



Measuring – Assessing – Making improvements

Findings and conclusions from
monitoring and evaluation, 2010-2012

TRACKING EFFECTIVENESS

GIZ'S RESULTS-BASED MONITORING AND EVALUATION SYSTEM

The key question faced by international cooperation is: are our activities producing the intended positive results? And are they doing so sustainably, beyond the end of a development measure? Results are understood as the changes that can be causally or at least plausibly attributed to a project or programme. Right from the start, GIZ's work is therefore consistently geared to achieving such durable changes through its measures.

It is the task of GIZ's results-based monitoring and evaluation system to monitor, assess and evaluate results systematically and in line with international standards. GIZ makes a basic distinction between two types of evaluation. Independent central evaluations are managed by the Monitoring and Evaluation Unit. The operational units that are responsible for the individual programme manage decentralised monitoring and evaluation activities. For this purpose, the Monitoring and Evaluation Unit develops standards, guidelines and instruments, and advises the departments on how to use them.

The findings obtained allow GIZ to comply with its accountability obligations towards commissioning parties and clients, partners and the general public. But that is not all. By presenting these findings, the Monitoring and Evaluation Unit also enables learning at all levels, in the projects and programmes, the responsible operational units and across the company. The Monitoring and Evaluation Unit works independently of GIZ's operational business and reports directly to the Management Board.

THE FOUNDATION: RESULTS-BASED MONITORING

Results-based monitoring refers to the systematic recording of results. It monitors the entire change process that is generated by an intervention. In GIZ projects, results-based monitoring is carried out together with partners. It is used to manage the project or programme, and acts as the basis for evaluations and for reporting to the commissioning party. Results-based monitoring provides the relevant data and information for these purposes.

DECENTRALISED EVALUATIONS

Decentralised evaluations are used to promote systematic learning in ongoing measures. They play an important role in the strategic development and conceptual orientation of a new project phase. Project progress reviews (PPRs) are the main instrument used in this context. (In 2010/2011, some 150 PPRs were carried out.) They are performed by external or internal experts who were not involved in planning or implementing the project/programme, and are arranged by the operational organisational unit that bears responsibility for the project or programme. In addition, external evaluators assess projects and programmes in decentralised final evaluations (around 40 in 2010/2011). These are used for reporting to commissioning parties or clients based on the assessment of empirically aggregated findings.

CENTRAL EVALUATIONS

Since 2006, the Monitoring and Evaluation Unit has also arranged for independent evaluations. Projects/programmes in a thematic priority area of the portfolio are randomly selected for evaluation, if the available resources do not allow the entire portfolio to be surveyed.

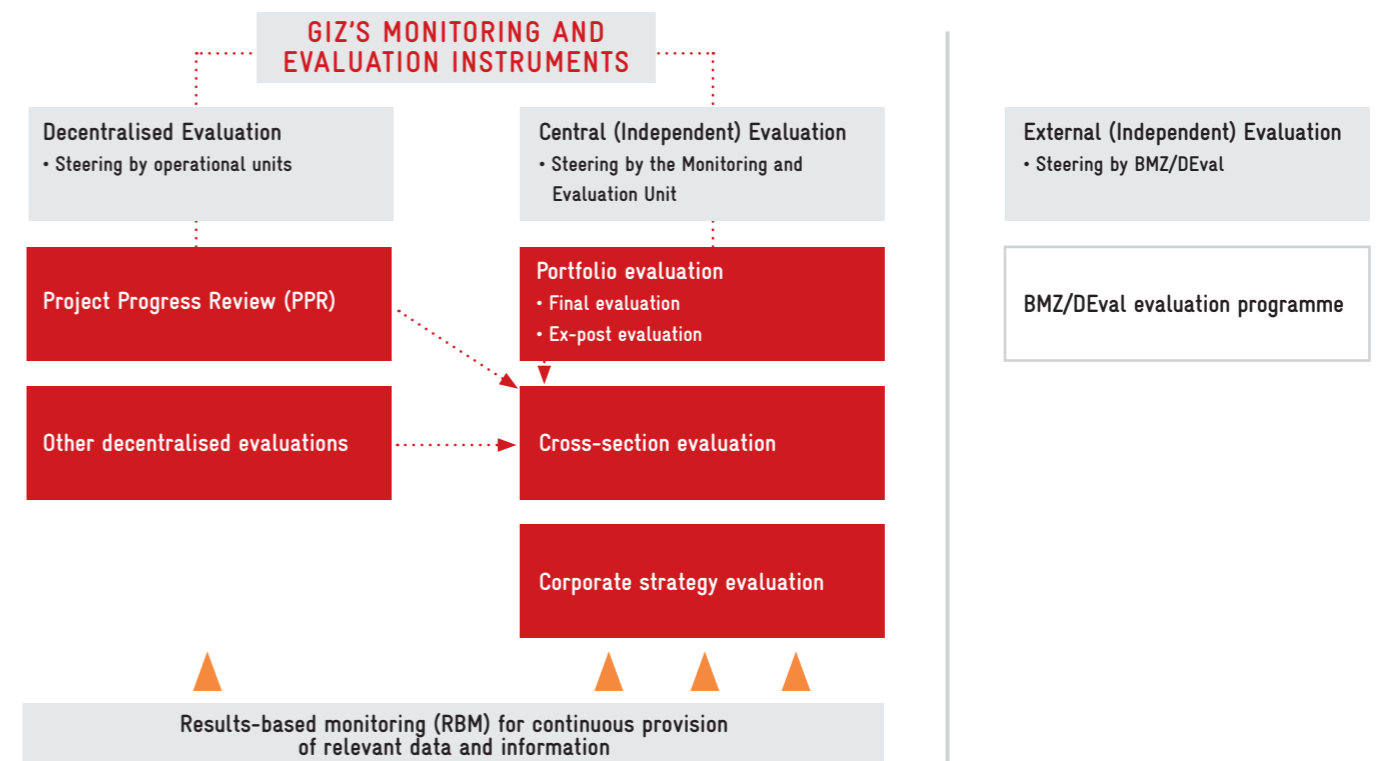
The Unit commissions external research institutes and consulting firms to ensure that the findings are independent. They examine the relationship between interventions and results and rate the success of the projects and programmes, using ex-post evaluations conducted two to five years after the end of the project or programme, or final evaluations carried out six months before or after the end of the project or programme. In the period under review, mid-term evaluations were also performed (i.e. during the project/programme term).

GIZ introduced 'corporate strategy evaluations' as a new instrument in 2011. These examine how

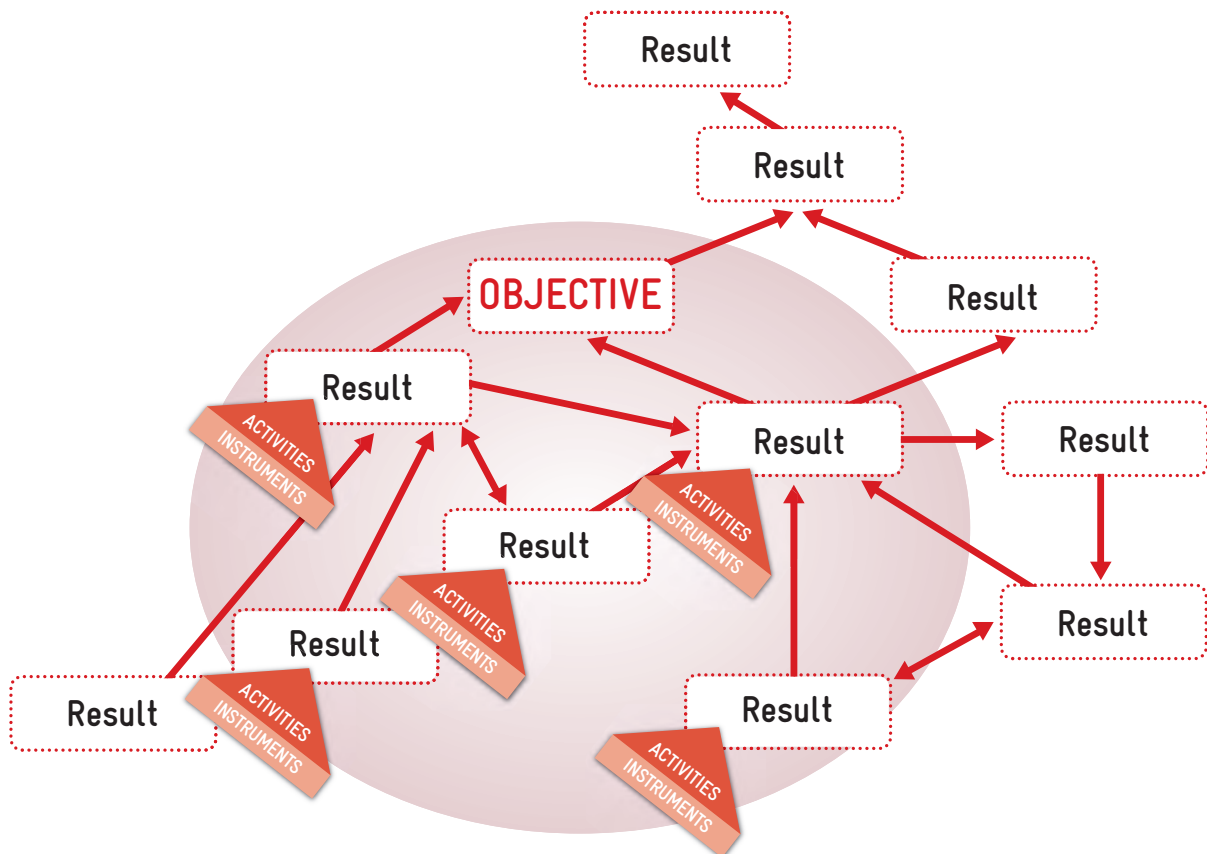
effective GIZ's policies and strategies are across business sectors and instruments, for example to determine where GIZ can make improvements, in order to enhance the scalability of the projects and programmes it implements.

CROSS-SECTION EVALUATIONS

The Monitoring and Evaluation Unit also performs cross-section evaluations on a standard basis. Cross-section evaluations, which take the form of evaluation syntheses and meta-evaluations, go far beyond individual projects or programmes. They provide recommendations that promote learning throughout the company and help to improve the quality of evaluations. Findings from these different types of evaluation are analysed and presented in the form of a summary. By assessing the findings again using selected questions and criteria, GIZ obtains information on the factors that influence results and on potentials for improvement, and identifies approaches that have proved effective.



GIZ RESULTS MODEL



The results model maps the entire change process in a sector and shows the entry points of a measure.

- Result
 - These boxes correspond to steps in the change process. They comprise:
 - intended positive results of the measure,
 - other changes / results required of actors outside the sphere of responsibility and
 - general conditions / external factors outside the sphere of responsibility.
- - These arrows represent hypotheses, i.e. assumptions about causal links between results.
- OBJECTIVE
 - This box contains the objective that has been negotiated and agreed with the partner and commissioning party.
- ACTIVITIES
INSTRUMENTS
 - These symbols show where we leverage our interventions (instruments, activities).
- Sphere of responsibility / cooperation with partner / system boundary

CONTENTS

FOREWORD

1.
RELEVANCE IS
STRONGEST;
SUSTAINABILITY IS
WEAKEST

The findings in
a nutshell

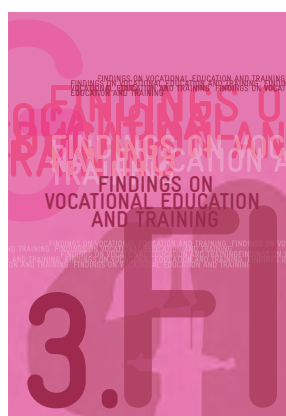
Page 6



2.
REDUCTION IN LOCAL
VIOLENCE – LITTLE
INFLUENCE ON
NATIONAL CONFLICTS

Crisis prevention
and peacebuilding

Page 10



3.
EFFECTIVE FOR
TARGET GROUPS –
SCOPE FOR EXPANSION
AT SYSTEM LEVEL

Vocational education
and training

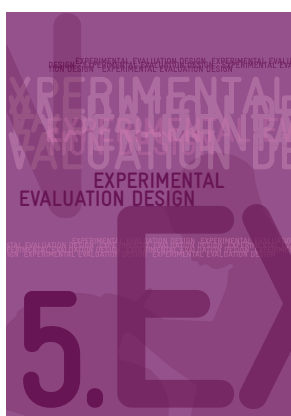
Page 17



4.
EFFECTIVE
INSTRUMENT FOR
SUSTAINABLE
DEVELOPMENT

Human Capacity
Development

Page 26



5. IDENTIFYING RESULTS MORE PRECISELY USING RANDOMISED CONTROLLED TRIALS

Pilot evaluation with experimental evaluation formats

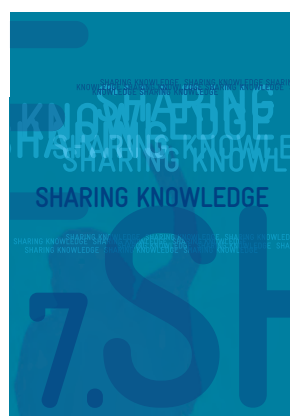
Page 33



6. EVALUATION ACCOMPLISHED – WHAT'S NEXT?

The conclusions GIZ has drawn from the findings

Page 37



7. OBJECTIVE: TO BECOME SYSTEMATICALLY WISER AND BETTER

How GIZ shares what it knows: internally – nationally – internationally

Page 45

8. 'SUSTAINABILITY STARTS AT HOME'

Interview with Martina Vahlhaus and Professor Helmut Asche

Page 50

9. A FOCAL POINT: SCALING UP RESULTS

Outlook

Page 54

FOREWORD

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DEAR READERS,

'The path opens up before you as you walk', says a Chinese proverb. This is an accurate description of the everyday challenge faced by the many projects and programmes that GIZ carries out with its partners in over 130 countries, on behalf of the German Federal Ministry for Economic Cooperation and Development (BMZ), other German federal ministries, and for public and private-sector clients.

New ideas are continually called for to find tailored and sustainable solutions to complex social issues. This takes a great deal of creativity and the courage to venture into new territory, while keeping an eye on what is feasible. In international cooperation, changes are rarely linear.

Be that as it may, our aim is to shape these changes to best effect, and evaluations are a fundamental part of these efforts. It is only if we know why something has worked well in one case but not in another that we can find the right path to sustainable development in similar situations in the future.

This may seem obvious enough, but it translates into a demanding task for an enterprise such as ours. To learn from successes and failures, we need an open learning culture that takes a constructive approach to errors, and learning processes that are mainstreamed throughout the company.

GIZ has laid the foundation for this with its Management Response System. Stakeholders come together at learning events and agree on measures to be implemented. Later on, GIZ analyses whether the agreements have actually been carried out, so that evaluations are effective and contribute to sustainable development. GIZ is also conducting its first corporate strategy evaluation on the subject of scaling up results. Corporate strategy evaluations examine how GIZ's policies and strategies are implemented and applied, and how they can be further developed. A second corporate strategy evaluation – this time on international cooperation in and with emerging countries – is also being prepared. Another aspect being examined is how Capacity WORKS, GIZ's management model for sustainable development, is being applied and how effective it is proving.

'To learn from successes and failures, we need an open learning culture that takes a constructive approach to errors, and learning processes that are mainstreamed throughout the company.'

Cornelia Richter



Efficient and targeted planning and monitoring instruments are needed if international cooperation projects and programmes are to achieve sustainable results. GIZ's new integrated results model, developed after the merger in 2011, is one such planning instrument. It was introduced early in 2012 and shows the factors that influence the success of change processes, and who is involved in them.

The new model draws a realistic picture of the progressive and interdependent results that are generated at many different levels, taking into account responsibilities, dependencies and risks. Continuous monitoring enables the responsible officers in projects and programmes to nip undesired developments in the bud and to explore new avenues.

The findings documented in this report prove that, in the 2010/2011 evaluation period, GIZ has once again succeeded in providing effective support for sustainable development in partner countries. These results show that we have made efficient use of the funds entrusted to us in cooperation with our partners. However, they also spur us on to focus even more closely in future on the needs of our commissioning parties, clients, partners and target groups in order to further enhance the effectiveness of our projects and programmes.

Yours sincerely,

A handwritten signature in black ink, appearing to read 'C. Richter', written over a light grey rectangular background.

Cornelia Richter
Managing Director

IN A NUTSHELL

1. IN A NUTSHELL

RELEVANCE IS STRONGEST; SUSTAINABILITY IS WEAKEST



The findings in a nutshell

Have the projects/programmes achieved their objectives? How efficiently were funds used for this purpose? And how sustainable are the results beyond the end of a development measure? It is the task of GIZ's monitoring and evaluation system to monitor, assess and evaluate results systematically and in line with international standards. The findings obtained allow GIZ as a federal enterprise to comply with its accountability obligations towards commissioning parties, partners and the general public. But that is not all. Using the findings and recommendations from evaluations, GIZ also continuously improves its services, from project to corporate level. This is how the Monitoring and Evaluation Unit contributes towards sustainable development.

Evaluations 2010/2011

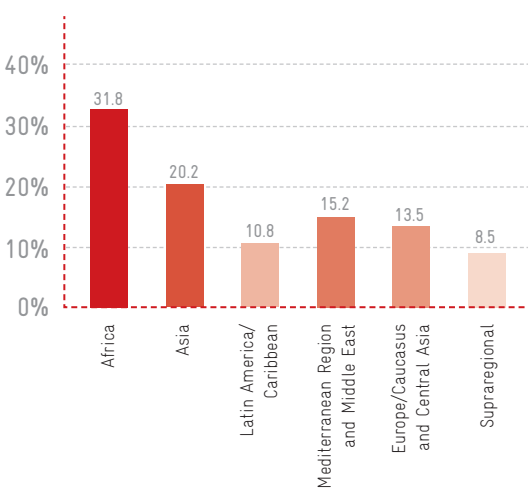
Evaluation instrument	n	%
DECENTRALISED EVALUATIONS	183	80.6
Project Progress Reviews (PPRs)	145	79.2
Other decentralised evaluations	38	20.8
CENTRAL INDEPENDENT EVALUATIONS	44	19.4
Ex-ante evaluations	2	4.5
Mid-term evaluations	12	27.3
Final evaluations	9	20.5
Ex-post evaluations	17	38.6
Cross-section evaluations	4	9.1
TOTAL	227	100

GIZ arranged for the evaluation of a total of 227 measures in the evaluation period 2010/2011. This included 183 decentralised evaluations across all sectors and subject areas that were arranged by the operational departments responsible for the projects or programmes. These evaluations are above all used to manage the measures, and in part to report to the commissioning party or client. 44 others were independent evaluations that were centrally commissioned by the Monitoring and Evaluation Unit and for which the unit was responsible. These are used for accountability purposes, and initiate company-wide learning processes. Independent evaluations focus on selected thematic priority areas. In 2010/2011, these were technical and vocational education and training, crisis prevention and peacebuilding, and human capacity development (HCD).

Special involvement in Africa

Evaluations were carried out in all regions. However, the regional distribution of the evaluations reflects GIZ's special engagement in Africa.

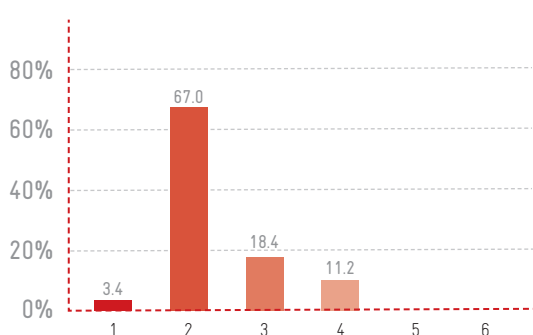
Regional distribution (in %)



Two thirds of the projects/programmes received good ratings

Seen as a whole, two thirds of the evaluated measures received a 'good rating, no significant defects'; 3.4% of projects/programmes even achieved a 'very good rating'. None of the projects/programmes was rated 'clearly inadequate' or 'useless'.

Overall rating (Average: 2.4)



Rating on a six-point scale:

- 1 very good rating
- 2 good rating, no significant defects
- 3 satisfactory rating; positive results predominate
- 4 unsatisfactory rating; negative results predominate despite identifiable positive results
- 5 clearly inadequate rating: despite several positive results, the negative results clearly predominate
- 6 the project/programme is useless, or the situation has deteriorated on balance

Sustainability rating on a four-point scale:

- 1 very good sustainability
- 2 good sustainability
- 3 satisfactory sustainability
- 4 inadequate sustainability

An overall rating of 1-3 shows that a project or programme was 'successful', a rating of 4-6 shows it was 'unsuccessful'. However, projects/programmes can only be rated as 'successful' if the direct results (effectiveness), indirect results (overarching development results, impact) and sustainability are rated at least 'satisfactory' (3).

Evaluation in line with international standards

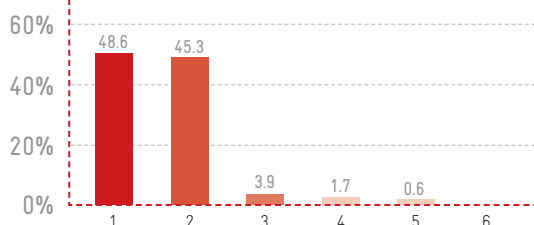
Projects/programmes are evaluated worldwide in line with uniform standards. The international donor community has agreed on these standards within the Development Assistance Committee (DAC) of the Organisation for Economic Cooperation and Development (OECD). The relevance, effectiveness, overarching development results (impact), efficiency and sustainability of the projects/programmes are examined in line with the DAC criteria.

The diagrams and calculated percentages shown only represent 179 of a total of 227 evaluations. The evaluations carried out by predecessor organisations, whose reporting grids did not contain any quantitative ratings of the DAC criteria, could not be included.

Best rating: Relevance – poorest rating: sustainability

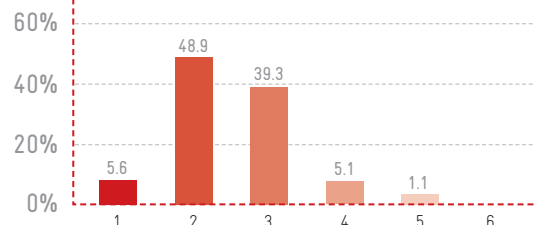
Of the five DAC criteria, relevance received the best average rating (1.6) in the 2010/2011 evaluation period. With an average of 2.6, sustainability received the poorest rating. It is worth noting, however, that sustainability is rated on a four-point rather than on a six-point scale like all the other criteria. All other criteria receive ratings of 1 to 6. The average rating of the other criteria (effectiveness, efficiency and impact) is 2.5.

Relevance
(Average: 1.6)



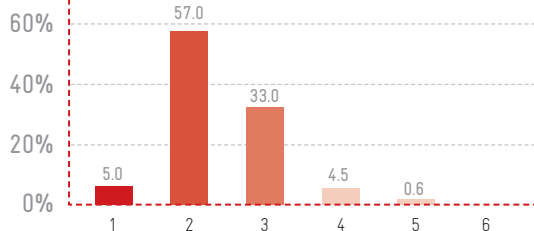
Almost half of the projects/programmes were rated 'very good'; another 45% or so were rated 'good'. Only a few projects/programmes were rated 'satisfactory' or 'unsatisfactory'. Only one project/programme was rated 'clearly inadequate'. The average ratings ranged from 1.4 (Mediterranean Region and Middle East) to 1.8 (Europe, Caucasus and Central Asia).

Overarching development results (impact)
(Average: 2.5)



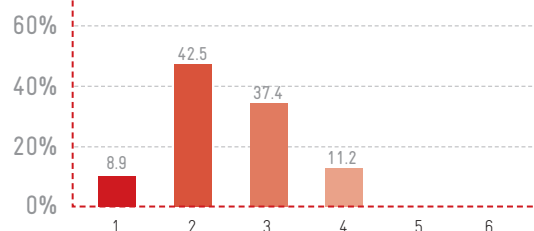
Almost half of the projects/programmes received a 'good' rating for indirect results (i.e. overarching development results = impact); roughly 40% were rated 'satisfactory'. Ten projects/programmes were classed as 'very good', nine as 'unsatisfactory' and one was considered 'clearly inadequate'. The average ratings ranged from 2.3 (Africa) to 2.6 (Asia and Latin America/Caribbean).

Effectiveness
(Average: 2.4)



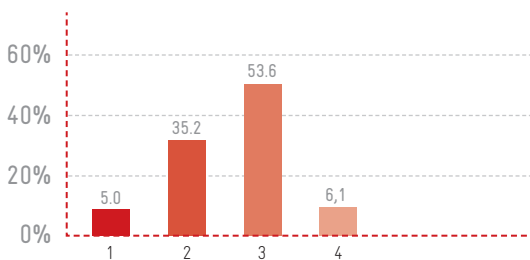
The distribution of ratings for direct results (effectiveness) shows a more differentiated picture. The majority of the evaluated projects/programmes were rated 'good', followed by 'satisfactory'. Nine projects/programmes were 'very good', four 'unsatisfactory' and one 'clearly inadequate'. There were no major differences in the regions. The ratings ranged from 2.3 to 2.5.

Efficiency
(Average: 2.5)



Of all the five DAC criteria, the efficiency rating is distributed most widely across the six-point scale. Roughly 9% of projects/programmes proved to be 'very good', but some 11% were 'unsatisfactory'. Approx. 43% were rated 'good' and 37% 'satisfactory'. Projects whose results targeted several countries in a region or were designed on a global scale received the best rating (2.1). The poorest rating (2.8) was given for the efficiency of projects in Latin America/Caribbean.

Sustainability (Average: 2.6)



Only a little over third of the projects/programmes received a good sustainability rating. The majority only received a 'satisfactory' rating. The picture here is similar to that for efficiency. Projects whose results targeted several countries in a region or were designed on a global scale received the best rating (2.3). The poorest rating (2.8) was given for the sustainability of projects in Latin America/Caribbean.

Qualitative evaluation of the thematic priority areas

Sustainability also plays a key role in the qualitative assessment of the priority themes evaluated in 2010/2011: technical and vocational education and training, crisis prevention and peacebuilding, and human capacity development. Among the most important findings of these independent evaluations is how sustainability can be strengthened at the planning stage, which positive and negative factors influence it, and which recommendations can be identified for future projects/programmes. The following sections examine in greater detail the findings, results and recommendations related to these three thematic priority areas.

Interplay of forces for greater sustainability

The interview with Martina Vahlhaus, Director of GIZ's Monitoring and Evaluation Unit, and Prof. Helmut Asche, Director of the German Institute for Development Evaluation (DEval), also addresses the subject of how evaluation in general can help achieve greater sustainability. See Section 8 on page 50.

The bigger picture

Developed in 2011: The GIZ results model

Without a clear idea of how sustainable results are achieved, who is involved and which factors may influence success, effectiveness can neither be efficiently achieved nor measured. This kind of results model is the basis for proving whether or not a project/programme has been successful upon its conclusion, for identifying positive and negative influencing factors and for demonstrating results.

The evaluation findings for 2010/2011 are still based on the different results models of GIZ's predecessor organisations. GIZ developed an integrated results model after the merger in 2011. The model was introduced in 2012 and has a stronger focus on effectiveness. Whereas the previous models were based on a linear results chain (where input leads to impact via output and outcome), the new model presents the progressive and causally interdependent results that are generated at many different levels. It also takes into account responsibilities, cooperation with various actors, assumptions and risks. With this systemic approach, GIZ's integrated results model now comes closer to representing the real picture. It captures the complex web of relationships in which all international cooperation interventions are embedded.

The results model supports dialogue with partners, commissioning parties and clients when planning and implementing projects/programmes. This fosters a joint understanding of the objective and how to achieve it. In this process, it becomes clear which strategies, instruments and activities are used, which other actors are involved and which overall conditions and risks may influence achievement of the objective.



Richard Hummelbrunner, partner and consultant
at ÖAR Regionalberatung

'By presenting results in the form of a results framework, the individual elements can be placed clearly in relation to each other. This helps to show the broader causal relationships between results, which reflect the prevailing conditions in cooperation systems and the modern architecture of international cooperation. With its simplified terminology, the model can be used with different partners and clients, so as to negotiate objectives or inputs and monitor their effectiveness. This flexibility and compatibility with other systems may help to safeguard or enhance the quality and effectiveness of services in the field of international cooperation.'

FINDINGS

FINDINGS ON CRISIS PREVENTION AND PEACEBUILDING

2.

Conflict situations are shaped by highly dynamic developments in the prevailing political conditions, over which projects and programmes have no influence. They therefore need clear orientation and enough flexibility to make use of existing opportunities.

Manuela Leonhardt, Peace and Development Consultant

REDUCTION IN LOCAL VIOLENCE – LITTLE INFLUENCE ON NATIONAL CONFLICTS

Crisis prevention and peacebuilding



Today's peacebuilding projects and programmes deal with a broad range of subject areas, from preventing violence and coming to terms with the past, through to promoting democracy and judicial reform, reducing poverty and developing the regional economy. On behalf of BMZ, GIZ's Monitoring and Evaluation Unit arranged for an independent evaluation synthesis of eight crisis prevention and peacebuilding projects/programmes in 2010/11. Two sub-components of a German Federal Foreign Office project were also evaluated, and a database was developed on behalf of BMZ that documents the German contribution in Afghanistan.

Findings of the evaluation synthesis

The evaluations show that all crisis prevention and peacebuilding programmes helped reduce violence, promote peaceful coexistence and improve the living conditions of the local population. The projects/programmes were mainly designed to achieve results at the local, individual and institutional level. Overall, the evaluation synthesis concludes that this was achieved.

Successful: a combination of economic and social measures

Many projects/programmes successfully combine economic and social measures in order to stabilise (post-) conflict regions. The programmes show, however, that poverty reduction alone has little influence on the underlying structural violence (e.g. expulsion or marginalisation) that

leads to political and social inequality. Particularly when it comes to reintegrating ex-combatants into society, the most successful approaches have proved to be those that offer a wide range of psychosocial, social, cultural and economic services to the entire population of a community or region affected by the conflict. Joint attendance at training events and jointly organised village projects, along with social and cultural activities, promote mutual trust and give rise to a new, functioning community. At community level, it has proved highly successful to combine income-creation measures, vocational training, dialogue and reconciliation activities with psychosocial support for people still suffering from the aftermath of conflict in post-conflict situations. Approaches of a purely economic or psychosocial nature have proved less effective.

Contribution to inner peace, reconciliation and reconstruction

Crisis prevention and peacebuilding

'Ex-combatants are reintegrated into civilian life and live in peaceful coexistence with the population in the areas where they are resettled' – this was the clear objective of the GIZ/KfW cooperation project for the reintegration of ex-combatants in Sierra Leone (RECOM). The findings of the independent ex-post evaluation are gratifying: the project helped to secure inner peace, reconcile the social groups involved and rebuild the regions particularly hard hit by civil war.

Five years after completion of the project, the evaluation therefore gave it an overall rating of 'good'. Almost 90% of the ex-combatants and civilians trained by the project still lived in the guest communities and were integrated into social and economic life. The original objective was to reintegrate 75% of trainees. This emphasised the importance of vocational training as a means of reducing social conflicts and the propensity to resort to violence. The communities confirmed that good personal relationships continued to exist between ex-combatants and the civil population.

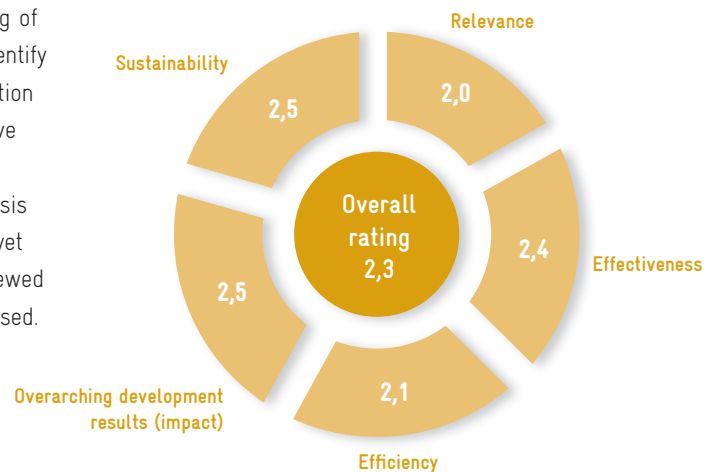
Proven but not yet mainstreamed: use of conflict-sensitive instruments

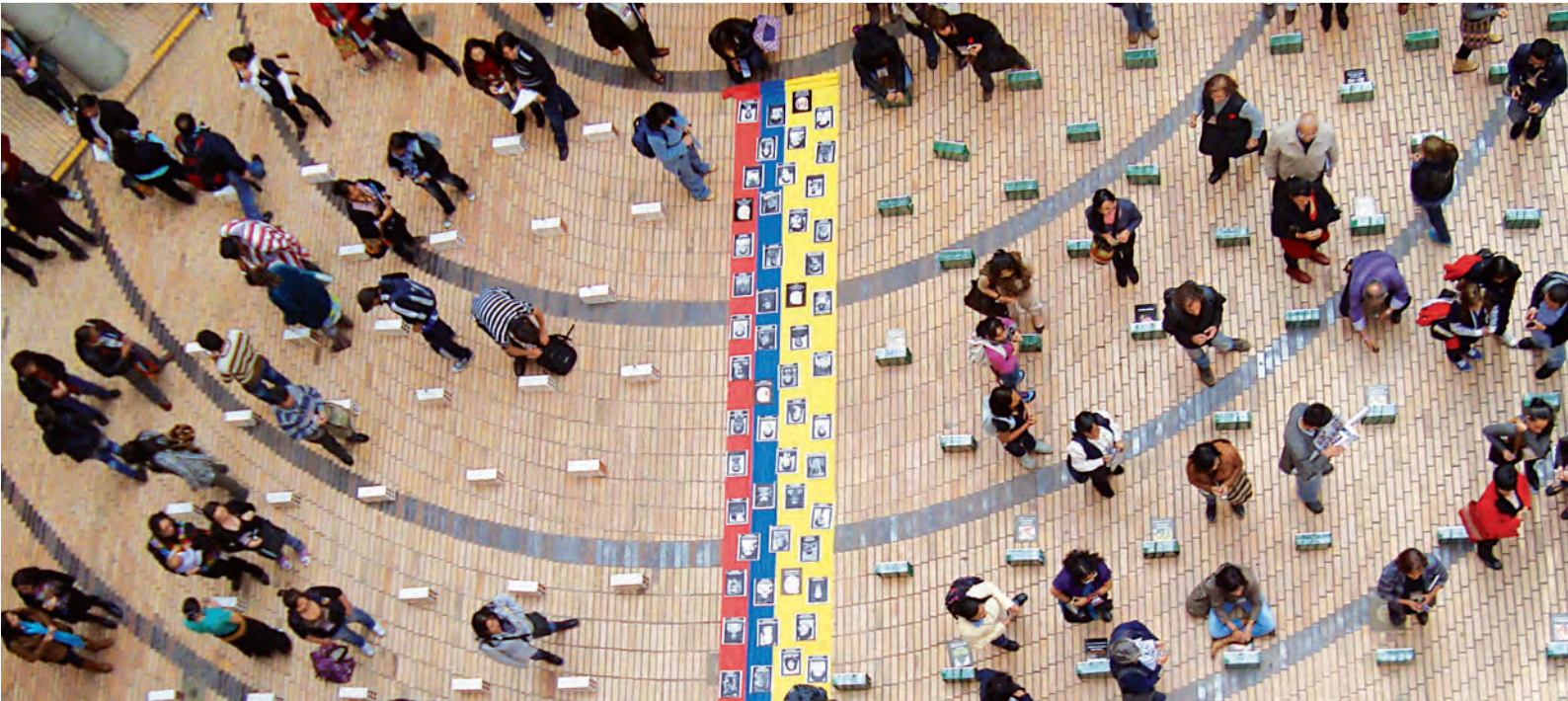
Methods and instruments for the conflict-sensitive planning and implementation of projects/programmes have proved useful in work with partners and target groups. Projects/programmes that make use of conflict analyses to identify the requirements for peacebuilding measures show much better strategic orientation and relevance. Integrated monitoring of the project environment allowed projects to identify political and institutional risks for implementation and to react at an early stage. Conflict-sensitive results monitoring improved the results of the projects and programmes. However, the synthesis also showed that these instruments were not yet systematically mainstreamed in all of the reviewed projects/programmes and were not regularly used.

Despite good design: the intended degree of sustainability was not achieved

The projects and programmes scored high on relevance and efficiency – proof of the sound quality of their design and implementation. However, the ratings for effectiveness, overarching development results (impact) and sustainability were less positive. Even if the projects/programmes achieved good results at local level, they were often unable to change existing power structures. They also had almost no influence on the dynamics of conflict at national level. This is due on the one hand to the restricted scope for action that the projects/programmes have, but also, in view of the fragile political situations, to overly ambitious objectives and a lack of will to reform. Measures were only able to contribute to national peace processes in isolated cases, such as the trials of war criminals in Guatemala, which were based on circumstantial evidence.

Despite good design, careful planning and efficient project management, it has therefore not been possible to achieve the desired results to the intended degree and with the intended level of sustainability. Nevertheless, the projects/programmes were rated as 'successful' overall, with an average of 2.3 (where 1 is the top rating and 6 the lowest).





Peacebuilding by Promoting Cooperation between Government and Civil Society: remembrance ritual as part of the 4th International Seminar on Non-Violence in Bogotá, Colombia

Key findings and recommendations

Even more than in other sectors, the political setting crucially determines how likely crisis prevention and peacebuilding projects/programmes are to succeed. That also means they must be able to adjust to swiftly changing conditions in order to retain their development-policy relevance and harness special opportunities for change. This calls for a differentiated approach, clear political steering, a large measure of flexibility and process orientation during implementation, and the willingness to become involved despite a high level of risk. Another prerequisite is to more clearly define the requirements to be met by experts, to systematically prepare them for their work and to make it mandatory to follow the technical and methodological instructions for working in countries affected by crisis. Working in contexts of conflict and violence poses special challenges in terms of analysis, strategy, management,

human resource management and risk and security management.

Clear and realistic objectives are a must

Have the political framework conditions in the partner country been correctly assessed? Do they offer scope for change? Has a clear distinction been made between the political objectives of clients, which are often highly ambitious, and the specific project objectives? Objectives and indicators need to be formulated more realistically and precisely to enable better measurement of the results achieved by crisis prevention and peacebuilding projects/programmes. Vaguely worded objectives ('successful integration', 'peaceful coexistence' or 'greater participation by the people') like those used by some of the projects/programmes are not very useful for rating results later on. The same is true when the objectives are too ambitious and refer for example to the national peace process, although the project or programme in question can only influence the local level.



Guatemala Peace Process Support Programme: training police officers

Peace and conflict assessments look at the relationships between all previously available individual methods for the conflict-sensitive planning and steering of projects/programmes, and make systematic use of them. These methods include risk assessment, monitoring of the project environment and results monitoring.

The 'do-no-harm' approach is used to develop methods that enable assessment of the positive or negative consequences of an organisation's own actions.

Improving long-term results through networking

Peacebuilding results at macro level can only be achieved in cooperation with like-minded actors, i.e. other donors and national partners. In the field of crisis prevention and peacebuilding in particular, the sustainability of projects and programmes largely depends on whether reform initiatives receive institutional support. Incorporating peace measures into national programmes at an early stage, or attaching them to strong partners improves the long-term development results of such projects and programmes. The synthesis report therefore recommends that we continue to rely on a diversified partner structure, involve governmental and civil society actors, and coordinate German contributions to a greater extent with national programmes and the contributions of other donors.

More systematic use of conflict-sensitive instruments

The evaluation showed that projects/programmes achieved better results when conflict-sensitive instruments were used, both during project planning and when working with partners and target

groups. These instruments make it possible to substantially reduce delays or conflicts when conducting project measures. Methods and instruments for supporting conflict- and context-sensitive design, in particular **peace and conflict assessment and the do-no-harm approach**, must therefore be used more consistently when planning and implementing projects and programmes. To begin with, that includes systematic context analysis at national, sectoral and regional level first and foremost.

Conclusions: clarify expectations and possibilities

In order to realistically formulate the anticipated results of a project/programme, there has to be a clear understanding of the level at which action should, and especially can, be taken. That calls for a clear idea of what the relevant commissioning party or client expects. On the other hand, in its offers to the commissioning party or client, GIZ must spell out more specifically where the opportunities for and limits to its work in (post-) conflict countries lie. This is based on comprehensive conflict analyses in the programme planning phase.

'Tangible improvements'

Partial evaluation of the programme **Strengthening the Capacity of Police Structures in Africa**

On behalf of the German Federal Foreign Office, GIZ is supporting African states with the process of establishing a citizen-friendly police force in accordance with the rule of law. The Federal Foreign Office programme **Strengthening the Capacity of Police Structures in Africa**, launched in 2009, consists of 12 components. The Monitoring and Evaluation Unit has had two of these evaluated in agreement with the Federal Foreign Office. The component **Strengthening the Capacity of the Police in Burundi** received a 'good' rating; the component **Supporting the Development of the Police Component of the African Union's African Standby Force ASF** was rated 'satisfactory'.

Strengthening the capacity of the police in Burundi

The objective of the evaluated component was to set up a police force in Burundi that works effectively while respecting human rights. To create the necessary conditions, the component focused on building and equipping police stations, running training courses for policemen and -women, devising an equal opportunities strategy and, as a pilot measure, setting up a citizen-responsive police unit in a community.

The evaluation showed that the component tangibly improved the working conditions and deployability of the local police by focusing on the local level. The relevance, efficiency and effectiveness of the component were high. This was obvious not just in the pilot community, where a trusting relationship has grown between the local people and the police. It can also be felt in the attitude of individual police officers to their work and in the growing self-confidence of policewomen. There was room for improvement in terms of sustainability. Owing to its limited resources, it was recommended that the component, should it be continued in a new phase, be more strongly involved in an overarching strategy to reform the entire police force in Burundi.

Supporting the development of the police component of the African Standby Force

The project objective was to put in place the required organisational structures and human resources for African police officers, to successfully handle policing tasks within the framework of African peace missions. A well-functioning police unit within the ASF can do a great deal to foster the more peaceful coexistence of people in post-conflict countries. This objective has been achieved to a 'satisfactory' extent.

The evaluators saw scope for improvement in the coordination mechanisms between the AU and the Economic Community of West African States (ECOWAS), which are jointly responsible for deploying the ASF in West Africa. It is recommended that selection procedures for police officers in peace missions be regulated throughout the AU, that joint training standards be introduced, and that staff receive standardised training for various functions. Greater attention should also be paid to gender issues.

The African Standby Force (ASF) is composed of civilian, police and military units. The African Union (AU) and the African regional economic communities (in this case ECOWAS) are establishing ASF as a joint standby force. ASF is to be ready for deployment in 2015, with five regional standby contingents in North, West, Central, Southern and East Africa.

The Burundi National Police is composed of a very heterogeneous mix of former combatants in the parties to the civil war. Their integration and training is one of the challenges involved in establishing a well-functioning police force based on the rule of law. A further challenge lies in the lack of corresponding legislation, efficient organisational structures, infrastructure and equipment.



Strengthening the capacity of police structures in Africa: policewomen like this officer in Burundi have become much more self-confident.



Participants at a workshop in Kunduz learn how to input data into the Afghanistan tracking system.

Tracking system for Afghanistan GIZ database documents German support in Afghanistan

Since 2002, the German Government has invested over EUR 1.9 billion in Afghanistan's reconstruction and development. Around 1,950 experts, including over 300 seconded staff, are currently working in the country. Annual support to the civilian population was increased to EUR 430 million for the period 2010 to 2013. Over two thirds of the funds are used in northern Afghanistan: for sustainable economic development; energy and drinking water supply; health; primary, vocational and tertiary education; culture; supporting the development of police structures; good governance and the rule of law.

What are the objectives of German engagement in Afghanistan? Are they being achieved, and are the necessary funds being used efficiently? To support the German Government in its reporting to parliament and the general public, GIZ has developed the 'Afghanistan Tracking System' under

the aegis of BMZ. The internet-based database gives an overview of the entire German contribution to Afghanistan's reconstruction and development since 2009, and since 2002 for the development of police structures. Apart from BMZ projects/programmes, this mainly includes the projects of the Federal Foreign Office, the Federal Ministry of the Interior and the Federal Ministry of Defence, as well as those of the Federal Ministry of Food, Agriculture and Consumer Protection. The new monitoring system systematically collects information on the master data, services and results of the projects and programmes, and enables their comparison. This means that the information can be analysed across projects, organisations and ministries. The data are processed and provided to the German Government every six months.

Example: Findings on the development of police structures

- › From 2009 to 2012, 12,694 policemen and 166 policewomen acquired basic reading and writing skills in long-term literacy courses. Another 6,232 policemen and 18 policewomen took part in short-term literacy courses.
- › Some 57,000 police officers, including more than 1,000 police instructors, have received training since January 2002 through the German Police Project Team. The training courses included instruction in the practical and legal principles of police action, and train-the-trainer measures.
- › Since 2002, support has been provided to set up a variety of infrastructure that is relevant to policing. This included the building of over 1,000 checkpoints, 16 police stations, three new police headquarters, renovation of one police headquarters and the construction of security walls. Support was also given for the construction of three German police training centres, a drug laboratory for the Counter Narcotics Police of Afghanistan and a kindergarten in the accommodation for female police academy recruits.

FINDINGS ON VOCATIONAL EDUCATION AND TRAINING

Projects that aim to introduce system-changing innovations must examine very closely whether these are compatible with existing structures. If this is not the case, a dual vocational training system that is too closely aligned with the German model will be rejected as a 'foreign body'.

Prof. Reinhard Stockmann, Chair for Sociology at Saarland University and head of the Center for Evaluation

EFFECTIVE FOR TARGET GROUPS – SCOPE FOR EXPANSION AT SYSTEM LEVEL



Vocational education and training

In 2010/2011, the Monitoring and Evaluation Unit focused its activities on the subject area of vocational education and training on behalf of BMZ. For this purpose, the findings of 12 independent evaluations were compiled into an evaluation synthesis. In addition, a meta-evaluation comprising 13 other evaluation reports from GIZ's predecessor organisations analysed the overarching findings that could be identified from the individual evaluations and applied to future vocational education and training projects/programmes.

Findings of the evaluation synthesis

The major objective of nine of the evaluated projects/programmes was to adjust vocational education and training in the partner countries to the needs of industry and the labour market. The support provided was also intended to improve the infrastructure and organisation of training institutions, provide further training to teaching and management staff and promote organisational development. Three of the projects/programmes had a more restricted focus in that they only promoted a single institution and were geared primarily to trainees and staff members interested in obtaining further qualifications.

Tailored to target groups und labour markets

Overall, the projects/programmes were found to have high relevance (2.17) and good effectiveness (2.33) among direct beneficiaries. This was mainly because the teaching methods and content of the vocational training programmes

were specifically tailored to the experience and background of trainees. The training offered was also geared to labour market requirements and was in demand. This strong practical relevance, the modular course system and the balanced selection of participants according to age, gender and regional origin received an especially positive rating.

Course participants, training institutions and companies alike praised the flexible adjustment of the programmes to their needs. At the training institutions, this mainly involved improving teaching standards and organisational management. At companies, the focus was on technical teaching content that was designed to boost the companies' productivity and competitiveness, but also correspond to the technical level in the region. A healthy degree of flexibility, which made it possible to react to changing requirements or deviations from project design, and highly fruitful cooperation with German companies and training

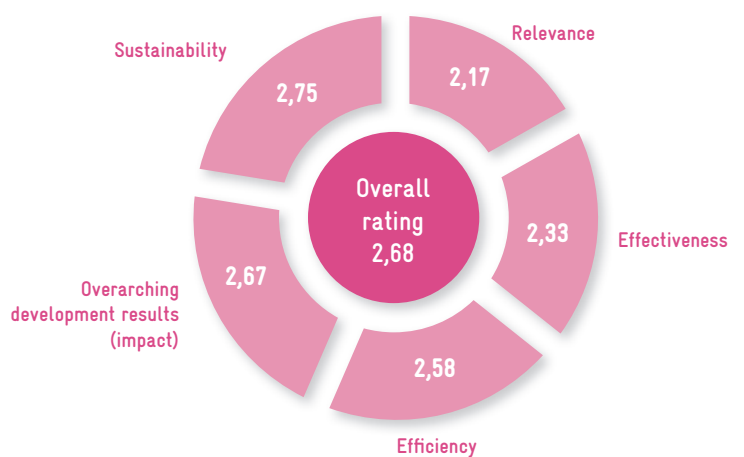


Post-tsunami reconstruction in Indonesia: trainee agricultural assistants grow pepper plants in the nursery of the new vocational training centre in Banda Aceh.

institutions, which fostered the transfer of expertise, were very conducive to good effectiveness.

Involvement of the private sector proved conducive

The fact that the private sector and business associations were involved in designing the measures, and particularly in devising the teaching content, did a great deal to ensure that the projects/programmes were able to achieve their direct objectives to the extent that they did. As the evaluation findings confirm, this also made companies more willing to take on graduates from the supported training institutions.



Good to satisfactory use of resources

In all, the vocational education and training projects/programmes received 'good to satisfactory' efficiency ratings (2.58). The major factor that influenced efficiency proved to be whether a project or programme was coordinated with the inputs of other actors and designed to complement their inputs. The synergy effects in cooperation with KfW and the use of existing contacts and expertise, the systematic transfer of knowledge from other projects/programmes, and linkages to existing projects/programmes with follow-on measures, were all positively highlighted.

Efficient: ensuring financial viability

External fund-raising, e.g. from the government or other donors, proved to be a key factor for greater efficiency at the supported institutions. If the measures were designed to be self-reliant or to generate a surplus (for example, to maintain technical equipment), this not only enhanced

their efficiency, it also promoted the sustainability of their results. This only held true, though, if the partner institutions were closely involved in designing the measure and had received business skills training.

Effective: only if the private sector benefits

Do the improved vocational qualifications provide economic benefit? The answer to this question is one of the key factors of success – or failure when it comes to achieving overarching development results in vocational education and training measures. Specifically, this means that improved qualifications and employability do not in themselves enhance a company's economic efficiency and increase the employment rate and income of the target groups as a result. The economic situation of the target groups was only stabilised when companies were able to substantially boost their productivity and competitiveness to a significant degree by providing their employees with further training or by recruiting new, qualified staff from the training courses that received support. Since the general economic and labour market situation also determines whether or not a graduate can earn a higher income, flanking measures are needed to support labour market and private sector development, in order to achieve such overarching development objectives.

Detrimental: limited scope of projects/ programmes

To initiate changes within society as a whole, projects/programmes must have the requisite scope to make them relevant beyond the individual region. If too few institutions received support or these were not sufficiently networked, this was detrimental to the achievement of overarching development results. A further impediment was the failure to reach binding agreements with strategic partners and lead executing agencies on how the new concepts could be mainstreamed and the relevant legal frameworks created.



Post-tsunami reconstruction in Indonesia: training for precision mechanics at the new vocational training centre in Banda Aceh

The crucial factor: voluntary commitment by partners

Sustainability received the poorest average rating (2.75), with the exception of two programmes in Brazil and China, where the durable positive results beyond the end of assistance were rated 'very good'. Summing up, the crucial factor for the sustainability rating was the level of commitment and motivation of key actors, as well as their ability to continue with the innovations that had been introduced, to develop them further and embed them in the teaching curriculum across organisations. Sustainable results were impaired by high staff fluctuation among partners, unstable cooperation arrangements with the private sector and the inadequate national or transnational status of the supported institutions.

Need to convince policy-makers

The evaluation synthesis pointed out that it was essential to certify new initial and continuing training programmes, and to 'sell' training concepts to policy-makers, in order to achieve structural changes at the system level. It comes as no surprise that unstable political, social and economic conditions and conflicts between lead executing agencies and their implementing



Vocational training centre in Banda Aceh: the laboratory technician course is very popular.

organisations were found to be extremely detrimental to the sustainability of projects/programmes. That was also the case when partners focused too strongly on donor concepts, and the approach of the intervention was not compatible with the partner country's vocational training system. Although this led to very effective solutions in isolated cases, these had no broad impact and could not be replicated because they did not meet national regulations and conditions.

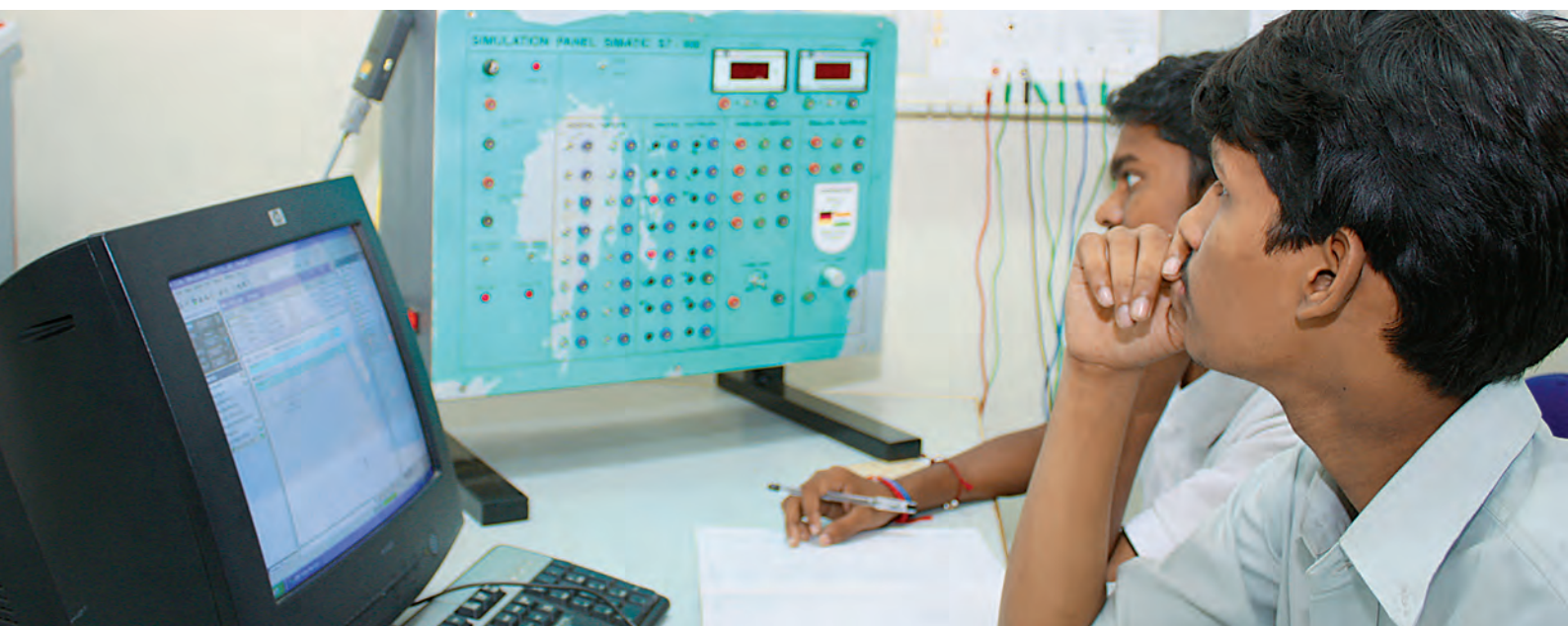
'More to offer now than at the end of the project'

Brazilian vocational training project TecnoTrans

The evaluation highlighted the remarkably high sustainability of the TecnoTrans project, even six years after its completion. The aim was to support the National Service for Industrial Apprenticeship (SENAI) in setting up a range of technical services that were intended to help medium-sized industrial enterprises modernise their operations and make them more competitive.

After support drew to a close, these services not only became firmly embedded at the three SENAI centres. Through intensive exchanges with various Fraunhofer Institutes in Germany, it has been possible to set up a self-supporting system of applied research, in order to solve specific problems faced by companies. This acts as a model across the country. Two of the three SENAI centres have acquired the status of university faculties where theory and practice are closely interwoven.

The ex-post evaluation therefore rated the sustainability of these services as 'very good' because 'SENAI succeeded in picking up almost all of the proposals made by TecnoTrans and developing them on its own initiative. Today, it has more to offer than at the end of the development measure'.



Indo-German Institute for Advanced Technology at Vishakhapatnam in India: students learn about programmable logic controllers.

Key findings and recommendations of the meta-evaluation

See examples on pages 24 and 25.

In an additional meta-evaluation, the findings of the evaluation synthesis and the findings of other evaluations of vocational education and training were used for overarching analysis. Such meta-evaluations aim to question the familiar data so as to identify new aspects, establish findings and make recommendations that point beyond the summarised knowledge of the evaluation synthesis. A new aspect of the assessment was whether and to what extent conceptual changes took place at the projects and programmes reviewed, and to what extent this led to more effective and sustainable results

Modest ambitions led to greater sustainability

As the meta-evaluation shows, the **conceptual requirements** to be met by vocational training projects have risen sharply compared with evaluation findings from the 1990s. In the period under review, greater emphasis was placed on aspects such as poverty reduction, gender, economic development, market economy, public-

private partnership and linkage with labour market instruments. However, the **meta-evaluation** also found that modest ambitions led to greater sustainability. Projects that promoted institutions achieved greater sustainability than those that were broad-based and designed to achieve systemic change.

Need for sufficient resources and long-term engagement

Since most of the projects/programmes did little to train multipliers, effectiveness in terms of fostering employment was mainly limited to direct beneficiaries. Results at the overarching system level lagged behind expectations. This was mainly because most projects/programmes did not give enough consideration to strategic political actors and institutions at the system level. Instead, they focused on providing direct support to training institutions and trainees.

Vocational training is intended to support economic reforms and help to develop the market economy at different levels in partner countries (sustainable economic development). More intensive cooperation with the private sector, more extensive networking and closer alignment with the labour market are designed to build the operational capabilities of partner organisations and achieve broad impact.

To achieve results at the level of systems, participatory processes should be used to involve private sector and political stakeholders more strongly in programme design and implementation, since these actors have a major influence on the effectiveness and sustainability of the measures. Equally, measures that are meant to influence the system level, such as advisory services related to policy, strategy and legislation, should be given greater priority when designing programmes. The recommendation is therefore that projects with such ambitious objectives should only be commenced when sufficient resources are available and long-term engagement is envisaged – if necessary, over decades.

Greater involvement of informal sector to reduce poverty

With regard to poverty reduction and the creation of employment opportunities, the meta-evaluation detected a 'gap between development objectives and realities' in most of the reviewed vocational training projects. Very rarely were the projects really directed towards the poorest sections of the population, in part due to a lack of interest among partners. They also rarely addressed the informal sector, where results in terms of poverty reduction are most likely to be achieved.

It was therefore recommended that the informal training and labour market be involved to a greater degree in designing vocational training projects/programmes, and to focus measures on those target groups that are excluded from the training market. Therefore, the conclusion reached in the meta-evaluation was that the measures should not only be directed mainly at training institutions, but also at organisations and institutions that work with these target groups.

With the exception of Bulgaria: involve more women in training measures

The projects/programmes reviewed in 2010/2011 also did little to address the employment concerns of women. Most vocational training projects focus on classical male occupations in the manufacturing industry. Only the findings of the Bulgarian project to promote adult vocational training and employment do not follow this trend. Here, more women than men now take part in the measures and the poor population also has verifiably better access to adult vocational training. Thus, in 2009 and 2010, the proportion of unemployed people among the participants of such training measures rose to over 50%. At least 60% of people who were previously unemployed also found a job within six months of completing the measure.

If women are to benefit more from vocational education and training projects/programmes, another recommendation is to give greater consideration to gender aspects when performing needs analyses. Women themselves should also play a greater part in designing the measures. The prevailing sociocultural setting also needs to be studied more closely to see how it is reflected, for example, in traditional role models, and should be taken into account when designing the measures.



Vocational training in the Philippines: trainee cooks in the teaching kitchen of Punlaan School in Manila

No results at the system level

The German contribution to the vocational training system in the Philippines

What impact has the overall German contribution had on the vocational training system in the Philippines? To find that out, GIZ arranged for a joint evaluation of the vocational training projects/programmes conducted by its predecessor organisations and KfW from 1996 to 2007. Since the measures were independently planned and implemented, the evaluation was designed on a correspondingly complex scale.

What all the measures had in common was the objective of introducing dual vocational training courses, or courses modelled on the dual vocational training system, to improve the employment situation of vocational college graduates and increase productivity in the industrial sector. The intention was for vocational training institutions to act as multipliers and share their newly gained knowledge with other institutions.

Since some of the training courses introduced differed widely from the dual vocational training concept in terms of their key characteristics (e.g. duration, inputs by cooperating companies), we use the term 'modelled on the dual vocational training system' here.

Too little sustainability despite good results

The overall rating of the 10 reviewed programmes and clusters of measures was 'unsatisfactory' (4), although the performance capacity of the vocational colleges had been significantly increased, the employability of graduates had been clearly enhanced, and the programmes were cost-efficient. The crucial factors determining this rating were that the new knowledge had not been passed on to other training institutions to a sufficient degree, and that the development measures lacked sustainability. They had not succeeded in introducing dual vocational training courses (or courses modelled on this system) throughout the country, in reducing unemployment or in boosting the productivity of the industrial sector.

Detrimental to success: a purely top-down approach

In the evaluation team's view, this is due on the one hand to a lack of support from the national education authority, and on the other to the low level of interest among training institutions in passing on their expertise. One of the findings of the joint evaluation was therefore that when selecting the right partners in the future, emphasis should be placed on private sector companies and their interest groups and networks that have a vested interest in achieving benefits for the entire vocational training system, not just for their own institution. The key to success is for partners to stop looking to donors for guidance and to develop their own needs-driven strategy.

Partner institutions must be efficiently networked

When selecting partner training institutions, more attention must be paid to how well they are networked with other institutions or with an umbrella institution. This determines to a large extent how they can carry out their role as multipliers.

Extremely positive broad impact

Sino-German cooperative project in the printing industry

'Very good' – the rating for the sustainability of the cooperative project Sino-German Printing Technology Training Centre (CDAD) in the People's Republic of China could not have been better. In 2010, three years after the end of the project, the centre – which was built from scratch in 1998 with GIZ assistance and supported for nine years – was co-operating with over 250 Chinese print shops. This is proof indeed of its extremely positive broad impact.

Evolved into a vocational college

Sino-German cooperation aimed to improve the quality of initial and continuing training for experts in the printing industry in the Chinese province of Anhui, and to respond appropriately to the growing demand for well-trained experts. This objective was achieved with flying colours. The Sino-German training centre has since evolved into a vocational college in the Chinese style, and now offers a broad range of high-quality training courses in printing professions and occupations. Since 2008, the number of students and teaching staff has grown. A third of the teaching staff received their initial and continuing training in Germany.

Thanks to financial cooperation with KfW Development Bank, which complemented the GIZ project during the last third of its term, CDAD can base its teaching on cutting-edge technology using the latest heavy-duty printing machinery from German manufacturers.

Reliable support from government authorities

Overall, the ex-post evaluation gives the project virtually all-round good marks for the DAC criteria: the rating is 'good' both in terms of relevance and of overarching development results (impact). For one thing, the project correctly recognised the development trends in the Chinese market, and was able to rely on support from the responsible government authorities. For another, the graduates of CDAD found decent jobs earning an adequate income. The print shops, in turn, were able to increase sales due to their quality, and improve competitiveness.

Unusually high share of costs borne by China

The team of evaluators also rated the project's efficiency as 'good': at 43%, the contribution made by the Chinese partner to the overall costs was 'unusually high'. Only the criterion 'effectiveness' was rated as just 'satisfactory' because the degree of practical learning in the training courses was still lacking. However, this caveat did nothing to change the overall rating of 'good'. The team of evaluators was convinced that 'the positive results achieved will continue or even increase with a high degree of probability'.

Key sustainability factors

The meta-evaluation identified four key factors:

› System compatibility and flexibility

If a project does not bear in mind the political, cultural, social and economic framework conditions, it cannot be systemically mainstreamed and consequently cannot achieve sustainable results. Nor can it be expected to have broad impact. This also means that a project has to be designed so that it can adapt flexibly to general conditions

› Ownership and trained and motivated staff

Ownership is another essential success factor for every project. This means the key actors must fully agree on its implementation, as well as on its vision and strategy and the measures to be taken.

In the long term, the services necessary to ensure sustainability can only be provided with committed, well-trained and motivated staff who are convinced by the programme's vision and strategy for change.

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Human capacity development very successfully integrates educational methods and modern teaching approaches. This makes it a unique instrument in the donor community. The soft skills transferred in this way are applied in an exemplary manner and are held in high regard

Prof. Alexandra Caspari, Professorship for Evaluation Research,
Methods of Empirical Social Research and Statistics, Frankfurt am Main
University of Applied Sciences

EFFECTIVE INSTRUMENT FOR SUSTAINABLE DEVELOPMENT

Human capacity development



The GIZ human capacity development (HCD) instrument aims to strengthen the operational capabilities and management skills of experts and managers. Measures such as initial and continuing training, dialogue and networking are designed to empower these experts and managers to initiate development processes on their own responsibility or to advance existing processes. In 2011, the Monitoring and Evaluation Unit arranged for an evaluation synthesis of 22 decentralised evaluations and a tracer study from 2010, on behalf of BMZ. The aim was to identify factors that influence results beyond individual programmes. Four strategically selected independent evaluations were commissioned, again on behalf of BMZ.

Findings of the evaluation synthesis

The conclusion of the evaluation synthesis is gratifying: human capacity development measures are achieving extremely good results. Almost all of the programmes received very good ratings, especially for the DAC criterion 'relevance'. Only one of the 23 evaluations received a rather poor overall rating. The conclusion: 'Human capacity development is obviously a successful GIZ instrument. In particular, the instrument 'vocational training for experts and managers of partner organisations' is a unique feature due to the special teaching methods it uses. Hence, it is an important element of GIZ's demand-driven, tailored and effective services for sustainable development. In general, remarkable results are achieved, especially in combination with other instruments'.

Strong results at the individual level

The evaluated programmes intended to produce results at three levels: the individual, organisational and system level. At the first level, all of the measures generated positive results. The evaluation team established that some of the participants had significantly improved their knowledge and skills, and this also impacted on their everyday work. This is especially true of their analytical and communications skills, their management style and their ability to solve problems and conflicts.

Especially effective: a mix of teaching methods

These positive results can generally be attributed to the quality of the measures, but especially to the teaching methods and the transfer of soft skills such as communication, independent learning or forward thinking. The modern teaching approach, with its mix of methods, was a key success factor. The evaluation

The decentralised evaluations on which the evaluation synthesis is based contain qualitative ratings of the DAC criteria, but no quantitative ratings. Therefore, no average values are available that were determined by comparable means.



Capacity Building for the ASEAN Secretariat: interview practice with the ASEAN Secretary-General

synthesis comes to the conclusion that this clearly distinguishes GIZ measures from other donors' training measures, which merely focus on the transfer of professional knowledge.

The focus on didactic and educational aspects also proved particularly effective in the vocational training and good governance project in Iraq, which was designed to promote the country's stability: 'These innovative methods', says the evaluation report, 'were new to Iraqi participants and virtually unknown in Iraq [...]. Besides the technical and human rights-related input, [...] soft skills such as communication, active listening, handling conflicts and problems, learning the concept of empathy and transferring these skills to the workplace translated into further professional development and personal empowerment'.

Limited results at the institutional level

Overall, poorer results were achieved at institutional level. However, when 'further education and training', 'dialogue', 'networking' and 'advisory services for human resources development' were logically combined, the programmes generated greater impact than when these instruments were used individually. The fact that results lagged behind expectations is also attributed to the narrower focus of the individual evaluations, though, which only examined the individual sending organisation.

However, the extremely good results of the measures for individual participants suggest that other employers also benefited. This became apparent, for instance, in the sustainable management project with Mexican government scholarship holders. The project involved spending time in Germany, helping 86% of participants to improve their professional situation, often combined with a change in occupation.

Substantial broad impact

About half of the projects/programmes were found to have achieved substantial broad impact in certain areas. According to the evaluation ratings, the measures showed an 'exemplary character', 'exemplary impact' or offered 'a strong multiplication factor'. GIZ, said the evaluators, was a 'real specialist' in training people and passing on expertise to others. Although many European and international projects provided training or technical content, they did not train multipliers to disseminate knowledge and skills on a local or regional level.

Key findings and recommendations

Partners always play a crucial role when it comes to the sustainability of a project/programme. That is why additional analyses of the capacity and viability of potential partners are required in the planning phase. It should also be ensured during planning that enough people are trained per sending organisation in order to impact positively on training at the institution as a whole.

Graduate tracer studies

In order to enable this institutional impact to be reliably assessed later on, the evaluation synthesis recommends that the fact that trainees frequently changed profession be borne in mind, and that graduate tracer studies be carried out to examine results achieved by sending organisations other than those originally involved.

Training line managers and certification

In order to ensure that line managers support participants in putting what they have learned into practice, one recommendation is to make sure they stay in close contact with managers. Special events should also be offered to build managers' capacities to cope with the internal change process. In cooperation with training institutions in the partner countries, certification of the training measures should also be enabled.

Systematic follow-up assistance

The evaluation synthesis regards the good structure of the HCD projects/programmes as one reason for their success among participants. It therefore recommends that long-standing experience with selection criteria, admission tests and standard instruments be processed and compiled into guidelines. To further enhance the sustainability of training measures, the concept should be expanded to include mandatory and systematic follow-up assistance for participants, for example through group and individual coaching, mentoring programmes or refresher courses. Networking and work with alumni have also proved a key factor in achieving broad impact and sustainability, and should be systematically included in the measures.

Finally, the cross-section evaluation recommends that the other GIZ instruments (experts, financial contributions, materials and equipment) be evaluated so as to identify the special profile and added value of these instruments as well as those of HCD.

'Spearheading quality and familiarity'

Promoting Free and Open Source Software in South-East Asia

The programme that received the best rating was 'it@foss – Promoting Free and Open Source Software in South-East Asia (FOSS)'. Here, the evaluation team established: 'Looking at the programme objective based on our present knowledge and the conditions today, we must say the subject area was formulated and selected with a pioneering perception of development trends more than five years ago, and is more topical now than ever'. The projects in the Philippines, Indonesia, Cambodia, Vietnam and Laos 'spearheaded the global FOSS movement in terms of quality and familiarity', the team said.

Appreciated and in demand The RE@L alumni network in Latin America

Establishing international networks is an important GIZ measure for capacity development in its partner countries. The independent evaluation set out to analyse the results of this human capacity development instrument based on the RE@L alumni network in Latin America, and to come up with recommendations for its further development.

RE@L – Red alumni america latina alemania – richtet sich an ehemalige Teilnehmende von GIZ-Programmen. Die länderübergreifende Lernplattform will mit Lerngemeinschaften und Fortbildungsangeboten das vermittelte Fachwissen nachhaltig sichern. Dabei geht es der GIZ auch darum, Schlüsselpersonen für die internationale Kommunikation und die Kooperation mit der deutschen Entwicklungszusammenarbeit zu identifizieren und sie dauerhaft an Deutschland und die GIZ zu binden.

High degree of satisfaction with the network

The RE@L network is greatly appreciated by participating alumni in Latin American countries and is in demand in many locations. The network is also very successful at transferring methodological, operational and learning skills at the individual level. Over three quarters of members stated that they were able to directly transfer and apply what they had learned in the network to their work. About two

thirds of them also confirmed that the experience gained through the network had equipped them to cope better with the professional requirements of their work. RE@L also showed impact at the organisational level: About one in six network members reported it had been possible to improve the quality of existing structures and projects in their organisation, and to jointly develop and carry out new projects. A very positive picture also emerged with regard to equal opportunities. Both sexes have good access to the RE@L network and derive equally high professional benefit.

Stronger involvement for organisations of origin

When examining relevance, effectiveness and sustainability alike, it became apparent that the low level of involvement of the organisations of origin in the RE@L network had restricted its impact. One recommendation was therefore to introduce measures to give these organisations a forum in the network and to create active opportunities for their participation.

Greater involvement in development cooperation programmes

The evaluation also proposes making the RE@L network known to a broader audience through a targeted information policy and joint projects. In the medium to long term, it is therefore recommended that the RE@L network be positioned as an umbrella brand in Latin America, i.e. as an overarching network for all professional networks run by German international cooperation in Latin America. This could transform RE@L into a pool of experts for German development cooperation in the relevant partner countries.



RE@L Alumni Network: workshop in Valparaiso, Chile

High level of acceptance Blended learning in HIV/AIDS programmes

The human capacity development instruments used by GIZ also include e-learning and blended learning, which combines independent online work and face-to-face training events. But what can these internet-based training instruments actually achieve in developing and emerging countries, especially in view of the often unreliable power supply and unstable internet connections? The Monitoring and Evaluation Unit commissioned an independent evaluation in 2011 to examine how internet-based training courses can be further developed. The success of blended learning in five HIV/AIDS programmes for some 1,500 medical and non-medical experts and teachers was examined in 13 countries in sub-Saharan Africa, East Asia, South-East Asia and Central Asia.

Significant learning effect – better networking

Despite regular technical difficulties, survey respondents usually rated the courses very positively. Acceptance among participants and line managers everywhere of the blended learning instrument was high. Participants also assessed the teaching content, materials and support to be very good, and they appreciated how the courses had expanded their knowledge, broadened their horizons and improved their ability to fight against HIV/AIDS. Four out of five participants were able to pass on and apply the knowledge they had acquired at their workplace. Two in three were better networked with colleagues working in other professional fields than they had been before.

The excellent tutorial and technical support for courses in sub-Saharan Africa proved to be especially effective. The NTERA network (Network of Teacher Educators Responding to AIDS), which evolved from a course for teaching staff, was identified as a best practice example. With support from GIZ, NTERA now organises its own further training events.



Blended learning for HIV/AIDS prevention in China: face-to-face events with presentations alternate with independent online learning phases.

Need to involve line managers and analyse the training market

One problem identified by the evaluation was that with the exception of NTERA (Network of Teacher Educators Responding to AIDS), none of the measures had acted as a model, and none of the local training markets had so far introduced follow-on and transfer projects. One of the recommendations of the evaluation was therefore to involve the participants' line managers in the courses to a greater degree. Line managers in particular play a crucial role in ensuring better application of learning content and the development of transfer projects. Furthermore, the courses offered on the local training market should be analysed during the planning phase. The evaluation also showed how important it is for alumni to continue building networks to make sure the courses have a sustainable impact.

EINS was financed by the European Union and BMZ, under the responsibility of a consortium made up of India's largest industrial association, the Confederation of Indian Industries (CII), and GIZ, as well as Adelphi, Austria Recycling and the German Chambers of Industry and Commerce (IHK).

Sobering conclusions

The European-Indian Network for Sustainability in the automobile industry

What has the EINS programme (EU-India Network for Sustainability: Dialogue, Management, Training, Exposure in the Automotive Industry) achieved in the long term to increase sustainability in the automotive supply industry? Five years after the end of the programme in 2006, the independent ex-post evaluation commissioned by the Monitoring and Evaluation Unit draws sobering conclusions. The programme 'has largely failed to fulfil its mandate, especially with regard to networking small and medium-sized enterprises'. The overall rating is therefore 'unsatisfactory'.

'More modest goals would have been better'

EINS had set itself ambitious goals. It aimed to introduce sustainability management systems in the booming Indian automobile industry and to forge closer trade relations between India and the EU. Its final goal was to establish an advisory network and independent training programmes on the subject of sustainability. Since the programme did not achieve this objective, its effectiveness was rated 'unsatisfactory'.

International partnership nonetheless strengthened

However, the evaluation considered the way in which international partnership within the consortium had been strengthened in the field of sustainability management as an 'outstanding achievement'. Thanks to excellent communication within the network and an institutional partnership on an equal footing, a spirit of trust was created, along with structures that will continue to resonate in the South-East Asian region well after the EINS programme has drawn to a close. It will make a major contribution to mainstreaming sustainability management in the training system of the Confederation of Indian Industry (CII). The overarching development results (impact) were therefore rated 'good'.

Cooperation with the Indian automobile sector

To achieve maximum leverage, strong partners are required, especially private sector institutions and organisations. One of the recommendations of the evaluation is therefore to engage in cooperation with more than one partner at the national level. Contact with the Indian automobile sector should therefore be given priority in the context of future cooperation between Europe/Germany and India. Here, the evaluation saw a substantial need for cooperation in the area of 'sustainable mobility' in particular. Prominent leaders or opinion leaders from Europe should also be involved to a greater degree.

'No comparable programme' Evaluating 50 years of ASA

The ASA programme, which offers work and study trips to Africa, Asia and Latin America, is a dynamic learning programme for students and young professionals from Germany and Europe. On the occasion of its 50th anniversary in 2010, this development education programme was independently evaluated. The conclusion: There is 'no programme that can be compared with' ASA, particularly because it combines project work in the field with preparation and follow-up, and subsequent networking. With support from professional and above all, private, contacts, it helps to set up a worldwide network of partnerships. Even long after their participation, former students, up to two thirds of whom now have jobs in HR, state that the programme had a major impact on their professional career, personal development and commitment to sustainable global development. In 2012, GIZ handed over responsibility for ASA to the organisation Global Civic Engagement (Engagement Global gGmbH).

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This controlled field experiment made it possible to reliably estimate the results of using more efficient cooking stoves in rural areas of Senegal. The substantial positive results that were observed endorse GIZ's intention to become more strongly involved in these regions.

Gunther Bensch, researcher,
Rheinisch-Westfälisches Institut für Wirtschaftsforschung

IDENTIFYING RESULTS MORE PRECISELY USING RANDOMISED CONTROLLED TRIALS



Pilot evaluation with experimental evaluation formats

Evaluations must address the question of whether factors other than the reviewed measure itself could be responsible for the results observed. Evaluation practitioners in Germany and beyond have therefore been examining rigorous evaluation methods for a number of years, in order to attribute results more precisely.

Knowing what would have happened without the intervention

Recently, randomised controlled trials (RCTs) have attracted great interest as an experimental form of evaluation. Like placebo tests in drug research, randomised controlled trials are based on the idea that the impact of a project/programme can only be determined if we know what would have happened without the intervention. RCTs involve rigorous methodology. The group that is participating in the measure is compared with an almost identical control group that does not benefit from the measure. People are randomly assigned to one of the two groups before the intervention commences. By so doing, it is possible to largely exclude the likelihood that any differences in the two groups noted after the measure has been concluded are due to factors other than the measure itself.

Randomised controlled trials in Senegal

In 2010, the Monitoring and Evaluation Unit commissioned the first randomised controlled trial of this kind in a pilot evaluation in Senegal. The trial examined what impact the distribution of more energy-efficient cooking stoves had on the quality

of life of people in a rural area. A total of about 2.7 billion people mainly use wood as domestic fuel in developing countries. This has far-reaching consequences for the environment and for people's health. The World Health Organization (WHO) estimates that two million people die each year from extreme exposure to smoke – more deaths than from malaria.

To begin with, 253 households were interviewed using a standard form to establish a baseline. These had previously only cooked over open fires or with a traditional metal stove. All the households then took part in a lottery, with two prizes. 98 households drew a voucher for a new, energy-improved stove; 155 received a bag of rice and therefore belonged to the control group. The households were interviewed again later on. They were asked about their firewood consumption and also about their sources of income, the division of labour between men and women, what kind of meals they cooked and their personal cooking behaviour. Other key individuals from the same setting added their qualitative statements to this purely quantitative analysis.



Improved cooking stoves in rural Senegal: the new energy-efficient stoves need one third less firewood than the traditional variety.

Evaluation findings: less firewood, fewer health problems

The original assumption that the majority of 'stove winners' would not use the new stove because they had not chosen it themselves, was proven wrong. One year later, 87% of women mainly used the new stove for cooking. Time spent cooking every day had fallen substantially, by 70 minutes, with 30% less firewood being used every week. People's health had also tangibly improved. All of the women stated that they had fewer respiratory problems and eye infections. The overall finding endorses GIZ's efforts to distribute more efficient cooking stoves in Senegal, not just in urban areas but in rural regions too.

Evaluation of the method: limited suitability for use in GIZ projects/programmes

The Monitoring and Evaluation Unit was less interested in the evaluation findings related to the

project or programme itself than in the subsequent assessment of the experimental evaluation format. Although the randomised controlled trial proved to be an important approach for measuring results, the Monitoring and Evaluation Unit concluded from its evaluation that this quantitative method was of limited suitability for use in GIZ projects/programmes, as well as being expensive and time-consuming. Target groups are often intentionally selected (for example, to include particularly motivated people) and are therefore not directly comparable with people who are not taking part in a programme. Many projects/programmes also work at the national level. This means that everyone benefits from specific measures, such as changes in legislation. There is no control group. In sectors such as good governance, it is also much more difficult to quantify results than in vocational training, for instance. And finally, although RCTs

can ascertain which interventions work and which do not, they cannot analyse why something works or what factors can explain why it does not work.

Recommendation: a combination of different evaluation approaches

The Unit therefore recommends that RCTs be used where possible in combination with qualitative methods, and that the entire range of existing evaluation approaches be used. With predominantly quantitative methods (notably standardised surveys), there is a risk of perceiving reality through a severely restricted filter. Interviewees are sometimes unable to raise aspects of particular importance to them if these have not been included in the questionnaire, making it difficult or even impossible to detect unexpected results.

Requirement: continue to develop evaluation methods that are suitable for everyday use

To enable evaluations to attribute the established results to a clear cause as accurately as possible, GIZ is also testing alternative approaches for evaluating results, in addition to RCTs. The main focus is on how and whether a counterfactual situation can be created, i.e. a situation that answers the question of what would have happened without the intervention. Furthermore, there are statistical ways of evaluating results that do not involve a counterfactual design, which is time-consuming, and also theory-based approaches to establish how programmes function and why. The Monitoring and Evaluation Unit intends to try out an increasing number of methodologically rigorous evaluation methods that are, however, suitable for 'everyday use', also in cooperation with research institutions and universities.

Read GIZ's position on the internet:
<http://www.giz.de/monitoring> >
 Ergebnisse und
 Veröffentlichungen >
 Positionspapiere

'A Real World and Holistic Approach to Impact Evaluation'

Technical discussion with Jim Rugh, an evaluation expert from the USA

At present, randomised controlled trials (RCTs), with their random allocation of participants to a target group and to a control group that does not take part in the intervention, are considered the most reliable scientific method for proving the impact of projects/programmes. However, they have to be included in the planning of the measures right from the outset, and involve a great deal of effort. Additional data on the baseline are required in order to provide evidence of results. But the available time and financial resources are often limited.



The technical presentation and discussion with US expert Jim Rugh, organised by the Monitoring and Evaluation Unit in February 2012, focused on how to optimise the quality of impact evaluations under these conditions. His uncomplicated and practical approach may be summarised as follows. Target groups that are added in subsequent programme phases can also be used as comparison groups. Relevant trends in the population can be compared with developments in the target groups, provided reliable data are available.

The event was attended by about 100 guests from GIZ, KfW and BMZ, as well as from universities, research institutions and the field, who went on to discuss how impact evaluations can be implemented in the GIZ context at a practical level.

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CONCLUSIONS DRAWN FROM FINDINGS

Monitoring and evaluation is not an end in itself. It is only if the findings are used for further planning and steering that evaluations can make a contribution to sustainable development.

Cornelia Richter, GIZ Managing Director

EVALUATION ACCOMPLISHED – WHAT'S NEXT?



The conclusions GIZ has drawn from the findings

The programmes and instruments have been evaluated, the findings have been published. GIZ has accounted to its commissioning parties, partners and the general public for the effectiveness and economic efficiency of its work. But what changes now need to be made? After all, the aim of evaluation is to consistently improve our own performance. This goal is achieved when the findings are actually put into practice, and the more than 100 evaluations carried out each year at GIZ offer an excellent foundation for doing so. The 2010/2011 evaluation cycle focused on crisis prevention and peacebuilding, vocational education and training, and human capacity development. The Monitoring and Evaluation Unit also arranged for the quality of evaluations to be assessed.

Crisis prevention and peacebuilding

For GIZ, working in fragile countries that are characterised by crisis or conflict has become an important field of action. As the evaluation findings show, the projects/programmes achieved a good average rating, and GIZ can make an important contribution towards more stability and development in this field. That too is remarkable compared with other fields of action. BMZ has classified over half of our 50 cooperation countries as having a heightened or acute escalation potential. These countries present GIZ with special challenges in terms of project and programme design, strategy and management, staff safety and

security, and staff training, and as regards meeting the expectations of commissioning parties, clients and partners.

What is GIZ doing in response?

To achieve even more sustainable impact, we have to further fine-tune our response to this group of countries and expand the necessary institutional skills and capacities. To do this, GIZ has established how recommendations from the evaluation synthesis should be implemented in future.

- The opportunities and especially the limitations of working in crisis countries will be more clearly defined. This means that the objectives, indicators and results levels that can be achieved will be realistically formulated, and the risks involved will be clearly stated. In addition, all projects/programmes will set up conflict-sensitive results monitoring systems in order to respond swiftly to changes.
- The political and conflict context (causes of conflict, peacebuilding needs) must be analysed in advance in all crisis countries, in agreement with BMZ. The findings of conflict analyses must be used more systematically for project design.
- Multilevel approaches will be designed in a more targeted manner, with a focus on networking and partner diversification. Transnational, regional organisations will be involved in national projects in order to apply greater pressure from above at national level. At the same time, the Civil Peace Service should strengthen the role played by civil society actors in order to increase pressure from below at the political level.
- All experts working in crisis countries will take part in further training on crisis prevention and peacebuilding in order to prepare themselves to face the special challenges in their countries of assignment, cope with workload and stress management, and address management issues in crisis and conflict countries.
- Close coordination with BMZ and accompanying political support from BMZ in the respective partner country are especially important. Crisis prevention and peacebuilding projects/programmes sometimes have to take risks. That is why GIZ sets up a tight-knit crisis monitoring network and continuous reporting channels to BMZ.



Crisis prevention and peacebuilding learning café in 2011: agreements on the implementation of technical recommendations are presented.

- It must be ensured that follow-up activities can be carried out and that the measure can transfer its institutional knowledge. The suitable institutional conditions have to be put in place for this, e.g. identifying long-term planning horizons, putting in place mandatory exit strategies and allowing appropriate time for handover at the end of the project term. All the evaluations indicate that the subsequent broad impact and sustainability of the measures must be taken into account at an early stage when designing projects/programmes. This should be done based on a realistic estimate of ownership and political frameworks, with targeted involvement of strategic partners and concepts for sustainably mainstreaming project measures. GIZ must anchor this proactive planning culture more firmly in its structures.



Vocational education and training learning café in 2012: what follows after evaluation?

Vocational education and training

BMZ and GIZ did not agree in all points on the findings and recommendations of the meta-evaluation on vocational education and training. However, these different viewpoints led to an in-depth dialogue, both within GIZ and between GIZ and BMZ. They also initiated a learning process in which both parties reflected on their own actions and identified their respective positions more clearly. The 'controversial' recommendations (in a positive sense) thus allowed a consolidated stance towards future vocational education and training projects/programmes to be adopted within German development cooperation.

Continued focus on systemic change

One of the findings of the meta-evaluation was that vocational training projects designed to promote institutions had a more sustainable effect because their ambitions were restricted. In contrast, projects

that intended to achieve broad impact and systemic change using a multilevel approach received much poorer ratings. This did not prompt evaluators to recommend that the multilevel or broad impact approach be abandoned, but they did conclude that many of the projects/programmes had goals that were too ambitious. GIZ believed it wrong to conclude that only projects/programmes that promote individual institutions should be implemented. Even a project/programme that is less successful when measured against its broad expectations may have a greater systemic impact in the final analysis than one that is 'successful' because its objective was much less ambitious.

Therefore, GIZ does not draw the conclusion from the meta-evaluation that it should redirect its focus back to the micro or organisational level, even if it does appear easier at a superficial level to build institutional capacities by working with just one partner. Rather, GIZ upholds its ambitious objective of achieving systemic change. However, the task to be tackled when formulating objectives for future projects/programmes is to reduce the gap between expectations and actual opportunities for putting them into practice.

Appropriate response to complexity

Another recommendation resulting from the meta-evaluation was: 'The projects/programmes are overloaded with all kinds of (sector) strategies. They should refocus their efforts on the core area of vocational training'. This questions the increasing complexity of vocational training projects and programmes and the ambitious demands they are asked to meet. Vocational training is expected on the one hand to reduce poverty, and on the other to modernise and reform the economy. Even if this criticism is justified to some extent, GIZ draws a different conclusion. Vocational training, with its relevance both to economic and education systems, and to local and regional labour markets, is by definition a complex area. The sector strategy paper Technical and Vocational Training and the Labour Market in

Development Cooperation, published by BMZ in 2005, was also seen as a big step forward in development cooperation. It specifically addressed the theme of training in the informal sector and placed vocational training within the context of economic development and the labour market. Focusing more strongly on the conditions for vocational training in the individual setting was an important step. In future vocational training projects/programmes, GIZ therefore sees its task as intentionally addressing their complexity by offering courses that are adequately funded and run over an appropriate project term, for example. To achieve sustainable results, between 10 and 12 years are required to bring about systemic changes in vocational training.

Capture outset conditions more exhaustively

One criticism is that many projects and programmes do not carry out detailed analyses of partner struc-

tures and systems. This finding is based on evaluated projects/programmes that were planned a good 10 years previously, but since then much has been done in this area. For example, new instruments have been introduced that make it possible to collect basic information on a future project/programme together with the cooperation partner. Analyses of the socioeconomic setting and the donor community are now part of the standard appraisal process before starting a project or programme. Increasing use of capacity assessment and mandatory gender analyses provide a better baseline for planning a project or programme. Collecting baseline data at the start of a programme is an important part of results-based monitoring and should be performed in all cases.

What is GIZ doing in response?

Even if GIZ does not agree with all the findings of the meta-evaluation, in future it will bear in mind

Think of the end before the beginning

Ex-ante evaluations strengthen the results orientation of projects and programmes

Knowing what works is key right from the start of the planning and design phase of a project or programme. Ex-ante evaluations offer useful support, even if the term itself is misleading because the focus is not on rating and measuring results. Rather, an ex-ante evaluation adds the aspects of monitoring and evaluation to project appraisals conducted during the preliminary phase. This also includes planning and steering the collection of baseline data. The added benefit of ex-ante evaluations lies in their ability to provide flanking advice on concept development, to gear projects and programmes more strongly towards achieving results, and to create the prerequisites for providing more precise evidence of results after completion.

Since there are as yet no internationally established standards on procedures for carrying out ex-ante evaluations, GIZ has used this instrument on a pilot basis in Kenya and South Africa. In 2010, a needs analysis was used as the basis for examining, and if necessary revising, the previous design and objectives of the project to promote social justice, reconciliation and national cohesion. In 2011, this formed the basis for exhaustive results monitoring in South Africa for the Skills Development for Green Jobs (SfGJ) project.

GIZ drew the following conclusions from its experience with these two pilot evaluations:

- › Components of the ex-ante evaluations will be included in the guidelines for project appraisals (e.g. to collect baseline data).
- › When setting up the results-based monitoring system, baseline data will be collected for all indicators.
- › Both project staff and local partners will be given a more thorough introduction to monitoring and evaluation methodology.

some of the recommendations when planning and implementing vocational training programmes. For example:

- Vocational training projects/programmes will be embedded to an even greater extent in the local donor community. To better harmonise the activities and approaches of international cooperation and thus to reduce costs for partners, GIZ's vocational training projects/programmes must be more strongly coordinated with those of other donors. Initial steps in this direction have already been taken in Vietnam, Namibia and Kosovo, and efforts will also be expanded in other partner countries.
- Training in the informal sector will be stepped up. Since 2011/2012, some components in projects/programmes in Afghanistan, Ghana, South Africa and Togo have placed more direct emphasis on basic skills in the informal sector, e.g. for manufacturing and selling products on local markets or providing simple services in the informal sector.
- Sustainability will be strengthened: the issue of funding for vocational education and training will be firmly anchored in projects and programmes. Vocational training is generally underfunded in partner countries. Adequate funding must therefore be given greater emphasis as a key criterion when appraising projects and programmes right at the start of the planning phase. Sustainability cannot be ensured if no viable funding models for vocational training are found that are shared to an appropriate degree by the state, industry and trainees. To achieve better long-term results, better arrangements must be made before the end of a project or programme for the transition from joint responsibility to the partner institution taking on sole responsibility.

participation, diversity,
practical relevance,
participant-centred,
tolerance, transparency,
networked thinking

- Ensuring equal access to vocational training courses and the labour market for men and women continues to be a mandatory requirement for GIZ, even if the general aim of training and placing women in professional fields that are traditionally reserved for men has not been met. Here too, success can only be achieved step by step, for example by initially selecting professions that are not traditionally a male preserve. In China, for instance, good experience has been gained in the construction industry with interior design courses for women, or with web design courses in the IT sector. Although gender equality objectives are a key priority, it is important that projects and programmes not lose sight of the employment opportunities offered by traditional women's occupations.

Human capacity development

Depending on the commissioning party or client, HCD measures can focus on the individual level of participants, or aim to achieve institutional/organisational impact. GIZ's HCD measures also support political objectives such as strengthening Germany as a training base and forging links with Germany.

The cross-section evaluation ascribes extremely positive results to the HCD programmes at the individual level, i.e. for the people who have taken part in the further education and training events. The modern teaching approaches and optimally applied didactic principles generate major changes among participants. GIZ's efforts to transfer key qualifications across sectors set it apart from other international actors engaged in capacity building, as does the high quality of its training courses.

What is GIZ doing in response?

In order to reinforce the direct results targeted by the programmes at the institutional/organisational level of the organisations of origin, GIZ has picked up on many of the recommendations made by the evaluation synthesis. As one of GIZ's proven instruments, HCD should be used more systematically. It will be integrated as an integral component in the mix of instruments used in bilateral, regional or global projects/programmes. However, it is also designed to support other programmes through measures that achieve their results particularly via regional or global cooperation and interdisciplinary themes. In addition, continued use should be made of it in independent capacity development programmes and measures that are intended to anchor learning.

To make the instrument even more effective, GIZ has also decided to:

- › hone and further develop the HCD quality criteria, the pledged results and the service portfolio.
- › devise instruments to ensure that proof of specific results can be provided, and to support the quality of design, preparation, operational planning and monitoring of HCD measures and their sustainability. This includes tools for selecting participants and analysing partners, for an indicator database and for results-based monitoring.
- › effectively combine different HCD instruments, including alumni work, with each other and within the overall mix of GIZ instruments, and incorporate them as a mandatory element of design.
- › set up a systematic knowledge management system for all HCD services.



Human capacity building learning café in 2012: discussing the findings



Learning café in 2011: presentation of agreements on improving M&E

Improving the quality of evaluations

In order to continuously improve its monitoring and evaluation toolkit, the Monitoring and Evaluation Unit regularly commissions meta-evaluations that examine the quality of evaluations. In 2010 and 2011, three monitoring and evaluation instruments were evaluated: central independent evaluations in the priority area 'Vocational education and training', other decentralised evaluations in the priority area 'Human capacity development', and project progress reviews in various priority areas. The evaluation reports examined by the experts highlighted both the strengths and weaknesses in methodology and presentation, and in the plausibility and comparability of the ratings.

New practice-based guidelines

Based on the findings and recommendations on the quality of evaluation reports made in the meta-evaluations, the Unit drew up new guidelines for decentralised evaluations and revised the existing guide for project progress reviews. The guidelines provide practice-based instructions with reporting grids, checklists and requirement profiles for evaluators, and further information on the subject of evaluation.

Internal training and advisory services

In addition, the Monitoring and Evaluation Unit provides internal training programmes and a new advisory service to foster an understanding of monitoring and evaluation among all employees involved in commission management. The same applies to project officers in the partner countries. See the Evaluation Capacity Development (ECD) programme in Section 7 on page 49.

Repositioning the Evaluation Unit

One criticism in almost all the evaluation reports was that projects/programmes did not have an adequate results monitoring system. Before the merger, GIZ therefore decided to devote more attention to the topic of 'results-based monitoring'. In 2011, during the restructuring process following the merger of GIZ's predecessor organisations GTZ, DED and InWEnt, this was also made clear in the unit's new mandate and name: Monitoring and Evaluation Unit.

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In order for GIZ as a learning organisation to benefit from the evaluation findings, this knowledge has to be assimilated and integrated into further processes. In short, learning needs to be organised.

Martina Vahlhaus,
Director of GIZ's Monitoring and Evaluation Unit

OBJECTIVE: TO BECOME SYSTEMATICALLY WISER AND BETTER



How GIZ shares what it knows: internally – nationally – internationally

GIZ is a learning organisation. However, making effective use of the enormous learning potential offered by evaluations is no easy matter. If individuals sometimes find it hard to learn from experience and insights, it is small wonder that this is far more complex at the corporate level. The Monitoring and Evaluation Unit has developed various learning processes and instruments to ensure that evaluation findings are incorporated into GIZ's business processes, beyond the individual project or programme in question. It also ensures that GIZ shares its knowledge of monitoring and evaluation, and the insights it offers, with other organisations.

Learning at all levels

To start with, findings from project evaluations are made by individuals. In order for GIZ as a company to benefit from the evaluation findings, this knowledge has to be processed and integrated into further processes. In short, learning needs to be organised. To this end, the Monitoring and Evaluation Unit has established learning loops on three levels. At the operational level, stakeholders learn directly for the purposes of planning and implementing the projects and programmes they manage or for which they assume responsibility. In addition, the findings are examined at the level of the organisational units (divisions within the Sectoral Department and regional departments), beyond the individual project or programme, in order to improve sectoral and regional approaches. Finally, recommendations for action are consistently integrated into ongoing GIZ

business processes at corporate level in order to modify strategies, processes and instruments.

Transparency and exchange

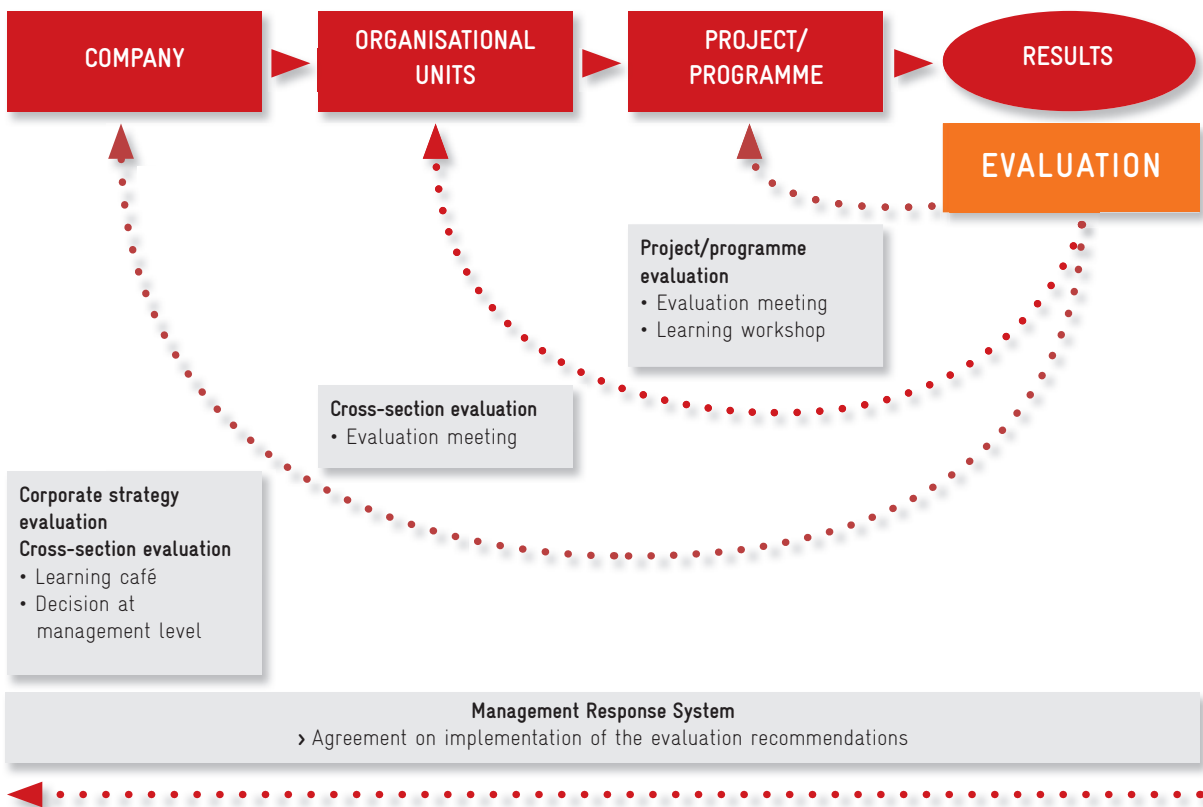
Evaluation findings are always published. The evaluation reports can be accessed in databases within GIZ. Interested members of the public can download executive summaries of the evaluations from the internet. The main reports are also provided for cross-section evaluations. GIZ also sets out the results of its work every two years in a report on the activities and findings of monitoring and evaluation. In addition, the Monitoring and Evaluation Unit presents particularly informative evaluations in articles and at conferences, and contributes discussion papers to specialist debates on the subject of monitoring and evaluation.

Evaluation reports on the internet:
www.giz.de/monitoring >
Ergebnisse und Veröffentlichungen >
Evaluierungsberichte

<http://www.giz.de/en/media-center/publications.html> – >
Publications database – Search

Transparency policy on the internet:
<http://www.giz.de/en/> >
About GIZ >
Corporate responsibility >
Transparency

Learning from evaluations



Tools for the internal learning process

The learning effect produced by evaluations depends first and foremost on whether these actually address the relevant questions. The questions are based on the terms of reference for the evaluation team. These define the specific learning requirements for stakeholders. Partner institutions in the projects and programmes are primarily interested in the specific findings. The divisions within the Sectoral Department are mainly interested in technical and sectoral questions, whereas the regional departments are interested in cultural and country-specific issues. Managers, in turn, are concerned with overarching questions related to corporate policy and international cooperation. Experts from the fields of evaluation and knowledge management, for their part, are mainly interested in methodology.

Cross-disciplinary exchange in learning cafés

Learning cafés are regularly held after cross-section evaluations. They are attended not only by the people directly involved and responsible, but by anyone who may benefit from the evaluation findings. The cross-disciplinary exchange between various organisational units beyond the individual project or programme makes it possible to identify exemplary approaches and structural deficits in corporate processes, to improve sectoral approaches and develop new strategic orientations.

Management Response System

The Monitoring and Evaluation Unit introduced the Management Response System (MRS) in order to systematically discuss and implement the recommendations for action made in the roughly 20 independent evaluations and 90 decentralised evaluations carried out each year. The system was

first trialled in 2010 and 2011, and has been mandatory since January 2012. The first step is to take a look at the findings and recommendations. Are these useful? Can they be put into practice? In what form will they be accepted? The following plan of action subsequently drafted defines how and within which time frame they are implemented, and who is responsible, and is then submitted to the management committee. One year later, the Monitoring and Evaluation Unit queries the current status.

Sector networks for cross-country learning

Cross-programme evaluation findings are identified, assessed and discussed in regional and sector networks. The aim is to promote joint learning from evaluations beyond the borders of individual countries. The networks act as platforms for sectoral exchanges and content-related cooperation between project staff in partner countries and at GIZ Head Office.

Taking learning into account right from the start

With its learning tools, GIZ creates the conditions for company-wide learning at all levels. However, we only really learn from evaluations if concrete changes are introduced as a result. Experience shows that the best results and the best support for the evaluation process itself are achieved and provided when this learning is included as an integral element of project management itself. GIZ has already come a long way in this respect. But there is still a need to heighten the methodological understanding of the evaluation process among all employees concerned with commission management, through internal training programmes. The same applies to officers in the partner countries. Thus, while partner institutions in the projects and programmes are involved in evaluations right from the start (particularly in project progress reviews) so that the findings can be jointly used for subsequent adjustment and for continuing

the projects/programmes, partners often lack the necessary expertise. That is why on behalf of BMZ, and through its Evaluation Capacity Development (ECD) project, the Monitoring and Evaluation Unit began to strengthen local awareness and expertise related to the subject of evaluation in 2011.



Prof. Eva Terberger,
head of KfW's Evaluation Department

'Joint projects, joint evaluation, joint learning' – cooperation between GIZ's Monitoring and Evaluation Unit and the Evaluation

Department at KfW Development Bank is increasingly doing justice to this slogan. Sharing information before, during and after evaluation is bearing fruit. Together, we back the evaluation findings and recommendations (what works well, what doesn't?) and disseminate them at our own organisation. Our conclusion: joint evaluation and joint learning is fun and offers added value all round!

Sharing knowledge

The Monitoring and Evaluation Unit not only publishes the majority of its work results internally, it also plays an active role in networks, specialist forums and conferences, and invites external experts from other international cooperation institutions, universities, research institutions and consulting firms, as well as civil-society organisations, to share evaluation findings and methods. Learning from GIZ's own and from other actors' experience helps to prevent errors, develop innovative approaches and enhance the effectiveness of GIZ's work.

International conference Systemic Approaches in Evaluation

Current evaluation approaches are often based on a mechanistic worldview and a linear results chain. But in order to understand which interventions are

successful under which conditions, evaluations need to give consideration to the multiple facets of social change. This is where systemic approaches are useful. These examine relationships rather than isolated individual facts. Instead of a linear logic leading from causes to results, the relationship between various actors is examined, with their different perspectives, interests and motives.

How can such a systemic approach be integrated into evaluations? The Monitoring and Evaluation Unit invited participants to attend the international conference Systemic Approaches in Evaluation to examine this question in January 2011. For the first time in a German-speaking country, this offered a broad section of professionals a platform for exchanging views on the most pressing subject in international evaluation: How can complexity be taken into account when evaluating international cooperation projects/programmes?

In this context, the role of the evaluation team is not so much to carry out objective and independent assessments as to give advice, raise questions and hypotheses, collect data on the project/programme's effectiveness and mode of action, and to submit these data to stakeholders so they can reflect on



Identifying areas of expertise: warming up at the start of the conference

them. Systemic approaches are less suitable when it comes to purely accounting for the results of a project/programme. The experts at the conference therefore agreed that the aim was not to make systemic approaches the gold standard for evaluations. Instead, efforts should be made to combine systematic approaches with other methods, in a manner that is appropriate for the given subject area and purpose of the evaluation, and the questions it aims to address.

For detailed documentation of the conference on the internet: www.evaluation-conference.de

New territory in German development cooperation

The Evaluation Capacity Development (ECD) programme

The ECD programme strengthens capacities, resources and capabilities for performing evaluations in partner countries. For this purpose, GIZ has been promoting two measures in Costa Rica and Uganda since 2011 on behalf of BMZ.

The Ministry of National Planning and Economic Policy (MIDEPLAN) in Costa Rica is receiving support to establish itself as a regional competence centre in response to demand for professional evaluation services. GIZ trains experts for this purpose on behalf of BMZ. Partnerships with universities and research institutions, ministries and associations in the region are also being promoted, in order to secure long-term access to evaluation expertise.

The second project, Supporting Evaluation Capacity Development (ECD) in Government and Civil Society in Uganda, aims to pave the way for high-quality evaluations. This involves developing national evaluation standards and continuing blended learning training modules on monitoring and evaluation.

The ECD programme is new territory for German development cooperation and is attracting increasing international interest. The programme specifically addresses the demands made in the Paris Declaration on Aid Effectiveness (2005) and the Accra Agenda for Action (2008) for strengthening evaluation capacity in partner countries.

8. LET'S TALK

'SUSTAINABILITY STARTS AT HOME'



Interview with Martina Vahlhaus, Director of GIZ's Monitoring and Evaluation Unit, and Professor Helmut Asche, Director of DEval

In 2012, Germany's Federal Minister for Economic Cooperation and Development, Dirk Niebel, inaugurated the German Institute for Development Evaluation (DEval). DEval's remit is to provide an external, independent and holistic perspective that transcends individual organisations, and makes it possible to evaluate the effectiveness of German development cooperation on a broader scale. Martina Vahlhaus and Prof. Helmut Asche discussed how DEval and the Monitoring and Evaluation Unit can complement each other, and how evaluation in general can be used as a tool to promote the sustainability of development cooperation.

After Sweden and the UK, Germany is now the third country to set up an independent national evaluation institute. How does our evaluation community measure up at the international level?

Vahlhaus: In the past, German evaluation practice lacked international visibility, despite the fact that Germany is one of the biggest donors in the field of international cooperation. The UK, the Netherlands and Scandinavia (next to the World Bank) are much more prominent in terms of the work they do. This is also because more capacities have been provided in those countries. That is now set to change. The new institute will make evaluation from Germany more visible, in particular the results achieved by German engagement.

Asche: Once the structure has been fine-tuned – a few elements are still lacking here and there – we'll be ideally positioned at the international level, with a large, independent institute, strong evaluation units at GIZ and KfW Development Bank, and a structure at the ministry that makes sure evaluation findings are incorporated more widely into policy-making processes and institutional learning. When it comes to methodology, though, we still have a lot to learn from our Dutch neighbours – especially in terms of the method mix and making use of experimental methods.



Mr Asche, you just mentioned strong evaluation units. But in your inaugural address, you said that self-evaluation, whether by internal or external experts, was not the best way to establish what works and what doesn't.

Asche: Let me reformulate that to explain what I mean. The evaluations performed by GIZ and KfW themselves are indeed a very good means of producing both positive and critical evidence. But beyond this, DEval is able to act on a larger stage and to go into specific themes in greater depth. That means evaluating across institutions and also addressing questions that cannot be truly examined independently in evaluations that are managed by the organisations themselves, even when external experts are involved.

For example?

Asche: For example, when critical aspects need to be raised with the commissioning party or client, or with partners and project executing organisations. Obviously, it's much easier for us to broach critical subjects with them than it is for GIZ. And that is also what people expect of us as an independent, central institute. This is where we play an important supplementary role. The point is not only to show more clearly what didn't work, but also to broadcast the good experience that has been gained and to ask, for example, why it has not been put to better use. In this respect, DEval will shoulder more

'The important thing is the process that starts after evaluation, assessment and rating. If we can enhance the benefit offered by evaluation and make sure the findings can be put to better use, we can achieve something as evaluators.'

Martina Vahlhaus



of the task of an 'evaluation knowledge bank' and act as a collective knowledge repository, so that we can quickly learn enough from positive experience. As far as this goes, our German development cooperation system is not yet good enough.

Vahlhaus: For one thing, we have a completely different understanding of the term 'self-evaluation'. As we see it, local project managers work with their staff and perhaps also with partners to monitor whether they are still on track, are achieving their objectives and whether the quality is good. In addition, our operational departments commission up to 150 decentralised evaluations each year, which are appraised by external or internal experts who were not involved in planning or implementing the project or programme. Here, we as a corporate unit only specify the standards to be met. These decentralised evaluations are mainly used for internal learning and for fine-tuning our concepts. Finally, we also commission external experts

'Sustainability also depends on whether the experience gained in country X and sector Y is assimilated within our organisation and remains available. And is still on hand 20 years later for use in different contexts.'

Prof. Dr. Helmut Asche

who work on their own to carry out central, independent evaluations. These are used to measure what has worked and what has not. Our central management activities mainly focus on methodological quality and on upholding international standards, but we never steer the actual findings, as is often implied.

In almost all the evaluations, sustainability receives a poorer rating than relevance and effectiveness. Can evaluation actually help to achieve greater sustainability? How can BMZ, DEval and GIZ support each other in this respect?

Vahlhaus: On its own, evaluation has limited opportunities. All we are doing is holding up a mirror to the operational units or management. And merely identifying the problem doesn't solve it. The important thing is the process that starts after evaluation, assessment and rating. If we can enhance the benefit offered by evaluation and make sure the findings can be put to better use, we can achieve something as evaluators. Here, DEval can provide support, for example by creating more opportunities for evaluators and practitioners to exchange information, to discuss why things are the way they are and why we still haven't made progress. And if DEval now confirms that sustainability is the weakest area, perhaps that will increase the pressure to do something about it. It is very important to think about the end before you even start, by asking 'What will happen in future when my partner has to carry on alone?' But that requires substantial effort and a clear exit strategy.

Asche: The very fact that we now know sustainability is the most critical factor shows the benefits of evaluation practice. The institute will continue to raise this sore point and make greater efforts to identify what can be done to change it. Sustainability also has something to do with sustained effort and follow-up. That means sustainability starts at home and also depends

on whether the experience gained in country X and sector Y is assimilated within our organisation and remains available. And is still on hand 20 years later for use in different contexts. To be honest, we're not really very good at that as yet. Our internal sustainability still leaves plenty of room for improvement.

What specific action are you taking to promote this internal sustainability?

Vahlhaus: At GIZ, we have introduced a mandatory Management Response System for this purpose, to make sure findings don't stay tucked away in a drawer. In two years' time, we will take another look to see whether the agreed points have also been put into practice. One general aim of our new Management Board is to enhance our learning culture and improve the way our company deals with errors. That also means not being admonished if the evaluation findings are poor, but organising a management process to address them instead. Why did things go wrong, and what can we learn from this? Not only for this particular project or programme, but in the sector or regional department. In addition, we have launched the first corporate strategy evaluation that will examine scalability, which also has a lot to do with sustainability.

Asche: Orientation towards a culture that fosters learning and a pro-active approach to errors has my full support. The open, constructive handling of critical findings is in no way harmful to a company's reputation. On the contrary. If we present ourselves more strongly as self-critical and learning organisations, we will be more likely to enhance our national and international standing.

So what tasks will the German evaluation community have to face in future?

Vahlhaus: We have to do more to strengthen evaluation as an instrument. Among other things,



that means we have to provide input at the planning stage to make it easier to evaluate projects/programmes further down the line. Another task we face is that of improving the measurement of efficiency so as to further enhance the cost-effectiveness of our work.

Asche: At any rate, our task at DEval cannot be to increase the number of individual evaluations. That also corresponds to the international trend towards clustering evaluations and improving the way we assess and assimilate existing knowledge so as to incorporate it more efficiently into policy-making procedures and institutional learning processes.

Vahlhaus: I think that's very good, and it fits in well with DEval's overarching role: to consider how to derive greater value from fewer evaluations, and how to enhance the benefits offered by evaluations for everyone concerned, based on a good division of labour between DEval and GIZ.

The interview was conducted by Carmen Sorgler and Elisabeth Ehrhorn.

9. OUTLOOK

A FOCAL POINT: SCALING UP RESULTS



Outlook

International cooperation projects and programmes have to generate impact not just among the relevant target groups. To be economically sustainable, they aim to reach as many people, institutions, municipalities and regions as possible – in other words, they should have broad impact.

Corporate strategy evaluations

Scaling up

GIZ has integrated the aspect of scaling up results into the planning processes of its projects and programmes, and has produced a set of practical guidelines entitled 'Scaling up in development co-operation'. Scaling up should be taken into account right from the start. A corporate strategy evaluation on scaling up and achieving broad impact, commissioned by the Monitoring and Evaluation Unit in 2012, is designed to show the extent to which this is being done in GIZ programmes.

For this purpose, some 200 evaluation reports from GIZ's three predecessor organisations and a representative random sample of around 300 projects and programmes are being assessed. In addition, roughly 250 employees are taking part in an online survey of the current scaling-up practice, and seven case studies are being conducted. The findings are intended to help develop existing concepts and methods in order to achieve broader impact.

Cooperation with emerging countries

A corporate strategy evaluation on international cooperation in and with emerging countries is also

being prepared. To step up business acquisition in countries such as Brazil, Russia, India and China, the evaluation is designed to identify success factors for diversifying the portfolio.

Capacity WORKS

The next step is to examine the use and impact of Capacity WORKS, GIZ's management model for sustainable development. The process will also analyse how phasing-out strategies can be planned and implemented in programmes right from the outset, and which capacity development measures are needed on the partners' side.

Portfolio evaluations

Health, education and rural development

In the 2011/12 evaluation cycle, GIZ examined programmes in the priority area of health. The individual evaluations were completed in mid-2012; the cross-section evaluation will be performed in 2013. In all, 13 independent evaluations and more than 20 decentralised evaluations will be assessed. The questions being examined are: How effective and sustainable is GIZ's support for the health sector? What factors influence results, and what are the lessons learned? More than in previ-

ous years, the special focus is on the DAC criterion 'efficiency', i.e. how cost-effectively did GIZ use its financial and human resources, and the time available, in health projects and programmes? For what reasons? But we are also concerned with the quality of the evaluations themselves. Was the methodological procedure transparently presented? Were designs and data collection adequately tailored to the object of the evaluation? Were uniform ratings given for the DAC criteria, and were verifiable reasons given for the ratings?

As part of BMZ's 2012 annual theme on results in the education sector, the Monitoring and Evaluation Unit is placing greater emphasis on in-depth examination of the results achieved by GIZ's education projects in the 2012/2013 evaluation cycle. The first few of the 13 planned independent evaluations were launched in mid-2012: nine ex-post evaluations and four final evaluations. The projects and programmes carried out by all of GIZ's predecessor organisations are being examined. A preliminary study is focusing on the changes that have taken place in development cooperation in the education sector, and their consequences for evaluation. This study forms the framework of reference for these evaluations. Finally, the theme of rural development will follow in the 2013/2014 evaluation cycle.



Caroline Heider, Director-General and Senior Vice-President, IEG Independent Evaluation Group WORLD BANK | IFC | MIGA

'Evaluation plays a fundamental role in our understanding of development processes and results. Changes inside and outside GIZ,

especially the establishment of DEval, have given rise to new challenges and opportunities for including evaluation as a strategic element in decision-making processes. The Monitoring and Evaluation Unit has therefore initiated a participatory and structured process that is intended to come up with options for the best possible evaluation policy at GIZ. The establishment of GIZ's new evaluation policy must receive the appropriate corporate-policy support.'



Primary education in Guinea: new learning methods at school

Evaluation policy

The foundation of the German Institute for Development Evaluation (DEval) has brought changes to the evaluation community. GIZ has received a broader mandate from the German Government for cooperation arrangements with the private sector, civil society, and industrialised and emerging countries. What is monitoring and evaluation expected to achieve under these new conditions? To answer this question, in 2012 GIZ began to develop a new evaluation policy which takes these new conditions into account and complements the DEval evaluation system. GIZ's focus in this context is on the benefit offered for the continuing learning and improvement process, so that monitoring and evaluation is effective and contributes to sustainable development.

THE FIVE DAC CRITERIA

EVALUATION IN LINE WITH INTERNATIONAL STANDARDS

Development measures in the field of international cooperation are evaluated worldwide in accordance with uniform standards. The international donor community has agreed on five key criteria within the Development Assistance Committee (DAC) of the Organisation for Economic Co-operation and Development (OECD) for evaluating such measures. These 'DAC criteria' are:

1. RELEVANCE

Are we doing the right thing? Do the objectives of the development measure match the needs of the target groups, the policies of the partner country and partner institutions, the global development goals and the German Government's basic development-policy orientation?

2. EFFECTIVENESS

Have the objectives of the development measure, i.e. the direct results for the target groups, been achieved, and to what extent (comparison of actual situation with targets)?

3. OVERARCHING DEVELOPMENT RESULTS (IMPACT)

Does the development measure help to achieve the intended overarching results (e.g. poverty reduction, stable political conditions)? Are other indirect results, e.g. unplanned positive results, being achieved?

4. EFFICIENCY

Are the objectives being achieved cost-effectively? In other words, are the resources invested in a development measure (funding, expertise, time, etc.) appropriate compared to the outputs and results achieved?

5. SUSTAINABILITY

Are the positive results of the development measure durable? Is it probable that they will continue beyond the end of assistance?

Monitoring is the continuous, systematic **collection of data** to capture the extent to which the measure's previously defined indicators of success are changing. **Monitoring** is used to inform the officers responsible for an ongoing project about the **progress and objectives achieved** and about the use of the provided funds.

Effectiveness

The extent to which a **development measure** has achieved or can be expected to achieve its key relevant objectives efficiently and **sustainably**.

Evaluation

Evaluation refers to the **systematic and objective assessment** of a planned, ongoing or completed development measure, programme or policy. It examines the design, implementation and results.

The aim is to determine the **relevance** of the measure **for the development** of the partner country, the **results** it has produced, how cost-efficiently it was implemented and whether the result is durable. Evaluation provides credible information that enables **recipients and donors** to learn for the future, based on the findings.

Results are those **changes** that can be causally or at least **plausibly** attributed to a **measure**.



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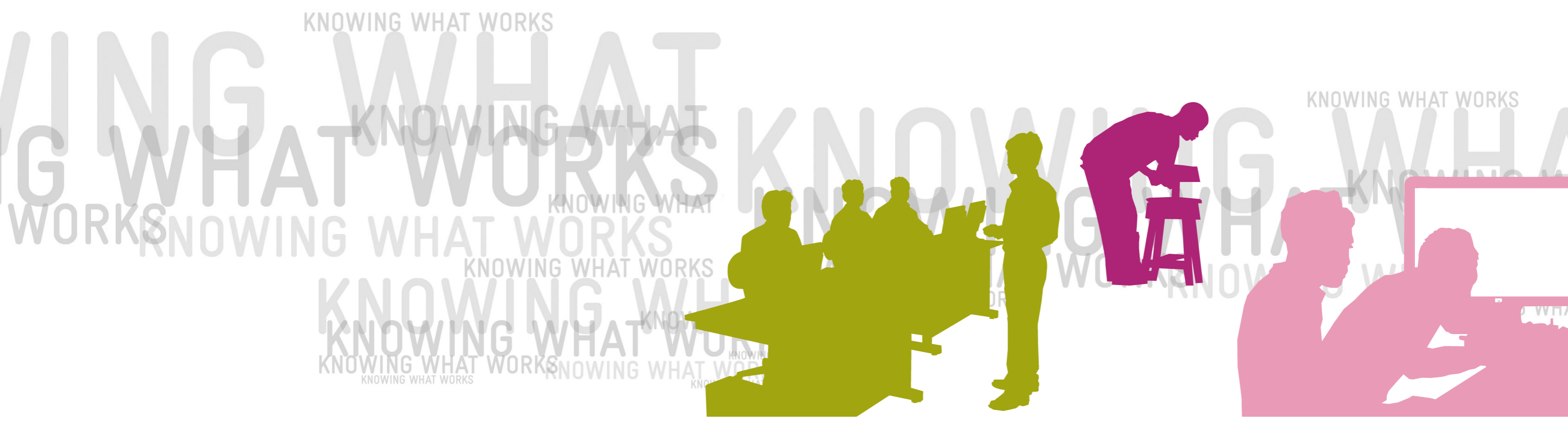
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Most of our work is commissioned by the German Federal Ministry for Economic Cooperation and Development (BMZ). However, GIZ also operates on behalf of other German ministries and public and private clients in Germany and abroad. These include governments of other countries, the European Commission, the United Nations and the World Bank. We work equally hard to help our clients in the private sector attain their goals.

FACTS AND FIGURES

GIZ operates in more than 130 countries worldwide. In Germany, we have offices in nearly all federal states. Our registered offices are in Bonn and Eschborn.

We have more than 17,000 staff around the globe, some 70% of whom are employed locally as national personnel. GIZ's business volume was about EUR 2 billion as at 31 December 2011.



As a federal enterprise, GIZ supports the German Government in achieving its objectives in the field of international cooperation for sustainable development.

This publication describes former GTZ/DED/InWent activities that are referred to in the following as GIZ activities, as a result of the change in the company name.

Published by:
Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH

Registered offices:
Bonn and Eschborn

Friedrich-Ebert-Allee 40
53113 Bonn, Germany
T +49 228 44 60 1948
F +49 228 44 60 2948

Dag-Hammarskjöld-Weg 1-5
65760 Eschborn, Germany
T +49 61 96 79 1408
F +49 61 96 79 80 1408

E evaluierung@giz.de
I www.giz.de/monitoring

Responsible for publication
Martina Vahlhaus

Project management and editing
Dorothea Giesen-Thole

Project collaborators
Steve Ameyibor, Dr Michaela Baur, Dunja Brede, Sabine Dinges, Nicole Dröblier, Frank Dubert, Alexander Erich, Michael Gajo, Jörg Hilger, Nadja Kabierski-Chakrabarti, Claudia Kornahrens, Sonja Leguizamón, Daniela Lovens, Carolin Marotzke, Kerstin Nauth, Julia Rehmet, Dr Annette Roth, Jessica Schendzielorz, David Schmid, Dr Sylvia Schweitzer, Dr Felix Sommer, Sumi Teufel

Content concept and text
PFIFF – PresseFrauen In Frankfurt: Elisabeth Ehrhorn, Carmen Sorgler

Design concept and layout
cmuk Gruppe für Gestaltung, Wiesbaden: Iris Christmann, Christian Mentzel

Photo credits
Page 5: GIZ/Karsten Thormaehlen; Page 9: Richard Hummelbrunner; Page 13: Juliana Ramos Díaz; Page 14: GIZ/Hector Mayen; Page 15: GIZ/Miriam Speh; Page 16: GIZ; Page 19: GIZ; Page 20: GIZ; Page 21: GIZ; Page 22: GIZ; Page 24: Dr Stefan Silvestrini; Page 28: GIZ; Page 30: GIZ; Page 31: GIZ; Page 35: GIZ/Kamikazz; Page 36: GIZ; Page 39: Dirk Ostermeier; Page 40: GIZ; Page 43: GIZ; Page 44: Dirk Ostermeier; Page 48: Prof. Eva Terberger; Page 49: Dirk Ostermeier; Page 51: Alexander Stein; Page 52: Alexander Stein; Page 53: Alexander Stein; Page 55: GIZ; Page 55: World Bank/Deborah Campos

Lithography
Andreas Groß

Printed by
ColorDruckLeimen

Printed on
Artic Volume 300g/m² (cover) and 115g/m² (inside section)
certified to FSC

Copy deadline
April 2013

Deutsche Gesellschaft
für Internationale Zusammenarbeit (GIZ) GmbH

Registered offices
Bonn and Eschborn

Friedrich-Ebert-Allee 40
53113 Bonn, Germany
T +49 228 44 60 0
F +49 228 44 60 17 66

Dag-Hammarskjöld-Weg 1-5
65760 Eschborn, Germany
T +49 61 96 79 0
F +49 61 96 79 11 15

E info@giz.de
I www.giz.de