

KNOWING WHAT WORKS



Central project evaluation

Conflict-Sensitive Resource and Asset Management
Programme, Philippines

PN 2014.2253.4 and PN 2011.2278.7

Evaluation report

On behalf of GIZ by Klaus-Peter Jacoby (iSPO GmbH), Lukas Rüttinger
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Abbreviations and acronyms

ACB	ASEAN Center for Biodiversity
ADSDPP	Ancestral Domain Sustainable Development and Protection Plans
AMWS	Agusan Marsh Wildlife Sanctuary
ASEAN	Association of Southeast Asian Nations
B+WISER	Biodiversity and Watersheds Improved for Stronger Economy and Ecosystem Resilience
BMS	Biodiversity Monitoring System
BMUB	Bundesministerium für Umwelt, Naturschutz, Bau und Reaktorsicherheit Federal Ministry for Environment, Nature Conservation, Building and Nuclear Safety
BMZ	Bundesministerium für wirtschaftliche Zusammenarbeit und Entwicklung Federal Ministry for Economic Cooperation and Development
BukSU	Bukidnon State University
CBD	Convention on Biological Diversity
COSERAM	Conflict Sensitive Resource and Asset Management
CS-LAP	Conflict-Sensitive Legal Assistance Programme
CSPP	Conflict Sensitivity and Peace Promotion
DENR	Department of Environment and Natural Resources
DILG	Department of the Interior and Local Government
DP	Development Partner
DNH	Do-no-harm
FPIC	Free Prior and Informed Consent
FSUU	Father Saturnino Urios University
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit GmbH
HCD	Human Capacity Development
ICCA	Indigenous Community Conservation Area
IIED	International Institute for Environment and Development
IKSP	Indigenous Knowledge Systems and Practices
IP	Indigenous People(s)
IP4Biodiv	Indigenous People for the Conservation of Biodiversity
IPRA	Indigenous People's Rights Act
JAO	Joint Administrative Order
KP	Katarungan Pambarangay (barangay-level justice system)
LGU	Local Government Units
M&E	Monitoring and Evaluation
MinDA	Mindanao Development Authority

NCIP	National Commission for Indigenous People
NEDA	National Economic and Development Authority
NIPAS	National Integrated Protected Area System
NPA	New People's Army
OECD/DAC	Organisation for Economic Cooperation and Development/Development Assistance Committee
OPAPP	Office of the Presidential Advisor on the Peace Process
PAMB	Protected Area Management Board
PAMP	Protected Area Management Plan
PBDN	Peacebuilding and Development Needs
PBSAP	Philippine Biodiversity Strategy and Action Plan
PCA	Peace and Conflict Assessment
PDP	Philippine Development Plan
PDZ	Peace and Development Zones
PIPEs	Philippine Indigenous Peoples Ethnographies
PPR	Project Progress Review
REDD+	Reducing Emissions from Deforestation and Forest Degradation and the role of conservation, sustainable management of forests and enhancement of forest carbon stocks in developing countries
RPBDFA	Regional Peacebuilding and Development Framework Agenda
RPOC	Regional Peace and Order Councils
SDG	Sustainable Development Goal
SIMPLE	Sustainable Integrated Management and Planning for Local Government Ecosystems
TC	Technical cooperation
UAV	Unmanned Aerial Vehicle
ULAP	Urian Legal Assistance Program
UNHCR	United Nations High Commissioner for Refugees
USAID	United States Agency for International Development

Abbreviations for the citation of interviewees and focus group participants

First component	
PN	Partners at national level
PR	Partners at regional level
PL	Partners at local level
ACA	Academia
Middle component	
10, 11, 13	Region where stakeholders are involved (for regional and local stakeholders only)
Last component	
COS	Stakeholder relevant at programme level or for both modules
M1	Stakeholder of module 1 (COSERAM)
M2	Stakeholder of module 2 (IP4Biodiv)
Examples	
PN-COS = National Stakeholder, relevant for the overall COSERAM programme PL10-M1 = Local Stakeholder of module 1 in region X	
Interviews with GIZ staff	
Int-GIZ	



The Project at a Glance

Philippines: 'Conflict Sensitive Resource and Asset Management Programme'

Module 1: 'Conflict Sensitive Resource Management in the Philippines (COSERAM)'

Project number	2014.2253.4
CRS-Code (Creditor Reporting System Code)	15220
Project objective	Governance of natural resources is ensured in a peaceful and sustainable manner, securing lawful access to natural resources for the marginalised population in selected areas of Caraga and other conflict-affected areas in the Philippines
Project term	01/2015 to 03/2019
Project volume	EUR 8,500,000
Commissioning party	German Federal Ministry for Economic Cooperation and Development (Bundesministerium für wirtschaftliche Zusammenarbeit und Entwicklung, BMZ)
Lead executing agency	National Economic and Development Authority (NEDA)
Implementing organisations (in the partner country)	National steering committee consisting of (1) National Economic and Development Authority (NEDA), (2) Department of Environment and Natural Resources (DENR), (3) Department of the Interior and Local Government (DILG), (4) National Commission for Indigenous People (NCIP), (5) Office of the Presidential Adviser on the Peace Process (OPAPP)
Other development organisations involved	(-)
Target group(s)	Target groups are poor households and marginalised population groups affected by violence and a lack of access to natural resources. These include primarily the indigenous population, women and young people, but also settlers, fishers and small-scale farmers

Philippines: 'Conflict Sensitive Resource Management Programme'

Module 2: 'Indigenous People for the Conservation of Biodiversity (IP4Biodiv)'

Project number	2011.2278.7
CRS-Code (Creditor Reporting System Code)	41030
Project objective	The preconditions for a peaceful collaboration between indigenous peoples and other population groups, regarding the conservation of biodiversity in Agusan Marsh Wildlife Sanctuary (AMWS) and other biodiverse indigenous areas, are improved
Project term	01/2012 to 03/2019
Project volume	EUR 6,000,000
Commissioning party	German Federal Ministry for Economic Cooperation and Development (Bundesministerium für wirtschaftliche Zusammenarbeit und Entwicklung, BMZ)
Lead executing agency	National Economic and Development Authority (NEDA)
Implementing organisations (in the partner country)	National steering committee consisting of (1) National Economic and Development Authority (NEDA), (2) Department of Environment and Natural Resources (DENR), (3) Department of the Interior and Local Government (DILG), (4) National Commission for Indigenous People (NCIP), (5) Office of the Presidential Adviser on the Peace Process (OPAPP)
Other development organisations involved	(-)
Target group(s)	Target groups are poor households and marginalised population groups, particularly women and young men in areas home to indigenous peoples and with high biodiversity such as the Agusan Marsh in Caraga

Summary

Description of the project

The evaluation object is the technical cooperation programme Conflict Sensitive Resource and Asset Management which supports an integrated approach of peacebuilding, governance, biodiversity and natural resource management, and poverty reduction in three regions of Mindanao (northern Mindanao, Davao and Caraga). The programme was carried out by the Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH on behalf of the Federal Ministry for Economic Cooperation and Development (*Bundesministerium für wirtschaftliche Zusammenarbeit und Entwicklung*, BMZ) and was composed of two modules: (a) Module 1: Conflict Sensitive Resource Management in the Philippines (COSERAM), (b) Module 2: Indigenous People for the Conservation of Biodiversity (IP4Biodiv).

The **objective** of module 1 was 'Governance of natural resources is ensured in a peaceful and sustainable manner, securing lawful access to natural resources for the marginalised population in selected areas of Caraga and other conflict-affected areas in the Philippines.' The module focused on the following areas:

- **Peacebuilding and development needs (PBDN):** Based on situational analyses, contextualised peace agendas were formulated and implemented at the regional and provincial levels.
- **Conflict sensitivity and peace promotion (CSPP) in land-use planning and resource management:** Marginalised population groups were involved in decision-making processes to support more equitable access, use and management of natural resources.
- **Titling and natural resource management in ancestral domains:** This component supported the recognition, protection, promotion and fulfilment of the rights of IPs within their ancestral domains.
- **Access to legal assistance and paralegal services, and rights awareness and conflict transformation mechanisms:** This component focused on improving rights awareness of the marginalised population and improving their access to conflict-sensitive legal and paralegal services.

The **objective** of IP4Biodiv was 'The conditions for a peaceful collaboration between indigenous peoples (IPs) and other population groups, regarding the conservation of biodiversity in Agusan Marsh Wildlife Sanctuary (AMWS) and other biodiverse indigenous areas, have improved'. The module focused on the following outputs:

- **Output 1: Gender and conflict-sensitive approaches:** 'Innovations for the management of protected areas in ancestral domains have been documented based on experiences gathered in the AMWS and are replicated in other biodiverse areas.'
- **Output 2: Inclusive protected area management:** 'A monitoring system based on selected indicator species, integrating indigenous knowledge, has been established in the Agusan Marsh Wildlife Sanctuary and is being used for conflict-sensitive decision-making.'
- **Output 3: Local economic development/livelihood initiatives:** 'Local initiatives on the sustainable use of particularly endemic resources are supported, improving livelihood assets of IPs and other marginalised population groups.'
- **Output 4: Upscaling of innovations:** 'Developed innovations and other policy advice have been provided to appropriate mandated national agencies.'

The programme interventions concentrated on three regions (northern Mindanao/region X, Davao/region XI and Caraga/region XIII). Module 1 had a duration of 4 years and 3 months from 01/2015 to 03/2019 (plus a predecessor from 01/2011 to 12/2014) and a financial volume of EUR 8,500,500. Module 2 was implemented from 10/2012 to 03/2019 with a budget of EUR 6,000,000.

Evaluation design

To adequately anticipate results and direct the focus of data collection and analysis, a theory-based approach was applied, which was based on reconstructed results models of the two modules. The evaluation design is based on the principles of contribution analysis and relies predominantly on qualitative methods (semi-structured interviews with key informants and focus groups with beneficiaries). Since results processes at this level are non-linear, and to a certain degree unpredictable, the use of semi-structured interviews and focus groups allows to identify unintended occurrences and results. Data collection covered the three regions and all stakeholder groups. Other methods comprised document analysis (project documentation, knowledge products, partner documents etc.) and secondary data analysis of available monitoring data.

Assessment of relevance

Both modules consistently contributed to the implementation of national policies and strategies. They are aligned with the Philippine Development Plan and contributed to the implementation of the Indigenous People's Rights Act. Module 2 (IP4Biodiv) which in turn contributed to the Philippine Biodiversity Strategy and the National Wetlands Action Plan. The programme's methodological approach reflects international standards such as the Organization for Economic Cooperation and Development (OECD) Principles for Good Engagement in Fragile States and the New Deal for Engagement in Fragile States. Module 2 further contributed to the objectives of the Convention on Biodiversity (target 11 on effective and equitable management of protected areas). One of the supported areas, the Agusan Marsh Wildlife Sanctuary, is registered under the Ramsar Convention on Wetlands of International Importance. The objectives contribute to the Sustainable Development Goals (SDG) 16 (peaceful and inclusive societies), SDG 15 (protection of natural resources and ecosystems), and SDG 1 (poverty reduction).

Both modules are generally well designed to address the core problems and needs of the target groups. In module 1, a number of conflict drivers and the needs of conflict-affected, poor and marginalised populations were addressed in the module objective, the definition of the core problem, and the different intervention areas. Gender aspects are mentioned in the project documents and context analysis, but without further elaborating what gender dynamics are specifically relevant. The project partly filled this gap during its implementation. In the IP4Biodiv module, the needs and capacities of indigenous people are considered in a comprehensive manner. Though the cross-cutting operationalisation of gender sensitivity was challenging, specific contributions to more equal opportunities for income generation were made by the livelihood component.

Throughout its implementation, particularly during the first 2 years, the programme put a lot of emphasis on critical internal reflection through periodic workshops. Thus, both modules were able to adapt to external changes (e.g. modifications of the instrument concept and the integration of new intervention areas). The overall rating for both modules is with 92 points at **'Level 1 – very successful'**.

Assessment of effectiveness

Module 1 (COSERAM) achieved three of four module indicators. Altogether it counted 27 successfully implemented upscaling processes across its intervention areas (target: 21). Some 70% of surveyed participants confirmed that communities were better able to deal with land and resource conflicts, thus overachieving the indicator by 10%. Only two thirds of indicator 3 was achieved (160 instead of 240 communities accessing services concerning land- and resource-related rights); however, it is likely that the number of barangays that received support was higher. Lastly, module 1 counted five substantial recommendations that were incorporated in bills, strategies or draft legislations by Philippine government agencies. However, the general weaknesses of these indicators in terms of their quality and the cross-cutting nature of the indicators make it hard to clearly assign them to specific components of the project and thus limit their ability to clearly reflect the results.

Module 2 (IP4Biodiv) exceeded its outcome targets. Conflict and gender-sensitive indigenous management

approaches for the conservation of biodiversity were documented in 27 cases (target: 10) e.g. through the formulation of Ancestral Domain Sustainable Development and Protection Plans (ADSDPP) or the establishment of local conservation areas, harmonised with the Protected Area Management Plans. A biodiversity monitoring system for the Agusan Marsh Wildlife Sanctuary regularly measures 49 animal and plant species (target: 10 species) and data is fed back to the Protected Area Management Board for decision-making. Conservation activities were combined with support for livelihood and the identification of alternative income sources. Over 3,000 local indigenous people benefited from documented increases of income and the availability improved drinking water access; and 25% (target: 10%) marginalised groups of the population (esp. young indigenous men and women) confirm their livelihood conditions were better than before the start of the activities. Several recommendations and good practices have been absorbed by national agencies for mainstreaming or replication (current value = target: 5), though several partners perceive that potentials for the integration of project results in national strategies and policies have not yet been fully used.

For both modules the evaluation clearly confirms that the tools and approaches used by COSERAM worked and strengthened the capacities leading to more constructive and inclusive dialogues and contributing to improving relationships. Due to the more specific thematic focus, IP4Biodiv contributed more effectively to the empowerment of IPs and to their participation in inclusive governance structures than module 1 (COSERAM).

No unintended negative results were observed for either of the modules, however, there was a number of unintended positive results. For module 1, the most obvious one was the extensive support provided for the Mindanao Development Authority (MinDA) to disseminate the use of do-no-harm tools in development planning activities in Mindanao. For module 2, the most important additional result not envisaged in the original planning was the foundation and institutional strengthening of a regional network of the Protected Area Management Boards (PAMBs), the objective of which is to foster capacity development and mutual learning among all PAMBs in Mindanao.

Effectiveness is rated with 90 points at '**Level 2 – successful**' for module 1 and with 94 points at '**Level 1 – very successful**' for module 2.

Assessment of impact

Both modules contributed to address 56 potentially violent land rights and use conflicts (module 1: 43, module 2: 13). In module 1, conflicts were addressed through CSPP, the regional peace agenda processes including the Indigenous People's Peace Agenda or (para)legal assistance. Module 2, under its focus on protected areas, dealt with boundary conflicts, planning issues in areas with overlapping claims, resource-use-related issues (e.g. water resources) and one conflict-related to the de-establishment of a protected area. The indicator target (33 addressed conflicts) was clearly exceeded, but less evidence exists regarding actual conflict resolutions.

Regarding the conflict-sensitive management of protected areas and the conservation of biodiversity (programme indicator 2), the performance of the Protected Area Management Board and of local law enforcement schemes had a visible effect on the integrity of the Agusan Marsh (e.g. increased number of filed cases against violators, reduction of illegal activities) and even on selected biodiversity indicators, increasing bird counts, increase in fish stocks). Despite significant outcomes in the other regions, these are less cohesive and consolidate, partly due to the shorter implementation period.

Across both modules and their interventions areas, almost all interview partners confirmed that the dialogue processes that COSERAM module 1 and 2 supported were constructive and inclusive, and as a result contributed to better relationships between conflicting actors and improved the perception of each other. Across both modules, the combination of improved dialogue and the empowerment of marginalised groups, in particular indigenous groups, were important factors that contributed to conflict transformation and better governance.

Impact is rated at with 91 points for module 1 and module 2 at '**Level 2 – successful**'.

Assessment of efficiency

The methodological approaches of both modules could be implemented without major cost-related constraints, be it regarding the thematic scope, the regional scope, or the implementation of the instrument concept. The formalised continuous reflection process allowed for optimising implementation processes in the sense of the maximum principle. Challenges emerged because of the complexity of the programme, such as the difficulty to find a team set-up without frictional losses (particularly relevant for module 1) and to systematise replicable products for the expansion to regions X and XI (relevant for both modules). Whereas the context of module 1 did not allow for implementing a comprehensive (presumably more efficient) area-based approach, the geographic focus of module 2 implied production efficiency gains.

The flexible and opportunity-driven way in which both modules allocated resources among the outputs (and occasionally even among modules) was appropriate for the kind of programme and the context to maximise the outcome with the given resources. The distribution of resources among the outputs or thematic areas was well balanced. During the expansion to regions X and XI, interventions were also selected under efficiency criteria, although this focused more on the anticipated cost-effectiveness of single interventions than on synergies through cohesive packages. Again, this was more relevant for module 1 than for module 2 due to different geographical focus. Since the dissemination of results outside the project area is still limited, it does not add value to the cost-effectiveness of both modules. Only few potentials for cooperation with other development partners existed with occasional synergies mostly emerging within the scope of IP4Biodiv.

Efficiency is rated with 83 points for module 1 and 90 points for module 2 at **'Level 2 – successful'**.

Assessment of sustainability

For module 1, the sustainability of the capacity development varies by intervention area: the results are most anchored in regard to the regional peace agendas and (para)legal support in region XIII. Regarding CSPP – the support to barangay-level justice systems and the resolution of conflicting land titles – partners shared concerns because of lacking capacities and funds. Although COSERAM made a lot of effort in developing exit strategies with the partners, it seemed that these efforts have only partly worked. The anchoring of the results in the partner structure was particularly challenging at the level of the local government units (LGUs).

These findings also determine the forecast of results: the forecast for the regional peace agendas and (para)legal support is largely positive. Regarding CSPP, the manual, the positive experiences and a national directive might together provide some momentum, but without additional capacities and resources most LGUs will probably not be able to implement it properly in the future. For the Katarungan Pambarangay (KP) enhancement, it is not possible to forecast the durability based on the available data. The forecast is mainly negative regarding the resolution of conflicting land titles, and it seems unlikely that JAO will continue functioning without external support.

For module 2, a key factor for the anchoring of results in the partner structure has been the strengthening of the PAMBs and the institutionalisation of the Mindanao PAMB network. JAO specific areas (biodiversity monitoring, law enforcement, livelihood/inclusive business) considered training needs of individuals, organisational strengthening of key partners and support to multi-stakeholder networks. Altogether the achieved capacity development, the anchoring of results in the partner structure and the exit strategy have been successful.

These contributions also determine the forecast of durability of results. The Mindanao PAMB network and the existing support structures provide a positive environment for the continuation of improved protected area management. The biodiversity monitoring and law enforcement are consolidated, but to a certain extent exposed to resource-related challenges. Regarding the livelihood support, there are success stories and cases with a critical sustainability. Altogether the forecast for the durability of results is still moderately positive.

Sustainability is rated with 70 points at **'Level 3 – rather successful'** for module 1 and with 84 points at **'Level**

2 – successful' for module 2.

Table 1: Summary results module 1 (COSERAM)

Criterion	Score	Rating
Relevance	92 points	Level 1 – very successful
Effectiveness	90 points	Level 2 – successful
Impact	91 points	Level 2 – successful
Efficiency	83 points	Level 2 – successful
Sustainability	70 points	Level 3 – rather successful
Overall score and rating for all criteria	84.8 points	Level 2 – successful

Table 2: Summary results module 2 (IP4Biodiv)

Criterion	Score	Rating
Relevance	92 points	Level 1 – very successful
Effectiveness	94 points	Level 1 – very successful
Impact	91 points	Level 2 – successful
Efficiency	90 points	Level 2 – successful
Sustainability	84 points	Level 2 – successful
Overall score and rating for all criteria	Max. 90.2 points	Level 2 – successful

Table 3: Rating scale

100-point scale	6-level scale (rating)
92-100	Level 1 = very successful
81-91	Level 2 = successful
67-80	Level 3 = rather successful
50-66	Level 4 = rather unsatisfactory
30-49	Level 5 = unsatisfactory
0-29	Level 6 = very unsatisfactory

1 Evaluation objectives and questions

1.1 Objectives of the evaluation

The evaluation object is the technical cooperation Conflict Sensitive Resource and Asset Management programme which supports an integrated approach of peacebuilding, governance, biodiversity, natural resource management and poverty reduction in three regions of Mindanao (northern Mindanao, Davao and Caraga). The programme was carried out by the Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH on behalf of the Federal Ministry for Economic Cooperation and Development (*Bundesministerium für wirtschaftliche Zusammenarbeit und Entwicklung*, BMZ) and was composed of two modules: (a) Module 1: 'Conflict Sensitive Resource Management in the Philippines (COSERAM)', (b) Module 2: 'Indigenous People for the Conservation of Biodiversity (IP4Biodiv)'.

The central project evaluations commissioned by BMZ perform three basic functions: (1) to support evidence-based decision-making; (2) promote transparency and accountability; and (3) facilitate organisational learning by contributing to effective knowledge management. Both modules have been independently selected as part of a random sample; however, since they are closely interlinked and implemented by one integrated management, the evaluations were also closely coordinated. This included joint field missions and the merging of the results into a single evaluation report.

Since the COSERAM programme ended in March 2019 and no follow-up modules were planned, both evaluations were carried out as final evaluations which implies a focus on verifying the effects of the technical cooperation. Several stakeholders expressed further knowledge interests during the inception phase:

- Representatives of two initiating projects in the field of peace and security (Responsible Land Policy in Mindanao, Regional Peace Agendas) and of one ongoing (in the year 2019) project (Strengthening capacities on conflict-induced forced displacement in Mindanao) expressed interest in obtaining evidence on the strengths, weaknesses and replication potential of methodologies and tools.
- The partner organisations at national level are expecting evidence on 'what works and what doesn't' to inform future decision-making concerning the continuation and/or further roll-out of COSERAM results. The National Economic and Development Authority (NEDA) highlighted its need to validate methodologies and understand enabling and hindering factors to engage in a focused dialogue with international development partners. The Office of the Presidential Adviser on the Peace Process (OPAPP) showed interest in the extent to which results can be translated into broader public policies; therefore, it requires evidence on how much COSERAM actually leads to outcomes for the local target groups. The validation of intended change processes and the replicability of knowledge products have also been the main focus of the Department of Environment and Natural Resources (DENR), whereas representatives of the Department of the Interior and Local Government (DILG) and the National Commission for Indigenous People (NCIP) specifically focused on the empowerment of indigenous peoples (IPs) and the implementation of Protected Area Management Plans supported by COSERAM.

1.2 Evaluation questions

The project is assessed on the basis of standardised evaluation criteria and questions to ensure comparability by GIZ. These are based on the OECD/DAC criteria for the evaluation of development cooperation and the evaluation criteria of the German bilateral cooperation: relevance, efficiency, effectiveness, impact and sustainability. Specific evaluation dimensions and analytical questions were derived from this given framework by GIZ (see evaluation matrix in annex 2). In addition, the contributions to the Agenda 2030 and its principles (universality, integrative approach, leave-no-one-behind, multi-stakeholder partnerships) are taken into account as well as cross-cutting issues such as gender, the environment, conflict sensitivity and human rights. Aspects

regarding the quality of implementation are included in all OECD/DAC criteria.

The knowledge interests of the stakeholders were translated into specific evaluation questions, which are documented in the inception report for this evaluation, concluding that these questions are variations or specifications of aspects already considered in the existing guidelines.

2 Object of the evaluation

2.1 Definition of the evaluation object

Fragility context and framework conditions

The Philippines has a long history of political and social unrest, often escalating into violence. Mindanao, the implementation region of COSERAM, is one of the epicentres of conflict in the Philippines. Much of the international attention has been focused on central and western Mindanao, where the conflict is dominated by armed battles between the Philippine government and various groups of Muslim separatists, including Abu Sayyaf, the Moro National Liberation Front and the Moro Islamic Liberation Front.

The COSERAM programme focused on the other side of the island, Caraga, northern Mindanao, and Davao. Here, many of the conflicts are related to the access, use and management of natural resources, notably land. The root causes and drivers (escalating factors or dividers) of these conflicts are:

- **Overlapping land tenure, policies and mandates:** Three national agencies (NCIP, DENR, Department of Agrarian Reform) have overlapping mandates regarding land tenure and share responsibilities with local government units (LGUs) including provincial, city, municipal and wards (*barangay*) governments. In addition, unwritten customary laws apply to the management of natural resources.
- **Competing land uses:** In the Caraga, northern Mindanao, and Davao regions, 35 protected areas overlap with 53 indigenous domains (certificates of ancestral domains), 75 large-scale mining tenements and an undetermined number of other land uses.
- **Inequitable access to natural resources and government services:** Poor and marginalised population groups have limited access to the natural resources and to public services, not least because they are inadequately represented in political and administrative processes.
- **Poor governance:** Governance challenges interact with and exacerbate in multiple ways the other conflict drivers; this includes, for example, corruption around land use and rights.
- **Environmental degradation and biodiversity losses:** Competition for access to land, monopolistic landholdings and poor governance are leading to the overexploitation of resources and biodiversity losses in the three regions.
- **Poverty and marginalisation of indigenous people, women, and youth:** IPs, women and youth are specifically affected by these challenges that exacerbate their poverty and marginalisation.

These conflict drivers and issues are intertwined and mutually reinforce each other, creating a breeding ground for violent conflicts between and among communities, the government, armed groups and the private sector. They also interact with and are embedded within the larger context of the ongoing armed conflicts outside the project region in central and western Mindanao, and the conflict between the government and the Communist Party of the Philippines – New People's Army (NPA) in the project region. This insurgency has declined from its

peak in the late 1980s, but it still persists in some pockets of territories that are partly controlled by insurgents. A complex shadow economy around illicit guns, drugs and land that partly feeds off the existing fragility, while at the same time further exacerbating corruption and violence, further complicates and aggravates the existing conflict dynamics.

Development cooperation programme: ‘Conflict Sensitive Resource and Asset Management in the Philippines (COSERAM)’

The subject matter of the evaluation is the development cooperation programme ‘Conflict Sensitive Resource Management in the Philippines’ carried out by GIZ on behalf of BMZ. It consists of two technical cooperation modules, one with the same name as the overall programme (i.e. COSERAM) and the other one named ‘Indigenous People for the Conservation of Biodiversity (IP4Biodiv)’. There was also a financial cooperation planned but never implemented as financial cooperation with the Philippines was suspended for several years. The suspension was lifted end of 2016. However, one year (as in 2017) wasn’t enough time for KfW to reengage and conclude all the necessary steps with the Philippine partners to get the financial cooperation going. So, the funds had expired by end of 2017 and the third component never materialised.

The **programme objective** is ‘Governance providing access to natural resources and assets for the marginalised population and ensuring sustainability contributes to a reduction of violent conflicts in selected areas of Caraga and other conflict-affected areas of the Philippines’. In general, the interventions targeted conflict-affected areas in the Caraga (Region XIII), northern Mindanao (Region X) and Davao (Region XI). Module 1 (COSERAM) implemented interventions in specific barangays (i.e. the smallest elected LGU) and module 2 in protected areas that overlap with ancestral domains. In parallel, both modules developed macro- and meso-level measures that affected marginalised communities throughout the region; furthermore, the project pursued the upscaling of successful experiences through the national level (multi-level approach). Both modules combined various capacity development measures at the different levels: for individuals (e.g. conflict-sensitivity trainings, thematically diverse training measures for IPs); for organisations (e.g. developing capacities of regional and local governments); and for networks (e.g. strengthening Protected Area Management Boards/PAMBs). Systems-level capacity development is mainly addressed through module 1 (e.g. regional peace agendas).

Both modules operated under one joint steering structure and management. The name and closely aligned objective point towards the central role that module 1 has in the overall programme. Looking at the reality of the implementation, it is best to understand module 1 as the umbrella for both modules. Module 2 is best understood as another component or intervention area that forms part of module 1. According to the discussions held during the evaluation missions, this also reflects the view of the project management staff.

The **partner structure** of the programme – which applied to both modules – was complex: the National Economic Development Authority (NEDA) was acting as executive lead agency. However, the Department of the Interior and Local Government (DILG), the Department of Environment and Natural Resources (DENR), the National Commission on Indigenous Peoples (NCIP), the Office of the Presidential Adviser on the Peace Process (OPAPP) and the Mindanao Development Authority (MinDa) participated in a steering committee which functioned as the implementing partner structure of the programme. The national partner organisations also acted as implementing organisations through their regional offices and line agencies. In addition, the project collaborated with governments at the municipal level (cities, municipalities and barangays), academia and civil society organisations. The **programme’s role** was mainly that of a facilitator and intermediary, fostering dialogue between different state and non-state actors, and communities.

Figure 1: COSERAM – Focus Areas



Module 1: Conflict Sensitive Resource and Asset Management (COSERAM)

The technical cooperation (TC) measure ‘Conflict Sensitive Resource Management in the Philippines’ (COSERAM, PN 2014.2253.4) had a duration of 4 years and 3 months from 01/2015 to 03/2019 and an overall budget of EUR 8,500,000. It followed a predecessor TC project having the same name (PN 2009.2234.4) which was implemented from 01/2011 to 12/2014. The **objective** of TC module 1 was ‘Governance of natural resources is ensured in a peaceful and sustainable manner, securing lawful access to natural resources for the marginalised population in selected areas of Caraga and other conflict-affected areas in the Philippines.’ The module focused on the following intervention areas, often also referred to by the project team as core processes:

- **Peacebuilding and development needs (PBDN):** Based on situational analyses, contextualised peace agendas were formulated and implemented at the regional and provincial levels.
- **Conflict sensitivity and peace promotion (CSPP) in land-use planning and resource management:** Marginalised population groups were involved in decision-making processes to support more equitable access, use and management of natural resources.
- **Titling and natural resource management in ancestral domains:** This component supported the recognition, protection, promotion and fulfilment of the IPs' rights within their ancestral domains.
- **Access to legal assistance and paralegal services, and rights awareness and conflict transformation mechanisms:** This component focused on improving rights awareness of the marginalised population and improving their access to conflict-sensitive legal and paralegal services.

The **target groups** were poor households and marginalised population groups who are affected by violence and a lack of access to natural resources. These primarily included the indigenous population, women and young people, but also settlers, fishers and small-scale farmers. Overall, there are 12.1 million people living in the three project regions; more than one third of the population is categorised as indigenous peoples from various ethnic groups (see GIZ-COSERAM 2014h).

TC module 1 was geared towards contributing to national and regional peacebuilding needs and followed a demand- and process-oriented **multi-level approach**. The main activities of the module were at the local and regional levels with some activities at the national level. The activities focused on strengthening governance structures, institutions and non-state actors for conflict transformation and peacebuilding. The programme intended to use the approaches developed in the predecessor programme (also named COSERAM), e.g. improving processes of development and land-use planning, and to further consolidate, refine and replicate them at regional and national levels.

Module 2: Indigenous People for the Conservation of Biodiversity (IP4Biodiv)

The TC measure 'Indigenous Practices for the Conservation of Biodiversity' (IP4Biodiv, PN 2011.2278.7) had a **duration** of 6 years and 6 months from 10/2012 to 03/2019 and an overall **budget** of EUR 6,000,000. There was no predecessor TC module although its approach was based on the abovementioned predecessor project of module 1. The **objective** of TC module IP4Biodiv was 'The conditions for a peaceful collaboration between indigenous peoples and other population groups, regarding the conservation of biodiversity in AMWS and other biodiverse indigenous areas, have improved'. The module consisted of two components: (a) Inclusive protected area management; and (b) Sustainable livelihood development. For the first component, the following two outputs and output goals were formulated:

- **Output 1 – Gender and conflict-sensitive approaches:** 'Innovations for the management of protected areas in ancestral domains have been documented based on experiences gathered in the AMWS and are replicated in other biodiverse areas.'
- **Output 2 – Inclusive protected area management:** 'A monitoring system based on selected indicator species, integrating indigenous knowledge, has been established in the Agusan Marsh Wildlife Sanctuary and is being used for conflict-sensitive decision-making.'

The output goal related to the second component was:

- **Output 3: Local economic development/livelihood initiatives:** 'Local initiatives on the sustainable use of particularly endemic resources are supported, improving livelihood assets of IPs and other marginalised population groups.'

Furthermore, the module promoted the upscaling of validated approaches. A related output goal equally referred approaches of both components:

- **Output 4 – Upscaling of innovations:** 'Developed innovations and other policy advice have been provided to appropriate mandated national agencies.'

The **target groups** coincided with the overall COSERAM programme and included IPs, women and young people, as well as settlers, fishers and small-scale farmers. Beyond this general programme focus, the IP4Bdiov module addresses IPs in areas of ancestral domains and with high biodiversity. Approximately 250,000 people live in seven municipalities of the Agusan Marsh region, among them 120,000 IPs of which 25,000 live within or in the immediate surroundings of the protected area. Approximately 7,000 IPs live in the Mount Balatukan Range.

A **multi-level approach** was adopted in which local, regional and national actors were assisted to peacefully manage the sustainable use of natural resources. Since the module utilised the steering mechanism of the COSERAM programme, the stakeholder maps of both modules largely overlapped. The main implementation activities of the module took place at the local level focusing on one protected area per region: AMWS in Caraga, Mount Balatukan Range National Park in Region X, and Mount Apo Natural Park in Region XI.

2.2 Results model including hypotheses

Both COSERAM programme modules were closely interlinked and based on shared methodological principles. They interacted as different intervention areas of a single project rather than as two programme modules, with COSERAM module 1 serving as the overall umbrella. Therefore, the results model and hypotheses are presented as follows:

- Step 1: Presentation of the reconstructed results models of both modules 1
- Step 2: Integration of the TC module 1 into the overall programme framework
- Step 3: Formulation of generic results hypotheses for the contribution analyses (effectiveness and impact criteria) that are identical for both modules (see section 4.3 and 4.4 regarding the operationalisation of the hypotheses for each module)

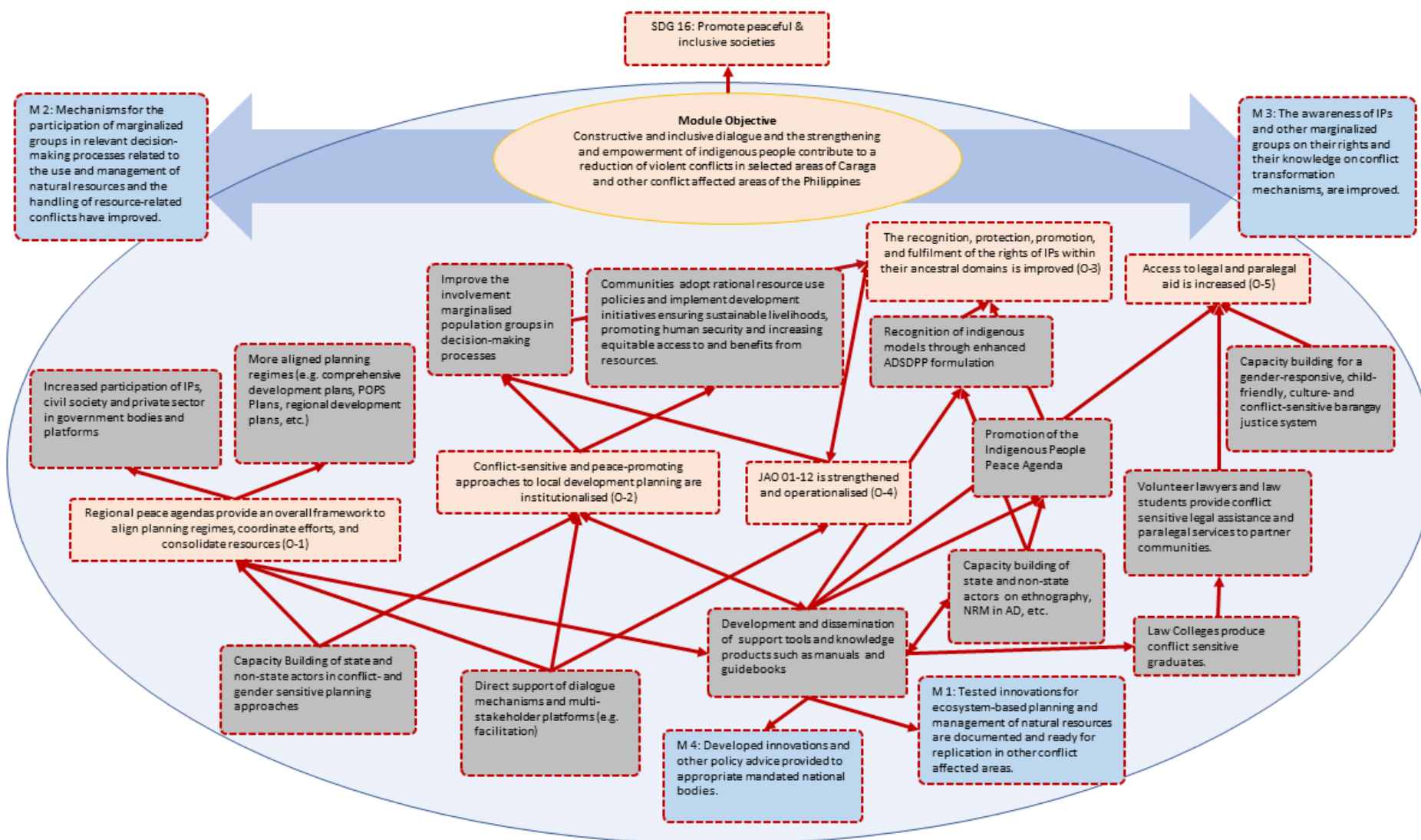
Reconstructed outputs and results model of module 1 (COSERAM)

The interviews during the evaluation clearly showed that the results matrix (outcomes, outputs and activities) of the overall programme, in particular module 1, only reflected part of the scope of the project. The overall objective of the programme and module 1 were too narrowly defined. While there was a strong focus on natural resource governance and management, a number of key components and activities went beyond natural resource governance. In addition, the outputs and activities in module 1's results matrix only reflected parts of the activities that were implemented and only partly map upon the different intervention areas of module 1.

With the start of the new programme in 2015, the new management undertook a reorganisation to refocus towards a joint and central objective and overcome barriers between the different modules and core processes. As part of this process a new joint results model for module 1 and 2 was developed at the beginning of 2016. However, the results matrix and the overall objective were not changed, and no specific results model was developed for module 1. The overall results model gives a general idea of the theory of change, but it is very schematic and does not include all outcomes. Thus, the theory of change and hypothesis could only partly be deduced from the results model and matrix. The following outputs therefore have been reconstructed and will not refer to the outputs in the results matrix. See figure 2 for the reconstructed results model of module 1:¹

¹ Please note that this figure also includes the original outcomes as defined in the results matrix (in blue) and the reconstructed outcomes (in yellow). M 2 and M 3 cannot be easily integrated as they are cutting across the different core processes. M 1 and M 4 on the other hand only cover a small part of the module's activities.

Figure 2: Reconstructed results model of module 1 (COSERAM)



The elements of the results model are marked as follow: M --> results according to the module objective indicators; O --> elements belonging to the respective outputs.

Regional peace agendas: COSERAM supported DILG and the Regional Peace and Order Councils (RPOC) to develop regional peace agendas through capacity building and direct support to dialogue mechanisms and multi-stakeholder dialogues. Based on a situational analysis, the agendas outline peacebuilding and development needs, and identify strategies and priority areas for intervention. The aim of the regional peace agendas is to provide an overall framework that aligns planning regimes, coordinates efforts and consolidates resources to more effectively address conflicts, and contribute to peaceful and inclusive development. As such they were served as a framework for other COSERAM activities, in particular the CSPP component. In addition, this output aimed at strengthening cooperation systems, increasing participation of IPs and improving relationships between actors at the regional level – in particular those that work on security and those working on development – to foster a more preventative approach to security challenges that focuses on root causes. This approach was first tested and implemented in Caraga and then replicated in the other two project regions.

Mainstreaming conflict sensitivity and peace promotion in land-use planning and resource management: Through DILG and OPAPP, COSERAM fostered a conflict-sensitive and peace-promoting approach to local development planning to involve marginalised population groups in decision-making processes. This includes capacity-building measures for planning officers, field staff and community leaders. The aim was to institutionalise an inclusive, participatory and multi-sectoral approach to decision-making processes ensuring community involvement through development councils. In addition, this was meant to result in communities adopting more rational resource-use policies and implement development initiatives ensuring sustainable livelihoods, promoting human security and increasing equitable access to and benefits from resources. Mirroring the regional-level approach, this included contextual analysis and the identification of peacebuilding measures. At the same time, COSERAM was working at the national level to upscale the approach and make it a standard for LGUs in other provinces and regions of the Philippines.

Philippine Indigenous Peoples Ethnographies (PIPEs) project: COSERAM supported a project of NCIP which mainly worked at national level to support the recognition, protection, promotion and fulfilment of the IPs' rights within their ancestral domains. It produced ethnographies of indigenous cultural communities to promote IP rights through enhanced titling processes and plan formulations. Through the PIPEs project, COSERAM aimed at replicating its conflict-sensitive and inclusive approaches for land titling, formulation of Ancestral Domain Sustainable Development and Protection Plans (ADSDPPs), documentation of indigenous knowledge systems and practices (IKSP), and documentation of indigenous political structures through local NCIP offices throughout the Philippines, and influence NCIP's national policies.

Operationalising of Joint Administrative Order 01-2012 (JAO 01-12): In 2012, the JAO 01-12 was established as a mechanism for harmonising the policies, plans, programmes and activities of the country's four land title-issuing agencies (Department of Agrarian Reform, DENR, NICP, and the Land Registration Authority) to reduce overlaps of issued titles on ancestral lands. COSERAM helped to operationalise and strengthen this mechanism by developing dialogue mechanisms and building capacities. The aim was to resolve specific land issues. The experiences were used to develop national-level policy recommendations.

Legal and paralegal aid: COSERAM supported DILG in strengthening the Katarungang Pambarangay (KP), barangay-level justice and mediation system, in Caraga and northern Mindanao. It aimed to make this justice system more responsive to the needs of IPs, women, youth and other marginalised groups, for example, through capacity-building measures for barangay chairpersons. A second approach for increasing access to legal and paralegal aid was the establishment of conflict-sensitive legal aid programmes in three law schools: Father Saturnino Urios University (FSUU, region XIII), Liceo de Cagayan University (region X), and Ateneo de Davao University (region XI). These programmes trained students in conflict sensitivity, conflict transformation and alternative dispute resolution mechanisms to provide services to local communities.

Results model of module 2 (IP4Biodiv)

The IP4Biodiv module elaborated a very specific results model which adequately maps the methodological approach and results hypotheses. For the purpose of this evaluation, however, the results model contains too much detail; therefore, a more condensed model has been elaborated by the evaluators (see figure 3):

Under **output A (gender and conflict-sensitive approaches)**, the module dealt with the documentation and replication of inclusive protected area management innovations to protect and conserve biodiversity. It aimed at strengthening IP capacities at various levels (A-1), e.g. organisational (set-up of a biodiversity conservation group within NCIP) and individual (training of IP as researchers). Aligned with technical support for the Protected Area Management Boards, the representation of IP and LGU representatives in the PAMBs improved (A-2). In participatory processes, the PAMB for the Agusan Marsh developed a manual of operations and a Protected Area Management Plan (PAMP, A-3). A working group of NCIP and DENR pursued better harmonisation of the PAMP with the management plans of overlapping ancestral domains (ADSDPPs, A-4). Together, these results led to more inclusive PAMBs managing protected areas more effectively (O-1).

Output B (Inclusive Protected Area Management) pursued the establishment of inclusive biodiversity monitoring systems (M-2) in which IPs play a primary role. The system continuously provided data for a wide range of species (including endangered and indicator species) which was used by the PAMB and LGUs for more informed and conflict-sensitive management decisions (B-1). Furthermore, monitoring data was used to support law enforcement, supported through the employment of trained IPs by DENR as law enforcers.

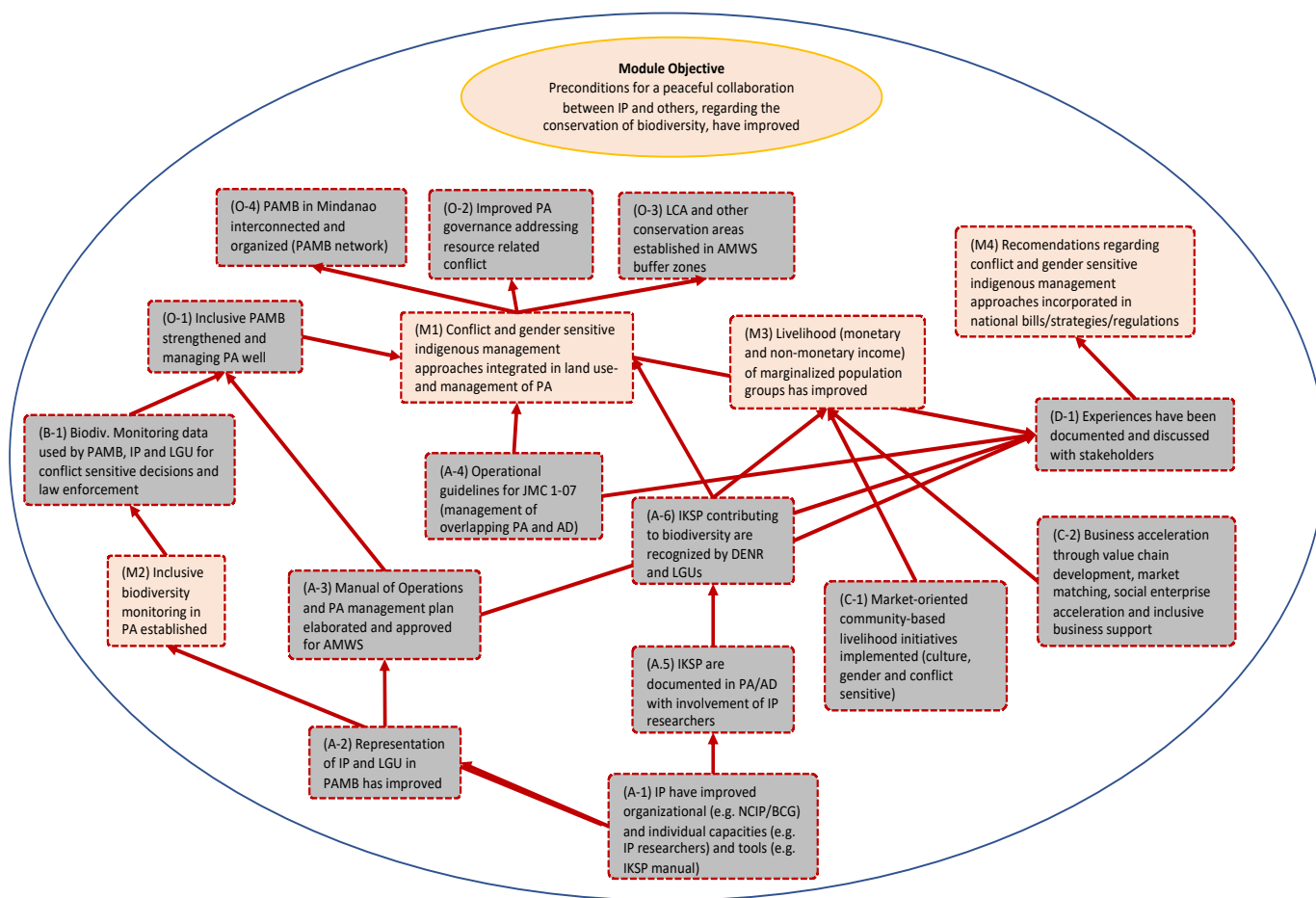
The module further collaborated with indigenous communities and a regional research institute to investigate and document **indigenous knowledge systems and practices** (IKSP, part of output A) that have the potential to contribute to biodiversity conservation (A-5). Documented IKSP were officially recognised by DENR and LGUs (A-6) and integrated into the management plans of ancestral domains. In general, all before mentioned results allowed for integrating conflict and gender-sensitive management approaches in land-use and protected area management (M-1). Thus, resource-related conflicts could be addressed more effectively (O-2) and the establishment of local conservation areas in buffer zones of the protected area was facilitated (O-3). Beyond the three directly supported programme areas, the module also supported the strengthening of the regional PAMB network in Mindanao, thus fostering IP inclusion in PAMBs and PAMB capacity building all over Mindanao (O-4).

Under **output C (local economic development)**, the module supported market-oriented community-based livelihood initiatives related to the sustainable use of endemic natural resources, including the protection and conservation of (agro-)biodiversity (C-1). The module further promoted inclusive business development and other business acceleration measures (C-2) to strengthen local economies and improve the livelihoods of the direct beneficiaries (M-3).

As explained, the two modules of the COSERAM programme shared the methodological basis and were closely interlinked. Some examples for synergies between both modules are:

- Every new workstream in each module started with an orientation on **conflict sensitivity and the do-no-harm (DNH) approach**. A standardised set of tools was used to support stakeholders in understanding the conflict context, mitigating their negative impacts on conflict, and strengthening local capacities for peace. The approach also takes into account the needs of different gender groups.
- **Mainstreaming of conflict sensitivity and peace promotion** in land-use and development plans was an intervention area of module 1. LGUs in module 2 also benefited from CSPP interventions.
- COSERAM supported the **PIPEs** project of NCIP which mainly worked at the national level to support the recognition, protection and promotion of IPs' rights within their ancestral domains. At the interface with IP4Biodiv, it was a channel for the replication of the IKSPs documented in module 2.

Figure 3: Reconstructed results model of module 2 (IP4Biodiv)



The elements of the results model are marked as follow: A, B, C, D → elements belonging to the respective outputs according to the methodological approach; M → results according to the module objective indicators, O → other results at outcome level that are not addressed in the results matrix.

- As a technical contribution to the PA management and the resolution of land conflicts, both modules shared a common workstream on the use of **unmanned aerial vehicles (UAVs)**. Data of mapped territories was used to identify overlapping land titles, analyse land use and monitor biodiversity.

Table 4 summarises the objectives of the two modules of the COSERAM programme and the overall programme goal:

Table 4: COSERAM module and programme objectives

Module objectives	Programme objective
<p><i>Module 1: COSERAM</i></p> <p>Governance of natural resources is ensured in a peaceful and sustainable manner, securing lawful access to natural resources for the marginalised population in selected areas of Caraga and other conflict-affected areas in the Philippines</p>	<p>Governance providing access to natural resources and assets for the marginalised population and ensuring sustainability contributes to a reduction of violent conflicts in selected areas of Caraga and other conflict-affected areas of the Philippines</p> <p>Indicators:</p> <ul style="list-style-type: none"> 33 potentially violent conflicts over land use and land rights are being addressed by mandated bodies in a peaceful manner through gender- and conflict-sensitive processes, integrating all relevant conflicting parties In 3 biodiverse areas with the presence of indigenous
<p><i>Module 2: IP4Biodiv</i></p> <p>The conditions for a peaceful collaboration</p>	

Module objectives	Programme objective
between IPs and other population groups, regarding the conservation of biodiversity in Agusan Marsh Wildlife Sanctuary and other biodiverse indigenous areas have improved	population, gender and conflict-sensitive management approaches for the conservation of biodiversity are being implemented

Though formulated differently (Module 1: ‘Governance ensured in a peaceful manner’, Module 2: ‘Conditions for peaceful collaboration’), the essence of the module objectives can be expressed in a more generic way which applies to both modules. These generic objectives relate to (1) the strengthening of capacities to maintain constructive, inclusive and gender and conflict-sensitive dialogues; and (2) the strengthening and empowerment of IPs. These two **generic outcomes** (dialogue and empowerment of IPs) are central and interlocking parts of good governance and effective peacebuilding. For both to be effective, dialogue processes have to be open and constructive, and marginalised groups must have the capacities to participate in these processes. Thus, by fostering constructive and inclusive dialogue and strengthening and empowering IPs who are being marginalised, the programme improves governance and contributes to peacebuilding. **Modules 1 and 2** contribute in different ways to these objectives and partly build upon each other and overlap.

The **system boundary** of the two modules are adequately defined in the results models. Whereas the results, at the outcome level, comprised conflict-sensitive dialogue capacities and empowerment of IPs, the programme objective of COSERAM at the **impact level** referred to better conflict transformation in selected areas of Caraga and other conflict-affected areas. However, the overall results model of the programme included three interlinked impact-level goals: development and poverty reduction (SDG 1), environmental sustainability in particular the protection of natural resources and ecosystems (SDG 15), and peaceful and inclusive societies (SDG 16).

In view of the discussed results models, the following generic hypotheses are formulated that apply to both modules and will guide the contribution analyses of the evaluation (see sections 4.3 and 4.4): The generic hypotheses and the specific contributors of each module are illustrated in figure 4.

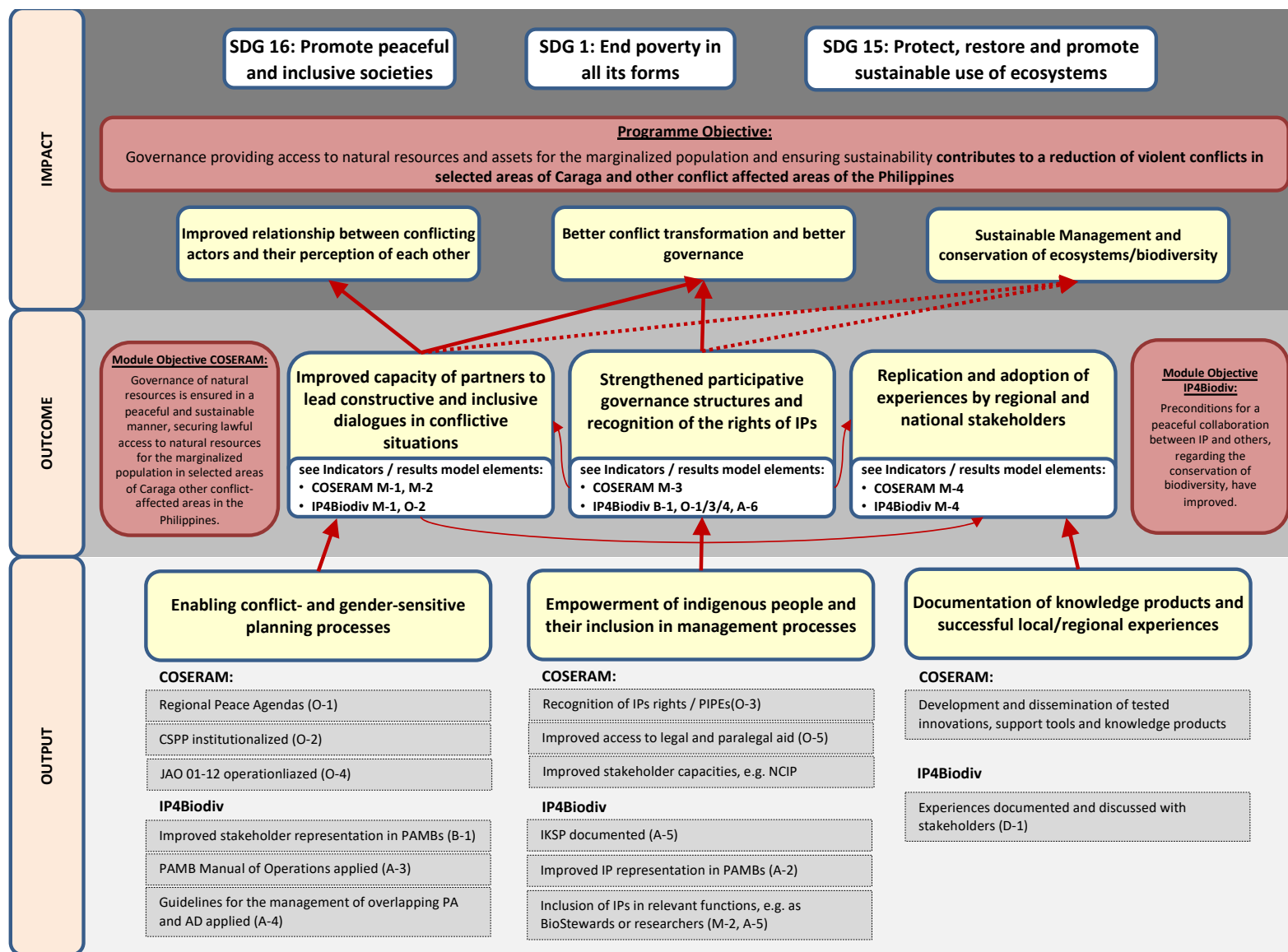
Hypotheses from output to outcome level (Effectiveness):

1. Enabling conflict- and gender-sensitive planning processes (output level) has strengthened the capacity of partners to lead constructive and inclusive dialogues in conflictive situations (outcome level).
2. The empowerment of indigenous organisations and individuals and their inclusion in participative management processes (output level) strengthens participative governance structures and fosters the recognition of the IPs’ rights (outcome level).
3. The documentation of knowledge products and successful local/regional experiences combined with stakeholder dialogues (output level) stimulates the replication and adoption by regional and national stakeholders, including the integration in national policies (outcome level).

Hypotheses from outcome to impact level (Impact):

1. Constructive and inclusive dialogues (outcome level) contributes to improving the relationships between conflicting actors and their perception of each other (impact level).
2. Constructive/inclusive dialogue in combination with the empowerment of marginalised group (in particular IPs; outcome level) contributes to conflict transformation and better governance (impact level).

Figure 4: COSERAM overall results model (including hypotheses for the evaluation)



3 Evaluability and evaluation process

3.1 Evaluability: data availability and quality

Basic documents

All basic documents as defined by the GIZ Evaluation Unit (see table 2) were available for the evaluation. The information provided was exhaustive and the overall quality of the basic documents was good and met the requirements of the evaluation. The quality of the GIZ standard project documents, too, was generally high.

Table 5: Basic documents

Basic document	Is available (Yes/No)	Estimation of actuality and quality	Relevant for OECD/ DAC criterion
Project's proposal and overarching programme/fonds proposal (etc.) and the 'Ergänzende Hinweise zur Durchführung' / additional information on implementation	Yes	Programme proposal, Part A (COSERAM); project's proposal, Part B for both modules ('Additional information on implementation' not available)	Point of reference for all OECD/DAC criteria
Modification offers where appropriate	Yes	Change offer of 04/2014 for module 2 (IP4Biodiv)	Point of reference for all OECD/DAC criteria
Contextual analyses, political-economic analyses or capacity assessments to illuminate the social context	Yes	Context Analysis for Caraga (01/2014), Caraga Regional Situational Analysis (07/2014), Political-Economic Short Analysis for the Philippines (02/2016)	Relevance
Peace and Conflict Assessment (PCA Matrix), Gender analyses, environmental and climate assessments, safeguard and gender etc.	Yes	Report 'Conflict, fragility and violence' (04/201), PCA Matrix (02/2017), Report 'Gender and Conflict in Mindanao' (2011)	Relevance
Annual project progress reports and, if embedded, also programme reporting	Yes	Annual progress reports, Part A (COSERAM programme) and Part B (both modules)	Effectiveness, Impact, Sustainability
Evaluation reports	No	(no evaluation was carried out)	(-)
Country strategy BMZ	No	Regional Strategy for Asia 2015	Relevance
National strategies	Yes	Long-term Vision for the Philippines (2016), Philippine Development Plan 2017-2022 (2017), Caraga Roadmap for Peace (2016)	Relevance
Sectoral/technical documents (please specify)	Yes	Several analytical and descriptive documents for each intervention area of the both modules	Effectiveness, Impact, Sustainability
Results matrix	Yes	Results matrix does only reflect part of the outputs for module 1; in line with current methodological approach and mostly SMART indicators for	Effectiveness, Impact, Efficiency

Basic document	Is available (Yes/No)	Estimation of actuality and quality	Relevant for OECD/ DAC criterion
		module 2	
Results model(s), possibly with comments if no longer up-to-date	Yes	For programme level (updated 2016) and module 2 (IP4Biodiv)	Effectiveness, Impact
Data of the results-based monitoring system (WoM)	Yes	Indicator sheets that correspond to results matrix, but in a rather superficial way	Effectiveness
Map of actors	Yes	Workshop documentation with comprehensive maps of actors and capacity development strategies for each intervention area of the programme (for both modules)	(Background for all criteria)
Capacity development strategy/overall strategy ²	Yes		All criteria
Steering structure	Yes	Graphical representation including key processes and short functional descriptions	Efficiency, Sustainability
Plan of operations	Yes	Comprehensive detailed plans of operations for years 2016 to 2018	Effectiveness, Efficiency
Cost data (at least current cost commitment report). If available: cost data assigned to outputs	Yes	Data gathering for the efficiency tool complete, incl. assignment of cost data to outputs	Efficiency
Excel-sheet assigning staff working months to outputs	Yes		Efficiency
Documents regarding predecessor project (COSERAM programme and TC module 1)	Yes	Programme Proposal, Part A (COSERAM) and conceptual framework, progress reports, report on main achievements for module 1; there was no predecessor for module 2	Effectiveness, Sustainability
Documents regarding follow-on project (please specify if applicable)	No	(no follow-on project)	(-)

Baseline and monitoring data including partner data

The programme monitoring of results matrix indicators was based on monitoring sheets which contain an explanation of the indicators, base and target values, the last value, the means of verification, technical staff in charge of data collection, and further notes and questions. It is structured along the outcome and output indicators and shows how the components of the project contribute to different outcomes and outputs.

Monitoring data is available for all results matrix indicators and fully updated until the end of 2018. Additional data (not limited to results matrix indicators) was analysed and summarised for the final partner workshop of the COSERAM programme in November 2018 and adds further value to the evaluation. Partners were involved in the programme monitoring through participation in the national and regional steering committees, though there are no partner monitoring systems to feed the programme indicators. However, the results of COSERAM were fed into the monitoring systems of the partners.

Despite the general availability of predefined quantitative data, the indicators do not necessarily cover all outcome dimensions. For module 1, the processes do not easily map on to the different outcomes and outputs, meaning that different processes contribute to the achievement of the same outcomes and outputs. This complicates the monitoring and makes the available data harder to assess. The prevention, mitigation and resolution of conflicts is not easily measurable through quantitative indicators. This means, for example, that

monitoring data may inform about observable changes such as the number of land-use and management plans using conflict and gender-sensitive approaches, but not about the extent to which the ability of involved stakeholders to adequately manage existing conflicts has actually changed. To a certain extent, these qualitative dimensions were addressed through a partner survey with selected stakeholders at the end of the programme term (method chosen without referring to the 'Kompass' approach of GIZ).

Further data which was collected

Further documents were researched during the evaluation process (analysed and screened documents: see annex 1). Additional primary data collected during the field phase aimed at a better understanding of the perspectives (needs, expectations and value judgements) of stakeholders and of results processes. Therefore, further data collection was primarily based on qualitative methods (semi-structured interviews and group discussions). Based on the project's stakeholder maps and the results model, the evaluators determined the organisations and stakeholder groups that should participate in the evaluation. The list was submitted to the programme to identify and add the interviewees and to discuss the pertinence and completeness of the list.

All stakeholder groups identified during the inception phase were covered during the main mission of the evaluation though beneficiaries could only be addressed in small numbers during a 2-week field phase. Thus, beneficiary interviews and focus groups contribute to the understanding of the evaluated processes but do not necessarily represent the populations. Regarding the regional scope, the evaluation involved a broad range of stakeholders in two out of three programme provinces (region X and XIII) and added interviews with key partners for the third region (region XI) to consider the full geographic area covered by COSERAM. Beyond the full representation of all national partner organisations (NEDA, OPAPP, DENR, DILG, NCIP) and – if relevant – their dependencies at regional level, further interviewees and focus group participants were selected according to three key criteria: (a) to reflect the full thematic scope of the programme; (b) to give insights on the developments in a variety of local contexts; and (c) to give insights in synergies between module 1 and module 2 (i.e. considering areas and stakeholders exposed to interventions of both modules).

In general, the following stakeholder groups were involved in interviews, focus groups or briefing and debriefing discussions during the evaluation:

Table 6: Stakeholders involved in the evaluation

Organisation/company/target group (Please do not list persons or functions)	Overall number of persons involved in evaluation (*disaggregation by module: both/M1/M2) (**gender disaggregation:m/f)	Participation in interview (no. of Persons) (*disaggregation by module: both/M1/M2)	Participation in focus group discussion (no. of persons) (*disaggregation by module: both/M1/M2)	Participation in briefing/debriefing meetings (no. of persons) (*disaggregation by module: both/M1/M2)
Donors	2 (*2/0/0) (**2/0)	2	(-)	(-)
German Embassy, Asia Foundation				
GIZ (coding: Int-GIZ)	6 (*2/1/3) (**2/4)	6	(-)	1
GIZ project team (including inception mission), GIZ country office, GIZ cluster coordinator				
Partner organisations, national level (direct target group) (Coding: PN)	16 (*13/0/3) (**11/5)	4	(-)	12
NEDA – National Economic and Development Authority (including inception mission), OPAPP – Office of the Presidential Adviser on the Peace Process, DENR – Department of Environment and Natural Resources (national and regional offices), DILG – Department of the Interior and Local Government (national and regional offices), NCIP – National Commission for Indigenous People (national and regional offices)				
Partner organisations, regional level (direct target group) (Coding: PR)	38 (*25/9/4) (**12/26)	20	18	(-)
NEDA – National Economic and Development Authority, OPAPP – Office of the Presidential Adviser on the Peace Process, DENR – Department of Environment and Natural Resources (national and regional offices), DILG – Department of the Interior and Local Government (national and regional offices), NCIP – National Commission for Indigenous People (national and regional offices)				
Other stakeholders (public actors, other development projects, etc.) (Codings: PR and PL, depending on the level))	15 (*4/6/5) (**5/10)	12	3	(-)
Mindanao Development Authority, Provincial local governments – Regions 10, 11 and 13, Mindanao PAMB network, Protected area superintendent, Armed forces of the Philippines				
Civil society and private actors (Coding: PR)	1 (*-/1/-) (**1/-)	3	(-)	(-)
Balay Mindanao				
Universities and think tanks (Coding: ACA))	16 (*-/4/12) (**6/10)	7	9	(-)
Father Saturnino Urios University (FSUU) – Urian Legal Assistance Program (ULAP), Philippine Normal University (PNU), Capitol State University, Extension Office (CSU), Bukidnon State University, Research Institute for Mindanao Culture – Xavier University				

Organisation/company/target group (Please do not list persons or functions)	Overall number of persons involved in evaluation (*disaggregation by module: both/M1/M2) (**gender disaggregation:m /f)	Participation in interview (no. of Persons) (*disaggregation by module: both/M1/M2)	Participation in focus group discussion (no. of persons) (*disaggregation by module: both/M1/M2)	Participation in briefing/debriefing meetings (no. of persons) (*disaggregation by module: both/M1/M2)
Final beneficiaries (indirect target groups) (Coding: PL)				
ADSDPP stakeholders	4 (**4/-)	(-)	4	(-)
Representatives of LGUs and barangays (COSERAM)	13 (**10/3)	13	(-)	(-)
Community members IP4Biodiv (biodiversity and monitoring system and law enforcement)	9 (**6/3)	(-)	9	(-)
Community members IP4Biodiv (IKSP and livelihood)	7 (**3/4)	(-)	7	(-)

Further coding components: Middle component for the regions where stakeholders are involved (10, 11, 13), final component indicating the relevance for the entire programme (COS) vs. module 1 (M1) vs. module 2 (M2)

3.2 Evaluation process

The evaluation process comprised an inception phase (inception mission from 12 to 16 November 2018; final draft of the inception report on 30 January 2019), a field phase (01 to 12 April 2019) and a reporting phase (adjusted deadline for the final version of the evaluation report: 05 July 2019). The evaluation stakeholders coincide with the project stakeholders who were involved through a broad range of snap-shot interviews during the inception mission (the evaluators participated in the final partner meeting of the COSERAM programme to obtain inputs for the evaluation objectives and evaluation questions) and briefing/debriefing meetings with the members of the national steering committee on the first and last day of the main evaluation mission. Potential users of the evaluation findings and recommendations are those stakeholders who will also be closely involved in the aforementioned German TC modules that are ongoing or starting in the field of peacebuilding and conflict prevention in the Philippines ('Responsible Land Policy in Mindanao', 'Regional Peace Agendas', Strengthening capacities on conflict-induced forced displacement in Mindanao').

Key tasks of the evaluators were:

- *International evaluators* (the two team leaders for each assigned module): Coordination of the evaluation process and communication with GIZ, evaluation design, data collection, leading the presentation of results on-site and report writing (inception report, evaluation report and by-products).
- *Local evaluators* (the two local evaluators for each assigned module): Critical feedback for the abovementioned tasks and providing contributions as agreed with the team leaders, document and secondary data research in the partner country (between on-site missions), preparation of the evaluation mission agenda, data collection (during evaluation mission), conducting and translating interviews in local languages.

While document and secondary data analysis were distributed among the evaluators, most interviews and stakeholder discussions were conducted by the respective teams for each module, except for group meetings with the members of the national and regional steering committees (held jointly). Therefore, triangulation within

and between the teams could continuously take place at the end of each common working day.

4 Assessment of the project according to OECD/DAC criteria

4.1 Long-term results of predecessor project?

Evaluation basis and design for assessing long-term results of the predecessor

The COSERAM programme and TC module 1 build on the results of a predecessor programme with the same name as the current programme. The outcome of the predecessor TC module was: 'Governance of natural resources is ensured in a peaceful and sustainable manner for the benefit of the population in selected areas of the Caraga Region.' This is not significantly different from the objective of the current TC module 1, with the exception that the current module added a focus on access to natural resources for marginalised populations and expanded the geographic focus beyond Caraga to 'other conflict-affected areas in the Philippines'.

The following analysis focuses on the impact and sustainability of the predecessor. Due to the continuity of the intervention strategy, it is self-evident that intended results at the impact level remain mostly the same, despite some changes of programme objective and activities. The following section assesses the specific interventions, final implementation and results status of the predecessor vs the current project. However, there was one key limitation: comprehensive lists of the LGUs and barangays of the predecessor and of the current modules were not available. This means that it was not possible to list the intervention areas of the predecessor and map them over the intervention areas of the current programme, which made it impossible to clearly identify where actions were continued or discontinued and clearly disaggregate the impacts of the predecessor.

The analysis further assesses the outputs and outcomes of the predecessor that were necessary for the current programme, in particular the experiences and knowledge products supposed to be used for the upscaling. The assessment relies on document analysis and triangulates initial findings with opinions of project staff and key stakeholders. Since research questions were mostly related with the program's long-term results, key interview partners were the members of the steering committee (i.e. NEDA, DENR, DIRLG, NCIP and OPAPP).

Analysis and assessment regarding long-term results of the predecessor

Almost all indicators were achieved by the end of the project, the overall effectiveness was rated 2 (successful) by a final project progress review (PPR), primarily because most indicators were vaguely formulated and not specific enough in terms of quality and quantity. Furthermore, several indicators at the component level were not fully achieved, in particular in component 2 'Local peacebuilding needs' (see PPR summary: GIZ 2014f).

- **Indicator 1 (mostly achieved):** At least two authorities in Caraga Region promote and 15 (out of 67) municipalities and 20 barangays implement gender and conflict-sensitive land-use and development plans.

Table 7: Number of authorities, municipalities and Barangays which promote gender and conflict sensitive land-use and development plans

Target	According to final reporting (GIZ-COSERAM 2014e)
2 authorities	<p>Five authorities have promoted gender and conflict-sensitive land-use and development plans since 2012, namely:</p> <ul style="list-style-type: none"> ○ NEDA Caraga in regional and provincial framework plans (the 2014 Regional Development Plan was revised accordingly) ○ DILG Caraga in the barangay/comprehensive development plans ○ OPAPP and DILG together supported the mainstreaming of the Provincial Peace and Development Framework of Surigao Del Norte into the Comprehensive Development Plans and budgets of municipal LGUs ○ The National Housing and Land Use Regulatory Board and DENR Caraga promoted harmonised gender- and conflict-sensitive municipal planning processes for comprehensive land-use plans and forest land-use plans
15 municipalities, cities, ancestral domains	<p>12 municipalities (nine municipalities, one city and two ancestral domains) started to implement their gender- and conflict-sensitive land-use and development plans in 2014. This means that the project did not fully achieve this indicator. However, it highlighted the following additional results:</p> <ul style="list-style-type: none"> ○ 11 more municipalities were expected to start implementation in 2015 ○ 9 municipalities in Surigao del Norte had adjusted their annual investment plans allocating budget to address identified peacebuilding and development needs in conflict-affected areas ○ Butuan City and the two ancestral domains in Bislig and Sibagat did implement first quick impact activities of their gender- and conflict-sensitive land-use and development plans which were developed with COSERAM support.
20 Barangays	<p>By the end of 2014 a total of 24 barangays had started implementing projects and activities of the developed gender and conflict-sensitive land-use and development plans. These include 14 barangays of the municipality of Malimono, 8 barangays of Butuan City, 1 barangay of the municipality of Santiago and 1 barangay of Liatimco.</p>

- 3. Indicator 2 (achieved):** The number of violent conflicts over land/land-use regulations and equitable access to natural resources has decreased in selected areas from 2011 to 2014 by 30%.

Table 8: Number of violent conflicts over land/land-use regulations and equitable access to natural resources in Caraga GIZ-COSERAM (2014g)

	Target	Baseline ²	2012	2013	2014
Activity Cluster 1	-30%	16	19 (+16%)	12 (-25%)	8 (-50%)
Activity Cluster 2	-30%	9	baseline taken 2012	4 (-56%)	2 (-77%)
Activity Cluster 3	-30%	17	8 (-53%)	10 (-41%)	2 (-88%)

² As interventions of AC 2 and TC Module 2 started later, the baseline is only from 2012 while all other baselines are from 2011.

	Target	Baseline ²	2012	2013	2014
Activity Cluster 4	-30%	30	21 (-30%)	12 (-60%)	5 (-83%)
TC Module 2	-30%	8	baseline taken 2012	1 (89-%)	0 (-100%)

The general decrease in the number of violent conflicts cannot be clearly attributed to the project interventions. However, based on regularly conducted structured interviews with key stakeholders, the project identified in its final report the following concrete examples in the different activity clusters of the project:

- Activity cluster 1 successfully reconciled with its planning processes protection and production needs, providing livelihood alternatives for the local community which traditionally has been the target for recruitment activities by non-state armed groups.
- Barangay-based institutions and cooperation were strengthened, e.g. of the Barangay Council and the Barangay Fisheries and Aquatic Resource Management Council. This led to a reduction of violent conflicts on coastal and marine water use.
- Tensions and fears at the co-management area, largely fuelled by NPA affiliated groups, were reduced by strengthening communication of the City with various stakeholders and clarifying the City's intentions for the development of the area.
- The supported activities helped resolving inter-clan contestations over ancestral domain claims.
- **Indicator 3 (achieved):** Dialogue and negotiating processes lead in selected areas to at least 10 (informal or formal) agreements between the parties to the conflict that regulate the use of natural resources in favour of the underprivileged population (at least 30% women).

Some 17 formal and informal agreements were made between conflicting parties to regulate the use of natural resources in favour of the marginalised population, benefiting more than 30% women (GIZ-COSERAM 2014e).

As mentioned, because of the missing intervention maps, it is not possible to clearly trace the impacts that the predecessor had in specific LGUs and barangays and how durable these results were. However, the regional-level results regarding the promotion of gender- and conflict-sensitive planning processes clearly paved the way for the work on the regional peace agenda in region XIII. This was confirmed by a number of government partners (Int_with_PN-COS and PR13-COS). In general, and in particular for region XIII, the current impacts (see section 4.4) are most likely the aggregated result of the two programmes.

In addition to these results, the predecessor also implemented and tested many of the approaches that COSERAM modules 1 and 2 used and further developed. The PPR report and GIZ staff identified the following good practices that were available for upscaling and replication: Ecosystem-based approaches such as ridge-to-reef, the adjusted SIMPLE-approach, conflict-sensitive and peace-promoting local development planning also called the 'Peacebuilding and development needs approach', multi-stakeholder processes for peaceful co-management, participatory coastal resource planning, IP involvement in protected area management, culture- and conflict-sensitive approaches to IPs' rights and IP empowerment (in strengthening of the barangay justice system), and participatory tools and approaches for the recognition of ancestral domains (see GIZ-COSERAM 2014f). In addition, conflict-sensitive monitoring and do-no-harm checklists were developed and used.

All of these approaches were used across the different activities of modules 1 and 2. However, while these approaches were developed and tested, they were not always documented in the form of knowledge products that could easily be used by COSERAM modules 1 and 2. Some GIZ staff pointed out that while experiences and approaches existed, they were not available in a form that allowed for easy upscaling and replication (Int_with_GIZ staff). Knowledge products available were the ridge-to-reef, community entry, and investment criteria (see the list of knowledge products in annex 1 as available until 2014/15).

In addition, many of the interviews with government partners in region XIII also clearly showed that the

predecessor built the basis for COSERAM in terms of relationships with partners and target groups (Int_with_PL13-M1). The PPR also confirmed the high willingness and commitment of the partners to continue working and an interest in upscaling the good practices developed. However, not all of these good practices were ready for upscaling and replication which, according to GIZ staff, affected the effectiveness of COSERAM module 1 since resources and time had to be invested to identify lessons learnt and produce knowledge products that could be used in upscaling and replication (Int_with_GIZ staff).

Another and maybe even bigger challenge and legacy that clearly impacted the efficiency and effectiveness of COSERAM, in particular of module 1, were the disconnected activity clusters of the predecessor. The actual implementation of the predecessor did not happen along its two components, but within four activity clusters. The PPR clearly identified a number of challenges that this created. First, the activity clusters did not have clear individual strategies, objectives or indicators. Second, the different activity clusters were disconnected from each other. Result chains and plans of operation were developed for each activity cluster, but the link between the activity clusters and the overall programme strategy was weak. The PPR described these problems as inherent design flaws. However, these design flaws were replicated in the new project and impacted efficiency and effectiveness until they were partly addressed (see sections 4.3 and 4.4). COMO, an external consultancy, was brought in to help develop a monitoring and evaluation system and started with an overall intervention logic and interventions logics for the different activity clusters. However, according to the PPR this resulted in an overly complex system (see GIZ-COSERAM 2014f).

Interestingly, one issue that was identified and intensively debated by the steering committee as being at the core of the future discussions on upscaling and replication was the challenge of how to fill or replace the GIZ as a neutral, third-party facilitator bringing together different stakeholders. It was discussed then that the programme might run the risk of leaving a 'coordination vacuum' if not explicitly addressed by the partners involved in the steering of the project (see GIZ-COSERAM 2015a). This remained a challenge in terms of sustainability (also see section 4.6).

4.2 Relevance

Evaluation basis and design for assessing relevance

The evaluation dimensions of the relevance criterion cover (i) the alignment of the project objectives with relevant strategic frameworks; (ii) the extent to which the project strategy matches the needs of the target groups; (iii) the pertinence of the project design to achieve the chosen project objective (results logic); and (iv) the pertinence of conceptual adaptations to changing framework conditions.

To evaluate the alignment with relevant strategic frameworks (Evaluation dimension 1), the project concepts are assessed against the extent to which the methodological approaches are consistent with (a) the strategic orientation of the German development cooperation, namely the thematic strategy papers, policies and guidelines of the BMZ; (b) international standards and agreements; and (c) the strategic orientation of the Government of the Philippines as laid out in long-term strategy documents. To evaluate the extent to which the project strategies are addressing core problems of the target groups (Evaluation dimension 2), the project concept is assessed against the context analyses as carried out for each region intervened by the TC measure with a focus on fragility, conflict and persistent violence including the relation between gender and conflict (see GIZ-COSERAM 2014h, 2016f, 2017c and 2017d, RPOC-10 2018, RPOC-13, 2016, Asia Foundation 2011). Evaluating the pertinence of the project design (Evaluation dimension 3) refers to the extent to which the abovementioned analyses confirm the core problem(s) and identified needs of the target groups and to what extent the methodological approach of the module actually addresses the causes of the problem. Lastly, the main changes in the context will be identified and assessed how the project reacted to these changes. Evidence on conceptual adaptations (Evaluation dimension 4) will be drawn from the progress reporting.

The methodological approach is similar for all abovementioned dimensions of the relevance criterion. The assessment primarily relies on document analysis and triangulates initial findings with opinions of project staff

and key stakeholders. Questions related with the programme's overall strategic orientation were mostly posed to the steering committee members (i.e. NEDA, DENR, DIRLG, NCIP and OPAPP). Regarding the extent to which the project concept matches the needs of the target groups, further regional-level stakeholders were included (e.g. regional representatives of DIRLG, DENR, OPAPP, NCIP and non-governmental organisations; indirect target groups, e.g. focus groups with community members). In addition, the analysis uses evidence from studies the programme has conducted (e.g. a final partner survey at the end of the term).

Evaluation dimension 1: Fit into the relevant strategic reference frameworks

All the project's intervention regions face the convergence of chronic poverty, long-standing IP issues and various types of conflict – including resource-based and political conflicts. The nature, scale and urgency of these problems underscored the soundness of geographic and thematic choices underpinning COSERAM. At the same time, there were no other significant development initiatives and programmes in these regions as most of the international assistance is focused on the other parts of Mindanao that are experiencing even higher levels of violence and conflict. In addition, in all of the three regions, there was a pre-existing willingness of relevant agencies and institutional actors to work together on common themes around conflict, peace building, governance and development.

As a whole during its implementation, COSERAM strengthened its focus on peacebuilding. Being cross-sectoral and including governance and natural resource management meant that the project as a whole could define and describe itself in different ways. GIZ staff described that there was a conscious effort to make the project more explicitly focus on peacebuilding as the core and overarching logic and objective for the project (Int_with_GIZ staff).

At the national level, the overarching **strategic reference framework** is the Philippine Development Plan (PDP) for the periods 2011-2016 (NEDA 2011a) and 2017-2022 (NEDA 2017b). Among the 10 chapters of the PDP, one is explicitly dedicated to 'Peace and Security' and one to the 'Conservation, Protection and Rehabilitation of Environment and Natural Resources'. The COSERAM programme addresses several key aspects as outlined in the 'Peace and Security' chapter, such as the resolution of land disputes and issues related to 'Peace and Social Cohesion' (i.e. the implementation of peacebuilding structures and reconciliation processes in conflict-afflicted areas and capacity building for local stakeholders on conflict sensitivity and peace building). Regarding the rights of IPs, the governance of ancestral domains is also addressed including several indicators reflected in the strategy of both COSERAM modules (e.g. empowerment of IP to manage their ancestral domains, formulation of ADSDPPs, their incorporation in development plans of LGUs and the establishment of mechanisms to resolve land-based conflicts within ancestral domains, NEDA 2011a: 73 ff).

Whereas these peacebuilding needs and the provisions of the 'Peace and Security' chapter guide the COSERAM programme as a whole, the project concept of module 2 is also guided by the chapter related to the protection of environment and natural resources. It mainly contributes to two sub-sector outcomes as defined in the PDP, namely the improvement of biodiversity protection and conservation and improvement of land administration and management (see NEDA 2011a: 84 ff).

Since the PDP 2017-2022 was structured in a different manner, the link between PDP results and intended programme results and indicators became less explicit. However, the intended programme results still match with strategic orientations as outlined in the chapters: 'Attaining Just and Lasting Peace' (e.g. references to peace promotion and socio-economic development in conflict areas, empowerment of communities to address conflicts and the responsiveness of government to peace and conflict issues) and 'Ensuring Ecological Integrity, Clean and Healthy Environment' (e.g. references to the conservation of biodiversity, ecosystem services, protected area management and land administration, NEDA 2017b: 37 ff and 42 ff). 'Communities without conflict' – including the empowerment of indigenous communities – are addressed as an objective of the Vision 2040, a long-term development vision based on consultation processes with a broad range of societal stakeholders. The vision, however, focuses on economic and social dimensions of development and does not address the ecological issues relevant for module 2 IP4Biodiv (see NEDA 2017a).

The two programme modules further contribute to other, more specific policies, strategies and regulations:

- The empowerment of IPs contributes to the implementation of the Indigenous People's Rights Act (IPRA) of 1997, a national legislation that recognises and promotes the rights of the indigenous peoples of the Philippines. Examples are the piloting of consultation mechanisms for the principle of 'free prior and informed consent' (FPIC) in the Agusan Marsh (module 2), the strengthening of cultural practices and community intellectual rights through the IKSP (module 2), mechanisms for land-based conflict resolutions and better land management in ancestral domains (both modules) or the consideration of customary laws in culturally and conflict-sensitive legal aid support (module 1), the IP mandatory representation (module 1) and the IP Peace Agenda through a nationwide consultative process (module 1).
- The objectives of module 2 (IP4Biodiv) are in line with the Philippine Biodiversity Strategy and Action Plan (PBSAP) 2015-2028 which highlights the Agusan Marsh Wildlife Sanctuary as 'one of the key biodiversity sites in the country' (see DENR 2015: 39). IP4Biodiv addresses intervention areas of the PBSAP such as capacity development for biodiversity management (e.g. through the strengthening of the Protected Area Management Boards), biodiversity conservation related research (e.g. through the implementation of a biodiversity monitoring system and the documentation of indigenous knowledge systems and practices), the promotion of biodiversity-friendly livelihoods (e.g. through sustainable livelihood and inclusive business), and the strengthening of law enforcement (through the involvement of local community members in law enforcement activities). The interventions of the module are consistent with the National Wetlands Action Plan for the Philippines 2011-2016 (DENR 2013), which promotes the preparation and implementation of management plans, the implementation of monitoring systems and the implementation of innovative methods and tools for wetland management.

COSERAM as a whole is also well in line with the regional strategic frameworks. In region XIII, it built upon the regional development plan 2010-2016, in particular the objectives formulated in chapter 8 on 'Peace and Security' and chapter 9 'Conservation, Protection and Rehabilitation of Environment and Natural Resources Towards Sustainable Development' (NEDA 2011b). Furthermore, COSERAM supported the development of the Caraga Roadmap for Peace which formed a central pillar of the regional development plan 2017-2022 (NEDA 2017d). In region X, COSERAM's activities started later and were closely linked to the regional development plan 2017-2022 and regional development processes leading to the Regional Peacebuilding and Development Framework Agenda (RPOC 2016). In addition, the final partner monitoring of COSERAM shows how the different activities of COSERAM contributed directly to the major final outputs of the partner institutions in their national and regional programmes and work plans, and underscores the close alignment of COSERAM with the strategies and needs of the partners.

In total, all dimensions of both COSERAM modules are designed to contribute to the implementation of national and regional policies and strategies. Furthermore, the programme has made significant contributions to policy and strategy formulation, particularly regarding the formulation of the Caraga Roadmap for Peace in region XIII and the Regional Peacebuilding and Development Framework Agenda in region X (module 1).

The programme is **well in line with international standards** in the area of peacebuilding and conflict prevention such as the OECD Principles for Good Engagement in Fragile States (see OECD 2007) and Situations or the New Deal for Engagement in Fragile States (see PBSB 2012). These are mainly process standards that emphasise the need for a deep contextual understanding, do-no-harm alignment with the needs of national governments and communities, and promote gender equity, social inclusion and human rights. Conflict and context assessments were done for all intervention regions and updated regularly as part of the conflict-sensitive monitoring and evaluation (M&E) system (also see dimension 2 and section 4.1).

It has been outlined how both modules aim to empower IPs, thus supporting the implementation of the Indigenous People's Rights Act. Regarding the alignment with international standards, the same intervention areas also follow the principles of United Nations Declaration on the Rights of Indigenous Peoples (UN 2007).

In the case of module 2, the empowerment of indigenous people (e.g. through FPIC, IKSP, involvement in protected area management) is directly linked with environmental goals, i.e. indigenous practices and active participation of indigenous stakeholders in protective practices are instrumentalised for the protection of biodiversity. Regarding the module's focus on the management of protected areas, the most relevant

international reference framework is the Convention on Biological Diversity (CBD). The Strategic Plan for Biodiversity 2011-2020 (Aichi Targets) also refers to a more effective and equitable management of protected areas (Target 11) and the use of traditional knowledge, innovations and practices from indigenous and local communities for the conservation and the sustainable use of biological resources (see CBD 2011) – both of which are key pillars of the intervention strategy of the IP4Biodiv module. Furthermore, the Agusan Marsh, as one of the three intervention areas, has been registered under the Ramsar Convention on Wetlands of International Importance at the end of the project term (see Ramsar 2019).

Finally, the COSERAM is also contributing to the achievement of several SDGs:

- poverty reduction (SDG 1, e.g. through the contribution to regional development planning in module 1 and the livelihood and inclusive business activities of module 2)
- environmental sustainability, in particular the protection of natural resources and ecosystems (SDG 15, e.g. through the strengthening of protected area management in module 2)
- peaceful and inclusive societies (SDG 16, e.g. through the peace promotion interventions in module 1 and the dissemination of the do-no-harm-approach by both modules)

All in all, both COSERAM modules are fully in line with international reference frameworks. Module 2 is designed to enable the partners to fulfil commitments with international conventions such as the CBD and the Ramsar convention.

From both a sector and a regional/country perspective, both modules correspond with the relevant **concepts and strategies of German development cooperation**, i.e. of BMZ as commissioning party. The programme and its objectives are well in line with key objectives outlined in the BMZ Strategy 'Development for Peace and Security' (see BMZ 2013), namely addressing the causes of conflict, fragility and violence, improving the capacity for non-violent conflict transformation, and creating the environment for peaceful and inclusive development. The strategy also emphasises the need of integrated, multi-level approaches that link peacebuilding with the environment, economy, human rights and gender equality and work at the national, regional and local levels. The BMZ Strategy 'Human Rights in German Development Policy' (see BMZ 2011) is addressed by following a human rights-based approach that includes the inclusion and participation of all population groups, transparency and accountability of government institutions, and a focus on IP rights and empowerment.

In absence of a current BMZ country strategy for the Philippines, the programme design connects to the current regional strategy for Asia (see BMZ 2015). Among the seven 'key points' for the German development cooperation in the region, one refers to combating the causes of conflict (related to the intended outcome of module 1) and one to the protection of the climate and biodiversity (related to the intended outcome of module 2). Specifically for the IP4Biodiv module, the BMZ concept on biological diversity is a key reference. Several recommendations of the strategy are also reflected in the project design, e.g. (a) the need to complement conservation goals with other development interests such as the sustainable use of natural resources and the creation of income sources, (b) the promotion of participative approaches that include all relevant interest groups in a given area, (c) the resolution of land-use conflicts as a precondition for effective conservation measures, or (d) the recognition of protective practices based on traditional knowledge (see also BMZ 2008: 12ff).

Altogether, both modules equally align with the relevant strategic reference frameworks at all levels (national and regional policies and strategies, international standards, and German development cooperation strategies). Modules 1 and 2 fully comply with the criteria of this assessment dimension (**rating module 1: 30 of 30 points, rating module 2: 30 of 30 points**).

Evaluation dimension 2: Suitability to address problems/needs of the target groups

According to the project offers, the groups targeted by both modules are poor households and marginalised population groups that are affected by conflict and lacking access to resources. These include primarily indigenous populations, having a special focus on women and young people, settlers, fishers and small-scale

farmers. Whereas module 1 generally focuses on population groups affected by violence and lack of access to natural resources, module 2 focuses on areas that are home to indigenous peoples and have a high biodiversity (see GIZ-COSERAM 2014b, GIZ-IP4Biodiv 2014b).

The definition of the core problem of module 1 directly refers to the needs of the target groups: 'The marginalised population in Caraga and other conflict-affected regions, particularly indigenous peoples, the poor, women, and young people, neither benefit adequately from existing natural resources (including land) nor from the public services of the state which does not sufficiently focus on the governance of natural resources, peacebuilding and sustainability.' As does the module objective that focuses on securing lawful access to natural resources for the marginalised population in selected areas (see project offer GIZ-COSERAM 2014c).

The strategy, methodological approach and main intervention areas of module 1 are based on national and regional peacebuilding needs and focuses on a number of specific target group needs:

- Empowerment and inclusion of (marginalised) population groups, particularly IPs in planning and decision-making processes. This not only contributes to peacebuilding, but also offers opportunities for these population groups to influence development planning and making sure that their development needs are addressed.
- Providing legal aid to marginalised population groups and strengthening traditional conflict transformation mechanisms.
- Improving access to natural resources of marginalised groups, in particular IP's access to land.

It also focuses on a number of important **conflict drivers and connectors** as identified by different conflict and context analysis, including a context analysis for region XIII in 2014 (GIZ-COSERAM 2014h) and a situational regional analysis as part of the Caraga roadmap (RPOC-13 2013), a Peace and Conflict Assessment/PCA (GIZ-COSERAM 2017d), specific conflict analysis before upscaling to regions X and XI (GIZ-COSERAM 2016f and 2016g), and participatory conflict analyses as part of the local and regional-level planning processes. Another conflict analysis for the Philippines as a whole was done in 2016 by the GIZ sector programme 'Peace and Security' (GIZ 2016a). Important conflict drivers that were identified and thoroughly analysed included overlapping land tenure, policies and mandates, competing land uses, inequitable access to natural resources and government services, poor governance, environmental degradation and biodiversity losses, and poverty and marginalisation of IPs, women and youth. In terms of potential **security risks** for partners, staff and target groups, the programme had different mechanisms in place to ensure not putting its own staff or others at risk. The entry point was the Risk Management Office which provides detailed risk assessments and has established procedures for GIZ staff in place (e.g. for movements in and between project regions). Risks for the target groups and partners were regularly discussed in the team as part of a conflict-sensitive risk monitoring (see the progress reporting of both modules).

Regarding the **inclusion of gender aspects**, neither the project proposal nor the conducted conflict analysis elaborates on the topic in much detail except outlining that gender-sensitive approaches are used and that gender aspects are important in regard to land ownership, use and access. It does not feature at all in the context analysis done in 2014 for region XIII at the beginning of the project, and the context analysis for region X and XI states in the beginning that it falls short of elaborating on the gender dimension of conflict. It raises further questions and points out that there are gaps at the programme level in terms of clearly identifying which gender dynamics and inequalities are relevant for the programme. For example, it is not elaborated why and how women's participation is an important factor in dealing with land conflicts. However, the study does elaborate on issues IP women face in their communities and gender and displacement (see GIZ-COSERAM 2017c). Gender also did not play a role in the two regional reflection workshops that were conducted (see GIZ-COSERAM 2016f and 2016g). However, the topic was addressed during a number of internal team workshops and a decision was taken to develop a specific gender strategy, and workshop was held to further develop the topic (see GIZ-COSERAM 2016c, 2016d, 2016h, 2017e, 2017f).

The abovementioned findings for module 1 are equally applicable to module 2 since they share a common understanding of conflict sensitivity and specific tools. The most important specificity of module 2 is the focus

on protected areas and the conservation of biodiversity. Though the core problem and the module objective do not highlight the target group's needs, but rather its contribution towards the more overarching objective of biodiversity conservation, it is also evident that the members of the target group are severely affected by biodiversity losses or any other of environmental degradation and the subsequent loss of ecosystem services. Thus, focusing on protected areas that overlap with ancient domains serves genuine self-interests of IPs.

The project strategy considers the **needs of the target groups** on several dimensions:

- it builds upon traditional knowledge and practices of IPs
- it strengthens the capacities of IPs to manage their domains
- it seeks recognition, enhanced inclusion and more effective representation of IPs in the management of protected areas (see project offer GIZ-IP4Biodiv 2014b)

Furthermore, the module considers the economic dimension of the core problem, i.e. how activities harmful to the integrity of protected areas are driven by the income-generating activities of poor populations. The module seeks to establish alternative income sources compatible with biodiversity conservation (e.g. GIZ-IP4Biodiv 2017d, 2017e, 2018i). Poverty alleviation is therefore addressed not only as a cross-cutting goal but as a necessary factor for enabling the target groups to engage in protective activities.

Module 2 shares the same challenges as module 1 regarding the integration of gender sensitivity into the programme interventions (see GIZ-COSERAM 2016d). Though indicators 1 and 3 of the IP4Biodiv module both refer to 'gender- and conflict-sensitive indigenous management approaches', interviewed stakeholders (project staff and partners) are very aware of the concept of conflict sensitivity and related interventions. At the same time, stakeholders have difficulties to operationalise its context-specific meaning (Int_with_GIZ staff and PR13-M2). The livelihood support, however, equally addresses male and female target groups, thus pursuing a more equal distribution of income generation.

In summary, the strategies of both modules are generally well designed to address the core problems/needs of the target groups. In module 1 a number of conflict drivers and the needs of conflict-affected, poor and marginalised populations were addressed directly in the module objective, the definition of the core problem, and the different intervention areas. Gender aspects are mentioned in the project documents and context analysis, but without further elaborating what gender dynamics and issues are specifically relevant. However, the project tried to fill this gap during its implementation (**rating: 26 out of 30 points**). In the IP4Biodiv module, the needs and capacities of indigenous people are considered in a comprehensive manner; although the cross-cutting operationalisation of gender sensitivity has been challenging, specific contributions to more equal opportunities for income generation were made by the livelihood component (**rating: 26 out of 30 points**).

Evaluation dimension 3: Adaptation of the design to the module objective

As outlined in section 2, the module objective, the results level and the indicators of module 1 only reflected part of the scope of the project. They were too narrowly defined on natural resource governance and did not include some key components and activities that had results beyond natural resources governance. While the module objective was realistic and attainable, the project actually went beyond it. It showed that the project was flexibly adapting and going beyond the initial design to fulfil the partner's needs and to use peacebuilding opportunities as they occurred. Most partners confirmed that this flexibility and opportunistic approach was a key strength of the project and ensured its relevance. It did not lead in the perception of the partners to a loss of strategic focus (Int_with_PR13-COS, PR10-COS and PR10-M1).

The results hypothesis underlying the theory of change are summarised in section 2.2 (results model) for the programme level and operationalised for each module in section 4.3 (evaluation basis for effectiveness). The results hypotheses for module 1 are plausible and sound, and they are based on peacebuilding best practices and lessons learnt. None of the interview partners questioned the underlying theory of change or the results hypotheses.

The most uncertain hypothesis was the extent to which highly context-specific methodologies, first applied only

in the Agusan Marsh, would be replicable in other areas. Although success cases exist as well as critical experiences (see section 4.3), there is tendency for stakeholders to emphasise the peculiarity of each regional/local environment and therefore the need for context-specific approaches (Int_with_PR10-COS and PR13-COS).

For module 2, interviewed stakeholders agree that the module objective was realistic as well regarding the results level (establishing peaceful collaboration between IPs and other groups as outcome and biodiversity-related results as impact) as regarding the indicators (Int_with_PR13-COS, PR13-M2). The analysis of goal attainment (section 4.3) shows that the indicators and targets were sufficiently ambitious, but still attainable.

Though the interventions consider existing international standards (e.g. the principle of free and prior consent, see previous sections), the methodologies evolved in the specific local and thematic context. Therefore, the viability of the results hypotheses cannot be assessed based on previous evidence. Nevertheless, the hypotheses are plausible and none of the different stakeholder groups questioned their overall viability.

Some initial assumptions had to be revised along the way, but the programme management encouraged constant reflection on lessons learnt and their integration into the project concept. For example, the project concept emanated from the assumption that indigenous practices would predominantly coincide with environmentally sustainable activities and thus per se contribute to the conservation of biodiversity. During the investigation of IKSP, however, identified current practices turned out to be more complex (since current practices do not necessarily coincide with traditional practices) and additional efforts were required to emphasise biodiversity-friendly IKSP alongside a broader environmental sensitisation also addressing the consequences of harmful current practices (Int_with_GIZ staff, PN-COS and PR13-COS).

The programme and its two modules, in particular module 1, were structurally complex. This was also reflected in a highly varied methodological approach that consisted of a number of different and partly overlapping approaches. Module 1 and its different components, activities and instruments largely followed the structure of its predecessor, which was identified as being flawed at the end of its phase (see section 4.1). The attempts to overcome these design flaws impacted the effectiveness of the project (see section 4.3).

The broader set of core processes (see section 2.1) belonging to module 1 (four core processes compared to IP4Biodiv as on core process only) indicates that complexity was a more severe issue for module 1. However, due to the need for coordination between the core processes, module 2 was also affected. The challenges were mainly management related (e.g. coordination of partner communication among the core processes; see section 4.5 regarding efficiency) and not related to the viability of the underlying methodological approach.

All in all, the objective of module 1 was realistic, but too narrowly defined. Module 1 reacted flexibly to peacebuilding needs and opportunities that arose, which ensured the continued relevance of the project, and was a key success factor (**rating: 16 out of 20 points**). The objective of module 2 was realistic and the methodological approach adequately responded to the objective. Unprecise initial assumptions regarding the ecological friendliness of indigenous practices and the replicability of methodological approaches were reflected and adjusted by the project management (**rating: 17 out of 20 points**).

Evaluation dimension 4: Adaptability to changes in the framework conditions

Two key changes in the context impacted COSERAM as a whole: first, the election of President Rodrigo Duterte in 2016 who started a 'War on Drugs' that constituted a potential risk for the programme personnel, as uninvolved persons might accidentally be caught between the lines for example in the context of law enforcement operations. This was addressed through the standard risk and security management procedures of COSERAM and the GIZ as a whole (GIZ-COSERAM 2015b, 2016a, 2017a).

The new government also led to massive changes of personnel, particularly in higher management positions. These processes took a long time, some well into 2017, and continued until the end of the project. This also meant that many positions were only provisionally staffed, and these uncertainties affected the sub-national and regional levels and delayed decision-making (GIZ-COSERAM 2015b, 2016a, 2017a).

One important decision by the Duterte administration had a strong impact on COSERAM: in April 2017, the Office of the President issued a memorandum (Memorandum Circular No. 16), which requested all government units and public institutions to obtain an approval from the Office of the Presidents for all agreements on international guarantees, credit loans and grants. This did not have any conceptual implications but interfered with intended financial agreements and local subsidies. COSERAM found a workaround which proved to be effective (for a more detailed explanation see section 4.5) (GIZ-COSERAM 2015b, 2016a, 2017a).

The second big change was the so-called Marawi crisis. In May 2017 an intense armed conflict between the government and the so-called Maute Group and Abu Sayyaf broke out in the City of Marawi in north-west Mindanao. The conflict lasted for 5 months, led to the wide-scale destruction of Marawi and temporarily displaced an estimated 98% of the population (official numbers vary and range from 200,000 to 360,000 people) (see UNHCR 2017 and 2018). Martial law was instituted for all of Mindanao and continued to stay in place beyond the end of the programme. This situation made it necessary to relocate the international Civil Peace Service experts from Cotabato, Iligan and Cagayan de Oro to Davao. The same year the peace negotiations between communist rebels (National Democratic Front/Communist Party of the Philippines/New People's Army) and the Philippine government were discontinued (see GIZ-COSERAM 2017a). This meant that personnel security risks were higher and limited the freedom of movement. It did affect the implementation of the programme, but not to a significant degree. The existing security and risk management structures were used to manage the situation. On the positive side, it seems that at least in region X, the Marawi crisis strengthened the resolve of the partners to focus more on peacebuilding (GIZ-COSERAM 2015b, 2016a, 2017a). In addition, COSERAM module 1 reacted to the crisis by providing support to the Mindanao Development Authority (MinDA) in the form of do-no-harm trainings (for more information see section 4.3).

One last change that affected the local-level results in terms of sustainability was the barangay elections in 2018. This meant that a considerable number of barangay representatives changed. Partners at the LGU level underlined that this meant that much of the capacity that had been built up as part of the project was lost and the new representatives needed to be trained (also see 4.6).

Since the programme operated in three regions, it had to adapt not only to context changes over time, but also to different contexts. For module 1, differences were felt in regard to the formulation and implementation of peace and development agendas where the project had to respond to the regional partners' different approaches, and also joined the arena at different stages of the implementation process (Int_with_PR10-COS, PR11-COS and PR13-COS). Therefore, when starting to extend from region XIII to other regions in Mindanao, partners were less interested in an area-based comprehensive replication of tested approaches but requested support on selected topics according to the specific needs of local stakeholders and target groups. The decision of the project management to 'follow the flow' was an important factor for assuring the ownership of local partners, but it also implied that interventions spread over the new project regions in a more disperse manner and that synergies through combined interventions in the same local context would be limited. A lack of cohesiveness was most clearly stated by steering committee partners in the Davao region (Int_with_PR11-COS).

Throughout its implementation and especially during the first 2 years, the programme put a lot of emphasis on critical internal reflection. It continued to work with the consultancy COMO which also supported the predecessor phase, to periodically reflect with the whole team on the context and necessary changes. The conflict-sensitive M&E system, which also involved the monitoring of the context, supported these efforts.

The methodological approach of the IP4Biodiv was not substantially affected by the abovementioned political changes and maintained a constant focus throughout the project term. It also maintained a more consistent area-based approach during the expansion to regions X and XI. Following the recommendations of the PPR in 2013/14, the IP4Biodiv module approach was gradually refined and enhanced at an early stage. Initial desk studies had shown difficulties in establishing baselines on the actual status of biodiversity in the Agusan Marsh and concluded that the information available would be insufficient for monitoring purposes. Therefore, GIZ and the partner agencies agreed that the documentation and fostering of indigenous practices for the conservation

of biodiversity had to be complemented by the establishment of biodiversity monitoring systems (see GIZ-IP4Biodiv 2014c). Biodiversity monitoring was formally added as an output into a change offer in 2014 which also introduced a more thorough operationalisation of the module objective indicators.

Another conceptual change in the second half of the implementation period was the shift from livelihood support for the target communities to inclusive business development. In contrast to direct livelihood, the inclusive business approach looks beyond the community level and supports the business development of local enterprises. As in the case of the biodiversity monitoring, the adjustment was not motivated by contextual changes, but by the critical analysis and further enhancement of ongoing interventions. While both modified elements of the project concept are considered pertinent by interviewed stakeholders (Int_with_PR10-COS, PR11-COS and B13-M2), only the biodiversity monitoring was initiated early enough to deliver a mature output. Inclusive business support was initiated at a later stage of the project so that, according to stakeholder opinions, timely consolidation of results was not possible to the same extent (Int_with_PR10-COS and PR11-COS).

The overall concept and approach of module 1 was not put into question by the changes in the context. If anything, the Marawi crisis confirmed the soundness of the selected approaches as exemplified by the extending the support to MinDA. The changes did, however, impact the efficiency and effectiveness of the project, for example by delaying decisions, restricting movements, and having to find new implementation modalities **(rating: 20 out of 20 points)**. The concept of module 2, on the other hand, was not significantly challenged by changes of external framework conditions but reacted to critical assessments of ongoing interventions. Outputs were added or enhanced in a pertinent manner, though in one case (inclusive business) at a later stage, thus challenging the timely consolidation of results **(rating: 18 out of 20 points)**.

Module 1 (COSERAM)		
Criterion	Assessment dimension	Score & Rating
Relevance	The project concept* is in line with the relevant strategic reference frameworks	30 out of 30 points
	The project concept* matches the needs of the target group(s).	26 out of 30 points
	The project concept* is adequately designed to achieve the chosen project objective.	16 out of 20 points
	The project concept* was adapted to changes in line with requirements and re-adapted where applicable.	20 out of 20 points
Overall score and rating		Score: 92 out of 100 points Rating: very successful

Module 2 (IP4Biodiv)		
Criterion	Assessment dimension	Score and rating
Relevance	The project concept* is in line with the relevant strategic reference frameworks.	30 out of 30 points
	The project concept* matches the needs of the target group(s).	27 out of 30 points
	The project concept* is adequately designed to achieve the chosen project objective.	17 out of 20 points
	The project concept* was adapted to changes in line with requirements and re-adapted where applicable.	18 out of 20 points
Overall score and rating		Score: 92 out of 100 points Rating: very successful

4.3 Effectiveness

Evaluation basis and design for assessing effectiveness

The assessment of the effectiveness of the two modules takes into account (i) the attainment of the module objective indicators; (ii) the extent to which the modules contributed substantially to the observed outcome; and (iii) the occurrence of positive or negative unintended results.

As described in section 2.2, some of the indicators of module 1 lack specificity (see table 5) and the indicator set does not cover all outcomes, nor does it clearly map onto the different components. Though the existing indicators have been assessed according to the GIZ standard, additional data is needed to measure improvements in terms of (1) Constructive and inclusive dialogue, and (2) Strengthening and empowerment of IPs. It is not realistic to develop new indicators mirroring the project objective indicators because of lacking M&E and baseline data. However, where possible, additional observation areas were identified and are described in table 5 under 'Adapted project objective indicator'.

Table 9: SMART analysis of the module objective indicators (module 1, COSERAM)

Original module objective indicator	SMART criteria assessment	Adapted project objective indicator
M1: Local and regional entities implement the tested innovations on gender- and conflict-sensitive land use and/or management of natural resources (e.g. development and implementation of land use and/or development plans, issuance of Certificates of Ancestral Domain Titles to indigenous peoples, management of public land, and	SMART criteria apply , except for specificity : It is not clearly defined what tested innovations are. The project proposal refers to the approaches that were developed during the predecessor project. This seems to reflect only partially the project reality as some of	Indicator not adjusted but understood in a way that includes innovations that were developed during the current term. In addition, it is assessed if the implementation of gender- and conflict-sensitive plans has

management of protected areas) 21 times. Baseline: 0, Target: 21, Source: Relevant documents (plans etc.)	the approaches had to be further developed during the current project.	contributed to improving dialogue and inclusion of indigenous people.
M2: 60% of 100 representatives (at least 30% women and 30% indigenous peoples) of selected local communities perceive their communities being better able to deal with land- and resource conflicts (e.g. rights- and risk awareness, participation in decision-making processes). Baseline: conducted for any new relevant process, Target: 60% of 100 representatives (average of 10 reps. x 10 communities), Source: Relevant documents and representative surveys with target groups.	All SMART criteria apply. As with any perception-based indicator, there are specific challenges regarding the measurement (here, for example, how improvement in terms of dealing with land- and resource conflicts is understood by surveyed representatives).	Indicator not adjusted.
M3: In 240 municipalities/barangays, the marginalised population (esp. women and indigenous peoples) has access to improved services concerning land- and resource-related rights and mechanisms for conflict transformation. Baseline: 5 (2015), Target: 240, Source: Relevant documents and surveys with target group representatives.	Specific: Mostly, 'access' and 'improved' are not clearly defined. Measurable: yes Achievable: plausible Relevant: It is unclear what percentage of municipalities and barangays are represented by the target number 240 Time-bound: yes (implicitly)	Indicator not adjusted. Interviews with GIZ staff were used to better define 'access' and 'improved services' Data was collected to understand why 240 was chosen as a target.
M4: 4 substantial recommendations for a gender- and conflict-sensitive management of natural resources, submitted to the National Steering Committee and other mandated national bodies, are incorporated in relevant bills/strategies/draft regulations by the Philippine bodies. Baseline: 0, Target: 4, Source: bills/strategies/draft regulations, etc.	All SMART criteria apply , except for one comment on specificity : The indicator does not specify what 'substantial' means. The monitoring sheets, however, specify subjects and channels so that the indicator is fully applicable.	Indicator not adjusted.

For the IP4Biodiv module, some of the indicators have smaller weaknesses, but with some technical adjustments by the evaluators (as proposed in the table below), they provide an adequate starting point for the effectiveness analysis. As pointed out in section 2.2, the quantitative indicators of the results matrix will be assessed according to the GIZ standard but complemented by further qualitative analyses to provide a comprehensive picture of the module outcome.

Table 10: SMART analysis of the module objective indicators (module 2, IP4Biodiv)

Original module objective indicator	SMART criteria assessment	Adapted project objective indicator
M1: Conflict and gender-sensitive indigenous management approaches for the conservation of biodiversity are integrated in 10 land-use and management plans of the Agusan Marsh Wildlife Sanctuary and those of other selected indigenous areas. Base value: 0 Plans, Target value: 10	All SMART criteria apply , except for one comment on specificity : The indicator does not explain the type of management approaches to be counted, however, this operationalisation has been carried out in the indicator sheets used for the	Indicator not adjusted.

Plans, Source: Assessment of PAMPs, Comprehensive Land Use Plans, ADSDPs	results monitoring.	
<p>M2: A system to monitor 10 animal and plant species, esp. indicator- and endangered species, through local and regional entities and indigenous communities is established in the Agusan Marsh Wildlife Sanctuary.</p> <p>Base value: 1 system which does not monitor specific species systematically,</p> <p>Target value: 1 system monitoring 10 species, Source: Assessment of biodiversity monitoring data.</p>	<p>SMART, except for specificity:</p> <p>The adjusted results model (see figure 2) shows that the indicator rather describes an output and the assessment has to look beyond the establishment of the monitoring system and analyse the added value of monitoring data for PAMB management decisions, as well as for law enforcement and sensitisation activities.</p>	<p>The following outcome variables substitute indicator 3:</p> <p>Added value of monitoring data for PAMB discussions and management decisions</p> <p>Added value of monitoring data for law enforcement activities (sources: qualitative analysis of PAMB members' perspectives).</p>
<p>M3: 10% of the members of 15 marginalised groups of the population (esp. young indigenous men and women) confirm, on a scale from 0 to 10, an improvement of their livelihood (monetary and non-monetary income) by 3 points, deriving from the sustainable use of especially endemic resources.</p> <p>Base value: in 7 IP communities 90% of the respondents rated their livelihoods as very poor to poor (score less than 5), Target value: 10% of the poor and IP in 15 communities, Source: Focus group discussions before and after livelihood initiative</p>	<p>All SMART criteria apply.</p> <p>A methodology for the measurement of the indicator has been developed and applied for the baseline assessment.</p>	<p>Indicator not adjusted.</p> <p>The assessment will be complemented by the assessment of selected livelihood and inclusive business activities.</p>
<p>M4: 5 substantial recommendations in relation to gender and conflict-sensitive indigenous management approaches for conservation of biodiversity are incorporated in national bills/strategies/draft regulations.</p> <p>Base value: 0, Target value: 5, Source: Assessment of minutes of meetings with partners and new bills, strategies or regulations</p>	<p>All SMART criteria apply, except for one comment on specificity:</p> <p>The indicator does not specify what 'substantial' means. The monitoring sheets, however, specify subjects and channels so that the indicator is fully applicable.</p>	<p>Indicator not adjusted.</p>

Regarding the extent to which both modules contributed substantially to the intended outcomes ([Evaluation dimension 2](#)), generic results hypotheses have been specified that apply to both modules of the COSERAM programme (see section 2.2). The operationalisation for each module has been explained in the inception report for this evaluation and will be summarised in section 4.3 (assessment of effectiveness).

The extent to which the activities and outputs of the project have contributed to the achievement of the project outcomes is assessed according to the principles for contribution analysis as formulated by the commissioning party (see GIZ 2015). Whereas project interventions and observed changes are well documented, the analysis of actual project contributions to the observed outcomes relies on qualitative methods (mainly semi-structured interviews) that capture the knowledge, perceptions and judgements of involved stakeholders.

Evaluation dimension 1: Achievement of the main outcome indicators of COSERAM (module 1)

- *Module Objective Indicator M1*: Local and regional entities implement the tested innovations on gender- and conflict-sensitive land use and/or management of natural resources (e.g. development and implementation of land-use and/or development plans, issuance of Certificates of Ancestral Domain Titles to indigenous peoples, management of public land, and management of protected areas) 21 times. (Baseline: 0, Target: 21)

The indicator does not clearly define what tested innovations are. The project proposal refers to approaches developed during the predecessor. However, in reality only some of the approaches were ready for implementation when the second phase of COSERAM started (see section 4.1.). The project defined the implementation of tested innovations as horizontal upscaling of the following processes, tools and approaches:

1. *The implementation of CSPP in different municipalities, LGUs and barangays*: The project counted 12 successful processes which led to either a comprehensive development plan, a comprehensive land-use plan, a forest land-use plan or a barangay development plan (BDP) (see COSERAM monitoring sheets and GIZ-COSERAM 2018a). The number of supported processes was much higher than the 12 successful processes counted. While it was not possible to get a comprehensive picture during the evaluation mission, the team could confirm the large-scale roll-out of CSPP in many LGUs/ municipalities in Agusan del Norte in region XIII and the piloting in three LGUs/municipalities in region X. The capacitated regional, municipal and barangay implementation teams acted as resource persons across regions and within regions across municipalities and barangays, contributing to the sharing of knowledge and capacities (Int_with_PR13-COS). Especially at barangay level, the processes remained at the analytical stage and did not always lead to the development of an actual plan (Int_with_PL10-M1, PL13-M1). In Agusan del Norte, which had the largest roll-out, a partner estimated that maybe half of the processes at barangay level were finished by April 2019 (Int_with_PL13-M1). The main challenges that partners identified regarding CSPP implementation were lacking manpower, in particular of DILG, and the length and complexity of the process. They also encountered political issues (e.g. in barangays controlled by an opposing political party), leadership issues (e.g. barangay leaders resisting the process as it tended to surface sensitive issues) and leadership changes after elections which often meant that processes had to start over again. However, interviewed partners underlined that the results merit the investment of time and resources (Int_with_PL10-M1, PL13-M1).
2. *The documentation of political structures of indigenous people and the formulation of Ancestral Domain Sustainable Development and Protection Plans (ADSDPP)*: The project counted five documentations and four ADSDPP (see monitoring sheets and GIZ-COSERAM 2018b).
3. *The replication of the Caraga Road Map for Peace in region X*: Many of the interviewed partners in region X underlined that they did not replicate the Caraga Road Map for Peace, but rather followed a different approach that was more aligned with their regional development processes and plan (Int_with_PR13-COS, PL13-M1). However, looking closely at the processes and tools used, the evaluation can confirm that these were very similar to the region XIII and constitute a replication, even if it was closer aligned with regional development processes and the document itself also differs in terms of its content and title (Regional Peacebuilding and Development Framework Agenda – RPBDA). The replication process included the development of so-called Peace and Order and Public Safety Plans in seven municipalities (Bukidnon, Misamis Oriental, Camiguin, Cagayan de Oro, Iligan City, Misamis Occidental, and Lanao del Norte) that fed into the RPBDA.
4. *The upscaling of the conflict-sensitive legal assistance programme (CS-LAP) in regions X and XI*: In region XI COSERAM partnered with the Ateneo de Davao University and in region X with the Liceo de Cagayan. Both now offer conflict-sensitive legal assistance programmes and adopted the CS-Manual of Operations for the institutionalisation of the LAP that was first developed in region XIII (see GIZ-COSERAM 2018b). However, interviewees in region XI underlined that only a short time period of about 6 months was available for the actual testing and development of the manual (Int_with_PR11-COS).
5. *The replication and modification of the Katarungan Pambarangay (KP) guide*: The KP guide that was

developed in region XIII was replicated in region X and modified for two IP groups (the Higaonon and Merenaw). During the evaluation mission it could be confirmed that the guide for region X was finalised and that it is being used by some DILG staff. However, there had been no large-scale roll-out of the KP guide in region X at the time of the evaluation mission (Int_with_PR10-M1). The replication of the KP guide therefore consisted of only the development of the document, not its actual roll-out and implementation.

6. *The upscaling of the operationalisation of JAO in region X and XI:* The operationalisation of JAO in region X consisted of convening the involved agencies and the development of a joint operationalisation manual. This process led to some results, for example an improved sharing of data and the resolution of two overlapping claims (see programme indicator 1, monitoring sheets and GIZ-COSERAM 2018b). In region XI, cases of successful resolution of overlapping claims were reported by the regional partners, but not attributed to the project intervention (Int_with_PR11-COS). For JAO, in particular, the time frame available for upscaling in region X (about 2 years) and region XI (about 1 year) was limited.

Together COSERAM counted 27 successfully implemented upscaling processes. This indicator was very hard to measure as it lacked specificity in terms of what the tested innovations were and when a process could be counted as being successfully implemented. COSERAM did a good job at trying to identify the different innovations across the various components of module 1 and invested considerable resources into an M&E system that allowed them to track progress across the different components. While the benchmarks for successful implementation are reasonable in terms of what could be expected by the project to achieve, they remain somewhat arbitrary regarding the results level (e.g. why is the development of the KP guide in region X counted as an implementation and not its roll-out?). However, it has to be underlined that this problem was a result of the poorly defined indicator and the project tried to work around it as best as it could. Furthermore, this indicator also reflects the general problem that some indicators of module 1 cut across and measure progress of multiple intervention areas. Together these problems mean that the indicator lost some of its ability to provide information on how the project progressed in general.

- *Module Objective Indicator M2:* 60% of 100 representatives (at least 30% women and 30% indigenous peoples) of selected local communities perceive their communities being better able to deal with land- and resource conflicts (e.g. rights- and risk awareness, participation in decision-making processes). (Baselines to be conducted for any new relevant process, target: 60%)

COSERAM commissioned a report on 'Conflict Transformation and Rights Awareness: Measuring Achievement of Indicator 2' (see Quitariano 2018). The report focused on the 'LAPSRA' (Legal Aid, Paralegal Services and Rights Awareness) and was based on three evaluation workshops with 151 participants. Women represented 58% and IPs comprised 57% of the survey participants (belonging to the Bagobo-Tagabawa, Mandaya, Mansaka, and Manobo). The target of 100 participants for the core sample was not reached; however, 94 participants were invited based on criteria and comprised the core sample of people who had participated at least in one COSERAM activity; 48 participants had not participated in any activity conducted by COSERAM and served as a control group. The work was undertaken by an external evaluator working with two COSERAM senior advisers.

Table 11: Survey results for module objective indicator M2 (module 1, COSERAM)

Survey (confirmatory) question	% of cases in the sampling frame that gave the score of Good (4) and Very Good (5)		
	Core sample	Control group	Difference
Community ability to deal with land and resource conflicts has improved	70	31	39
Community (men and women) participation in decision-making has improved	73	55	18
Community (men and women) awareness on land rights has improved	68	46	22
Women awareness of their land rights has improved	69	58	11
Women participation in decision-making has improved	76	65	11
The capacity of the IP mandatory representation has improved	49	40	9
IP awareness of IPRA has improved	60	42	18
IPRA implementation has improved	58	42	16

The workshops comprised a narration-reflection of the context, focus groups, and a survey with 142 participants – 70% of the core sample confirmed that the communities were better able to deal with land- and resource conflicts, while only 31% of the control group stated the same. The indicator was overachieved by 10%.

Seven additional questions were asked to provide more information on why this improvement might have been achieved. A large majority of the core sample participants (between 76% and 69%) saw improvements in the participation of men and women in decision-making processes and their rights awareness. Improvements in the capacities of the IP mandatory representatives were only identified by 49% while the implementation of IPRA improved for 58%. In general, the difference between the core sample and control group is largest regarding the overarching question (39 percentage points) but diminishes significantly for the other questions (between 22 and 9 percentage points), in particular for women's rights awareness and participation.

Two methodological weaknesses have to be highlighted regarding the perception survey. First, the targeted sample size of 100 was not reached. In addition, the report does not explain how this sample size was chosen or if it is representative. Second, a baseline survey is lacking, which makes it impossible to know what the starting value was and if there was any achievement made.

During the evaluation mission, no conclusive data could be collected regarding the specific question if IP communities think they are better able to deal with land and resource conflicts. The number of interviews with IP beneficiaries of module 1 was limited to three individuals. What could be confirmed is that the inclusion of IPs in participation processes was improved, for example as part of CSPP and the regional peace agendas (Int_with_PR10-M1, PR13-M2, PR13-COS). In addition, most government partners confirmed that they are more aware of IP issues and rights (Int_with_PR13-COS). A representative of the Urian Legal Assistance Program (ULAP) in region XIII underlined that they felt that IP communities became more aware of their rights and were asking for more legal support to address conflicts (Int_with_PR13-M1). On the IP target group side, the three IP representatives interviewed confirmed that they feel like their capacities to deal with conflicts improved (Int_with_PL13-M1, B13-M1).

- *Module Objective Indicator M3:* In 240 municipalities/barangays, the marginalised population (esp. women and indigenous peoples) has access to improved services concerning land- and resource-related rights and mechanisms for conflict transformation. (Baseline 2015: 5, Target: 240)

This indicator was measured by looking at those municipalities/barangays that either received support by ULAP (in region XIII) or conflict-sensitive legal assistance programme (CS-LAP, in regions X and XI) or were part of the barangay justice system strengthening in region XIII and X. One key problem with measuring this indicator

was the counting of communities. First, municipalities normally consist of multiple barangays and for region XI only municipalities were counted. In addition, for region XIII there were some overlaps in Butuan with certain communities receiving both legal and KP support. Overall COSERAM counted more than 160 communities (barangays and/or municipalities). This means that the indicator was not achieved.

However, it is safe to assume that the number of barangays is higher given that in region XI CS-LAP only counted municipalities and these normally consist of multiple barangays (see GIZ-COSERAM 2018a). Furthermore, the target of 240 communities set in the beginning was a vague estimate of what project staff and management thought would be feasible (Int_with_GIZ staff). The number did not consider the overall number of barangays and municipalities, for example deciding to reach 10% or 20% of all barangays in the target areas.

- *Module Objective Indicator M4:* Four substantial recommendations for a gender- and conflict-sensitive management of natural resources, submitted to the National Steering Committee and other mandated national bodies, are incorporated in relevant bills/strategies/draft regulations by the Philippine bodies (Baseline: 0, Target: 4)

COSERAM counted five substantial recommendations having been incorporated in relevant bills, strategies or draft legislations by Philippine government agencies. This includes (1) the recognition of ULAP at Father Saturnino Urios University by the Supreme Court and the Legal Board of Education Resolution to integrate conflict sensitivity/conflict transformation in the model curriculum of legal education in the country, as (2) the adoption of the Caraga Roadmap for Peace in region XIII and the Regional Peacebuilding and Development Framework Agenda in region X, and (3) the adoption of the NCIP Rules on Quasi-Judicial Functions. In addition, COSERAM identified eight additional recommendations that were submitted to the steering committee and other mandated agencies. During the evaluation mission, DILG and OPAPP confirmed that the process of making CSPP a mandatory approach to be used nationwide is almost finished but being delayed because of an internal restructuring of OPAPP (PR-COS).

This indicator has some of the same weaknesses as indicator 1 in terms of lacking specificity. This meant it was up to the project to define what a substantial recommendation was. During the evaluation mission, all of the identified recommendations were confirmed as significant policy contributions by the partners, except the NCIP Rules on Quasi-Judicial Functions which were not mentioned.

In summary, for COSERAM module 1, three of the four module indicators were achieved within the time frame of the project. Only two thirds of indicator 3 was achieved (160 instead of 240 communities); however, it is likely that the number of barangays that received support was higher (**34 of 40 points**). The general weaknesses of these indicators in terms of their quality and the cross-cutting nature of the indicators make it hard to clearly assign them to specific components of the project. This limits their ability to clearly reflect the results.

Evaluation dimension 1: Achievement of the main outcome indicators of IP4Biodiv (module 2)

- *Module Objective Indicator M1:* Conflict and gender-sensitive indigenous management approaches for the conservation of biodiversity are integrated in 10 land-use and management plans of the Agusan Marsh Wildlife Sanctuary and those of other selected indigenous areas (Baseline: 0 plans, Target: 10 plans)

Though the indicator itself is still rather unspecific, the variable of interest and all qualitative requirements were defined in the monitoring sheet. The sheet defines the types of plans to be addressed (i.e. PAMPs, ADSDPPs, CLUPs and their harmonisation with each other), the understanding of conflict and gender-sensitive indigenous management approaches (e.g. application of tools like the do-no-harm checklist, conflict mapping, inclusion of IP in decision-making, consideration of IKSP). In practice, however, it is not always clear if cases considered for the indicator refer to the actual results (i.e. management practices integrated in a plan) or to the process (i.e. management principals applied during the elaboration of a plan). Whereas the project monitoring does not provide details about each counted case, the evaluation mission could address local stakeholders only selectively so that it has to rely on the quantitative assessment done by the project.

The project identified a total of 27 cases that respond to the indicator, by far exceeding the target value. Even considering the abovementioned ambiguity and the fact that a stricter interpretation of the indicator requirements might lead to a lower value, it would still exceed the target (see monitoring sheets, Int_with_GIZ staff, GIZ-IP4Biodiv 2018a). The following results are the key contributors to the indicator value:

1. *Ancestral Domain Sustainable Development and Protection Plans*: The conservation of biodiversity is recognised and incorporated as an important pillar in the 10 ADSDPP (four in the Mount Balatukan area in region X, and six in Mount Apo area in region XI) that have been formulated in line with the requirements of the indicator and covering a total area of approx. 163,000 hectares. The process comprised support to the self-organising of IP communities, capacity building (e.g. conflict-sensitivity training based on the experiences of module 1) and workshops for the ADSDPP formulation. The process was closely interlinked with the identification of IKSP. While some ADSDPPs stipulate the future identification of IKSP, in other cases outcomes of IKSP research (i.e. identified protective and/or livelihood practices) were integrated in the ADSDPP (Int_with_PR10-M2, B10-M2). According to monitoring data, four ADSDPPs explicitly consider the recognition of specific IKSP. Upon completion of the ADSDPPs, IP4Biodiv supported further interfacing workshops where IP communities presented their plans to local and regional government agencies, thus paving the way to insert target activities into the existing local government plans (Int_with_PR10-M2). According to local interviewees (Int_with_PL10-M2), these activities strengthened relations, mutual understanding and cooperation from both sides.

Though involved stakeholders consider the existing ADSDPP as important milestones, several interviewees also point out that they are still at the pilot stage, while many ancestral areas do not have ADSDPPs yet and face resource and capacity constraints that keep them from initiating sound planning processes (Int_with_PR10-M2, PL10-M2). Since the project focus on three specific protected areas is narrower, these constraints do not question the goal attainment of the IP4Biodiv module; but they do illustrate challenges for further replication of land-use planning experiences as promoted by both COSERAM modules.

2. *Local Conservation Areas*: Until 2018, the National Integrated Protected Area System (NIPAS) protected only a limited area of the Agusan Marsh, making it susceptible to encroachment activities of outsiders who, owing to their inappropriate activities in the area, threatened the integrity of the Marsh (Int_with_PL13-M2). To protect it, natural buffer zones, eventually called Local Conservation Areas (LCAs) were designated around the Agusan Marsh through promulgation by the concerned Municipal Councils' ordinances. In the project context, local conservation plans were formulated in 13 ecologically or culturally critical habitats covering 31,719 hectares. Regional, provincial and local governments as well as IP representatives participated in the process. Since other project activities (i.e. identification and recognition of IKSP, biodiversity monitoring and law enforcement, livelihood initiatives, see the subsequent indicators) took place within the LCAs and were integrated into the conservation plans, the LCAs played a vital role in orienting the implementation process of IP4Biodiv in region XIII (Int_with_PR13-COS, PL13-M2, B13-M2). However, with the passage of the 2018 enhanced NIPAS law, the hectareage size of the protected areas in the Agusan Marsh was expanded to from 19,000 to 40,000 hectares, thereby absorbing a major share of designated LCAs as integral part of the Agusan Marsh. In effect, the LCAs became irrelevant with the passage of the enhanced NIPAS law (Int_with_PL13-M2, B13-M2). Though former LCAs will be governed under a different regulatory regime in the future, implemented activities are continuing goal attainment is not compromised.
3. *Protected Area Management Boards and Protected Area Management Plans*: One of the key interventions of the IP4Biodiv module was the PAMB strengthening, which combined individual capacity building of PAMB members (approx. 250 direct beneficiaries in trainings related to policy harmonisation, conflict sensitivity, PAMB operations and IKSP, see project monitoring) with organisational support such as the implementation of governance assessments for the project-

supported PAMBs and the formulation of the Agusan Marsh PAMB Manual of Operations. The Manual outlines the roles and functions of the different stakeholders and suggests a highly inclusive management structure, including seven LGUs and four representatives of indigenous cultural communities (see AMWS-PAMB 2018). It also addresses gender issues by stipulating 40% female membership (coinciding with 42% female participation in PAMB-related capacity-building activities). The process was replicated in region XI where the project supported the formulation of a Manual of Operations for Mount Apo Natural Park. IP4Biodiv further assisted the PAMBs of Agusan Marsh (region XIII) and Mount Balatukan (region X) in updating the Protected Area Management Plans to assure the alignment of LCAs and PAMPs (Agusan Marsh), the integration of IKSP and other biodiversity-friendly livelihood initiatives (see indicator M4) and the pooling of resources of involved government levels and agencies (GIZ-COSERAM 2018k).

The benefits resulting from the implementation of the abovementioned plans will be discussed in section 4.5 (impact) and are not considered for the assessment of the attainment of this module objective indicator. At the outcome level, IP4Biodiv clearly exceeded the expectations expressed in indicator M1.

- *Module Objective Indicator M2:* A system to monitor 10 animal and plant species, esp. indicator and endangered species, through local and regional entities and indigenous communities is established in the Agusan Marsh Wildlife Sanctuary (baseline: 1 system which does not monitor specific species systematically). (Target: 1 system monitoring 10 species)

The manual of operations of AMWS-PAMB calls for the establishment of effective environmental and biodiversity monitoring systems, which enable the PAMB to determine the status of environmental and biodiversity indicators, detect changes over time and take informed decisions on remedial action or the formulation of projects (see AMWS-PAMB 2018). At the time of the evaluation mission, the biodiversity monitoring system (BMS) is functioning and exceeding the requirements of the indicator in several aspects. With 49 instead of 10 animal and plant species, including several indicator or culturally significant species, the scope is far wider than initially intended. Furthermore, the BMS has been combined with a baseline assessment of aquatic resources (e.g. indicators for water pollution, nutrient enrichment, invasion by weeds and pests) and the enhancement of the monitoring component (Int_with_PR13-COS). The integrated perspective reflects the close interrelation of water quality and biodiversity in a wetland like Agusan Marsh.

Biodiversity monitoring is done through a combination of scientific and indigenous monitoring techniques and carried out by a multi-stakeholder team that includes academic researchers, DENR officers and members of community-based local conservation groups – the *Bantay Danao* – which were established or strengthened in 6 municipal and 24 barangay LGUs with approx. 120 members at the end of 2018 (monitoring data).

Furthermore, the BMS has been implemented as a combined monitoring and law enforcement system with local indigenous people as key stakeholders. The law enforcement scheme has its own communication plan and operations manual, and approx. 170 IPs have received paralegal training to monitor and prevent illegal activities in the area. They do so by regularly patrolling the area, reporting on the occurrence of land-use changes, issuing warnings and turning over repeat offenders to the state authorities. The work of the Bantay Danao is coordinated by the provincial government of Agusan del Sur, and the guards have been accredited by the DENR (Int_with_GIZ staff, P13-M2, B13-M2). Initially guards were also formally deputised by DENR and received allowances for their activity, but interviewed guards stated that at the time of the evaluation they were no longer receiving financial compensations and that they were volunteering based on their sense of ownership as inhabitants of the area (Int_with_B13-M2, see also section 4.6 on sustainability). Reported results have been encouraging and include an increase in filed cases (13 in 2017, compared to two cases in 2016, according to monitoring data) and documented behavioural changes (e.g. voluntary surrender of 270 illegal electrofishing gadgets). Bantay Danao members interviewed during the evaluation mission stated that illegal activities were reduced significantly, in particular regarding illegal fishing and illegal hunting activities (Int_with_B13-M2).

4. *Module Objective Indicator M3:* 10% of the members of 15 marginalised groups of the population (esp.

young indigenous men and women) confirm, on a scale from 0 to 10, an improvement of their livelihood (monetary and non-monetary income) by 3 points, deriving from the sustainable use of especially endemic resources (baseline: in 7 IP communities 90% of the respondents rated their livelihoods as very poor to poor). (Target: 10% of the poor and IP in 15 communities)

To combine the law enforcement activities with sustainable livelihood alternatives, the project supported local IPs to identify practices that are not harmful to, or even have positive effects on, biodiversity conservation. Identified and promoted practices include, for example, traditional fishing methods, agricultural activities (e.g. cultivation of native rice and sago, promotion of agroforestry), the processing of tropical fruits (e.g. jam from the katmon fruit) or rain water collection. For 350 direct beneficiaries of productive activities, the project monitoring documents an average increase of approximately PHP 2,000 (or USD 40) per month and 3,000 households are reported to have improved access to drinking water. Some 24 local companies, among them 15 companies owned by IPs, were advised on the implementation of inclusive business models (see GIZ-IP4Biodiv 2018a).

For the quantitative assessment of the indicator, the project carried out a target group survey in the selected barangays. The same respondents were included in baseline and endline surveys so that initial and final ratings of livelihood conditions could be compared at individual level. Results were disaggregated for youth and for gender and included all groups according to the indicator specification. From an overall perspective, the results clearly exceeded the target since 25% of the respondents (target: 10%) rated their livelihood conditions better by 3-points compared to the baseline (on a 10-point-scale). However, improvements stated by the surveyed population were unequally distributed (i.e. in 4 of the 13 barangays, the target value was not met) and the scale was slightly lower than anticipated (13 instead of 15 barangays). Nevertheless, considering the positive average of the total population, the indicator was mostly achieved (see GIZ-IP4Biodiv 2018a).

During the evaluation mission, participants in different livelihood activities and from different locations participated in focus group discussions. The wide scope of different initiatives could only be selectively covered (namely, the katmon jam production, handicraft production of endemic water hyacinths, briquette production, cultivation of native rice, rainwater collection and selling station), instead they could be discussed more in depth to complement the quantitative indicator. The results vary significantly by activity. Katmon jam making has been a widely reported success story; it generates stable profits and has even incited tree planting activities to ensure a steady supply of fruits for growing demand. The cultivation of native rice is also reported to be a stable income source for farmers though beneficiaries state they would still need further marketing support to link with customers willing to pay a premium price for an indigenous product. For slippers and bag production from water hyacinths, production has remained intermittent and not yet provided meaningful incomes due to the irregular supply of other production inputs (e.g. leather) and the absence of economy of scale. Briquette production and rainwater collection and selling are also not yet profitable due to low production volumes (Int_with_B13-M2).

- *Module Objective Indicator M4:* Five substantial recommendations in relation to gender and conflict-sensitive indigenous management approaches for conservation of biodiversity are incorporated in national bills/strategies/draft regulations. (Baseline: 0 recommendations incorporated, Target: 5 recommendations incorporated)

This indicator is similar to module objective indicator M4 of module 1 and was measured by the project in a similar way and therefore also presents the same challenges. The indicator sheets specified subjects and channels to assure reliable measurement, but in practice, successful upscaling cases and ongoing (i.e. still unfinished) upscaling initiatives were equally counted. They include the following:

1. IP4Biodiv – together with module (1) – promoted the use of unmanned aerial vehicles which had been used in the context of module 2 for the mapping of protected areas. Training modules developed for the capacity building of involved users in the target areas of the project were applied beyond the target regions of the projects (350 people capacitated in five regions until the end of 2018, according to monitoring data). The same training modules were finally adopted by the National Mapping and Resource Information Authority for nationwide roll-out (→ meets the indicator requirement).

2. Based on the experience of PAMB Manual of Operations formulated for the AMWS-PAMB and replicated for Mount Apo, a 'Guidebook for the development of a protected area management board manual of operations' was elaborated by IP4Biodiv. The Manual has been endorsed by DENR and will be promoted for application in other protected areas (→ meets the requirement of the indicator).
3. Based on the experience of the IKSP documentation process, a field manual for the documentation of IKSPs has been developed and is being disseminated nationwide through the Philippine Indigenous Peoples Ethnographies project (→ meets the requirement of the indicator)
4. Beyond its support to the establishment of LCAs or indigenous peoples' and community conserved territories and areas (ICCA), the project advised consultation processes for a new law on ICCA (e.g. organisation of round tables with stakeholders). It advocated the presence of IP's positions in the consultation process (see GIZ-IP4Biodiv 2017a). Interviews during the evaluation mission did not provide a clear understanding of the extent to which specific recommendations on indigenous management approaches have shaped the current version of the law. Since it is still an ongoing process, it does not yet meet the indicator requirement.
5. Based on the experience with the biodiversity monitoring system in Agusan Marsh and together with other green sector programmes of GIZ-Philippines, the IP4Biodiv module has formulated recommendations for the national biodiversity monitoring and the implementation of the 'Other Effective Area-based Conservation Mechanisms' (see GIZ-IP4Biodiv 2017a). This is also an ongoing process with uncertain outcome and it therefore does not yet meet the indicator requirement.
6. The experiences in the context of the formulation of ADSDPPs and their harmonisation with other plans led to the formulation of a guidebook (see GIZ-IP4Biodiv 2018g). Recommendations distilled from these outputs are partly absorbed by the NCIP for its own guidelines on the interface between ADSDPPs and protected areas and other local plans. Since there is no available documentation on specific changes of the NCIP guidelines, this item could not be validated. According to the project reporting (see GIZ-IP4Biodiv 2018a), it would mostly meet the indicator requirement.
7. The NCIP issued principles for 'free prior and informed consent' (FPIC) in 2012 (Administrative Order 03). An early assessment of COSERAM module 1 found many cases of non-compliance with FPIC, and both modules IP4Biodiv played an important role in piloting FPIC processes during the project planning itself and during the implementation process. Experiences were systematised and documented in several documents (e.g. GIZ-IP4Biodiv 2015c, 2018e), and recommendations partly assumed by NCIP for their guidelines (see the Revised National Guidelines for the Mandatory Representation of Indigenous Peoples in Local Legislative Councils and Policy-Making Bodies, NCIP 2018a) which specify the operating principles (e.g. primacy of customary laws and practices, inclusivity and full participation, participation of all concerned agencies).

The assessment of the indicator differs from the project reporting, counting five concluded vertical transfer processes instead of seven. The evaluation does not question the reliability of the underlying monitoring data nor the veracity of the findings but applies a different threshold (i.e. concluded vertical transfer with evidence on actual changes on the national level instead of including ongoing processes). However, the indicator is still achieved.

Despite the formal achievement of the indicator and examples for successful vertical transfer, interviewed partners at the national level perceive vertical upscaling as the most critical issue. Several interviewees express the opinion that potentials for the integration of project results in national strategies and policies, and thus for the dissemination of results in other contexts, have not been fully used mainly due to institutional factors (e.g. the lack of an implementation agreement, limited information flow from steering committee representatives to other areas of their agencies, fluctuation of focal points, Int_with_PN-COS, PN-M2).

In summary, for module 2 (IP4Biodiv), two module objective indicators were overachieved (M1 and M2 regarding the implementation of conflict-sensitive management approaches and the functioning of the

biodiversity monitoring system). One indicator achieved its quantitative target, while a qualitative analysis presents a more heterogeneous picture regarding the consolidation of the results (M3 regarding livelihood initiatives). One indicator was achieved in a quantitative sense, with potential of a further increase in the near future, on the one hand, but with partners pointing at unused potentials, on the other hand (M4 regarding vertical upscaling). All in all, the critical aspects are clearly outweighed by the high degree of indicator achievement **(38 of 40 points)**.

Evaluation dimension 2: Contribution analysis

- (1) *Enabling conflict- and gender-sensitive planning processes (output level) has strengthened the capacity of partners to lead constructive and inclusive dialogues in conflictive situations (outcome)*

COSERAM module 1 and 2 enabled conflict- and gender-sensitive planning processes by providing funds and logistical support, for example for meetings and workshops. In addition, COSERAM provided direct advice, helped with the formulation of documents, facilitated meetings and workshops, and actively built trust among actors. And lastly, the project provided capacity-building and peacebuilding approaches and tools. These were based on the state-of-the-art approaches in the fields of do-no-harm (DNH), conflict analysis, facilitation, and mediation, as well as ecosystem-based approaches such as SIMPLE and ridge-to-reef.

For module 1, these activities focused on the regional and provincial level for the development of regional peace agendas, on the local level by supporting conflict-sensitive planning processes of municipalities and barangays, and on the operationalisation of JAO. In addition, COSERAM module 1 also provided capacity building to the MinDA in the aftermath of the Marawi crisis (also see Evaluation dimension 3 regarding unintended results).

For module 2, the results hypothesis focuses on the processes summarised under module objective indicator 1, i.e. the PAMB strengthening, the planning processes for the formulation of PAMPs, ADSDPPs and local conservation plans as well as the activities related to the harmonisation of overlapping plans. Though the processes are specific for the module, there is, however, a certain overlap since IP4Biodiv also applied approaches and tools originally developed under module 1 (e.g. conflict-sensitive planning, DNH).

Across the two modules, components and activity areas of COSERAM, similar results of the above outlined activities were described by interview partners:

1. A deepened understanding of peace and conflict: this includes a better understanding of what constitutes peace (more than just the absence of conflict and peace as a process) and what drives conflict. Often interview partners underlined that for the first time they understood how conflict is linked to other social, economic and environmental issues, what the real issues and core problems that communities are facing are and how different actors and stakeholders can contribute to addressing the different drivers of conflict (Int_with_PR13-COS, PR13-M1, PR13-M2, PL13-M1, PL13-M2, B13-M2, PR10-M1, PL10-M1).
2. A better understanding of the different actors and improved relationships: almost all interviewees underlined that dialogue and relationships between the line agencies and between line agencies and communities improved. This included a better understanding on all sides of how different actors work and what their strengths and weaknesses are. A lot of interview partners also stressed that they understood better now that they need to work together to solve peace and conflict issues (Int_with_PR13-COS, PR13-M1, PR13-M2, PR11-M2).
3. The use of these tools and processes led to better plans that reflect the actual needs of the communities and target groups (Int_with_P13-COS, PL13-M1, PL10-M1). Interview partners identified this as one of the key differences between plans that had been developed before and after COSERAM's support. In addition, different concrete examples were given during the evaluation mission of issues that were identified and subsequently addressed. For example, in one province in region X, the provincial analysis identified electricity supply and prices as a key driver of instability and conflict. This came as a surprise for many actors including the facilitators of the process. According to

one implementation partner, the issue was very quickly addressed after the analysis had been done and presented to provincial decision makers (Int_with_ACA-M1).

In conclusion, for both modules, these findings clearly confirm that the tools and approaches used by COSERAM worked and strengthened the capacities to lead more constructive and inclusive dialogues and contributed to improving relationships. The improvements in terms of capacities to lead constructive and inclusive dialogues were also illustrated by a number of examples of conflicts that were given as part of the interviews during the evaluation mission that could be resolved as part of COSERAM (see also the results of the related programme indicator discussed in section 4.4) through culture-, gender- and conflict-sensitive processes by mandated bodies (LGUs and Line Agencies) (Int_with_PR13-M1, PL13-M2, B13-M2, monitoring data).

Across modules, interview partners also identified a number of challenges regarding the supported planning processes and capacities built. A very common challenge that was raised by most partners was the resource-intensive nature of these kinds of processes, and the lack of funds and personnel to implement them properly (Int_with_PL10-M1, PL13-M1, PL13-M2, PR10-M2). In addition, interview partners stressed the regular changes in personnel that often mean that capacities have to be continuously built and that institutional knowledge and experience gets lost (Int_with_ACA-M1). However, there were also examples of personnel changing between regions contributing to a further dissemination of approaches. Lastly, a key challenge is the (lacking) implementation of the plans that have been developed as part of these participatory processes (also see sections 4.4 and 4.6.).

- (2) *The empowerment of indigenous organisations and individuals and their inclusion in participative management processes (output level) strengthens participative governance structures and fosters the recognition of the rights of indigenous peoples (outcome level).*

Both modules had a strong focus on the empowerment and inclusion of IPs by working directly with IP communities and strengthening their capacities, ensuring their inclusion in decision-making and planning processes, and improving their access to the justice system. Specific contexts for IP empowerment through module 2 were the documentation of IKSP, the inclusive nature of the biodiversity monitoring and law enforcement and the strengthening of the institutional representation of IPs in the PAMBs.

COSERAM module 1 contributed to the empowerment of IPs through direct capacity building for IP representatives and organisations, in particular NCIP, for example through trainings. During the evaluation mission, only three interviews with direct IP beneficiaries of module 1 could be conducted. These confirmed that the trainings led to improvements in terms of capacities and empowerment, but the data was not conclusive regarding this, leading to stronger governance structures or fostering the recognition of rights (Int_with_PN-COS, B10-M1). Similar challenges emerged when trying to assess the PIPEs project. PIPEs was underlined by NCIP as an important part of COSERAM's support and as being key in providing the basis for the recognition of the rights of IPs, but not enough data was collected to clearly trace how PIPEs contributed to the empowerment of IPs (Int_with_PR13-COS).

Regarding the legal assistance and rights awareness activities of module 1, the perception survey confirmed an improvement in rights awareness and inclusion in decision-making processes. However, the improvements in rights awareness and the implementation of the Indigenous People's Rights Act were much lower (see table 7). The development of KP manuals on the barangay justice system and trainings for DILG were confirmed by partners as being major improvements and providing a better understanding of traditional law and IP issues (Int_with_P13-COS, PR10-M1). However, because of the small number of interviews with direct beneficiaries, it could not be confirmed that the support provided by COSERAM as part of KP to DILG and IP communities led to a better recognition of rights. In contrast, the evaluation mission could find good evidence that ULAP at the Father Saturnino Urios University in region XIII was a success story. Multiple concrete examples of ULAP providing important support to IP communities and the IP communities feeling more empowered to ask for their rights could be identified during the mission. This included, for example, a boundary dispute between three groups in Agusan del Sur that could be solved with ULAP support, and the support that

ULAP provided to develop the PAMB Manual of Operations (Int_with_PR13-M1).

Regarding the regional peace agendas and CSPP, it could not be confirmed with IP communities directly, whether they feel more included. However, the documents (relating to regional peace agendas) clearly show that IP issues are included and reflected in the analysis and proposed actions which can be an indicator of better IP inclusion. In regard to CSPP, a special focus was put on IP communities in many of the pilot areas, and local planning staff confirmed that they understand IP issues better and that the inclusion of IPs improved, but that could also not be confirmed directly with the communities (Int_with_PL13-M1, PL10-M1). More generally, most government partners confirmed that they are more aware of IP issues and rights (Int_with_PR13-COS, PR10-COS).

Furthermore, a number of interviews were conducted regarding COSERAM module 1's support of the Kalabugao Plains Convergence initiative. Capacity development for IP leaders and communities was part of COSERAM activities and it could be confirmed that there was an improvement in IP empowerment and participation, and the relationship between IPs and the government (Int_with_PR13-COS, PR10-M1, PL10-M1, B10-M1).

In conclusion for module 1, because of the limited number of interviews with IP representatives, it was hard to trace and assess the specific contribution of module 1 to the empowerment and inclusion of IPs and how that contributed to better governance and recognition of rights. However, the available anecdotal evidence clearly points towards a positive contribution of module 1. This was partly confirmed by the perception survey. In addition, most government partners underlined in general that they understand IP issues better now and take them more seriously. One expression of that is also the improved relationship between NCIP and other government agencies. This was also seen as an improvement in terms of governance.

In module 2, the identification of IKSP was the backbone of the methodological approach. In collaboration with academic institutions, the Philippine Eagle Foundation, NCIP and DENR, the module worked closely with indigenous people. Instead of relegating IPs into the role of a research object, they were enabled to lead and own the process of IKSP documentation. Three gender-balanced teams of between 16 and 22 indigenous researchers each were trained from the Manobo tribe (Agusan Marsh), the Higanaon (Mount Balatukan) and the Bagobo-Klata and Bagobo-Tagabawa (Mount Apo). Research was carried out by the IPs themselves and IKSP were documented in their native languages. For local planning and governance processes, IPs involved in focus groups during the evaluation mission highlighted the IKSP are a key resource for evidencing the benefits of traditional practices and advocating for their recognition through inclusion in local or regional land-use planning (Int_with_B13-M2). According to other stakeholders involved in the IKSP process (Int_with_ACA-M2), participating IPs have gained confidence in asserting themselves when they enter in dialogues with outsiders, e.g. during their participation in ADS DPP and other local planning processes. The inclusion of numerous IKSP in ADS DPPs or by DENR is documented by the project monitoring. At the same time, results of the IKSP documentation were also used as inputs for the identification of feasible livelihood activities (Int_with_B13-M2). In fact, most of the initiatives mentioned in the indicator assessment (see previous section, indicator M4) were a direct outcome of the IKSP research (e.g. cultivation of native rice, katmon jam making). Since there was no comparable documentation of indigenous practices prior to the project activity, and little knowledge existed regarding their potential contribution to biodiversity conservation, results can be reliably attributed to the project interventions. Nevertheless, a few regional and provincial-level stakeholders also consider that there is unused potential regarding the dissemination of IKSP documentation, which they feel is insufficiently shared beyond the immediate context of use (Int_with_PL13-M2), hence posing a challenge for the replicability of practices and wider public sensitisation in areas with mixed (i.e. indigenous and non-indigenous) populations.

As explained in the previous section, IPs also play a vital role in the context of the biodiversity monitoring and law enforcement. Whereas their technical function and the respective outcome are analysed in the indicator assessment, focus group discussion results indicate that the local conservation groups (the *Bantay Danao*) also play a major role in the local and regional governance structure. The *Bantay Danao* are recognised as

environmental ambassadors within their communities and contribute to the information and sensitisation of the local population regarding the protection of the environment and conservation of biodiversity (Int_with_B13-M2). Conversely, there are several cases of Bantay Danao members who have been elected as barangay officials and thus also represent the IP communities in front of other government agencies or within the PAMB (Int_with_PR13-COS).

IP representation in the PAMBs has been supported by the project by raising the issue of inclusion in the PAMB governance assessments, formally defining the level of IP communities' participation in the PAMB Agusan Marsh Manual of Operations and by including IPs in the extensive capacity-building activities related to protected area management and governance (see AMWS-PAMB 2018, Int_with_P13-COS). Through the Mindanao PAMB network (see section on unintended results), inclusion of IPs was promoted beyond the intervention areas of the IP4Biodiv module and has generally increased throughout Mindanao. At the end of 2018, indigenous peoples – hardly represented in PAMBs before the beginning of the project term – were involved in the decision-making structures of approximately 30 of the 47 protected areas in Mindanao (monitoring data).

In conclusion, due to the more specific thematic focus, the contribution of IP empowerment to the strengthening of participative governance structures and the recognition of IP's rights has been more evident and easier to assess in the module 2 (IP4Biodiv). There is sound evidence of a significant contribution of the described interventions, including feedback from beneficiary focus groups in two of the three project regions.

- (3) *The documentation of knowledge products and successful local/regional experiences combined with respective stakeholder dialogues (output level) stimulates the replication and adoption by regional and national stakeholders, including the integration in national policies (outcome level).*

The replication and adoption of tools and approaches from region XIII to region X and XI were central goals of COSERAM modules 1 and 2. To do that, COSERAM piloted a number of different tools and approaches in region XIII before trying to replicate them in regions X and XI. In addition, the project tried to foster the uptake of approaches and tools at the national level.

For module 1, the approaches and processes for developing regional peace agendas and CSPP, the conflict-sensitive legal assistance programmes (ULAP and CS-LAP), and the KP guides for regions XIII and X were the clearest examples of successful replication. For module 2, replication centred around inclusive approaches for the management of protected areas and the IKSP documentation process.

The successful implementation of the Regional Peacebuilding Agenda in region XIII was an important catalyst for the replication of the approach in region X. Partners in region X stressed that their Regional Peacebuilding and Development Framework Agenda was not a replication of the approach and process used in region XIII. However, as outlined above a close examination of the tools and approaches shows that it was a replication of the 'Peacebuilding and development needs approach' that was first developed in the predecessor and further developed in the current module (see section 4.1). This perspective of the partners reflects that COSERAM managed to adapt the process and approach to fit the needs of the partners in region X (Int_with_PR10-COS, PR13-COS). In addition to providing a whole range of support services and funds, COSERAM also provided the tools and approaches, but partnered Capitol University Research and Extension Office to adapt the approach and implement it (Int_with_ACA-M1). These efforts ensured that the process and product were owned by the partners in region X. In addition to the replication of the Regional Peace Agenda in region X, some partners mentioned that there are also replications going on in other parts of the country, namely in region VIII and XII, without the support of COSERAM (Int_with_PN-COS).

CSPP was not a new approach that COSERAM developed, but an existing DILG approach that had not yet been implemented. COSERAM module 1 took the approach, piloted it in region XIII under the concept of 'Mainstreaming Peace and Development Needs' (PBDN) and produced a number of manuals and materials in addition to some materials that were developed in phase 1 under PBDN. The approach was then replicated in region X and XI (Int_with_PR13-COS) and evolved in close cooperation between DILG and OPAPP into CSPP. The extent of the replication was very much proportional to the financial and personnel resources that

COSERAM could invest. The evaluation team could not find examples where the approach was taken up without extensive support from COSERAM. At the same time, there were efforts to make CSPP a nationwide approach. Since 2016, it is part of the recommended tools of DILG (Int_with_PR13-COS) and COSERAM tried to get OPAPP and DILG to make it an obligatory approach for all of the Philippines (see also Evaluation dimension 1) (Int_with_PL13-M1). Unfortunately, because of management changes and OPAPP restructuring, this process got delayed. However, DILG and OPAPP are both confident that a national directive on the topic will soon be adopted.

COSERAM replicated the conflict-sensitive legal assistance approach developed in region XIII to regions X and XI (see module indicator 1). All three legal aid-produced operational manuals follow the same structure and approach. In addition, to the successful replication of the approach in regions X and XI, the Urian Legal Assistance Program (ULAP) at the Father Saturnino Urios University (FSUU) was also recognised by the Supreme Court and FSUU's conflict-sensitive legal education approach was incorporated into the national law curriculum by the Legal Board of Education. This was a successful example of the replication in other regions and an upscaling to the national level. In addition to the support from COSERAM module 1, another important success factor was the ownership that FSUU developed for the approach. It did not only see the merit of a conflict-sensitive approach in being better able to provide legal aid services to IP groups, but also as a chance to position itself among other law institutes in the Philippines (Int_with_PR13-M1).

Lastly, the KP guide on the barangay justice system was another replication from region XIII to region X. Structure and approach from region XIII to develop such a guide were used to develop a similar guide in region X.

For module 2, the dynamics of the horizontal upscaling are similar to the abovementioned processes of module 1 since the planning took place at programme level, and the stocktaking of replicable innovations and design of upscaling was done together by both modules. Due to the different geographic foci, however, different strategies were used. Whereas module 1 proceeded in a rather demand-oriented manner, the focus of module 2 on specific protected areas implied an area-based approach, i.e. the integrated application of a broader set of activities in the same local context. Different from module 1, where the transition from one project term defined the mandate for the replication process, IP4Biodiv was expanded by a change offer during the ongoing term, and after a relatively short period of actual (and delayed) implementation.

It is not fully clear which innovations were actually ready for replication at that time. To a certain point, activities in the three regions were rather carried out in parallel, enriched by mutual exchange, instead of following a sequence of tested innovation and subsequent replication. Stakeholders at several levels (Int_with_PR10-COS, PL10-M2, ACA10-M2, PR11-COS) underlined that the key interventions (i.e. IKSP, protected area management and harmonisation of plans, law enforcement, livelihood and inclusive business) had to be carefully customised to each local context. This means that replication was not about the dissemination of specific products, but rather about sharing process knowledge. Nevertheless, interviewed stakeholders in region X explained that IP4Biodiv played a vital role in stimulating activities that otherwise would not have taken place with the same methodological rigour and with the same extent of multi-stakeholder participation (Int_with_PR10-COS). In region XI, most of the supported activities were already ongoing to a certain extent before project support started (Int_with_PR11-COS).

For the dissemination of project results beyond the direct intervention areas, the key contributing factor was the foundation and institutional strengthening of the Mindanao PAMB network. Assisted by the IP4Biodiv module, the network was established by the DENR in 2015. It functions as an exchange platform for the 47 PAMBs in Mindanao, representing protected areas of approximately 1.5 million hectares. Between 2015 and 2018, over 800 PAMB members have benefited from trainings offered by IP4Biodiv (monitoring data). Though there is no evidence available on the extent to which these activities have contributed to the performance of PAMBs outside the direct geographic scope of the project (i.e. Agusan Marsh, Mount Balatukan and Mount Apo), there are at least 10 documented cases of previously inactive PAMBs that have been reactivated through the support provided by the network (see GIZ-COSERAM 2018k).

The extent to which module 2 has achieved vertical upscaling of outputs (i.e. their integration in national policies and strategies and/or dissemination beyond the project region), has been itemised in detail in the indicator assessment (see module objective indicator M4). To connect specific outputs with the national level, the project invested significant effort in systematising project experiences and distilling policy recommendations and/or elaborate knowledge products like guidebooks or manuals (e.g. field manual for the documentation of IKSP, guidebook for the development of a protected area management board manual of operations, guide on interfacing ADSDPPs with protected area and local plans, paralegal training manuals; see the list in annex 1). Despite these efforts and the formal achievement of the indicator, national upscaling was considered by several stakeholders as the least successful area compared to the other core project activities. For the hindering factors mentioned by interviewees, see the indicator assessment section.

In conclusion, for COSERAM modules 1 and 2 there were a number of successful replications. One important factor for the replication was that these approaches and tools had been tested and showed to work. At the same time, activities in the three regions were often carried out in parallel, enriched by mutual exchange, instead of following a clear sequence of tested innovation and subsequent replication. Replication was not only about the dissemination of specific products, but often just as much about sharing process knowledge. Another important success factor was the strategic selection of partners that were very committed and being very focused on the needs of the partners. However, maybe the most important factor in the replication was the extensive support in the form of funds and technical assistance. Without this support, it is unlikely that the approaches and tools would have been taken up to the degree that they have been.

The expansion of COSERAM beyond region XIII was somewhat hindered by the changes from phase one to phase two, based on the learnings from the predecessor. For the first 2 years, COSERAM put a lot of energy and resources into overcoming the structural and management challenges related to the disconnected nature of regionally focused activity clusters. These were substituted by thematic core processes, which also tended to turn into silos. This focus on the internal structures and management was necessary, but also meant that the time frame for the replication in the other regions was limited to about 2 years, with knowledge products and experiences taking longer than expected to be ready for replication (Int_with_GIZ staff). With this in mind, COSERAM achieved impressive results, rated with **24 of 30 points** for module 1. Due to the more focused contribution of IP empowerment to inclusive governance structures, module 2 is rated slightly higher with **26 of 30 points**.

Evaluation dimension 3: Unintended results

No unintended negative results of COSERAM module 1 or 2 on any level (output or outcome) could be identified during the evaluation. None of the interview partners shared examples of how COSERAM might have strengthened or contributed to any conflict drivers or directly supported violent actors. There were of course situations during the implementation of the project that led to tensions between different actors and partners, but nothing beyond what could be expected for a peacebuilding project working in a conflict context, and never to a degree that escalated or could be described as problematic. This includes potentially exacerbating conflict drivers and factors in the wider conflict context, namely the conflict between the government and the NPA.

The programme put considerable energy and effort into ensuring 'do-no-harm' and building up a comprehensive conflict-sensitive M&E system with dedicated staff that regularly collected information on the conflict context and the interactions of the project with this context. A focus was put on these processes during

2015 and 2016 when the project was addressing its other structural and managerial challenges. This included the identification of risks and unintended negative results. At this time, context analyses for the new regions were commissioned (see GIZ-COSERAM 2016h). The system included DNH checklists to be answered by staff and regular reflection sessions. It helped to identify risks early, for example the misappropriation of funds for livelihood activities, and appropriate actions were taken to address them. While the system was not always implemented as planned and there were some challenges in terms of capacities, it did provide COSERAM with a systematic context and risk monitoring. The experiences of building up and using this system were shared with GIZ and beyond as a best practice. In addition, the project used the GIZ Risk and Security Management which advised the project closely on security and conflict-related risks.

There was a number of unintended, positive results that could be identified during the evaluation mission. For module 1, the most obvious was the extensive support provided for the Mindanao Development Authority, which was not originally planned for, but significantly contributed to the enhancement of DNH capacities and use of DNH tools in development planning activities in Mindanao. Another unintended positive impact was in relation to ULAP at FSUU. Most of the students in the programme were government employees and returned to their former positions. In addition, a lot of the students get hired for government jobs (Partner 9). This means that the capacities that were built in terms of DNH and peacebuilding are carried into these institutions,

Module 2 (IP4Biodiv)		
Criterion	Criterion	Criterion
Effectiveness	The project achieved the objective (outcome) on time in accordance with the project objective indicators.	38 out of 40 points
	The activities and outputs of the project contributed substantially to the project objective achievement (outcome).	26 out of 30 points
	No project-related negative results have occurred – and if any negative results occurred, the project responded adequately.	30 out of 30 points
	The occurrence of additional (not formally agreed) positive results has been monitored and additional opportunities for further positive results have been seized.	
Overall score and rating		Score: 94 out of 100 points Rating: very successful
Overall score and rating		Score: 90 out of 100 points Rating: successful

potentially leading to additional long-term positive results.

For module 2, the most important additional effect not envisaged in the original planning was the foundation and institutional strengthening of the Mindanao PAMB network, which is fostering capacity development and mutual learning among all PAMBs in Mindanao (see the previous sections for further detail).

In conclusion for modules 1 and 2, no unintended negative impacts were identified. COSERAM had a comprehensive conflict-sensitive M&E and risks management system that provided a systematic context and risk monitoring. Furthermore, significant unintended positive impacts were identified for each module (**30 of 30 points**).

4.4 Impact

Evaluation basis and design for assessing impact

The Impact assessment first analyses the extent to which the intended overarching development results have occurred or are foreseen (Evaluation dimension 1). The following indicators were formulated for the overall COSERAM programme:

- *Programme indicator 1:* '33 potentially violent conflicts over land use and land rights are being addressed by mandated bodies (LGUs and Line Agencies) in a peaceful manner through gender- and conflict-sensitive processes, integrating all relevant conflicting parties.'

Due to the wider geographic focus, the main contribution to this indicator is made by module 1. Nevertheless, it also applies to module 2, since management plans in the selected protected areas imply dealing with land-use conflicts; in particular conflicts related to the overlap of protected areas, ancestral domains and municipal borders. From the overall programme perspective, however, the indicator does not cover the peacebuilding impact beyond natural resource conflicts. To cover this peacebuilding impact more comprehensively we propose a wider focus on (a) how have attitudes, behaviours and relationships between conflicting actors changed and (b) the extent of successful conflict transformation in general and better governance in the partner system.

- *Programme indicator 2:* 'In 3 biodiverse areas with the presence of indigenous population, gender- and conflict-sensitive management approaches for the conservation of biodiversity are being implemented.'

This indicator specifically covers the contribution of module 2, but it rather summarises a key dimension of the module objective (coinciding with module objective indicator 1, though going one step further from the formulation to the implementation of management approaches). From an impact perspective, however, the evaluation should not only focus on the verification of implementation processes, but also on the value added to the conservation of biodiversity (e.g. decrease of illegal activities in protected areas, extension of protective forms of land use, stabilisation of the numbers of endangered species).

Regarding overarching development goals, the abovementioned impact areas cover the contributions to environmental sustainability in particular the protection of natural resources and ecosystems (SDG 15), and to peaceful and inclusive societies (SDG 16). The contribution to poverty reduction (SDG 1) largely coincides with the results measured at the IP4Biodiv outcome level.

Whereas the assessment of the biodiversity-related impact mostly relies upon the analysis of secondary data (e.g. filed law cases, documentation of conservation practices and data of the biodiversity monitoring), the impacts towards SDG 1 and SDG 16 are not as tangible, but relate to stakeholder relations and capacities and the value added within the partner system. Evaluation questions are therefore predominantly qualitative and must capture multiple stakeholder interests and perspectives through semi-structured interviews (institutional stakeholders) and focus group interviews (with regional/local intermediaries and target groups).

A contribution analysis will be used to evaluate if and how the outcomes of the project have contributed to the achievement of the impact (Evaluation dimension 2). It will focus on evaluating the three impact level results hypotheses as elaborated in section 2.2.

The analysis follows the same principles as laid out in section 4.3 (Evaluation bases – Effectiveness) and applies the same methods of data collection. Also regarding the occurrence of unintended results (Evaluation dimension 3), the methodological approach explained for the outcome level equally applies at impact level.

Evaluation dimension 1: Programme indicators

- *Programme indicator 1:* ‘33 potentially violent conflicts over land use and land rights are being addressed by mandated bodies (LGUs and line agencies) in a peaceful manner through gender- and conflict-sensitive processes, integrating all relevant conflicting parties.’

Conflict resolution indicators such as the programme indicator are inherently challenging. While the process of how violent conflicts over land use and land rights are to be addressed is clearly defined (it needs to be gender and conflict sensitive and integrate the conflicting parties), the result is not. For the indicator, it is therefore unclear what ‘addressed in a peaceful manner’ exactly means. For example, has the conflict been resolved or is it enough if a process has started? In its final reporting, COSERAM applied a broad definition of conflicts peacefully addressed that included three elements: (1) the conflict was identified and described, (2) it was jointly addressed, and (3) it moved towards resolution (not necessarily resolved which is not considered a realistic objective in structural conflicts). Applying this definition, both modules had contributed to address 56 potentially violent land rights and use conflicts. Module 1 contributed with a total of 43 addressed conflicts, module 2 with 13 (see monitoring sheets of COSERAM). In module 1, this included nine conflicts that were addressed through CSPP, three conflicts addressed through PBDN (regional peace agenda processes and the support for the Kalabugao Plains Convergence Initiative and Gingoog Bay Alliance), 20 conflicts in ancestral domains in the whole of Mindanao, and 11 conflicts as part of LAPSRA (legal and paralegal assistance and JAO). A majority of the conflicts peacefully addressed (for which the monitoring sheet provided a clear geographic location) were located in region XIII. This geographic concentration is because most interventions were focused on region XIII and the implementation period rather than in region X and XI. Module 2, under its focus on protected areas, contributed to addressing two boundary conflicts, seven planning issues in areas with overlapping claims, three specific resource-use-related issues (e.g. water resources), and one conflict related to the investment-driven de-establishment of a protected area (according to programme monitoring data). Geographic locations are more evenly distributed in all three regions as consequence of the more focused area-based approach of module 2.

Programme indicator 1 shows some of the contributions COSERAM modules 1 and 2 made towards sustainable peace as it is defined by SDG 16 and its targets and indicators. This includes the reduction of violence (16.1), promotion of the rule of law and equal access to justice for all (16.2), and inclusive and effective governance and decision-making (16.6 and 16.7). However, as the next evaluation dimension shows the indicator traces only parts of its peace impacts.

- *Programme indicator 2:* ‘In three biodiverse areas with the presence of indigenous population, gender- and conflict-sensitive management approaches for the conservation of biodiversity are being implemented’.

As explained above, the indicator summarises the integrated outcome of the project. According to the analyses in section 4.3 (effectiveness), it was formally achieved but does not provide information about actual impact of the IP4Biodiv module regarding the progress towards effective protected area management and biodiversity conservation. Applying a more ambitious understanding of the indicator, significant changes at impact level can be plausibly anticipated only in the Agusan Marsh Wildlife Sanctuary at the time of the evaluation. In the Agusan Marsh, the project was present for the entire project term and could step from the supporting dialogue and planning processes to the operationalisation and application of management approaches in biodiversity conservation. In the other two regions, it is not realistic to expect impact level results after the far shorter implementation period. Although some significant outcomes have been reported (e.g. in region XI the integration of numerous IKSP in the four local ADSPPs, and the integration of an ecotourism management plan in the PAMP of Mount Apo), at the time of this evaluation, it is too early to anticipate implementation processes and their impact on biodiversity conservation (Int_with_PR10-COS, PR11-COS). Project outcomes

in regions X and XI were also achieved more selectively in a less cohesive manner, compared to the integrated approach applied in Agusan Marsh (Int_with_PR10-COS, PR11-COS). In Agusan Marsh, however, the significantly improved performance of the PAMB and the Bantay Danao biodiversity and law enforcement scheme are having a visible effect on the integrity of the protected area. For example, since the establishment of the scheme in 2015, bird counts for several species have more than doubled, according to the biodiversity monitoring. A 2017 report of the Bureau of Fisheries and Aquatic Resources shows a significant increase in fish stock between 2015 and 2017 (see GIZ-COSERAM 2018k).

The programme has achieved both its programme indicators. However, both of these indicators trace some of the impacts the programme had in terms of peacebuilding and biodiversity. In both dimensions, the programme's impact was most visible in region XIII but somewhat harder to trace in region X and XI. Beyond the two programme indicators, there is clear evidence for both modules, that the targeted marginalised groups (IPs, women, and young people) have been reached. However, as outlined in the effectiveness section above, it was hard to verify these impacts for module 1, in particular for IPs. The methodological approach of module 2, through the livelihood and inclusive business interventions, considered more tangible direct benefits for the target populations within specified focus areas that have been discussed in section 4.3 (see module objective indicator M3). The same is the case for the cross-cutting inclusion of IPs, at the same time as contributors and beneficiaries. The project promoted the gender sensitivity of supported planning processes, though results observed during the evaluation mission were rather limited to aspects of gender balance (i.e. stipulation of 40% female membership in the AMWS-PAMB Manual of Operations). Gender balance was also monitored for human capacity development measures and project-supported stakeholder processes. Several livelihood initiatives benefited women, thus generating opportunities for income generation and empowerment. Gender-transformative aspects, however, remained in the background. **(Modules 1 and 2: 34 of 40 points)**

Evaluation dimension 2: Contribution analysis

- (1) More constructive and inclusive dialogues (outcome level) contributes improving the relationships between conflicting actors and their perception of each other (impact level)*

Across both modules and their interventions areas, almost all interview partners confirmed that the dialogue processes that COSERAM module 1 and 2 supported were constructive and inclusive, and as a result contributed to better relationships between conflicting actors and improved the perception of each other.

For module 1, this was particularly evident in regions XIII and X for CSPP, the regional peace agenda processes, and JAO. In all three cases the relationship between the government agencies involved in the project improved. This was particularly the case for the relationship between NCIP and DENR as well as between OPAPP and DILG. Even for JAO which was one of the processes that was less successful in terms of effectiveness (see section before), it was clear that the relationships between the government partners involved in the project improved significantly (Int_with_PN-COS, PR13-COS, PR10-COS). From the government side, many agencies and interview partners also confirmed that the relationships between them and the local communities, in particular IP communities improved (Int_with_PL13-M1). The number of interviews that were conducted with IP representatives, however, was not large enough to confirm this conclusively (also see section 4.3). Only the interview partners in region XI did not identify improved relationships as a result of COSERAM's engagement (Int_with_PR11-COS). Because of the limited number of interviews in region XI no conclusive answer to the question why this was the case could be identified. One possible explanation is simply the significantly shorter time frame of implementation.

The findings partly coincide for both modules since the regional partner structures overlap. In the intervention areas of the IP4Biodiv module (i.e. protected area management), the COSERAM approach of culture and conflict-sensitive planning was also applied and materialised in multi-stakeholder processes (e.g. the local planning in ancestral domains and local conservation areas) and in the participatory design of institutional arrangements (i.e. the stipulations for PAMB membership in the manuals of operations for AMWS and Mount Apo). In Agusan Marsh, the evaluation mission was able to involve the entire cascade of PAMB stakeholders in interviews or focus groups, i.e. DENR regional director, the protected area superintendent, provincial

government representatives and local community members. All confirmed that communication, mutual understanding and conflict resolution capacities had improved as a result of the IP4Biodiv module (Int_with_PR13-COS, PR13-M2, PL13-M2, B13-M2.). In the region X, interviews were more selective, but largely confirming the same finding (Int_with_PR10-COS, PR10-M2, PL10-M2). Only in region XI, interviewed partners appreciated specific outputs, but did not attribute major systemic effects on stakeholder relations to the programme (Int_with_PR11-COS).

One key factor underlined by many interview partners as being decisive in improving relationships was the role of the COSERAM programme as a neutral convenor. The efforts of COSERAM to build trust among different stakeholders and its ability to provide a neutral space were key in bringing together different conflicting actors (Int_with_PN-COS, PN-M2, PR13-COS, PR13-M1, PL13-M2, PR10-COS, PR10-M2). Another important and not surprising success factor was the level of cooperation and the quality of relationships at the beginning of the process. In general, COSERAM was more successful in those cases where relationships were already better at the outset. One example is region XIII: when discussing the Regional Peace Agenda, many government partners underlined that in comparison to other regions, the relationship between national line agencies at the regional level were already good before COSERAM started working there and that provided a good starting point for further improvements (Int_with_PR13-COS). COSERAM was in general quite strategic in terms of flexibly reacting and focusing on those actors, areas and processes where they saw commitment and opportunities to act as a catalyst for further improving relationships. Another important factor in terms of long-term impacts on the relationship between actors that was underlined by many partners was that the plans that have been developed at the different levels also need to be implemented (Int_with_PN-COS, PR13-COS). Otherwise there is a risk that the trust that was built up will turn into disappointment and undermine the improved relationships.

In conclusion, the contribution of more constructive and inclusive dialogues to improving the relationships between conflicting actors could be directly confirmed for the programme as a whole, i.e. for both modules to the same extent, in regions X and XIII.

(2) Constructive/inclusive dialogue in combination with the empowerment of marginalised groups (in particular, indigenous peoples) (outcome level) contributes to conflict transformation and better governance (impact level)

Across both modules, the combination of improved dialogue and the empowerment of marginalised groups, particularly indigenous groups, were important factors that contributed to conflict transformation and better governance. However, the limitations outlined in section 4.3 in terms of tracing IP empowerment for module 1 also apply regarding this impact hypothesis. Nevertheless, there are some clear examples that confirm the impact hypothesis. First, both CSPP and the regional peace agendas led to improved plans, which can be taken as an indicator for improved governance. Government partners confirmed that often for the first time they had the feeling that the communities' real issues and the root causes of the conflicts were identified (see section 4.3). In the case of the regional peace agendas there were also examples named that this has led to some issues already being addressed. In addition, for both processes, the programme indicator and the M&E table show a number of conflicts that have been addressed confirming their impact in terms of conflict transformation. JAO confirmed this as well. Even if it was somewhat less successful and a more conflictive process, it also led to some conflicts being addressed.

The Kalabugao Plains Convergence initiative also clearly showed that the combination of constructive and inclusive dialogue and the empowerment of IP groups was key. The improved capacities of IP communities and leaders led to a better understanding of their rights, government agencies and planning processes, and better capacities. This in turn allowed the communities to take more part in decision-making processes and stand in for their rights and formulate their needs better. This led to some changes in terms of physical infrastructure, more presence of police and military (which was seen as an improvement in terms of security), and livelihood support. In general, improved service delivery and infrastructure as a result of empowerment and more inclusive planning processes, were identified by different interview partners as an important factor

contributing to peace and governance impacts (Int_with_B10-M1, PR13-COS, ACA-M1).

According to the assessment of programme indicator 1, potentially violent conflicts have been addressed in 13 cases by module 2. They were mostly tied to boundary conflicts, overlapping land claims and the use of resources. This means, project contributions are not related with the broader protected area governance (i.e. to PAMB strengthening, biodiversity monitoring, law enforcement and livelihood interventions), but to a more specific line of intervention regarding the support to local-level planning (see section 3.4 under module objective indicator M1). As in module 1, the project supported multi-stakeholder dialogues and assisted conflicting parties in analysing and managing the conflict and reaching agreements. As a contribution to the solution of boundary conflicts, the project promoted the use of unmanned aerial vehicles and trained staff of involved government agencies for their operation (380 in the three regions). The results formed the basis for land-use and development planning, have speeded up land titling of ancestral domain title claims and have contributed to the management of the abovementioned land-related conflicts (see GIZ-COSERAM 2018k, GIZ-IP4Biodiv 2018a).

Assessing the module's contribution to better governance of the protected areas goes beyond addressing specific conflicts; it deals more broadly with the institutional structures and processes for the protected area management. This means, that improved PAMB performance, biodiversity monitoring, law enforcement and livelihood initiatives do not primarily address existing conflicts. On the other hand, project support was always applied with a do-no-harm and conflict lens, thus emphasising the inclusiveness of the applied schemes and maximising the harmonisation of interests of involved stakeholder. There is no way of estimating the extent to which potential conflicts might have been prevented through the direct outputs and outcomes of the project, but interviewees generally assume an improved conflict prevention and resolution capacity of the partner systems (to a larger extent in region XIII and X, whereas stakeholders in region XI rate the initial situation already quite positive and therefore don't perceive a significant change through the project, PR11-COS).

In conclusion, it could be confirmed that more constructive/inclusive dialogue in combination with the empowerment of marginalised groups led to better governance in the form of improved plans, which better reflect the needs of local communities and needs being addressed; e.g. through infrastructure and improved service delivery. It also contributed to conflict transformation, as shown by programme indicator 1 which names a number of conflicts being addressed through the improved processes and assistance for IP communities.

Overall, both results hypotheses could be confirmed. The impacts of the programme were also a function of the lengths and depth of the engagement (with region XIII showing the clearest impacts, region X showing some impacts, and region XI showing no impacts). However, it has to be underlined that due to limitations in terms of time and resources available, for region XI only a very small number of interviews could be conducted. In conclusion, this impact dimension was very successful, but it could have been more successful if implementation in the region X and XI had started earlier. **(Module 1 and 2: 27 of 30)**

Evaluation dimension 3: Unintended impacts

No unintended negative or positive results could be identified on the impact level. This was also the case for negative trade-offs. On the contrary, COSERAM modules 1 and 2 used the positive synergies and co-benefits between the ecological, economic and social dimensions of sustainability. Peacebuilding, trust and relationship building between actors (social dimension) were specifically used to improve natural resource and biodiversity management (ecological dimensions) while also supporting livelihoods activities (economic dimension). As part of improving local planning processes, ecosystem-based approaches such as ridge-to-reef and SIMPLE were used together with conflict- and gender-sensitive approaches. The strong focus on resource conflicts also meant that the resolution of these conflicts often had direct positive impacts on livelihoods as local populations often directly rely on natural resources (e.g. access to land or forests). In general, COSERAM tried to break the barriers between and build bridges across sectoral silos to make sure that negative trade-offs (which are often

Module 1 (COSERAM)		
Criterion	Assessment dimension	Score and rating
Impact	The intended overarching development results have occurred or are foreseen.	34 out of 40 points
	The outcome of the project contributed to the occurred or foreseen overarching development results.	27 out of 30 points
	No project-related negative results at impact level have occurred – and if any negative results occurred, the project responded adequately.	30 out of 30 points
	The occurrence of additional (not formally agreed) positive results at impact level has been monitored and additional opportunities for further positive results have been seized.	
Overall score and rating		Score: 91 out of 100 points Rating: successful

drivers of conflict) are avoided, and co-benefits and synergies are realised. Both modules worked directly at

Module 2 (IP4Biodiv)		
Criterion	Assessment dimension	Score and rating
Impact	The intended overarching development results have occurred or are foreseen.	34 out of 40 points
	The outcome of the project contributed to the occurred or foreseen overarching development results.	27 out of 30 points
	No project-related negative results at impact level have occurred – and if any negative results occurred, the project responded adequately.	30 out of 30 points
	The occurrence of additional (not formally agreed) positive results at impact level has been monitored and additional opportunities for further positive results have been seized.	
Overall score and rating		Score: 91 out of 100 points Rating: successful

having positive and de-escalating effects on conflicts, as outlined above.

The conflict-sensitive M&E and risk management system described under 4.3 included impact-level risks and appropriate measures were taken to address them. However, most of these risks were outside of COSERAM's sphere of influence, therefore only their impact on the project could be mitigated.

There were important changes in the conflict and fragility context, for example a national government change in 2016 and the Marawi crisis. These and other changes did have impacts in terms of effectiveness, for example the restructuring of OPAPP (see section 4.3). However, their overall impact on the peace and conflict situation in the intervention regions is hard to trace. It seems as if the drivers of conflict and conflict dynamics have stayed largely the same for the programme's intervention regions, and views differed when the overall peace and conflict situation has got better or worse.

The Marawi crisis was outside of the intervention area of COSERAM but led to the project expanding its activities (see section 4.3) to also address this escalation of conflict. In region XI, the Marawi crisis and the declaration of martial law in all of Mindanao led to more of a focusing of efforts by government agencies, underlining the urgency of addressing the root causes of conflict. That had, if anything, a positive impact (Int_with_PL13-M1, PR11-COS, PR-M1).

The overall rating for this evaluation dimension is **30 of 30 points** (for both modules).

4.5 Efficiency

Evaluation basis and design for assessing efficiency

The evaluation dimensions of the efficiency criterion refer to (a) the use of resources with regards to the outputs (production efficiency); and (b) the use of resources with regard to achieving the TC measures goal

(allocation efficiency).

Both dimensions are based on a cost analysis carried out in a first step. Costs were documented according to the GIZ cost-accounting reports and any expenses were attributed to specific outputs, to provide an understanding of the relative cost-intensity of each output (follow-the-money-approach) and the appropriateness of the resource-utilisation (Evaluation dimension 1), particularly the question to what extent the outputs could have been maximised with other implementation strategies (maximum principle). The cost information was also analysed against the evaluation indicators for the relevance criterion, partly by means of document analyses (e.g. offer, progress reporting, operational plans) and partly through interviews with project staff, particularly the officer responsible for the commission and the chief adviser of the IP4Biodiv module. Beyond the descriptive analysis of the present status quo, the discussions also questioned to what extent outputs and/or outcome could have been maximised with the same amount of resources (e.g. through different allocation among the targeted outputs, Evaluation dimension 2).

Cost analysis

The total contract value of the German contribution for module 1 (COSERAM) for the whole duration of the project (01/2015 to 03/2019) was EUR 8,500,000 of which EUR 8,021,061 were spent or committed until the moment of data collection (November 2019). The first two outputs 'Tested innovations for ecosystem-based planning and management of natural resources are documented and ready for replication in other conflict-affected areas' and 'Mechanisms for the participation of marginalised groups in decision-making processes related to the use and management of natural resources and the handling of resource-related conflicts have improved' received the majority of the funds with 32% and 33% respectively. Output C 'The awareness of IPs and other marginalised groups on their rights and their knowledge on conflict transformation mechanisms, are improved' received 21%; and Output D 'Developed innovations and other policy advice have been provided to appropriate mandated national bodies' received the smallest amount with 15%. The total contract value of the German contribution for module 2 (IP4Biodiv) was EUR 6,000,000 of which EUR 5,748,345 were spent or committed until the moment of data collection (November 2019). Resources were fairly equally distributed among the four intervention areas. The amounts absorbed for testing gender- and conflict-sensitive management approaches (intervention area A) and the support to inclusive management of protected areas (intervention area B; both 30% of the total budget) were moderately above average whereas expenditures for the upscaling of innovations (intervention area C; 18%) and the support of livelihood initiatives and inclusive business (intervention area D; 22%) were moderately below average.

For both modules, the reliability of the estimations is limited for the following reasons:

- All staff members contributed to more than one intervention area within their modules, most of them were even involved in all four intervention areas; also for other cost categories, input per intervention area (or output) was neither planned nor tracked, so that the distribution of each staff member's working time and other input categories had to be roughly estimated by the project management.
- As explained, COSERAM was managed as one project rather than a programme with two modules. Though the contractual working time is assigned to each module in a proportionate manner, the factual assignment is more difficult to determine, thus complicating a reliable cost-assignment.
- For module 2, reliable estimations of working time inputs can only be delivered for the period of service of the current project manager (i.e. since 02/2015).

Apart from the programme managers' working time assigned to the module, the core teams of the two modules were structured in a similar way. The COSERAM core team consisted of one international long-term expert and chief adviser, three national senior advisers, one in each of the three project regions, and four development workers. Similarly, the IP4Biodiv core team consisted of one international long-term expert and chief adviser, three national senior advisers – each based in one of the three project regions – and four development workers directly based in the partner organisations' regional offices (DENR region XIII, DENR region XI, NCIP region XI, MinDA). Whereas the national senior advisers coordinated a broader set of project interventions in

their regions, the development workers were assigned to more specific thematic areas according to the scope of work of their hosting organisations). Administrative and support staff was mostly shared by both modules.

For module 1, staff-related costs (including travel costs) summed up for 42% of total expenditures plus 16% for external services (e.g. short-term experts). Other cost categories include internal services within GIZ (7%), procurements (5%), financing agreements (6%) and participation of partners in human capacity development (HCD) measures (4%). Approximately 2% of the total costs are assigned as 'Other costs'.

For module 2, staff-related costs (including travel costs) summed up for 45% of total expenditures plus 12% for external services (e.g. short-term experts). Other cost categories include internal services within GIZ (8%), procurements (4%), financing agreements (7%) and participation of partners in HCD measures (2%). Approximately 22% of the total costs are assigned as 'Other costs' which lowers the reliability of the overall cost distribution (there are several examples of costs that could have been assigned to other categories).

Appropriate use of resources with regard to the outputs achieved (production efficiency)

Due to the close interrelation of the two modules, COSERAM and IP4Biodiv worked under an integrated management structure, used the same steering and support structures and also shared project staff. Therefore, most of the following analysis for the efficiency criterion applies to the overall programme and thus, equally to both modules. Where results differ between the modules, the specificities will be highlighted.

Programme expenditures were managed according to the cost estimations of each module's **cost projection** and deviations were documented and explained. Major deviations occurred due to external factors to which the programme management responded in a timely and pertinent manner, including regarding shifts between the cost categories for financing agreements and local subsidies, and (internal and external) personnel (also see section 4.2). In April 2017, the Philippine government issued a memorandum that an authorisation of the Office of the President would be required for each contract between international and government organisations. Since the implementation agreement for the COSERAM programme had never been finalised and signed by the Philippine government, authorisations for further financial contracts could not be provided so that public entities were no longer eligible for financial agreement or local subsidies during the last 2 years of the programme's implementation period (see GIZ-COSERAM 2017a, IP4Biodiv 2017a). For module 1, approximately EUR 1 million projected for financing agreements and local subsidies could not be spent. The programme management reacted by shifting resources towards additional staff recruitment, short-term experts or consulting services that substituted the financing instruments and basically pursued the same results (Int-GIZ). In some cases, the programme had to shoulder an additional administrative burden (e.g. for the organisation and financial accounting of partner events originally foreseen under the financing agreements). However, except for some delays right after the announcement of the abovementioned memorandum, the evaluation concludes that the instruments were mostly equivalent, and the implementation process was not negatively affected.

As described in the cost analysis, expenditures were not managed according to projected costs per output. This is not a criterion for the assessment, since both modules were commissioned long before cost-per-output projections were formally introduced as part of the project offers. Cost-per-output estimations are based on rough estimations rather than the tracking of specific expenditures, which makes it difficult to relate the analysis of production efficiency to the cost analysis. Resources were used flexibly according to the dynamics of each ongoing implementation process to assure balanced progress in all intervention areas and overall goal attainment. At the same time, it is evident that the programme management ensured a continuous process of critical reflection of the current state of goal attainment, the strategic orientation of the project design, and the related challenges for the day-to-day work and management. The previously mentioned team workshops held every 3 months moderated by an external consulting (see sections 4.1 and 4.3) were also helpful to optimise the production efficiency. Though the **maximum principle** (i.e. the maximisation of outputs with the same of resources) was not reflected in the financial management, the constant reflection processes functioned in the same way from a qualitative conceptual perspective.

Considering the clear strategic focus (see section 4.2) and the high goal attainment at output and outcome level (see section 4.3), no significant potential for the maximisation of individual outputs through alternative approaches was identified during the evaluation. From the overall programme perspective, however, difficulties to define an efficient team set-up led to frictional losses, particularly when the expansion of the geographic scope from region XIII to regions X and XI increased the complexity of management and communication. Trying to overcome a design flaw of the predecessor, i.e. an internal organisation by geographically focused and somewhat disconnected activity clusters, the programme (including both modules) was structured into five core processes (see sections 2.1 and 4.1) led by national senior advisers. According to interviews with project managers and staff (Int-GIZ), however, this structure still tended to foster 'silo thinking' and hampered the coordination between the activities of different core processes. This also affected the external coordination with partners, e.g. in cases when staff of different core processes communicated in parallel with partner organisations without being aware of each other's activities. To foster better coordination, a geographic dimension with team members responsible for regional coordination was integrated into the team structure. This measure gradually improved internal coordination, which was also felt by the partners (PR13-COS). Comparing both modules, module 1 (COSERAM) was more affected by the abovementioned frictional losses than module 2 (IP4Biodiv) due to its higher complexity: Whereas module 1 comprised 4 core processes, module 2 was only one geographically and thematically focused core process and thus less affected by the described coordination issues.

Considering the abovementioned limitations regarding the reliable tracking of cost-per-output, the evaluation team refrained from capturing additional quantitative estimations of proportionate **overarching costs** and confined the analysis to a qualitative analysis through discussions with programme management staff. Thus, costs related to staff participation in management and steering processes at programme or module level (i.e. the implementation activities of specific outputs) are not visible in the cost-analysis tool. Interviewed programme management staff assessed that personnel input invested at the different levels was generally well balanced (Int-GIZ). A question was raised regarding the transition phase before extending the programme scope from one to three regions. As described by the involved programme staff, systematising replicable products and determining the demand for upscaling processes was a more challenging and time-consuming process than originally anticipated, thus absorbing significant personnel resources for overarching instead of output-related activities (also see section 4.1).

The most relevant quantifiable cost position not related to specific outputs, but to the programme level in general (even addressing both modules), was the professional support and moderation of the periodic team workshops. This was provided by one external consulting with costs summing up to approximately EUR 700,000 for the entire programme term (including additional services such as the organisations of annual partner forums). Since the results of these workshops and forums are intangible, the contribution to results at output or outcome level is also not quantifiable. Interviewed programme staff, however, consider that the externally moderated reflection processes were a key factor in maintaining strategic focus and keeping implementation processes on track (Int-GIZ).

Internal services by other GIZ units (remunerated according to time recording, i.e. 'Zeitaufschriebe'/ZAS) accounted for a total cost of EUR 582,055 for module 1 and EUR 466,880 for module 2 until November 2018, equivalent to approximately 7% and 8% of the total budgets. Since relative costs (i.e. cost per time-unit) and even the decision for the utilisation of some of the services (e.g. GIZ country office) are beyond the influence of the programme, the assessment does not focus on the actual amounts, but on the usefulness for the programme. Programme staff (Int-GIZ) highlighted contributions of the related sectoral departments ('Fach- und Methodenbereich'), which were mainly used as a dissemination channel to position the programme in the German development cooperation community. Services invoiced by the GIZ country office mostly dealt with routine administrative issues and were not meant to support implementation or dissemination processes. However, interviewed programme management staff recognises that the services helped assuring financial and administrative due diligence and compliance. Thus, they provided a protective function, which is particularly relevant in contexts with widespread corruption.

The **instrument concepts** of both modules were generally implemented as projected, and no cost-related bottlenecks were mentioned in programme documents or by interviewed stakeholders. Adaptations to context factors took place in both modules but were not related to cost or efficiency considerations. In module 1, OPAPP stepped back from the intended employment of an integrated expert. In module 2, an additional development worker was placed in the Mindanao Development Authority to support the conceptual shift from mere livelihood support to inclusive business development. In both modules, personnel instruments substituted projected financial agreements. As described above, the personnel instruments were used in a functionally equivalent manner; the inherent increase in transaction costs is not relevant for the assessment since the shift from financial to personnel instruments was induced by external factors outside the influence of the programme.

At the level of lead executing agencies and implementing organisations, both modules shared the same **partner constellation** and steering structures consisting of NEDA, DENR, DILG, NCIP and OPAPP. Three regional steering committees were formed by the regional offices of the same organisations. The partner constellation was stable throughout the project term and not hampered by cost-related constraints.

In both modules, the **thematic scope** outlined in the offer was fully covered during the implementation period without cost-related constraints. For module 1, if anything, the thematic scope was broadened to go beyond addressing natural resource conflicts. This was also the case for module 2: The original thematic scope was fully implemented and – with additional resources channelled through a change offer in November 2014 – even enhanced during the implementation period, e.g. by adding biodiversity monitoring and, from 2017 onwards, complementing livelihood support to marginalised communities with inclusive business development.

Regarding the **regional scope**, the project offers do not specify the intended intervention regions beyond region XIII, and the selection took place according to the preferences of the commissioning party (BMZ), accessibility (i.e. security situation and geographical criteria) and the commitment and openness of the partners. Both modules managed to allocate their budgets in a way that allowed for adequately balancing implementing activities in the three project regions. Since IP4Biodiv intervened in selected protected areas only, the regional scope was clearly defined, and resource allocation could follow initial projections. Module 1, on the other hand, faced a more complex situation. While there were efforts to focus activities of the different intervention areas or core processes in the same geographic areas, this was not comprehensively realised. It was not possible as part of the evaluation to conclusively answer whether a geographically focused programmatic approach would have increased the results and impacts of the project and/or the production efficiency vis-à-vis the more opportunity-driven approach and the needs as expressed by the partners.

Overall, the assessment of the production efficiency is positive for both modules. Regarding the implementation of the different elements of the methodological approach, no cost-related constraints were identified. The formalised continuous reflection process allowed for optimising implementation processes in the sense of the maximum principle. Challenges emerged because of the complexity of the programme, such as the difficulty to find a team set-up without frictional losses (particularly relevant for module 1) and to systematise replicable products for the expansion to region X and XI (relevant for both modules). Whereas the context of module 1 did not allow for implementing a comprehensive (presumably more efficient) area-based approach, the geographic focalisation of module 2 implied efficiency gains. **(rating for module 1: 57 of 70, module 2: 62 of 70)**

Appropriate use of resources with regard achieving the project objective

Regarding the extent to which the intended outcomes could have been maximised with the same resources and the same or better quality (**maximum principle**), conclusions must rely on stakeholder opinions and qualitative analysis since comparable benchmarks don't exist for either one of the modules. Implementation processes relating to conflict transformation, peacebuilding and participatory land management are context specific and depend on involved stakeholder landscapes and larger conflict dynamics beyond the programmes control. Outcomes may be measurable through quantitative variables (e.g. applied management approaches, recommendations integrated in national strategies) but can only be understood against a specific background

and thus, not be compared from a cost-outcome perspective to formally similar outcomes in other contexts.

As described in the previous section, budgets per output were neither part of the project offers nor introduced during the implementation processes. Therefore, both modules were flexible in shifting resources among outputs (and occasionally even among modules) in the pursuit of maximising the overall goal attainment. Strategic focus was maintained through constant reflection processes in the abovementioned periodic internal team workshops and external technical working group and steering group meetings.

The outputs of module 1 do not reflect and only partly map onto the actual intervention areas or core processes. However, the efficiency analysis is based on the Obligo report and the assignment of personnel to the different outputs. This approach does not allow tracking how much was actually spent on the different core processes. Without this data, it is impossible to assess if the existing distribution of resources for the different core processes was the most efficient one to attain the goals of the project. In addition, COSERAM followed a very needs-based and opportunity-driven approach also moving beyond the initial project design. From a peacebuilding perspective, such flexible and opportunity-driven approaches are often the most effective. However, if this approach was more or less cost-efficient than a more static approach that would have strictly stayed within the initial project design is impossible to assess based on the available data.

The narrower geographic and thematic focus of module 2 also implied a more focused methodological approach with less scope for alternative interventions. Programme staff and stakeholders unanimously underlined that peaceful and effective cooperation of stakeholders in protected area management requires an integrated approach that considers conflict and culturally sensitive practices for biodiversity conservation (intervention area A), inclusive protected area management (intervention area B) and sustainable income sources (intervention area D). The distribution of resources among these outputs (30% each for intervention areas A and B; 18% for intervention area D) reflects the main focus on protected area management and related indigenous practices, which is fully in line with the overall strategic orientation of the COSERAM programme. From a conceptual point of view, 22% of the budget assigned to the national upscaling of innovations (intervention area C) are also considered a reasonable investment in increasing the potential for multiplier effects and thus, maximising cost-effectiveness. In practice, however, the uptake from the regional to the national level has been challenging. As discussed under the effectiveness criterion, results have been ambiguous despite the achievement of the indicator, and the contribution of the national level to the overall cost-effectiveness of the programme will depend on partly uncertain future dissemination processes rather than on the mere count of project recommendations considered in national strategies and regulations. See the assessment of module objective indicator 4 in section 4.3 for the discussion of results.

The horizontal scaling-up or replication from region XIII to region X and XI was very efficiency driven, primarily because of the limited time that was available (about 2 years for region X and about 1 year for region XI). While the available data does not allow for a comparison of resources used for the different regions, the results in regions X and XI were remarkable taking into account the short time frame. One example is the finalisation of the Regional Peacebuilding and Development Agenda Framework for region X.

For both modules, the potential for **synergies and/or leverage of resources through cooperation with other development projects or organisations** was limited since only few international development partners (DPs) are active in the geographic area of the COSERAM programme. At the beginning of the implementation period, a mapping of DPs and their projects was carried out to identify partners and topics for coordination and cooperation. However, since most international DPs concentrate on the Muslim parts of Mindanao (i.e. other areas outside the COSERAM-supported regions), there were very few interfaces at the operational level and donor cooperation mostly focused on the exchange of experiences at the national level.

For module 2, the project had identified three coordination processes with other DPs, namely with the Centre for Biodiversity of the (ACB), the International Institute for Environment and Development (IIED) and the United States Agency for International Development (USAID).

- The ACB serves as the secretariat of the Heritage Parks Programme of the Association of Southeast Asian Nations (ASEAN) and therefore plays a key role in coordinating the applications of new sites.

Coordination processes with IP4Biodiv have taken place since the module supported the application of Agusan Marsh, which was approved as an ASEAN Heritage Park in 2018. Under cost-effectiveness considerations, this recognition may facilitate the acquisition of international funds for the conservation of the area and thus, create considerable leverage. At the time of the evaluation, however, it is not possible to forecast the probability and potential quantitative dimension of future third-party funds.

- Coordination with IIED took place via the working group on biodiversity of GIZ's Sector Network Natural Resources and Rural Development and focused on the use of the IIED methodology for the analysis of protected area governance processes and structures in the IP4Biodiv context.
- The only development partner that coincided thematically and geographically with IP4Biodiv was USAID with the project B+WISER (Biodiversity and Watersheds Improved for Stronger Economy and Ecosystem Resilience) which also supported activities for the enhancement of environment and natural resource management including in the protected areas of Mount Apo Natural Park and Mount Kintanglad Range Natural Park. A cooperation took place regarding the national upscaling of digital tools for biodiversity monitoring, which were developed by the B+WISER project and locally customised and adopted for the supported protected areas by the IP4Biodiv module, including the training of the local conservation groups.

All in all, coordination processes with other DPs in the IP4Biodiv module were focused on very specific topics and therefore, of minor strategic importance. Conversely, the evaluation did not identify missed potentials and, thus, did not observe any related efficiency losses.

The programme's coordination efforts focused mainly on the German development cooperation, in particular the Civil Peace Service and projects funded by the BMUB: 'Protected area management enhancement in the Philippines' (PN 2012.9002.2, duration from 2012 to 2017, supported by the Ministry of the Environment/BMUB), 'Preparation of a national REDD+ mechanism for greenhouse gas reduction and conservation of biodiversity in the Philippines' (PN 2012.9022.0, 2012 to 2017, BMUB) and 'Protection of biological diversity in the ASEAN Member States' (2015 to 2019, BMZ). Later it also extended to the new BMZ project 'Strengthening capacities on conflict-induced forced displacement in Mindanao'. The exchange of experiences and application of concepts and approaches developed by COSERAM was at the centre of the cooperation between the different German development projects.

None of these projects intervened in Mindanao so that there were no potentials for cooperating at an operational level. Coordination processes were therefore limited to sharing experiences on thematic areas of mutual interest. Thus, cooperation with German green sector projects was of little importance for the implementation processes of IP4Biodiv, but occasionally relevant as a channel to disseminate practical experiences to be applied in other contexts. The protected area management enhancement project, for example, incorporated methodological elements for the inclusion of indigenous groups in protected area management into its own methodological approach. Overall, as for the synergies with international DPs, coordination with German green sector projects did not play a significant role for enhancing the cost-effectiveness, nor did the module miss any identified potentials (i.e. no efficiency losses have been identified during the evaluation).

In summary, the flexible and opportunity-driven way in which both modules allocated resources among the outputs (and occasionally even among modules) was appropriate for the kind of programme and the context to maximise the outcome with the given resources. The distribution of resources among the outputs or thematic areas was well balanced. During the expansion to regions X and XI, interventions were also selected under efficiency criteria, although the focus was more on the anticipated cost-effectiveness of single interventions than on synergies through cohesive packages. Again, this was more relevant for module 1 than for module 2 due to the different geographical focus. Since dissemination of results outside the project area is still limited, it does not add value to the cost-effectiveness of both modules. Only a few potentials for cooperation with other DPs existed with occasional synergies mostly emerging within the scope of IP4Biodiv (e.g. with ACB, IIEB, USAID) **(rating for module 1: 26 of 30, rating for module 2: 27 of 30)**

Module 1 (COSERAM)		
Criterion	Assessment dimension	Score and rating
Efficiency	The project's use of resources is appropriate with regard to the outputs achieved. [Production efficiency]	57 out of 70 points
	The project's use of resources is appropriate with regard to achieving the projects objective (outcome). [Allocation efficiency]	26 out of 30 points
Overall score and rating		Score: 83 out of 100 points Rating: successful

Module 2 (IP4Biodiv)		
Criterion	Assessment dimension	Score and rating
Efficiency	The project's use of resources is appropriate with regard to the outputs achieved. [Production efficiency]	63 out of 70 points
	The project's use of resources is appropriate with regard to achieving the projects objective (outcome). [Allocation efficiency]	27 out of 30 points
Overall score and rating		Score: 90 out of 100 points Rating: successful

4.6 Sustainability

Evaluation basis and design for assessing sustainability

The evaluation dimensions of the sustainability criterion are (a) the extent to which results are anchored in partner structures; and (b) a forecast of the durability of results.

Regarding the degree to which results are anchored in partner structures (Evaluation dimension 1), several intended results of the programme were anticipated and assessed during the evaluation, in particular (i) the institutionalisation of the developed methodologies and approaches; (ii) the quality and durability of the supported cooperation structures; and (iii) the extent to which resources and capacities are available to ensure

the continuation of results achieved. The forecast of the results durability (Evaluation dimension 2) is the core dimension of the sustainability criterion. It refers to the results that have been identified under the effectiveness and the impact criterion, and focuses on the extent to which the results are stable and resilient under the given conditions.

The data collection methods for sustainability did not differ from those described in sections 4.2 and 4.3, since questions related to the integration of results in the partner structure and the forecast of durability overlap with the results assessments. Discussing potential drivers, obstacles and risks for sustainability with project stakeholders allowed for reasonable assumptions regarding the stability and resilience of achieved results.

Assessment of sustainability

To anchor results in the partner structure, the methodological approaches of both modules considered capacity development measures at all levels (i.e. individuals, organisations, networks and institutions) and with multiple stakeholders. The programme invested significant efforts in building ownership and strengthening communication, coordination and cooperation structures between the partner agencies. A key element was the design of the steering structure with national and regional steering committees as a space for continuous dialogue and coordination. Through technical working groups, it involved the partner agencies closely in the planning and monitoring of all major interventions. The presence of GIZ as a neutral broker and successful cooperation experiences helped to overcome the previous 'silo mentality' and contributed to creating functional working relationships (P13-COS, P10-COS). According to the interviewed partners, their ability to further consolidate and upscale the programme results will very much depend on how much the improved dialogue capacity and working relationships can be maintained. Two key challenges were repeatedly mentioned: (1) concerns of how or who will fill or replace the GIZ as neutral, third-party facilitator bringing together different, conflicting stakeholders; and (2) resource-related bottlenecks regarding the costs of maintaining routine dialogue and coordination processes. As mentioned in section 4.3 (effectiveness), some interviewees expressed the concern, that the termination of the programme might leave a 'coordination vacuum' if not explicitly addressed by the partners involved in the steering of the project (see GIZ-COSERAM 2015a). Interestingly, this was already identified as a key challenge during the predecessor (see section 4.1). Still, most partners at the regional level assume that working relationships and routines have been institutionalised to an extent that they will persist beyond the end of the programme term (P13-COS, P10-COS).

Some partners were more sceptical regarding the vertical coordination between the regional and national level (PN-COS, PN-M2, PR10-COS). First, the end of the programme coincided with structural changes in the partner system, namely a restructuring of OPAPP and the integration of NCIP into Department of Social Welfare and Development. This implies that they are losing some of their previous autonomy (Int-GIZ). Second, while information on COSERAM activities and/or good practices has reached the national level through the existing steering structure, the depth of substantive programme knowledge among steering group participants has already reduced during the programme term (e.g. due to changes of personnel). In addition, representatives of DENR, as key partner of module 2, pointed out that a much-needed project management office (expected to be defined in the missing implementation agreement) was not created. This led to a vacuum with regard to consolidating regional project experiences and elevating them to the national level. Interviewees further expressed the feeling that the representation of the partner agencies in the national steering committee was not as strategic as desired, thus limiting the capacity to meaningfully contribute to the programme-related dialogue and to disseminate results within the agencies (PN-M2). Without an external convener such as GIZ, it might well be that the link between the national and the regional level may be further weakened.

The preparation of an **exit strategy** started in 2017 when each region started formulating sustainability plans to create the conditions for the continuation of the achieved results after the end of the programme term. They also defined specific work packages and budgetary responsibilities of involved stakeholders such as line agencies and LGUs. In parallel, the modules internally prepared exit strategies for each work process (see GIZ-COSERAM 2017a and GIZ-IP4Biodiv 2017a).

Regarding the anchoring of specific results in the partner structure, the assessment has to consider the capacity development measures for each module and for specific intervention areas.

In module 1, sustainability in the different intervention areas differed. The continuation of the regional peace agendas seemed to be well on track at the time of the evaluation mission. Most partners underlined that they now have the necessary capacities and that the necessary processes are in place. They were confident that activities will continue as part of the regional planning and coordination mechanisms, in particular the Regional Development Councils and the Regional Peace and Order Councils. In region XIII, the implementation of the Caraga roadmap through the planned Peace and Development Zones (PDZ) had started and the drafting of the selection criteria for the PDZs had taken place without the support of COSERAM (PR13-COS). In region X, meetings also continued with cost-sharing schemes in place. The partners in region X also underlined that the close integration of the RPBDA into the regional development plan as an indicator for the sustainability of the effort. It is planned that the implementation of the RPBDA will start in the so-called convergence areas, in particular the Kalabugao Plains Convergence initiative (PR13-COS, PR10-COS). In addition in region X, through its collaboration with the local university, COSERAM helped to build up experiences and capacities outside the government that partner institutions can continue to draw on if necessary (ACA-M1). However, recent policy developments will continue to affect the sustainability, in particular the new Executive Order 70 'National Task Force to End Local Communist Armed Conflict' which sets out a 'whole-of-nation approach' to attain 'inclusive and sustainable peace' in the country and address the root causes of the armed conflict. While the partners saw the Executive Order 70 as an opportunity to implement the regional peace agendas for example through additional funds and more support, GIZ staff and other development partners were concerned that it would mean taking away decision-making power from LGUs and an even stronger focus on militarised approaches to the insurgency. The sustainability of CSPP is less clear than the regional peace agendas. While the trainings and the manual did lead in some cases to improved plans, it was less clear how capacity development and planning efforts will continue. The interviewed regional planning offices and LGUs all shared concerns that they do not feel like they can continue using the CSPP approach without support from COSERAM. They pointed to lacking technical capacities and funds as key challenges and risks. Also, a national-level directive, making CSPP a mandatory approach, would not solve these problems without more resources for capacity development and the implementation of the planning processes (PR13-COS, PL13-M1, PL10-M1).

Regarding KP enhancement, it was hard to assess the sustainability of the efforts. While some partners underlined that the training of DILG staff will continue as part of their annual training efforts, others pointed to challenges in terms of funds and personnel to continue rolling the trainings out to the different barangays. During one interview, barangay representatives described that they were facing challenges with new barangay board members not having received the same capacity building and dealing with the problem by pairing old members, who had received training, with new (PR13-COS, PL13-M1, PL10-M1).

Regarding the (para)legal support as part of the CS- and ULAP, the evaluation team was only able to conduct interviews with FSUU. The support of ULAP for IP had continued after COSERAM stopped its support and IP communities were still approaching ULAP. The interviews also clearly showed that the conflict-sensitive approach was very well anchored in the institution. The law department is seeing it as a core feature and unique selling point of their institution. One key success factor that was underlined by FSUU staff was that COSERAM made it very clear from the beginning that their support will end, and they included capacity development measures on proposal writing. This led, for example, to a partnership with the Asia Foundation (PR13-M1).

Across interviews, partners expressed concerns in terms of sustainability regarding JAO. It seems that the relationships and cooperation mechanisms did not institutionalise to the degree that makes a continued functioning likely. This was observed in regions X and XIII where interviewees underlined that it is very difficult now to convene the four agencies and that no meetings had taken place since COSERAM stopped its support. Interview partners identified as key challenges and risks the lack of a neutral convenor and lacking resources and capacities to organise the meetings, participate in them and prepare the necessary documents and data

that is needed to develop consolidated land-use maps. There were also concerns of what will happen when new representatives join JAO who haven't received the same capacity development as current members (PR13-COS, PR10-M2).

In module 2, the sustainability of achieved results will widely depend on the functionality of the Mindanao PAMB network and the PAMBs of the project-supported protected areas. As the multi-sectoral decision-making bodies responsible for ensuring the management of protected areas, they are the owner of the biodiversity and law enforcement system and they provide the space for the harmonisation of land-use plans in protected areas including the integration of livelihood and sustainable business activities.

All involved stakeholders acknowledge a significant improvement of the PAMBs organisational capacity, evolving from an inert state (rare meetings, weak representation of members, difficulties to achieve quorum, unorganised processes) to an effectively functioning entity in the three supported protected areas (see section 4.5). The support of the formulation (Agusan Marsh) or adaptation (Mount Apo) of manuals of operations helped to establish functional relation among PAMBs, local governments and indigenous communities. Where possible, capacity development measures were carried out by supporting local/regional providers to create sustainable support structures beyond the end of the project term. For example, the Bukidnon State University (BukSU) was assigned to carry out governance assessments in the three supported protected areas. Beyond the project process (230 involved representatives of local governments, line agencies and IPs), BukSU systematised the methodology and learning experiences and is ready to provide further assistance to PAMBs. BukSU representatives report that several PAMBs in Mindanao have expressed interest in carrying out participatory governance assessments (ACA-M2) though there are no clear expectations regarding the extent to which expressions of interest will translate into an effective demand. At the regional level, BukSU and the Mindanao PAMB network have established a long-term relationship, with BukSU acting as the network's secretariat.

The network has been institutionalised by a resolution of the five DENR regional directors which includes the allocation of budgets to finance the annual PAMB Network Conference (PR13-COS, PL13-M2). At the time of the evaluation, three of the five regions are contributing to the network operation. Additionally, sponsorships from other network partners shall be mobilised (PR13-COS). Interviewed partners do not expect resource-related bottlenecks at least for the Mindanao PAMB Forum. This was planned to be held every other year but eventually became an annual activity (hence, three forums have been held, one is being prepared for this year).

Still, the frequent change of barangay and municipal leadership, due to the existing election cycles, was reported as a risk towards continued effectiveness of the PAMBs. According to local community members, newly elected officials need guidance on their functions as members of the PAMB and confidence regarding the availability of continuous support measures is limited (PL13-M2). Another risk mentioned by AMWS-PAMB stakeholders is that new regulations for the PAMB membership under the enhanced NIPAS law seem not to be fully compatible with the PAMB's current manual of operations and cannot be addressed since the Implementing Rules and Regulations of the law are not yet available (PR13-M2).

The PAMB performance will be an important factor for the sustainability of the law enforcement mechanisms in the protected areas and for the continuity of the biodiversity monitoring system for the Agusan Marsh. Another key factor for the sustainability of this outcome is the extent to which the local conservation groups, the Bantay Danao, are able to continue performing their functions. Capacity development measures were directed towards the individual capacities (biodiversity monitoring training, paralegal training, conflict management) of their members and structuring their relationship with DENR, PAMBs and local governments. Focus groups with local conservation group members showed that they are confident regarding their job competence and future commitment, and workflows are sufficiently consolidated to ensure continuity. Nevertheless, they also highlight several internal and external risk factors. During the project term, it was a major success and anticipated sustainability factor that honoraria were provided by provincial or municipal governments, but no funds were designated to this end at the time of the evaluation mission. The volunteers felt strongly that they deserve to

get at least an allowance for their work, but they reported that at the time of the evaluation mission, except for one barangay represented in the focus groups, they were no longer receiving any financial compensation. Whereas current members were continuing their volunteer work for their sense of ownership, it is a challenge to find successors and constantly keeping the numbers of volunteers stable at the mid- and long term (B13-M2). DENR representatives anticipated that the enhanced NIPAS law might offer a solution since it contains provisions for additional protected area related staff in the regional DENR offices and positions could be proposed for park rangers and other less technical positions for the involved community members (PR13-M2).

Regarding the livelihood initiatives, section 4.3 (effectiveness) has shown that there are both profitable success cases for environmentally friendly income-generating activities as well as experiences of probably unsustainable economic activities. In 2017, to increase the sustainability, the project stepped beyond livelihood support and took a conceptual shift towards a more systemic approach of inclusive business support. Beyond the results-oriented implementation activities (e.g. participatory value chain analyses, market matching, social enterprise acceleration), the project partnered with the MinDA and pursued a multi-stakeholder approach that also involved other government agencies. Staff of MinDA and other agencies was trained to assure the continuity of assistance to businesses in ancestral domains (PR10-COS, see also GIZ-COSERAM 2018k). The data gathered during the field mission does not allow for a forecast on the continuity of inclusive business support through MinDA, but representatives of the organisation expressed their commitment with the approach and the willingness to further develop and extend the activities implemented through IP4Biodiv. On the other, there were also critical remarks regarding the short time since 2017 which leaves the process not fully consolidated and therefore facing sustainability risks (PR13-COS).

The abovementioned aspects relating to the programme level (e.g. to the role of the steering committees and the exit strategy formulation) apply for both modules.

For module 1, the sustainability of the capacity development efforts in the different intervention areas varies. The results seemed to be most anchored regarding the regional peace agendas and the (para)legal support provided by CS- and ULAP. Regarding CSPP – KP enhancement – JAO partners shared concerns mainly because of lacking capacities and funds. Although COSERAM put in a lot of effort developing exit strategies with the partners, it seemed that these efforts have only partly worked. The anchoring of the results in the partner structure was particularly challenging on the LGU level **(35 of 50 points)**.

These findings also determine the forecast of results: the forecast for the regional peace agendas and CS- and ULAP is largely positive. Regarding CSPP – the manual – the positive experiences and a national directive might together provide some momentum, but without additional capacities and resources most LGUs will probably not be able to implement it properly in the future. For the KP enhancement, one cannot forecast the durability based on the available data. For JAO the forecast is mainly negative, and it seems unlikely that it will continue functioning without external support **(35 of 50 points)**.

For module 2, a specific key factor for the anchoring of results in the partner structure has been the strengthening of the PAMBs and the institutionalisation of the Mindanao PAMB network. Capacity development strategies in specific thematic areas (biodiversity monitoring, law enforcement, livelihood/inclusive business) comprehensively considered the individuals' training needs, the organisational strengthening of key partners and the support to multi-stakeholder networks. Altogether the achieved capacity development, the anchoring of results in the partner structure and the exit strategy have been successful **(44 of 50 points)**.

Module 1 (COSERAM)		
Criterion	Assessment dimension	Score and rating
Sustainability	Prerequisite for ensuring the long-term success of the project: Results are anchored in (partner) structures	35 out of 50 points
	Forecast of durability: Results of the project are permanent, stable and long-term resilient	35 out of 50 points
Overall score and rating		Score: 70 out of 100 points Rating: rather successful

Module 2 (IP4Biodiv)		
Criterion	Assessment dimension	Score and rating
Sustainability	Prerequisite for ensuring the long-term success of the project: Results are anchored in (partner) structures.	44 out of 50 points
	Forecast of durability: Results of the project are permanent, stable and long-term resilient.	40 out of 50 points
Overall score and rating		Score: 84 out of 100 points Rating: successful

These contributions widely determine the forecast of durability of results as described above. The Mindanao PAMB network and the existing support structures provide a positive environment for the continuation of improved protected area management. The biodiversity monitoring and law enforcement are consolidated, but to a certain extent exposed to resource-related challenges. Regarding the livelihood support, there are success stories and cases with a critical sustainability. Altogether the forecast for the durability of results is still moderately positive (**40 of 50 points**).

4.7 Key results and overall rating

Relevance

Both modules equally align well with the strategic reference frameworks at all levels (national and regional policies and strategies, international standards, and German development cooperation strategies) (**rating module 1: 30 of 30 points, rating module 2: 30 of 30 points**).

The strategies of both modules are generally well designed to address the core problems/needs of the target groups. In module 1 a number of conflict drivers and the needs of conflict-affected, poor and marginalised populations were addressed directly in the module objective, the definition of the core problem, and the different intervention areas. Gender aspects are mentioned in the project documents and context analysis, but without further elaborating what gender dynamics and issues are specifically relevant. However, the project tried to fill this gap during its implementation (**rating: 26 out of 30 points**). In the IP4Biodiv module, the needs and capacities of indigenous people are considered in depth; though the cross-cutting operationalisation of gender sensitivity has been challenging, specific contributions to more equal opportunities for income generation were made by the livelihood component (**rating: 26 out of 30 points**).

All in all, the objective of module 1 was realistic but too narrowly defined. Module 1 reacted flexibly to peacebuilding needs, and arising opportunities ensured the continued relevance of the project. This flexibility was a key success factor (**rating: 16 out of 20 points**). The objective of module 2 was realistic and the methodological approach adequately responded to the objective. Unprecise initial assumptions regarding the ecological friendliness of indigenous practices and the replicability of methodological approaches were reflected and adjusted by the project management (**rating: 17 out of 20 points**).

The overall concept and approach of module 1 was not put into question by the changes in the context. If anything, the Marawi crisis confirmed the soundness of the selected approaches as exemplified by the extending the support to MinDA. The changes did, however, impact the efficiency and effectiveness of the project, for example by delaying decisions, restricting movements, and having to find new implementation modalities (**rating: 20 out of 20 points**). The concept of module 2, on the other hand, was not significantly challenged by changes of external framework conditions but reacted to critical assessments of ongoing interventions. Outputs were added or enhanced in a pertinent manner, though in one case (inclusive business) at a later stage, thus challenging the timely consolidation of results (**rating: 18 out of 20 points**).

Effectiveness

For module 1 (COSERAM), three of the four module indicators were achieved within the project time frame. Only two thirds of indicator 3 was achieved (160 instead of 240 communities); however, it is likely that the number of barangays receiving support was higher (**34 of 40 points**). The general weaknesses of these indicators in terms of their quality and the cross-cutting nature of the indicators make it hard to clearly assign them to specific components of the project and thus limit their ability to clearly reflect the results.

For module 2 (IP4Biodiv), two module objective indicators were overachieved (M1 and M2 regarding the implementation of conflict-sensitive management approaches and the functioning of the biodiversity monitoring system). One indicator achieved its quantitative target, while a qualitative analysis presents a more heterogeneous picture regarding the consolidation of the results (M3 regarding livelihood initiatives). One indicator was achieved in a quantitative sense, with potential for a further increase in the near future, but with partners pointing at unused potentials, (M4 regarding vertical upscaling). All in all, the critical aspects are clearly outweighed by the high degree of indicator achievement (**38 of 40 points**).

All results hypotheses could be confirmed:

1. For both modules the findings clearly confirm that the tools and approaches used by COSERAM worked and strengthened the capacities to lead more constructive and inclusive dialogues and

contributed to improving relationships. The improvements in terms of capacities to lead constructive and inclusive dialogues were also illustrated by a number of examples of conflicts that were given as part of the interviews during the evaluation mission, which could be resolved as part of COSERAM – through culture-, gender- and conflict-sensitive processes by mandated bodies (LGUs and line agencies).

2. Due to the more specific thematic focus, the contribution of IP empowerment to the strengthening of participative governance structures and the recognition of IPs rights has been more evident and easier to assess in the module 2. There is sound evidence of a significant contribution of the described interventions, including feedback from beneficiary focus groups in two of the three project regions.
3. For both modules, there were a number of successful replications. One important factor was that these approaches and tools had been tested and showed to work. At the same time, activities in the three regions were often carried out in parallel, enriched by mutual exchange, instead of following a clear sequence of tested innovation and subsequent replication. Replication was not only about the dissemination of specific products, but often just as much about sharing process knowledge. Another significant success factor was the strategic selection of partners that were very committed and being very focused on the needs of the partners. However, maybe the most important factor in the replication was the extensive support in the form of funds and technical assistance. Without this support it is unlikely that the approaches and tools would have been adopted as much as they have.

The problems encountered from the change and restructuring from phase 1 to phase 2 somewhat hindered the expansion of COSERAM beyond region XIII. For the first 2 years, COSERAM put a lot of energy and resources into overcoming the structural and management challenges related to the tendency of disconnected core processes; some of the knowledge products and experiences were not ready for replication as expected in a recipe-like format. This focus on the internal structures and management was necessary, but also meant that the time frame for the replication in the region X was limited to about 2 years and in region XI to about 1 year. With this in mind, COSERAM achieved remarkable results, rated with **24 of 30 points for module 1**. Due to the more focused contribution of IP empowerment to inclusive governance structures, **module 2** is rated slightly higher with **26 of 30 points**.

No unintended negative impacts could be identified. COSERAM had a comprehensive conflict-sensitive M&E and risks management system that provided them with a systematic context and risk monitoring. Furthermore, significant unintended positive impacts were identified for each module (**module 1 and 2: 30 of 30 points**).

Impact

COSERAM applied a broad definition of conflicts peacefully addressed that included three elements: (1) the conflict was identified and described; (2) it was jointly addressed; and (3) it moved towards resolution (not necessarily resolved which in the case of structural conflicts is not considered a realistic objective). Applying this definition, both modules had contributed to address 56 potentially violent land rights and use conflicts: module 1 with 43 addressed conflicts, module 2 with 13 (see monitoring sheets of COSERAM). In module 1, this included nine conflicts that were addressed through CSPP, three conflicts addressed through PBDN (regional peace agenda processes and the support for the Kalabugao Plains Convergence Initiative and Gingoog Bay Alliance), 20 conflict lines in ancestral domains in the whole of Mindanao, 11 conflicts as part of LAPSRA (legal and paralegal assistance and JAO). Module 2, under its focus on protected areas, contributed to addressing two boundary conflicts, seven planning issues in areas with overlapping claims, three specific resource-use-related issues (e.g. water resources), and one conflict related to the investment-driven de-establishment of a protected area (monitoring data). The programme thus overachieved its programme indicator (**module 1 and 2: 40 of 40 points**)

Both results hypotheses could be confirmed:

1. Across both modules and their interventions areas almost all interview partners confirmed that the

dialogue processes of COSERAM modules 1 and 2 were constructive and inclusive. As a result, they contributed to better relationships between conflicting actors and improved the perception of each other. For module 1, this was evident in region XIII and X for CSPP, the regional peace agenda processes and JAO. For module 2, in Agusan Marsh, the evaluation mission was able to involve the entire cascade of PAMB stakeholders in interviews or focus groups and all confirmed that communication, mutual understanding and conflict resolution capacities had improved as a result of the project.

2. It was also confirmed that more constructive/inclusive dialogue in combination with the empowerment of marginalised groups led to better governance in the form of improved plans that better reflect the needs of local communities, e.g. through infrastructure and improved service delivery. It also contributed to conflict transformation, as shown by programme indicator 1 which names a number of conflicts being addressed through the improved processes and assistance for IP communities.

The impacts of the programme were also a function of the lengths and depth of the engagement (with region XIII showing the clearest impacts, region X showing some impacts, and region XI not showing any impacts). However, it has to be underlined that due to limitations in terms of time and resources available, for region XI only a very small number of interviews could be conducted. In conclusion, this impact dimension was very successful, but it could have been more successful if implementation in the region X and XI would have started earlier (**module 1 and 2: 27 of 30**).

No unintended negative or positive results could be identified at the impact level. This was also the case for negative trade-offs. On the contrary, COSERAM modules 1 and 2 used the positive synergies and co-benefits between the ecological, economic and social dimensions of sustainability. Peacebuilding, trust and relationship building between actors (social dimension) were specifically used to improve natural resource and biodiversity management (ecological dimensions) while also supporting livelihoods activities (economic dimension). The conflict-sensitive M&E and risk management system described included risks at the impact level and appropriate measures were taken to address them **30 of 30 points** (for both modules).

Efficiency

Overall, the assessment of the production efficiency is positive for both modules. Regarding the implementation of the methodological approach, no cost-related constraints were identified. The formalised continuous reflection process allowed for optimising implementation processes in the sense of the maximum principle. Challenges emerged because of the complexity of the programme, such as the difficulty to find a team set-up without frictional losses (particularly relevant for module 1) and to systematise replicable products for the expansion to region X and XI (relevant for both modules). Whereas the context of module 1 did not allow for implementing a comprehensive (presumably more efficient) area-based approach, the geographic focalisation of module 2 implied efficiency gains (**rating for module 1: 57 of 70, rating for module 2: 62 of 70**).

In summary, the flexible and opportunity-driven way in which both modules allocated resources among the outputs (and occasionally even among modules) was appropriate for the kind of programme and the context to maximise the outcome with the given resources. The distribution of resources among the outputs or thematic areas was well balanced. During the expansion to regions X and XI, interventions were also selected under efficiency criteria, although the focus was more on the anticipated cost-effectiveness of single interventions than on synergies through cohesive packages. Again, this was more relevant for module 1 than for module 2 due to the different geographical focus. Since dissemination of results outside the project area is still limited, it does not add value to the cost-effectiveness of both modules. Only a few potentials for cooperation with other DPs existed with occasional synergies mostly emerging within the scope of IP4Biodiv (e.g. with ACB, IIEB, USAID) (**rating for module 1: 26 of 30; rating for module 2: 27 of 30**).

Sustainability

For module 1, the sustainability of the capacity development efforts in the intervention areas varies. The results seemed to be most anchored regarding the regional peace agendas and the (para)legal support provided by CS- and ULAP. Regarding CSPP – KP enhancement – JAO partners shared concerns mainly because of lacking capacities and funds. Although COSERAM put a lot of effort into developing exit strategies with the partners, it seemed that these efforts have only partly worked. The anchoring of the results in the partner structure was particularly challenging at the LGU level **(35 of 50 points)**.

These findings also determine the forecast of results: the forecast for the regional peace agendas and CS- and ULAP is largely positive. Regarding CSPP – the manual – the positive experiences and a national directive might together provide some momentum, but without additional capacities and resources most LGUs will probably not be able to implement it properly in the future. For the KP enhancement, it is not possible to forecast the durability based on the available data. For JAO the forecast is mainly negative, and it seems unlikely that it will continue functioning without external support **(35 of 50 points)**.

For module 2, a specific key factor for the anchoring of results in the partner structure has been the strengthening of the PAMBs and the institutionalisation of the Mindanao PAMB network. Capacity development strategies in specific thematic areas (biodiversity monitoring, law enforcement, livelihood/inclusive business) considered training needs of individuals, organisational strengthening of key partners and the support to multi-stakeholder networks. Altogether the achieved capacity development, the anchoring of results in the partner structure and the exit strategy have been successful **(44 of 50 points)**.

These contributions widely determine the forecast of durability of results as described above. The Mindanao PAMB network and the existing support structures provide a positive environment for the continuation of improved protected area management. The biodiversity monitoring and law enforcement are consolidated, but to a certain extent exposed to resource-related challenges. Regarding livelihood support, there are success stories and cases with critical sustainability. Altogether the forecast for the durability of results is still moderately positive **(40 of 50 points)**

Table 12: Overall rating

Module 1 (COSERAM)		
Criterion	Score	Rating
Relevance	92 points	Level 1 – very successful
Effectiveness	90 points	Level 2 – successful
Impact	91 points	Level 2 – successful
Efficiency	83 points	Level 2 – successful
Sustainability	70 points	Level 3 – rather successful
Overall score and rating for all criteria	84.8 points	Level 2 – successful

Module 2 (IP4Biodiv)		
Criterion	Score	Rating
Relevance	92 points	Level 1 – very successful
Effectiveness	94 points	Level 1 – very successful
Impact	91 points	Level 2 – successful
Efficiency	90 points	Level 2 – successful
Sustainability	84 points	Level 2 – successful
Overall score and rating for all criteria	Max. 90.2 points	Level 2 – successful
100-point-scale (score)	6-level-scale (rating)	
92-100	Level 1 = very successful	
81-91	Level 2 = successful	
67-80	Level 3 = rather successful	
50-66	Level 4 = rather unsatisfactory	
30-49	Level 5 = unsatisfactory	
0-29	Level 6 = very unsatisfactory	

5 Conclusions and recommendations

5.1 Factors of success or failure

One key success of COSERAM was that it **built on pre-existing agendas, strategies, initiatives and approaches**. CSPP, JAO, KP enhancement, and ULAP were all existing before and taken on by COSERAM. This approach was also an integral part in the upscaling and replication strategies beyond region XIII. For example, in region X COSERAM mainstreamed its approaches into existing processes at the regional and local levels; for example, the Kalapagao Plains Convergence Initiative and the Gingoog Bay Alliance. This approach allowed COSERAM to achieve remarkable results in a very short time frame, and it was highly valued by the partners since it meant that no new structures and institutions were created.

For this approach to work, COSERAM needed to **align closely with its partners needs and be flexible and opportunity-driven**, which was underlined by all partners as being a key success factor for COSERAM. It also shows the strong cooperation management and steering processes of COSERAM. Both built upon clear communication of COSERAM on what they can offer and subsequent efforts to show how COSERAM's

activities contribute to the targets, plans and monitoring of the partner institutions. The steering structure was particularly important in this regard was, especially at the regional level, which partners described as unique and 'hitting the right formula' (Int_with_PN-COS, PR13-COS, PR10-COS). The flexible approach also meant that in module 1, COSERAM went beyond its more narrowly defined objective; the support to MinDA in the aftermath of the Marawi crisis was given as an example. From a peacebuilding perspective this approach reflected best practices in the field that underline the utility of being able to flexibly react to changes in the context and use peacebuilding opportunities as they arise.

The **cross-sectoral nature of the programme** linking peacebuilding, biodiversity and natural resource management and governance was another key success factor in this regard. It allowed the programme to flexibly respond to different requests and led to significant co-benefits and synergies. The opposite strategy would have been a stricter sectoral and thematic focus. The new projects following in the footsteps of COSERAM, which are much more focused on certain elements of COSERAM, might be able to show whether this approach will be more effective in terms of peacebuilding or not.

The flexible and opportunity-driven approach allowed focusing on **stakeholders that were committed** and on those processes that showed potential for upscaling or further improvement. For example, many interviewees underlined that in region XIII the relationships between government agencies were good before COSERAM arrived, which provided a good starting point for further improvements (Int_with_PR10-COS). Partners further underlined the importance of committed leadership to address conflicts and the confluence of interests between the partners and COSERAM (Int_with_PR13-COS). In addition, the Marawi crisis was mentioned by some partners as having increased commitment by showing the salience of the conflict potential in Mindanao (Int_with_PN-COS, PR10-COS).

Building on these success factors COSERAM took over the role as **neutral convenor and catalyst**. All partners underlined the importance of having COSERAM as a neutral facilitator that built confidence and trust among stakeholders. They described the staff and approach of COSERAM as being very sensitive and diplomatic and often providing a much-needed outside perspective.

Together with its **technical know-how of COSERAM staff and additional funds**, which were also identified as important success factors by the partners, it allowed COSERAM to use existing approaches, processes and initiatives and act as a catalyst, often pushing them to the next level (Int_with_PR13-COS). One weakness that partners identified in the support provided by COSERAM were the financing mechanisms and overly complex GIZ processes that led to delays and needed a lot of resources and time.

The **strong internal and external focus on well-established and tested peacebuilding approaches and tools** (including the strong focus on facilitation and mediation, conflict sensitivity, do-no-harm and conflict analysis tools) was very effective. All partners underlined how these approaches and tools changed the way they worked, their view of the conflict and other stakeholders and helped transform conflicts and relationships.

The **multi-level approach, in particular the focus on the local (LGU) level**, was underlined by many as another important success factor. However, as the analysis above has shown (see section 4.3 and 4.6) the results at the local level were the hardest to achieve, and this is where concerns regarding the sustainability of the interventions are biggest. At the same time, the Philippines is a highly decentralised country with devolved decision-making, and the conflicts that COSERAM tried to address are very local in nature and emanate to a large degree from local governance challenges. In general, there is a trade-off between the breadth and the depth of engagement, meaning that a programme or project has to decide how much effort it puts on achieving results at the local level and/or the meso or national level. Any programme and project in the Philippines has to find its own balance or formula in this regard.

While it is not possible for the evaluation team to conclusively assess if the formula or balance COSERAM chose was the most effective, we can point towards **one strategy that might have led to better results**: a stronger focus on combining interventions across modules and intervention areas on the same geographic area. This might have also led to even more synergies and co-benefits across thematic areas. The programme tried to do that but was only partly successful since neither organisation by activity clusters (predecessor) nor

the by core processes (current programme) could overcome the division into 'islands' or 'silos'. To some extent, the introduction of the so-called regional tandems, which added a geographical perspective to the thematic core process, mitigated this tendency.

Most of the programme's success factors were directly linked to the **management of the programme**. This includes the flexibility and opportunity-driven approach and the willingness of the management to go beyond the original programme design and use opportunities as they opened up. As outlined above, this strategic approach did not lead to less strategic focus but allowed the project to maximise its peacebuilding impacts. The efforts of the management to overcome the structural flaws inherited from the predecessor and the focus on internal reflection and learning were also an important success factor. The team composition and competencies in terms of soft skills and technical expertise (see points before) were outlined as key success factors and strengths by the partners.

5.2 Conclusions and recommendations

This evaluation confirms a number of best practices from the field of peacebuilding that might be helpful to inform future programme and project design:

1. **Flexibility is key:** Conflict contexts are very dynamic, and the effectiveness of peacebuilding relies on the ability to use opportunities as they arise. One challenge in this regard is the static results model and results matrix, particularly if they are too narrowly defined, as was the case for module 1. One challenge for future programme and project design is to design results models and indicators that fulfil the quality standards of the GIZ and BMZ, and still allow for the necessary flexibility that any successful peacebuilding programme and project needs.
2. **Focus on peacebuilding approaches and tools such as, conflict sensitivity, do-no-harm and conflict analysis:** While this might be evident and many of the tools and approaches are part of the safeguards and standard instruments of the GIZ, the implementation and use of these tools and approaches is often lacking or not comprehensive. COSERAM shows how effective these approaches are, if they are implemented comprehensively.
3. **Integrating peacebuilding, biodiversity and natural resource management, and governance can create important synergies and co-benefits:** COSERAM has shown that conflict contexts that are driven by the complex interaction between different economic, political, social and environmental drivers, can be addressed by crossing thematic and administrative silos. The power of joint (conflict) analysis that looks at a broad spectrum of risks and conflict drivers, can help actors to identify the complex root causes of conflicts and their role in addressing them. For a programme that integrates different approaches and topics, it is important to not mirror thematic silos in its organisational structure and to clarify the complementarity and synergies between different parts of the project. A geographically focused approach that focuses the different interventions in one area might be another way to maximise impact and synergies.
4. **The role of a neutral convenor is key and acts as a catalyst for action:** This role was successfully taken over by COSERAM, but it created problems in terms of sustainability since it did not manage to find another actor to take over this role. For future projects, there should be more effort from the beginning on ensuring that someone, maybe even an external local organisation, can take on that role. In addition, the GIZ could start collecting experiences from other countries on this topic and organise an exchange for example as part of the Working Community for Peace and Development (FriEnt).

Annex

Annex 1: Evaluation matrix COSERAM

	Assessment Dimension	Evaluation questions (pilot-phase, work in progress)	Evaluation indicator	Available data sources	Additional data collection	Evaluation strategy (evaluation design, method, procedure)	Expected evidence strength (narrative)
Relevance	RELEVANCE (max. 100 points)						
	The project concept* is in line with the relevant strategic reference frameworks. Max. 30 points	Which strategic reference frameworks exist for the project? (e.g. national strategies incl. national implementation strategy for 2030 agenda, regional and international strategies, sectoral, cross-sectoral change strategies, if bilateral project especially partner strategies, internal analysis frameworks e.g. safeguards and gender**)	(1) The methodological approach is consistent with the strategic orientation of (a) GDC and (b) partner: - PHI: Long-term vision; National and Regional Development Plan - Regional Strategy for Asia and Strategy and Guidelines for Crisis Prevention/Conflict Resolution/Peace Building	GIZ-COSERAM 2014b, c NEDA 2011a, NEDA 2011b, 2017a, 2017b, 2017d RPOC 2016 OECD 2007, PBSB 2012 BMZ 2011, 2013, 2015 partner monitoring of COSERAM GIZ-COSERAM 2014h, 2016f, 2016g, 2017c, 2017d	PR10-COS, PR13-COS, PN-COS	Document analysis Semi-structures interviews with key informants	Contrasting the methodological approach of the project against the respective strategy documents allows for a reliable judgment on the fit into relevant strategic framework). Key stakeholders are able to situate the project concept within current strategy discussions of the partner country.
		To what extent is the project concept in line with the relevant strategic reference frameworks?					
		Was the (conflict) context of the project adequately analyzed (key documents: (Integrated) Peace and Conflict Assessment ((I)PCA), Safeguard Conflict and Conflict Sensitivity documents)?	(2) Initial conflict analysis cover all relevant conflict dimensions related to the project				
		To what extent are the interactions (synergies/trade-offs) of the intervention with other sectors reflected in the project concept – also regarding the sustainability dimensions (ecological, economic and social)?	(3) Synergies with other sectors (specifically: biodiversity, local economic development, natural resources management) are built into the methodological approach				
		To what extent is the project concept in line with the Development Cooperation (DC) programme (If applicable), the BMZ country strategy and BMZ sectoral concepts?	(4) The approach is consistent with international standards and agreements: - Agenda 2030, SDG				
		To what extent is the project concept in line with the (national) objectives of the 2030 agenda? To which Sustainable Development Goals (SDG) is the project supposed to contribute?					
		To what extent is the project concept subsidiary to partner efforts or efforts of other relevant organisations (subsidiary and complementarity)?					
	The project concept* matches the needs of the target group(s).	To what extent is the chosen project concept geared to the core problems and needs of the target group(s)?	(1) The core problem and the methodological approach are consistent with current sector analyses:	GIZ-COSERAM 2014b, c GIZ-COSERAM	PR10-COS, PR13-COS, PN-COS	Document analysis Semi-structures interviews with key informants	Available context and conflict analysis should provide sufficient background to determine the extent to which the project

Max. 30 points	How are the different perspectives, needs and concerns of women and men represented in the project concept?	- see context and conflict analysis according to chapter 3.1	2015b, 2016a, 2017a, 2018a			concept matches the need of the target group.
	Were deescalating factors/ 'connectors' (1) (for example peace-promoting actors and institutions, structural changes, peace-promoting norms and behavior) as well as escalating factors/ 'dividers' (2) (destructive institutions, structures, norms and behavior) identified (e.g. see column I and II of PCA)? Please list these factors, 'connectors' and 'dividers'.	(2) Indigenous benefit directly from project interventions and trade-offs with interests of other stakeholders are addressed by the methodological approach	GIZ-COSERAM 2014h, 2016f, 2016g, 2017c, 2017d			
	To what extent was the project concept designed to reach particularly disadvantaged groups (LNOB principle, as foreseen in the Agenda 2030)? How were identified risks and potentials for human rights and gender aspects included into the project concept?	(3) Methodologies applied by the project pursue stakeholder sensitization for gender-specific needs.				
	Were potential (security) risks for partners, target groups, GIZ and staff identified? To what extent are the intended impacts realistic from today's perspective and the given resources (time, financial, partner capacities)?					
The project concept* is adequately designed to achieve the chosen project objective. Max. 20 points	Assessment of current results model and results hypotheses (theory of change, ToC) of actual project logic: - To what extent is the project objective realistic from today's perspective and the given resources (time, financial, partner capacities)? - To what extent are the activities, instruments and outputs adequately designed to achieve the project objective? - To what extent are the underlying results hypotheses of the project plausible? - To what extent is the chosen system boundary (sphere of responsibility) of the project (including partner) clearly defined and plausible? - Are potential influences of other donors/organisations outside of the project's sphere of responsibility adequately considered? - To what extent are the assumptions and risks for the project complete and plausible?	(1) Extent to which the results logic obeys to current quality criteria of GIZ (2) The potential effectiveness of key interventions is based on previous evidence and/or validated through the project monitoring (3) Key stakeholders of each intervention area confirm that interventions were strategically focused	GIZ-COSERAM 2014b, c GIZ-COSERAM 2015b, 2016a, 2017a, 2018a	PR13-COS, PR10-COS, PR10-M1	Document analysis Semi-structures interviews with key informants	The adaptation to the chosen goal is analysed regarding (1) its formal compliance, (2) its evidence-based foundations and (3) stakeholder perceptions. This combination of different perspectives allows for a valid evaluation judgement.
	To what extent does the strategic orientation of the project address changes in its framework conditions?					
	How is/was the complexity of the framework conditions and guidelines handled? How is/was any possible overloading dealt with and strategically focused?					
The project concept* was adapted to changes in line with requirements and re-adapted where applicable. Max. 20 points	What changes have occurred during project implementation? (e.g. local, national, international, sectoral, including state of the art of sectoral know-how)	(1) Key stakeholders confirm that the project concept has evolved according to requirements of the partner system.	GIZ-COSERAM 2015b, 2016a, 2017a, 2018a	PR13-COS, PR10-COS, PR11-COS	Document analysis Semi-structures interviews with key informants	Contrasting documented strategy adaptations with the respective perceptions of key stakeholders allows for a valid evaluation judgement.
	How were the changes dealt with regarding the project concept?					

*The 'project concept' encompasses project objective and theory of change (ToC***) with outputs, activities, instruments and results hypotheses as well as the implementation strategy (e.g. methodological approach, CD-strategy, results hypotheses)

*** Theory of Change = GIZ results model = graphic illustration and narrative results hypotheses

(1) For more details on 'connectors' see: GIZ (2007): 'Peace and Conflict Assessment (PCA). Ein methodischer Rahmen zur konflikt- und friedensbezogenen Ausrichtung von EZ-Maßnahmen', p. 55 and 135.

(2) For more details on 'dividers' see: GIZ (2007): 'Peace and Conflict Assessment (PCA). Ein methodischer Rahmen zur konflikt- und friedensbezogenen Ausrichtung von EZ-Maßnahmen', p. 135.

** In the GIZ safeguards system risks are assessed before project start regarding following aspects: gender, conflict, human rights, environment and climate. For the topics gender and human rights not only risks but also potentials are assessed. Before introducing the new safeguard system in 2016 GIZ used to examine these aspects in separate checks.

	Assessment Dimension	Evaluation questions (pilot-phase, work in progress)	Evaluation indicator	Available data sources	Additional data collection	Evaluation strategy (evaluation design, method, procedure)	Expected evidence strength (narrative)
	EFFECTIVENESS (max. 100 points)						
Effectiveness	The project achieved the objective (outcome) on time in accordance with the project objective indicators.* max. 40 points	To what extent has the agreed project objective (outcome) been achieved (or will be achieved until end of project), measured against the objective indicators? Are additional indicators needed to reflect the project objective adequately? To what extent is it foreseeable that unachieved aspects of the project objective will be achieved during the current project term? To what extent was the project able to strengthen deescalating factors/ 'connectors' (for example peace-promoting actors and institutions, structural changes, peace-promoting norms and behavior)?	Present degree of goal-attainment and anticipated degree of goal-attainment until the end of the project term for the following indicators:				

			<p><u>Indicator M1:</u> Local and regional entities implement the tested innovations on gender- and conflict-sensitive land-use and/or management of natural resources (e.g. development and implementation of land use and/or development plans, issuance of CADTs to indigenous peoples, management of public land, and management of protected areas) 21 times.</p> <p>In addition, it will be assessed if the implementation of gender- and conflict-sensitive plans has contributed to improving dialogue and inclusion of indigenous people.</p>	<p>COSERAM monitoring sheets</p> <p>GIZ-COSERAM 2015b, 2016a, 2017a, 2018a</p> <p>GIZ-COSERAM 2018c</p>	<p>PR10-M1, PR11-COS, PR13-COS, PL13-M1, PL10-M1,</p>	<p>Document analysis, secondary data analysis Peace and Order Council and Local Development Councils: semi-structured interviews (institutional partners, e.g. regional NEDA offices) and focus groups (local target groups, e.g. LGU / barangay representatives)</p>	<p>The indicator is objectively verifiable</p> <p>Medium regarding the additional information which will be based on qualitative assessment of partner institutions.</p>
			<p><u>Indicator M2:</u> 60% of 100 representatives (at least 30% women and 30% indigenous peoples) of selected local communities perceive their communities being better able to deal with land- and resource conflicts (e.g. rights- and risk awareness, participation in decision-making processes).</p>	<p>Quitoriano 2018</p>	<p>PL13-M1, B13-M1, PR10-M1, PR13-M2, PR13-COS</p>	<p>Document analysis, secondary data analysis Target group members: focus groups</p> <p>Before/After comparison; no cost-efficient solution for establishing a counterfactual</p>	<p>The indicator is objectively verifiable</p>
			<p><u>Indicator M3:</u> In 240 municipalities/barangays, the marginalized population (esp. women and indigenous peoples) has access to improved services concerning land- and resource related rights and mechanisms for conflict transformation.</p>	<p>COSERAM monitoring sheets</p> <p>GIZ-COSERAM 2015b, 2016a, 2017a, 2018a</p>	<p>Int-GIZ</p>	<p>Document analysis, secondary data analysis Target group members: focus groups</p>	<p>The indicator is objectively verifiable</p>
			<p><u>Indicator M4:</u> 4 substantial recommendations for a gender- and conflict sensitive management of natural resources, submitted to the National Steering Committee and other mandated national bodies, are incorporated in relevant bills/strategies/draft regulations by the Philippine bodies.</p>	<p>COSERAM monitoring sheets</p> <p>GIZ-COSERAM 2015b, 2016a, 2017a, 2018a</p>	<p>PR-COS</p>	<p>Document analysis, secondary data analysis Semi-structured interviews with national partners</p> <p>Project contribution to be estimated by the interviewees</p>	<p>The indicator is objectively verifiable</p>
	<p>The activities and outputs of the project contributed substantially to the project objective achievement (outcome).*</p> <p>max. 30 points</p>	<p>To what extent have the agreed project outputs been achieved (or will be achieved until end of project), measured against the output indicators? Are additional indicators needed to reflect the outputs adequately?</p> <p>How does project contribute via activities, instruments and outputs to the achievement project objective (outcome)? (contribution-analysis approach)</p> <p>Implementation strategy: Which factors in the implementation contribute successfully to or hinder the achievement of the project objective? (e.g. external factors, managerial setup of project and company, cooperation management)</p>	<p>Results Hypotheses to be assessed:</p> <p>(1) Enabling conflict- and gender-sensitive planning processes (output level) has strengthened the capacity of partners to lead constructive and inclusive dialogues in conflictive situations (outcome)</p>	<p>GIZ-COSERAM 2014b, c</p> <p>GIZ-COSERAM 2016b</p> <p>COSERAM monitoring sheets</p> <p>GIZ-COSERAM</p>	<p>P13-COS, PR13-COS, PR13-M1, PL13-M1, PR10-M1, PL10-M1, ACA-M1</p>	<p>Document analysis, secondary data analysis Semi-structured interviews with mentioned partners</p> <p>Contribution Analysis</p>	<p>Medium</p> <p>Causal factors can probably be mapped quite reliably. Interviews will probably be able to plausibly explain causal mechanisms though the intangible character of the outcome complicates further validation.</p>

		<p>What other/alternative factors contributed to the fact that the objective was achieved or not achieved?</p> <p>What would have happened without the project?</p> <p>To what extent have risks (see also Safeguards & Gender) and assumptions of the theory of change been addressed in the implementation and steering of the project?</p>	<p>(2) The empowerment of indigenous organizations and individuals and their inclusion in participative management processes (output level) strengthens participative governance structures and fosters the recognition of the rights of indigenous peoples (outcome level).</p>	<p>2015b, 2016a, 2017a, 2018a</p> <p>GIZ-COSERAM 2018c</p> <p>GIZ-COSERAM 2015e, 2016c, d</p>	<p>PR13-COS, PR10-COS, PN-COS, B10-M1, PR10-M1, PR13-M1, PL10-M1, PL13-M1, B10-M1</p>	<p>Document analysis, secondary data analysis</p> <p>Semi-structured interviews with mentioned partners, possibly focus groups with IP representatives</p> <p>Contribution Analysis</p>	<p>Medium to high</p> <p>Causal factors can probably be mapped quite reliably. Formal aspects of the recognition of rights are objectively verifiable and can be related to project interventions. However, there are also intangible aspects of the intended outcome which complicates further validation.</p>
			<p>(3) The documentation of knowledge products and successful local/regional experiences combined with respective stakeholder dialogues (output level) stimulates the replication and adoption by regional and national stakeholders, including the integration in national policies (outcome level).</p>	<p>GIZ-COSERAM 2018d, e, f, g, h, i, k</p>	<p>PN-COS, PR10-COS, PR13-COS, PR11-COS, ACA-M1, PL13-M1, PR13-M1, Int-GIZ</p>	<p>Document analysis, secondary data analysis</p> <p>Semi-structured interviews with mentioned partners</p> <p>Contribution Analysis</p>	<p>Medium</p> <p>Causal factors can probably be mapped quite reliably. However, since integration into policy happens through complex processes and does not mirror project products one-to-one, the identification of causal mechanisms will be affected by subjectivity of stakeholder perspectives.</p>
	<p>No project-related negative results have occurred – and if any negative results occurred the project responded adequately.</p> <p>The occurrence of additional (not formally agreed) positive results has been monitored and additional opportunities for further positive results have been seized.</p> <p>max. 30 points</p>	<p>Which negative or positive unintended results does the project produce at output and outcome level and why?</p> <p>'- To what extent was the project able to ensure that escalating factors/ 'dividers' (destructive institutions, structures, norms and behavior) have not been strengthened (indirectly) by the project?</p> <p>- Has the project unintendedly (indirectly) supported violent actors?</p> <p>How were risks regarding unintended negative results at the output and outcome level assessed in the monitoring system (e.g. compass)? Were risks already known during concept phase</p> <p>'- Have contextual (e.g. political instability, violence, economic crises, migration/refugee flows, drought, etc.), institutional (e.g. weak partner capacity, fiduciary risks, corruption, staff turnover, investment risks) and personnel (murder, robbery, kidnapping, medical care, etc.) risks in the context of conflict, fragility and violence been</p>	<p>The project periodically monitors framework conditions, risks and unintended effects based on defined processes/tools/instruments</p> <p>The rationale of management decisions based on the identification of external changes/risks and/or unintended results is documented and conducive to towards the project goal</p> <p>No project-related negative results have occurred – and if any negative results occurred the project responded adequately.</p>	<p>GIZ-COSERAM 2014b, c</p> <p>GIZ-COSERAM 2016b</p> <p>COSERAM monitoring sheets</p> <p>GIZ-COSERAM 2015b, 2016a, 2017a, 2018a</p> <p>GIZ-COSERAM 2018c</p>	<p>Int-GIZ</p>	<p>Document analysis</p> <p>Semi-structured interviews</p> <p>Document analysis</p> <p>Semi-structured interviews</p>	<p>High (due to the role of conflict mitigation and peace-building as central goal of the programme --> high sensitivity of project staff and all partners)</p> <p>Unknown</p> <p>Unintended results and the outcomes of risk management can be mapped only to the</p>

	<p>identified (together with GIZ Risk and Security Management) and monitored (context- and conflict-sensitive monitoring) in a systematic way?</p> <ul style="list-style-type: none"> - Have measures been taken to mitigate these risks? - Have measures been taken to appropriately react to these risks? <p>What measures have been taken by the project to counteract the risks and (if applicable) occurred negative results? In how far were these measures adequate?</p> <p>To what extent were potential unintended positive results at outcome level monitored and exploited?</p>		<p>GIZ-COSERAM 2015e, 2016c, 2016d, 2016h, 2016i, 2017e, 2017f</p> <p>MinDa 2018</p> <p>GIZ-COSERAM 2016d,</p>		<p>degree of which stakeholders are aware of the respective occurrences and changes.</p>
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* The first and the second evaluation dimensions are interrelated: if the contribution of the project to the objective achievement is low (2nd evaluation dimension) this must be considered for the assessment of the first evaluation dimension also.

(5) For more details see: GIZ (2014): 'Context- and conflict-sensitive results-based monitoring system (RBM). Supplement to: The 'Guidelines on designing and using a results-based monitoring system (RBM system', p.27 and 28.

	Assessment Dimension	Evaluation questions (pilot-phase, work in progress)	Evaluation indicator	Available data sources	Additional data collection	Evaluation strategy (evaluation design, method, procedure)	Expected evidence strength (narrative)
	IMPACT (max. 100 points)						
Impact	<p>The intended overarching development results have occurred or are foreseen.*</p> <p>Max. 40 points</p>	<p>To which overarching development results is the project supposed to contribute (cf. module and programme proposal, if no individual measure; indicators, identifiers, link to national strategy for implementing 2030 Agenda, link to SDGs)? Which of these intended results at the level of overarching results can be observed or are plausible to be achieved?</p> <p>Target group and 'Leave No One Behind' (LNOB): Is there evidence of results achieved at target group level/specific groups of population? To what extent have targeted marginalised groups (such as women, children, young people, the elderly, people with disabilities, indigenous peoples, refugees, IDPs and migrants, people living with HIV/AIDS and the poorest of the poor) been reached?</p>	<p>Present degree of goal-attainment and anticipated degree of goal-attainment until the end of the project term for the following indicators:</p> <p><u>Programm Indicator 1:</u> Conflicts over land-use and land-rights are being addressed by mandated bodies (LGUs and Line Agencies) in a peaceful manner through gender- and conflict sensitive process-es, integrating all relevant conflicting parties.</p> <p><u>Additional Aspects:</u> wider focus on (a) how have attitudes, behaviours and relationships between conflicting actors changed (b) the extent of successful conflict transformation in general and better governance in the partner system.</p>	<p>GIZ-COSERAM 2015b, 2016a, 2017a, 2018a</p> <p>Monitoring sheets</p>	Int-GIZ	<p>Document analysis, secondary data analysis</p> <p>Semi-structured interviews and focus group discussions with the mentioned stakeholders</p> <p>Comparing different intervention sites with different mixes of interventions may allow for some comparative analyses</p>	<p>Medium</p> <p>Conflict resolutions dealt with in the project context are documented; the actual impact (in the sense of systemic change), however, is intangible and requires the collection indications and perceptions</p>
	<p>The outcome of the project contributed to the occurred or foreseen overarching development results.*</p> <p>Max. 30 points</p>	<p>To what extent is it plausible that the results of the project on outcome level (project objective) contributed or will contribute to the overarching results? (contribution-analysis approach)</p> <p>What are the alternative explanations/factors for the results observed? (e.g. the activities of other stakeholders, other policies)</p> <p>What would have happened without the project?</p> <p>To what extent is the impact of the project positively or negatively influenced by framework conditions, other policy areas, strategies or interests (German ministries, bilateral and multilateral development partners)? What are the consequences of the project?</p> <p>To what extent has the project made an active and systematic contribution to widespread impact? (4 dimensions: relevance, quality, quantity, sustainability; scaling-up approaches: vertical, horizontal, functional or combined)? If not, could there have been potential? Why was the potential not exploited?</p>	<p>Results Hypotheses to be assessed:</p> <p>(1) Enabling conflict- and gender-sensitive planning processes (output level) has strengthened the capacity of partners to lead constructive and inclusive dialogues in conflictive situations (outcome)</p>	<p>GIZ-COSERAM 2015b, 2016a, 2017a, 2018a</p> <p>GIZ-COSERAM 2018k</p> <p>Monitoring sheets</p>	<p>PN-COS, PR11-COS, PR13-COS, PR10-COS, PL13-M1, B10-M1, ACA-M1</p>	<p>Document analysis, secondary data analysis,</p> <p>Semi-structured interviews with mentioned partners, possibly focus groups with IP representatives</p> <p>Contribution analysis</p>	<p>Rather high</p> <p>Causal factors can probably be mapped quite reliably. Though the impact variable is intangible but within the scope of the interview partner's knowledge.</p>

			(2) The empowerment of indigenous organizations and individuals and their inclusion in participative management processes (output level) strengthens participative governance structures and fosters the recognition of the rights of indigenous peoples (outcome level).				Medium Causal factors can probably be mapped quite reliably. Interview will probably be able to plausibly explain causal mechanisms though the intangible character of the outcome complicates further validation.
	<p>No project-related negative results at impact level have occurred – and if any negative results occurred the project responded adequately.</p> <p>The occurrence of additional (not formally agreed) positive results at impact level has been monitored and additional opportunities for further positive results have been seized.</p> <p>Max. 30 points</p>	<p>Which positive or negative unintended results at impact level can be observed? Are there negative trade-offs between the ecological, economic and social dimensions (according to the three dimensions of sustainability in the Agenda 2030)? Were positive synergies between the three dimensions exploited?</p> <p>‘- To what extent did the project have positive or de-escalating effects on the conflict or the context of fragility (e.g. conflict dynamics, violence, legitimacy of state and non-state actors/institutions)? - To what extent did the project have (unintended) negative or escalating effects on the conflict or the context of fragility (e.g. conflict dynamics, violence, legitimacy of state and non-state actors/institutions)</p> <p>To what extent were risks of unintended results at the impact level assessed in the monitoring system (e.g. compass)? Were risks already known during the planning phase?</p> <p>What measures have been taken by the project to avoid and counteract the risks/negative results/trade-offs**?</p> <p>To what extent have the framework conditions and/or the fragile/conflict context played a role in regard to negative results? How did the project react to this?</p> <p>To what extent were potential unintended positive results and potential synergies between the ecological, economic and social dimensions monitored and exploited?</p>	<p>The project periodically monitors framework conditions, risks and unintended effects based on de-fined processes/tools/instruments</p> <p>The rationale of management decisions based on the identification of external changes/risks and/or unintended results is documented and conducive to-wards the project goal</p> <p>No project-related negative results have occurred – and if any negative results occurred the project responded adequately.</p>	<p>GIZ-COSERAM 2014b, c</p> <p>GIZ-COSERAM 2015b, 2016a, 2017a, 2018a</p> <p>GIZ-COSERAM 2015e, 2016c, d</p> <p>GIZ-COSERAM 2015e, 2016c, d</p> <p>GIZ-COSERAM 2015e, 2016c, 2016d, 2016h, 2016i, 2017e, 2017f</p>	Int-GIZ	<p>Document analysis</p> <p>Semi-structured interviews</p> <p>Document analysis</p> <p>Semi-structured interviews</p>	<p>High (due to the role of conflict mitigation and peace-building as central goal of the programme --> high sensitivity of project staff and all partners)</p> <p>Unknown</p> <p>Unintended results and the outcomes of risk management can be mapped only to the degree of which stakeholders are aware of the respective occur-rences and changes.</p>

* The first and the second evaluation dimensions are interrelated: if the contribution of the project outcome to the impact is low or not plausible (2nd evaluation dimension) this must be considered for the assessment of the first evaluation dimension also.

** risks, negative results and trade-offs are separate aspects and are all to be discussed here.

	Assessment Dimension	Evaluation questions (pilot-phase, work in progress)	Evaluation indicators (pilot phase, only available in german so far)	Evaluation indicator achievement	Available data sources	Additional data collection	Evaluation strategy (evaluation design, method, procedure)	Expected evidence strength (narrative)
Efficiency	EFFICIENCY (max. 100 points)			0%, 25%, 50%, 75% 100%				
	The project's use of resources is appropriate with regard to the outputs achieved. [Production efficiency: Resources/Outputs] Max. 70 points	1 To what extent are there deviations between the identified costs and the projected costs? What are the reasons for the identified deviation(s)?	Das Vorhaben steuert seine Ressourcen gemäß des geplanten Kostenplans (Kostenzeilen). Nur bei nachvollziehbarer Begründung erfolgen Abweichungen vom Kostenplan.		GIZ-COSERAM 2014b, c Cost-Obligo-Data Efficiency-Tool	Int-GIZ	Cost analysis, further document analysis and semis-structured interviews Follow-the -money approach	High for current, low for previous management (overall: medium to high)
		2 Focus: To what extent could the outputs have been maximised with the same amount of resources and under the same framework conditions and with the same or better quality (maximum principle)? (methodological minimum standard: Follow-the-money approach)	Das Vorhaben reflektiert, ob die vereinbarten Wirkungen mit den vorhandenen Mitteln erreicht werden können. Das Vorhaben steuert seine Ressourcen gemäß der geplanten Kosten für die vereinbarten Leistungen (Outputs). Nur bei nachvollziehbarer Begründung erfolgen Abweichungen von den Kosten. Die übergreifenden Kosten des Vorhabens stehen in einem angemessen Verhältnis zu den Kosten für die Outputs. Die durch ZASS Aufschriebe erbrachten Leistungen haben einen nachvollziehbaren Mehrwert für die Erreichung der Outputs des Vorhabens.		GIZ-COSERAM 2016e, 2017b, 2018b GIZ-COSERAM 2015b, 2016a, 2017a, 2018a		Document analysis and semis-structured interviews Cost-analysis and semi-structured interviews Follow-the -money approach Cost-analysis and semi-structured interviews Follow-the -money approach Cost-analysis and semi-structured interviews Follow-the -money approach	High for current, low for previous management (overall: medium to high) High for current, low for previous management (overall: medium to high) Medium (There is no objective benchmark for "angemessen") High
		3 Focus: To what extent could outputs have been maximised by reallocating resources between the outputs? (methodological minimum standard: Follow-the-money approach)	Das Vorhaben steuert seine Ressourcen, um andere Outputs schneller/ besser zu erreichen, wenn Outputs erreicht wurden bzw. diese nicht erreicht werden können (Schlussevaluierung). Oder: Das Vorhaben steuert und plant seine Ressourcen, um andere Outputs schneller/ besser zu erreichen, wenn Outputs erreicht wurden bzw. diese nicht erreicht werden können (Zwischenevaluierung).				Cost-analysis and semi-structured interviews Follow-the -money approach	High for current, low for previous management (overall: medium to high)
		4 Were the output/resource ratio and alternatives carefully considered during the design and implementation process – and if so, how? (methodological minimum standard: Follow-the-money approach)	Das im Modulvorschlag vorgeschlagene Instrumentenkonzept konnte hinsichtlich der veranschlagten Kosten in Bezug auf die angestrebten Outputs des Vorhabens gut realisiert werden. Die im Modulvorschlag vorgeschlagene Partnerkonstellation und die damit verbundenen Interventionsebenen konnte hinsichtlich der veranschlagten Kosten in Bezug auf die angestrebten Outputs des Vorhabens gut realisiert werden. Der im Modulvorschlag vorgeschlagene thematische Zuschnitte für das Vorhaben konnte hinsichtlich der veranschlagten Kosten in Bezug auf die angestrebten Outputs des Vorhabens gut realisiert werden. Die im Modulvorschlag beschriebenen Risiken sind hinsichtlich der veranschlagten Kosten in Bezug auf die angestrebten Outputs des Vorhabens gut nachvollziehbar				Document analysis and semis-structured interviews Cost-analysis and semi-structured interviews Follow-the -money approach Cost-analysis and semi-structured interviews Follow-the -money approach Cost-analysis and semi-structured interviews Follow-the -money approach	High for current, low for previous management (overall: medium to high) High for current, low for previous management (overall: medium to high) Medium (There is no objective benchmark for "angemessen") High

		Die im Modulvorschlag beschriebene Reichweite des Vorhabens (z.B. Regionen) konnte hinsichtlich der veranschlagten Kosten in Bezug auf die angestrebten Outputs des Vorhabens voll realisiert werden.				Cost analysis, further document analysis and semi-structured interviews	High (except the remark regarding the understanding of the indicator)
		Der im Modulvorschlag beschriebene Ansatz des Vorhabens hinsichtlich der zu erbringenden Outputs entspricht unter den gegebenen Rahmenbedingungen dem state-of-the-art.				Follow-the -money approach	
						Cost-analysis and semi-structured interviews	Medium
						Follow-the -money approach	(for highly specific programme designs like the one of COSERAM, it is difficult to define a "state-of-the-art" in a way that could serve as a benchmark)
	5 For interim evaluations based on the analysis to date: To what extent are further planned expenditures meaningfully distributed among the targeted outputs?			(doesn't apply for final evaluation)	(-)	(-)	(-)
The project's use of resources is appropriate with regard to achieving the projects objective (outcome).	6 To what extent could the outcome have been maximised with the same amount of resources and the same or better quality (maximum principle)?	Das Vorhaben orientiert sich an internen oder externen Vergleichsgrößen, um seine Wirkungen kosteneffizient zu erreichen.					
[Allocation efficiency: Resources/Outcome] Max. 30 points	7 Were the outcome-resources ratio and alternatives carefully considered during the conception and implementation process – and if so, how? Were any scaling-up options considered?	Das Vorhaben steuert seine Ressourcen zwischen den Outputs, so dass die maximalen Wirkungen im Sinne des Modulziels erreicht werden. (Schlussevaluierung) Oder: Das Vorhaben steuert und plant seine Ressourcen zwischen den Outputs, so dass die maximalen Wirkungen im Sinne des Modulziels erreicht werden. (Zwischenevaluierung)		GIZ-COSERAM 2014b, c Cost-Obligo-Data Efficiency-Tool GIZ-COSERAM 2016e, 2017b, 2018b GIZ-COSERAM 2015b, 2016a, 2017a, 2018a	Weiteres Interview mit AV und Modul-Verantwortlichem während der Hauptmission	Cost analysis, further document analysis and semi-structured interviews Follow-the -money approach	Medium (it can be evidenced, if "outcome maximization" is reflected in the programme management; if the maximum is actually achieved is based on conjectures)
		Das im Modulvorschlag vorgeschlagene Instrumentenkonzept konnte hinsichtlich der veranschlagten Kosten in Bezug auf das angestrebte Modulziel des Vorhabens gut realisiert werden. Comment by the evaluators: We don't understand how to separate this indicator from indicator 4.4. What is the "realization of the instrument concept in regard to the outputs" compared to the "realization of the instrument concept in regards to the outcome/the module objective"? From our point of view, it can be asked (1) if the instrument concept is adequate for achieving the output" and (2) if the right outputs have been chose to achieve the inteded outcome.		(-)	(-)	(-)	(-)
		Die im Modulvorschlag vorgeschlagene Partnerkonstellation und die damit verbundenen Interventionsebenen konnte hinsichtlich der veranschlagten Kosten in Bezug auf das angestrebte Modulziel des Vorhabens gut realisiert werden. Comment by the evaluators: see previous indicators		(-)	(-)	(-)	(-)

	Der im Modulvorschlag vorgeschlagene thematische Zuschnitte für das Vorhaben konnte hinsichtlich der veranschlagten Kosten in Bezug auf das angestrebte Modulziel des Vorhabens gut realisiert werden. Comment by the evaluators: see previous indicators		(-)	(-)	(-)	(-)
	Die im Modulvorschlag beschriebenen Risiken sind hinsichtlich der veranschlagten Kosten in Bezug auf das angestrebte Modulziel des Vorhabens gut nachvollziehbar.		(-)	(-)	(-)	(-)
	Die im Modulvorschlag beschriebene Reichweite des Vorhabens (z.B. Regionen) konnte hinsichtlich der veranschlagten Kosten in Bezug auf das angestrebte Modulziel des Vorhabens voll realisiert werden. Comment by the evaluators: see previous indicators		(-)	(-)	(-)	(-)
	Der im Modulvorschlag beschriebene Ansatz des Vorhabens hinsichtlich das zu erbringenden Modulziels entspricht unter den gegebenen Rahmenbedingungen dem state-of-the-art.		GIZ-COSERAM 2014b, c Cost-Obligo-Data Efficiency-Tool GIZ-COSERAM 2016e, 2017b, 2018b	Int-GIZ	Cost-analysis and semi-structured interviews Follow-the -money approach	Medium (for highly specific programme designs like the one of COSERAM, it is difficult to define a "state-of-the-art" in a way that could serve as a benchmark)
8 To what extent were more results achieved through synergies and/or leverage of more resources, with the help of other bilateral and multilateral donors and organisations (e.g. Kofi)? If so, was the relationship between costs and results appropriate?	Das Vorhaben unternimmt die notwendigen Schritte, um Synergien mit Interventionen anderer Geber auf der Wirkungsebene vollständig zu realisieren.		GIZ-COSERAM 2015b, 2016a, 2017a, 2018a	(-)	Document analysis and semi-structured interviews	High
	Wirtschaftlichkeitsverluste durch unzureichende Koordinierung und Komplementarität zu Interventionen anderer Geber werden ausreichend vermieden.			(-)	Document analysis and semi-structured interviews	High
	Das Vorhaben unternimmt die notwendigen Schritte, um Synergien innerhalb der deutschen EZ vollständig zu realisieren.			Int-GIZ	Document analysis and semi-structured interviews	High
	Wirtschaftlichkeitsverluste durch unzureichende Koordinierung und Komplementarität innerhalb der deutschen EZ werden ausreichend vermieden.			Int-GIZ	Document analysis and semi-structured interviews	High
	Die Kombifinanzierung hat zu einer signifikanten Ausweitung der Wirkungen geführt bzw. diese ist zu erwarten.		(no co-financing)	(-)	(-)	(-)
	Durch die Kombifinanzierung sind die übergreifenden Kosten im Verhältnis zu den Gesamtkosten nicht überproportional gestiegen.		(no co-financing)	(-)	(-)	(-)
	Die Partnerbeiträge stehen in einem angemessenen Verhältnis zu den Kosten für die Outputs des Vorhabens		GIZ-COSERAM 2014b, c Cost-Obligo-Data Efficiency-Tool GIZ-COSERAM 2016e, 2017b, 2018b GIZ-COSERAM 2015b, 2016a, 2017a, 2018a	Int-GIZ	Document analysis and semi-structured interviews	Medium (Partnerbeiträge in der Summe schwer zu beziffern; Evaluierung wird v.a. auf Einschätzungen von Projektmitarbeitern und Partnern beruhen)

	Assessment Dimension	Evaluation questions (pilot-phase, work in progress)	Evaluation indicator	Available data sources	Additional data collection	Evaluation strategy (evaluation design, method, procedure)	Expected evidence strength (narrative)
	SUSTAINABILITY						
Sustainability	Prerequisite for ensuring the long-term success of the project: Results are anchored in (partner) structures. Max. 50 points	What has the project done to ensure that the results can be sustained in the medium to long term by the partners themselves? In which way are advisory contents, approaches, methods or concepts of the project anchored/institutionalised in the (partner) system? To what extent are the results continuously used and/or further developed by the target group and/or implementing partners? To what extent are resources and capacities at the individual, organisational or societal/political level in the partner country available (longer-term) to ensure the continuation of the results achieved? What is the project's exit strategy? How are lessons learnt prepared and documented? '- To what extent was the project able to strengthen deescalating factors/ connectors' (for example peace-promoting actors and institutions, structural changes, peace-promoting norms and behavior) in a sustainable way? Please list these factors and 'connectors'. - To what extent was the project able to ensure that escalating factors/dividers' (destructive institutions, structures, norms and behavior) have not been strengthened (indirectly) by the project in a sustainable way? Please list these factors and 'dividers'.	(1) Individual and organizational and institutional capacities for gender- and conflict-sensitive planning are consolidated (2) Extent to which inclusive gender and conflict-sensitive dialogue mechanisms and cooperation structures supported by the project have been institutionalized or assumed as a routine by key stakeholders. (3) Extent to which the recognition, protection, promotion, and fulfilment of the rights of IPs within their ancestral domains is continuing and institutionalized. (4) Extent to which legal and paralegal services for IPs have been institutionalised within partner organizations (5) Extent to which project results are anchored in public policies	GIZ-COSERAM 2017a GIZ-COSERAM 2015b, 2016a, 2017a, 2018a monitoring sheets	PR13-COS, PR10-COS, PR13-M1, PL13-M1, PL10-M1, ACA-M1	Document analysis, secondary data analysis Semi-structured interviews and focus group discussions with the mentioned stakeholders Document analysis, secondary data analysis Semi-structured interviews and focus group discussions with the mentioned stakeholders Document analysis, secondary data analysis Semi-structured interviews and focus group discussions with the mentioned stakeholders Document analysis, secondary data analysis Semi-structured interviews and focus group discussions with the mentioned stakeholders Document analysis, secondary data analysis Semi-structured interviews and focus group discussions with the mentioned stakeholders	Medium Short timeframe between the end of the project and the evaluation mission will limit the ability to clearly measure how consolidated the results are.
	Forecast of durability: Results of the project are permanent, stable and long-term resilient. Max. 50 points	To what extent are the results (outcome and impact) of the project durable, stable and resilient in the long-term under the given conditions? What risks and potentials are emerging for the durability of the results (outcome and impact) and how likely are these factors to occur? What has the project done to reduce these risks?	<i>The core criteria for the sustainability evaluation are assumption-based instead of measurement based. Therefore, we recommend abstaining from formulating indicators (which are as-associated with actual measurement) and rely on the guiding questions only.</i>	Evaluation team presenced workshop discussions related to the sustainability of the project at the partner forum during the Inception Mission	PN-COS, PR13-COS, PR10-COS, PR13-M1, PL13-M1, PL10-M1, ACA-M1	Semi-structured interviews	Low to medium (assumption-based forecast; short timeframe between the end of the project and the evaluation mission, i.e. sustainability cannot yet be observed)

	Assessment Dimension	Evaluation questions (pilot phase, only available in german so far)	Evaluation Indicator	Available Data Sources	Additional Data Collection	Evaluation Strategy (Evaluation Design, Method, Procedure)	Expected Evidence Strength (narrative)
Predecessor and additional Evaluation Questions	Predecessor and additional Evaluation Questions						
	Sustainability and impact of predecessor project	1) Überblick über die Wirkungen des Vorhabens über die Zeit (Vorgänger)	1. At least two authorities in Caraga Region, 20 out of 67 municipalities and 20 barangays promote and implement gender-responsive and conflict-sensitive land use and development plans. 2. The number of violent conflicts over land/land-use regulations and equitable access to natural resources has decreased in selected areas from 2011 to 2014 by 30 %. 3. Dialogue and negotiating processes lead in selected areas to at least 10 (informal or formal) agreements between the parties to the conflict that regulate the use of natural resources in favour of the underprivileged population (at least 30 % women).	GIZ-COSERAM 2010a GIZ-COSERAM 2012a, 2013a, 2014a, 2015a GIZ-COSERAM 2014f		Document analysis Semi-structures interviews with key informants	Indicators are objectively verifiable
		2a) Welche Wirkungen sind noch vorhanden, wurden weiterentwickelt vor Ort? 2b) Welche Wirkungen wurden in laufende Phase integriert?	1. Implementation of gender-responsive and conflict-sensitive land use and development plans. 2. No increase or no further decrease in natural resource conflicts. 3. Availability of knowledge products and experiences for follow-up project		PN-COS, PR13-COS, PL13-M1, Int-GIZ	Document analysis Semi-structures interviews with key informants	Medium The assessment of the long-term results of the predecessor programme relies on the ability to identify the intervention areas of the predecessor and map them over the intervention areas of the current programme. This presupposes the existence of an intervention map of the COSERAM programme that documents when which activities were implemented where. It is unclear if such a map exists or will be available for the evaluation.
		3) Wie wurden Ergebnisse verankert in Partnerstruktur? (Nachhaltigkeit)	1. Activities to anchor the results in areas that have not been covered by the current project.		Triangulation with opinions of key stakeholders in the partner country (for example regional and local government representatives) and if possible former project staff	Document analysis Semi-structures interviews with key informants	Medium The assessment of the long-term results of the predecessor programme relies on the ability to identify the intervention areas of the predecessor and map them over the intervention areas of the current programme. This presupposes the existence of an intervention map of the COSERAM programme that documents when which activities were implemented where. It is unclear if such a map exists or will be available for the evaluation.

Punkte für Kriterien vorne:
- Relevanz: Erfahrungen früherer Projekte übernommen?
- Nachhaltigkeit: Wurden Wirkungen des Vorgängers genutzt?

Annex 2: Evaluation matrix IP4 Biodiv

	Assessment Dimension	Evaluation questions (pilot-phase, work in progress)	Evaluation indicator	Available data sources	Additional data collection	Evaluation strategy (evaluation design, method, procedure)	Expected evidence strength (narrative)
Relevance	RELEVANCE (max. 100 points)						
	The project concept* is in line with the relevant strategic reference frameworks. Max. 30 points	Which strategic reference frameworks exist for the project? (e.g. national strategies incl. national implementation strategy for 2030 agenda, regional and international strategies, sectoral, cross-sectoral change strategies, if bilateral project especially partner strategies, internal analysis frameworks e.g. safeguards and gender**)	(1) The methodological approach is consistent with the strategic orientation of (a) GDC and (b) partner: - PHI: Long-term vision; National and Regional Development Plan - Regional Strategy for Asia and Strategy and Guidelines for Crisis Prevention/Conflict Resolution/Peace Building	Offer Part A and B GDC strategy documents and guidelines (see Annex 1) Documentation of international standards and agreements (see Annex 1) Partner policy/strategy documents (see Annex 1) Context and conflict analyses of the partner system (both national and regional, see Annex 1)	Triangulation with opinions of key stakeholders in the partner country (NEDA, DENR, DILG, NCIP, OPAPP)	Document analysis Semi-structures interviews with key informants	Contrasting the methodological approach of the project against the respective strategy documents allows for a reliable judgment on the fit into relevant strategic framework). Key stakeholders are able to situate the project concept within current strategy discussions of the partner country.
		To what extent is the project concept in line with the relevant strategic reference frameworks?					
		Was the (conflict) context of the project adequately analyzed (key documents: (Integrated) Peace and Conflict Assessment ((I)PCA), Safeguard Conflict and Conflict Sensitivity documents)?					
		To what extent are the interactions (synergies/trade-offs) of the intervention with other sectors reflected in the project concept – also regarding the sustainability dimensions (ecological, economic and social)?	(2) Initial conflict analysis cover all relevant conflict dimensions related to the project				
		To what extent is the project concept in line with the Development Cooperation (DC) programme (If applicable), the BMZ country strategy and BMZ sectoral concepts?	(3) Synergies with other sectors (specifically: biodiversity, local economic development, natural resources management) are built into the methodological approach				
		To what extent is the project concept in line with the (national) objectives of the 2030 agenda? To which Sustainable Development Goals (SDG) is the project supposed to contribute?	(4) The approach is consistent with international standards and agreements: - Agenda 2030, SDG				
		To what extent is the project concept subsidiary to partner efforts or efforts of other relevant organisations (subsidiary and complementarity)?					
	The project concept* matches the needs of the target group(s). Max. 30 points	To what extent is the chosen project concept geared to the core problems and needs of the target group(s)?	(1) The core problem and the methodological approach are consistent with current sector analyses: - see context and conflict analysis according to chapter 3.1	Offer Part A and B Progress Reporting and Documentation of Knowledge Products of the Project (see Annex 1) Report "Gender and Conflict in Mindanao" (2011) Context and conflict analyses of the partner system (both national and regional, see Annex 1)	Triangulation with opinions of key stakeholders in the partner country, particularly at regional and local level (e.g. regional representatives of DENR, NCIP, local governments, community members, NGOs)	Document analysis Semi-structures interviews with key informants	Available context and conflict analysis should provide sufficient background to determine the extent to which the project concept matches the need of the target group.
		How are the different perspectives, needs and concerns of women and men represented in the project concept?					
		Were deescalating factors/ 'connectors' (1) (for example peace-promoting actors and institutions, structural changes, peace-promoting norms and behavior) as well as escalating factors/ 'dividers' (2) (destructive institutions, structures, norms and behavior) identified (e.g. see column I and II of PCA)? Please list these factors, 'connectors' and 'dividers'.	(2) Indigenous benefit directly from project interventions and trade-offs with interests of other stakeholders are addressed by the methodological approach				
		To what extent was the project concept designed to reach particularly disadvantaged groups (LNOB principle, as foreseen in the Agenda 2030)? How were identified risks and potentials for human rights and gender aspects included into the project concept?	(3) Methodologies applied by the project pursue stakeholder sensitization for gender-specific needs.				
		Were potential (security) risks for partners, target groups, GIZ and staff identified?					
		To what extent are the intended impacts realistic from today's perspective and the given resources (time, financial, partner capacities)?					

<p>The project concept* is adequately designed to achieve the chosen project objective.</p> <p>Max. 20 points</p>	<p>Assessment of current results model and results hypotheses (theory of change, ToC) of actual project logic:</p> <ul style="list-style-type: none"> - To what extent is the project objective realistic from today's perspective and the given resources (time, financial, partner capacities)? - To what extent are the activities, instruments and outputs adequately designed to achieve the project objective? - To what extent are the underlying results hypotheses of the project plausible? - To what extent is the chosen system boundary (sphere of responsibility) of the project (including partner) clearly defined and plausible? - Are potential influences of other donors/organisations outside of the project's sphere of responsibility adequately considered? - To what extent are the assumptions and risks for the project complete and plausible? 	<p>(1) Extent to which the results logic obeys to current quality criteria of GIZ</p> <p>(2) The potential effectiveness of key interventions is based on previous evidence and/or validated through the project monitoring</p> <p>(3) Key stakeholders of each intervention area confirm that interventions were strategically focused</p>	<p>Offer Part A and B, particularly the Results Matrix, Results Model, Offer (methodological approach), CD strategy</p> <p>Change offer</p> <p>Progress reporting</p>	<p>Triangulation with opinions of project staff and key stakeholders (NEDA, DENR, DILG, NCIP, OPAPP)</p>	<p>Document analysis</p> <p>Semi-structures interviews with key informants</p>	<p>The adaptation to the chosen goal is analysed regarding (1) its formal compliance, (2) its evidence-based foundations and (3) stakeholder perceptions.</p> <p>This combination of different perspectives allows for a valid evaluation judgement.</p>
	<p>To what extent does the strategic orientation of the project address changes in its framework conditions?</p>					
	<p>How is/was the complexity of the framework conditions and guidelines handled? How is/was any possible overloading dealt with and strategically focused?</p>					
<p>The project concept* was adapted to changes in line with requirements and re-adapted where applicable.</p> <p>Max. 20 points</p>	<p>What changes have occurred during project implementation? (e.g. local, national, international, sectoral, including state of the art of sectoral know-how)</p>	<p>(1) Key stakeholders confirm that the project concept has evolved according to requirements of the partner system.</p>	<p>Change offer</p> <p>Progress reporting</p>	<p>Triangulation with opinions of project staff and key stakeholders (NEDA, DENR, DILG, NCIP, OPAPP)</p>	<p>Document analysis</p> <p>Semi-structures interviews with key informants</p>	<p>Contrasting documented strategy adaptations with the respective perceptions of key stakeholders allows for a valid evaluation judgement.</p>
	<p>How were the changes dealt with regarding the project concept?</p>					

*The 'project concept' encompasses project objective and theory of change (ToC***) with outputs, activities, instruments and results hypotheses as well as the implementation strategy (e.g. methodological approach, CD-strategy, results hypotheses)

*** Theory of Change = GIZ results model = graphic illustration and narrative results hypotheses

(1) For more details on 'connectors' see: GIZ (2007): 'Peace and Conflict Assessment (PCA). Ein methodischer Rahmen zur konflikt- und friedensbezogenen Ausrichtung von EZ-Maßnahmen', p. 55 and 135.

(2) For more details on 'dividers' see: GIZ (2007): 'Peace and Conflict Assessment (PCA). Ein methodischer Rahmen zur konflikt- und friedensbezogenen Ausrichtung von EZ-Maßnahmen', p. 135.

** In the GIZ safeguards system risks are assessed before project start regarding following aspects: gender, conflict, human rights, environment and climate. For the topics gender and human rights not only risks but also potentials are assessed. Before introducing the new safeguard system in 2016 GIZ used to examine these aspects in separate checks.

	Assessment Dimension	Evaluation questions (pilot-phase, work in progress)	Evaluation indicator	Available data sources	Additional data collection	Evaluation strategy (evaluation design, method, procedure)	Expected evidence strength (narrative)
	EFFECTIVENESS (max. 100 points)						
Effectiveness	The project achieved the objective (outcome) on time in accordance with the project objective indicators.* max. 40 points	<p>To what extent has the agreed project objective (outcome) been achieved (or will be achieved until end of project), measured against the objective indicators? Are additional indicators needed to reflect the project objective adequately?</p> <p>To what extent is it foreseeable that unachieved aspects of the project objective will be achieved during the current project term?</p> <p>To what extent was the project able to strengthen deescalating factors/ 'connectors' (for example peace-promoting actors and institutions, structural changes, peace-promoting norms and behavior)?</p>	<p>Present degree of goal-attainment and anticipated degree of goal-attainment until the end of the project term for the following indicators:</p> <p><u>Indicator M1:</u> Conflict and gender sensitive in-digenous management approaches for the conservation of biodiversity are integrated in 10 land use- and management plans of the Agusan Marsh Wildlife Sanctuary (AMWS) and those of other selected indig-enous areas.</p>	Progress reporting, specific knowledge products, Monitoring sheets	PAMB member's opinions regarding the added value of the management approaches (primary data)	Document analysis, secondary data analysis PAMB: semi-structured interviews (institutional partners, e.g. regional DENR offices) and focus groups (local target groups, e.g. LGU / barangay representatives) Considering interviewees involved in the PAMB network allows for comparing the dynamics in the intervened PA with others.	The indicator is objectively verifiable
			<p><u>Indicator M2:</u> A system to monitor 10 animal and plant species, esp. indicator- and endangered species, through local and regional entities and indigenous communities is established in the Agusan Marsh Wild-life Sanctuary.</p> <p>Additionally: (a) • Added value of monitoring data for PAMB discussions and management decisions (qualitative analysis based on the perceptions of PAMB members), (b) • Added value of monitoring data for law enforcement activities (qualitative analysis based on the perspectives of PAMB members and Bio-Stewards, number of filed cases and confiscated illegal gadgets)</p>	Progress reporting, specific knowledge , Monitoring sheets	PAMB members's opinions regarding added value of monitoring data for the PA management and for law enforcement (primary data)	Document analysis, secondary data analysis PAMB: semi-structured interviews (institutional partners, e.g. regional DENR offices) and focus groups (local target groups, e.g. LGU / barangay representatives) Project contribution is evident (no further need to control the net effect)	The indicator is objectively verifiable
			<p><u>Indicator M3:</u> 10% of the members of 15 marginalized groups of the population (esp. young indigenous men and women) confirm, on a scale from 0 to 10, an improvement of their livelihood (monetary and non-monetary income) by 3 points, deriving from the sustainable use of especially endemic resources.</p>	Progress reporting, specific knowledge products, Monitoring sheets, Baseline survey	Endline survey, In-depth opinions of target group members (primary data)	Document analysis, secondary data analysis Target group members (IP involved in livelihood initiatives): focus groups Before/After comparison; no cost-efficient solution for establishing a counterfactual	The indicator is objectively verifiable

		<p><u>Indicator M4:</u> 5 substantial recommendations in relation to gender and conflict sensitive indigenous management approaches for conservation of biodiversity are incorporated in national bills/strategies/draft regulations.</p>	Progress reporting, Monitoring sheets	Expectations of national stakeholders (NEDA, DENR, NCIP, DILG, NEDA) regarding the incorporation of recommendations in national strategies/policies	Document analysis, secondary data analysis Semi-structured interviews with national partners Project contribution to be estimated by the interviewees	The indicator is objectively verifiable
<p>The activities and outputs of the project contributed substantially to the project objective achievement (outcome).*</p> <p>max. 30 points</p>	<p>To what extent have the agreed project outputs been achieved (or will be achieved until end of project), measured against the output indicators? Are additional indicators needed to reflect the outputs adequately?</p> <p>How does project contribute via activities, instruments and outputs to the achievement project objective (outcome)? (contribution-analysis approach)</p> <p>Implementation strategy: Which factors in the implementation contribute successfully to or hinder the achievement of the project objective? (e.g. external factors, managerial setup of project and company, cooperation management)</p> <p>What other/alternative factors contributed to the fact that the objective was achieved or not achieved?</p> <p>What would have happened without the project?</p> <p>To what extent have risks (see also Safeguards & Gender) and assumptions of the theory of change been addressed in the implementation and steering of the project?</p>	<p>Results Hypotheses to be assessed:</p> <p>(1) Enabling conflict- and gender-sensitive planning processes (output level) has strengthened the capacity of partners to lead constructive and inclusive dialogues in conflictive situations (outcome)</p>	Offer, Results Model, CD strategy, Progress reporting, specific knowledge products, Monitoring sheets	Perspectives of involved stakeholders : Implementing Agencies (national and regional offices), PAMB members Regional governments , Involved NGOs and Universities	Document analysis, secondary data analysis Semi-structured interviews with mentioned partners Contribution Analysis	Medium Causal factors can probably be mapped quite reliably. Interview will probably be able to plausibly explain causal mechanisms though the intangible character of the outcome complicates further validation.
		<p>(2) The empowerment of indigenous organizations and individuals and their inclusion in participative management processes (output level) strengthens participative governance structures and fosters the recognition of the rights of indigenous peoples (outcome level).</p>	Offer, Results Model, CD strategy, Progress reporting, specific knowledge products, Monitoring sheets,	Perspectives of involved stakeholders : Implementing Agencies (national and regional offices), particularly NCIP, PAMB members Regional governments , Involved NGOs and Universities Representatives of different IP groups	Document analysis, secondary data analysis Semi-structured interviews with mentioned partners, possibly focus groups with PAMB members and IP representatives Contribution Analysis	Medium to high Causal factors can probably be mapped quite reliably. Formal aspects of the recognition of rights are objectively verifiable and can be related to project interventions. However, there are also intangible aspects of the intended outcome which complicates further validation.
		<p>(3) The documentation of knowledge products and successful local/regional experiences combined with respective stakeholder dialogues (output level) stimulates the replication and adoption by regional and national stakeholders, including the integration in national policies (outcome level).</p>	Offer, Results Model, CD strategy, Progress reporting, specific knowledge products,	Perspectives of involved stakeholders : Implementing Agencies (national) Regional	"Document analysis, secondary data analysis Semi-structured interviews with mentioned partners Contribution Analysis	Medium Causal factors can probably be mapped quite reliably. However, since integration into policy happens through complex

			Monitoring sheets	governments		processes and does not mirror project products one-to-one, the identification of causal mechanisms will be affected by subjectivity of stakeholder perspectives.
<p>No project-related negative results have occurred – and if any negative results occurred the project responded adequately.</p> <p>The occurrence of additional (not formally agreed) positive results has been monitored and additional opportunities for further positive results have been seized.</p> <p>max. 30 points</p>	<p>Which negative or positive unintended results does the project produce at output and outcome level and why?</p> <p>- To what extent was the project able to ensure that escalating factors/ 'dividers' (destructive institutions, structures, norms and behavior) have not been strengthened (indirectly) by the project?</p> <p>- Has the project unintendedly (indirectly) supported violent actors?</p> <p>How were risks regarding unintended negative results at the output and outcome level assessed in the monitoring system (e.g. compass)? Were risks already known during concept phase</p> <p>- Have contextual (e.g. political instability, violence, economic crises, migration/refugee flows, drought, etc.), institutional (e.g. weak partner capacity, fiduciary risks, corruption, staff turnover, investment risks) and personnel (murder, robbery, kidnapping, medical care, etc.) risks in the context of conflict, fragility and violence been identified (together with GIZ Risk and Security Management) and monitored (context- and conflict-sensitive monitoring) in a systematic way?</p> <p>- Have measures been taken to mitigate these risks?</p> <p>- Have measures been taken to appropriately react to these risks?</p> <p>What measures have been taken by the project to counteract the risks and (if applicable) occurred negative results? In how far were these measures adequate?</p> <p>To what extent were potential unintended positive results at outcome level monitored and exploited?</p>	The project periodically monitors framework conditions, risks and unintended effects based on de-fined process-es/tools/instruments	Progress reporting, operational plans, PCA and context analyses, team workshop documentations	Discussion of risk monitoring documentation with principal and chief advisors	Document analysis Semi-structured interviews	High (due to the role of conflict mitigation and peace-building as central goal of the programme --> high sensitivity of project staff and all partners)
		The rationale of management decisions based on the identification of external changes/risks and/or unintended results is documented and conducive towards the project goal				
		No project-related negative results have occurred – and if any negative results occurred the project responded adequately.	Progress reporting, team workshop documentations	Addressing unintended effects in all stakeholder contacts during the evaluation field phase	Document analysis Semi-structured interviews	Unknown Unintended results and the outcomes of risk management can be mapped only to the degree of which stakeholders are aware of the respective occurrences and changes.

* The first and the second evaluation dimensions are interrelated: if the contribution of the project to the objective achievement is low (2nd evaluation dimension) this must be considered for the assessment of the first evaluation dimension also.

	Assessment Dimension	Evaluation questions (pilot-phase, work in progress)	Evaluation indicator	Available data sources	Additional data collection	Evaluation strategy (evaluation design, method, procedure)	Expected evidence strength (narrative)
	IMPACT (max. 100 points)						
Impact	<p>The intended overarching development results have occurred or are foreseen.*</p> <p>Max. 40 points</p>	To which overarching development results is the project supposed to contribute (cf. module and programme proposal, if no individual measure; indicators, identifiers, link to national strategy for implementing 2030 Agenda, link to SDGs)? Which of these intended results at the level of overarching results can be observed or are	Present degree of goal-attainment and anticipated degree of goal-attainment until the end of the project term for the following indicators:				

	<p>plausible to be achieved?</p> <p>Target group and 'Leave No One Behind' (LNOB): Is there evidence of results achieved at target group level/specific groups of population? To what extent have targeted marginalised groups (such as women, children, young people, the elderly, people with disabilities, indigenous peoples, refugees, IDPs and migrants, people living with HIV/AIDS and the poorest of the poor) been reached?</p>	<p><u>Program Indicator 1:</u> 33 potentially violent conflicts over land-use and land-rights are being addressed by mandated bodies (LGUs and Line Agencies) in a peaceful manner through gender- and conflict sensitive process-es, integrating all relevant conflicting parties.</p>	<p>Progress reporting, specific knowledge products, Monitoring sheets</p>	<p>Triangulation with perceptions of National Partners Provincial Governments Local Governments and community members</p>	<p>Document analysis, secondary data analysis Semi-structured interviews and focus group discussions with the mentioned stakeholders</p> <p>Comparing different intervention sites with different mixes of interventions may allow for some comparative analyses (though not to the extent as in module 1)</p>	<p>Medium</p> <p>Conflict resolutions dealt with in the project context are documented; the actual impact (in the sense of systemic change), however, is intangible and requires the collection indications and perceptions</p>
		<p><u>Additional Aspects:</u> wider focus on (a) how have attitudes, behaviours and relationships between conflicting actors changed (b) the extent of successful conflict transformation in general and better governance in the partner system.</p>				
		<p><u>Programme Indicator 2:</u> In 3 biodiverse areas with the presence of indigenous population, gender- and conflict sensitive management approaches for the conservation of biodiversity are being implemented.</p> <p>Focusing on: value added to the conservation of biodiversity (e.g. decrease of illegal activities in protected areas, extension of protective forms of land use, stabilization of the numbers of endangered species)</p>	<p>Progress reporting, specific knowledge products, Monitoring sheets, Baseline survey</p> <p>Biodiversity Monitoring data Statistics of filed cases, illegal equipments collected etc.</p>	<p>Triangulation with perceptions of Regional DENR Office PAMB members Involved IP groups</p>	<p>Document analysis, secondary data analysis Semi-structured interviews and focus group discussions with the mentioned stakeholders</p>	<p>Rather high</p> <p>The indicator is objectively verifiable, but too narrow.</p> <p>The data regarding the "value added" regarding the dynamics of biodiversity and law enforcement in PA is also available at least for the AWSM.</p>
<p>The outcome of the project contributed to the occurred or foreseen overarching development results.*</p> <p>Max. 30 points</p>	<p>To what extent is it plausible that the results of the project on outcome level (project objective) contributed or will contribute to the overarching results? (contribution-analysis approach)</p> <p>What are the alternative explanations/factors for the results observed? (e.g. the activities of other stakeholders, other policies)</p> <p>What would have happened without the project?</p> <p>To what extent is the impact of the project positively or negatively influenced by framework conditions, other policy areas, strategies or interests (German ministries, bilateral and multilateral development partners)? What are the consequences of the project</p> <p>To what extent has the project made an active and systematic contribution to widespread impact? (4 dimensions: relevance, quality, quantity, sustainability; scaling-up approaches: vertical, horizontal, functional or combined)? If not, could there have been potential? Why was the potential not exploited?</p>	<p>Results Hypotheses to be assessed:</p> <p>(1) Constructive and inclusive dialogues (outcome level) contributes to improving the relationships between conflicting actors and their perception of each other (impact level)</p>	<p>Offer, Results Model, CD strategy, Progress reporting, specific knowledge products, Monitoring sheets</p>			<p>Rather high</p> <p>Causal factors can probably be mapped quite reliably. Though the impact variable is intangible it's within the scope of the interview partner's knowledge.</p>
		<p>(2) Constructive/inclusive dialogue in combination with the empowerment of marginalised group (in particular, indigenous peoples; outcome level) contributes to conflict transformation and better governance (impact level)</p>				<p>Medium</p> <p>Causal factors can probably be mapped quite reliably. Interview with mentioned partners, possibly focus groups with PAMB members and IP representatives</p>
		<p>(3) Constructive/inclusive dialogue in combination with the empowerment of marginalised group (in particular, indigenous peoples; outcome level) contributes to the sustainable management and conservation of ecosystems/biodiversity (impact level)</p>				<p>Medium</p> <p>Causal factors can probably be mapped quite reliably. Though the biodiversity related outcome can be measured quite reliably, the contribution</p>

							at the impact level competes with many other factors.
	<p>No project-related negative results at impact level have occurred – and if any negative results occurred the project responded adequately.</p> <p>The occurrence of additional (not formally agreed) positive results at impact level has been monitored and additional opportunities for further positive results have been seized.</p> <p>Max. 30 points</p>	<p>Which positive or negative unintended results at impact level can be observed? Are there negative trade-offs between the ecological, economic and social dimensions (according to the three dimensions of sustainability in the Agenda 2030)? Were positive synergies between the three dimensions exploited?</p> <p>- To what extent did the project have positive or de-escalating effects on the conflict or the context of fragility (e.g. conflict dynamics, violence, legitimacy of state and non-state actors/institutions)? - To what extent did the project have (unintended) negative or escalating effects on the conflict or the context of fragility (e.g. conflict dynamics, violence, legitimacy of state and non-state actors/institutions)</p> <p>To what extent were risks of unintended results at the impact level assessed in the monitoring system (e.g. compass)? Were risks already known during the planning phase?</p> <p>What measures have been taken by the project to avoid and counteract the risks/negative results/trade-offs**?</p> <p>To what extent have the framework conditions and/or the fragile/conflict context played a role in regard to negative results? How did the project react to this?</p> <p>To what extent were potential unintended positive results and potential synergies between the ecological, economic and social dimensions monitored and exploited?</p>	<p>The project periodically monitors framework conditions, risks and unintended effects based on de-fined processes/tools/instruments</p> <p>The rationale of management decisions based on the identification of external changes/risks and/or unintended results is documented and conducive to wards the project goal</p> <p>No project-related negative results have occurred – and if any negative results occurred the project responded adequately.</p>	<p>Progress reporting, operational plans, PCA and context analyses, team workshop documentations</p> <p>Progress reporting, team workshop documentations</p>	<p>Discussion of risk monitoring documentation with principal and chief advisors</p> <p>Addressing unintended effects in all stakeholder contacts during the evaluation field phase</p>	<p>Document analysis</p> <p>Semi-structured interviews</p> <p>Document analysis</p> <p>Semi-structured interviews</p>	<p>High (due to the role of conflict mitigation and peace-building as central goal of the programme --> high sensitivity of project staff and all partners)</p> <p>Unknown</p> <p>Unintended results and the outcomes of risk management can be mapped only to the degree of which stakeholders are aware of the respective occurrences and changes.</p>

* The first and the second evaluation dimensions are interrelated: if the contribution of the project outcome to the impact is low or not plausible (2nd evaluation dimension) this must be considered for the assessment of the first evaluation dimension also.

** risks, negative results and trade-offs are separate aspects and are all to be discussed here.

	Assessment Dimension	Evaluation questions (pilot-phase, work in progress)	Evaluation indicators (pilot phase, only available in German so far)	Evaluation indicator achievement	Available data sources	Additional data collection	Evaluation strategy (evaluation design, method, procedure)	Expected evidence strength (narrative)
	EFFICIENCY (max. 100 points)			0%, 25%, 50%, 75% 100%				
Efficiency	<p>The project's use of resources is appropriate with regard to the outputs achieved.</p> <p>[Production efficiency: Resources/Outputs]</p> <p>Max. 70 points</p>	<p>1 To what extent are there deviations between the identified costs and the projected costs? What are the reasons for the identified deviation(s)?</p> <p>2 Focus: To what extent could the outputs have been maximised with the same amount of resources and under the same framework conditions and with the same or better quality</p>	<p>Das Vorhaben steuert seine Ressourcen gemäß des geplanten Kostenplans (Kostenzeilen). Nur bei nachvollziehbarer Begründung erfolgen Abweichungen vom Kostenplan.</p> <p>Das Vorhaben reflektiert, ob die vereinbarten Wirkungen mit den vorhandenen Mitteln erreicht werden können.</p>		<p>Project offer, Costing-plan, Cost-Obigo-Data, Efficiency Tool, Operational Plans, Progress Reports, Interviews with GIZ-staff during inception mission</p> <p>Operational Plans, Progress Reports, Interviews with GIZ-staff during inception mission</p>	Int-GIZ	<p>Cost analysis, further document analysis and semi-structured interviews</p> <p>Follow-the-money approach</p> <p>Document analysis and semi-structured interviews</p>	<p>High for current, low for previous management (overall: medium to high)</p> <p>High for current, low for previous management (overall: medium to high)</p>

	(maximum principle)? (methodological minimum standard: Follow-the-money approach)	Das Vorhaben steuert seine Ressourcen gemäß der geplanten Kosten für die vereinbarten Leistungen (Outputs). Nur bei nachvollziehbarer Begründung erfolgen Abweichungen von den Kosten.		Project offer, Costing-plan, Cost-Obligo-Data, Efficiency Tool, Operational Plans, Progress Reports, Interviews with GIZ-staff during inception mission	Cost-analysis and semi-structured interviews Follow-the -money approach	High for current, low for previous management (overall: medium to high)
		Die übergreifenden Kosten des Vorhabens stehen in einem angemessenen Verhältnis zu den Kosten für die Outputs.		Project offer, Efficiency Tool, progress reports, interviews with GIZ-staff during inception mission	Cost-analysis and semi-structured interviews Follow-the -money approach	Medium (There is no objective benchmark for "angemessen")
		Die durch ZASS Aufschriebe erbrachten Leistungen haben einen nachvollziehbaren Mehrwert für die Erreichung der Outputs des Vorhabens.		Cost-Obligo-Data, Efficiency Tool, Progress Reports, Interviews with GIZ-staff during inception mission	Cost-analysis and semi-structured interviews Follow-the -money approach	High
	3 Focus: To what extent could outputs have been maximised by reallocating resources between the outputs? (methodological minimum standard: Follow-the-money approach)	Das Vorhaben steuert seine Ressourcen, um andere Outputs schneller/ besser zu erreichen, wenn Outputs erreicht wurden bzw. diese nicht erreicht werden können (Schlussevaluierung). Oder: Das Vorhaben steuert und plant seine Ressourcen, um andere Outputs schneller/ besser zu erreichen, wenn Outputs erreicht wurden bzw. diese nicht erreicht werden können (Zwischenevaluierung).		Project offer, Costing-plan, Cost-Obligo-Data, Efficiency Tool, Operational Plans, Progress Reports, Interviews with GIZ-staff during inception mission	Cost-analysis and semi-structured interviews Follow-the -money approach	High for current, low for previous management (overall: medium to high)
		4 Were the output/resource ratio and alternatives carefully considered during the design and implementation process – and if so, how? (methodological minimum standard: Follow-the-money approach)		Project offer, Costing-plan, Cost-Obligo-Data, Efficiency Tool, Instrument Concept, Progress Reports, Interviews with GIZ-staff during inception mission	Document analysis and semi-structured interviews	High (except the remark regarding the understanding of the indicator)
		Die im Modulvorschlag vorgeschlagene Partnerkonstellation und die damit verbundenen Interventionsebenen konnte hinsichtlich der veranschlagten Kosten in Bezug auf die angestrebten Outputs des Vorhabens gut realisiert werden.		Project offer, Costing-plan, Cost-Obligo-Data, Efficiency Tool, Progress Reports, Interviews with GIZ-staff during inception mission	Cost-analysis and semi-structured interviews Follow-the -money approach	High (except the remark regarding the understanding of the indicator)
		Der im Modulvorschlag vorgeschlagene thematische Zuschnitte für das Vorhaben konnte hinsichtlich der veranschlagten Kosten in Bezug auf die angestrebten Outputs des Vorhabens gut realisiert werden.		Project offer, Costing-plan, Cost-Obligo-Data, Efficiency Tool, Operational Plans, Progress Reports, Interviews with GIZ-staff during inception mission	Cost-analysis and semi-structured interviews Follow-the -money approach	High (except the remark regarding the understanding of the indicator)
		Die im Modulvorschlag beschriebenen Risiken sind hinsichtlich der veranschlagten Kosten in Bezug auf die angestrebten Outputs des Vorhabens gut nachvollziehbar		(-)	Cost-analysis and semi-structured interviews Follow-the -money approach	(-)
		Die im Modulvorschlag beschriebene Reichweite des Vorhabens (z.B. Regionen) konnte hinsichtlich der veranschlagten Kosten in Bezug auf die angestrebten Outputs des Vorhabens voll realisiert werden.		Project offer, Costing-plan, Cost-Obligo-Data, Efficiency Tool, Operational Plans, Progress Reports, Interviews with GIZ-staff during inception mission	Cost analysis, further document analysis and semi-structured interviews Follow-the -money approach	High (except the remark regarding the understanding of the indicator)

		Der im Modulvorschlag beschriebene Ansatz des Vorhaben hinsichtlich der zu erbringenden Outputs entspricht unter den gegebenen Rahmenbedingungen dem state-of-the-art.		Project offer, progress reports, Interviews with GLZ-staff during inception mission		Cost-analysis and semi-structured interviews Follow-the -money approach	Medium (for highly specific programme designs like the one of COSERAM, it is difficult to define a "state-of-the-art" in a way that could serve as a benchmark)
	5 For interim evaluations based on the analysis to date: To what extent are further planned expenditures meaningfully distributed among the targeted outputs?			(doesn't apply for final evaluation)	(-)	(-)	(-)
The project's use of resources is appropriate with regard to achieving the projects objective (outcome). [Allocation efficiency: Resources/Outcome] Max. 30 points	6 To what extent could the outcome have been maximised with the same amount of resources and the same or better quality (maximum principle)?	Das Vorhaben orientiert sich an internen oder externen Vergleichsgrößen, um seine Wirkungen kosteneffizient zu erreichen.		Interviews with GLZ-staff during inception mission			High for current, low for previous management (overall: medium to high)
	7 Were the outcome-resources ratio and alternatives carefully considered during the conception and implementation process – and if so, how? Were any scaling-up options considered?	Das Vorhaben steuert seine Ressourcen zwischen den Outputs, so dass die maximalen Wirkungen im Sinne des Modulziels erreicht werden. (Schlussevaluierung) Oder: Das Vorhaben steuert und plant seine Ressourcen zwischen den Outputs, so dass die maximalen Wirkungen im Sinne des Modulziels erreicht werden. (Zwischenevaluierung)		Project offer, Costing-plan, Cost-Obligo-Data, Efficiency Tool, Operational Plans, Progress Reports, Interviews with GLZ-staff during inception mission	Int-GLZ	Cost analysis, further document analysis and semis-structured interviews Follow-the -money approach	Medium (it can be evidenced, if "outcome maximization" is reflected in the programme management; if the maximum is actually achieved is based on conjectures)
		Das im Modulvorschlag vorgeschlagene Instrumentenkonzept konnte hinsichtlich der veranschlagten Kosten in Bezug auf das angestrebte Modulziel des Vorhabens gut realisiert werden. Comment by the evaluators: We don't understand how to separate this indicator from indicator 4.4. What is the "realization of the instrument concept in regard to the outputs" compared to the "realization of the instrument concept in regards to the outcome/the module objective"? From our point of view, it can be asked (1) if the instrument concept is adequate for achieving the output" and (2) if the right outputs have been chose to achieve the inteded outcome.		(-)	(-)	(-)	(-)
		Die im Modulvorschlag vorgeschlagene Partnerkonstellation und die damit verbundenen Interventionsebenen konnte hinsichtlich der veranschlagten Kosten in Bezug auf das angestrebte Modulziel des Vorhaben gut realisiert werden. Comment by the evaluators: see previous indicators		(-)	(-)	(-)	(-)
		Der im Modulvorschlag vorgeschlagene thematische Zuschnitte für das Vorhaben konnte hinsichtlich der veranschlagten Kosten in Bezug auf das angestrebte Modulziel des Vorhabens gut realisiert werden. Comment by the evaluators: see previous indicators		(-)	(-)	(-)	(-)
		Die im Modulvorschlag beschriebenen Risiken sind hinsichtlich der veranschlagten Kosten in Bezug auf das angestrebte Modulziel des Vorhabens gut nachvollziehbar.		(-)	(-)	(-)	(-)

		Die im Modulvorschlag beschriebene Reichweite des Vorhabens (z.B. Regionen) konnte hinsichtlich der veranschlagten Kosten in Bezug auf das angestrebte Modulziel des Vorhabens voll realisiert werden.		(-)	(-)	(-)	(-)
		Comment by the evaluators: see previous indicators					
		Der im Modulvorschlag beschriebene Ansatz des Vorhabens hinsichtlich das zu erbringenden Modulziels entspricht unter den gegebenen Rahmenbedingungen dem state-of-the-art.		Project offer, Interviews with GIZ-staff during inception mission	Int-GIZ	Cost-analysis and semi-structured interviews Follow-the -money approach	Medium (for highly specific programme designs like the one of COSERAM, it is difficult to define a "state-of-the-art" in a way that could serve as a benchmark)
8 To what extent were more results achieved through synergies and/or leverage of more resources, with the help of other bilateral and multilateral donors and organisations (e.g. Kofij)? If so, was the relationship between costs and results appropriate?		Das Vorhaben unternimmt die notwendigen Schritte, um Synergien mit Interventionen anderer Geber auf der Wirkungsebene vollständig zu realisieren.		Project offer, progress reports, Interviews with GIZ-staff during inception mission	(-)	Document analysis and semis-structured interviews	High
		Wirtschaftlichkeitsverluste durch unzureichende Koordinierung und Komplementarität zu Interventionen anderer Geber werden ausreichend vermieden.		Project offer, progress reports, Interviews with GIZ-staff during inception mission	(-)	Document analysis and semis-structured interviews	High
		Das Vorhaben unternimmt die notwendigen Schritte, um Synergien innerhalb der deutschen EZ vollständig zu realisieren.		Project offer, progress reports, Interviews with GIZ-staff during inception mission	Int-GIZ	Document analysis and semis-structured interviews	High
		Wirtschaftlichkeitsverluste durch unzureichende Koordinierung und Komplementarität innerhalb der deutschen EZ werden ausreichend vermieden.		Project offer, progress reports, Interviews with GIZ-staff during inception mission	Int-GIZ	Document analysis and semis-structured interviews	High
		Die Kombifinanzierung hat zu einer signifikanten Ausweitung der Wirkungen geführt bzw. diese ist zu erwarten.		(no co-financing)	(-)	(-)	(-)
		Durch die Kombifinanzierung sind die übergreifenden Kosten im Verhältnis zu den Gesamtkosten nicht überproportional gestiegen.		(no co-financing)	(-)	(-)	(-)
		Die Partnerbeiträge stehen in einem angemessenen Verhältnis zu den Kosten für die Outputs des Vorhabens		Project offer, efficiency tool, progress reports, Interviews with GIZ-staff during inception mission	Int-GIZ	Document analysis and semis-structured interviews	Medium (Partnerbeiträge in der Summe schwer zu beziffern; Evaluierung wird v.a. auf Einschätzungen von Projektmitarbeitern und Partnern beruhen)

	Assessment Dimension	Evaluation questions (pilot-phase, work in progress)	Evaluation indicator	Available data sources	Additional data collection	Evaluation strategy (evaluation design, method, procedure)	Expected evidence strength (narrative)
	SUSTAINABILITY						
Sustainability	Prerequisite for ensuring the long-term success of the project: Results are anchored in (partner) structures. Max. 50 points	<p>What has the project done to ensure that the results can be sustained in the medium to long term by the partners themselves?</p> <p>In which way are advisory contents, approaches, methods or concepts of the project anchored/institutionalised in the (partner) system?</p> <p>To what extent are the results continuously used and/or further developed by the target group and/or implementing partners?</p> <p>To what extent are resources and capacities at the individual, organisational or societal/political level in the partner country available (longer-term) to ensure the continuation of the results achieved?</p> <p>What is the project's exit strategy? How are lessons learnt prepared and documented?</p> <p>'- To what extent was the project able to strengthen deescalating factors/'connectors' (for example peace-promoting actors and institutions, structural changes, peace-promoting norms and behavior) in a sustainable way? Please list these factors and 'connectors'. - To what extent was the project able to ensure that escalating factors/'dividers' (destructive institutions, structures, norms and behavior) have not been strengthened (indirectly) by the project in a sustainable way? Please list these factors and 'dividers'.</p>	<p>(1) Individual and organizational and institutional capacities for inclusive protected area management are consolidated</p> <p>(2) Extent to which inclusive gender and conflict-sensitive dialogue mechanisms and cooperation structures stimulated by the project have been institutionalized or assumed as a routine by key stakeholders.</p> <p>(3) Extent to which the biodiversity monitoring and related mechanisms (e.g. BioStewards) are anchored in the partner structures (including the availability of resources and personnel)</p> <p>(4) Extent to which the promotion of livelihood Initiatives and inclusive business promotion has been assumed by partner organizations</p> <p>(3) Extent to which project results are anchored in public policies</p>	<p>Progress reports, Specific Knowledge products of IP4Biodiv</p> <p>Progress reports, Specific Knowledge products of IP4Biodiv</p> <p>Progress reports, Specific Knowledge products of IP4Biodiv</p> <p>Progress reports, Specific Knowledge products of IP4Biodiv</p> <p>Progress reports</p>	<p>Triangulation with perceptions of involved stakeholders (particularly PAMB members)</p> <p>Triangulation with perceptions of implementing agencies, in particular local and regional government</p> <p>Triangulation with perceptions of stakeholders involved in biodiversity monitoring and the use of data</p> <p>Triangulation with perceptions of representatives of organizations involved in livelihood and inclusive business initiatives</p> <p>Triangulation with perceptions of regional and national government representatives</p>	<p>Document analysis, secondary data analysis Semi-structured interviews and focus group discussions with the mentioned stakeholders</p> <p>Document analysis, secondary data analysis Semi-structured interviews and focus group discussions with the mentioned stakeholders</p> <p>Document analysis, secondary data analysis Semi-structured interviews and focus group discussions with the mentioned stakeholders</p> <p>Document analysis, secondary data analysis Semi-structured interviews and focus group discussions with the mentioned stakeholders</p> <p>Document analysis, secondary data analysis Semi-structured interviews and focus group discussions with the mentioned stakeholders</p>	<p>Medium</p> <p>Short timeframe between the end of the project and the evaluation mission will limit the ability to clearly measure how consolidated the results are.</p>
	Forecast of durability: Results of the project are permanent, stable and long-term resilient. Max. 50 points	<p>To what extent are the results (outcome and impact) of the project durable, stable and resilient in the long-term under the given conditions?</p> <p>What risks and potentials are emerging for the durability of the results (outcome and impact) and how likely are these factors to occur? What has the project done to reduce these risks?</p>	<p><i>The core criteria for the sustainability evaluation are assumption-based instead of measurement based. Therefore, we recommend abstaining from formulating indicators (which are associated with actual measurement) and rely on the guiding questions only.</i></p>	<p>Evaluation team presenced workshop discussions related to the sustainability of the project at the partner forum during the Inception Mission</p>	<p>Opinions of all stakeholders involved in implementation and/or steering (see list of stakeholders in chapter 5 of the evaluation report)</p>	<p>Semi-structured interviews</p>	<p>Low to medium</p> <p>(assumption-based forecast; short timeframe between the end of the project and the evaluation mission, i.e. sustainability cannot yet be observed)</p>

Annex 3: List of resources

Documents on the implementation process (offer, reporting, quality-in-line, monitoring)

German Institute of Global and Area Studies (GIGA 2016): Philippinen – Politökonomische Kurzanalyse (PÖK), Februar 2016 (aktualisierte Fassung der version vom Februar 2015). Hamburg: GIGA.

GIZ (2016a): Conflict, fragility and violence – current dynamics, factors and initial ideas for the future direction of the development policy priority area of peacebuilding and conflict transformation in the Philippines. GIZ 'Peace and Security' sectoral programme on behalf of the BMZ Divisions 302 (Peace and Security) and 220 (Southeast Asia).

GIZ-COSERAM (n.d.[1]): Factsheet 'Conflict Sensitive Resource and Asset Management'.

GIZ-COSERAM (n.d. [2]): COSERAM Steering Structure (Power Point File).

GIZ-COSERAM (2010a): Programme Proposal Part A, Conflict-sensitive Resource and Asset Management (COSERAM) in the Philippines.

GIZ-COSERAM (2011a): Conceptual Framework of the Conflict Sensitive Resource and Asset Management Program (COSERAM), A joint effort of the German Development Cooperation and their Philippine Partner Institutions.

GIZ-COSERAM (2012a, 2013a, 2014a, 2015a): Deutsche Entwicklungszusammenarbeit mit den Philippinen Gemeinsame Berichterstattung (BE) zum EZ-Programm Konfliktsensible Ressourcen- und Vermögensverwaltung

GIZ-COSERAM (2014b): Konfliktsensible Ressourcenverwaltung in den Philippinen, COSERAM, TZ-Modul 1, PN: 2014.2253.4

GIZ-COSERAM (2014c): Programmvorschlag, Teil A, Konfliktsensible Ressourcen- und Vermögensverwaltung (COSERAM) in den Philippinen.

GIZ-COSERAM (2014d): Final Progress Report. Reporting, Part A, Conflict Sensitive Resource and Asset Management (COSERAM) Program, Philippines.

GIZ-COSERAM (2014e): Final Progress Report. Progress report on a TC measure carried out as part of a DC program.

GIZ-COSERAM (2014f): PPR COSERAM (PN 2009.2234.4 and 2014.2253.4), 31 January 2014.

GIZ-COSERAM (2014g): Achievements of COSERAM 2011-2014.

GIZ-COSERAM (2014h): Fragility, Conflict Affliction and Persistent Violence in the Philippines. The Caraga Context. Butuan City: GIZ, January 2014.

GIZ-COSERAM (2014i): PPR COSERAM (PN 2009.2234.4 and 2014.2253.4), 31st January 2014.

GIZ-COSERAM (2015b, 2016a, 2017a, 2018a) Conflict Sensitive Resource Management in the Philippines – TC module 1. Progress Report.

GIZ-COSERAM (2015e): Minutes of the COSERAM Team Workshop, Butuan, December 2-3, 2015.

GIZ-COSERAM (2016b): COSERAM Simplified Results Model (Power Point File).

GIZ-COSERAM (2016c): Minutes of the COSERAM Team Workshop, Mantangale, February 1-3, 2016 (including revision of core processes, actors' landscapes, capacity development strategy).

GIZ-COSERAM (2016d): Minutes of the COSERAM Team Workshop, Almont Hotel, April 25-27, 2016 (including revision of capacity development strategy, organisational structure, gender strategy, context & risk analysis).

GIZ-COSERAM (2016e, 2017b, 2018b): DC programme 'Conflict-sensitive resource and asset management in the Philippines', Operational Plans 2016 to 2018.

GIZ-COSERAM (2016f): COSERAM Context Analysis for f and 2016g) 10 and 11 – Regional Reflection Workshops – Documentation Region X. Cagayan de Oro City: GIZ.

GIZ-COSERAM (2016g): COSERAM Context Analysis for Region 10 and 11 – Regional Reflection Workshops – Documentation Region XI. Davao City: GIZ.

GIZ-COSERAM (2016h): Minutes of the COSERAM Team Workshop, Almont Hotel, 02-03 August 2016.

GIZ-COSERAM (2016i): Minutes of the COSERAM Team Workshop, Butuan Office, November 16-17, 2016, Photo Documentation.

GIZ-COSERAM (2017c): Fragility and Conflict Affliction – The Northern and Southern Mindanao Context. Final Version 02. March 2017.

GIZ-COSERAM (2017d): Fragility and Conflict Affliction – The Northern and Southern Mindanao Context, PCA-Results Matrix, 7. February 2017.

GIZ-COSERAM (2017e): Minutes of the COSERAM Team Workshop, COSERAM Office 30 March 2017.

GIZ-COSERAM (2017f): Photo Documentation, COSERAM Gender Strategy Discussion, COSERAM Office, 22 June 2017.

GIZ-COSERAM (2018c): Cooperating for Peace and Development, Sustaining Synergies. GIZ-COSERAM, November 2018.

GIZ-COSERAM (2019a): Schlussbericht zu einem TZ-Modul – Konfliktsensible Ressourcen- und Vermögensverwaltung auf den Philippinen (PN 2011.2278.7).

GIZ-IP4Biodiv (n.d. [1]): Factsheet 'Indigenous Practices for the Conservation of Biodiversity'.

GIZ-IP4Biodiv (n.d. [2]): TC measure 'Indigenous Practices for the Conservation of Biodiversity', Results Model.

GIZ-IP4Biodiv (2012a, 2013a, 2014a, 2015a, 2016a, 2017a, 2018a): Progress Reports for the TC module Indigenous Practices for Conservation of Biodiversity – TC module 2 of the DC program 'Conflict Sensitive Resource and Asset Management' (COSERAM), No. 1 to 6.

GIZ-IP4Biodiv (2014b): DC program 'Conflict Sensitive Resource and Asset Management' (COSERAM in the Philippines, TC measure): Module 2 'Indigenous Practices for the Conservation of Biodiversity' (IP4Biodiv), PN: 2011.2278.7 – modification offer for an ongoing phase owing to a change in the commission value, 19 November 2014.

GIZ-IP4Biodiv (2016b, 2017b, 2018b): TC measure 'Indigenous Practices for the Conservation of Biodiversity', Operational Plans 2016 to 2018.

GIZ-IP4Biodiv (2018c): Results Model for the module 'Indigenous Practices for the Conservation of Biodiversity' (pdf file).

GIZ-IP4Biodiv (2018d): Results of Partner for Region X, Region XI and Caraga Region XIII, summarised for the Regional Steering Committee, October 2018.

GIZ-IP4Biodiv(2019a): Schlussbericht, Indigene Praktiken zum Erhalt der Biodiversität, Philippinen (PN 2011.2278.7)

Quitoriano, Ed (2018): Conflict Transformation and Rights Awareness: Measuring Achievement for Indicator 2.

Knowledge products, manuals, guidelines etc.

Agusan Marsh Wildlife Sanctuary, Protected Area Management Board (AWMS-PAMB 2018): Manual of Operations.

Ateneo de Davao University (AdDU 2018a): Capacity Development Training for Indigenous Peoples' Mandatory Representatives – Facilitator's Manual.

Bukidnon State University (BukSU 2018a): Learning Journey 4 – Mindanao Protected Area Management Board Network: Level up for internationalization. Malaybalay City, Bukidnon.

GIZ-COSERAM (n.d.): Access to Legal Assistance and Paralegal Services, Rights Awareness, and Conflict Transformation Mechanisms.

GIZ-COSERAM (n.d.[3]): Sustainable Livelihoods Development.

GIZ-COSERAM (n.d.[4]): Conflict Sensitivity and Peace Promotion in Land Use Planning and Resource Management.

GIZ-COSERAM (n.d.[5]): Titling and Natural Resource Management in Ancestral Domain.

GIZ-COSERAM (n.d.[6]): Peace Building and Development Needs.

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