



EVALUATION REPORT 2017

KNOWING WHAT WORKS

About us

Working together worldwide

As a provider of international cooperation services for sustainable development and international education work, we are dedicated to building a future worth living. GIZ has over 50 years of experience in a wide variety of areas, including economic development and employment, energy and the environment, and peace and security. The diverse expertise of our federal enterprise is in demand around the globe, with the German Government, European Union institutions, the United Nations, the private sector and governments of other countries all benefiting from our services. We work with businesses, civil society actors and research institutions, fostering successful interaction between development policy and other policy fields and areas of activity. The German Federal Ministry for Economic Cooperation and Development (BMZ) is our main commissioning party.

All these commissioning parties and cooperation partners place their trust in GIZ by working together with us to generate ideas for political, social and economic change, develop these into concrete plans and implement the envisaged change processes. As a public-benefit federal enterprise, German and European values are central to our work. Together with our partners in national governments worldwide and with our partners from business, academia and civil society, we work to deliver flexible and effective solutions that offer people better prospects and sustainably improve their living conditions.

The registered offices of GIZ are in Bonn and Eschborn. In 2016 our business volume was around EUR 2.4 billion. Of our 18,260 employees in some 120 countries, almost 70% are national personnel working in the field. In our capacity as a recognised sending organisation, we currently have 643 development workers in action in partner countries. In addition, the Centre for International Migration and Development (CIM), a joint operation of GIZ and the Federal Employment Agency, placed 847 integrated and returning experts with local employers abroad in 2016 while providing them with financial support and advisory services.*

* Figures as at
31 December 2016

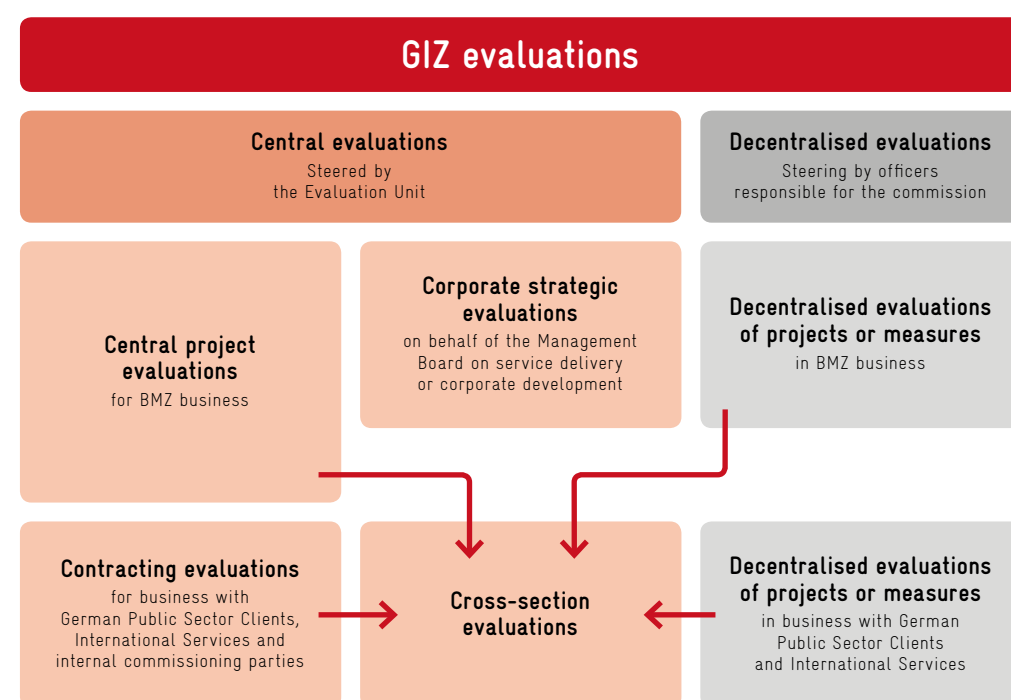
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GIZ's reformed evaluation system

GIZ's evaluations are broken down into central and decentralised evaluations. Whereas central evaluations are steered by the Evaluation Unit, which also bears overall responsibility, in decentralised evaluations these tasks are carried out by the organisational unit managing the project. Corporate strategic evaluations, cross-section evaluations and contracting evaluations are steered centrally. Project evaluations for BMZ business have also been steered centrally from October 2017. Responsibility for these evaluations – which account for the majority of GIZ evaluations – is delegated to GIZ. In addition to GIZ's own evaluations, the Evaluation Unit also supports external evaluations of GIZ's work that are steered by other organisations.



CENTRAL PROJECT EVALUATIONS

GIZ uses central project evaluations to evaluate the results, cost-effectiveness and sustainability of projects that it carries out together with its partners on behalf of the German Federal Ministry for Economic Cooperation and Development (BMZ). They can be carried out as final evaluations, or as ex-post evaluations of completed projects, or as interim evaluations of ongoing projects where evidence-based information is required for planning a follow-on commission, for steering an ongoing project or for engaging in strategic reflection with partners and commissioning parties. In cases where it is deemed both useful and cost-effective, predecessor projects are also taken into consideration in order to be able to provide a more robust basis for statements on long-term results and sustainability.

Projects with a commission value of EUR 3 million upwards are automatically placed in the pool of samples. As a first step, a regionally structured random sample is used to determine which of the projects in the pool are evaluated. Projects that have already been evaluated are then removed from the sample and finally, evaluations that are geared to specific information requirements – such as the significance of the project, its innovativeness or risk potential or the political awareness for the project and its relevance for the 2030 Agenda – are added. The overall number of projects evaluated must be large enough for the sample to be representative.

CORPORATE STRATEGIC EVALUATIONS

Corporate strategic evaluations investigate how GIZ is positioned in terms of its policies, strategies, standard processes and change processes and the approaches, concepts, instruments, projects and portfolios it uses to deliver services. The decisions and change processes that are pending within the company determine whether a corporate strategic evaluation will be commissioned. They also shape the issues it will examine. The issues are proposed by the members of the Management Board and by the departmental directors and directors of the corporate units based on the following four criteria: significance in terms of corporate policy, need for decisions in the medium term, need for evidence and the feasibility of the evaluation. The Management Board decides what projects will be included in the evaluation programme. Corporate strategic evaluations are compiled in accordance with national and international quality standards for evaluation, using a theory-based evaluation design.

CROSS-SECTION EVALUATIONS

A cross section of evaluations is evaluated every two years using evaluation syntheses and meta-evaluations. GIZ casts a targeted

eye on its own work in **evaluation syntheses**, pooling existing experience-based knowledge and expertise. To this end, evaluations from a given year, sector, region or country are analysed and factors influencing success or failure are identified, along with best practices. All evaluations that are to be examined in an evaluation synthesis are methodologically reviewed in a meta-evaluation. Any evaluations whose statements appear to lack robustness are excluded. **Meta-evaluations** are evaluations of evaluations. They review the quality standards (usefulness, quality of the processes and methodological quality). Their findings provide a basis for determining whether and how the requirements for or format of project evaluations need to be improved.

CONTRACTING EVALUATIONS

GIZ also offers evaluations to all internal clients and to external commissioning parties and clients in the business sectors German Public Sector Clients and International Services. Here, the objectives, design and criteria of the evaluation are always agreed with the corresponding commissioning party or client, depending on the information required. This does not affect the quality standards for evaluations in any way, however. GIZ advises the commissioning parties/clients on the selection of evaluation criteria in order to ensure that these criteria are suitable and that the evaluations are comparable on an international level.

DECENTRALISED EVALUATIONS OF PROJECTS OR MEASURES

Ex-ante evaluations and developmental evaluations, for example, are steered decentrally. Responsibility for these evaluations also lies at the decentralised level. The Evaluation Unit can provide advice to support methodologically rigorous evaluations, randomised control trials and the evaluations of innovative or strategically significant projects in order to make the experience available throughout GIZ.

SUPPORT FOR EXTERNAL EVALUATIONS

GIZ's work is also evaluated by others, for example by the European Union or the German Institute for Development Evaluation (DEval). These evaluations usually examine overarching themes in order to orientate German development cooperation through strategies, instruments and programmes, for example. Within the framework of its evaluation programme, DEval reviews and analyses the services provided under BMZ measures as well as the results they achieve. The Evaluation Unit supports these evaluations. In doing so, it can take the information it requires into account and increase the benefits of the evaluation for GIZ.

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Dear readers,

According to the Chinese proverb, they who know all of the answers are the furthest from the truth. And, one might add, they who know all the answers do not need to conduct evaluations. GIZ has a different understanding of its role and a long tradition of evaluation. ‘Knowing what works’: this is the yardstick we use to identify the results our international cooperation measures achieve. Which activities are successful? Which are not? On the one hand, our evaluations are designed to provide information to help us make better decisions and thus to develop as a learning organisation. On the other, they help us meet accountability requirements towards commissioning parties, clients, partners and the general public.

In all, 180 evaluations were conducted during the 2015–2016 reporting period. 169 of these were decentralised evaluations, i.e. they were commissioned by officers responsible for the commission to examine the quality and effectiveness of projects we implemented on behalf of the German Federal Ministry for Economic Cooperation and Development (BMZ). We carried out four evaluations on behalf of the German Federal Foreign Office and a further five corporate strategic evaluations to look at the effectiveness of our approaches and the quality of our policies, strategies and processes. The findings of all these evaluations are summarised in this report.

What can and must we do better in future? Numerous examples in this report show that we

are not afraid to make difficult decisions based on our findings. Both of the meta evaluations on the quality of decentralised project evaluations – the findings of which are described in Section 3 – are an example. In light of the findings of these evaluations we decided to fundamentally reform GIZ’s project evaluation system. Key elements of these reforms include separating preparatory project appraisals from evaluatory project work and introducing independent central project evaluations. How do ‘independent’ and ‘central’ tally, you may well ask? Specifically, it means that external evaluation experts who were not involved in project implementation conduct the evaluation on behalf of the Evaluation Unit, which acts independently of GIZ’s operational units. In this context, the projects that are to be evaluated are selected through random sampling. Since 2017, this system has been used in close cooperation with our Shareholder and main commissioning party BMZ on the projects that GIZ carries out on its behalf.

Another example of reforms that is very relevant for us is the corporate strategic evaluation of the *security and risk management system for foreign assignments*, the findings of which are summarised in Section 5. We rapidly implemented the suggested improvements outlined in the report. The increased risk faced in more than 50 partner countries ultimately affects the safety and security of members of our workforce. To increase effectiveness and improve the degree to which we fulfil our duty of care we have, for example,

integrated security risk management into all GIZ processes and established a new Corporate Security Unit. This unit organises safety and security as well as security risk and disaster management measures and is also responsible for technical aspects.

Both of these examples show that evaluations play a key role in further developing what GIZ does and its role as a learning organisation. Reforming our project evaluation system increases the degree to which we can manage for development results and enables us to address new challenges, for example by assessing the role we play in implementing the 2030 Agenda for Sustainable Development. And improving our security and risk management system increases the personal safety of members of our workforce on foreign assignments, which in turn creates a more conducive environment for implementing our commissions in fragile contexts.

We believe that openness and transparency, a willingness to deal constructively with criticism and errors and fostering dialogue with commissioning parties and clients in a spirit of trust are key characteristics of effective evaluation work. A willingness on the part of all stakeholders to learn from success and failure and to redress deficits in a sustainable manner plays a key role in this context. This is not just our objective, it is also our duty.



I hope you find this report both stimulating and enlightening.

Yours sincerely,

A handwritten signature in black ink, appearing to read 'Christoph Beier', with a long horizontal line extending to the right.

Dr Christoph Beier
Vice-Chair of the Management Board



'Measuring results – Contributing to Results': Marie Gaarder, Manager, World Bank's Independent Evaluation Group and Dr Ricardo Gomez (Director of GIZ's Evaluation Unit) at a panel discussion in Bonn, which was organised by GIZ to mark the end of the International Year of Evaluation in 2015

1



Evaluation
in international
cooperation –
where is it heading?

Linking the present with the future

Evaluations in international cooperation



by Dr Ricardo Gomez, Director of GIZ's Evaluation Unit

'As for the future, your task is not to foresee it, but to enable it,' wrote Antoine de Saint-Exupery in 'The Wisdom of the Sands'. He believed that rather than imagining a future that has no connection whatsoever with the present, we should find ways to facilitate the implementation of positive, innovative trends. This encapsulates the essence

of the work carried out by GIZ's Evaluation Unit. It aims to put in place the prerequisites for using evaluation findings to shape and steer projects, policies and strategies. Evaluations are regarded as an evidence-based foundation for pioneering decisions – in other words they form the link between the present and the future. To this end, we want to develop a modern understanding of what evaluation is and to ensure that the system is equipped to face future challenges.

Why is the role of evaluation in international cooperation so important compared with other policy fields?

Unlike evaluations in general, evaluations in international cooperation have two specific features. Firstly, they examine and assess projects in which the beneficiaries and financiers (usually the tax payers in the donor country) are from different countries. This means that the target groups and partners in the recipient country are unable to give any direct feedback to the policy-makers in the donor country, and there is therefore very little that people in partner countries can do to shape the decisions of policy-makers in the donor country. For their part, the taxpayers of the donor country (i.e. the voters) cannot provide any well-informed feedback to the politicians who act on their behalf. They are thus unable to hold them accountable as they do not have a direct insight into how the beneficiaries and intermediaries assess the outputs of a development measure. In institutional economics, this phenomenon is referred to in both cases as a 'broken information feedback loop'.¹

Secondly, evaluations in international cooperation examine projects that – rather than being implemented by the government's own administration – are frequently carried out on its behalf by implementing organisations such as GIZ, which are largely independent. Like any principal-agent relationship, the relationship between the commissioning party and the implementing organisation is characterised by information asymmetry. In other words, unlike the commissioning party itself – which is based in a far-off location – the organisation that is on site and actually implements the development measure has better access to data and facts on the project's outputs. This means that organisations such as GIZ have an edge over their commissioning parties who depend on the organisations for reliable information. In cases where there are different interests – which may actually exist or may be assumed – this information asymmetry may lead to

conflict and mutual mistrust. This risk is referred to as 'moral hazard'. It exists in all relationships between principals and agents, but is significantly higher in international cooperation than in other policy fields because of the broken information feedback loop described above.

This explains why evaluation plays such a crucial role for both policy-makers and the general public in the area of international cooperation, much more so than in other policy fields. From the perspective of institutional economics, it is up to evaluation to fix the broken information feedback loop and to correct the information asymmetry. In this way, evaluation aims to counteract the risk of moral hazard and the undesirable phenomena such as hidden information, hidden action and excessive control that accompany it. It therefore serves as an unequivocal feedback mechanism that implementing organisations can use to convey evidence-based information on the quality and results of a development measure from the target groups in the recipient country to the policy-makers and to the general public in the donor country who commission the measure.

In so doing, evaluations themselves are exposed to the risk of moral hazard as they are subject to the same institutional and political stimuli as a project. Three requirements that already play a key role in designing and implementing evaluations will therefore gain increasing importance in international cooperation evaluations in future. These are: 1. Robust evidence 2. Independence of evaluations 3. Participation and transparency in the evaluation process.

1. Robust evidence

Evaluations provide evidence-based information that can be used for the purposes of accountability and decision-making. Evidence-based information is intended to improve the quality of decisions made by policy-makers and managers by helping to objectify these decisions. In this context, the focus is not on denying the relativity of knowledge and the key role that deliberation plays in decision-making. Instead, evaluation

¹ For more information, please refer to 'The institutional economics of foreign aid' by Bertin Martens in *The institutional economics of foreign aid*, to which I make frequent reference here (Cambridge University Press, 2002)

generates knowledge above all by asking questions and developing results models and by exchanging and negotiating evidence-based, expert knowledge and diverging values, perceptions and interests among the actors involved in the intervention. This in turn supports the collaborative construction/reconstruction of reality, the aim being to influence decision-making.

However, the information that can actually be accepted as evidence very often depends on the objective of the analysis and on the intended use. Accountability and decision making can therefore only be based on evidence that is collected and processed systematically and scientifically. This includes procedures that shine a light on how conclusions were reached and why specific recommendations were made. Several quantitative and qualitative methods from the field of social science can be used in this context. From an evaluation perspective however, it is crucial that evidence-based information fulfils the following three requirements at the very least: accuracy, credibility and relevance. The only real response to the ‘post-truth pseudo-reality’ we live in today – where facts and evidence are becoming increasingly less important for describing actual events or for getting to the bottom of a matter – is to strengthen the ‘normative power of facts’, create transparency, disclose criteria and sources

and contextualise the ‘objectivity’ of evidence. This in turn means that here in Germany and in our partner countries we must do what we can to increase the usefulness of evaluations for accountability and for decision making at a political and managerial level.

2. Participation and transparency in the evaluation process

The statements made above lead to the conclusion that here in Germany and in our partner countries, we can increase the usefulness of evaluations for accountability and decision-making in policy-making and management by proceeding in a participatory and transparent manner. This is the only way to ensure that all of the actors involved are informed in the best possible way about the process used in the evaluation and about the findings reached, and that the decision-makers can rely on the evaluation delivering the best evidence currently available. In this respect, evaluations must offer scope for dialogue, involve all stakeholders (including the target groups of the evaluated development measures), encourage the ability to provide criticism and support evidence-based self reflection processes among people and organisations. Evaluations must also help provide a voice to all those affected by political decisions, above all marginalised and

Evaluation discussion at GIZ in Berlin with BMZ, DEval, development organisations and political foundations on 15 October 2015



disadvantaged groups. Within the context of this understanding of evaluation, evaluators must act as information brokers between different groups and ‘challenge monopolies of various kinds – of problem definition, of issue formulation, of data control, of information utilisation’.²

And finally, when analysing development measures, evaluations must also be geared towards the principles of human rights and the values of gender equity and social justice. They must also assess to the greatest degree possible the unintended negative effects that interventions can have on people and on natural resources. Evidence that is gained from this perspective and incorporated into a comprehensive Safeguards+Gender management system at GIZ provides information on the extent to which evaluations help reveal all relevant aspects in order to prevent development measures from being either intentionally or unintentionally used to serve specific interests.

3. Independence of evaluations

There is a general consensus at the international level that independence is a key quality standard for evaluations. In this context, independence means that evaluations not only have a mandate to produce critical findings, but must also be able to produce them, report on them transparently without any restrictions (unless of course the information is confidential or personal) and to select the object of the evaluation without any internal or external interference. The organisational independence of the evaluation unit usually ensures that this is the case. An independent unit reports directly to management at the highest level and is separate from operational, policy and strategic units. Avoiding conflicts of interest when selecting evaluators and involving external evaluation experts also ensures independence.

Safeguarding the independence of evaluations is also linked with the task of protecting the credibility of an organisation’s operations, of its work in the areas of policy and strategy and the integrity of the management process.³ It is therefore in the interests of any party who could potentially

be evaluated that the evaluation be independent. This can only work, however, if the organisation can also deal productively with criticism and engage in dialogue with its commissioning parties and clients based on a spirit of trust. It must also facilitate access to relevant information and not try to focus the evaluation on irrelevant or insignificant aspects. The issue of independence is much more complex than deciding whether to have evaluations conducted by internal or external evaluators. Provided that the conditions described above are fulfilled, evaluations that are carried out internally can, for example, benefit hugely from the knowledge that the evaluators have of the processes and leadership culture within the organisation, without compromising their independence.

Evaluations must be able to deal with complexity

Dealing with increasing complexity in development cooperation will also become a distinguishing feature of evaluation work in the years to come. This is evident in three areas of evaluation in particular, each of which displays varying degrees of complexity: the object of the evaluation, the evaluation environment and the evaluation measures themselves, which are currently undergoing radical change. The 2030 Agenda – which encompasses 17 goals and 169 targets – and the very principles on which it is based are a good example of how the objects of evaluations will become increasingly complex. For example, the principle of ‘leave no one behind’ requires that evaluations assess and analyse data based on the aspects of gender, ethnicity and income on the one hand for example, while also taking account of the political and sociocultural context and power relations on the other.

The second challenge lies in the environment in which development measures are implemented and evaluated. Evaluations are already being carried out in complex and fragile contexts where the objects of evaluations are either difficult to delineate or can only be delineated with an unreasonable degree of effort, where little or no information

² Cf MacDonald, Barry (1976): ‘Evaluation and the control of education’, in Tawney, D.A. (1976). *Curriculum Evaluation Today: Trends and Implications*. London. Macmillan (‘act as a broker in exchanges of information between groups’, p. 134) and in: MacDonald, Barry (1978): ‘Democracy and Evaluation’, Public address at the University of Alberta, Faculty of Education, 17 October, 1978 (‘challenging monopolies of various kinds – of problem definition, of issue formulation, of data control, of information utilization’, p. 12)

³ Cf Piccioto, Robert (2013): ‘Evaluation Independence in Organizations’, in: *Journal of MultiDisciplinary Evaluation*, Vol. 9, Issue 20 (‘integrity of the management process’)

and accumulated knowledge is available, cause-and-effect relationships are not easily identifiable and constellations of interest are diverse and lack transparency.

And finally, radical change in terms of the purpose and objectives of development measures themselves will influence how evaluations are designed and the methodologies that are used. This change is driven above all by social innovations that are a direct response to the increasing complexity created by ‘wicked problems’, the term used to denote social or cultural problems that are difficult or impossible to solve.⁴ There is no effective, long-term, scalable solution to a wicked problem. Just when we think we have ‘cracked it’, an endless chain of new problems appears in which each problem is symptomatic of another. In the words of Lindie Botha from the University of Cape Town, ‘When we are faced with this type of problem, standard M+E tools are nothing more than blunt knives’. Against this backdrop, learning and the measurement of results – both of which require a solution and a causal relationship – need to be redefined. We must then face up to the fact that the main contribution evaluations can make in this context is frequently ‘just’ understanding the complex dynamics of systems and helping to identify suitable forms of intervention.

The net result is that complexity becomes the norm, which throws up big challenges for evaluations. Evaluation practice needs to adapt accordingly and find flexible, customised solutions. In other words, evaluations must be geared to the information required and to the given context. They must embrace new methods (such as systems thinking, network analysis and process tracing) and approaches (for example, conducting evaluations to accompany interventions where an experimental approach is adopted). Furthermore, evaluation experts need to learn how to view their world from a new perspective – one that takes into account complexity and social innovation.

More opportunities: big data and digitalisation

Big data and digitalisation will revolutionise evaluation work. Large quantities of data – which are more frequently being stored and made available digitally – will radically increase the number of data sources and evaluation options. Incorporating such data into evaluations and using them to answer evaluation questions will soon become the norm. Digital media will provide more options for implementing evaluations. Benefits include first and foremost the ability to produce real-time findings and to facilitate evaluations in difficult and fragile contexts. Big data and statistical methods will also improve options for substantiating the attribution of specific results to project contributions, which means we will no longer be reliant on control and comparison groups alone. Overall, this means that evaluation processes will become more flexible and diverse. It will therefore be possible, for example, to use central and decentralised evaluations and quantitative and qualitative evaluation designs to a greater degree to complement other methods. Greater use will be made of accompanying research, evaluation can be used more frequently to flank pilot projects and prototypes and evaluation reports will incorporate continuous feedback to a greater degree and take on a more forward-looking character.

The vision of evaluations being a combination of retrospective impact analysis and an aid to decision-making will transform evaluation practice and take it increasingly down the road of what John Gargani refers to as ‘social impact management’. When viewed from this perspective, evaluation findings are not just beneficial for designing and steering projects, policies and strategies. They also provide a key link between the present and the future.

⁴ Cf ‘Truth 2.0: Upgrading mental models for better evaluation practice’. Botha, Lindie (2014), University of Cape Town. South Africa. Unpublished manuscript.

'Evaluations help our partners to achieve their goals.'

Interview with Caroline Heider, Director General and Senior Vice President of the Independent Evaluation Group of the World Bank Group



Why do development cooperation organisations invest so much in evaluations? What benefits do they bring?

An evaluation is an objective process that takes stock of what has been done to date and identifies what has been achieved and why. As a result, there may be a change of course and the lessons learned can be applied to future programmes. Of course evaluations can also be used for the purposes of accountability. But their key benefits are that we can use them to help our partners achieve their goals.

A well-functioning system made up of internal and independent evaluations also boosts our credibility and sends out the signal to our partners and donors that we want to know how our measures work and how we can continually improve what we do. An evaluation proves that the organisation is prepared to take on responsibility for the use of funds, the measures implemented and the results achieved.

What challenges does the 2030 Agenda pose for future evaluations?

There are many challenges indeed, particularly in terms of ensuring that it is possible to conduct

evaluations and that data are available, given the many different goals and indicators involved. These challenges are well-known to actors in the fields of development cooperation and evaluation and are the subject of much discussion. There is a lot more to take into account, however. The complexity of the Sustainable Development Goals (SDGs) calls for a multidisciplinary and dynamic approach to devising solutions and evaluating them. However, experience with the Millennium Development Goals has shown that there is a risk that each individual SDG will be viewed in isolation and that interconnections with other SDGs will not be identified. For example, solutions for ensuring that natural resources are used more efficiently will be impossible to achieve if consumers' behaviour patterns do not change.

How can evaluation experts respond to the increasing complexity of the problems faced?

Complex problems require a more comprehensive mix of methods that is able to address the complex interrelationships between actors, strategies and results. A linear results chain will not do them any justice – other evaluation methods are called for. For example, instruments to analyse social networks can help record and evaluate the dynamic nature inherent in complex processes.

As is the case in evaluation in the traditional sense of the word, here too planning is key however. It is important to start by understanding the object to be evaluated as well as the questions that can be evaluated and that are important for decision-makers. The most suitable evaluation methods are determined on this basis, depending on the context.



'Water reform in Albania': As part of a study trip, a high-ranking delegation of ministers from Albania visited the sewage treatment plant in Hagen.

2



What rating do
our projects
for BMZ receive?

Overall rating: 1.9

Analysis of project evaluations 2015–2016

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[Monitoring and evaluation](#) > [Findings](#) >
[Project evaluations](#)

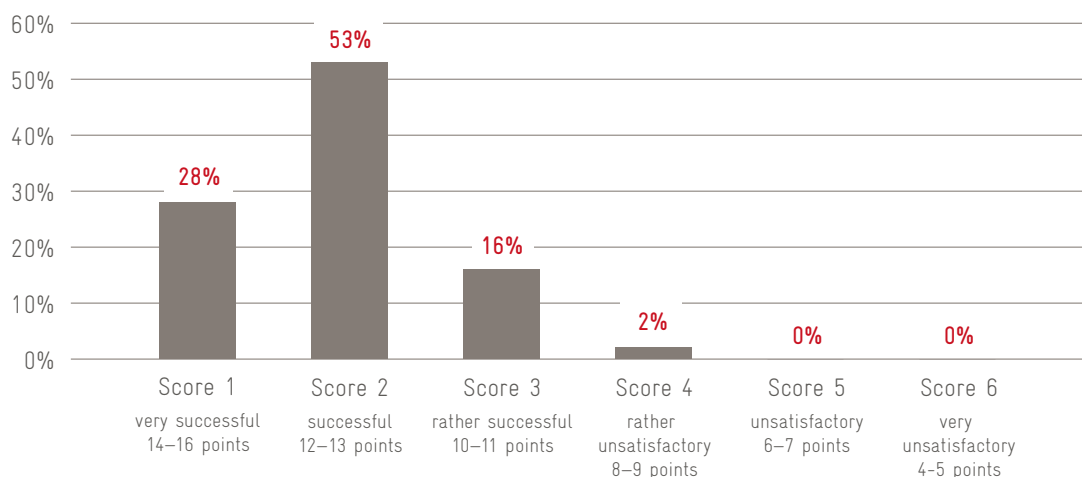
¹ From 2014 to 2017 evaluations were mandatory for BMZ projects with a commission value of over EUR 1 million and a term of at least three years. The officers responsible for the commission commissioned and steered them decentrally based on company-wide standards and requirements. Most of them were implemented by planning officers from GIZ's Sectoral Department. Within the evaluation team there had to be at least one person who was not involved in the project appraisal or from a partner organisation and also had not provided consultancy services. This person usually headed up the project evaluation.

All 169 decentrally evaluated projects received an average overall rating of 1.9. This was a further improvement on the 2012–2014 evaluation period, when the average overall rating was 2.2. The analysis was based on uniform, decentrally managed project evaluations¹, which were introduced in 2014 to replace a range of different project evaluation instruments. The assessment system was also adapted in 2014, when a more finely tuned rating system from 4 to 16 points was introduced to make the scores more transparent. The overall average rating of 1.9 therefore corresponds to 12.6 out of a maximum of 16 points.

OVERALL RATING

Of the 169 projects evaluated, 28% were rated 'very successful', 53% 'successful', 16% 'rather successful' and 2 'rather unsatisfactory'. None of

the projects were assessed as 'unsatisfactory' or 'very unsatisfactory'.



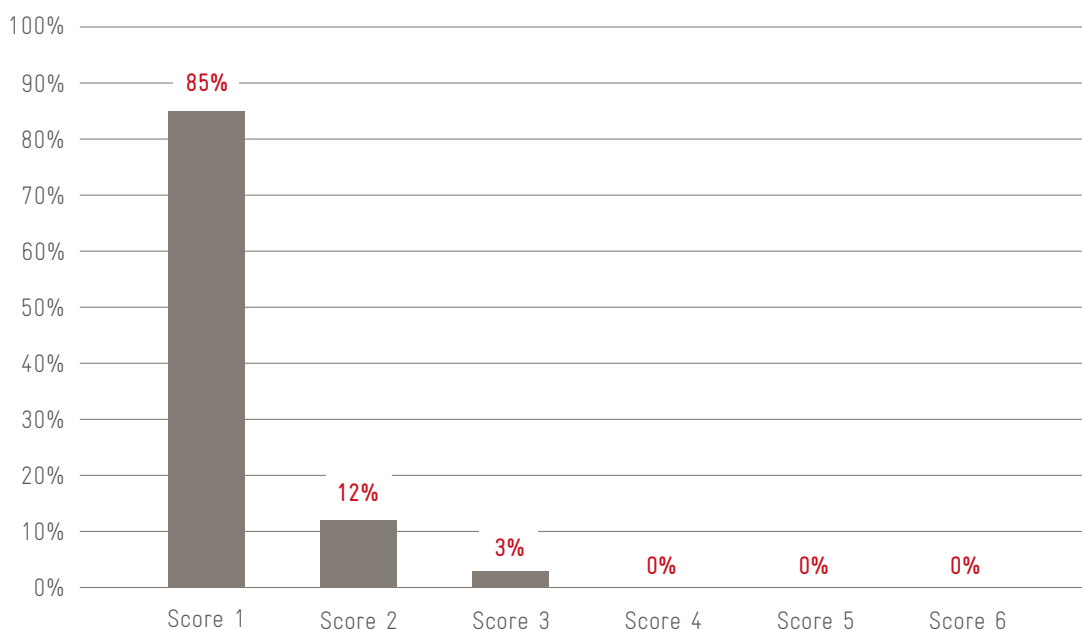
RATINGS FOR THE OECD-DAC CRITERIA

Relevance – a further improvement

Compared with the 2012–2014 reporting period, the rating for the criterion ‘Relevance’ had improved once again. In all, 85% of all projects were assessed as ‘very successful’, compared with 57%

between 2012 and 2014. This is also reflected in the average rating of 1.2, up from 1.5 for 2012–2014.

Relevance: the project sets out to address a core problem faced by the target group. The project is in keeping with relevant strategies.

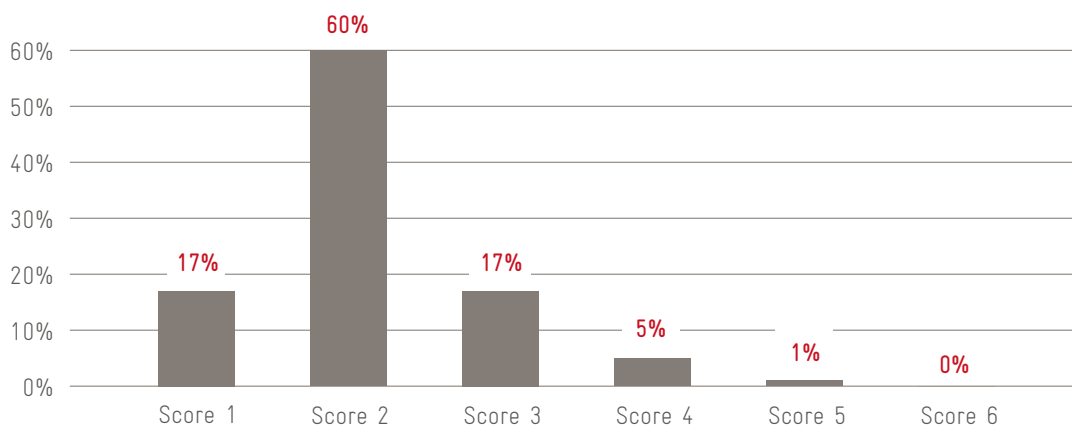


Effectiveness – a slight increase

A total of 77% of the projects were deemed to have been ‘successful’ (60%) or ‘very successful’ (17%) in achieving the agreed goals (up from 62% and 8% respectively for 2012–2014).

On average, the effectiveness of projects was rated as 2.1 in the 2015–2016 reporting period (up slightly from 2.2 for 2012–2014).

Effectiveness: the project will achieve the objective agreed in the commission, in accordance with the indicators. No unintended negative results occurred or if they did, they were responded to.

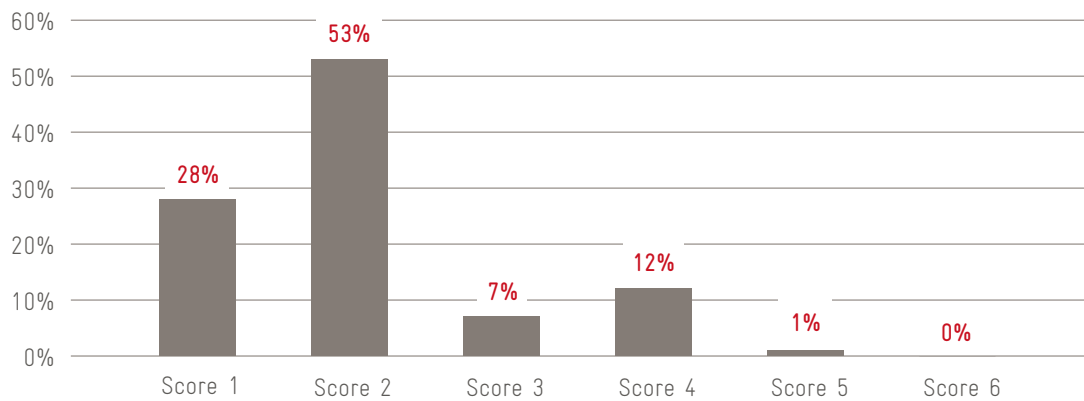


Efficiency – an overall improvement teamed with significant slumps

Efficiency: the use of project resources is appropriate with regard to the objectives achieved. The option of coordinating with other donors and/or projects has been examined and appropriate action taken where possible.

Compared with the 2012–2014 reporting period, the rating for efficiency rose from an average of 2.3 (2012–2014) to 2.0. This means that it was possible to improve the results achieved by projects proportionate to the resources used. This is primarily due to the many projects that were

assessed as ‘very successful’ (28%, compared with 13% for 2012–2014). Conversely, the proportion of projects for which the results achieved were not proportionate to resources had increased significantly (to 12%, from 7% for 2012–2014).

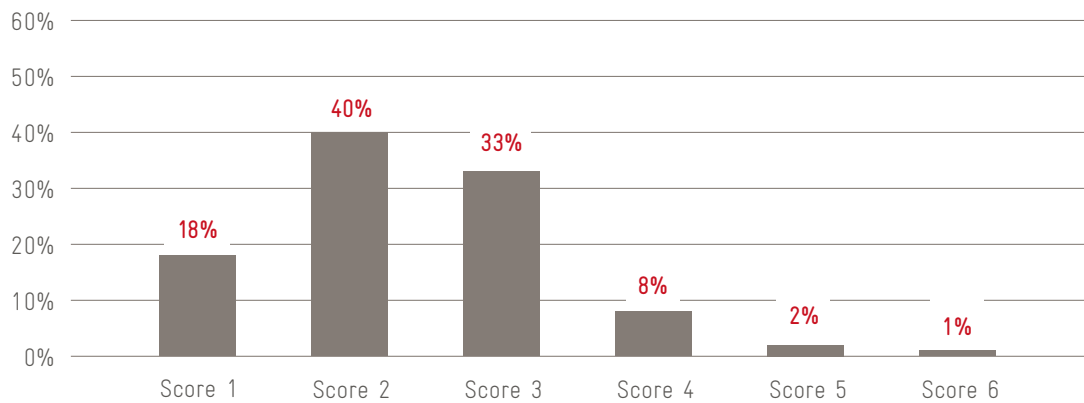


Impact – good score overall, with some poor ratings

Impact (overarching development results): it is anticipated that the project will help achieve overarching political objectives and broad impact.

Despite the good overall score of 2.4 (compared with 2.5 for 2012–2014) for the overarching development results (impact), the percentage of projects with weak ratings (of 4, 5 and 6) has more than doubled (from 5% to 11%).

This is balanced out, however, by the percentage of projects (18%) whose impact in partner countries was assessed as ‘very successful’ (compared with 7% for 2012–2014).

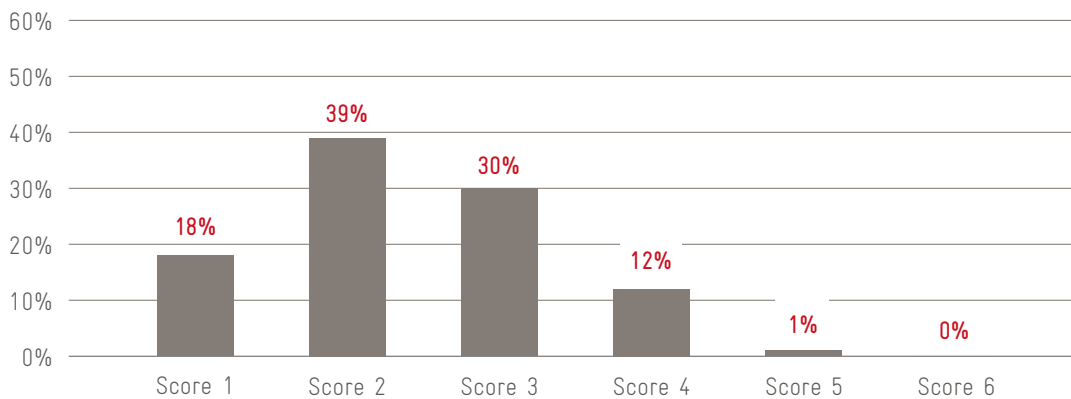


Sustainability – a slight increase, but comparability restricted

The sustainability of all evaluated projects was rated 2.4 overall, up slightly from a rating of 2.6 for 2012–2014. However, these values can only be compared with each other to a limited degree

as the changeover to decentrally managed project evaluations involved switching from a four-point to a six-point scale for sustainability.

Sustainability: It is anticipated that the project's positive results will be durable. The project takes into account possible risk factors that could influence the longer-term sustainability of results.



Assessment/the comparative quality of evaluations

	Relevance	Effectiveness	Impact	Efficiency	Sustainability	Overall rating
All reports (N=169)	14.7	12.5	11.9	12.6	11.4	12.6
Methodological requirements largely met (N=88)	14.6	12.4	11.6	12.5	11.1	12.5
Methodological requirements only met to a limited extent (N=64)	14.8	12.7	12.2	12.7	11.7	12.8

Not all of the reports (N=169) were analysed in the 2015 and 2016 meta-evaluations. Reports that were not included in the representative sample cannot be categorised.

GIZ also had the methodological quality of 152 of the 169 evaluation reports reviewed in two meta-evaluations in 2015 (representative sample) and 2016 (full survey) (cf Section 3). The reports that largely meet the methodological requirements assess the criteria of impact and sustainability slightly more critically. However,

their overall score (12.5 points, rating of 2.0) only differs slightly from the reports that meet the methodological requirements to a limited extent (12.8 points, rating of 1.8) and hardly at all from the overall score for all reports (12.6 points, rating of 1.9).

THE DATA BASE

Based on the selection criteria for project evaluations, approximately 350 projects should have been evaluated for 2015 and 2016. A total of 232 project evaluations (107 for 2015 and 125 for 2016) were submitted to the Evaluation Unit. Of these, 169 evaluations that had taken account of the required methodological amendments were

included in the analysis. These reports are based on the uniform format for decentralised project evaluation. In this context, the review period of the previous GIZ evaluation reports was changed from 1 January–31 December to 1 October–30 September, in order to ensure the prompt delivery of the evaluations for internal processes.

All evaluations at a glance

In addition to the 169 decentralised project evaluations, the Evaluation Unit also commissioned eleven centrally managed evaluations. Of these, five were corporate strategic evaluations (cf sec-

tions 5, 6, 7, 8 and 9), four were contracting evaluations (cf section 5, p. 41), and two were meta-evaluations on the quality of the project evaluation (cf section 3).

	2015	2016	Overall
Decentralised evaluations			
Project evaluations	70	99	169
Central evaluations			
Corporate strategic evaluations	3	2	5
Cross-section evaluations (meta-evaluations and evaluation syntheses)	1	1	2
Contracting evaluations	3	1	4
Total	77	103	180

'Successful': Fund for Regulatory and Policy Advice in Morocco



www.giz.de/en > [About GIZ](#) > [Quality, results and evaluation](#) > [Monitoring and evaluation](#) > [Findings](#) > [Project evaluations](#) > [Morocco: Fund for Regulatory and Policy Advice](#)

Training for judges was also financed from project funds.

The Arab Spring opened up new scope for action in Morocco. Not long after the country's 2011 constitution was adopted, a fund was therefore set up to support political and economic reform. Using around EUR 4 million from the fund, an information campaign on data protection was launched on YouTube, for example, and a law was debated to promote entrepreneurs such as an interior designer who now runs a successful business decorating apartments and hotels.

The project required repeated adjustments – work with a fund marked new terrain for the country programme and Morocco was also undergoing a period of transition. The evaluation in 2016 also provided assistance in this respect. It helped the project to define clearer standards regarding the initiatives the fund would support. Better consideration was given to opportunities and risks

in project planning. Thanks to the evaluation, the measure also worked more closely with partners in applying for funding and implementing their projects.

PROJECT TERM: JULY 2011 – DECEMBER 2017

Relevance: 14 points – very successful

Effectiveness: 13 points – successful

Impact: 11 points – rather successful

Efficiency: 11 points – rather successful

Sustainability: 12 points – successful

Overall, the project was rated as 'successful' in 2016 with 12 out of 16 points.

'Rather unsatisfactory': Drought Resilience in Northern Kenya



tion among the many different actors had created great uncertainty. This situation was exacerbated by interference by politicians at the national level, which was inappropriate. The criteria of efficiency, impact and sustainability therefore only received a rating of 'rather unsatisfactory'.

Following the evaluation, coordination between the central government and the counties in particular was improved, with the help of a nationwide decentralisation process. To this end, and under the auspices of the project, a newly legitimised consultation and coordination mechanism was set up that helped improve donor coordination. Activities such as participatory county plans and the drafting of policies, which had become bogged down, were successfully continued. Furthermore, an additional three development workers were assigned, to top up the number of GIZ long-term experts, which had been criticised as insufficient.

GIZ long-term experts support sustainable agricultural development in arid regions of northern Kenya.

www.giz.de/en > [About GIZ](#) > [Quality, results and evaluation](#) > [Monitoring and evaluation](#) > [Findings](#) > [Project evaluations](#) > [Kenya: Drought Resilience in Northern Kenya](#)

Kenya wishes to overhaul how it deals with drought emergencies. By 2022, the previous emergency response system will be replaced by long-term investment in the areas in Kenya that are hit by drought. In order to promote sustainable, drought-resistant rural development in arid regions in northern Kenya and safeguard agriculture and food and nutrition in the long term, GIZ has developed the capacities of key institutions that work on agricultural development at the national and county level and has supported them in sector planning and in introducing technical and organisational innovations.

However, the project evaluation carried out in 2016 established that although GIZ had helped develop a plan for the agricultural sector, this had not yet been implemented as a lack of coordina-

PROJECT TERM: JULY 2014 – DECEMBER 2016

Relevance: 12 points – successful

Effectiveness: 10 points – rather successful

Impact: 8 points – rather unsatisfactory

Efficiency: 9 points – rather unsatisfactory

Sustainability: 8 points – rather unsatisfactory

Overall rating: The project was rated as 'rather unsatisfactory' in 2016 with 9 out of 16 points.

'Rather successful': Protection of the Environment and Biodiversity in Jordan

Jordan – with a population of just 6.5 million – has taken in 1.5 million Syrian refugees. One of the many challenges this influx brings is unregulated waste disposal and dumps. On behalf of BMZ and with the support of His Majesty King Abdullah II of Jordan, GIZ has therefore launched several environmental protection campaigns to promote recycling, among other things.

The project evaluation carried out in 2015 confirmed that the project is dealing with a highly relevant topic and that its committed team is achieving the objectives set out in the commission and has implemented numerous very successful individual measures to this end. However, the impact has been restricted by the fact that activities have been limited to specific areas and ended when the project drew to a close.

One of the consequences of the evaluation was therefore to make the measures to promote environmental awareness sustainable. In the follow-on measure that started in 2016, a recycling station was therefore set up in the provincial capital of Karak as a model for other municipalities. A company that makes egg cartons buys compacted waste paper from here, for example. Signs reminding people about the law on environmental protection have also been erected in local recreation areas that are popular with picnickers, with trained rangers monitoring enforcement. The national campaign was also passed on to a BMZ partner project that works with locals and refugees who receive payment for collecting and sorting rubbish.

PROJECT TERM: MARCH 2013 – MARCH 2016

Relevance: 14 points – very successful

Effectiveness: 13 points – successful

Impact: 9 points – rather unsatisfactory

Efficiency: 9 points – rather unsatisfactory

Sustainability: 8 points – rather unsatisfactory

Overall rating: The project was rated as 'rather successful' in 2015 with 10.6 out of 16 points.

www.giz.de/en > [About GIZ](#) > [Quality, results and evaluation](#) > [Monitoring and evaluation](#) > [Findings](#) > [Project evaluations](#) > [Jordan: Protection of the Environment and Biodiversity](#)



Ceremony to mark the handover of the new recycling station to the Mayor of Karak



Presentation of the meta-evaluations: Dr Vera Hundt from GIZ's Evaluation Unit at the spring conference of the German Evaluation Society's working group on methods, Bonn, 20/21 May 2016

3

What is the
quality
of our project
evaluations?

Ensure the reliability of findings

The meta-evaluations on the quality of project evaluations

www.giz.de/en > [About GIZ](#) > [Quality, results and evaluation](#) > [Monitoring and evaluation](#) > [Findings](#) > [Meta-evaluation of the project evaluations \(German only\)](#)

What is the quality of the evaluations that analyse the success of projects? GIZ conducts routine meta-evaluations to examine this question. In 2015 and 2016, it looked at the quality of the methods and processes used and at the quality of use too. Translating these three dimensions of quality into measurable indicators poses new challenges for the design of meta-evaluations and the data they collect on the one hand, but also facilitates deeper insights on the other. After all, evaluations that are methodologically sound but use time consuming processes and are of little use are just as undesirable as methodologically less reliable evaluations that are frequently used.

OVERALL RESULT

GIZ arranged for two meta-evaluations to be conducted to examine the quality of 152 of the 169 evaluation reports. The results showed that only a little more than half of them were found to meet GIZ's methodological requirements for the most part.

GIZ reformed its evaluation system again as a result: since the middle of 2017 the project evaluations that were previously managed decentrally are now steered by the Evaluation Unit in order to guarantee quality and usefulness and to safeguard the reliability of results. This was because the findings of earlier meta-evaluations that assessed the quality of evaluations conducted centrally prior to 2014 were better.

A BREAKDOWN OF FINDINGS

Usefulness

Project evaluations are useful. So say the majority of the officers responsible for the commission who were surveyed. As project evaluations are conducted six to twelve months before project completion and include statements on relevant questions, the meta-evaluations were able to attest to the strong role that findings play in steering decisions and the design of follow-on measures. According to the officers responsible for the commission, project evaluations are particularly useful when stakeholders are involved. The majority of them also stated that evaluation findings could be used to advise counterparts, design political reform processes

and for strategic discussions with BMZ. By contrast, use of the findings at the sectoral and regional level within GIZ – in the sense of a company-wide knowledge management system that went above and beyond the project level – was deemed rather limited. This resulted in a decision to start conducting cross-section evaluations in addition to the other methods.

Process quality

The assessment of the efficiency of project evaluations showed a clear link between their high degree of usefulness and the assessment that the resources required for project evaluations and the allocated budget were deemed to be appropriate. On the whole, the officers responsible for the commission tended to regard this as positive. They viewed the coupling of evaluation and a simultaneous appraisal of follow-on measures as undesirable however, seeing it as overload and even excessive in some cases. In response to this finding and the ever-increasing requirements that need to be met by evaluations and the appraisal of follow-on measures, GIZ subsequently separated the two processes from each other.

Although the majority of interviewees stated that the evaluation teams acted impartially, the issue of independence was repeatedly viewed as crucial in the subsequent internal discussion. The requirement for securing independence in decentralised project evaluations – whereby at least one person within the evaluation team, if possible the head of the mission, must not be from a partner organisation or have been involved in planning or implementing the project – is relatively weak by international standards. Another issue mentioned was that the evaluators are directly commissioned by officers responsible for the commission. The only task of the Evaluation Unit, which is independent of the operational units, was to perform the final examination of the evaluation reports. All of these points led to repeated criticism of the credibility of findings and as a result, GIZ subsequently decided to switch to central project evaluations under the responsibility of the Evaluation Unit.

Methodological quality

The meta-evaluations show that methodological quality is the weakest. For example, the description of the links between the project activities and anticipated and actual results was found to be deficient. The transparency of the methodological approach and thus the validity of the assessment of the OECD-DAC evaluation criteria is a critical issue. For example, the process used to evaluate documents and to rate efficiency is not clear in most of the reports.



The spokespersons of the German Evaluation Society's working group on methods: Professor Alexandra Caspari (Frankfurt University of Applied Sciences) and Dr Jan Tobias Polak (German Institute for Development Evaluation – DEval) at the 2016 spring conference at GIZ in Bonn

Although a current meta-evaluation carried out by DEval shows that the methodological quality of GIZ's decentralised project evaluations is positioned in the mid to upper range compared with other development cooperation evaluation instruments, the analyses conducted in 2015 and 2016 showed that there is still some way to go before international evaluation standards are fully met. GIZ's evaluation reforms and the decision to use central project evaluations are addressing this issue. The aim here is to ensure that findings are reliable and empirically robust and thus to support learning and decision making.¹

¹ www.deval.org/en/ > Functions > Evaluations > Meta-evaluation and evaluation synthesis of sustainability in German development cooperation

THE METHODOLOGY OF META-EVALUATIONS

The Evaluation Unit commissioned an external evaluation team with the task of quality control. Project evaluations completed between October 2014 and September 2016 were examined. Their quality was analysed based on international evaluation standards, as represented by the German Evaluation Society (DeGEval): methodological quality (DeGEval standard ‘accuracy’), quality of the processes (DeGEval standards ‘feasibility’ and ‘propriety’) and ‘quality of use’ (DeGEval standard ‘utility’). A grid was developed jointly in order to translate these evaluation standards into 30 assessment criteria and 76 indicators. These criteria and indicators were then checked in a representative text analysis (2015: random sample of 70 out of 94 project evaluations; 2016: full survey of 100 reports) and a standardised online survey. Due to time and cost restraints, the standards of process quality and usefulness were checked solely with officers responsible for the commission. All officers responsible for the commission who commissioned project evaluations in the period under review were invited to take part. The response rate in 2015 was 79% (74 of 94) and 68% in 2016 (68 of 100).

Comparability difficult

The ability to get to grips with the content of an evaluation requires knowledge of the latter’s methodological quality. Examining the quality of the process, on the other hand, establishes important findings for a fair and efficient evaluation process that will benefit all stakeholders. And an evaluation that is tucked away in a drawer can by definition not be efficient (cost/benefit). An analysis of the three dimensions of quality – methodology, process and usefulness – has therefore proved very useful for GIZ. Comparing the findings with other institutions is difficult, however, as very few meta-evaluations are available so far on the quality of processes and usefulness. Benchmarking was also very difficult in terms of methodological quality. Findings were difficult

to compare as measurement was based on a multitude of individual analysis grids. Furthermore, in terms of content, there is no common understanding of what constitutes a ‘good’ evaluation.

In order to nevertheless try to compare findings with other institutions, the Evaluation Unit conducted a review of 14 international meta-evaluations. Although this comparison was ‘rough and ready’, it showed that the strengths of decentralised project evaluation lie primarily in the areas of ‘utility’ and ‘propriety’, which constitute part of process quality. In terms of methodological quality and feasibility, GIZ’s project evaluations are not significantly better or worse than the best and worst findings in the compared meta-evaluations.

Conference papers, publications and events

Around the world for evaluation

Sharing current findings, channelling momentum (in relation to the quality of evaluations for example) and becoming acquainted with new approaches: GIZ worked relentlessly to this end in 2015 – the International Year of Evaluation – and in 2016 too, in Germany, the Netherlands, Switzerland, the UK, Canada and the USA. Staff members from the Evaluation Unit gave a total of 24 presentations at 18 national and international conferences on evaluation and other specialist areas. The topics covered included:

Evaluation-specific topics:

- Capturing results using contribution analyses
- Qualitative social research in evaluation practice
- Evaluation in fragile contexts
- The significance of the 2030 Agenda/SDGs for evaluation

Sector-specific topics:

- Health
- Agricultural value chains

Other topics such as:

- Learning from evaluations
- Publication of evaluation results

The keenest interest was in the following areas:

- Findings related to scaling-up/broad impact
- GIZ results data and
- GIZ's evaluation system

To mark the end of the International Year of Evaluation in 2015, GIZ also organised a panel discussion in Berlin and in Bonn on 'Measuring Results – Contributing to Results'. The event was held for experts and actors in the political arena. Well over 100 guests attended the event. In 2016 GIZ hosted the spring conference of the German Evaluation Society's working group on methods.

DIGRESSION on DEval evaluation: 'Evaluation practices of German development aid agencies'

Evaluations: an integral part of German development cooperation

DEval gives good marks for evaluation culture at German development cooperation organisations. According to the findings of the 2015 review, evaluations constitute an integral component of the organisational culture of German development cooperation. In addition to the German Federal Ministry for Economic Cooperation and Development (BMZ), DEval believes that organisations that disseminate innovative evaluation methods include the Center for Evaluation at Saarland University (CEval), the German Evaluation Society (DeGEval) and GIZ. Monitoring also showed that an increasing number of

German development cooperation organisations work together on evaluations and cooperate with international organisations and the academic community. The financial resources available for evaluation have also increased. Most of those surveyed felt that resources are sufficient, albeit not for methodologically rigorous or cross-project evaluations. According to the evaluation, there was scope for improvement as regards the involvement of partners in the evaluation. GIZ wishes to improve this significantly by introducing central project evaluations.

www.deval.org/en >
[Publications](#) >
[Evaluation practices of German development aid agencies \(English summary only\)](#)



Delegation of European entrepreneurs to Nigeria: GIZ advisor to the Africa-EU Renewable Energy Cooperation Programme in discussion with the Nigerian owner of an energy company

4



Why is GLZ
building on
corporate strategic
evaluations?

Continually improving our own work

The significance of corporate strategic evaluations for GIZ

www.giz.de/en > [About GIZ](#) > [Quality, results and evaluation](#) > [Monitoring and evaluation](#) > [Findings](#) > Corporate strategic evaluations

The purpose of corporate strategic evaluations carried out by GIZ is first and foremost to build an evidence-based foundation that facilitates decision-making, change and learning processes at all corporate levels of GIZ. The aim is to support the effectiveness, efficiency and quality of services and promote business development within the company. Corporate strategic evaluations are therefore geared first and foremost to the benefits for the company. They are selected by GIZ and carried out together with external, independent evaluation experts. To date, GIZ has completed eight corporate strategic evaluations that cover a wide range of topics: *Scaling-up/broad impact, international cooperation in emerging economies, GIZ's Capacity WORKS management model, organisation of security and risk management for foreign assignments, Human Capacity Development, GIZ's gender strategy, international cooperation with Thailand and cofinancing arrangements.*

Geared to benefits

In order to ensure that the findings of evaluations can subsequently be used as a basis for decision-making, actors who have a thematic interest in the evaluation are involved in design and implementation of the evaluation from the outset. For each evaluation, reference groups are set up to support the evaluation process. Key results, best practices and success factors are discussed in internal learning and information

events. Outside of GIZ, they are also published on the internet and in publications and conference papers. The management response system records the decisions of GIZ's management and steering committees in relation to the findings and recommendations of the corporate strategic evaluations. One year later, the Evaluation Unit reviews how these measures are being implemented. This is followed by a further review after

two years. In this way, changes are monitored so that they can be evaluated as part of the quality management system.

Results at many levels

The findings of corporate strategic evaluations as well as the recommendations and decisions made in this context trickle down to many different levels within GIZ:

Corporate strategic level

At the corporate strategy level, they produce key findings for (further) developing corporate strategies and policies as well as for business development and dialogue with commissioning parties and clients. Specific measures are then incorporated into the annual corporate objectives and are subsequently implemented. For example, the corporate strategic evaluation on the contribution of cofinancing arrangements to donor harmonisation within the context of the Paris Declaration clearly showed that these arrangements help reduce or avoid parallel structures and can be used to better coordinate and synchronise cooperation within a sector (cf Section 9). In particular, the scaling up of successful project approaches, which is incorporated into almost all cofinancing arrangements, is a key mechanism to this end. Both of these corporate strategic evaluations therefore confirm the key role that scaling up plays from a development and business policy perspective.

Operational level

At the operational level, corporate strategic evaluations form the basis for decisions and measures that are integrated into project appraisals, commission management or country planning at the local level. For example, as a result of the findings of the first corporate strategic evaluation on the highly relevant topic of broad impact and the key factors for successful scaling up, a decision was made to integrate scaling-up mechanisms into the appraisal, design and monitoring of projects and into business sector development from the outset. Replicability and scalability is an important issue for many commissioning parties and clients.¹

Human resources level

At the human resources level, corporate strategic evaluations provide information that can be used to select and train experts or in order to meet requirements and provide incentives in the annual staff assessment and development talks. Examples here include the corporate strategic evaluation on implementing GIZ's *Capacity WORKS*² management model or the ongoing evaluation on quality-management practices at GIZ (*Quality assurance in line management*, cf Section 10), which focus to a greater degree on internal service delivery processes. Other examples are the corporate strategic evaluations on *GIZ's gender strategy* (cf Section 7) and on *organisation of security and risk management for foreign assignments* (cf Section 5), which recommended raising the awareness of staff members, communicating corporate culture more clearly and increasing training in these areas.

The levels of learning and discussion

In terms of learning and discussion, corporate strategic evaluations also enable GIZ-wide discussion of situations that are unclear or have different interpretations, which facilitates a broad consensus. Such matters include fostering an understanding of the company's duty of care in relation to assignments in fragile countries and the allocation of responsibilities in this respect, and developing a uniform, GIZ-wide definition of scaling up.

Conferences

The findings of corporate strategic evaluations and the consequences are also routinely presented and discussed at national and international conferences. They therefore make a key contribution to positioning GIZ within the evaluation community. Finally, GIZ's decision to publish these evaluation reports and GIZ's comments on and Management Response to them from 2017 onwards will raise the public's awareness that GIZ sees itself as a learning organisation that advocates transparency and accountability.

1 www.giz.de/en > [About GIZ](#) > [Quality, results and evaluation](#) > [Monitoring and evaluation](#) > [Findings](#) > [Corporate strategic evaluations](#) > [GIZ's Capacity WORKS management model](#)

2 www.giz.de/en > [About GIZ](#) > [Quality, results and evaluation](#) > [Monitoring and evaluation](#) > [Findings](#) > [Corporate strategic evaluations](#) > [Scaling Up](#)



Kismayo in southern Somalia 2015: Preliminary assessment with the police force and a local anti-Al-Shabaab group on a security and risk management system for two GIZ projects

5



Security and
risk management
system for
foreign assignments

Developing a clear culture for dealing with security risks

Findings of the evaluation on the 'organisation of security and risk management for foreign assignments'

www.giz.de/en > [About GIZ](#) > [Quality, results and evaluation](#) > [Monitoring and evaluation](#) > [Findings](#) > Corporate strategic evaluations > [Organisation of security and risk management for foreign deployment](#)

There are increased risks in more than 50 countries in which GIZ operates. These range from the escalation of violence right up to the collapse of state institutions. How is GIZ's system to protect its field staff members organised? And how are its policy and framework for action related to risk and security implemented in practice? What can GIZ learn from others? These questions were examined in a corporate strategic evaluation conducted in 2015. The findings were used to improve the standards, rules and instruments for GIZ's security risk and crisis management system.

THE BOTTOM LINE

An effective security risk management system allows project work to continue even in a difficult environment. It offers a systematic approach to reducing risks, safeguarding the lives and health of staff and protecting buildings, materials and equipment. The corporate strategic evaluation, which was conducted in 2015, established that GIZ had such a security risk management system in place. However, it found that there was scope for improvement in terms of structures, the implementation of processes at a practical level, the general understanding of security issues among staff and of the security culture being consistently embedded throughout the company.

A BREAKDOWN OF FINDINGS

Overall concept good; steering required at central level

The security risk management system complies with ISO 31000:2009 and performs well compared with other organisations. However, the evaluation showed that only some components of the security risk management concept, which is good overall, are being implemented. There is a lack of centralised steering. The approach – which was often dependent on the personal commitment of a country director or local security risk management advisor – was therefore inconsistent. While exemplary procedures are in place at the Crisis Desk at



GIZ Head Office and at the psychosocial counselling unit COPE ('COoperation with PErsoneel in Stress, Conflict and Crisis'), in some cases new ad-hoc processes had been developed at the local level, where security measures had not been fully implemented or coordinated at the country level. There was no technical steering of security risk management advisors.

Assessing risks on site

Furthermore, GIZ's security risk management system was deemed to be predominantly reactive rather than proactive. According to the evaluation, this was because risk assessment was outsourced to the German Embassy, for example. Afghanistan was the exception. Here, the system was based on internal information provided by GIZ's own security experts who analyse current threats and potential risks on an ongoing basis. Most members of the GIZ workforce agree that risks need to be assessed directly on site based on project experiences in order to facilitate more targeted, preventive action. However, the country offices require greater capacities so that they can collect and evaluate this information and develop appropriate solutions.

Communicating responsibilities more clearly

Responses to the evaluation question 'Who is responsible for your security?' showed that there was a lack of clarity regarding who was responsible for which aspects of security risk management. The correct response here is 'Full responsibility lies with the country director and with me'. Awareness of security issues was only greater in high-risk countries. Here, only 3% of the workforce did not know who was responsible for their security. The evaluation also found that although 79% were aware of the existence of documents or plans related to security, only 46% were familiar with these, and only half of these again believed that they were useful. They were usually regarded as unclear and too complicated.

Need for security training

Training is required in order to make members of the GIZ workforce abroad aware of their obligations under the security risk management system. The evaluation found, however, that these courses were not handled consistently. Almost half of those surveyed had not received any training on or introduction to security issues. Local training courses were not obligatory and they were not offered on a regular basis either. They also did not comply with any specific standards.

Keeping an eye on the current situation: in GIZ's office for security and risk management in Kenya

Managing Director

Dr Hans-Joachim Preuß

assumed responsibility for the theme of this evaluation, which was supported by a reference group composed of officers from throughout the company.



Security is the be all and end all

The conclusions we drew from the evaluation

'The evaluation identified the need to adapt the structures and processes associated with the security risk management system and above all to develop a clear corporate culture related to security and risk, and clearly communicate the importance of the associated themes, roles and responsibilities and the scope of GIZ's duty of care.'

Centralised steering structure set up

The key consequence of the evaluation was the establishment of the new Corporate Security Unit. This Unit is responsible for overseeing and organising technical aspects

of safety and security measures and of the security risk and crisis management system. The Unit advises on the commencement or recommencement of GIZ's operations in countries where safety is critical (e.g. Libya). It also assesses the security situation and drafts scenarios that help to develop GIZ's portfolio, taking account of risks. In the event of a crisis, it also organises evacuation from partner countries. Equally, it is responsible for raising awareness of issues related to security and risk and ensures that associated aspects are better integrated into processes, for example by providing related advice before the submission of offers. The decision was also made to implement the following measures, most of which have already been completed.

Integration of security risk management into GIZ's policy and processes

GIZ ensures that consideration is given to elements of its security risk management system from start to finish: from project design to the implementation of projects and support for staff members. This includes the involvement of the Corporate Security Unit in the selection of security risk management personnel or in approval of the design of offers for security-related themes or regions. Furthermore, a system has been developed to make transparent and monitor the costs of security and security risk management and in this way inform commissioning parties, clients and third parties about the necessity of and the costs associated with a security risk management system.

Strengthening of professional structures and expansion of quality standards

To this end, centralised and local security risk management structures were strength-

ened in terms of personnel, funding and organisation, and standardised in terms of content. Technical aspects of the new pool of security risk management advisors is steered by the Corporate Security Unit. In this way, country offices can avail themselves of their own dedicated advisors, promote their safety and security measures on site and respond to changing security situations in a standardised manner. A system of continuous exchange with German authorities and companies was set up in order to facilitate better assessment of the security situation and establish a crisis support network. Communication structures and roles and responsibilities were defined for rapidly responding to a crisis and channels were put in place for communicating with the German Federal Foreign Office's Crisis Response Centre and with BMZ's crisis officer.

Raising awareness and communication of GIZ's security risk culture and appropriate training measures

A new, mandatory online security course was introduced for all staff along with additional training for members of the workforce departing on foreign assignments in order to raise their awareness and brush up their skills in relation to security risk management and (their own) responsibilities in this context. These measures prepare them for a wide range of situations and acquaint them with their own roles. They target country directors and officers responsible for the commission in particular, but are also aimed at improving the knowledge of national personnel.

Majority felt secure

Despite all of the weaknesses identified, 61% of those surveyed felt secure at the workplace, with just over 40% feeling secure outside of it. However, there was a large degree of uncertainty in relation to GIZ's duty of care outside of working hours. This lack of certainty regarding the opportunities and limitations of GIZ's duty of care was also evident in the (incorrect) perception that GIZ's security risk management system did not cover national personnel working on site, or only covered them to a limited degree.

Security not a great concern for members of the workforce

With the exception of some countries such as Afghanistan, members of the workforce were not overly concerned about security issues. According to the evaluation, one of the reasons for this was that GIZ was perceived as a neutral actor at the international level. Sometimes staff members felt restrained and hindered in implementing their project activities if, for example, they were obliged to have trips approved on site or to send an email before undertaking a business trip. On the other hand, however, it was found that 42% of those surveyed were only occasionally if ever informed about the risks in the target country.

Embedding security risk management in planning

The lack of awareness for security issues was also reflected in project design. Routine conflict analyses did not relate to staff safety and security. Security risk management was regarded more as a separate element and was not automatically taken into account when planning ongoing programmes. This also had a knock-on effect on financing: instead of incorporating security costs into budget plans at the programme level, decisions on security spending were made at the country level for the most part.

Security and risk management means more than just correctly assessing the hazards in a particular country. It also involves being able to administer first aid.

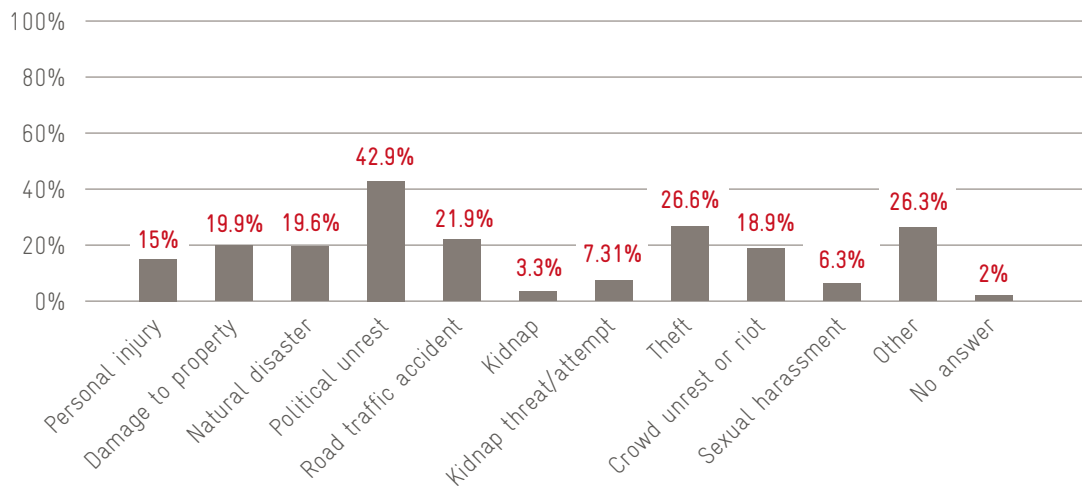


Online survey

Were you involved in a security incident over the past two years?

More than 68% answered 'No'; around 28% replied 'Yes'.

If yes, what type of incident was this?



DESIGN OF THE EVALUATION

Scenario for future security risks

The starting point for the corporate strategic evaluation was an analysis of the future security risks in the countries in which GIZ operates, based on the trends for environmental risks, drug crime, violence associated with terrorism and political unrest.

Analysis of policy and the framework for action and their implementation

Against this backdrop, GIZ's policy on the safety and security of staff on foreign assignments was examined during the second phase, as were the security guidelines for offices. Among other things, the quality of the security concept was examined, as was its practical implementation.

The required data were collected in interviews, focus group discussions and an online staff survey and through case studies in Kenya, Pakistan, Honduras and Mali. Here, GIZ's practical experience was measured based on the standards and indicators of the European Interagency Security Forum (EISF) in order to facilitate a comparison with other organisations.

International benchmark

Finally, representatives of international organisations were asked about their security risk management systems. The aim of this international benchmarking exercise was to identify best practices for further developing the existing GIZ system and iron out any weaknesses. The evaluation came to the conclusion that GIZ's security risk management concept meets international standards for security risk management systems.

Evaluation in fragile contexts

A targeted approach

It is difficult to measure results under fragile conditions. Frequently, it is impossible to objectively measure the overarching political and process-related objectives of international cooperation in states that not only lack security and legitimacy, but the required capacities too. Weaknesses in the public administration also render data analysis and evaluation difficult as well. The general population must be surveyed as a result, but they are often difficult or even impossible to reach. The tense security situation means that interview appointments can often not be kept or re-scheduled and it is therefore not always possible to triangulate¹ data. In order to generate relevant and useful findings on the results of measures in fragile contexts, GIZ uses an evaluation approach that reviews key hypotheses based on a results model and thus identifies the contribution the

project makes to political and process-related objectives as well. More time is also scheduled for collecting data in order to take appropriate account of the security situation and provide a buffer, if necessary.

Against this backdrop, in 2015 and 2016 GIZ evaluated the following four projects in Afghanistan and Pakistan, which it implements on behalf of the German Federal Foreign Office: *Strengthening training in public administration in Afghanistan*, *Support to the development of Afghan ministries and administrative systems*, *Rehabilitation of Balkh Provincial Hospital in Mazar-e-Sharif* (together with KfW Development Bank), and *Support for the peaceful coexistence of refugees and the local population in refugee-affected and hosting areas in Pakistan*.

¹ Triangulation involves applying different methods, perspectives or data to research the same phenomenon. The strengths of one approach thereby balance out the weaknesses of another.



'Support for Technical and Vocational Education and Training Reform' in Pakistan: Trainees learn how to use electric circuits in a workshop.

6



Human capacity
development
measures

Strengthening systemic thinking

Findings of the evaluation on ‘human capacity development’

Capacity development – strengthening the capacities of partners and building their potential – is key to sustainable development and is one of the key tasks carried out by GIZ and its predecessor organisations. Human capacity development (HCD) expands the competencies of individuals and designs joint learning processes so that these individuals can contribute to sustainable results within their systems of reference. A strategy for defining HCD as part of GIZ’s capacity development approach was drafted in 2013. In 2015 a corporate strategic evaluation examined how this new systemic understanding was being implemented.

THE BOTTOM LINE

Capacity development targets three different levels. Throughout the world, GIZ supports people in developing professional expertise and proactive management capabilities. The performance capacity of organisations, authorities and companies is being developed in order to increase the efficiency of their management and production structures, and governments are being advised on embedding their goals in laws and strategies and implementing them nationwide. Skilled experts are being assisted in applying their expertise in strong, competent organisations, which in turn can operate effectively in an enabling social context – with a clear mandate and well-functioning cooperation structures. The evaluation showed that a uniform understanding of HCD had still not

trickled through to the operational units and that it had not yet been fully integrated into GIZ’s systemic capacity development approach.

A BREAKDOWN OF FINDINGS

Not yet fully integrated throughout GIZ

Although the evaluation found that substantive clarification of the understanding of HCD based on the new strategy was greatly appreciated, it has still not been comprehensively embedded throughout the company, particularly in GIZ’s offices in partner countries. A uniform understanding of HCD had not yet been developed at the time the evaluation was completed.



Dependence on officers responsible for the commission

At the same time, though, the evaluation was able to identify a clear tendency towards increased integration of HCD in project design. This did not occur systematically, however, and the quality and depth of integration depended to a significant degree on the responsible planning officer. This also applied to implementation. The degree to which the potential of HCD was leveraged depended on the individual officer responsible for the commission and did not follow a standard procedure.

Useful: focus on a joint goal

Many of those surveyed also stated that the pressure for change that went hand-in-hand with the merger had evoked negative emotions towards HCD and towards GIZ's other predecessor organisations. There was frequently a lack of mutual appreciation and of a belief in a common purpose. It was also reported, however, that such attitudes could change if people were directly involved in planning and implementing projects. For this to happen, it was important to keep an

open mind and focus on the common goal within the framework of the development-policy objective.

Clear tendency towards improved cooperation

The evaluation also examined interaction between the organisational units within GIZ in order to draw up recommendations for further developing internal processes during the *bauhaus15* reorganisation process. In this context, a general trend towards improved cooperation between the organisational units was identified. Joint work on HCD measures also proved beneficial here. Despite some results scoring very highly, experiences in GIZ offices in partner countries were mostly negative. There was a consensus among interviewees, however, that the advisory and training services provided by the Academy for International Cooperation (AIZ) were good. The AIZ designs learning processes (HCD measures) and implements them on site on behalf of projects. In the partner countries themselves, the way that methodological HCD expertise and sectoral know-how is linked within the AIZ is particularly valued.

In the tropical plant greenhouse of Kassel University in Witzenhausen: study trip in 2016 for Central African university lecturers as part of the Sustainable Forest Management in the Congo Basin project.

Vice-Chair of the Management Board
Dr Christoph Beier assumed responsibility for the theme of this evaluation, which was supported by a reference group composed of officers from throughout the company.



Competence, the key to development

The conclusions we drew
from the evaluation

'The merger of GIZ's three predecessor organisations (GTZ, DED and InWEnt) to form GIZ brought together different capacity development approaches for use with partners. In order to be able to leverage the strengths of each approach, a uniform understanding needed to be developed of a holistic capacity development approach for the new GIZ. One of the key steps taken in this context was to create a new strategic basis for the measures that target the individual level – under the new name 'Human Capacity Development' – and establish clear linkages with interventions at the organisational and institutional level. The corporate strategic

evaluation set out to establish how well the new approach has been received at GIZ and whether it has helped to credibly anchor Human Capacity Development (HCD) in new project concepts.

One of the findings established by the evaluation was that implementation of the new HCD strategy still depended to a relatively large degree on the previous knowledge of individual staff members and on the predecessor organisation for which they worked. It also established that implementation of points where the overall capacity development strategy lacked credibility still had weaknesses. The reference group was therefore in favour of increasing the competence of staff members to develop convincing capacity development strategies as a whole rather than simply identifying and implementing stand-alone training measures focused solely on HCD.'

Support for an integrated understanding

As part of capacity development, HCD provides selective incentives for sustainable learning and change processes. The important role that this integrated understanding plays in reaching the targeted results has been clearly communicated since 2016. To this end, the results of the evaluation have been presented at regional management conferences, sector networks and symposiums, and good practices have been collected and provided at centralised level. A short film was also made to explain the new understanding of HCD to GIZ offices in partner countries.

Training for all of the actors involved

According to the evaluation, the quality and plausibility of capacity development strategies depend to a large degree on the people

responsible and on their competencies, experiences and attitudes in relation to capacity development and HCD. All relevant actors were therefore familiarised with the potentials of and best practices for HCD and a systemic understanding conveyed in order to support their technical perspective. The issue was also integrated into the onboarding module for new planning officers and into training courses on Capacity WORKS, GIZ's management model for sustainable development.

Greater incentives for using services

Objective: all projects should have capacity development strategies that reflect the interactions between measures at the different levels. In order to achieve this, the Management Response was not based on further binding requirements but on increased incentives for using services and for the effective design of HCD. This includes offering special procedures (HCD assessments) to appraise the use of HCD and fostering dialogue between managers and project managers on the possible applications of HCD.

Establishment of an HCD quality circle

Different organisational units and actors are involved in the design and implementation of HCD measures from the appraisal to the advice stages. In order to facilitate access to the wide range of expertise at GIZ, a quality circle has been set up in the Sectoral Department. It meets four times a year to discuss different topics.

DESIGN OF THE EVALUATION

Analysis of programme proposals

The corporate strategic evaluation examined 109 programme proposals to establish how the different levels of capacity development interacted with each other and how and to what extent they had embedded the contents of the HCD innovation strategy in the design of new projects and follow-on measures. The evaluation focused on bilateral and regional projects, examining – wherever possible – those where implementation of a capacity development strategy was in its initial stages. As implementation of the new HCD strategy had not long commenced, the evaluation was not geared towards documenting results. Based on the results achieved in this first phase, the evaluation questions were once again fine-tuned and the project examples selected for a more in-depth analysis in phase 2.

Analysis of examples

With the help of document analyses and interviews, during the second phase a total of 21 high-quality and some less-high-quality examples from all of the programme proposals analysed previously were examined to identify positive factors for successful integration of HCD in projects. To supplement this, semi-structured interviews were carried out with relevant individuals who held different roles at various managerial levels. Discussions were also conducted with groups of individuals with experience in HCD.

Case studies

Using four case studies, three projects in Central America, Pakistan and Cameroon as well as the HCD water hub, the best-practice examples were then analysed in greater depth in order to supplement the statements and temporary conclusions and recommendations from phase 2.¹

¹ The water hub, a cooperation arrangement between the Academy for International Cooperation (AIZ) and GIZ's Sectoral Department, is a virtual cross-departmental unit. It ensures greater efficiency and quality in organising and managing HCD services for the water sector and offers a 'one-stop shop' for projects.

Case study Central America: 'Promotion of renewable energies and energy efficiency'

From a training-focused approach to a capacity-to-build-capacity approach

The HCD approach in the programme on *Renewable energies and energy efficiency in Central America* was also developed using a participatory, strategic process. During the second phase, the project managers and the partners involved held more in-depth discussions and then jointly developed a strategy for reorientating the programme. The HCD approach was accorded a significantly higher status as a result. The evaluation established a clear paradigm shift from one that was primarily focused on training technicians and decision-makers towards a consistent capacity-to-build-capacity approach. In addition to being

geared towards the development of capacities of experts and managers, the measures therefore also focused on training multipliers. The capacities of further training institutions were also built in order to enable them to develop needs-oriented training measures, further expand existing measures and offer them at the regional level. The final findings of the evaluation were that 'The interviews clearly showed that the team's understanding of HCD was based on it being a comprehensive approach rather than an independent service.'

Participants in the course on the development and financing of renewable energies learn about the advantages of using renewable resources at the San Jacinto-Tizate geothermal power plant in Nicaragua.



Strong involvement of the partner side very effective



GIZ carried out numerous HCD activities to support the reform of vocational education and training in Pakistan. Management expertise was expanded in public and private educational institutions and the educational skills of trainers were improved. Predecessor projects helped build the required institutional framework for reforming vocational training. The evaluation identified two key success factors as being very conducive for successfully integrating HCD into the programme's strategy and objective: an HCD assessment, a specific procedure used to appraise the use of HCD. With support from the Academy for International Cooperation (AIZ),

the exact capacity development requirements were identified and on this basis, appropriate activities compiled, such as a six-week mechatronics training course. The second success factor for implementing the HCD approach was the close involvement of partner organisations. Training institutions, accreditation authorities and private-sector companies worked together to develop the curricula of joint training courses, to determine the number of trainees and to select participants. Although the involvement of all partners posed a huge challenge, it did provide a very good networking opportunity.

Trainees undergoing on-the-job training in Lahore

Analysing the instrument mix



www.deval.org/en >
Publications >
[Integration der Instru-
mente der Technischen
Zusammenarbeit](#)
(German only)

Were the various instruments of GTZ, DED and InWEnt successfully merged within one organisation? This was the question addressed by the DEval evaluation *'Integration of Technical Cooperation Instruments'*. The conclusion: by and large, instrument integration can be considered to have been a successful element of the structural reform of German development cooperation. The integration of the instruments development workers and integrated experts and of human capacity development (HCD) services offers enormous potential, which has not yet been sufficiently harnessed, though. 'The merger is not yet complete in terms of the instrument integration process,' the report says. The special features and strengths of the reciprocal instruments, and the value of integration in itself, were

not yet sufficiently anchored among programme planning officers and programme management officers, the report states. There was often a lack of knowledge concerning the specific features of the instruments and services, and the possibility of successively deploying different instruments and services should also be more closely examined. According to the report, the merger also led to conflicts between formerly independent HR instruments such as development workers and integrated experts. On the one hand, they were supposed to work towards achieving the intended project results; on the other, partner organisations and local employers expect them to achieve their own objectives and implement their own work programmes.

In response to the recommendations of the two DEval evaluations and the GIZ corporate strategic evaluation of *human capacity development*, BMZ and GIZ have devised a new 'strategy to modernise, strengthen and step up integration of the HR instruments development workers and integrated experts, and HCD services'. This aims in particular to improve how potential assignments for development workers are appraised, enhance knowledge management and communication with managers and partners, and provide planning officers with further training. These measures are intended to help increase effectiveness.

DIGRESSION on DEval evaluation: 'Placement of development workers'

Continuation expressly recommended

For the first time in its 50 years of existence, the development workers instrument has been systematically examined in terms of the results it achieves in partner countries. From 2013 to 2015, DEval examined all seven governmental and civil-society development service providers in Germany, including GIZ. For practical reasons, the evaluation was restricted to the period from 2000 to 2014. The conclusion: development workers empower partner organisations and strengthen the target group. Five decades

later, their placement continues to be an effective instrument of German development cooperation, and its continuation is explicitly recommended. The case studies highlight initial experience with development worker assignments in large bilateral programmes. These assignments are just as effective as those that are not integrated into programmes. However, the evaluation shows that the potential for greater effectiveness offered by embedding development worker assignments in programmes has not yet been fully harnessed.



www.deval.org/en >
[Publications](#) >
[Development workers](#)
[\(English summary](#)
[forthcoming\)](#)

Both photos: Great interest in the finding – managers and members of the management boards at GIZ and DEval discuss the findings of the TC instruments 'development workers' and 'HCD evaluation' at GIZ in Eschborn on 30 November 2016



'Allocation of land in Rwanda': women can speak openly about discrimination at citizens' talks with local governments.

7



GIZ's gender strategy

Identifying risks related to unequal treatment at an early stage

Findings of the evaluation of GIZ's 'gender strategy'

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Gender equality is a key concern within international cooperation. Promoting gender equality is also one of GIZ's key values and one of the features that define the quality of our work. The GIZ gender strategy, which was adopted in 2012 during the merger of InWEnt, DED and GTZ and which is based on the three predecessor strategies, is an expression of this corporate policy intent. In order to update the strategy, a corporate strategic evaluation was conducted in 2016 to examine the design, implementation and management of the strategy and to make recommendations on how gender equality can be even better mainstreamed and promoted at projects and within the company itself.

THE BOTTOM LINE

The evaluation examined three aspects: the design, management and implementation of the gender strategy, how it was reflected in commission management, and gender equality within the company. In 2016 the evaluation concluded that despite visible progress, a comprehensive gender-sensitive approach was still not part of GIZ's everyday corporate culture, even though few comparable organisations had adopted a similarly comprehensive strategy to that of GIZ. The gender strategy's systemic approach with

its interactions and synergy effects in five core areas (political will/accountability, corporate culture, gender equality within the company, gender competence and processes) was suitable for promoting the complex change processes envisaged for the company, the evaluation said. However, it also recommended that GIZ stop treating gender as an individual theme and link it up with other strategic issues of international cooperation such as sustainability and human rights.



The evaluation identified room for improvement with regard to uniform implementation and communication of gender policy within the company, the clarity of workflows and deficiencies in gender equality within the company, especially at GIZ offices in the field. In Germany, no systematic differences were now noticeable between the genders, which had still been the case some 10 years ago.

A BREAKDOWN OF THE FINDINGS

Design: good basis with room for improvement

With its emphasis on ‘corporate culture’, ‘gender competence’ and ‘role of managers’, the GIZ gender strategy goes much further than simply adjusting business processes. However, the evaluation sees a need for further improvement as regards the conceptual design of these important points, because no consistently gender-sensitive approach was recognisable in GIZ’s everyday corporate culture despite the fact that regular events were organised on this subject. Here, respondents wished for a stronger communication strategy and internal discussions about this and other

corporate values. The participation of GIZ’s Management Board in gender events and the appointment of a gender officer at company management level, for example, were rated as important signals for the higher priority being given to the subject of gender. The reference group recommended that gender be more strongly anchored in the management dialogue and in managerial training as possible ways of promoting a corporate gender culture and boosting the role played by managers.

Implementation: binding framework, organisation unclear

Bringing the gender strategy to life is a company-wide task for all organisational units in Germany and abroad. While the gender strategy sets a binding framework for everyone, it does not provide any clear indications as regards organisation. The organisational units should develop their own guidelines and plans for action. On the one hand, this scope for design makes it possible to react flexibly to current strategic, administrative and commercial requirements, as the case studies show. However, it also means that the processes and resources needed to implement the strategy are not standardised or established on a binding basis.

Knowing about their rights: in the Access to Justice for Women Project in Cambodia, women and girls, including female police officers, are trained in human rights and the rights of women.

Dr Sabine Müller, director general of department and gender officer at corporate management level, was responsible for the theme of the evaluation, which was supported by a reference group composed of officers from across the company.



Ensuring that gender is better mainstreamed and integrated

The conclusions we draw from the evaluation

'The findings of the corporate strategic evaluation of the gender strategy were very useful for us. We examined whether GIZ can make use of the recommendations, and on this basis developed proposals for updating the gender strategy. Some of the agreed measures have already been put into practice.'

New Safeguards+Gender Management System

The Management Board has introduced a new management process for Safeguards+Gender as a binding minimum standard for all of GIZ's business sectors, commissioning parties and clients. GIZ also has 'safeguards' for human rights, the environment and climate, and conflict and context sensitivity. The measures they include for conducting analyses and safeguarding operations make it possible to identify risks and unintended negative effects on gender equality in projects at an early stage, and to address them in a targeted manner. This also applies to specific potential for promoting gender equality and removing gender-related disadvantages and discrimination. This potential is harnessed by means of targeted measures during project design. It is monitored over the entire project cycle and corrected if necessary where negative effects are identified. Gender analyses and the mainstreaming of gender throughout the entire project cycle are thus established as mandatory elements and clear responsibilities are allocated in this regard. Since 2017, the Academy for International Cooperation (AIZ) has offered specific training courses on Safeguards+Gender.

Roles and responsibilities of gender officers clearly defined

Gender network meetings held in Bonn and Bangkok in 2016 focused on the roles and responsibilities of gender officers in the field structure. Job descriptions were drawn up and adopted for gender officers in the field and sectoral structure. These complement the job descriptions of gender officers at company level and at departmental and corporate unit level, which constitute an integral component of GIZ's gender strategy. The gender officers in the field structure

support the country directors and officers responsible for the commission in implementing the GIZ gender strategy at country level. Their role has been further strengthened through the introduction of the Safeguards+Gender Management System.

Better reporting on results of measures to improve gender equality

In order to anchor the presentation of results more effectively in progress and final reports to commissioning parties and clients, GIZ's operational departments have produced an information sheet with supporting information and have offered internal training courses.

Promoting gender equality among national personnel too

GIZ's national personnel policy is currently being revised. In the process, the company's gender equality policy will be separately enshrined and clearly formulated in the policy papers for this group of the workforce too.

Revising the gender strategy

In 2017 GIZ started to update its gender strategy, and in so doing to address the evaluation's recommendations on the strategy's design and implementation.

Matching demands with resources

The specially appointed gender officers at GIZ see the evaluation as a key element in terms of implementing the strategy. There are gender officers at corporate level, at departmental level and at the level of the country offices and the organisational units in Germany. Their tasks include advising managers and staff members, raising their awareness of gender and coordinating implementation of the gender strategy. In addition to this, they organise activities during the annual Gender Week, which gives staff members from all departments and offices an opportunity to present their gender activities, share their experience and network with each other.

This gender officer model meets with broad acceptance throughout GIZ. It remains unclear, though, whether gender officers should mainly offer advice on procedural issues or also on substantive gender-related themes. About half of the gender officers interviewed feel they are not sufficiently qualified in the latter. In all, the evaluation shows that GIZ has substantially increased its investment in the work of the gender officers since 2012 and thus also in implementation of the gender strategy. The interviews and case studies, however, clearly showed the urgent need to clarify the tasks of planning officers for gender as well as those of the sectoral planning officers and gender officers, and to spell out their skills profiles and minimum time budgets. Here, the recommendation was to examine the strategic importance that gender holds for GIZ, and to match demands with the resources provided.

Make greater use of offerings related to gender competence

Since 2012, GIZ has laid good foundations for promoting gender competence, including various mandatory and voluntary training courses and a wide range of materials on good practices. The evaluation states that greater use must be made of these offerings, however. In order to provide better guidance on roles and responsibilities

especially for offices in the partner countries, it was recommended that precise process flows be drawn up to implement the gender strategy, without restricting the scope for action on the part of organisational units.

Clear strength: gender orientation in offers

GIZ has invested a great deal of effort in integrating and standardising gender equality in the guidelines and processes related to commission management and quality assurance. The outcome is also a clear strength: gender has been almost comprehensively and formally mainstreamed in project design in all sectors. The mandatory

Weakness: reporting

At the time of the 2015/2016 evaluation, the low level of project reporting precluded any representative statements on the extent to which gender objectives had been achieved. This is considered a definite weakness, and means that opportunities for communication and knowledge management resulting from the almost comprehensive mainstreaming of gender equality in offer design are not being used. The case studies and the cross-section evaluation also confirm this finding. Most of the project progress reports examined make only brief reference to gender. This is due in part to the strict requirements for the reports, and partly to competing demands, difficult

In 2015, GIZ was the eighth German company to sign the Women's Empowerment Principles developed by UN Women and the UN Global Compact. These principles aim to strengthen the position of women within companies.

introduction of gender analyses during the preparation of new and follow-on projects has also successfully paved the way for promoting gender equality. According to the evaluation team, no new processes are therefore required for designing offers. However, the degree to which the gender analyses can be applied needs to be enhanced, as does their transfer into project design and the projects' objectives system and results model.

framework conditions and the fact that partners do not always accord high priority to this subject. As a result, the recommendation states that the existing report formats and quality assurance instruments for progress reports and evaluations should be examined and adjusted, and statements should be included on (un)intended gender equality results and on strengthening the rights and role of women in society.



Trained as an e-learning trainer in Armenia: continuing training in the South Caucasus Private Sector Development Programme

Progress with gender equality within the company

The evaluation also examined the indicators and measures related to recruitment, equal pay and career development opportunities set out in the 2012 GIZ employer/staff council agreement. It transpired that equality in terms of remuneration had progressed substantially in past years and that there were no more systematic differences in Germany and in the field among German staff members who had a Head Office contract. Nor were any such differences between genders identified with regard to the annual assessment of performance (differences that had still been clearly present in 2007 and 2008).

In Germany: more women in management positions

The proportion of women in management positions at GIZ has risen in recent years. Nevertheless, there continued to be far more male than female managers in 2016. The crucial factor for promotion at GIZ is the potential identification

procedure. Only those who take part in the procedure can assume a managerial position. To move closer to achieving parity, a women's quota of 40 to 45% was established in recent years. In 2015, women were appointed to 8 out of 17 positions at director general of department level. Managers who work part-time remain the exception at GIZ, and little advantage is taken of this opportunity. It is mainly women in lower management who avail themselves of this option. In 2014, roughly 3% of male managers worked part-time, compared with 10% of female managers.

Overall, the evaluation rates the Gender Equality Plan for 2015–18 as a suitable instrument for keeping GIZ on its current successful course towards gender equality in Germany. However, the options outlined in the Plan should be publicised to a greater extent. Besides this, more must be done at the country offices to promote gender equality among national personnel. The reference group recommends adding gender equality to the policy for national personnel, advising the country offices on that subject and clarifying who

is responsible for gender equality issues at the country offices. In general, the evaluation and reference team come to the conclusion that GIZ must examine whether or not to place its gender equality work within the broader context of a diversity management approach.

Other countries: difficulties with reconciling career and family

Outside Germany, not even 30% of managerial positions are held by women. In general, more men work in the field (62.3%), whereas in Germany, there are more female staff (66.8%). Why is this? It is much harder for women and their accompanying partners to reconcile a career with a family in partner countries. Here, respondents would like to receive more support from the country offices.

What has to happen so we can achieve the goals of the gender strategy? Development of gender-sensitive curricula in Azerbaijan as part of the South Caucasus Private Sector Development Programme



EVALUATION DESIGN

The evaluation of the *GIZ gender strategy* was conducted by a mixed evaluation team consisting of external evaluators and members of the Evaluation Unit. The team was also supported by an external gender expert from Freie Universität Berlin. To consistently align the evaluation with maximum benefit for the company, a GIZ reference group supported the evaluation process. It was made up of individuals in various positions and officers responsible for implementing and updating the gender strategy.

‘What has to happen so we can achieve the goals of the gender strategy?’ The evaluation team and the reference group started by developing a results model for the GIZ gender strategy based on this fundamental question. The evaluation team used a mix of complementary data collection methods to examine the results model empirically and to provide a robust response to the extensive questions to be answered by the evaluation. This included:

- the analysis of more than 600 documents, including 147 reports on project progress reviews and evaluations;
- a standardised online survey of gender officer views at Head Office and in the country offices;
- semi-structured interviews with selected individuals in Germany and the country offices, and six focus groups with a total of 59 people;
- three country case studies in South Caucasus, Cambodia and Rwanda analysed the framework conditions in the partner countries and identified factors that promoted and impeded implementation of the strategy.

The findings provided by the mix of methods (method triangulation and data triangulation) were then collated and discussed at a synthesis meeting (researcher triangulation).

The example of Rwanda

'One mainstreaming approach'

In 2012, the country office in Rwanda developed its own strategy called the 'one mainstreaming approach' (1-MS). Besides gender, this approach also covers HIV/AIDS, sexual violence and sexual and reproductive health. In practice, this means that the projects will carry out 1-MS analyses instead of gender analyses. In the shape of the 1-MS

team, the country office in Rwanda has created an in-house competence centre for mainstreaming issues that is managed directly by the country director. This prominent placement of gender issues and the related investment offers projects an efficient advisory structure and makes 1-MS issues highly visible.

The example of Cambodia

Practicing values orientation on a daily basis



The Access to Justice for Women Project in Cambodia (here we see participants in the course on correct conduct during counselling with women affected by violence) won fifth prize in GIZ's company-wide gender competition, out of 89 proposals.

The country office in Cambodia is taking a variety of steps to promote gender and enhance its visibility. As well as taking part in the annual company-wide gender competition at Head Office, it organises regular events and holds its own gender competition at country level. This recognises approaches to promote gender equality at different projects and for ideas on the subject of 'What does gender equality mean to you?'. The jury is made up of the gender officers at the

country office and the Asia regional department, as well as the country director himself. In 2013, at the annual meeting of GIZ Cambodia's entire workforce, he also announced the winners to the assembled workforce and presented the relevant awards. The gender competitions also promote innovation and the sharing of experience and knowledge related to gender-oriented commission management.

• Adaptation
this all about? = 1st + honorable-to-CC security
= ... + social/economic SD.

→ 1st + honorable-to-CC security
→ ... + social/economic SD

close that
• Techno
• Limited
a large #
• ASEAN
NA: REGION +

P, G-7A

Strengths

- Compromise + soft → always in the middle
- Good relationship with all parties
- High competency of MFA in diplomacy skill

Weakness

- ~~soft~~ + compromise always in the middle
- MFA doesn't play leading role during negotiations
- high rotation of Thai delegates
- Unclear structure of leadership

How should I conduct negotiations and resolve conflict? Workshop in the Thai-German programme for the development and implementation of a climate change policy

8



International
cooperation with
Thailand

Successfully placed on a new footing

Findings of the evaluation 'International cooperation with Thailand'

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Thailand is a special partner of German development cooperation. Since the first agreement was concluded between the two countries in 1956, GIZ and its predecessor organisations have implemented almost 300 projects in the country. Conditions have changed dramatically since 2008, however. After over 50 years, BMZ withdrew as the main commissioning party of bilateral cooperation. This meant that the country was no longer one of the official partner countries of German DC because it had successfully developed into an industrialised country. To mark the 60th anniversary of German cooperation with Thailand, a corporate strategic evaluation was carried out in 2016 to identify reliable findings on the long-term results of this cooperation. It also examined how GIZ had managed the process of adapting to the new framework conditions, and the lessons that can be learned for further cooperation with Thailand and comparable emerging economies.

THE BOTTOM LINE

The evaluation comes to the conclusion that GIZ has succeeded in making the transition from bilateral cooperation on behalf of BMZ to international cooperation with a range of clients. It found that expanding the GIZ office in Bangkok into a regional hub was a good strategic decision. The office is now a fulcrum of cooperation and networking, from which activities are supported and implemented in the entire South-East Asian

region. Findings related to the projects' results can be summed up as follows: they are highly relevant, and particularly sustainable when partners are comprehensively involved in planning and implementing projects. However, since examining the entire cooperation process across six decades would have been too complex, and would have exceeded the scope of a corporate strategic evaluation, the analysis was restricted to key areas in which GIZ was continuously involved over a prolonged period.



A BREAKDOWN OF THE FINDINGS

Relevance: specifically geared to development requirements

The evaluation comes to the conclusion that all of the sectors examined were highly relevant in terms of development requirements and aligned with Thailand's development agenda. This can be seen for example in the projects to promote adaptation to climate change, since Thailand is especially vulnerable to the related impacts, or in the vocational training projects. These are completely aligned with the Government's strategy to strengthen the training, skills and abilities of the working population. All of these measures are intended to help the country escape the middle-income trap. This risk of losing its competitive edge in light of rising wages, while

not yet being sufficiently able to compete with established industrialised countries, is one that faces up-and-coming emerging economies such as Thailand. Investing in education and training is one way of avoiding this trap.

The high relevance of many projects derives from the fact that they were geared to the growing regional requirements in the Mekong region following the inclusion of Viet Nam, Laos, Cambodia and Myanmar in the Association of Southeast Asian Nations (ASEAN). The projects were also characterised by their high level of flexibility and participation. 71% of respondents found that GIZ involved its Thai partners to a large degree in developing cooperation strategies and projects. The evaluation found that this positive aspect sets GIZ apart from other development organisations.

'Development and implementation of climate change policy – transformation of the global energy system, dovetailing, advisory services', meeting with representatives of industry in Bangkok on the theme of environmental management

Cornelia Richter,
GIZ Managing Director,
was responsible for the
theme of the evaluation,
which was supported
by a reference group
composed of officers from
across the company.



Developing options for other countries

The conclusions we draw from the evaluation

'Over the past 15 years, Thailand has changed from being a recipient to a donor in the development policy context. The evaluation shows that GIZ successfully supported Thailand in this process and now works in additional new fields of activity such as climate policy, and with new partners such as the Rockefeller Foundation. I am glad that one in eight internal GIZ training courses in Bangkok is held at our Academy for International Cooperation. The evaluation of this cooperation was useful for the company and drew our attention to several points to which we will react via our management response system.'

Dialogue with clients

GIZ will seek a dialogue with its clients in Thailand on trilateral cooperation in order to highlight the advantages of this instrument, such as the successful development of the capacities of Thai partners, and also to point out the need for appropriate partner inputs to strengthen sustainability in the sense of durable engagement by Thailand in the region.

Selection criteria for small projects

The acquisition of Thai partner projects amounting to up to EUR 100,000 has proved to offer the advantage of opening up new partnerships and thematic areas that may enhance GIZ's relevance in the partner country. GIZ Thailand will develop selection criteria for these small-scale projects in order to decide more systematically on the circumstances under which it is worthwhile for GIZ to implement small projects.

Options and scenarios for other countries

GIZ will also develop specific options and scenarios for individual emerging economies such as China and Chile that are in a similar situation to Thailand and that are needed to compensate for the withdrawal of BMZ commissions.

Efficiency: smooth implementation with little post-adjustment

The majority of projects were smoothly implemented within the planned period without major delays. Only a few projects had to discontinue some of the planned activities and components. For one thing, GIZ had little need to subsequently correct its approaches despite ongoing political crises, because the content matter of cooperation was not politically controversial and was mainly of a technical nature. For another, the projects had been designed to be politically sensitive from the outset, and reacted prudently to changing conditions at bureaucratic level. The evaluation also identified another success factor for efficient project planning and implementation: GIZ's good communication with key actors in Thailand.

Effectiveness: introduction of standards was especially positive

The Thai partners consider that the projects made the greatest positive contribution in the education and training, energy and environment sectors. Projects that led to the introduction of national standards were particularly effective. One dual vocational training project, for example, helped to establish a national standard for training in-house trainers. The pilot plans supported by GIZ for developing Rayong and Nan into low-carbon cities were subsequently used as models for 16 additional urban development plans in other provinces. All projects encompassed capacity development and training, mainly for actors from the state and private sector and to a lesser degree for civil-society actors. Policy advice, networking and the management and transfer of knowledge also contributed to results beyond the projects themselves. To this end, GIZ supported the development of national policies and strategies and the networking of ministries in the supported sectors.

Greatest impact after prolonged cooperation

A survey of Thai partners showed that results appear to be most visible where cooperation has been underway the longest. For example, since the start of cooperation with Thailand in the vocational training sector, GIZ has supported the introduction of a system that is inspired by the German dual training system. It is too early to say whether the system will be solidly enshrined, since it is presently competing with the Japanese system in Thailand. Nor can any robust statements be made on the overarching results of GIZ's inputs to Thailand's climate policy. However, it can be assumed that the national climate plan, which GIZ helped to formulate, will contribute to a reduction in CO₂ emissions. Good overarching results are evident at projects that supported small and medium-sized enterprises (SMEs). At enterprises supported in the agricultural sector, for instance, productivity and income have risen on average by 20%, and in some cases by over 100%.

Sustainability: partner involvement is one success factor

Sustainability is especially pronounced where standards are developed, implemented and actively used. Thus, for example, the approach for promoting value chains that was developed as part of support to SMEs created a good foundation for sustainable results. But the evaluation also identified the approach of involving partners in planning and implementing projects, and of ensuring capacity building and systematic knowledge transfer, as a success factor for sustainability. For example, it transpired that Thai universities and experts also provide important advisory services even after the end of the project term.

Trilateral cooperation: limited sustainability

The sustainability of the examined trilateral cooperation arrangements is rated less favourably than that of the projects. Here, GIZ supported the Thailand International Cooperation Agency (TICA), and implemented joint projects in neighbouring countries of the region, such as Laos and Viet Nam. Although GIZ made a major contribution towards TICA's transition from an agency that coordinates international donors in Thailand to a donor in its own right and an implementing organisation in the region, trilateral cooperation within the framework of joint projects in the neighbouring countries Laos and Viet Nam showed limited results.

The enshrinement and strengthening of good agricultural practice standards in Laos, which covered food safety, environmental and animal protection for example, were the most effective. In general, sustainability was reduced because

TICA did not propose any financing for follow-on measures after the end of GIZ's support. However, the evaluation comes to the conclusion that trilateral cooperation was a 'very innovative approach' that can be used as a model for other emerging economies.

New forms of cooperation and financing arrangements

Overall, the evaluation concludes that GIZ did a good job of managing its transition to new forms of cooperation with Thailand. After the withdrawal of BMZ as the main commissioning party in 2008, GIZ succeeded in moving on from bilateral cooperation to international cooperation with a variety of clients, and also in mobilising the required international funding. This was an important prerequisite for maintaining its office in Thailand. The most important basis for GIZ's further engagement in Thailand were the funds provided by the German Federal Ministry for the Environment, Nature Conser-

'Promoting highly developed technical services for small and medium-sized enterprises': trilateral co-operation between Germany, Thailand and Viet Nam



vation, Building and Nuclear Safety (BMUB) as part of the International Climate Initiative (IKI). Its technical expertise and long presence in Thailand make GIZ an ideal cooperation partner for BMUB. In addition, the country office was able to acquire smaller projects that helped to maintain work contacts with Thai partners and offered the potential for follow-on commissions.

Another success factor identified by the evaluation was the development of the GIZ office in Bangkok into a centre for cooperation and networking for the entire South-East Asian region.

EVALUATION DESIGN

The evaluation focused on analysing two factors: the long-term impact of projects in Thailand, and the adjustment process following the withdrawal of the main commissioning party BMZ. For this

purpose, 11 projects conducted between 2000 and 2015 were analysed in an ex-post evaluation of the three sectors climate change, vocational training and support for small and medium-sized enterprises, and of Thai-German trilateral cooperation since 2008. The evaluation was based on the five OECD/DAC criteria relevance, efficiency, effectiveness, impact and sustainability.

Two evaluation missions were carried out in Thailand and Laos, and an online survey of partners was conducted to establish which challenges and success factors could be identified for the adjustment process after 2008. A large number of project documents were also evaluated and 43 interviews conducted for the same purpose.

Success factors at a glance

Pronounced sectoral expertise

Factors that have helped to establish GIZ as a reliable partner are its long presence in Thailand and its good reputation as an actor with pronounced sectoral expertise that develops specific, viable solutions.

Network

Owing to this long-standing involvement, GIZ has built sound and close relationships and a network with ministries and state institutions. That ensures good communication with the key actors also in troubled times.

Results-based approach

GIZ's results-based approach means that results can be easily transferred, which offers good potential for sustainability.

Flexible and participatory approach

GIZ's flexible and participatory approach ensures that local needs are carefully taken into account, which further enhances the prospects of sustainability.

Activities at regional level

Owing to increasing regional integration in South-East Asia, GIZ is concentrating more closely on activities at regional level and giving consideration to the needs of regional actors such as ASEAN.

DIGRESSION on DEval evaluation: 'Aid for Trade'

Little consideration given to trade-related aspects

The 2015 study analysed and assessed the German Aid for Trade (AfT) approach to development cooperation. AfT aims to support developing countries in achieving potential gains in wellbeing through trade liberalisation. Besides this, AfT also sets out to compensate for losses suffered by the developing countries through the implementation of trade agreements. However, the analysis showed that it is a huge challenge for organisations such as GIZ to take trade-related

aspects into account in all corresponding projects. Here, it is mainly agricultural projects that offer good entry points, though these have seldom been utilised so far. Some more recent GIZ projects that are specially geared to trade issues are the exception. GIZ responded to the findings of the study and is currently preparing a new edition of the AfT Manual. AfT will be driven forward through training courses, newsletters, a dedicated website and an AfT toolbox.

DIGRESSION on DEval evaluation: 'German Aid from a Partner Perspective'

GIZ leads the field in the environmental sector

What experience have state and civil-society actors in partner countries had with German development cooperation? What strengths and weaknesses do they ascribe to it? These were the questions addressed by a joint study by DEval and AidData, a research institution at the College of William & Mary in Williamsburg, USA. The conclusion: overall, respondents give

German DC a positive rating. They perceive a clear advantage for GIZ in the environmental sector. On average, it outperforms other bilateral DAC donors both in terms of policy advisory services and agenda-setting, but, like other actors at the bilateral level, is given an average rating as regards support for implementing reforms.

DIGRESSION on DEval evaluation: 'Agricultural value chains'

Suitable for improving the living conditions of smallholders

The promotion of value chains is intended to modernise agricultural production, improve further processing and professionalise marketing. The objective: smallholder families are involved in national and international production and trade processes and earn higher incomes. The evaluation examined 48 German projects that work to promote value chains, including GIZ projects, to determine their effectiveness. The conclusion: the promotion of value chains is a suitable approach for improving the living con-

ditions of people in rural areas. At the same time, though, the differentiation of target groups – which is frequently inadequate – risks losing sight of chronically poor people and other marginalised groups. In order to reach these groups too, other measures need to be implemented in addition to promoting value chains. The objectives of promoting value chains should also not be too ambitious, as this would place an excessive burden on this promotional approach and on the projects themselves.

Conclusions drawn from the GIZ cross-section evaluation of rural development

Geared more closely to poverty reduction and nutrition



Drying unit for mangoes: 'Promotion of market-oriented agriculture in Ghana'

Who can actually benefit from the promotion of value chains? This question as to the target groups of value chain promotion was a key discussion point in the GIZ cross-section evaluation of *rural development* conducted in 2015.¹ The evaluation had endorsed the fact that many of the evaluated GIZ projects had increased productivity and, in so doing, the employment and incomes of small-holder farms. This was done in particular by linking up the target groups more effectively with agricultural markets, by using resource-saving cultivation methods and improving access to land, water, loans and know-how. By these means, the projects were able to contribute directly or indirectly to reducing poverty and improving food security in rural areas. The special focus placed

on the responsible participation of women, young people and ethnic minorities had a particularly positive impact in social terms.

GIZ has already followed up the recommendations made by the evaluation in a number of new projects, especially projects under the special initiative One World, No Hunger. This means the value chain approach will be geared even more closely to poverty reduction, food security and food quality. Nutrition-sensitive results models and indicators now determine the design of new projects on value chains, and a stronger focus is being placed on gender-specific approaches and results.

¹ GIZ's evaluation report 2012–2014 reported on the findings of the cross-section evaluation (p. 36). Since the conclusions had not been drawn when the report went to press, they are published here.

www.giz.de/en > [About GIZ](#) > [Quality, results and evaluation](#) > [Monitoring and evaluation](#) > [Findings](#) > [Completed Programme 'Independent Evaluations'](#) > [Rural development](#) > [Querschnittsanalyse \(Cross-section evaluation, German only\)](#)



'Improving resilience through the development of value chains in southern and south-eastern Madagascar': the project cofinanced by the EU is increasing production yields of honey, castor oil, beans and goat meat.

9



Cofinancing arrangements

Further standardising and synchronising processes

Findings of the evaluation on 'cofinancing'

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It is becoming increasingly interesting for international, public sector and private sector donors to become financially involved in development cooperation projects. Especially where they do not have their own local structures to implement projects, this offers them a way to become specifically involved in particular sectors and regions. Cofinancing arrangements have therefore steadily gained importance for GIZ. Apart from the EU, public donor organisations from Australia, Switzerland and the United Kingdom have participated in such arrangements, as have private foundations such as the Bill & Melinda Gates Foundation and the private sector. The corporate strategic evaluation of 2015/2016 was the first to systematically examine cofinancing arrangements with regard to their development results, taking into account the effort involved.

1 Scaling up describes the design of a process within the project or after its completion in order to achieve broad(er) impact. The aim is to disseminate successful concepts, approaches and methods beyond the individual project: on a higher or lower level (= vertically, e.g. government or local level), a new unit at the same level (= horizontally, e.g. partner organisations in other regions) or in a new context (= functionally, e.g. in a different sector).

THE BOTTOM LINE

Do cofinancing arrangements automatically mean that activities are scaled up, thus generating broader impact?¹ Do they contribute to better coordination and harmonisation of donors and of development-policy approaches in the sector? What transaction costs does GIZ have to bear? The evaluation comes to a mixed conclusion with regard to these three core themes. When it comes to broad impact, it transpired that many of the projects used the additional funding to make conceptual changes and to scale up activities in

order to operate on a broader basis. Better donor coordination was only substantiated in half of the cases, however. Here, respondents named the successful avoidance of parallel structures as the most important effect. With regard to transaction costs, there was a clear shift of costs from the cofinanciers to GIZ as the implementing organisation.



A BREAKDOWN OF THE FINDINGS

Achieving broader impact – especially through regional expansion

The evaluation concluded that cofinancing arrangements in ongoing projects lead to conceptual changes and a scaling up (expansion) of activities in the majority of cases. In over two thirds of projects (69%, n=34), horizontal scaling up occurred and in 82% of these, regional expansion. For example, new project regions were included at the wish of the cofinanciers, regions in which the latter traditionally operated and therefore wanted GIZ to become involved too.

Vertical scaling up could also be established in 45% of cases. This means on the one hand that the experience gained in the project was transferred to a higher hierarchical level and anchored in strategies at that level. On the other, the experience was also expanded to the local level, i.e. a lower level in the hierarchy, through interventions that were more strongly geared to target groups, for example. The transfer of experience to another sector (functional scaling up) was only sporadic.

Avoiding parallel structures in about half of cases

About half of the respondents agreed that donors in the sector had coordinated their activities to a greater extent. Here, respondents named the successful avoidance of parallel structures as the most important effect of cofinancing. The other half did not notice any change in the donor landscape. In over a quarter of the cofinanced projects (27%), the development approaches in the sector were also harmonised. Contrary to expectations that the number of donors in a sector would be reduced as a result, this only happened in individual cases. Indeed, in some cases cofinanced projects even attracted more donors. Why is this? The sector concerned was ‘upgraded’ by the cofinancing, making it more attractive for other donors.

Added costs and greater effort involved for GIZ

When determining the effort and cost of cofinancing, a distinction was made between internal transaction costs (for coordination within GIZ) and transaction costs due to cooperation (for coordination with the cofinancier). Internally, the main factor that drove up costs was complex financial management. When it came to transaction costs for cooperation, the factors involved were financial accounting and double reporting to the various donors.

‘Strengthening land management of municipalities in Serbia’: holistic IT solution for managing of state-owned agricultural land with an integrated geo information system in the Serbian pilot municipality Beocin

Vice-Chair of the Management Board
Dr Christoph Beier assumed responsibility for the theme of this evaluation, which was supported by a reference group composed of officers from throughout the company.



Reducing effort

The conclusions we draw from the evaluation

'The evaluation findings underline the fact that, as outlined by the Paris Declaration, the projects planned and carried out together with our international partners may lead to improved coordination within the sector and to a convergence of development-policy approaches. They also prevent parallel structures on the ground. It also became clear that cofinancing offers us and all stakeholders the opportunity to further expand tried-and-tested approaches by means of scaling up mechanisms, thus achieving broader impact. However, the evaluation also showed that cofinanced projects are frequently bogged down by administrative work such as a greater need for coordination and double reporting. Our management response system is now addressing these issues.'

Expanding support services

To provide more specific support to officers responsible for the commission, from business acquisition to the implementation of cofinancing arrangements, Head Office is expanding its range of tried-and-tested support services. Financial managers are being specifically trained to deal with the special requirements of cofinanced projects. We are also developing an IT tool that is designed to simplify the financial processing of cofinancing arrangements.

Making processes more efficient

To keep effort at the projects to a minimum, processes and procedures must be standardised and synchronised to the greatest possible extent. Our aim is to work towards this goal in dialogue with our clients and international partners. This will ensure that the development results generated by cofinancing are not cancelled out by the transaction costs involved. The evaluation shows that transaction costs can also be lowered through long-term planning of joint projects together with cofinanciers. This is another approach we intend to pursue further.

Whereas cofinanciers and national partners alike reported savings through the avoidance of parallel structures (albeit accompanied by a greater need for coordination), the officers responsible for the commission interviewed at GIZ mainly believed that cofinancing entailed greater effort and a clear shift of transaction costs to GIZ as the implementing organisation. However, these findings on the development of transaction costs are not entirely reliable owing to the limited methodological effort considered reasonable in order to establish them.

Synergy effects recognisable but not yet robust

The evaluation findings also point to synergy effects between the three core themes. According to these findings, the broader impact achieved via various scaling-up mechanisms led to the conceptual harmonisation of sectoral approaches, to greater coordination of objectives and the dismantling of parallel structures. However, GIZ does not consider these linkages and synergies to be comprehensive and systematic enough to draw robust conclusions from them.

Good potential for involving the (local) private sector

The evaluation comes to the overall conclusion that cofinancing offers a good and tried-and-tested opportunity for driving forward partnerships with a variety of actors (multi-stakeholder partnerships). In particular, the involvement of the (local) private sector offers potential because these actors can build on an established structure and on the know-how and network of existing projects. Cofinancing arrangements are therefore especially suitable for companies and associations so that they can assume a share of responsibility for achieving development goals, as set out in the 2030 Agenda for Sustainable Development.

EVALUATION DESIGN

The evaluation was designed to provide both evidence of development results and examples of innovations from particularly successful cofinancing arrangements. It was also meant to show how improvements could be made in designing and implementing these arrangements. To this end, the evaluation had a similar design to the parallel evaluation of the EU aid delivery mechanism of delegated cooperation carried out on behalf of the European Commission.² The findings were to be available as far as possible at the same time as those of the evaluations carried out by the Directorate-General for International Cooperation and Development (DG DEVCO) (see box on p. 79).

Document analysis

Did the projects change due to the acquisition of cofinancing? In what way? In order to capture these changes and map the characteristics of GIZ cofinancing arrangements, 54 cofinanced projects were examined and the original offer documents without cofinancing were compared with the modification offers to BMZ after the successful acquisition of financial contributions. A distinction was made between cofinancing with the EU and with bilateral donors.

Semi-structured interviews

In addition, 108 telephone interviews were conducted with various actors, about half of them with GIZ officers responsible for the commission. Added to these were interviews with cofinanciers, local national partners and BMZ desk officers who contributed vital information on sectoral changes brought about through cofinancing. Do cofinancing arrangements lead to savings or entail greater effort? What are the key drivers of transaction costs? Since no counterfactual comparison could be made with cases that did not involve the financial participation of third parties, and the transaction costs could not be quantified using the available evaluation methods, the responses to these questions were captured in interviews.

² Via the 'delegated cooperation' financing mechanism, the EU grants cofinancing to European implementing organisations.

Project example: 'Participatory Development Programme in Urban Areas of Ethiopia'

Cofinancing drives regional and sectoral expansion

Ethiopia is an example of how private cofinancing can expand a project in conceptual terms and rapidly promote broad impact. Thanks to funding provided by the Bill & Melinda Gates Foundation (BMGF), the aspect of pro-poor urban development could be added to the programme for participatory development in urban areas of Ethiopia. BMGF had offered to contribute funding of some EUR 3.7 million to the concept developed by GIZ International Services to train and employ road builders in order to make it more inclusive. This ensured that the concept could be regionally expanded and implemented in a holistic manner in one partner city of each of the country's regions, from conducting training courses to set up quarries to employing the road

builders in urban development projects. The core element of the approach was to steer public expenditure so as to generate labour-intensive measures that promoted employment, and then to link these with urban development in parts of the city where the target group itself would benefit, e.g. by expanding roads in slum areas. This pro-poor approach was also applied to refuse disposal and urban greening, one of the few examples of successful functional scaling up mentioned in the corporate strategic evaluation. These successful efforts attracted the attention of the EU throughout the programme and it also channelled an additional EUR 19.7 million into a delegated cooperation arrangement to further expand the concept in poor areas of the city.

Road surfacing on the road to Assosa, Ethiopia: the strategy for training and employing road builders was implemented throughout the country thanks to cofinancing.



DIGRESSION on DEVCO evaluation: 'Delegated cooperation'

Moderate contribution to effectiveness and efficiency

The *delegated cooperation* mechanism used by the EU to grant cofinancing led to better cooperation and coordination in the sectors concerned and meant that the approaches used to achieve objectives were harmonised and coordinated more efficiently. This is the finding of the evaluation of the Directorate-General for International Cooperation and Development (DG DEVCO) carried out on behalf of the European Commission. However, the DEVCO evaluation did not succeed in quantifying potential changes in transaction costs either. Like GIZ's evaluation on cofinancing, though, it too

comes to the conclusion that possible savings by national partners and the EU as cofinancier are at least partly shifted on to the implementing organisations. Another finding was that in the context of the aid effectiveness debate, *delegated cooperation* arrangements make only a modest contribution to strategic objectives such as effectiveness and efficiency. The reason given for this is that the financing arrangements examined frequently aim to achieve operational improvements. Strategic components such as better division of labour between the individual sectors are therefore not adequately considered.

<https://ec.europa.eu/europeaid/> >
[Projects & Results](#) >
[Evaluation](#) >
[Strategic evaluations](#) >
[Evaluation Reports 2017](#) >
[Strategic evaluation of the EU aid delivery mechanism of delegated cooperation \(2007–2014\)](#)

DIGRESSION on DEval evaluation: 'Accompanying Measures to General Budget Support in Sub-Saharan Africa'

Added value lies in interactions

General budget support now plays a very subordinate role in the services provided by German bilateral development cooperation, whereas accompanying measures to budget support are gaining importance in the public finance sector. This involves strengthening the oversight role of local actors (= parliament, civil society, the media) and of national oversight bodies (= supreme audit authorities, anti-corruption authorities). The DEval evaluation confirmed the relevance of these measures for the effectiveness of budget support in sub-Saharan Africa. However, it also noted that the fact

that accompanying measures are proliferating while general budget support itself is dwindling should be considered as a 'factual return to project support'. Success factors identified by the evaluation for fruitful accompanying measures included autonomy and the commitment of partner governments, and close coordination between donors, partners and the German implementing organisations. The final conclusion is that the accompanying measures offer most added value in terms of the interactions with other elements of general budget support, such as policy dialogue or pledged financing.

www.deval.org/en >
[Publications](#) >
[Accompanying Measures to General Budget Support in Sub-Saharan Africa](#)



Cash-for-work construction of a leisure area at Kabarto refugee camp in Northern Iraq: temporary income helps families to secure a livelihood, at least provisionally.

10



Where do we go
from here?

Themes and challenges

Preview of evaluations 2017–2018

Corporate strategic evaluations on displacement and migration, among other themes, an internal reform of evaluation and conceptual innovations in evaluations resulting from the requirements of the 2030 Agenda – the coming years will not only bring new findings for the learning process within the company, they will also bring a variety of innovations and challenges for the Evaluation Unit itself.

CORPORATE STRATEGIC EVALUATIONS

Quality assurance in line management

The Management Board initiative ‘Quality assurance in line management’ provided systematic instructions on quality assurance at projects and established minimum standards. It aimed to contribute to quality assurance at projects by establishing minimum standards to improve project management and implementation. Quality was defined as the achievement of the objectives agreed with clients and partners. GIZ’s rules, standards and Corporate Principles must be complied with in this context. The initiative was prompted by recurrent reports on the poor quality of projects that had repeatedly been systematically examined.

Following the introduction of the minimum standards in 2014, since late 2016 the corporate strategic evaluation has been examining the extent to which the instructions are being put

into practice, whether they are appropriate and actually help to improve management practice at the projects.

The evaluation is now analysing how the defined substantive and technical standards from dialogue formats and Capacity WORKS – GIZ’s management model for sustainable development – are being applied and what factors can be identified to foster or impede implementation.¹ A special focus is being placed on implementation of the management and quality dialogue. The evaluation is also asking whether the responsible officers consider the minimum standards for improved project management to be appropriate and useful. It is also meant to identify needs for the further development of *quality assurance in line* management, for example with regard to the specificities of different project types (such as global, sector and regional projects) or the mandatory technical and substantive tools related to the minimum standards.

To ensure that answers are based on empirical evidence, the evaluation is using a mix of methods. The findings of a random sample of

¹ www.giz.de/en >
Our Microsites >
Expertise > Methods >
Capacity WORKS



six country case studies and two case studies in sector projects are being triangulated with a comprehensive online survey of all officers responsible for the commission and their line managers, and with the evaluation of a random sample of minutes of management team meetings in the partner countries.

Cooperation with the private sector

Cooperation with the private sector has become increasingly important in international and German development cooperation. In addition to its long-standing support for private sector development in partner countries, GIZ is increasingly convincing international companies to contribute to sustainable development by providing additional capital, technological innovations and business know-how.

Since late 2016, the evaluation has been examining what results are being generated by different forms of cooperation with private sector actors, what added value this cooperation provides and how successful measures, approaches or impact mechanisms can be transferred to achieve broad impact. It is also examining how exchanges take place within GIZ, how cooperation works between the organisational units involved, and how the interfaces with private sector actors function. Building on this, it indicates where potential lies for the future strategic orientation of cooperation with the private sector.

The first step was to formulate how GIZ defines cooperation with the private sector and to describe the relevant portfolio. Specific results, good practices and the related potential for further development and dissemination of proven approaches were then examined more closely based on case studies, and validated via expert interviews and an online survey.

Opportunity to earn money from construction projects and social activities even in refugee camps: the programme for the 'temporary stabilisation of needy households of refugees, internally displaced persons and host communities in Northern Iraq (cash for work)', which was launched in 2016

Planned corporate strategic evaluation

Topics	Evaluation questions
Sustainability management at GIZ	How well is GIZ positioned with regard to corporate sustainability management, say in comparison with other federal enterprises?
Good governance and decentralisation portfolio	How effective and sustainable are GIZ's interventions in the field of good governance and decentralisation, and how important will this portfolio become in connection with the 2030 Agenda?
Corporate culture	What are key features of GIZ's corporate culture (as it stands), and how can it be further developed (target culture)?
Academy for International Cooperation	How does the model of the company's own academy work? Where is the added value of pooling internal training courses? How do projects make use of the range of courses on offer?

Having a chance to play and dance again:
Summer School for refugee children in Iraq in the host community of Darkar



Displacement and migration

At the end of 2015, 65.3 million people around the world were either internally displaced or had fled to a foreign country. In 2015 alone, their number swelled by 12.5 million. Besides involuntary migration owing to armed conflict, persecution and extreme weather events, the globalisation of labour markets and urbanisation are also provoking migration flows. On behalf of the German Government and the European Union, GIZ implements refugee and migration projects around the globe. The number of new projects, some of them with large amounts of funding, has grown again since 2015. The projects sometimes have to be designed at very short notice and with tight deadlines. More than in the past, they are expected to deliver relatively short-term success, which poses a number of challenges for GIZ.

To launch a company-wide reflection process as to how managing for development results can be further improved, in 2017 the Management Board commissioned the Evaluation Unit to carry out a corporate strategic evaluation on *displacement and migration*. However, this was intended to focus on learning within the process rather than on analysing and assessing results. The evaluation's approach was therefore to generate findings from ongoing projects in order to feed these into the design of new projects.

Key questions asked by the evaluation are how GIZ implements its clients' objectives in projects, what assumptions are made with regard to results, what evidence there is for the viability of these assumptions, and how GIZ is currently monitoring the results being achieved. For this purpose, the evaluation analysed GIZ's portfolio in the field of *displacement and migration*, and compared it with a collection of existing studies and evaluations. Supplementary sources were case studies in Morocco, Iraq and Albania, which were used to analyse typical challenges related to implementation and results monitoring.

It is proving very challenging to carry out and steer the evaluation because it is being performed

in a very dynamic and fast-moving environment, and has to examine ongoing projects in sometimes fragile contexts. To ensure that the evaluation is relevant and needs-based, a series of dialogue events were held with different stakeholders at both decision-making and implementation level. These offered an opportunity to ensure a needs-based approach, to discuss provisional findings and establish their validity.



DECENTRALISED AND CENTRAL PROJECT EVALUATIONS

Smooth progress despite a change in system

In 2017, GIZ switched from decentralised project evaluations to a system involving central responsibility for project evaluations. It did so in response to the 2015 and 2016 meta-evaluations on the quality of project evaluations, and gave the Evaluation Unit central responsibility for evaluation management and quality assurance. To make sure there were no gaps in evaluation owing to the change of system, decentralised and central evaluations sometimes take place in parallel for an

Training internally displaced women as health advisors in Dohuk Province in Northern Iraq: the women pass on the knowledge they have gained in the refugee camp.



interim period. The first central project evaluations were conducted in 2017. This arrangement enabled a smooth transition between the two evaluation systems and ensured that GIZ could meet its accountability obligations at all times.

How does the 2030 Agenda change project evaluations?

In 2015, all United Nations member states adopted the 2030 Agenda for Sustainable Development, which forms the basis for global sustainable development in the coming years. At the heart of the Agenda are 17 Sustainable Development Goals (SDGs), which aim to achieve global economic progress in harmony with social justice and the conservation of natural resources.

Industrialised nations, emerging economies and developing countries have jointly undertaken to achieve the SDGs by 2030. Examining how this is being done puts a lot of pressure on future evaluations carried out by German development cooperation and international cooperation. Project evaluations will in future always examine whether and to what extent projects are aligned with the 2030 Agenda and whether their design meets the Agenda's minimum requirements. Wherever possible and expedient, central project evaluations must bear in mind the following requirements arising from the 2030 Agenda:

- The contributions made to the SDGs and Agenda principles, which are named in the country strategies and programme design, must be presented.
- The interplay of dimensions of sustainability must be shown, and trade-offs and synergies must be examined.
- The 'leave no one behind' principle calls for evaluations that place greater emphasis on human rights principles and standards, and focus on especially disadvantaged population groups. This calls for differentiated recording and reporting on different sections of the population.
- It also requires reflection on learning approaches that have been gained from implementing multi-stakeholder approaches, integrated approaches and approaches geared to practicing the principle of 'leave no one behind'.

Another question is the extent to which the OECD/DAC evaluation criteria make it possible to address the above-mentioned requirements arising from the 2030 Agenda. That would ensure that the need to align projects with the 2030 Agenda would be taken into account when assessing and rating them.

How many projects have already contributed to implementing the 2030 Agenda and the SDGs in the partner countries, and how have they done so? The unit can have such questions clarified by means of a subsequent evaluation synthesis of the available central project evaluations within the scope of a cross-section evaluation. In addition, corporate strategic evaluations may include the processing of so-called cluster evaluations (joint reviews of several projects/modules) on individual themes and principles and on selected SDGs.

Implementing the 2030 Agenda for Sustainable Development

New requirements to be met by evaluations

Support for reporting on implementation progress

Evaluations on the national implementation of the 2030 Agenda must be steered by the countries. They are based on their national strategies, objectives and indicators for implementation of the 2030 Agenda. One key benefit of such evaluations is to help reach sound policy decisions and to support partner countries' reporting on the progress they have made in implementing the Agenda. This includes strengthening national data and evaluation systems and promoting the evaluation capacities and culture of stakeholders.

Complexity of development processes calls for systemic evaluation approach

The high degree of complexity and interactions between the goals and targets of

the SDGs mean that evaluations must adopt a complex and interdependent methodological approach, i.e. a systemic evaluation approach that bears in mind the planned and unexpected interactions between the various objectives dimensions.

Giving consideration to the needs of marginalised groups using differentiated data

To design and subsequently examine policies and projects that put into practice the 2030 Agenda principle of leaving no one behind, evaluations must collect differentiated data that take into account the needs of marginalised groups. For this purpose, disadvantaged groups need more opportunities for participating in the evaluation process, and evaluations need to give greater consideration to human rights principles and standards.

'Building capacities for monitoring and evaluating policy measures'

Interview with Gonzalo Hernández Licona, Executive Secretary of Mexico's National Council for the Evaluation of Social Development Policy (CONEVAL)



How can countries evaluate the progress made in implementing the 2030 Agenda? What challenges do you think this poses?

The first challenge each country must face is to find a way to pursue the existing goals it considers expedient, while at the same time giving consideration to those elements of the 2030 Agenda that best correspond to its own development strategy and history. Only if these goals are clearly defined can monitoring be aligned accordingly. While the goals of the 2030 Agenda set parameters, each country ultimately needs to establish its own indicators for evaluating the country's progress. In so doing, those topics and indicators that are most relevant for the country need to be selected and cross-cutting themes such as the environment and gender need to be strengthened.

The second challenge is interaction between stakeholders. Governments, civil society and the private sector must make serious commitments and pledge their allegiance to the established goals. This should extend beyond the period of the government in office so that data can be collected over the years that make it possible to realistically measure progress.

What lessons learned from the evaluation of the Millennium Development Goals (MDGs) up to 2015 can be used to evaluate the Sustainable Development Goals (SDGs) up to 2030?

One valuable lesson is that the MDGs put the problems shared by all countries on the international agenda. For the first time, this enabled us to introduce a monitoring system for comparing progress between countries and over the course of time. Mexico, for instance, introduced the MDG information system 'Sistema de información de los Objetivos de Desarrollo del Milenio' that collated statistical data from central government, the federal states and the municipalities in order to monitor progress in implementing the MDGs. One difficulty, though, was that the governments only selected those indicators that showed their efforts in the best light. That is why it is important for independent agencies to ensure progress is real and not just statistical.

Particularly useful features of the MDG information system proved to be the multidimensional measurement of poverty, covering indicators such as access to education, health, housing, etc. in addition to income, and providing findings that can be fed into social policy. Meanwhile, this method has become a global benchmark for measuring poverty and was picked up by the SDGs. This represents a paradigm shift compared with earlier indicators that determined the poverty level based solely on income.

Which strategies is Mexico currently devising and using to evaluate the principles of the 2030 Agenda?

The current challenge Mexico is facing is to record not only access to social rights as it stands on paper, but to consider what access to these rights actually looks like in practice. Specifically, this means we want to judge aspects such as the quality of education and health services. To this end, CONEVAL systematically captures and monitors and surveys all 2030 Agenda measures that are being put into practice by the governments of Mexico's federal states, local governments and civil society. Multidimensional poverty measurement, the tool we use to measure the international progress in realising the goals of the 2030 Agenda, provides the most important input for measuring progress in social policy.

What conditions must be in place to use evaluations for monitoring and reviewing the 2030 Agenda??

The Mexican Government has set up the 'Comité Técnico de Alto Nivel' to monitor progress related to the 2030 Agenda. This high-level commission ensures that evaluation not only meets the country's international obligations, but also has an influence on public policy. The condition for this is that decision-makers have the political will to take up the findings of the evaluation and feed them into public policy processes. Another prerequisite is to strengthen administrative know-how and capacities for monitoring and evaluating policy measures, because there are major differences in knowledge levels and skills. If we transfer these differences to the international context, it becomes apparent how difficult it is to implement monitoring of such a broad-based agenda in a highly bureaucratic environment.

'The condition for this is that decision-makers have the political will to take up the findings of the evaluation and feed them into public policy processes.'



One job every three-and-a-half minutes! On average that's how many jobs were created around the world with the support of GIZ – for both women and men on equal terms.

11



What GIZ is
doing to resolve
regional and
global problems

Presenting effectiveness in a readily understandable manner

2016 results data

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How does GIZ contribute to solving regional and global problems? How many people found employment worldwide from 2010 to 2015 thanks to GIZ projects? How many of them were women? It is not only experts who are interested in the answers to these questions – the general public also wants more information about the results achieved. In connection with the 2030 Agenda and the Sustainable Development Goals in particular, reporting in international cooperation focuses not only on funding and activities, but increasingly on the objectives and the results achieved. Like many other organisations, GIZ is therefore faced with the task of providing the best possible evidence of the effectiveness of its work and communicating this in a readily understandable way, not just for individual projects, but on a global level too. To do so, GIZ compiles cross-project and transnational results data every two years.

Cross-project and transnational results data

Results orientation is one of the key quality features of GIZ's work. Monitoring and evaluation therefore focus strongly on substantiating results and boosting impact. While this is easy to do for individual projects, compiling aggregate data across projects and national boundaries in a region or on a global scale turns out to be much more difficult. How can we combine individual results

generated in different contexts by projects that are implemented in different settings? After all, when formulating project objectives and indicators, care is rightly taken to make sure they reflect the specific national setting and are tailored to the respective partners. Only by doing so can they provide a suitable basis for project steering and for learning within the project, as well as for promoting ownership by partners. Objectives and indicators are often therefore very specific and heterogeneous, even for projects in the same sector.

Objective and purpose: Communicating with the public

In past years, GIZ has put a lot of effort into finding out how results can nevertheless be presented across projects and countries. Using so-called aggregate indicators, since 2014 it has been regularly collecting global results data and has anchored the theme of capturing and reporting on aggregate results in its corporate strategy too. GIZ has decided to use the aggregate data primarily for communicating with the public and its dialogue with commissioning parties and clients. This in turn determines the content of the aggregate indicators and the methodological requirements they must meet. Since international cooperation is always under pressure to legitimate itself, data that substantiate results beyond the project boundaries may make a key contribution to illustrating the results of international cooperation and enhancing social consensus as part of the public debate on aid effectiveness.

How did GIZ collect its 2016 results data?

The Management Board selected a total of 22 topics for the 2016 results data. These included questions related to basic care for refugees or

the number of people who found employment through GIZ measures. What determined the choice of topics was whether the statements are strategically relevant for GIZ's PR work and whether GIZ's global portfolio on these themes is sufficiently large to gather enough data. The topics were also meant to be compatible with the SDGs and the current special initiatives of the German Federal Ministry for Economic Co-operation and Development (BMZ) (One World – No Hunger; Fighting the causes of refugee movements, reintegrating refugees; and Stability and development in the MENA region).

Data collection and plausibility check

The results data on these topics were collected for the period 2010–2015 using 34 aggregate indicators in some 800 projects from 11 sectors. Staff members with sectoral responsibility formulated the indicators together with the Evaluation Unit and the Corporate Communications Unit. In June/July 2016, project managers were asked to enter their data in a survey portal based on measurements or plausible estimates (educated guesses). Thus, for example, the number of people who were reached by and benefited from a particular measure was plausibly estimated based on the number of water and sanitation

What results data are not used for

The results data are not used

- to present the overall results of GIZ's work,
- to compare projects (the framework conditions are generally not comparable),
- to steer implementation of projects and assess the performance of officers responsible for the commission,

- to record sustainability (e.g.: do people remain in the new jobs?).

The results data complement monitoring and evaluations at GIZ, which reflect the diversity of approaches, themes and instruments on a broader scale.

companies that received support and the number of people living in the catchment area. The Evaluation Unit and the Sectoral Department then checked the findings for plausibility.

Further development of the system used to record aggregate results

There is great need for results data, both within the company and on the part of public-sector clients. This was the reason why the theme of recording aggregate results was enshrined in GIZ's corporate strategy. Both the recording of results and reporting and communication on that subject are to be further developed so as to be able to provide the public, clients, partners and staff members with user-friendly and client-oriented aggregate data. By the next survey in 2018, the Evaluation Unit will therefore join up with the departments involved and enlist support from the Center for Evaluation (CEval) at Saarland University to develop a systematic approach for plausibly estimating the data, in order to provide officers responsible for the commission with more guidance on recording results. An internal IT solution is also intended to standardise data collection to a greater extent, link up project data with results data, reduce sources of error and thus improve data quality.

Employment: selected results data from 2016

Worldwide:

Between 2010 and 2015, the contribution made by GIZ and its partners helped 869,919 people around the world to find employment. About half of these were women. GIZ is thereby also helping to achieve goal 8 of the 2030 Agenda for Sustainable Development: Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all by 2030.

At regional level – taking the example of the Middle East/Maghreb:

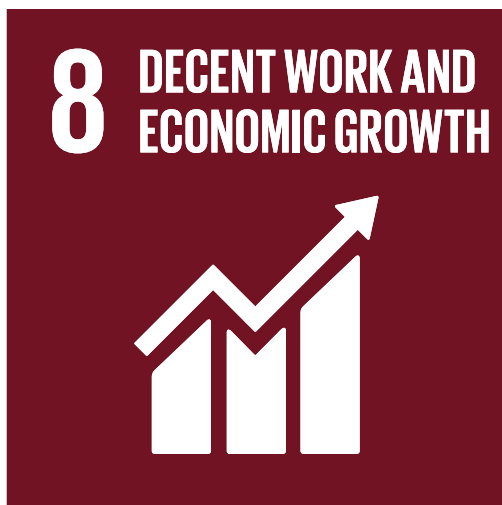
Between 2010 and 2015, the contribution made by GIZ and its partners helped almost half a million people in the Middle East/Maghreb to find employment – 59% of GIZ's global contribution. Over 250,000 of them were women.

At national level – taking the example of Morocco:

Between 2010 and 2015, the contribution made by GIZ and its partners helped 15,813 people in Morocco – 6,639 of them were women – to find employment.

At a personal level – taking the example of Yassine Alj in Morocco:

The employment indicator measures the number of people who found employment thanks to the contribution made by GIZ and its partners. Although vocational education and training is always one of the core approaches to improve employability, this involves very different measures in each case, which are geared to a specific context within the individual countries. What do the aggregate figures actually mean? To answer this question, GIZ places quantitative results data in a personal context in a supplementary qualitative evaluation. By zooming in on individual projects, exemplary results are described at target group level (see box).



Taking the example of Morocco: 'Creating jobs through energy efficiency and renewable energies in mosques'

Young entrepreneur in the energy sector recruits new staff



The project is part of a special initiative that is run by Germany's Federal Ministry for Economic Cooperation and Development (BMZ) and designed to stabilise and promote development in North Africa and the Middle East. The project designed an approach with a number of levers to promote employment. If companies are to create jobs in the field of energy efficiency and renewable energies, they need orders. One of the project's key approaches is to make the advantages of this technology clear to potential customers in order to boost demand. Mosques are a good starting point. GIZ therefore advises partner institutions on developing a profitable financing and contracting model for mosques in need of renovation. The aim is to extend the model developed for mosques to other public sectors in the long term.

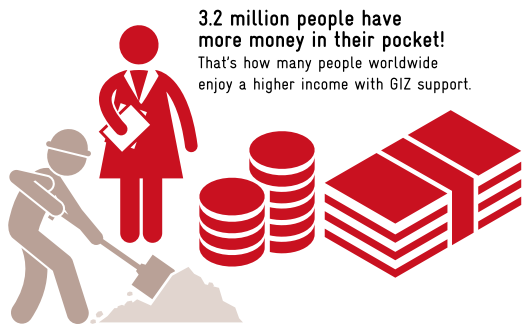
The milestones of the project include the continuing training courses developed for companies

by GIZ and its Moroccan partners, which are tailored to local needs. Training contents include business management, the development of business plans and marketing.

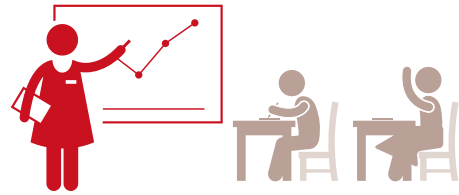
Yassine Alj also benefited from taking part in several of the project's training courses. Just over two years ago, he set up the Ecotaga company. He has created new jobs by recruiting three people.

'It was hard to start, but now business is picking up speed. Through the experience we have gained with the project to promote energy efficiency in mosques, we have been able to improve our energy efficiency work in public buildings and become more competitive also at international level. Among other things, I have been able to recruit an engineer specialised in energy efficiency and two technicians. I aim to acquire more projects to safeguard these jobs in the long run.'

www.ecotaga.ma



3.2 million people have more money in their pocket! That's how many people worldwide enjoy a higher income with GIZ support.

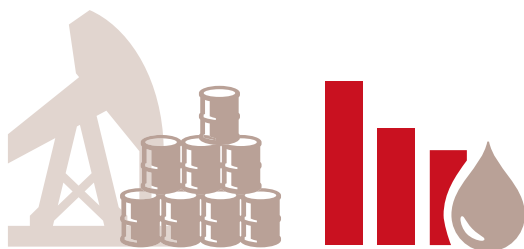


Enhanced employment opportunities for 1.3 million! That's how many people have been able to undertake initial and advanced training with the support of GIZ – equivalent to the total number of young women and men in training in Germany itself.



2.2 million megawatt hours saved! That's how much electric power has been saved around the globe with GIZ support. That is enough to illuminate the Eiffel Tower in Paris every night for more than 6,000 years, or to light a German living room for more than 8 million years.

Species protection in 48 countries! GIZ is working to preserve biodiversity in 48 countries around the globe. In Brazil alone, we have helped protect all 983 endangered species.



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Authors:

Corporate Unit management team
Dr Ricardo Gomez, Director of the Evaluation Unit
Dorothea Giesen-Thole, senior specialist
Dagmar Meyer, intern

Corporate strategic evaluations section
Dr Annette Backhaus, head of section
Simon Freund, senior specialist
Lucas Jacobs, specialist

Central project evaluations section
Claudia Kornahrens, head of section
Lennard Bendfeldt-Huthmann, specialist
Dr Vera Hundt, specialist
Dr Susanne Milcher, specialist

Editors:

Elisabeth Ehrhorn und Carmen Sorgler GbR
pfff – Pressefrauen in Frankfurt

Design, coordination and management:
Dorothea Giesen-Thole

Responsible:

Dr Ricardo Gomez

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Internationale Zusammenarbeit (GIZ) GmbH

Registered offices

Bonn and Eschborn, Germany

Friedrich-Ebert-Allee 36 + 40
53113 Bonn, Germany
T +49 228 44 60-0
F +49 228 44 60-17 66

E evaluierung@giz.de
I <https://www.giz.de/evaluierung>
<https://www.youtube.com/user/GIZonlineTV>
www.facebook.com/gizprofile
https://twitter.com/giz_gmbh

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All images and silhouettes on the cover and initial pages of each section are from photographs from the evaluated projects described in this report. The image on the cover is from the project on promoting food and nutrition security and safeguarding the livelihoods of vulnerable households in Zimbabwe.

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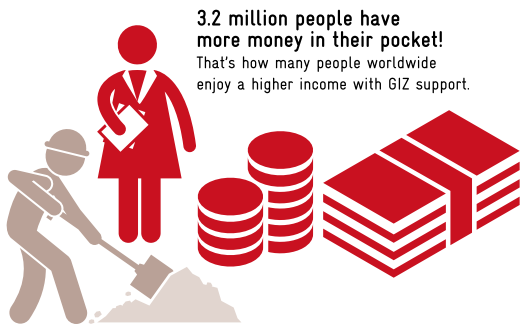
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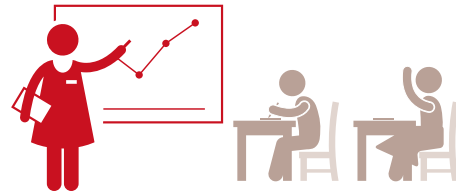
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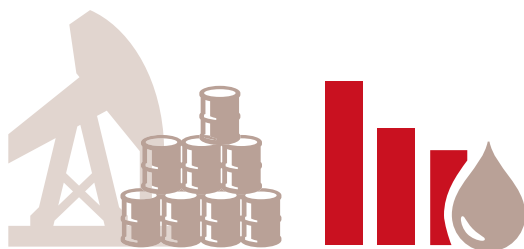


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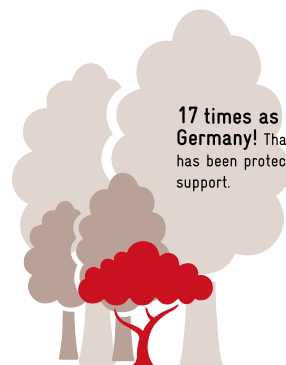


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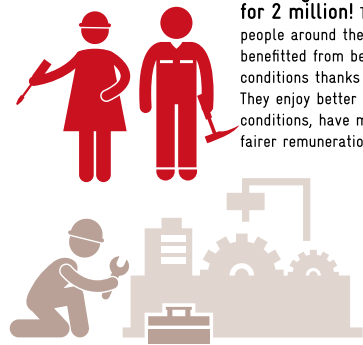
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17 times as much forest as Germany! That's how much forest has been protected worldwide with GIZ's support.



Working conditions improved for 2 million! That's how many people around the world have benefitted from better working conditions thanks to GIZ's support. They enjoy better health and safety conditions, have more say, and enjoy fairer remuneration.



12 times as large as Germany's protected areas! 200 million hectares around the world have been declared or preserved as protected areas with GIZ's support. That's 12 times the area of Germany's own protected areas.



34 million chances to vote! That's how many people around the globe have benefitted from greater political participation, thanks to GIZ support.



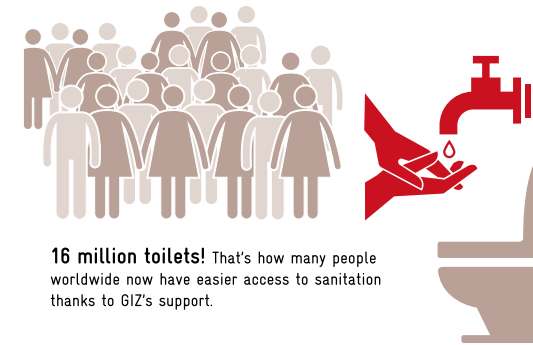
10 million football fields! That's the area that is now more sustainably farmed around the world with the support of GIZ. More than 4 million farmers now enjoy better yields and higher incomes.



11 million people assisted in the fight against hunger! GIZ has helped this many people around the globe overcome hunger and malnutrition.



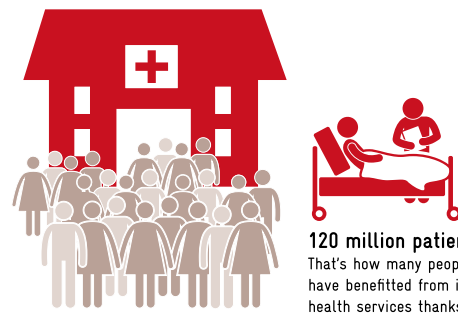
90 million satisfied citizens! That's how many people worldwide have benefitted from state services with the support of GIZ – from waste collection and disposal to passport applications.



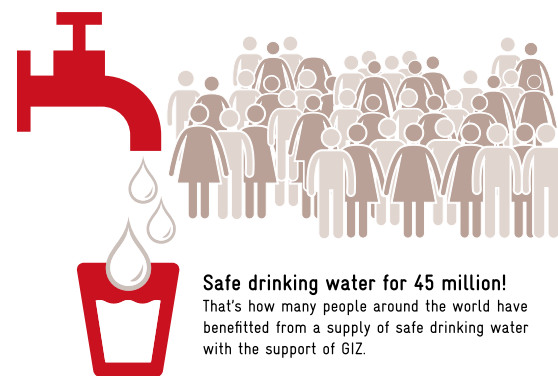
16 million toilets! That's how many people worldwide now have easier access to sanitation thanks to GIZ's support.



Support for 4.4 million refugees! 4.4 million refugees around the world benefitted from GIZ support. To this must be added support for 3.8 million people living in the municipalities that have taken in refugees and displaced persons. 160,000 refugee children have received schooling with the support of GIZ.



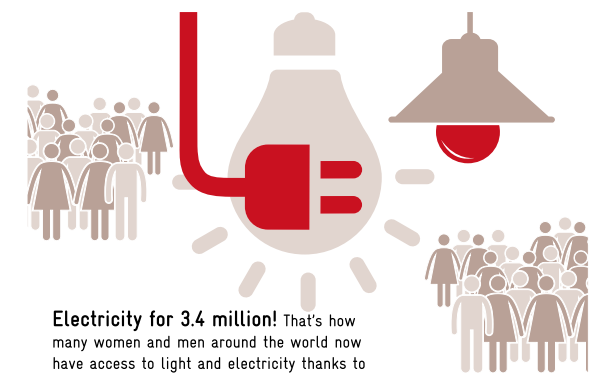
120 million patients! That's how many people worldwide have benefitted from improved health services thanks to GIZ's support.



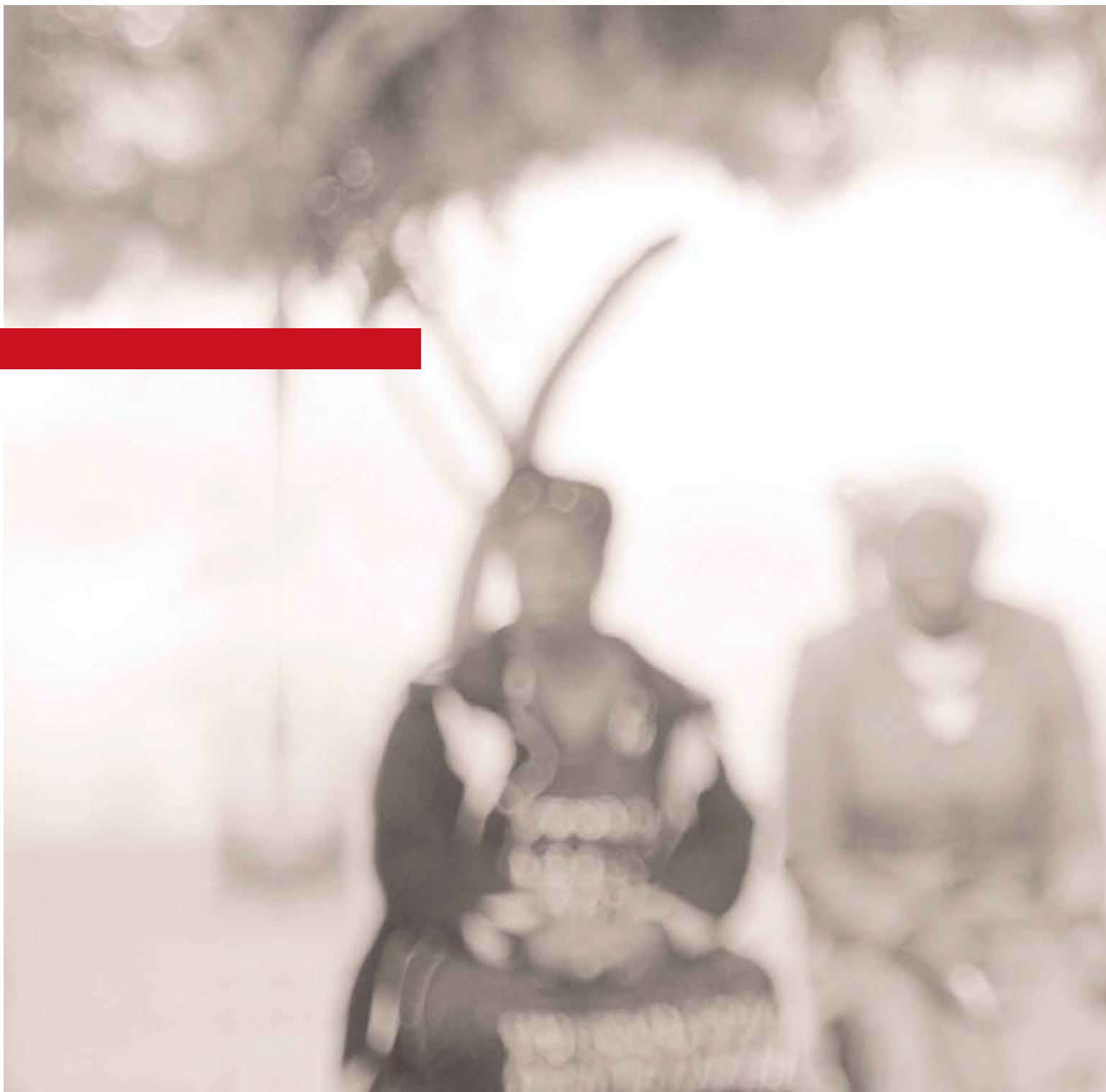
Safe drinking water for 45 million! That's how many people around the world have benefitted from a supply of safe drinking water with the support of GIZ.



11 million children in school! That's how many children around the world enjoy a better school education thanks to GIZ's support. That is the same number of children and young people as attend school in Germany.



Electricity for 3.4 million! That's how many women and men around the world now have access to light and electricity thanks to GIZ's support.



Deutsche Gesellschaft für
Internationale Zusammenarbeit (GIZ) GmbH

Registered offices
Bonn and Eschborn

Friedrich-Ebert-Allee 36 + 40
53113 Bonn, Germany
T +49 228 44 60-0
F +49 228 44 60-17 66

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