was approved by Edukans and DEC (Addis Ababa) provided the CTE with computers, printers and internet connection for the total amount of 10.000 Euro (fully funded by MFS II).

Score from 2 to 2.25 (very slight improvement)

Summary of the capability to act and commit

An overall slight improvement has been observed in the colleges' capability to act and commit. The leadership of the college has shown an improvement in their willingness, commitment and capacity of managing the college. They have become more responsive and proactive. It resulted in a better provision of strategic guidance, and more openness and transparency in decision making. The middle management has freedom to exercise their responsibilities. The management has become close to the staff and they have discussed on the college's strategic plan and the day to day operational guide of the college is extracted from this. The college has worked in line with the strategic plan set by the Ministry of Education according to the education and training policy of the country and the region and the practical implementation of this is based on this strategic plan as well as based on monitoring results. The strategic plan is not shared with all staff and they are thus not all aware of this. The organizational structure of TTCA has not been changed and revised since the baseline and it is clearly communicated with staff and extensible to all. In line with the strategic plan the teaching methodology has improved from teacher centered to student-centered active learning. With support from the C4C alliance (MFS II funding) an ICT room has been established and the ICT technology supports teachers in preparing modules, lesson plans and other course materials. This stimulates staff in addition to having extension payment and training and experience sharing opportunities. Furthermore, incentives like upgrading staffs academic status from second to first degree has helped to retain staffs. Training has been provided to staff in terms of recruitment of new students (i.e. in the proper utilization of the selection criteria), material or module preparation, practicum implementation and preparation of volunteer's guideline, gender, quality education and property management. Different organisations supported these trainings: DEC, USAID, MoE, Save the Children UK. The C4C alliance (MFS II funding) has supported training on active learning, moving from teacher-centered to student centered learning. The government has remained the major funder of the college whereas DEC also increased its contribution (from MFS II) and additional funds were received from C4C for establishing ICT infrastructure. UNICEF and UNESCO have started to collaborate with the college to support primary school mother tongue education.

Score: from 2.9 to 3.2 (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).

It is stated that after the baseline monitoring and evaluation of all 15 implementing partners and 75 schools by DEC has taken place. In addition, 45 C4C pilot primary schools were supervised by DEC in collaboration with the partners. Shortage of administrative budget to monitor project activities at school level is a major challenge for the implementing partners. Similar to the baseline situation, teaching practices are evaluated or supervised regularly, but now it is handled in a more integrated way: through joint M&E practice involving teachers, department head and academic dean. Compared to the baseline situation an improvement in the number of staff evaluations, in the utilization of evaluation reports to make corrections, in preparations of students' results in a timely fashion, and in delivery of scheduled progress reports by Department heads are observed. However, some staff members argue that there is no monitoring and evaluation done by department heads. Only the academic dean is working at his full potential. Others stated that the M&E situation of the college is as similar as the baseline situation. The C4C alliance provided an observation Matrix which has 16 indicators, of which 8 focus on behavior of the teacher and 8 on the behavior of the students. This is now used twice a year. Classes of key tutors as well as non-key tutors are observed. Insight in the progress made has been given by the CTE and communicated to the University of Amsterdam. The observation tool has become a monitoring tool for CTE tutors for assessing the quality of teaching and learning at classroom level.

Score: from 2.5 to 3 (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.

It is almost similar with the baseline situation. There is no competent M&E trained person in the college. But, regarding to the staff members' performance evaluation, they are well informed on what is to be evaluated and how since the result of staff performance evaluation is sometimes given to them in the form of written feedback by their supervisors or head of Department. After the baseline there was a training given by C4C on Active Teaching and Learning to the key tutors about the Observation Matrix which has 16 indicators, of which 8 focus on behavior of the teacher and 8 on the behavior of the students.

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.

The observation matrix that is provided by the C4C alliance (MFS II funding) has become a monitoring tool for CTE tutors for assessing the quality of teaching and learning at classroom level. This provides an input for strategic planning and also to make actions and corrections. However, some of the key informants did not observe such improvement.

Score from 2 to 2.5 (slight improvement)

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

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

Staff members pointed out that there is no improvement regarding critical reflection meetings - some staff members even mentioned there has not been such a thing at all. On the other hand other staff members stated that regular meetings are established (quarterly and annually) and review meetings are organized to review their progress and design improvement actions. They also mentioned that there was a meeting of all staff members at the beginning of the year to discuss strengths and weaknesses and build and improve on these. In addition, communication and meetings with department heads take place once in two weeks and during these meetings discussion, dialogue and critical reflection was done.

Score: from 2.5 to 3 (slight improvement)

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

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

As it was in the baseline it is difficult to discuss sensitive issues with management. It is mentioned that, staffs can express their ideas to the academic dean freely, and he is optimistic in encouraging good ideas. It is mentioned that in their annual meetings staff try to talk about strengths, weaknesses, and progress on designed actions particularly with the academic dean. It was also mentioned that the Vice dean of the college is supporting the 4 key tutors to apply Active Teaching and Learning at classroom level and allows the team to try out new ideas, like working in small groups, preparing worksheets, concept building etc. The college management argued that they create a conducive environment for freedom of ideas and they are positive about accepting and implementing good ideas as long as they are in line with the college's strategic objectives.

Score: from 2.5 to 2.5 (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 organization.

No adequate information was provided in systems to track the environment. But, staff members, as well as management pointed out that to learn from similar colleges in other regions experience sharing has been organized by the C4C alliance for 12 instructors to Jimma CTE. Jimma CTE tutors have visited Assayta for knowledge sharing, motivation and exchange of ideas. An improvement has been observed in the last two years whereby linkages with primary schools are created through supervision, training and material support. Similarly, efforts are also made to closely work with communities through training such as gender and voluntarism. This can contribute to understanding what is happening in the environment although there is no system in place to track this.

Score: from 2 to 2.25 (very slight improvement)

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

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

In the last two years, the tutors of Assayta CTE are all linked to one or two primary schools in the catchment area of the CTE. They are visiting the schools for monitoring purposes (supporting and training the teachers) and supervising the practice of the student teachers in the respective schools. TTCA has provided trainings to 13 primary schools teachers and get feedback from them as well. Though it is not sufficient some staff members argued that the college is trying to communicate with stakeholders and received their reflection. On the other hand, some other staffs mentioned the college is not working in collaboration with stakeholders on student selection and recruitment, entrance exam preparation for new entry students, M&E during practicum, etc. and also it does not have a formal forum with the primary schools as it is used to be in the baseline.

Score: from 2.5 to 2.5 (no change)

Summary of the capability to adapt and self-renew

DEC had accomplished the evaluation of its 15 implementing partners. The C4C pilot primary schools are also supervised by DEC in collaboration with the implementing partners. Shortage of administrative budget to monitor project activities at school level is found to be a major challenge for the implementing partners. TTCA has set up a joint M&E practice by teachers, department head and academic dean, where the evaluation report is utilized to make corrective actions, to give timely feedback to students and to report the progress. Staffs are well aware of the staff performance evaluation on what is to be evaluated and how. The C4C alliance provided and trained staff on an observation Matrix which has 16 indicators, of which 8 focus on behavior of the teacher and 8 on the behavior of the students. This is now used twice a year. Classes of key tutors as well as non-key tutors are observed. Insight in the progress made has been given by the CTE and communicated to the University of Amsterdam. The observation tool has become a monitoring tool for CTE tutors for assessing the quality of teaching and learning at classroom level. This also provides insights for strategic planning, along with inputs from few stakeholders. TTCA closely works with primary schools where they support and supervise them. There has been a slight improvement in terms of frequency of meetings and the dean has become more open and supportive to staff to share their ideas.

Score: from 2.4 to 2.6 (very slight improvement)

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 staff use it in their day-to-day operations.

Similar to the baseline situation, all the projects that are on-going at the institution have operational work plans and assigned budgets. These are used in day-to-day activities through discussions with the academic commission or management. Before coming to discussions with the committee, all department heads and process owners discussed these plans and budgets with their respective staff. However, some staff members mentioned that, contrary to the above statement, even though the departments have a planned budget it is not announced to staff. A slight improvement has been observed in timely preparation of physical and financial plans by Department heads. It is also reported that, operational plans are made at the end of each C4C project visit – for the coming 6 months. But it remains unclear whether these plans are shared with the non key staff.

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.

TTCA has limited funding and tries to buy resources for all units, both for academia and administrative units, by prioritizing the needs. The existing resources are used cost-effectively in the college with discussions and prioritizations with admin department. Support staffs are aware about the resources (funding and materials) so as to use these cost-effectively. Unlike in the baseline situation the annual budget of the college is known by the respective department heads and this helps to plan and use resources cost-effectively. However, regarding the ICT infrastructure situation all the problems that have mentioned in the baseline are not solved, although the CTE received 10 new computers from the C4C project and DEC provided internet for the college.

Score: from 2.5 to 2.5 (no change)

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.

Even though some staffs do not feel any changes compared to the baseline in terms of delivering planned outputs, Active Teaching and Learning strategies are better applied at the college since 2013 by the key tutors. Tutors no longer start a lesson with a definition on the blackboard, but introduce a new topic by using a mind-map, education materials or worksheets. They are more aware of the need to involve students actively in the learning process.

Score: from 4 to 4.5 (slight improvement)

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

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

Compared to the baseline situation, there are discussions with students' representatives from each department and students council once in 20 days about the teaching-learning process and other issues in the college with the academic dean and the respective heads of departments. Hence, there is a slight improvement in identifying the gaps and addressing student problems, now students have started to talk about what is right or wrong. Contrary to the above statement, it is also mentioned that tutors do supervise trainees at school but there is no feedback mechanisms in place to find out what the needs of the students are related to the content of the curriculum and the methodology delivered by the CTE.

Score: from 2 to 2.25 (very slight improvement)

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

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

A slight improvement is made by the vice dean of the college. Unlike the baseline situation, the vice dean has started to visit classrooms of the tutors and to provide feedback on their performance, but there is no standardized monitoring system at the college yet. Though it is not confirmed by others one respondent stated that they set up a check list to evaluate daily activity and performance evaluation twice a year where by an immediate feedback is given to the respective entity or individual. The identified gaps are trying to be addressed through discussion and training. However, this slight improvement is not observed by some of the key informants. Also there is no clear indication that efficiency is measure by comparing inputs to outputs.

Score: from 2.5 to 2.5 (no change)

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

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

Compared to the baseline situation, despite the limited resources, the college is trying to bring efficiency and quality in the college by improving the quality of education. But this effort is not recognized by other staffs and they said that the management did not support the staff with required resources. However, teachers are striving for the quality. Other key informants have also pointed out that quality of training at the college (key tutors) has improved but transfer of skills and knowledge from key tutors to non-key tutors remains a challenge.

Score: from 2.5 to 2.75 (very slight improvement)

Summary of the capability to deliver on development objectives

All the activities of the college have their own operational plan with their respective budget. The operational plans are developed through a bottom up discussion, where all department heads and process owners discuss issues with their respected staffs. It's after this the academic commission and the management committee starts to follow up on the implementation of the operational plan. Operational plans are made at the end of each C4C project visit – for the coming 6 months. It is observed that fiscal and financial plans have started to be prepared timely by the Department heads . TTCA is trying to manage resources in a cost effective way, where budgets are allocated by prioritizing activities. Colleges and department heads are informed about their allotted budget so as to use these cost-effectively. Though there is no standardized monitoring system in the college, the vice dean has started to frequently supervise tutors and provide immediate feedback. Students' class representatives are also consulted frequently about the teaching learning process and other related issues and the identified gaps and problems are addressed accordingly. Active Teaching and Learning strategies are better applied at the college since 2013 by the key tutors which has enhanced quality of the work. Despite the limited resources, the college is trying to bring efficiency and quality in the college by improving the quality of education, partly through applying the Active Teaching and Learning strategies at the college since 2013 by the key tutors. This has also helped to improve on achieving objectives.

Score: from 2.75 to 2.9 (very slight improvement)

Capability to relate

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

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

The change in this indicator has not been noticed by the majority of staff members as it used to be in the baseline situation. Heads of education at district level, primary and secondary school and the community are engaged in preparation of strategies and the college has good relationship with these actors. There is still no engagement of external groups in developing policies and strategies of TTCA, which is a government institution that uses strategies in line with government policies. However, the management now stated that the college has started good relations with its external groups especially

during engagement in preparation of strategies. Hence, partners' feedback and reflections are considered in the strategy and future activity towards improving the quality of education.

Score: from 1 to 1.5 (slight improvement)

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

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

Some say there is no network at all. But some others say the college started collaborating with Dessie and Jimma CTEs as a result of the experience-sharing trip after the baseline. Sharing documents, modules, and curriculums has already started. Ideas and lessons are also shared among the CTEs.

Score: from 1 to 1.5 (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.

TTCA continues to frequently supervise primary schools under the C4C program similar to the baseline situation. But the contact is limited with specific number of staffs associated with the project. Compared to the baseline situation a formal system has been established to support DEC intervention schools following the evaluation of the schools by DEC. After the baseline period efforts have been made to increase parents' involvement in education, for example, in the preparation of strategies.

Score: from 2.5 to 3 (slight improvement)

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

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

Compared to the baseline situation the vice dean of the college regularly organizes meetings with the tutors and is coaching tutors on-the-job. There is an improvement in open discussion and dialogue with top management, particularly with the academic dean and hence, an improvement in information sharing and collaboration among staff is taking place. The management further pointed out that there are written and oral communications and everyone is free to talk to the management. There are meetings with instructors, department heads, student representatives and the management committee on a regular basis. However, some staff members believe that the situation is still the same as with the baseline situation.

Score: from 3 to 3.5 (slight improvement)

Summary of the capability to relate

There is a slight improvement in the ability of management to engage with external stakeholders. The feedbacks of the stakeholders have been considered during the preparation the college's strategic plan. Efforts are also made with parents to increase parents' involvement in education. TTCA has also collaborated with similar colleges such as Dessie and Jimma college of teacher education, where experiences and materials such as modules, curriculums are shared among their staffs. TTCA has also closely engaged with C4C intervention primary schools. In addition, the top level management, particularly the academic vice dean, has improved engagement with the staffs.

Score: from 1.9 to 2.4 (slight improvement)

Capability to achieve coherence

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

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

The college's vision and mission had been printed and posted in each staffs office so that they can be familiar with it. The value and vision of the college is reviewed and changed as required but the mission is still constant.

Score: from 2.5 to 2.5 (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.

There is no change occurred, the situation is the same as in 2012 in terms of setting up operational guidelines: TTCA has operational guidelines in place on HRM, finance, goods and service procurement, trainee's selection and others. Most of these guidelines are used for practical activities. However, these guidelines still require updating and still staff do not seem to have adequate understanding of the guidelines. It is only the Education Management Information System (EMIS) that has developed and installed on computers of the 75 schools in the end line period.

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 organization'

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

Similar to the baseline situation, all project intervention strategies continue to be in line with the mission and vision of the college.

Score: from 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.

Compared to the baseline situation C4C (DEC) support has supplemented the college with material support and the college also started to work with other NGOs like USAID, UNESCO, UNICEF to complete projects. There are good efforts by the college and other stakeholders to help cluster schools through the provision of computers, science kits for teachers, training on active learning etc.

Score: from 3.5 to 3.75 (very slight improvement)

Summary of the capability to achieve coherence

Vision, mission and strategies are discussed when the need arises. The strategies and activities of TTCA are still in line with these vision and mission. Other funding organisations like UNICEF and UNESCO have come on board to support implementation of mutually supportive efforts. TTCA still has operational guidelines in place on HRM, finance, goods and service procurement, trainee's selection and others and most of these guidelines are used for practical activities. However, these guidelines still require updating and still staff do not seem to have adequate understanding of the guidelines. It is only the Education Management Information System (EMIS) that has developed and installed on computers of the 75 schools in the end line period.

Score: from 3.3 to 3.3 (no change)



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

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