

WISSEN WAS WIRKT



Central project evaluation

Sector Programme on Social Protection (SPSP)
Project number 2017.2045.7

Evaluation Report

On behalf of GIZ by Susanne Schardt (Realitäten Bureau) and André Gersmeier (Mainlevel Consulting AG)

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Abbreviations

ADB	Asian Development Bank
AFD	Agence Française de Développement
ASP	Adaptive social protection
BMZ	German Federal Ministry for Economic Cooperation and Development
CPE	Central project evaluation
DEZA	Direktion für Entwicklung und Zusammenarbeit (<i>Swiss Agency for Development and Cooperation</i>)
EU DEVCO	European Commission Directorate-General for International Cooperation and Development
FCDO	Foreign, Commonwealth and Development Office of the UK government (formerly Department for International Development, DFID)
Foc-Dis	Focus group discussion
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH
ILO	International Labour Organization
Int	Interview
ISPA	Inter Agency Social Protection Assessment
KfW	Kreditanstalt für Wiederaufbau
LNOB	Leave no one behind
MOI	Module objective indicator
OECD	Organisation for Economic Co-operation and Development
OI	Output indicator
openMIS	Open source Insurance Management Information System software
SASPP	Sahel Adaptive Social Protection Program
SDG	Sustainable Development Goal
SPACE	Social Protection Approaches to COVID-19: Expert advice helpline
SPIAC-B	Social Protection Inter-Agency Cooperation Board
SPSP	Sector Programme on Social Protection
ToC	Theory of change
UNICEF	United Nations International Children's Emergency Fund
USP	Universal social protection
WB	World Bank



The project at a glance

Global: Sector Programme Social Protection

Project number	2017.2045.7
Creditor reporting system code	16010 Social protection
Programme objective	German development cooperation is designing and providing increased support for the establishment and expansion of systems for universal social protection
Project term	1 September 2017 to 30 April 2021
Project volume	EUR 8,671,235.17
Commissioning party	German Federal Ministry for Economic Cooperation and Development (BMZ)
Lead executing agency	
Implementing organisations (in the partner country)	Not applicable
Other development organisations involved	Swiss Agency for Development and Cooperation (Direktion für Entwicklung und Zusammenarbeit, DEZA)
Target group(s)	Decision-makers at BMZ (Sector Division 101, prior to August 2020 Sector Division 403, previously 304) and other relevant organisations of German development cooperation

1 Evaluation objectives and questions

This chapter aims to describe the purpose of the evaluation, the standard evaluation criteria, and additional stakeholders' knowledge interests and evaluation questions.

1.1 Objectives of the evaluation

The Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH evaluation unit has commissioned the independent consultants Susanne Schardt (Realitäten Bureau) and André Gersmeier (Mainlevel Consulting) to carry out an evaluation of GIZ Sector Programme on Social Protection (SPSP), located in Bonn, Germany. This is a final evaluation of the project, which started on 1 September 2017 and ended on 31 August 2020. It forms part of GIZ's centrally steered central project evaluations (CPEs).

There were no specific external or internal factors severely affecting the evaluation in a negative way. Cooperation with GIZ Corporate Unit Evaluation as well as with the project team was very fruitful and all project team members and resource persons were open and helpful in supporting both the inception and the evaluation phase. Due to ongoing COVID-19 restrictions and the diversity of stakeholders from various countries, the evaluation was carried out remotely.

1.2 Evaluation questions

The project was assessed on the basis of standardised evaluation criteria and questions to ensure comparability by GIZ. These are based on the Organisation for Economic Co-operation and Development (OECD)/Development Assistance Committee (DAC) criteria (updated 2020) for international cooperation and the evaluation criteria for German bilateral cooperation: **relevance, effectiveness, impact, efficiency and sustainability**. Aspects regarding the coherence criterion were not officially included at the time of the evaluation, but are included in the other criteria to a certain extent. As a sector initiative, SPSP works intensively on establishing coherence of the topic with German and international policies. At the same time, it has actively contributed to the shaping of international norms and standards together with international stakeholders.

For each of the OECD/DAC criteria, evaluation questions have been formulated that are the starting point of the methodological approach to this evaluation. In order to provide a robust methodology and avoid misinterpretation and mere anecdotal evidence, the evaluation team used an evaluation matrix including evaluation indicators as basis for this evaluation (Annex 1, and separate Excel document).

Evaluation dimensions and analytical questions can be found in the evaluation matrix. Aspects regarding the quality of implementation are included in all OECD/DAC criteria. Additional questions for the evaluation collected during the inception phase looked into the impact achieved through the project beyond system boundaries to see how the inputs delivered to BMZ by the project resulted in international positioning and agenda-setting of BMZ and helped to 'fly the flag' in the sphere of social protection. Another additional aspect that the evaluation team looked into, at the special request of the project team, was whether and how leverage and contribution to convergence – or coherence – was achieved through cooperating closely with other international donors and actors in the field.

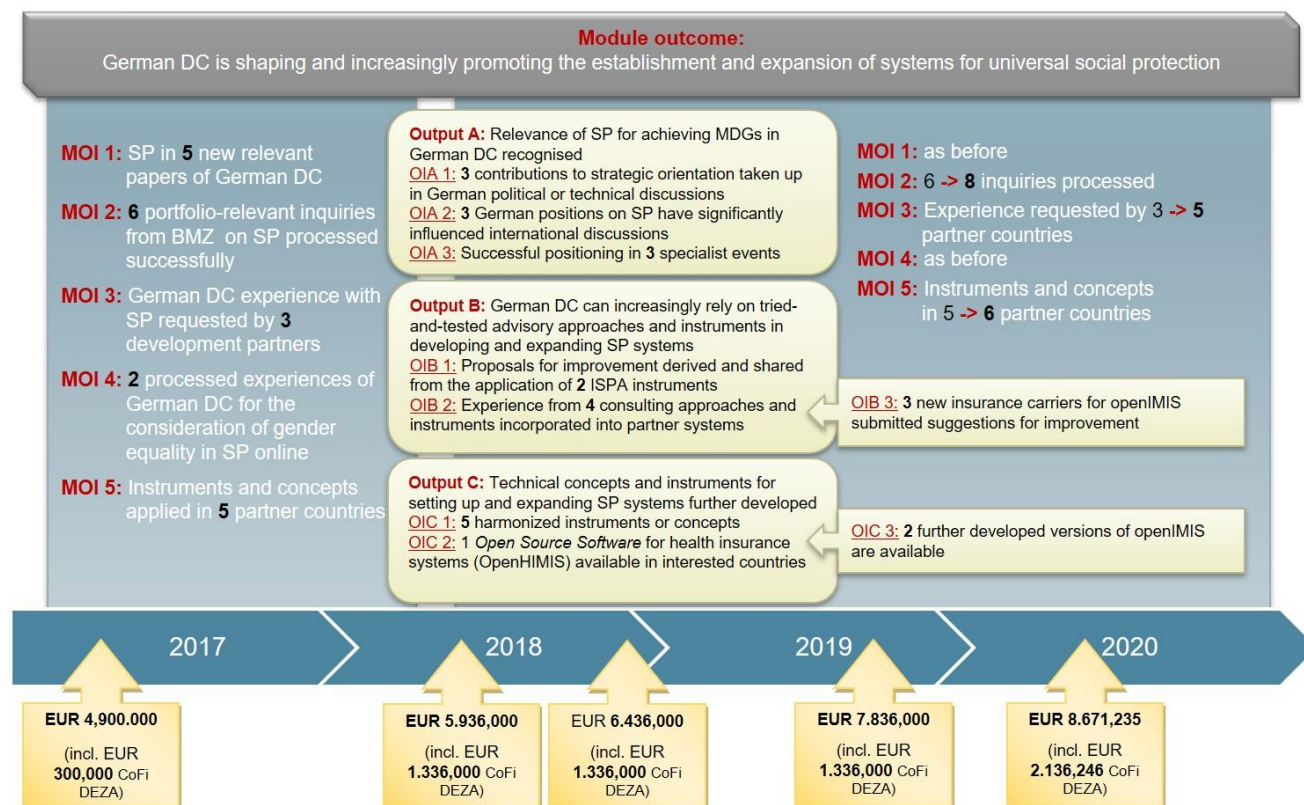
2 Object of the evaluation

This chapter aims to define the evaluation object, including the theory of change, and results hypotheses.

2.1 Definition of the evaluation object

The object of this evaluation is the Sector Programme on Social Protection (SPSP) (PN 2017.2045.7), with an overall project duration of 3 years and 7 months¹ (September 2017 to April 2021). The project started with a total budget of EUR 4.9 million, of which EUR 300,000 was cofinanced by the Swiss Agency for Development and Cooperation / Direktion für Entwicklung und Zusammenarbeit (DEZA). There were several budget increases over the course of the project: in 2018, the total budget of the project was increased to EUR 5.936 million, with increased cofinancing from DEZA of EUR 1.336 million, based on a modification offer in which some of the module objective indicators (MOIs) were also increased and two new output indicators (OIs) added (for a detailed overview, see Figure 1). In August 2018, another simple modification offer (without conceptual changes) was submitted to BMZ and the budget was increased to EUR 6.436 million, while the cofinancing from DEZA remained the same. In early 2019, the total budget was increased to EUR 7.836 million by BMZ based on a simple modification offer, and in 2020, the budget was increased again to EUR 8.671 million, including increased cofinancing from DEZA of EUR 2.136 million. For better understanding of the changes in the project, the evaluation team produced the following timeline, which was also discussed with the project team during the inception mission. In the overview, the originally German outcome, outputs and indicators have been translated into English by the evaluation team and abbreviated for better readability.

Figure 1: Project timeline



¹ The prolongation of seven months was decided after the evaluation period.

The primary task of SPSP was to advise BMZ on social protection. In order to ensure better international positioning and practical relevance, activities were taken up in international networks and at country level. To carry out its task, the project worked in three fields of action: positioning, practical work and further development and innovation. The project designed its contributions to the development of concepts and instruments.

The target group of the project were decision-makers in BMZ and other relevant organisations of German development cooperation who were concerned with social protection. As a sector project, SPSP did not follow a multilevel approach, and nor did it engage in capacity development in the classical sense. Instead, it worked essentially at the macro level in moving the political agenda in the area of social protection through technical support to BMZ and active participation in international strategic networks. Hence, in the positioning action field, BMZ Sector Division 403 Health, Population Policy and Social Protection (new since 1 August 2020: 101 Population Policy, Social Protection) was supported at national and international level in its technical and political positioning as well as vis-à-vis other units of German development cooperation. The second field of action, practice, fed the experience and lessons learned from its own application of concepts and instruments, as well as from bilateral German development cooperation projects, into a wider political and international context. The third field of action, further development and innovation, focused on the development and advancement of specialised concepts and instruments for the establishment and expansion of social protection in a wider, mostly international context.

The most important implementation partner of SPSP was BMZ (Sector Division 403, and since 2020, Sector Division 101) in its dual function as both client and recipient of the project's advisory services. As a cofinancing partner – focusing on openIMIS activities – DEZA was also both client and recipient of advisory services of the project. At country level, SPSP cooperated with relevant actors in international and German development cooperation and their governmental and non-governmental partner organisations (e.g. ministries of social affairs, health, finance, economics, interministerial committees and working groups on social protection). At international level, SPSP collaborated with a large number of diverse bilateral and multilateral partners. The most important of these include the European Commission Directorate-General for International Cooperation and Development (EU DEVCO), the International Labour Organization (ILO), the United Nations International Children's Emergency Fund (UNICEF) and the World Bank (WB). In the European context, it also collaborated with the Government of Finland's National Institute for Health and Welfare and with the Foreign, Commonwealth and Development Office of the UK government (FCDO, formerly the Department for International Development (DFID)), as well as the Agence Française de Développement (AFD).

2.2 Results model including hypotheses

Contribution analyses according to Mayne (2012) form a cornerstone in this evaluation. A project's ToC is central to a contribution analysis, to make credible causal statements on interventions and their observable results. The ToC is essential for assessing all five OECD/DAC criteria and selecting hypotheses for the contribution analysis as part of the criteria effectiveness and impact. At GIZ, a ToC is visualised in results models and complemented by narratives, including corresponding hypotheses. A results model is a graphical representation of the project. It describes the logical connection and interrelationship of results and how they contribute to the overall objective. A results model defines all possible results within the project, change hypotheses, including multidimensional causalities, system boundaries, assumptions and risks and external factors of the project. A main added value of basing the evaluation on a results model is the enhanced visibility of causalities beyond linear and mono-dimensional relationships between different results at different results levels (i.e. outputs, outcomes and impact). Prior to the inception mission, the evaluation team reviewed the project's results model. Both the evaluation team and the project team agreed that the model had to be revised to ensure a realistic representation of the project's activities and results and to enhance its usage, because (i) programme targets and services towards BMZ evolve dynamically in response to BMZ demand and the

evolving international agenda in social protection; (ii) the previous results model from October 2017 was developed by members of the project team who are no longer part of the project, and it has not been updated since; (iii) it was conceptualised only in German, limiting the actual use of the model; (iv) consequently, the model did not represent the current state and development of the project's strategy and was revised and updated with the project team during the inception mission. However, due to the limited time allocated to a common reconstruction of the results model during the inception mission, the project team revised it a second time after the inception mission, as shown in Figure 2. The corresponding narrative, that is, the elaboration of underlying hypotheses, is given below.

The project's objective was to increase the promotion, establishment and expansion of social protection systems through German development cooperation. It was deemed necessary to further break down the objective into different dimensions to specify the contribution of the results. Thus, it differentiates between several outcomes, namely A3–A5 about results at BMZ level, B4–B6 about results at partner level, and C2 as a result of tools and instruments provided by the project for social protection.

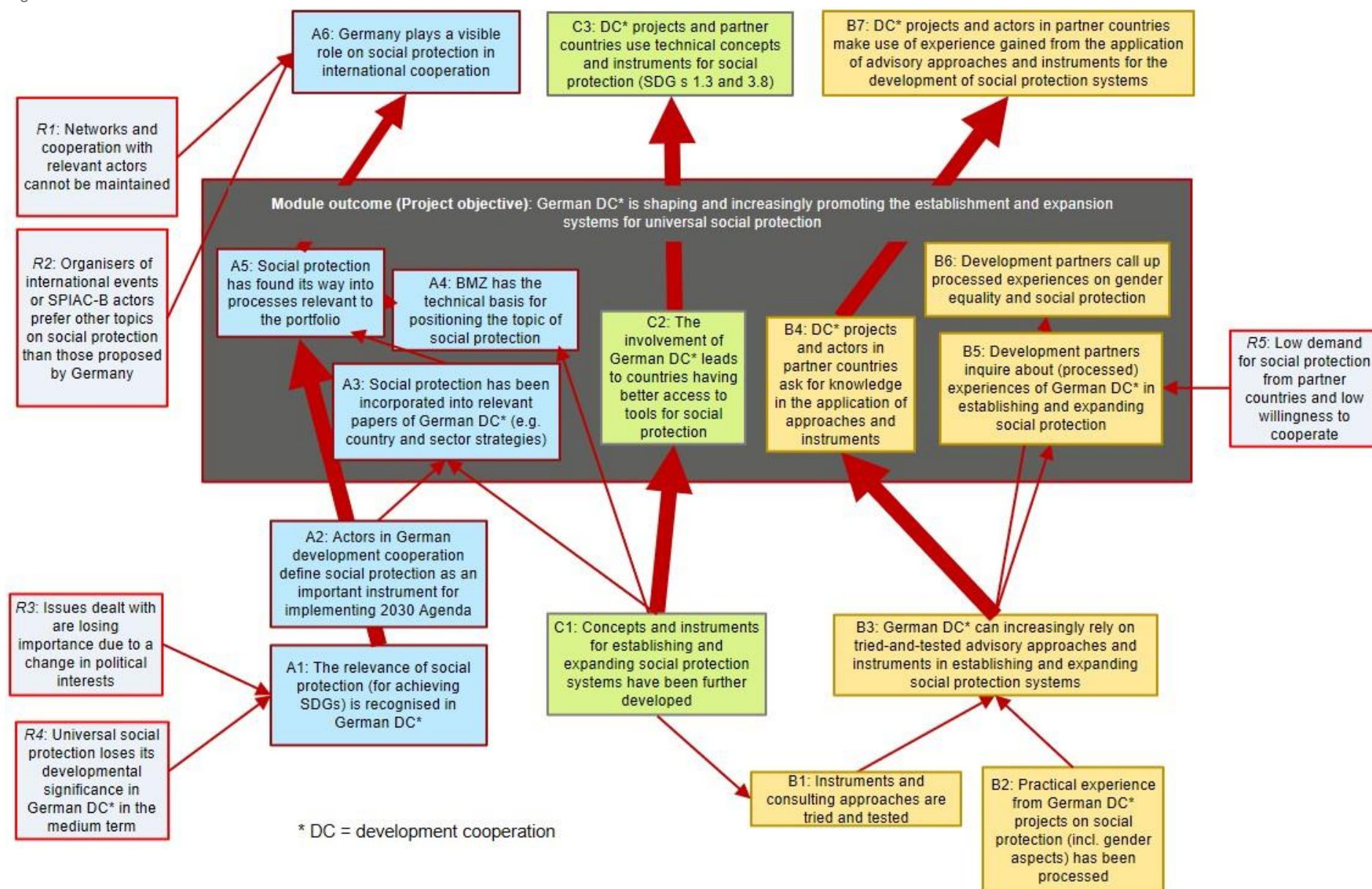
Results line A: As human and technical resources at BMZ level were assumed to be limited, the main results at output level were to increase the relevance of social protection at BMZ level (A1) and therefore define social protection as an important instrument for implementing the 2030 Agenda for Sustainable Development (A2). Consequently, at outcome level the activities are meant to result in relevant papers of German development cooperation (A3) and in processes relevant to the portfolio (A5). As a consequence of developing concepts and instruments, the project aimed to increase the technical basis for positioning social protection (A4), especially with regard to universal social protection (USP), adaptive social protection (ASP) and digital social protection.² Accordingly, the pathway from A1 to A5 was chosen as results hypothesis 1.1. At impact level, these results should lead to German development cooperation being visible at a multilateral level (WB, ILO, FCDO) and influencing the portfolio of social protection (A6). Hence, the impact of A5 to A6 was chosen as hypothesis 1.2 (see Section 4.4).

Results line B: At output level, the project focused on increasing the knowledge of tried-and-tested instruments (B1) as well as on practical experience from German development cooperation, including gender aspects (B2), so that German development cooperation can increasingly rely on tried-and-tested advisory approaches and instruments (B3). The Social Protection Approaches to COVID-19: Expert advice helpline (SPACE) was identified as providing a major contribution to result B3. At outcome level, these results should lead to project partners enquiring about the experiences of German development cooperation on social protection (B5) and requesting information on the practical application of approaches and instruments (B4). Accordingly, the pathway from B3 to B4 was chosen as a results hypothesis 2.1 (see Section 4.3). In addition, experiences relating to gender equality and social protection is thought to be a sector expertise sought by development partners. At impact level, German development cooperation experiences and advisory approaches should result in partner countries making use of tried-and-tested approaches and instruments for the development of (national) social protection systems. Therefore, the impact from B4 to B7 was chosen as hypothesis 2.2. (see Section 4.4)

Results line C: It was agreed during the inception mission that output C1 played a crucial role during the project implementation. C1 mainly deals with activities concerning the openIMIS software. At outcome level, the further development of openIMIS should increase the applicability of such tools to social (health) protection schemes in partner countries, resulting in openIMIS being used as the management software for social protection (C3). Accordingly, the pathways from C1 to C2 and from C2 to C3 were chosen as results

² To achieve convergence in the digital social protection space and conceptual work in the Social Protection Inter-Agency Cooperation Board (SPIAC-B) working group on digital social protection, papers on integrated management information systems, data protection and privacy in social protection, artificial intelligence and social protection, and technical advice as well as openIMIS

Figure 2: Results model



hypotheses 3.1 (see Section 4.3) and 3.2 (see Section 4.4).

The system boundary is defined on the basis of the scope of control of the project, that is, results outside the system boundary are beyond the exclusive responsibility of the project and, indeed, are affected by other factors, stakeholders and interventions. As the project is not directly active in the practical implementation of tools for and approaches to social protection, these lie outside the system boundaries (A6, D3, B7). In general, results that require political will and support lie outside the model's system boundary, as do changes in the commitment of political actors (for instance, caused by elections) that cannot be controlled by the project.

Risks affecting the project's success relate mostly to low importance and relevance (R3) and low significance (R4) at BMZ level. As an example, USP lost its significance for BMZ during the course of the project. Moreover, changes in contact persons and staff at the responsible BMZ unit are considered a high risk for continuity and achievement of the envisaged results. In addition, low demand and willingness for cooperation from partner countries as a result of different priorities were identified as a risk (R5). This has changed as a result of the COVID-19 pandemic, although demand from partner countries is still not optimal (see also Section 4). At the level of multilateral cooperation, risks were also highlighted in relation to losing connection to networks and relevant stakeholders due to different priorities than those proposed by German development cooperation on the topic of social protection (R2).

During the inception mission, unintended results could not be detected. Therefore, the identification of unintended results was part of the evaluation mission. As a sector project, SPSP has changed its priorities in line with BMZ demand. One topic that was not intended, but that emerged during the course of the programme and developed into a strong focus area, is digital social protection (coordination and conceptual work in the Social Protection Inter-Agency Cooperation Board (SPIAC-B) working group on digital social protection).

Social protection is a human right and a vital constituent of sustainable development. It helps to reduce poverty and inequality and enables disadvantaged population groups to participate in social, economic and political development. The Sustainable Development Goals (SDGs) of the 2030 Agenda are driving international efforts to ensure that all people have access to social protection. Target 1.3 emphasises the need for universal access to social protection, which is additionally recognised as a key to achieving further SDGs. Against this background, SPSP aimed to establish and develop social protection systems with a view to creating universal social safety nets as a contribution to the implementation of the 2030 Agenda. The plan was to respond to the high demand from partner countries and to strengthen and harness Germany's reputation in this area. In the medium term, this was to lead to the implementation of additional social protection measures that benefit disadvantaged and vulnerable population groups. The reference to the interaction between social, economic and environmental results as a contribution to the SDGs is evident in SPSP, but will not be part of the follow-up projects, namely the new sector initiative on social protection (September 2020 to November 2022), and the global initiative Social Protection Innovation and Learning (September 2020 to August 2023). However, the latter project seeks to implement the digitisation strategy of BMZ in an important field of public services and facilitates the financial access of all citizens to health care and other social protection mechanisms (e.g. employment injury insurance). It thus contributes to Universal Health Coverage (SDGs 1.3 and 3.8) and USP through scalable solutions in the form of open source software (openIMIS) as a global good.

As mentioned in Section 2.1, SPSP works essentially at the macro level. This is reflected in the project's outcome and its indicators, which measure the extent to which SPSP was able to contribute to an incorporation of social protection issues into relevant German development cooperation policy papers and to deal with corresponding requests from BMZ on the issue (MOI 1 and MOI 2). Although the variables that move the political agenda are not controllable by the project and interest in certain issues may vary on the side of BMZ, the assessment revealed that all MOIs and outputs had been achieved, and in parts even overachieved, by the end of the project on 31 August 2020.

A SMART³ assessment of the project's indicators was provided in Section 3.2 of the inception report. The analysis revealed that although indicators are SMART in principle, not all of them are formulated in a completely specific way: formulations such as 'significant influence' (as in OI A2) are hard to measure because 'significance' is not clearly defined. It also emerged that during the evaluation, this distinction was hard to define with interviewees. The evaluators assessed that keeping the term "Universal Social Protection" throughout the course of the project was confusing, because it refers to a defined and integrated set of policies designed to ensure income security and support to all members of a society (especially the vulnerable and poor).⁴ USP is a globally defined goal to which BMZ generally subscribes, but on which it has not focused as much during the course of the project as it did in the beginning. The term 'USP' is therefore much more comprehensive than the actual approach of the project after BMZ decided that USP was no longer a priority. Since that time, the project's approach to social protection was more flexible and needs-oriented, but also more fragmented than the term USP implies. It would have been wise to adapt the wording of the results matrix accordingly to clarify which approach(es) are actually included in the concept and which are not. This would also have enhanced the evaluability of the indicators (see also Section 4.3).

MOI 4, the 'gender indicator', seeks to measure the number of processed experiences on gender equality in social protection measures that were retrieved online. The results matrix states that the achievement of this indicator is to be measured by verification of availability only, rather than requests.

Annex 2 contains the original results matrix that was produced in 2017 and also mentions the changes and additions that were made to it in the modification offer of 2018. The translation into English is provided by the evaluation team.

3 Evaluability and evaluation process

This chapter aims to clarify the availability and quality of data and the process of the evaluation.

3.1 Evaluability: data availability and quality

Both the project team and the interview partners have been very helpful in providing the evaluation team with the necessary documents, including predecessor and follow-up projects, as well as with additional documents and links to websites.⁵

The monitoring system of the project is well maintained. Separate Excel files are kept in order to monitor the deliveries to BMZ and to measure the achievements of indicators (Wirkungsmonitor). Annual reports provide a regular status update based on data from these documents. The evaluation team were given access to all indicator-based monitoring documents, which were only recently updated (in August 2020). As a sector project delivering direct services to BMZ, the monitoring system is, of course, based on BMZ's monitoring system. However, as an important donor for openIMIS, DEZA also receives regular updates according to its monitoring and reporting requirements. The evaluation concentrated mostly on the monitoring data collected according to GIZ standards, but also included monitoring data, reports and feedback from DEZA on openIMIS. Although Kompass was not used as an observation tool, the project team has been rather proactive and flexible in

³ Specific, Measurable, Achievable, Relevant, Time-bound.

⁴ As defined by WB and ILO in 2016: <https://www.social-protection.org/gimi/gess/RessourcePDF.action?id=54051>

⁵ Of particular relevance here are <https://socialprotection.org/> – the knowledge-sharing platform on social protection – and <https://openimis.org/> – the website of the openIMIS Initiative, to extend the reach of openIMIS globally,

adapting to international agendas and principles as well as to the requirements of clients and partners. The way in which this has been done and how consultations with clients and partners have acted as a lever for better achievement of objectives was subject of the evaluation phase and is discussed in Section 4.

Except for a gender analysis conducted as part of the preparation process for the project in July 2017, which gave recommendations for the gender-sensitive design of the project, no baseline study was conducted before the start of the project in 2017. However, predecessor projects have been running since 2005, enabling SPSP to make use of this long history and build on their experience and approaches. The experience gathered during the implementation phases and the lessons learned from the previous sector projects on social protection were used as a basis for the development and implementation of the project. How continuity was created by SPSP was also part of the evaluation, for instance in interviews (Int) and focus group discussions (Foc-Dis) with staff of predecessor projects.

3.2 Evaluation process

The evaluation included an inception phase, a data collection phase and an analysis and reporting phase. The inception phase lasted from May to July 2020 and included clarification of roles in the evaluation team, explorative interviews with the GIZ evaluation unit, and workshops with the project team as well as a desk study and the elaboration of the inception report. The evaluation mission lasted from October to November 2020. At the end of the data collection, interviews and focus group discussions, the evaluators conducted a debriefing and validation workshop with the project team on 6 November 2020 to support the triangulation of results and the validation of findings, potentially revealing explaining factors for certain developments and results under each criterion.

Involvement of stakeholders

The involvement of various stakeholders in the evaluation is central to CPE and strongly determines the success of the evaluation and acceptance of the evaluation findings and recommendations. SPSP cooperated with a large number of partners at various levels and scattered across many countries. This did not allow for the evaluation team to conduct the evaluation – especially interviews – in person. Restrictions related to the COVID-19 pandemic added to the decision to conduct a remote evaluation. Hence, interviews and focus group discussions were conducted via Microsoft Teams or – in two cases – via telephone. In addition to the stakeholder map compiled with the SPSP team during the inception mission, the SPSP team sent a list of the most relevant resource persons in preparation for the evaluation phase, which was again discussed and fine-tuned. Consequently, the evaluation mission included 13 individual interviews and 6 focus group discussions with 26 stakeholders altogether. These were conducted remotely in the period 26 October to 19 November 2020. A list of the stakeholders of the evaluation can be found in Table 1.

Documentation of interview results

The evaluation team used digital collaboration tools for the documentation and researcher triangulation. For efficient data management and analysis, all qualitative findings from the documents, interviews, focus group discussions and participatory methods were compiled using one central Excel file containing the OECD/DAC criteria, evaluation questions and stakeholder and document information. The file was stored in the evaluation team's own Microsoft Teams space so that both evaluators could contribute and triangulate their insight in one document. This allowed for a 'single source of truth' approach, to ensure that duplication of data and loss of information were minimised. In addition, due to the remote set-up, each day of interviews and/or focus group discussions was the subject of a debrief by the evaluation team virtually to allow for information to be summarised and discussed.

Names and other personal data of interview and discussion participations were not revealed and Chatham House Rules were applied to allow interview partners to openly discuss their views in private while publishing the topic and general results of the debate. To ensure anonymity, coding was used according to the guidelines of GIZ's central evaluation unit and Regulation (EU) 2016/679 of the European Parliament and of the Council. The password-protected coding list will be shared with GIZ central evaluation unit only.

The original idea of conducting an online survey was again discussed with the project team in detail at the beginning of the evaluation phase. The discussion revealed that such a survey would take a lot of time and might not produce the expected quantitative data. Hence, it was decided between the evaluation team and the project that a survey would be carried out only if other evaluation methods revealed the need to have certain statements, questions, etc., validated further by a larger target group and classified quantitatively. However, the methods used (individual semi-structured interviews and focus group discussions, as well as data and documents) proved to be exhaustive enough to answer and validate the questions agreed upon in the inception report and evaluation matrix. Therefore, the evaluators refrained from conducting a survey, as this would have involved a considerable amount of work and time for the analysis and would clearly have exceeded the scope of the assignment.

Table 1: List of stakeholders of the evaluation

Organisation/company/ target group	Overall number of persons involved in evaluation (including gender disaggregation)	No. of interview participants	No. of focus group participants	No. of workshop participants	No. of survey participants
Donors	3 f, 1 m		2		–
BMZ					
DEZA					
GIZ	3 f, 5 m	2	6		
GIZ project team/GIZ partner country staff					
GIZ headquarters Germany					
Partner organisations (direct target) group)					
Not applicable					
Other stakeholders (public actors, other	4 f, 6 m	5	5		
International Labour Organization (ILO)					
World Bank (WB)					
Agence Française de Développement (AFD)					
European Commission Directorate-General for International Cooperation and Development (EU DEVCO)					
Government of Finland's National Institute for Health and Welfare					
Foreign, Commonwealth and Development Office (FCDO – formerly DFID)					
Asian Development Bank (ADB)					
Civil society and private	2 f, 2 m	4			
Consultants					
Asia eHealth Information Network					
Swiss Tropical and Public Health Institute					
Universities and think					
None					
Final beneficiaries (indirect target groups)					
Not applicable					
Note: f = female; m = male					

4 Assessment of the project according to OECD/DAC criteria

Chapter 4 provides information on how the evaluation team assessed the project against the OECD/DAC criteria. Questions related to project management were based on the five Capacity WORKS success factors: strategy, cooperation management, process structure, innovation and learning.

The evaluation team used quantitative methods such as a desk review of documents and websites and qualitative methods such as semi-structured individual interviews via phone and Microsoft Teams using 'think aloud' and paraphrasing techniques⁶ to avoid bias created by a wrong question or method (suggestive question, cultural insensitivity). Another qualitative method used was focus group discussions based on semi-structured guidelines with groups of stakeholders from the same background, such as BMZ, GIZ or other partners of the project involved in different networks, as well as consultants. A first triangulation on the selection of interview partners had already been done during the inception phase.

The methods used during the evaluation mission were adapted to the issue at stake for every OECD/DAC criterion, but also to available sources, technical means and resource persons. The evaluation team used both quantitative methods and qualitative narrative methods under each criterion for methodological triangulation and validation of results.

4.1 Long-term results of predecessor(s)

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

The project has a long history with predecessor projects starting as early as 2005. The project team tried to supply documents from these predecessor projects, but were only able to provide a short version of a progress review covering the years 2011 to 2013 that also takes into account developments from 2005 onwards. Unfortunately, no project documents covering 2013 to 2017 could be provided; only a short version of a project evaluation from September 2013 covering mainly the period 2011 to 2013 was available. Hence, the evaluators analysed the documents that were made available and also decided to interview persons at GIZ and BMZ level who had been involved in or collaborated with the predecessor project. In particular, these were BMZ staff in the responsible sector department, staff of predecessor projects at GIZ and other GIZ staff who had collaborated with the predecessor projects. They were involved as resource persons to provide information about long-term strategies and results. The evaluation team is aware that this evaluation method is mostly qualitative and narrative and that due to a lack of documents, it was not possible to make cross-references to project quantitative data sources and to triangulate and verify evaluation results. Results of qualitative methods – interviews and focus group discussions – have thus been integrated into the assessment of the project running from 2017 to 2020 to evaluate how strategies, products and results from predecessor projects have been integrated and used during the period under evaluation. In general, SPSP has been able to build on the already high relevance of the predecessor projects. Following the strategic approach of the predecessors to focus on contributing expertise, methods, negotiation and mediation skills to international committees, networks and events, in addition to answering requests from BMZ, SPSP was able to expand the topics tackled by the predecessors with a view to making instruments and concepts more flexible and more widely available to potential users.

⁶ Think aloud involves inviting participants to redefine the questions asked and question the methodology used to gather their knowledge. The technique does not require additional resources but has proven to create engagement and to ensure effective answering of the question. Paraphrasing entails asking participants to comment on affirmations rather than answering direct questions. It fosters neutral answers, giving participants the opportunity to question concepts, and opens the discussion.

4.2 Relevance

The relevance criterion examines whether the project is doing the right thing. An assessment is conducted of the extent to which the project's objectives are consistent with the key strategic reference framework in the field of social protection (policy and sector strategies of German development cooperation), the priorities of the target groups (in the case of a sector project, these are mainly the clients BMZ and DEZA) and the policies of the involved partner countries in which the openIMIS and other concepts and tools to implement a social protection scheme have been piloted. The relevance criterion also assesses the extent to which the project is designed to meet the SDGs and principles (e.g. 'leave no one behind', LNOB) of the 2030 Agenda and the Safeguards (environment, climate, conflict and context sensitivity, human rights) & Gender system.

Evaluation basis and design for assessing relevance

In this context, the design and the results logic (ToC) underlying the project was assessed, as were the analyses commissioned or conducted by the project on which the project strategy was based (gender, conflict, economics). In addition, the evaluators analysed project documents and BMZ publications as well as international documents that were drawn up with inputs from the project for references to strategies for social protection. Interviews and focus group discussions were used as qualitative assessment methods and for triangulation.

Relevance dimension 1

Evaluation basis: The evaluation analysed whether the desired results at the outcome and impact level of the project (see results model in Section 2.2 and results matrix in Annex 2) were in line with relevant strategic reference frameworks – for example the priorities of BMZ – as well as with international strategy papers and recommendations.

Evaluation design and methods: As indicated in the evaluation matrix, the relevance criterion was mainly assessed through the analyses of project documents, especially the offer and modification offers. Additional strategic documents and primary data from stakeholders such as BMZ were also taken into account in assessing references to the topic of social protection. Furthermore, the relevance criterion was addressed in interviews and focus group discussions to achieve qualitative feedback for the evaluation of the criterion. In order to achieve a clear distinction between the relevance, effectiveness and impact criteria, the analysis of relevance was based on papers that were already available at the beginning of the project in 2017 as well as on pre-project design analyses (such as gender analysis) and planning documents for the current project (such as project offer, modification offers and actor analyses). In interviews and focus group discussions, however, it was difficult to assess which developments had already started before September 2017 and which had not, as the current project took up many of the processes already started during predecessor projects. To this end, it was also evaluated whether and to what extent the project design is subsidiary to efforts of other relevant organisations in the field. An assessment of changed priorities at BMZ was conducted by evaluating and comparing former and current priority topics at BMZ level through document analysis and interviews.

Relevance dimension 2

Evaluation basis: The project operates at the macro and meso level, and does not directly impact final beneficiaries. Hence, the project's focus areas and activities were in contrast to strategic reference documents of German and international partners as well as country strategies, portfolios and initiatives in the selected partner countries of the project (Nepal and Cambodia were chosen as examples).

Evaluation design and methods: To understand the project's relevance for the foreseen target group, key strategic documents underwent secondary data analysis and were compared with the reference made to them in the project documents (offers, concepts, gender analysis).

Relevance dimensions 3 and 4

Evaluation basis: The evaluation assessed whether the project outcome was specific and achievable given the approach of the project to support the shaping and promotion of systems for social protection in German development cooperation and to contribute to sector and policy papers. The project's results model was discussed and reconstructed during the inception phase to enable better analysis of the project design and underlying ToC. To understand changes during the implementation (dimension 4), the modification offers, progress reports and other supporting documents were analysed and reflected with stakeholder opinions, especially from BMZ and DEZA.

Evaluation design and methods: The reconstructed results model of the project formed the basis of the evaluation and contribution analysis. The project objective and the three outputs were specific and achievable. Unintended results had already been discussed during the inception mission and verified during interviews and discussions with key stakeholders. Secondary data sources underwent a qualitative content assessment through interviews and focus group discussions.

Analysis and assessment of relevance

Relevance – Dimension 1: The project design is in line with the relevant strategic reference frameworks.

The project is in line with international conventions and guidelines, such as the ILO New Consensus on Social Security reached at the 89th Session in June 2001 at the International Labour Conference (ILO 2001). The ILO consensus stresses the importance of social protection for economic development and the wellbeing of workers, their families and the community as a whole and states that 'highest priority should go to policies and initiatives to extend social security to those who have none' (ILO, 2001, p. V). BMZ laid out its policy on social protection in the BMZ Position Paper 09, Social Protection for Equitable Development (2017), to which the predecessor project contributed. The position paper states that Germany seeks to support a systemic approach to the development and expansion of social protection which 'can act as a bridge with special potential for contributing to various SDGs' (BMZ, 2017, p. 11). The project offer also makes reference to BMZ's sector concept 'social protection' of 2009, seeking to support BMZ in adapting it to current framework conditions. Further reference is made to the German contribution to the ILO Recommendation 202 on basic social protection systems of 2012, which complements existing Conventions and Recommendations by assisting member states in covering the unprotected, the poor and the most vulnerable, including workers in the informal economy and their families. The project offer also refers to the role of social protection in the achievement of various SDGs of the 2030 Agenda (Project offer 2017, p. 17f).

SDG Targets Related to Social Protection



1.3 Implement nationally appropriate social protection systems and measures for all, including floors, and by 2030 achieve substantial coverage of the poor and the vulnerable



3.8 Achieve universal health coverage (UHC), including financial risk protection, access to quality essential health care services, and access to safe, effective, quality, and affordable essential medicines and vaccines for all



8.b By 2020 develop and operationalise a global strategy for youth employment and implement the ILO Global Jobs Pact

Interview partners confirmed that SPSP had always been rather 'idealistic' in shedding light on the importance of the topic in various sectors and contexts, although the relevance of the topic could not be demonstrated prominently enough vis-à-vis higher-ranking staff at BMZ. However, most resource persons agreed that the relevance of the project and the topic were increased by the fact that social protection was incorporated into the 2030 Agenda process: 'This is a good anchor point. If this had not happened, the issue would have disappeared' (Int_12). Many resource persons also stressed that the COVID-19 pandemic increased the relevance of social protection schemes and of openIMIS as a tool for developing or expanding these: 'Now (...) things have really turned around. Now you have to hurry, because it has become evident how important it is to be able to allocate funds quickly' (Int_12). Thus, the project was also successful in demonstrating the relevance of digital social protection through tools such as openIMIS.

Relevance – Dimension 2: The project design matches the needs of the target group(s)

As a sector initiative, SPSP has BMZ as its target group. However, vulnerable populations are one of the most important target groups for health insurance or social protection schemes. During the project preparation, a gender analysis was conducted giving recommendations for the gender-sensitive design of the project (GIZ SPSP, 2017). However, no specific gender-related products, tools or instruments were produced by SPSP. The gender analysis refers to several gender-related activities that were all conducted during the predecessor projects and gives detailed recommendations on measures for a gender-sensitive and/or gender-transformative design. However, no explicit work on gender issues was conducted in SPSP, although women were mentioned as a vulnerable group for social protection in documents relating to a rapid COVID-19 response (especially regarding the use of openIMIS).

The strategy papers mentioned under evaluation dimension 1 all refer to the role of social protection in meeting the core problems of vulnerable populations. In referring to them, the project is also relevant in terms of evaluation dimension 2. In addition, the evaluators decided to look into two examples where social health protection was implemented at country level, in Nepal and Cambodia. As it turned out, openIMIS (at that time still 'IMIS') had already been introduced in Nepal before the project started in September 2017, when the Nepalese government decided to introduce a national health insurance scheme in 2014. Feedback from resource persons confirmed that due to the work of SPSP, GIZ is now able to offer a wider range of modules for the tool and is thus more user-friendly (Int_10 and Foc-Dis_1). Not only is there close technical cooperation with the openIMIS team of SPSP, but also resources were sometimes combined between the project and country projects to pilot, adapt and test adaptations. Hence, the project's openIMIS component is clearly relevant in addressing the problems and needs of vulnerable populations and in supporting governments to meet these needs through cash transfers and ASP schemes. Furthermore, many interview partners reported that in this field, the COVID-19 pandemic has accelerated recognition of ASP schemes as a means to support the populations hardest hit by the effects of the pandemic. Germany's engagement in the Sahel Adaptive Social Protection Program (SASPP) is relevant in this respect because it comprises not only financial engagement in this multidonor trust fund through BMZ, but also technical support through SPSP. SASPP supports governments in six Sahel countries⁷ to design and implement ASP programmes and systems to help vulnerable households manage the risks from shocks.⁸

Relevance – Dimension 3 and 4: The project is adequately designed to achieve the chosen project objective and the project design was adapted to changes in line with requirements and re-adapted where applicable

⁷ Burkina Faso, Chad, Mali, Mauritania, Niger and Senegal.

⁸ Shocks to a household can range from idiosyncratic shocks, such as ill health, injury, disease, disability, a death in the family or job loss, to covariate shocks that are larger in scale and affect multiple households at once. Typical covariate shocks are natural disasters, economic and financial crises, conflicts and resultant forced displacement, as well as pandemics.

The project outcome is specific and achievable given the approach of SPSP to support the shaping and promotion of systems for social protection in German development cooperation and to contribute to sector and policy papers. In 2018, the project modified its design slightly and applied for additional funds to expand the development and dissemination of openIMIS as a global good, for example through collaboration with Digital Square (an international marketplace for digital health) and regional information technology (IT) development partners in Africa and Asia, as well as global education and consultancy institutions. For better marketing and capacity development on openIMIS, support to the Asian eHealth Information Network, a non-profit eHealth exchange organisation based in the Philippines, and to Jembi Health Systems, were included in the design (Project modification offer 2018). All proposed amendments contributed to the module objective while responding to the increasing relevance of digital and open source solutions for the implementation of social protection schemes.

Overall assessment of relevance

The assessment revealed that the project could have built more capacity and ownership at BMZ sector division to enable them to push the topic forward. BMZ sometimes felt taken by surprise by activities of the project, which were sometimes perceived as arbitrary and were not planned with BMZ sector division in advance (Int_12). The relevance of the topic was there, though not very strongly before the COVID-19 pandemic. Regarding the project's relevance for the German development cooperation portfolio, this could only be demonstrated and achieved sporadically and worked best where the project also brought in its own resources (e.g. Nepal). Looking at the results matrix, it is slightly surprising that the 'universal' social protection wording remains, although the topic was no longer pursued by BMZ – or for only a few aspects at most. This could have been harmonised to strengthen the project's relevance and coherence with BMZ's policy agenda.

The overall score for the assessment criterion of relevance is **88 out of 100 points**, and this is therefore rated as **successful**.

Table 2: Assessment of relevance

Criterion	Assessment dimension	Score and rating
Relevance	The project design ⁹ is in line with the relevant strategic reference frameworks.	30 out of 30 points
	The project design matches the needs of the target group(s).	25 out of 30 points
	The project is adequately designed to achieve the chosen project objective, but gender-related aspects were not dealt with as prominently as the results model implied.	15 out of 20 points
	The project design was adapted to changes in line with requirements and re-adapted where applicable.	18 out of 20 points
Overall score and rating		Score: 88 out of 100 points Rating: successful

⁹ The 'project design' encompasses project objective and ToC (= GIZ results model = graphic illustration and narrative results hypotheses) with outputs, activities, instruments and results hypotheses as well as the implementation strategy (e.g. methodological approach, CD-strategy, results hypotheses).

4.3 Effectiveness

The guiding question regarding the effectiveness criterion is whether the project is actually reaching its objectives and, if not, what the main reasons were for not reaching them. Effectiveness also looks at how the project's (political) partners influenced the achievement of the planned objective, an influence that is particularly strong in a sector project. Therefore, the evaluation team decided to follow the contribution analysis methodology, which seeks to analyse three pathways (six causal links) within the results model from output to outcome level and from outcome to impact level (Evaluation dimensions 1 and 2). The ToC was developed during the inception mission along six hypotheses or pathways: three causal links from output to outcome level and another three causal links from outcome to impact level. These pathways also reflect the project's three fields of action. The hypotheses are highlighted in Figure 2 (Section 2.2) with big red arrows (see Evaluation dimension 2 below).

Evaluation basis and design for assessing effectiveness

Effectiveness dimension 1

Evaluation basis: The evaluation team assessed the extent to which the agreed project objective (outcome) was achieved, as measured against the MOIs. This required a comparison between the current status and the targets of the MOIs. A SMART (specific, measurable, achievable, relevant, time-bound) assessment of the MOIs was conducted and several comments made on their wording (see Section 2.2). However, the overall assessment revealed that the MOIs are SMART (see also Sections 3.2 and 4.5).

Evaluation design and methods: To assess the achievement of the MOIs, the evaluation team evaluated quantitative data sources, i.e. the project monitoring system. During a qualitative content analysis, key project documents as well as relevant external documents, i.e. those published by BMZ and other German development cooperation actors, were examined for evidence regarding the indicators. The consultants further collected perceptions from key stakeholders for triangulation.

Effectiveness dimension 2

Evaluation basis and design: A contribution analysis was conducted to assess the extent to which the activities and achieved results (outputs and outcomes) of the project contributed substantially to the achievement of the project objective. As mentioned in Section 2.2, the validated results model, including risks and assumptions, guided the analysis. To collect evidence for the outcomes, influencing factors and conflicting explanations, the evaluation team built on a mixed-method approach and a variety of data sources and data collection and analysis methods.

Evaluation methods: Evidence for the contribution analysis was collected from quantitative data sources, i.e. the project monitoring system and a qualitative analysis of key project documents and relevant external documents. It was complemented by semi-structured interviews and focus group discussions with relevant stakeholders wherever possible.

Effectiveness dimension 3

Evaluation basis: As part of the contribution analysis, the evaluation also assessed unintended changes. Some potential risks had already been taken into consideration at the beginning of the project and are depicted in Figure 2. While a few unintended results had already been mentioned during the inception mission, the evaluators also analysed the managerial set-up of the project, especially its cooperation management, to evaluate how the project dealt with unforeseen hindering factors and how it used leverage to prompt positive changes (see also Section 5.1).

Evaluation design and methods: Data and information about unintended results and on how the project

responded to them were drawn from the project's progress reports. Capacity WORKS tools used during the course of the project (i.e. various actor maps) were explored, and additional evidence from interviews and focus group discussions with stakeholders was also gathered. During these, alternative hypotheses were explored by asking the open question 'What would have happened without the project?'

Analysis and assessment of effectiveness

Effectiveness – Dimension 1: The project achieved the objective (outcome) on time in accordance with the project objective indicators

This section provides an overview of the achievement of the project's objective along the indicators of the results matrix. For this assessment, the evaluators had to rely mainly on the project's progress reports, because triangulation with qualitative methods (interviews, focus group discussions) was not possible here due to the limited knowledge of the resource persons about the project's conceptual set-up and indicators.

Table 3: Assessment of the indicators

Objective: German development cooperation is shaping and increasingly promoting the establishment and expansion of systems for USP			
No.	Objective indicator	Baseline/target value	Actual value
1	USP is presented in five new relevant German development cooperation policies (the majority of which are not under the leadership of Sector Division 304) as an important instrument for implementing Agenda 2030.	Baseline value: 0 Target value: 5	8 Indicator is overachieved
2	Six portfolio-relevant enquiries to the sector unit for consideration of the topic area of USP were successfully processed with the help of the sector project.	Baseline value: 0 Target value: 6 (changed to 8 enquiries in the modification offer of 2018)	10 Indicator is overachieved
3	The experience of German development cooperation in establishing and expanding social protection was requested by three development partners.	Baseline value: 0 Target value: 3 (changed to 5 requests in the modification offer of 2018)	9 Indicator is overachieved
4	Two processed experiences of German development cooperation on the consideration of gender equality in the design and implementation of social protection measures were available online.	Baseline value: 0 Target value: 2	2 Indicator is achieved
5	Existing and newly developed instruments and concepts (e.g. system advice, graduation approach, disbursement mechanisms) were applied in five partner countries of German development cooperation.	Baseline value: 0 Target value: 5 (changed to availability in 6 partner countries in the modification offer of 2018)	6 Indicator is achieved

MOI 1 refers to the topic USP, which had been high on the agenda for the project at the beginning in 2017. However, priorities changed at BMZ level over the course of the project and USP lost its high level of

importance for German development cooperation. Despite the fact that USP is no longer a priority issue for BMZ, the project kept the formulation in its results matrix (see also Section 2.2) and remains committed to the USP goal with a view to supporting ‘the right services for the right target groups at the right time’ (project progress report 3, 2020). In addition, the Global Partnership for Universal Social Protection (USP 2030), initiated in 2016 by ILO and WB, is still supported by Germany as a founding and steering committee member, despite this change at BMZ level. The latest progress report states that social protection (although not explicitly *universal* social protection) was taken up in eight BMZ papers¹⁰ (e.g. sector or technical concepts, country strategies) on the basis of the SDG subgoal for social protection. Although the papers mentioned refer to social protection in general, the evaluators agree to assess this indicator as overachieved.

MOI 2 refers to opportunities for portfolio expansion on USP, such as discussions or negotiations with country desk officers in BMZ, country directors or WZ speakers, inclusion in government consultation documents, and documentation of the requested contributions. According to the last project progress report (No. 3) of 2020, there were 10 negotiations or discussions, although not exclusively on the USP topic, but on topics relating to social protection in general as well as on openIMIS adaptation.¹¹ Again, it is difficult to assess whether the indicator has been fully achieved according to the true wording (which was never officially changed), resulting in a reduction of points in the overall assessment of this criterion. Moreover, how far the listed discussions and negotiations advanced and whether they really were ‘portfolio-relevant’ not be assessed. Relying on the project progress report, the evaluators assessed that the indicator was overachieved, but would also like to state that according to the feedback from resource persons, social protection elements have not found their way into the German technical cooperation portfolio as much as they could have (see also Sections 4.2 and 4.4). This fact also resulted in the reduction of points in the overall assessment.

For **MOI 3**, the evaluators assessed the (very detailed and well-kept) documentation of written enquiries (e.g. for publications, statements, speeches, conference and workshop contributions, event documentation) from BMZ and their use. An Excel document covering the period from 2018 to 2020 lists 364 requests from BMZ that were answered by the project team (BMZ Zulieferungsdienste 2018–2020, 2020). In the latest progress report, nine requests and events were especially highlighted.¹² Both sources document that MOI 3 has been overachieved.

MOI 4, the ‘gender indicator’, seeks to measure the number of processed experiences on gender equality in social protection measures that were retrieved online. The results matrix (WiMa) states that the achievement of this indicator is to be measured by verification of availability rather than requests, which will only be measured if possible. As mentioned before, the gender-related aspects were not dealt with as explicitly as the indicator suggests. Although some gender aspects were mentioned in relevant publications that are available online, this does not seem to have resulted in them actually being asked for or retrieved, and consequently, the points awarded for the assessment were reduced. Project progress reports refer to two products that focus on gender issues and are available online (project progress report 2020):

- The ‘Shock responsive social protection’ study (2018), which was first presented during the European Development Days with a view to the gender-sensitive design and implementation of social protection

¹⁰ ‘BMZ Drehbuch Agenda 2030’, BMZ position paper ‘Digitalisation for Development’, BMZ publication ‘Comprehensive Risk Management’, BMZ digitalisation strategy (openIMIS as a lighthouse project), New BMZ Health Strategy (internal document), ‘Climate’ interface paper (BMZ internal document), BMZ 2030 and BMZ Corona Action Plan.

¹¹ Advice to SHP in Nepal on Universal Social Protection, advice on Germany’s accession to SASPP, audit mission Tanzania (information technology (IT) component for national rollout of openIMIS), Partnership for Economic Inclusion, subcontracting for consultation with Rwanda, comments on project proposal for the follow-up phase of the project Indo-German Social Protection Programme (PN: 2013.2111.6) at the request of BMZ, consulting in Cameroon on openIMIS, subcontracting for government consultations with Namibia at the request of the country desk, comments on project outline for the follow-up phase of the project Accident insurance for workers in the textile and leather sector in Bangladesh (PN: 2016.2051.7) at the request of BMZ, comments on the project proposal for the follow-up phase of the project Programme of social protection Indonesia (PN: 2017.2055.6) at the request of BMZ.

¹² Expert lecture on German experience in adaptive social protection at the meeting of the EU member states on social protection in development cooperation (March 2018); workshop on Malawi’s experience in harmonised data collection for Nepal (July 2018); presentation of openIMIS at the openHIE meeting (August 2018); side event on openIMIS at the Asian eHealth Information Network Meeting in Sri Lanka (October 2018); contributions to Social Cash Transfer publication; GHPC-SHP/Digital Health study (October 2018); openIMIS presented at the Digital For Development (D4D) meeting of EU DEVCO (March 2019); openIMIS presented at the WB and USAID Health Financing Forum (April 2019); SPACE consultations requested by DFID, UNICEF, WFP, HelpAge and partner governments.

measures (03/2018). To assess the availability of this study online, the evaluators conducted an internet search but were unable to find it. However, it was possible to find reference to the 'Lab event' held by GIZ together with Australian Aid at the European Development Days 2018 and a short abstract (EU, 2018, p. 26).

- A contribution to the webinar 'Women in Inclusive Insurance' was prepared and held by SPSP according to the project progress report 3. However, the evaluators could not find that particular webinar during an internet search. Instead, they found one entitled 'Managing Disaster Differently: Shock-Sensitive Social Protection in Malawi', which was held on 15 February 2018 and is available online at the socialprotection.org website.¹³

Although easy availability of the documents mentioned cannot be confirmed by the evaluation team, these two products obviously exist online and thus MOI 4 is assessed as achieved.

MOI 5 refers to instruments and concepts (e.g. system advice, graduation approach, disbursement mechanisms) applied in partner countries of German development cooperation. It documents process steps for the further development of the instruments and concepts and the piloting of the instruments and concepts in the partner countries. The project progress report of 2020 lists five countries where products and contributions from SPSP were integrated into the development cooperation portfolio.¹⁴ In addition, the progress report states that 'the SASPP Mini Concept Notes are being applied in six countries'¹⁵ (project progress report 2020).

The evaluation team interviewed resource persons from GIZ projects in Nepal, Cambodia and Cameroon to validate the information given in the project documents. All interviewees confirmed that valuable contributions had been made by SPSP to the development and expansion of health and social protection schemes (Int_13, Foc-Dis_1 and Foc-Dis_4) and that cooperation went very smoothly. Positive feedback on support from the project was received for Nepal, Cambodia and Cameroon. In addition, the engagement of the project in SASPP and the Inter Agency Social Protection Assessments (ISPA) has created further potential for country adaptations of products and instruments provided by SPSP, especially openIMIS (Int_3). Regarding the SASPP engagement of the project and the contributions to the ISPA Tools, feedback from stakeholders outside the German development cooperation context was very positive, especially with regard to the provision of digital solutions: 'Digital solutions are very helpful and especially if there are rules and recommendations for their implementation. (...) GIZ has a unique knowledge there and is very content-driven – seeking good solutions for country implementation' (Foc-Dis_5). Based on the triangulation of quantitative and qualitative assessment methods, MOI 5 is assessed as achieved.

Effectiveness – Dimension 2: The activities and outputs of the project contributed substantially to the project objective achievement (outcome)

The second evaluation dimension refers to the analysis of the causal link between project activities, outputs and outcomes achieved using contribution analysis. As pointed out in more detail in Section 4.5 on efficiency, all output indicators of the project have been achieved or overachieved, and some to significant extent. The following hypotheses were developed with the project team during the inception phase and were analysed by the evaluators during the evaluation phase:

Pathway 1, hypothesis 1.1: Through the recognition of social protection for achieving SDGs at German development cooperation level (A1), social protection has found its way into processes relevant to the portfolio (A5).

The hypothesis has been assessed to be valid, as ample reference is made to SDGs in relevant documents

¹³ <https://socialprotection.org/managing-disaster-differently-shock-sensitive-social-protection-malawi>

¹⁴ Pakistan, Tanzania, Cameroon, Nepal, Djibuti.

¹⁵ Burkina Faso, Niger, Senegal, Mali, Mauritania, Chad.

such as BMZ Position Paper 09, Social Protection for Equitable Development (2017) and the German contribution to the ILO Recommendation 202 on basic social protection systems of 2012, which contain ample reference to social protection as a means of achieving the SDGs of the 2030 Agenda (see Section 4.2, evaluation dimension 1). As all German development cooperation projects have to make a link to achieving selected SDGs and social protection is a cross-cutting issue, it is naturally one of the crucial topics for achieving various SDGs. As already stated under Evaluation dimension 1 (under MOI 5), social protection has, indeed, found its way into several country portfolios and development cooperation projects. The processes by which this was achieved have been described above. It should be added that with the involvement in multiagency processes described above, SPSP was able to further increase the potential for social protection to be integrated into more partner projects.

Pathway 2, hypothesis 2.1: The increased knowledge and tried-and-tested advisory approaches and instruments in establishing and expanding social protection systems (B3) lead to partner countries asking for German expertise in the application of approaches and instruments for social protection (B4).

The evaluation demonstrated that openIMIS is the flagship product of SPSP. The further development into an open source tool has transformed openIMIS from a Swiss or German product into a global good that can be adapted flexibly to the needs of partner countries. The project has contributed to this substantially by adding flexible modules, by installing user-friendly advice and support mechanisms and by ‘marketing’ the potential of the tool through lessons learned from country applications in various interagency networks and platforms. Within the scope of the COVID-19 pandemic, tools for a flexible and fast shock response have gained great importance for an increasing number of countries. At the same time, German development cooperation partner countries (especially Nepal and Cambodia) have shown interest in using openIMIS for an expansion of their health and/or social protection schemes. However, there is no clear and validatable evidence that partner countries have specifically requested German or project expertise. At the same time, qualitative analysis (interviews and focus group discussions) have shown that the interest of multilateral donors, such as WB and ILO, in German and project expertise on digital social protection has increased.

Pathway 3, hypothesis 3.1: Through the further development of technical concepts and instruments for establishing and expanding social protection systems (C1), partner countries have better access to tools for improved management of social protection systems (C2). Eventually, this leads to projects and partners of German development cooperation using the technical concepts and instruments to improve social protection (C3).

The evaluation has demonstrated that hypothesis 3.1 is valid, as the further development of openIMIS in particular has increased the availability of and access to the tool and may thus better manage partner countries’ social protection systems. As assessed for hypothesis 2.1, openIMIS is now a global good, which makes this software widely available to partner countries at a very low cost. The publication ‘Mobilising social protection expertise in an emergency’, which was published on BMZ’s Healthy DEvelopments website in 2020, gives recommendations and guidelines for digital social protection in the COVID-19 context¹⁶ and the openIMIS website brings together the community of practice working on and with the software.¹⁷

Effectiveness – Dimension 3: Unintended results

The most prominent positive result of the project was the development of openIMIS and the growing interest in the tool. This was not explicitly intended or part of the strategic planning – at least not in the results matrix or the project offer – but as some resource persons formulated it, ‘the project was good at seizing opportunities’ (Foc-Dis_3). One unintended result that emerged during the course of the programme (and also out of the fact

¹⁶ http://health.bmz.de/events/In_focus/mobilising-social-protection-expertise-in-an-emergency/index.html

¹⁷ <https://openimis.org>

that openIMIS gained interest and relevance) is digital social protection. The topic developed into a strong focus area for which the project has gained an international reputation for its expertise. The concept 'Building an integrated and digital social protection information system: Technical paper' was published by GIZ together with DFID at the end of 2019. It is considered a milestone in the work of integrated information management systems in social protection by the project as well as the community. Another unintended positive result connected to this was the interest in Bangladesh in using digital tools for social protection as accident insurance. Here, interest in openIMIS arose that was not necessarily strategically planned or intended, but developed out of itself. Again, the project was good at seizing this opportunity to promote openIMIS further (Int_10).

Possible unintended negative results had already been anticipated in the project proposal and results matrix (see Figure 2 in Section 2.2) and the project dealt with them in a flexible and pragmatic manner. One of the most influential effects was the relatively high turnover of personnel at the responsible BMZ division, which also resulted in changes of priority topics (e.g. USP) and in fluctuating support, to which the project had to react in order to keep the topic alive. In doing so, SPSP formed partnerships and networks with other actors outside BMZ, which did lead to an interesting and valuable exchange and to GIZ being received as a competent expert on the issue. However, the division of roles between the project, GIZ as an organisation and BMZ was sometimes unclear to the partners (Int_6, Int_9, Foc-Dis_5) and was also not always perceived positively by BMZ itself: 'Nothing dramatic has happened (...) but there is a risk that that political sensitivities are not known or respected'; this was also the case vis-à-vis multilateral donors and actors (Foc-Dis_2). However, the project reacted flexibly and positively to such developments, and possible tensions were solved in a constructive manner (Foc-Dis_2).

Another potential risk for unintended negative results derives from the fact that the project did not only seize opportunities for promoting social protection at various levels, but also tried to create these opportunities by being very active in very many and diverse networks, working groups, etc. Not all resource persons could see the benefits of the project being active in all these networks and initiatives, with one interviewee actually stating that 'the project is a bit all over the place' and that there might be a risk of overselling its expertise and products (Int_1). This also holds true for openIMIS: it is perceived as a very useful tool, but the project was sometimes seen as being 'a bit top heavy' (Int_1) in trying to promote it internationally for a wide range of diverse applications at country level, while true ownership and advocacy at this level were still lagging behind (Int_1, Int_10, Int_12, Foc-Dis_4). This development bears the risk of parallel systems being established by international actors who do not bring countries and their governments on board to a sufficient degree (Int_12). The project reacted to this by concentrating more on the development of tools and support for their implementation than on the implementation itself. This was also positively perceived at BMZ level, where resource persons welcomed this reaction: 'The project handled this adequately – country divisions are under great pressure from the sectors, and so are the country desk officers. It is better to cooperate with a few countries who are truly interested than to involve a large number of countries. It sometimes takes time to get country managers on board' (Int_12).

Overall assessment of effectiveness

As mentioned above, country applications of social protection cannot be realistically assessed and validated through an evaluation of the whole German development cooperation portfolio. Therefore, the evaluators had to rely on the project's progress reports, which state an overachievement of the indicator. However, the project reacted flexibly and in a timely manner to the posteriority of USP as a topic for BMZ and responded very well to the needs of implementers emerging from the COVID-19 pandemic. Moreover, the technical expertise of SPSP staff is widely recognised. With regard to C3, however, interviewees also stated that the project sometimes 'punches above its weight' in international cooperation (Int_4), because the ownership of BMZ for the topic is not as strong as the project's activities suggest (see also Section 5.1), limiting the potential for the project to have political influence on an international scale.

Based on the sources mentioned, the overall score for the assessment criterion of effectiveness is **90 out of 100 points**. It is therefore rated as **successful**.

Table 4: Rating of OECD/DAC criterion: effectiveness

Criterion	Assessment dimension	Score and rating
Effectiveness	The project achieved the objective (outcome) on time in accordance with the project objective indicators. ¹⁸	35 out of 40 points
	The activities and outputs of the project contributed substantially to the project objective achievement (outcome). ¹⁹	25 out of 30 points
	No project-related (unintended) 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: 90 out of 100 points Rating: successful

4.4 Impact

The impact criterion seeks to determine the extent to which a contribution was or continues to be made to achieving the intended overarching objectives. This evaluates in particular contributions to achieving the 2030 Agenda and the SDGs, but – as SPSP is a sector project – also the extent to which development cooperation projects, clients and actors actually made or make use of the contributions from the project in their bilateral and international cooperation (see Section 4.3 on effectiveness). It also looks into the question of whether, and how, changes in the framework conditions influence overarching long-term results and examines the nature of any unintended positive or negative results. At the same time, it examines the contributions of SPSP to the international sphere that were incorporated into international strategies and guidelines. Although the impact criterion is, of course, closely related to the criterion of relevance (see Section 4.2), it looks into contributions made to policies and strategies by SPSP. In this respect, the assessment of impact differs from the relevance and effectiveness criteria in assessing from outside the actual project boundaries whether traceable contributions have been made in shaping and promoting the social protection issue and in contributing to the development of sector and policy papers.

Evaluation basis and design for assessing impact

As the evaluation basis for all three evaluation dimensions, the reconstructed results model and ToC were

¹⁸ 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.

¹⁹ 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.

used and the project's contribution to the three overarching results defined therein examined.

Impact dimension 1

Evaluation design: During the reconstruction of the results model, overarching development results were identified as part of the inception mission. As stated in Section 4.2, the analysis was based on papers that were already available at the beginning of the project in 2017, as well as on pre-project design analyses, to assess whether traceable contributions have been made to these papers, strategies and concepts.

Evaluation methods: In addition to a desk study of relevant documents, the evaluation included semi-structured interviews and focus group discussions with resource persons from BMZ, GIZ and multilateral development partners who could shed light on the contributions of the project to their portfolios. To assess how, where and to what extent SPSP made a meaningful contribution to impact by making openIMIS available to partner countries, two country examples were chosen (Nepal and Cambodia).

Impact dimension 2

Three hypotheses from the results model have been examined in more detail in order to explain causal relationships between project outcomes and impacts.

Impact dimension 3

Evaluation design: This dimension seeks to assess the unintended positive and/or negative impacts of the project. It is very closely related to evaluation dimension 3 of the effectiveness criterion. Hence, information was also drawn from the project's progress reports and other monitoring data to assess how (changed) weighting of the topic at BMZ level influenced the impact of the current programme phase.

Evaluation methods: A desk study of relevant documents published by GIZ, BMZ and other German ministries on issues related to social protection was conducted to examine their reference to the work of the project. In addition, common publications and events of GIZ/BMZ and multilateral actors were evaluated for reference to SPSP contributions. The evaluation also included semi-structured individual interviews and focus group discussions with resource persons from BMZ, GIZ and multilateral development partners, as for evaluation dimensions 1 and 2.

Analysis and assessment of impact

Impact – Dimension 1: The intended overarching development results have occurred or are foreseen (plausible reasons)

During the inception mission, three overarching development results were defined with the project team. They are depicted in the reconstructed results matrix in Section 2.2. These results and the pathways developed as hypotheses for achieving them are discussed in more detail under Evaluation dimension 2. In general, the evaluators concluded that the intended overarching results have occurred as foreseen.

Impact – Dimension 2: The outcome of the project contributed to the occurred or foreseen overarching development results

The second evaluation dimension refers to the analysis of causal links between project outcomes and the contributions of the project to the impact using contribution analysis. As mentioned above, the following three hypotheses or pathways from the results model were assessed during the evaluation:

Pathway 1, hypothesis 1.2: Through new processes relevant to the portfolio of German development cooperation (A5), activities and events initiated and led by German development cooperation improved the influence in the multilateral portfolio of social protection (A6).

The evaluation concluded that as a result of the activities of SPSP, Germany does play a more visible role in international cooperation (A6). This is demonstrated by Germany's membership of several international initiatives and networks (see Evaluation Dimension 3), by its participation in common platforms and by publications. However, there could have been more processes relevant to the German development cooperation portfolio (A5). However, outside the project's mandate, some resource persons also stated that impact could have been stronger if all bilateral partners, EU and UN agencies worked together more closely and if Germany had been involved more in joint programming rather than focusing mainly on coordination and technical inputs (Int_1, Int_7, Foc-Dis_2).

The 5 ASP Building Blocks

1 Government leadership

Government leadership and ownership is a prerequisite to the development of ASP.

2 Institutional arrangements

A high degree of actor coordination around shared objectives is required.

3 Data and information

New information and analyses are required to better understand risk and vulnerability as a basis for programme design and implementation.

4 Programmes and their delivery systems

Programmes are required to be designed and prepared to meet household needs, building household resilience before a shock and protecting wellbeing after a shock.

5 Finance

ASP implies different financing burdens for governments to address.

In general, the project also made good use of opportunities here, by contributing its technical experience at the multilateral level. This has given its products and instruments 'a larger life', because they were taken up by other international actors (Foc-Dis_5). This is also reflected in publications²⁰ that have recently been developed and published with international partners to accompany the provision of technical tools with more strategic background and guidance. Within the framework of SASPP, five 'Building Blocks' have been developed to underpin the ASP approach and to provide guidance on this complex topic for governments interested in implementing ASP.

Pathway 2, hypothesis 2.2: The increased demand for the application of approaches and instruments (B4) leads to projects and actors in partner countries making use of these for the development of social protection systems (B7). As the project itself states in its latest project progress report (2020): 'German DC has made a very visible contribution in the field of social protection and is seen by key actors as a trend-setting partner. This enables it to influence international discussions and processes in this field in which other development partners are involved (...) but this is not reflected in a (strongly) growing portfolio' (project progress report 2020, p. 19). The evaluators concluded that the efforts of SPSP have increased the potential for increased demand for products of the project (B4), but that this has not translated into a large number of partner countries actually making use of them for developing social protection systems (B7). However, such processes need time and will only show impact in the long run. The project's activities in the framework of the COVID-19 response have created a valuable momentum that may lead to greater understanding of the importance of social protection schemes in the future. The project has seized this opportunity by investing in flexible digital solutions that are ready for implementation and by putting them into an overall, more strategic perspective for developing social protection schemes.

²⁰ AI in Social Protection – Exploring Opportunities and Mitigating Risks (2020) – published with the Asian Development Bank; Building an Integrated and Digital Social Protection Information System – technical paper (2020) published with DFID (now FCDO); Increasing Links Between Humanitarian Cash and Social Protection for an Effective Response to the COVID-19 Pandemic (2020) – published with the ISPA Initiative.

Pathway 3, hypothesis 3.2: Through improved access to tools for social protection, projects and partners of German development cooperation are using the technical concepts and instruments to improve social protection in their countries (C3).

As previously mentioned, access to tools for social protection, especially to openIMIS, is very well established. The software has been turned into a public good that can be used in any context and insurance scheme (Int_11). Through various accompanying and supporting measures, the project also contributes to making the tool as user-friendly as possible. The country examples of Nepal and Cambodia have already been discussed, but other projects and partners of German development cooperation are also using the technical concepts and instruments to improve insurance schemes in their countries (C3).²¹

Impact – Dimension 3: Unintended results

Additional positive and negative results of the project's activities have already been discussed in relation to the effectiveness criterion (Evaluation dimension 3), as has the seizing of opportunities for achieving impact. As mentioned above, the project was able to achieve positive results at impact level by cooperating with other donors and stakeholders at international level. The most prominent of these were the ISPA initiative and SPIAC-B, where the project has been able to make especially valuable contributions to the technical working group on digital social protection. Partners here included the Asian Development Bank (ADB), EU DEVCO, the Food and Agriculture Organization of the United Nations, FCDO, ILO, UNICEF and WB. In the context of the European Union Social Protection Systems Programme initiative,²² the project also cooperated successfully to gain more impact at international level. Another example of international cooperation is SASPP, where the project has provided technical support for the German (BMZ) contribution from the outset of the negotiations of Germany joining SASPP in August 2018. Since November 2018, SASPP has been funded with EUR 50 million. To buffer the socio-economic consequences of COVID-19, BMZ increased the funding by EUR 80 million. SASPP is funded through a multidonor trust fund with contributions from BMZ, FCDO, AFD and Denmark. The programme further initiated a cooperation with FCDO. SPACE provides technical advice to partner governments and programmes on adapting their social protection programmes and systems to COVID-19. SPACE was initiated in April 2020 and runs until May 2021. An independent assessment is currently being conducted.

The project was especially good at using international cooperation as a lever for making the German expertise in social protection more visible in the international context, although the participation in technical working groups or international forums is not seen as very beneficial for BMZ as a political actor. Nevertheless, resource persons also stated that 'Sometimes it makes a lot of sense to play "over the rail" – e.g. to put the issue higher on the political agenda' (Foc-Dis_2).

Some resource persons stated that there could have been more strategical advance planning with regard to technical assistance to German development cooperation projects (Int_1, Foc-Dis_2) and that there could have been more country implementation of developed instruments and tools, although it is not the actual mandate of a sector initiative. The entry door here is currently the COVID-19 pandemic, which has put shock response mechanisms and digital social protection in the spotlight for governments. This momentum should not be lost, and the project could have looked more deeply into the portfolio of both technical and financial cooperation (Foc-Dis_2). In consensus with the responsible BMZ sector unit, the project sought to mitigate the possible negative results of this posteriority by continuously advocating for the issue at BMZ level and by stressing the links between social protection and management.

²¹ Examples include Pakistan, Tanzania, Cameroon and Djibouti.

²² Funded by EU DEVCO and cofinanced by OECD and the Government of Finland's National Institute for Health and Welfare.

Overall assessment of impact

As stated above, COVID-19 has been an important catalyst for the topic. However, these dynamics derived from external factors that were not influenced by the project, but to which the project responded very successfully. It remains to be seen how sustainable the COVID-19 momentum will be in continuing to achieve impact as the project currently does (see also Section 4.6 on sustainability). The assessment also revealed that one of the most important levels to achieve impact was the development of openIMIS into a global good. This would not have happened without the project. On the other hand, the political ownership of the topic would probably not have been sufficient to achieve impact without having concrete tools to offer. The project responded well to risks and always communicated well to keep up to date with developments and possible risks. Opportunities for positive results have been seized by the project, although these have not always led to the desired impact, especially at development cooperation portfolio level. It is also doubtful that the project's involvement in concepts, papers, workshops and guidelines development was always fruitful with regard to achieving impact through implementation.

The overall score for the assessment criterion of impact is **89 out of 100 points**, which is therefore rated as **successful**.

Table 5: Rating of OECD/DAC criterion: impact

Criterion	Assessment dimension	Score and rating
Impact	The intended overarching development results have occurred or are foreseen (plausible reasons). ²³	35 out of 40 points
	The outcome of the project contributed to the occurred or foreseen overarching development results. ²⁴	25 out of 30 points
	No project-related (unintended) negative results at impact level have occurred – and if any negative results occurred the project responded adequately.	29 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: 89 out of 100 points Rating: successful

4.5 Efficiency

The key issue under the efficiency criterion is whether the project's use of resources is appropriate with regard to achieving both the outputs and the outcome (project objective). This examines whether the level of

²³ 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.

²⁴ 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.

resourcing (e.g. funding, expertise) has led to satisfactory results. Combining information on both project costs and results – the approach adopted in all robust efficiency analyses – provides more insights than looking at these two components separately. Focusing on results alone would limit the use of data in strategic decision-making. Focusing on costs alone may distract from the recommendations that aim to ensure quality in the results.

Evaluation basis and design for assessing efficiency

Evaluation basis: The concept of efficiency is usually applied when a defined input is transformed into a result. In the field of international cooperation, aligned with the OECD/DAC criteria, efficiency is often defined as: 'a measure of how economically resources/inputs (funds, expertise, time, etc.) are converted to results' (GIZ guidelines on how to apply the follow-the-money approach). In this definition, the term 'results' is understood as the output, outcome or impact of a development measure. According to this definition, a project can be considered efficient if a given input is used to maximise the results of the development measure. Consequently, efficiency is understood as transformation efficiency: inputs are transformed into results whose relation to each other represents the efficiency of the measure.

Evaluation design and methods: A distinction is made between two types: production and allocation efficiency. While the former evaluates the transformation of inputs to outputs, the latter evaluates the transformation of inputs to results at outcome level. This includes the analysis of the extent to which even more results at output level could have been achieved with the same overall use of funds. It is therefore not only a question of investigating how costs could have been saved, but rather of how existing resources could have been better used to achieve the desired results.

There are many ways to evaluate a project's production efficiency. Following GIZ's guidelines on assessing efficiency, this CPE applied the follow-the-money approach as a standard method for analysing the project's production efficiency.

The evaluation team used an Excel tool developed by GIZ's Corporate Unit Evaluation to standardise the efficiency analysis of the project. The Excel tool takes into account GIZ's recommendations on analysing a project's efficiency. It refers to sources that are available in the project. These are

- the 'Kostenträger-Obligo' report for the project,
- the comparison of planned budget figures with actual figures,
- the results matrix, and
- the contracts for possible procurements and possible funding.

The Excel tool consists of six sheets: cockpit, costs, co-fi and partner, target/actual planning, expert months and results matrix.²⁵ The tool provides a good basis for evaluating the project's production efficiency criterion.

In terms of the allocation efficiency, the evaluation team envisaged assessing to what extent the project's use of resources was appropriate with regard to achieving its objective based on the Excel tool analysis. However,

²⁵ The six sheets are as follows:

- In the cockpit, the tool calculates the required distribution of costs to their respective outputs and puts this in relation to the achievement of objectives at indicator level.
- On the costs sheet, the 'Kostenträger-Obligo' report for the project is entered and the individual costs are allocated to the outputs.
- On the co-fi and partners sheet, cofinancing and partner contributions are recorded and allocated to the outputs.
- On the target/actual planning sheet, the target/actual planning of the project and the planned costs of the future outputs are entered (starting at the date of the evaluation).
- On the expert months sheet, the person days for the project employees per output are documented. They serve as the calculation basis for distributing the human resource costs to the project outputs.
- In the results matrix sheet, the results matrix from the most recent progress report for the project is included in order to provide state-of-the-art data in the cockpit.

given the number of days for this CPE, the evaluation team would like to point out that assessing the allocation efficiency is one of the most demanding evaluation exercises. Further findings that are not based on the Excel tool are considered plausible assumptions and anecdotal evidence. Nevertheless, such evidence provides indications on how the outcomes could have been maximised.

Analysis and assessment of efficiency

Efficiency – Dimension 1: Production efficiency

The following assessments are based on information extracted from the “Kosten-Obligo (costs and commitments report and further discussions with the project team and stakeholders, using Palenberg’s follow-the-money approach (Palenberg, 2011, p. 46). The costs and commitments of the project are presented in Table 6.

Table 6: Overview of costs

Module objective	German development cooperation is shaping and increasingly promoting the establishment and expansion of systems for USP
BMZ costs	EUR 6,462,453.50
Cofinancing	EUR 1,357,114.05
Partner contribution	EUR 0.00
Total costs	EUR 7,819,567.55
Residual	EUR 1,105,918.21

Deviations: Based on the feedback received by the project team and the information provided to the evaluation team, the evaluation team could not find any deviations between the identified costs and the projected costs (Kosten-Obligo-report, BMZ final progress report 2020).

Maximum principle and reallocation of funds: Given that all output indicators were fulfilled, and some even exceeded, there is a high likelihood that the outputs have been maximised with the given volume of resources when compared with the initial plan and targets. Still, the target values for the outcome indicators MOI 2, MOI 3 and MOI 5 were updated and increased, but no adjustment was made towards the target values of the output indicators. On indicator C1, it can be argued that targets were not sufficiently ambitious. Nevertheless, COVID-19 as well as highly motivated international partners led to further concepts that could not have been foreseen as such. On indicator A3, as the project was very well represented on events and side events, it can be argued that the project could have reduced the number of events (Int_7). Output indicators B3 and C3 are part of an agile digital development and can therefore only partly be foreseen in terms of further versions and suggestions for improvements.

The findings are listed in Table 7.

Table 7: Overview of output achievement

Output A	Output B	Output C
A1) Three contributions to the strategic orientation of USP are taken up in German policy or technical discussions.	B1) From the application of two ISPA instruments, experience-based suggestions for improvement were derived and shared.	C1) Five social protection instruments or concepts (e.g. graduation or adaptable social protection systems) coordinated with actors from relevant sectors and partners are available.

100%	100%	260%
A2) Three German positions on issues of USP systems have significantly influenced an international discussion on USP.	B2) Experiences from the application of four consulting approaches and instruments of social protection have been incorporated into the improvement of partner systems.	C2) A modularised open source software for the management of information for insurance systems (openIMIS) is available for application in interested countries.
167%	100%	100%
A3) The sector project contributed to the successful positioning or (co-) organisation of three specialist events (national or international) on the topic of building and implementing social protection systems.	B3) Based on the experience gained from the application of the open source software (openIMIS), three new insurance carriers have submitted suggestions for improvements in functional development.	C3) Two further developed versions of the open source software openIMIS are available.
300%	233%	200%

It is difficult to provide the exact reasons for the high achievement rate at output and module outcome levels. It might be explained by the existence of relatively low or conservative targets. In addition, as described in Sections 2.2 and 4.3, not all of the indicators are formulated in a completely specific way that enables precise evaluation, but instead allow a certain margin of tolerance regarding their achievement. Nevertheless, these achievements appear remarkable in terms of quantity (target achievements) and quality (e.g. trust, motivation, contribution to the project's objective) but also, according to the evaluators' analysis, in terms of efficiency, as described below.

In general, the costs are unevenly distributed across Outputs A, B and C (see Table 8). Output C ranks as the most expensive output (52%), followed by output B (26%) and output A (16%). In general, the relatively high costs of Output C appear to be well aligned with the high fulfilment rate of its indicators (260%, 100% and 200%, see Table 8). In addition, Output C and partly Output B are related to the development of openIMIS as digital open source software. To further develop openIMIS and increase its attractiveness, the project had to invest into the software and the related instruments, such as the community of practice and the helpdesk. Personnel costs for IT development are considered higher than costs for other staff in the sector. Partners pointed out, though without stating exact numbers, that compared to what is spent in the private sector on IT development, the costs appear to be lower (Foc-Dis_3). Another reason for the high expenditure for Output B and C can be found in the cofinancing from DEZA that was fully aligned with the development and implementation of openIMIS (one third Output B, two thirds Output C).

Table 8: Overview of costs allocated to outputs

	Output A	Output B	Output C
Outputs	The relevance of USP to achieving SDGs is recognised in German development cooperation.	German development cooperation can increasingly rely on tried-and-tested advisory approaches and instruments in establishing and expanding social protection systems.	Specialised concepts and instruments for establishing and expanding social protection systems have been further developed.
Cost including Obligo (EUR)	1,268,636.51	1,580,037.71	3,192,543.75
Cofinancing (EUR)	0.00	447,847.64	909,266.41
Partner contributions (EUR)	0.00	0.00	0.00
Total costs (EUR)	1,268,636.51	2,027,885.35	4,101,810.17
Total costs (%)	16	26	52

BMZ total (% without cofinancing)	20	24	49
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The national GIZ staff (one person) and the project staff based in Germany (PMI – 14 in total) dedicated the majority of their time to output C, making it the most expensive output in terms of staff costs. With regard to the national staff, 100% of their time was dedicated to this Output, and project staff in Germany also devote the biggest share of their time to this output (34%).

Regarding the PMI costs, they were the most constant across all outputs, which can be explained by the fact that as a sector project, almost all coordination work was done from Germany. Only 11% of the project staff in Germany is counted as overarching costs, which speaks to an efficient implementation of the project.

The equal distribution of international staff's cost can be explained by the project manager's transition phase in 2018 from being an international staff member to becoming part of the project staff in Germany. Although overarching costs seem high, at 25%, the amount is rather low.

Table 9: Distribution of personnel on outputs

	Output A	Output B	Output C	Overarching costs
International staff (AMA/PMA) (%)	25	25	25	25
National staff (%)	0	0	100	0
Project staff in Germany (PMI) (%)	24	32	34	11

According to the evaluators' analysis, there are no robust indications that outputs A, B or C could have been maximised with the same volume of resources by considering a different setting or structure. Project partners appreciate that the GIZ project works in a very lean manner (Int_3). Generally, as far as partners were able to assess efficiency, it was felt that funds were used adequately. The project was described as working like a consultancy based on needs and opportunities. Especially in terms of openIMIS and Output C, the project was very efficient when compared to the amounts spent in the private sector on IT development and, without stating exact numbers, partners pointed out that the number of people covered compared to the resources used appears positive (Foc-Dis_3, Int_11). Regarding Output A, the view was expressed that it might have been time-consuming and risky to invest at the multilateral level, but that there was no realistic alternative. Especially on collaboration on concepts for social protection (Output B), it would have meant a decrease in impact and usage in the long term (Foc-Dis_5).

Further aspects of production efficiency:

Roles and responsibilities: In terms of project management, many positive aspects were underlined within and outside the GIZ team, including dialogue, moderation skills, responsiveness and good planning. In the evaluation mission, all interviewed partners happily confirmed the existence of a smooth relationship and good bilateral collaboration with GIZ, showing that there are clear roles and responsibilities in place. In particular, it was highlighted how well GIZ managed to fulfil its role as a moderator to achieve results (Foc-Dis_5, Int_5, Int_6).

Monitoring system and handling of risks: As mentioned above, a monitoring system at project level was in place and was well maintained. Separate Excel files were kept to monitor the deliveries to BMZ and to measure the achievements of indicators. As a sector project delivering direct services to BMZ, the monitoring system is, of course, based on BMZ's monitoring system. As part of risk-mitigation strategies, the project was perceived as very forward thinking in that it tried to stress trade-offs upfront (Int_3). However, risk mitigation as part of the monitoring could not be found at project level.

Consideration of planning parameters and lessons learned: As mentioned above, predecessor projects have been running since 2005, and SPSP was able to make use of this long history and build on their experience and approaches. The experience gathered during the implementation phases and the lessons learned from the previous sector projects on social protection were used as a basis for the development and implementation of the project.

Outsourcing of activity packages: The evaluation team found no direct indications that activity packages could have been further outsourced to increase efficiency. However, the project included consultants and local partners, and it was felt that the project had been strategically very astute and efficient by including its own topics at multipartner level (Foc-Dis_5). The project was especially good at using such international cooperation as a lever for making the German expertise on social protection more visible in the international context, although the participation in technical working groups and international forums is not seen as very beneficial for BMZ as a political actor.

Efficiency – Dimension 2: Allocation efficiency

In contrast to production efficiency, allocation efficiency describes the transformation of inputs to outcomes. At module objective level, indicators MOI 1, MOI 2 and MOI 3 have been overachieved (160%, 125% and 180%, respectively) while MOI 4 and MOI 5 were attained at their full target level (see also Section 4.3). Table 10 summarises the results already described in more detail in Section 4.3 on effectiveness.

Table 10: Overview of outcome achievement

MOI 1	MOI 2	MOI 3	MOI 4	MOI 5
USP is presented in five new relevant German development cooperation papers (the majority of which are not led by Sector Division 101) as an important instrument for implementing Agenda 2030.	Eight portfolio-relevant enquiries to the sector department for consideration of the topic area of USP were successfully processed with the help of the sector proposal.	Five development partners were asked about the experience of German development cooperation in establishing and expanding social protection.	Two processed experiences of German development cooperation on the consideration of gender equality in the design and implementation of social protection measures were accessed online.	Existing and newly developed instruments and concepts (e.g. system advice, graduation approach, disbursement mechanisms) were applied in six partner countries of German development cooperation.
160%	125%	180%	100%	100%

Given these achievement rates, allocation efficiency appears to be very satisfactory. Considering that the target values of MOI 2, MOI 3 and MOI 5 were increased throughout the project phase, it can still be seen that they have been achieved. In particular, MOI 1 and the appearance of social protection within BMZ 2030 was highlighted as being a sustainable achievement in putting social protection on the agenda (Foc-Dis_2, Int_12). It was mentioned that staff turnover in BMZ and the low number of staff responsible for social protection at BMZ were challenges for the project, so the integration of social protection into relevant German development cooperation papers can be considered a particular achievement (Int_12). It must be recognised that the project's approach of shaping and increasingly promoting the establishment and expansion of systems for USP through German development cooperation has often resulted in participation in many working groups. The evaluators recognised ambitions, especially within SPIAC-B, to increase the commitment of other stakeholders (Foc-Dis_3). Therefore, the project has taken the necessary steps to realise synergies with interventions by other donors and made efforts to build up synergies wherever possible.

Interviewees felt that there was an imbalance between GIZ and BMZ in the use of resources for events and cooperation (5–6 people participate in events) versus the resources available for implementation. Thus, there were complaints that resources for further implementation are lacking. There was criticism that funding that is more strongly geared to short-term needs was needed (Int_8).

Questions were raised on whether SPSP should leave the implementation completely to country projects. However, as the project started piloting approaches and identifying opportunities, there would probably not have been any implementation at country level, and even expertise at country level was absent (Foc-Dis_4).

It was stressed that human resources within the project team were limited compared to their outputs. Comparisons were made with the financial resources available for multidonor trust funds (SASPP). If personnel and thus technical expertise were to have been increased in other parts (e.g. openIMIS), the outcome could have been increased (Foc-Dis_3). Still, as the results were reached and the project worked with external consultants and the community of practice, the project had already put effort into increasing technical expertise in the regions. One perceived challenge was that a lot of funds were used on training and less on global advocacy for the tool (openIMIS) in order to get new partners on board (Int_11). In contrast, talking to many different stakeholders about a collaboration was perceived to lack internal coherence, as too many resources were put into a large number of actors instead of focusing on a smaller number (Int_12).

Especially on the development of innovative concepts and approaches, it was mentioned that it is great to push on new approaches, but that some topics were not relevant to the stakeholder: 'just a handful can build on things like openIMIS. Most people are working on their own system' (Foc-Dis_6). GIZ was acknowledged to be very forward thinking, but it would be good to take a step back sometimes. As part of a conference, discussions took place on how artificial intelligence could be used, but the overall systems and technical capacities needed to use artificial intelligence were not addressed. The need to focus more on basic needs, such as registries, was therefore raised (Foc-Dis_6). However, this was an individual opinion that was not mentioned by other people, and it does not reduce the efficiency assessment.

As a result of the cofinancing, the overarching costs have not risen in relation to the total costs. In fact, no costs that can be allocated to outputs were allocated to overarching costs. Contributions by DFID/FCDO and other partners were not of a financial nature, but rather non-material contributions in the form of cooperation on publications and events.

Nevertheless, interview partners highlighted room for improvement at an anecdotal level. It was not possible for the project partners to make statements on the efficiency of the project separately from Germany's bilateral development cooperation efforts in general. However, several comments referred to a lack of coherence, which could have an impact on efficiency. Although this cannot necessarily be attributed to the project, it is a challenge that affects the project. Therefore, German development cooperation was perceived to be fragmented into too many initiatives that do not collaborate (Int_9). It was mentioned that there is a strong need inside the BMZ division to gain an overview of where overlaps and synergies exist in activities on social protection. At the international level, GIZ is perceived as German development cooperation, but internally GIZ appears fragmented (Foc-Dis_1). Furthermore, the outgoing approach of the project was perceived as very risky in terms of efficiency. It was recommended that the focus be kept on a few countries instead of scaling up to several other countries (Int_9). In addition, although formally agreed on, it was questioned whether going into the lead on working groups such as SPIAC-B was the most efficient approach. The project was criticised for being too outgoing with multilateral partners and the view was expressed that it should focus on more strategic partnerships to reduce the risk of false expectations on the partner side that are not coordinated (Int_12).

Overall assessment of efficiency

In general, production efficiency is assessed positively. There are several positive aspects, especially in terms of collaboration. The efficient overall management with low overarching costs is also seen as positive. It can be observed that stakeholders have contrasting opinions on the efficiency of the project. Therefore, their assessment should be considered with caution. The cost distribution to the different outputs appears to be adequate, although the costs are unevenly distributed across Outputs A, B and C. Spending almost half of the budget on Output C was deemed necessary with regard to the costs of digital tools spent in the private sector. The evaluation team awards 65 out of 70 points in this dimension. Almost full marks are awarded because the outputs were fulfilled and even overperformed. The project had to deal with new partners and formats of collaboration, which included some risks for a loss of production efficiency. Nevertheless, the project managed well under the given circumstances. Five points were not awarded because it was often mentioned that the project tended to take over the leadership of issues too quickly and that the establishment of contacts did not always seem to be coordinated with other actors, such as BMZ.

The evaluation team awards 29 out of 30 points in for allocation efficiency, reflecting the high achievement rates at the outcome level. There were areas in which the outcomes could have been maximised, although most of these aspects were not within the control of SPSP but rather outcomes of the overall set-up of German development cooperation.

The overall score for the efficiency criterion adds up to **94 out of 100 points**. It is therefore rated as **highly successful**.

Table 11: Assessment of Efficiency

Criterion	Assessment dimension	Score and rating
Efficiency	The project's use of resources is appropriate with regard to the outputs achieved. [Production efficiency: resources/outputs]	65 out of 70 points
	The project's use of resources is appropriate with regard to achieving the project's objective (outcome). [Allocation efficiency: resources/outcome]	29 out of 30 points
Overall score and rating		Score: 94 out of 100 points Rating: highly successful

4.6 Sustainability

The sustainability criterion aims to assess the durability, stability and long-term resilience of results at output and outcome level. The extent to which the project's positive results persist beyond the end of the project is estimated. It also looks into the question of how results are anchored in the client's structures and evaluates how lessons learned are prepared and documented.

Evaluation basis and design for assessing sustainability

Evaluation design: In the case of SPSP, sustainability depends heavily on the priorities set by BMZ. In some

cases, changed priorities at BMZ level have led to changes in the project's focus and may have hampered the sustainability of certain topics (e.g. USP). Under this criterion, the evaluation team looked into the sustainable anchoring and institutionalisation of specific issues through publications, methods, instruments and diverse formats of cooperation. It concentrated on tracing and evaluating synergies and networking activities with bilateral and regional German and international development cooperation initiatives.

Evaluation methods: As mentioned, the analysis of sustainability is closely related to the assessment of impact and effectiveness of the project. The evaluation team therefore decided to choose a similar methodological basis for this criterion that allowed comparisons to be made and findings to be built upon. This included desk studies of documents as well as semi-structured interviews and focus group discussions, in particular with former project staff and former staff of the responsible BMZ sector division. The findings on impact and effectiveness were scrutinised and hindering (trade-offs) and supporting (e.g. synergies) factors for sustainability assessed.

Analysis and assessment regarding sustainability

Sustainability is difficult to assess for a sector initiative like SPSP. The project has conducted many activities at different levels to anchor tools and instruments (especially openIMIS) in partner countries and projects.

As the primary task of a sector initiative is to keep a topic 'alive' within BMZ and German development cooperation structures, a sector initiative's sustainability cannot be measured exclusively by its products (such as openIMIS and publications). However, interviewees confirmed that 'these products will have a very long lifespan. They won't change soon. They are still very useful and will not just be used at GIZ country level' (Foc-Dis_5).

Currently, the interest in social protection has increased due to the COVID-19 pandemic, and more international stakeholders and countries than before have shown an interest in using openIMIS in their pandemic response. However, although COVID-19 has been a catalyst for the expansion of social protection schemes, it remains to be seen how sustainable this effect will be: 'When the dust settles and the smoke clears there are hopefully countries who are better equipped, because this is certainly not the last shock' (Foc-Dis_6). More countries are currently expanding their social protection tools, but some are doing so on an ad hoc basis, while others are doing this more consistently, realising that a more systemic response is needed. While the vast majority of donor attention is currently on cash transfers (one of the greatest success stories among countries), the project has been one of the few actors to approach governments with a wider concept: 'social protection is much more than cash transfers, especially if you want it to become sustainable' (Foc-Dis_4). The most important sustainable product apart from openIMIS is the 5 Building Blocks, in which the most important providers of input and feedback were GIZ and FCDO (see Section 4.4). The 5 Building Blocks create a platform for implementation at country level, allowing the partners to analyse and identify country needs (Int_6). This is also a promotional element for digital social protection solutions and the use of openIMIS: 'The whole promotional element was part of the last project and would need to be continued because GIZ is a trailblazer to cover this particular problem' (Foc-Dis_4).

The evaluation team sees potential for sustainability deriving from the project's work on digital social protection at multidonor level. This includes the regular exchange and joint work between different development partners on digital issues during the past two years and the collaborative work on defining common standards. The collaboration modus of organisations under SPACE and their joint consultation services towards partner countries aim for longer-term changes of the countries' social protection systems and have potential to achieve long-term effects beyond the actual existence of SPACE.

Moreover, there is increased interest at BMZ in social protection and digital solutions, but – as resource persons from BMZ confirmed – this may look different after elections and when new policy directions are

developed at higher levels of the ministry. These resource persons referred to the effects of the financial crisis in 2009, which had also prompted increased interest in social protection schemes as a shock response, but stated that this effect had not lasted: 'The enthusiasm was high, but the implementation was very difficult. The fact that the topic is included in so many others means that neither BMZ nor GIZ can keep all cross-cutting issues on the screen' (Foc-Dis_2). Both the project and the responsible BMZ division have thus promoted social protection as a cross-cutting issue within their organisations to build synergies and to network for greater sustainability of the topic (Foc-Dis_2). In general, the evaluation demonstrated that the project was rather successful in anchoring social protection aspects sustainably in international guidelines and policy papers (especially with 'likeminded' organisations such as ILO and WB, who in any case engage in the topic more actively), but less successful within its own system (GIZ, Kreditanstalt für Wiederaufbau (KfW) and BMZ). Recognition of social protection as a means to achieve many of the SDGs (see Section 4.2) has increased among the relevant stakeholders and organisations. One of the activities of SPSP was thus to explain to actors where and how social protection can be used in SGD achievement and to support them with guidelines for implementation to anchor the issue more sustainably in Agenda 2030 processes. One important step in that direction is the inclusion of social protection in the BMZ 2030 concept (BMZ, 2020), which lays out the new strategic orientation of German development cooperation. Here, social protection is mentioned as one of the action fields under 'peace and social cohesion', the first of the five new core themes (BMZ, 2020, p. 9). Another step towards sustainability is Germany's engagement in SASPP, together with multilateral donors and the planned multidonor trust fund (see Section 4.4, Evaluation dimension 3).

Overall assessment of sustainability

It remains to be seen how stable and resilient the results of the project will be in the future. As previously mentioned, the COVID-19 pandemic has created a strong momentum for social protection, and this has also benefited openIMIS, but whether this leads to substantial ownership for the overall concept of social protection and the development of more systematic social protection schemes is currently in question. Nevertheless, BMZ has put the topic back on the agenda and has obviously realised the importance of the topic more clearly since COVID-19.

The project has also made important progress in turning openIMIS into a global good. Although the tool is not yet fully anchored as open source, there is a risk that the project will be too closely linked with openIMIS and may be perceived as the product owner. This could hamper the sustainability of the product as a global good if 'they don't reach the tipping point allowing the product to fly on its own and become a sustainable global good' (Foc-Dis_4).

Based on the assessment, the overall score for the sustainability criterion adds up to **90 out of 100 points** and is rated **successful**.

Table 12: Assessment of sustainability

Criterion	Assessment dimension	Score and rating
Sustainability	Prerequisite for ensuring the long-term success of the project: results are anchored in (partner) structures.	45 out of 50 points
	Forecast of durability: results of the project are permanent, stable and long-term resilient.	45 out of 50 points
Overall score and rating		Score: 90 out of 100 points Rating: successful

4.7 Key results and overall rating

This section briefly summarises the key results of the evaluation along the three hypotheses (results lines A, B and C) developed for the evaluation during the inception phase together with the project team.

Key results regarding selected hypotheses

Figure 3: Key results – hypothesis A

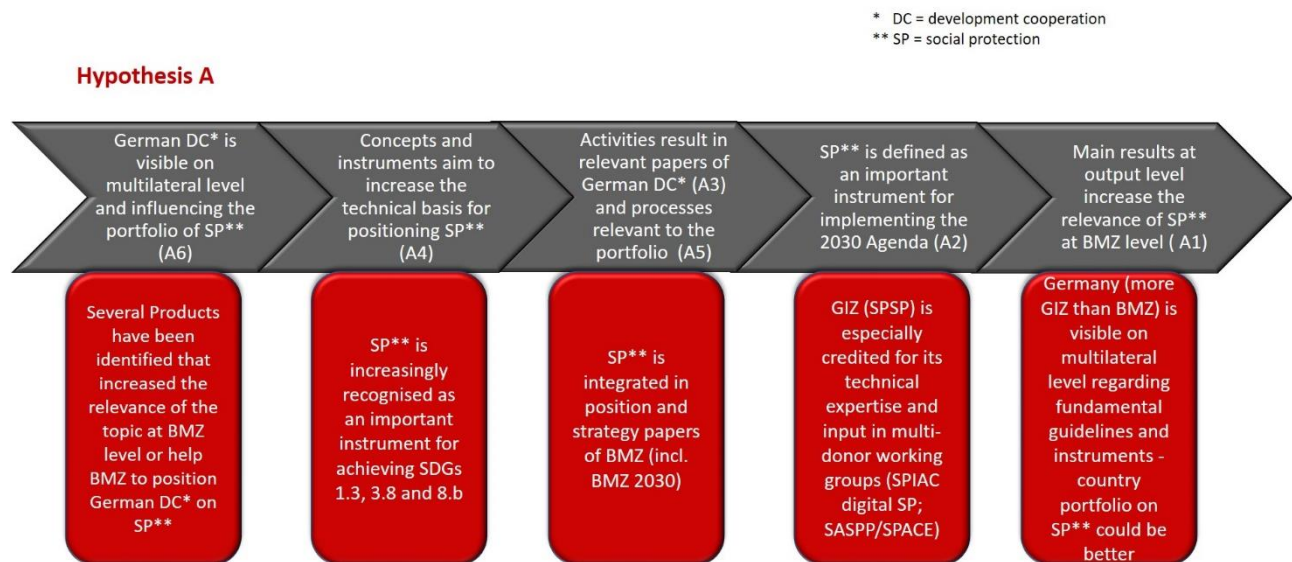


Figure 4: Key results – hypothesis B

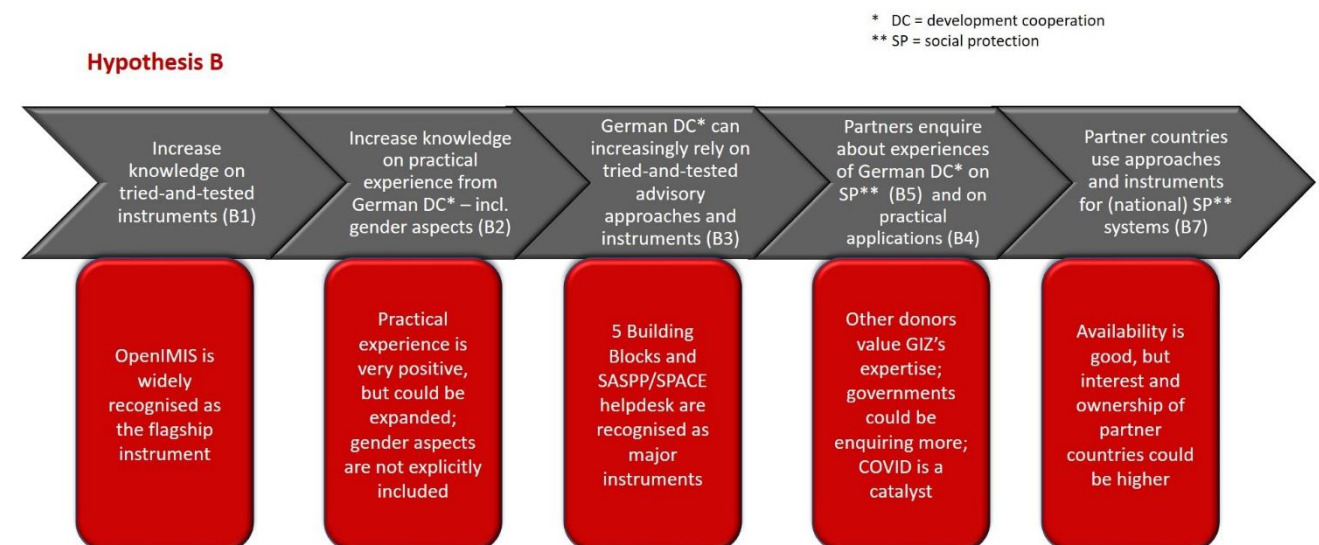


Figure 5: Key results – hypothesis C

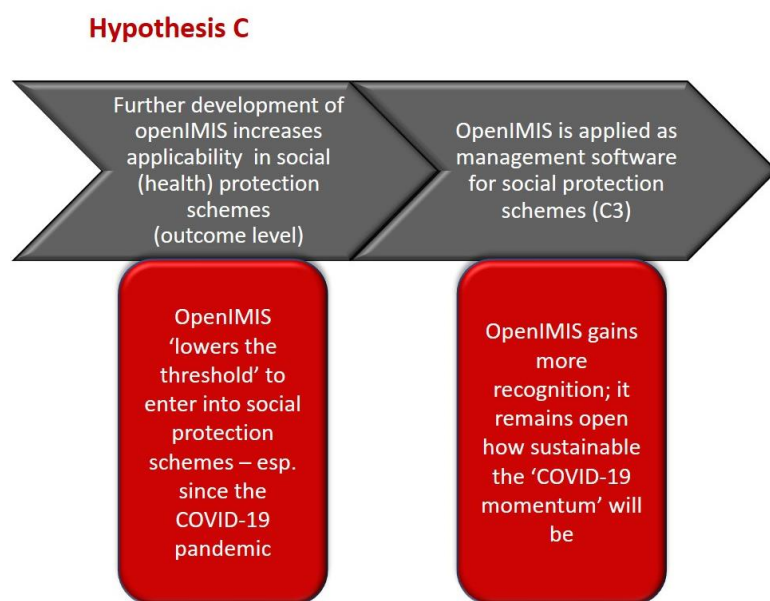


Table 13: Overall rating of OECD/DAC criteria and assessment dimensions

Criterion	Score	Rating
Relevance	88 out of 100 points	Level 2: successful
Effectiveness	90 out of 100 points	Level 2: successful
Impact	89 out of 100 points	Successful
Efficiency	94 out of 100 points	Highly successful
Sustainability	90 out of 100 points	Successful
Overall score and rating for all criteria	90.2 out of 100 points Average score of all criteria (sum divided by 5, max. 100 points, see below)	Successful

Table 14: Rating and score scales

100-point scale (score)	6-level scale (rating)
92–100	Level 1 = highly successful
81–91	Level 2 = successful
67–80	Level 3 = moderately successful
50–66	Level 4 = moderately unsuccessful
30–49	Level 5 = unsuccessful
0–29	Level 6 = highly unsuccessful

5 Conclusions and recommendations

5.1 Factors of success/failure

To facilitate learning from this evaluation, this chapter briefly summarises key factors of success and central weaknesses – or hindering factors – of the project.

Success factors

- **Team set-up:** The professional and technical staff of the project and their teamwork were mentioned as a key strength of the project by most stakeholders. In addition to their sound technical background and experience in the sector, the team further capitalised on their own networks of contacts and personal relationships to bring forward activities. Besides the correct choice of staff, the continuity of the project team was also a key factor that allowed sustainable and strategic assistance to be provided over the years.
- **Leadership and team management:** The project team had very good and active leadership, which positively influenced interinstitutional relations. Internal communication mechanisms support effective teamwork. The team leader was good at bringing experts on board who were then also able to promote the topic internationally.
- **Stakeholder management:** The project team and its team leader managed to cooperate with a diverse and wide range of other stakeholders in the field of social protection. The team developed Capacity WORKS stakeholder maps for every major aspect of their work (ASP, social health protection, including universal health coverage, digital social protection and USP) in 2018. The analysis also included the status quo of the project's involvement in the topic, as well as challenges and recommendations for future involvement.
- **Maintaining flexibility:** The perception of international cooperation partners is that there was a very good level of cooperation and that the project was more flexible than other agencies in bridging gaps while placing its instruments and tools in a wider perspective. The team managed to establish communication channels

with partners at the operational level, and this speeded up the work.

- **Reaction to changes:** In relation to changes that are presented by the dynamics of the sector and that lie beyond the project's immediate range of responsibility, there was good capacity to react and adapt accordingly. Activities were adapted according to the institutional political climate as well as to the emerging needs of the target group, allowing for continuity of activities and achievement of results despite changes in the political agenda and volatile ownership of certain aspects of the topic at BMZ. The project also reacted very rapidly to potential needs emerging from the COVID-19 crisis.
- **Motivation to maximise impact:** The additional efforts of the project to showcase openIMIS have been very important for achieving the objective and are a key strength of the project team. Besides making the software a global good, the project invested in creating communities of practice and in marketing the software for various applications. It thus also facilitated learning and innovation.

Hindering factors

- **Frequent staff changes at responsible BMZ sector division:** The project depended strongly on the political agenda of BMZ and on the ownership for the topic for the achievement of indicators. Frequent staff changes at the responsible sector division and volatile ownership of certain aspects of the topic were hindering factors in achieving the planned results. However, the project was effective in compensating for this to a certain extent by getting involved with international actors outside BMZ who were interested in pushing the issue forward.
- **Conflicting priorities:** The project acted in a field of tension between the original tasks of a sector initiative in positioning German development cooperation in the thematic field and the task of anchoring the topic in the portfolio of German development cooperation at partner country level, as laid out in the project's design. This sometimes resulted in a somewhat unclear definition of the project's role and perception among other stakeholders: 'GIZ is punching above its weight on global level. It should rather build on its good face in relation to governments and work more through its own system to create value for what has been produced on global level' (Int_4). The conflicting priorities have also led to the project 'jumping' onto too many different opportunities, with the risk of becoming involved in too many activities that are 'nice to have' rather than concentrating on what is strategically useful and needed. It was also assessed that the activities concerning openIMIS were somewhat a 'project within the project' that did not fully match the official tasks of a sector initiative. Hence, it was a strategically useful decision to detach the project from the sector initiative.
- **Insufficient synergies within German development cooperation:** All relevant interviewees confirmed the assessment of the evaluators that the project should have sought more cooperation and synergies within the German development cooperation system. Where cooperation with German development partner countries happened, it was usually very fruitful (e.g. Nepal). But the project did not sufficiently enable the responsible BMZ sector division to approach BMZ country divisions and potential partner countries with the project's tools and instruments. Another way to improve country application of tools would have been through the relevant GIZ structures – especially the sectoral division – and the involvement in project appraisal processes. This would have allowed the project to be more aligned with the portfolio of German development cooperation. This includes not only the technical cooperation portfolio, but also the financial cooperation portfolio. The fact that GIZ and KfW did not coordinate their efforts on the issue was assessed as a clear shortcoming. However, KfW has recently increased its portfolio on social protection and wants to expand a joint approach with GIZ and BMZ (Foc-Dis_3). A former staff member of the project now works at KfW and was involved as liaison person for SPSP.

5.2 Key findings and recommendations

This section concentrates on concluding recommendations that are based on the analysis and conclusions in the previous chapters. The evaluation team is aware that this comes at a time when the follow-up projects of SPSP have already started. Thus, it is unlikely that recommendations can be taken into consideration in the

design of the new projects.

The evaluators therefore decided to focus on recommendations regarding issues that affect not the overall design of the two projects, but their management and implementation as well as their stakeholder management. In general, the evaluation team feels that it was an important and useful step to split the tasks up into two projects, namely the new sector initiative on social protection (September 2020 to November 2022), and the global programme Social Protection Innovation and Learning (PN 2020.2163.2), focusing on the further development of openIMIS and its country implementation with cofinancing from DEZA (September 2020 to August 2023).

- **Illustrate interfaces with social protection in a user-friendly manner:** Follow a systemic approach in the development and expansion of social protection. As social protection is a cross-cutting issue that can make an important contribution towards implementing the 2030 Agenda, responsible stakeholders at all levels need to be better informed about where social protection and the instruments and tools of the project may fruitfully be used. The capacity of important stakeholders at BMZ (including sector divisions other than 101, country divisions, etc.) and GIZ, as well as in partner countries of German development cooperation, needs to be enhanced so that they recognise the interfaces between social protection and 'their' topics and have better knowledge and understanding of helpful instruments. Thus, greater ownership of social protection instruments can be created.
- **Analyse partner needs and concentrate on them:** It is important for the project(s) to know and analyse political and programmatic priorities of their stakeholders with a view to highlighting their interfaces with social protection instruments. This process should always be demand-driven, because as one resource person correctly stated, 'Developing concepts only makes sense if there is someone who will use it' (Foc-Dis_1). During the evaluation, several interviewees responded that the project should concentrate its efforts on certain topics and fields of intervention rather than trying to get involved in too many different platforms and networks. Despite its vast and diverse knowledge and expertise, the project should limit itself to making the issue understandable to potential users based on a thorough analysis of who these users will realistically be and what their needs for capacity development are. At the same time, the project should analyse what its core competences are and concentrate mainly on these.
- **Concentrate more on developing strategies within German development cooperation:** The project should concentrate its efforts on promoting the interfaces between social protection and other issues within the German development cooperation portfolio. To do so, it should form more strategic alliances within the German development cooperation system (GIZ, KfW, BMZ) than it did previously. There is good potential here, if the topic is addressed in pre-appraisal processes for German development cooperation projects (e.g. in conflict analyses and other preliminary analyses for project appraisals and planning). The potential has increased because social protection is now mentioned in the BMZ 2030 strategy paper and in the 2030 Agenda. These reference points can be used in order to 'get a grip on the market' and to enable the responsible BMZ division to approach potential partner countries and offer them the right tools and instruments. These processes should be planned and coordinated regularly and at a very early stage. Although this needs time and patience, it also offers the chance to use resources more efficiently than before.

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Annex

Annex 1: Evaluation Matrix

OECD-DAC Criterion RELEVANCE (max. 100 points)						
Assessment dimensions	Filter - Project Type	Evaluation questions	Evaluation indicators	Data collection methods (e.g. interviews, focus group discussions, documents, project/partner monitoring system, workshop, survey, etc.)	Data sources (list of relevant documents, interviews with specific stakeholder categories, specific monitoring data, specific workshop(s), etc.)	Evidence strength (moderate, good, strong)
<p>The project design (1) is in line with the relevant strategic reference frameworks.</p> <p>Max. 30 points</p>	Standard	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 (2))	strategic reference frameworks to national and intl. policy and sector papers	documents	PV 2017 incl. WiMa, WiMo Change offers and Justification notes to BMZ (03/2018, 08/2018, 08/2019, 02/2020) BMZ policy and sector papers Documents from other sectors where social protection has been integrated	strong
	Standard	To what extent is the project design in line with the relevant strategic reference frameworks?	are major milestones, missions and strategic concepts on SP referred to	documents	PV 2017 incl. WiMa, WiMo Change offers and Justification notes to BMZ (03/2018, 08/2018, 08/2019, 02/2020) BMZ policy and sector papers; Documents from other sectors where social protection has been integrated	strong
	Standard	To what extent are the interactions (synergies/trade-offs) of the intervention with other sectors reflected in the project design – also regarding the sustainability dimensions (ecological, economic and social)?	Comparison with other donors and German development cooperation projects on SP (interface papers etc.)	documents, interviews, focus group discussions	Interface paper on climate (draft); Other GIZ programmes (UHC, SP digitalisation, Profile/Global Health, disaster risk management, ÜH)PV 2017 incl. WiMa, WiMo Change offers and Justification notes to BMZ (03/2018, 08/2018, 08/2019, 02/2020) BMZ policy and sector papers; Documents from other sectors where social protection has been integrated; Interviews, FGD with WB, DFID, AFD, ADB, EU DEVCO, etc.	strong
	Standard	To what extent is the project design in line with the Development Cooperation programme (If applicable), the BMZ country strategy and BMZ sectoral concepts?	strategic reference frameworks to national policy and sector papers	documents	PV 2017 and modification offers; BMZ policy and sector papers	strong
	Standard	To what extent is the project design in line with the (national) objectives of the 2030 agenda? To which SDGs is the project supposed to contribute?	Reference to relevant SDGs in project documents and strategy	documents	PV 2017; Gender Analyses (2017, 2019)	strong
	Standard	To what extent is the project design subsidiary to partner efforts or efforts of other relevant organisations (subsidiarity and complementarity)?	Comparison with other donors	documents, interviews, focus group discussions	DEZA cofinancing Donor documents, e.g. DFID (Space, SPIAC-B), AFD, WB ADB, DFID etc. Contributions to common initiatives and networks Pieces in space	strong

	and SV/GV	To what extent does the project complement bilateral or regional projects? To what extent does it complement other global projects?	Comparison with other German development cooperation projects	documents, interviews, focus group discussions	project documents, country portfolios, Interviews and FGD with GIZ projects	good
	and SV/GV	To what extent is the measure geared towards solving a global challenge that cannot only be effectively addressed bilaterally/ regionally?	Reference made to SDGs in approaches and strategies	documents	LNOB innovation forum (GIZ internal) KD paper on inclusion – COVID19 response SPACE analytical framework GESI	strong
The project design (1) matches the needs of the target group(s).	Standard	To what extent is the chosen project design geared to the core problems and needs of the target group(s)?	Perception of relevant stakeholders	documents, interviews, focus group discussions	Gender analyses; LNOB innovation forum (GIZ internal) KD paper on inclusion – COVID19 response SPACE analytical framework GESI	strong
Max. 30 points	Standard	How are the different perspectives, needs and concerns of women and men represented in the project design?	GG1 identifier (BMZ and OECD) / Gender indicator	documents	PV 2017; Gender Analyses (2017, 2019)	good
	Standard	To what extent was the project design designed to reach particularly disadvantaged groups (LNOB principle, as foreseen in the 2030 Agenda)? How were identified risks and potentials for human rights and gender aspects included into the project design?	Reference to LNOB, Agenda 2030 and human rights in project documents	documents	LNOB innovation forum (GIZ internal) KD paper on inclusion – COVID19 response SPACE analytical framework GESI	strong
	Standard	To what extent are the intended impacts regarding the target group(s) realistic from today's perspective and the given resources (time, financial, partner capacities)?	Comparison current status and goals Perception stakeholders (regulations, concepts, methods, tools developed, knowledge exchange platforms)	documents, interviews, focus group discussions	Project documents, Presentation: Globale Megatrends und das Potenzial von sozialer Sicherung (03/2018), „Sahel Adaptive Social Protection Program The Adaptive Building Blocks: A Framework. FINAL draft“ (10/2019), “Increasing Links Between Humanitarian Cash and Social Protection for an Effective Response to the Covid19 Pandemic” (2020), “The importance of social protection for climate change mitigation in LMICs: success stories and opportunities for the future”, “Mobilising social protection expertise in an emergency - Rapid response-mode policy support to countries facing COVID19-related social and economic disaster” (2020); Interviews and FGD with BMZ, other donors and GIZ projects	strong
The project design (1) is adequately designed to achieve the chosen project objective.	Standard	Assessment of current results model and results hypotheses (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?	Consistency, coherence and quality of ToC; unintended results compared to assumptions	documents, interviews, focus group discussions	Results model, ToC, Interviews with project staff, BMZ and donors	strong
Max. 20 points	Standard	To what extent does the strategic orientation of the project address potential changes in its framework conditions?	Project priorities compared to BMZ priority topics (and changes)	documents, interviews, focus group discussions	Results model, ToC, Interviews with project staff and BMZ	strong
	Standard	How is/was the complexity of the framework conditions and guidelines handled? How is/was any possible overloading dealt with and strategically focused?	Risks / bottlenecks outside the sphere of responsibility mentioned by project staff	documents, interviews, focus group discussions	project documents, monitoring system, CapacityWORKS, interviews, FGD and workshop with project staff	strong
The project design (1) was adapted to changes in line with requirements and re-adapted where applicable.	Standard	What changes have occurred during project implementation? (e.g. local, national, international, sectoral, including state of the art of sectoral know-how)?	Modification offers and changes not mentioned in ToC	documents, interviews, focus group discussions	project documents, monitoring system, CapacityWORKS, interviews, FGD and workshop with project staff	strong

Max. 20 points	Standard	How were the changes dealt with regarding the project design?	Reactions to priority changes at BMZ and intl. Cooperation; reactions to developments (e.g. COVID-19)	documents, interviews, focus group discussions	project documents, monitoring system, CapacityWORKS, interviews, FGD and workshop with project staff	strong
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(1) The 'project design' encompasses project objective and ToC (see 3) with activities, outputs, instruments and results hypotheses as well as the implementation strategy (e.g. methodological approach, CD-strategy, results hypotheses)

(2) In the GIZ Safeguards and Gender 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.

(3) ToC = GIZ results model = graphic illustration and narrative results hypotheses

(4) Deescalating factors/ connectors: e.g. peace-promoting actors and institutions, structural changes, peace-promoting norms and behaviour. 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. 55/135.

(5) Escalating factors/ dividers: e.g. destructive institutions, structures, norms and behaviour. 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.

OECD-DAC Criterion EFFECTIVENESS (max. 100 points)

Assessment dimensions	Filter - Project Type	Evaluation questions	Evaluation indicators	Data collection methods (e.g. interviews, focus group discussions, documents, project/partner monitoring system, workshop, survey, etc.)	Data sources (list of relevant documents, interviews with specific stakeholder categories, specific monitoring data, specific workshop(s), etc.)	Evidence strength (moderate, good, strong)
The project achieved the objective (outcome) on time in accordance with the project objective indicators.(1) Max. 40 points	Standard	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?	Comparison current status and indicators (updated September 2020)	project documents, FGD with project staff	monitoring data, PFB	strong
	Standard	To what extent is it foreseeable that unachieved aspects of the project objective will be achieved during the current project term?	Almost all indicators are achieved/overachieved already. An update will be made during the evaluation phase (after end of project)	document analysis, Interview with AV	monitoring data, PFB	strong
The activities and outputs of the project contributed substantially to the project objective achievement (outcome).(1) Max. 30 points	Standard	To what extent have the agreed project outputs been achieved (or will be achieved until the end of the project), measured against the output indicators? Are additional indicators needed to reflect the outputs adequately?	Comparison current status and indicators (updated September 2020)	document analysis, Interview with AV	monitoring data, PFB	strong
	Standard	How does the project contribute via activities, instruments and outputs to the achievement of the project objective (outcome)? (contribution-analysis approach)	Hypothesis H1.1, H1.2, H1.3	contribution analysis, interviews, FGD	Interview partners at BMZ, DEZA, FMB and other relevant partners	good
	Standard	Implementation strategy: Which factors in the implementation contribute successfully to or hinder the achievement of the project objective? (e.g. external factors, managerial set-up of project and company, cooperation management)	External factors, managerial set-up of project, cooperation management (CapacityWORKS) Perception project team	document analysis, Interview with AV	interview with AV, Interview with BMZ	moderate
	Standard	What other/alternative factors contributed to the fact that the project objective was achieved or not achieved?	Perception of BMZ, Perception of GIZ external structure; Perception of SPIAC-B Stakeholders	Interviews and FGD	BMZ, GIZ external structure, SPIAC-B stakeholder	good

	Standard	What would have happened without the project?	Perception of DEZA on open IMIS, Perception of partner countries, Perception of FMB, Perception of BMZ	Interviews and FGD	BMZ, FMB, DEZA	moderate
<p>No project-related (unintended) 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>	Standard	Which (unintended) negative or (formally not agreed) positive results does the project produce at output and outcome level and why?	Perception of BMZ, Perception of GIZ external structure; Perception of SPIAC-B Stakeholders	Interviews and FGD	BMZ, GIZ external structure, SPIAC-B stakeholder	good
	Standard	How were risks and assumptions (see also GIZ Safeguards and Gender system) as well as (unintended) negative results at the output and outcome level assessed in the monitoring system (e.g. 'Kompass')? Were risks already known during the concept phase?	Perception of project team; Perception of FMB	Interviews and FGD	FMB, project team	moderate
	Standard	What measures have been taken by the project to counteract the risks and (if applicable) occurred negative results? To what extent were these measures adequate?	Perception of project team; Perception of FMB	Interviews and FGD	FMB, project team	moderate
	Standard	To what extent were potential (not formally agreed) positive results at outcome level monitored and exploited?	Perception of project team; Perception of FMB, Perception of BMZ	Interviews and FGD	FMB, project team, BMZ	good

(1) 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.

(2) Deescalating factors/ connectors: e.g. peace-promoting actors and institutions, structural changes, peace-promoting norms and behaviour. 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. 55/135.

(3) Escalating factors/ dividers: e.g. destructive institutions, structures, norms and behaviour. 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.

(4) All projects in fragile contexts, projects with FS1 or FS2 markers and all transitional aid projects have to weaken escalating factors/dividers and have to mitigate risks in the context of conflict, fragility and violence. Projects with FS1 or FS2 markers should also consider how to strengthen deescalating factors/ connectors and how to address peace needs in its project objective/subobjective?

(5) Risks in the context of conflict, fragility and violence: e.g. 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.). 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.

OECD-DAC Criterion IMPACT (max. 100 points)

Assessment dimensions	Filter - Project Type	Evaluation questions	Evaluation indicators	Data collection methods (e.g. interviews, focus group discussions, documents, project/partner monitoring system, workshop, survey, etc.)	Data sources (list of relevant documents, interviews with specific stakeholder categories, specific monitoring data, specific workshop(s), etc.)	Evidence strength (moderate, good, strong)
<p>The intended overarching development results have occurred or are foreseen (plausible reasons). (1)</p> <p>Max. 40 points</p>	Standard	To which overarching development results is the project supposed to contribute (cf. module and programme proposal with indicators/ identifiers if applicable, national strategy for implementing the 2030 Agenda, SDGs)? Which of these intended results at the impact level can be observed or are plausible to be achieved in the future?	SDGs; strategic reference frameworks to national and intl. policy and sector papers	documents, interviews, focus group discussions	PV 2017 incl. WiMa, WiMo Change offers and Justification notes to BMZ (03/2018, 08/2018, 08/2019, 02/2020) BMZ policy and sector papers Documents from other sectors where social protection has been integrated	strong
	Standard	Indirect target group and LNOB: Is there evidence of results achieved at indirect target group level/specific groups of population? To what extent have targeted marginalised groups (such as women, children, young people, elderly, people with disabilities, indigenous peoples, refugees, IDPs and migrants, people living with	Reference to LNOB, Agenda 2030, Gender and human rights in project documents	documents	PV 2017 incl. WiMa, WiMo; ; Gender Analyses Change offers and Justification notes to BMZ (03/2018, 08/2018, 08/2019, 02/2020) BMZ policy and sector papers; Documents from other sectors where social protection has been integrated; Survey (openIMIS) on touch points,	good

		HIV/AIDS and the poorest of the poor) been reached?			contributions from the SV – to which projects	
The project objective (outcome) of the project contributed to the occurred or foreseen overarching development results (impact).(1)	Standard	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)	Contribution analysis; perceptions of BMZ and other donors; touchpoints where the project made contributions to projects	documents, interviews, focus group discussions	documents, monitoring data, workshops with project staff, interviews with BMZ and other donors; FGD with GIZ sectoral dept. & projects	good
Max. 30 points	Standard	What are the alternative explanations/factors for the overarching development results observed? (e.g. the activities of other stakeholders, other policies)	Contribution analysis; activities (events, papers, websites, networks etc.) of BMZ and other donors	documents, workshop with project staff	reconstructed results model; project documents, monitoring system, interviews with BMZ and other donors	strong
	Standard	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)? How did the project react to this?	Changes in policy/priorities at BMZ;	documents, interviews, focus group discussions	documents (BMZ) interviews/FGD with BMZ, project monitoring system and PFBs	good
	Standard	What would have happened without the project?	Perceptions of BMZ, GIZ projects, GIZ sectoral dept. And other donors	interviews, focus group discussions	interviews & focus group discussions with BMZ, GIZ and other donors (initiatives)	strong
	Standard	To what extent has the project made an active and systematic contribution to widespread impact and were scaling-up mechanisms applied (2)? If not, could there have been potential? Why was the potential not exploited? To what extent has the project made an innovative contribution (or a contribution to innovation)? Which innovations have been tested in different regional contexts? How are the innovations evaluated by which partners?	Common papers and initiatives; Reference to SP in BMZ papers; Perceptions of BMZ, GIZ projects, GIZ sectoral dept. And other donors	documents, interviews, focus group discussions; survey (openMIS)	Contribution analysis Integrated information management systems (with DFID – 3 pillar illustration of concept) AI Study with ADB WB global delivery source book Joint building blocks (Sahel programme – with DFID, AFD, WB) openHIE – digital and standardising data in health financing systems (using FHIR standard) SPACE has been observed with interest from several development partners (UNICEF, WB, WFP, ILO, HelpAge etc.) and analytical frameworks are being used by many, UNICEF requests many SPACE advices; DFAT interested in joining as part of funders; interviews/FGDs; survey	strong
	Standard	Which (unintended) negative or (formally not agreed) positive 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 Agenda 2030)? Were positive synergies between the three dimensions exploited?	Common papers and initiatives; Reference to SP in BMZ papers; Perceptions of BMZ, GIZ projects, GIZ sectoral dept. And other donors	documents, interviews and focus group discussions	Project documents, Presentation: Globale Megatrends und das Potenzial von sozialer Sicherung (03/2018), „Sahel Adaptive Social Protection Program The Adaptive Building Blocks: A Framework. FINAL draft" (10/ 2019), "Increasing Links Between Humanitarian Cash and Social Protection for an Effective Response to the Covid19 Pandemic" (2020), "The importance of social protection for climate change mitigation in LMICs: success stories and opportunities for the future", "Mobilising social protection expertise in an emergency - Rapid response-mode policy support to countries facing COVID19-related social and economic disaster" (2020); Interviews and FGD with BMZ, other donors and GIZ projects	strong
No project-related (unintended) negative results at impact level have occurred – and if any negative results occurred the project responded adequately. 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. Max. 30 points	Standard	To what extent were risks of (unintended) results at the impact level assessed in the monitoring system (e.g. 'Kompass')? Were risks already known during the planning phase?	Comparing risks and assumptions from WiMa to monitoring system and PFBs	documents, monitoring system	project documents, workshop with project staff	strong
	Standard	What measures have been taken by the project to avoid and counteract the risks/negative results/trade-offs (3)?	Comparing risks and assumptions from WiMa to monitoring system and PFBs	documents, monitoring system	project documents, workshop with project staff	strong
	Standard	To what extent have the framework conditions played a role in regard to the negative results ? How did the project react to this?	Comparing risks and assumptions from WiMa to monitoring system and PFBs	documents, monitoring system	project documents, workshop with project staff	strong

	Standard	To what extent were potential (not formally agreed) positive results and potential synergies between the ecological, economic and social dimensions monitored and exploited?	Comparing project documents (offers) to monitoring system and PFBs	documents, monitoring system	project documents, workshop with project staff	strong
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(1) 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.

(2) Broad impact (in German 'Breitenwirksamkeit') is defined by 4 dimensions: relevance, quality, quantity, sustainability. Scaling-up approaches can be categorised as vertical, horizontal, functional or combined. See GIZ (2014) 'Corporate strategy evaluation on scaling up and broad impact: The path: scaling up, the goal: broad impact' (<https://www.giz.de/de/downloads/giz2015-en-scaling-up.pdf>)

(3) Risks, negative results and trade-offs are separate aspects and are all to be considered.

OECD-DAC Criterion EFFICIENCY (max. 100 points)

Assessment dimensions	Filter - Project Type	Evaluation questions	Evaluation indicators	Data collection methods (e.g. interviews, focus group discussions, documents, project/partner monitoring system, workshop, survey, etc.)	Data sources (list of relevant documents, interviews with specific stakeholder categories, specific monitoring data, specific workshop(s), etc.)	Evidence strength (moderate, good, strong)
The project's use of resources is appropriate with regard to the outputs achieved. [Production efficiency: Resources/outputs] Max. 70 points	Standard	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.	Interviews, Secondary data analysis; data triangulation	Efficiency documents; project team	moderate
	Standard	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.	Interviews, Secondary data analysis; data triangulation	Efficiency documents; project team	moderate
	Standard		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 angemessenen Verhältnis zu den Kosten für die Outputs. Die durch ZAS Aufschriebe erbrachten Leistungen haben einen nachvollziehbaren Mehrwert für die Erreichung der Outputs des Vorhabens.	Interviews, Secondary data analysis; data triangulation	Efficiency documents; project team	moderate
	Standard		Die übergreifenden Kosten des Vorhabens stehen in einem angemessenen Verhältnis zu den Kosten für die Outputs.	Interviews, Secondary data analysis; data triangulation	Efficiency documents; project team	moderate
	Standard		Die durch ZAS Aufschriebe erbrachten Leistungen haben einen nachvollziehbaren Mehrwert für die Erreichung der Outputs des Vorhabens.	Interviews, Secondary data analysis; data triangulation	Efficiency documents; project team	moderate
	Standard	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).	Interviews, Secondary data analysis; data triangulation	Efficiency documents; project team	moderate
	Standard	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.	Interviews, Secondary data analysis; data triangulation	Efficiency documents; project team	moderate
	Standard		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.	Interviews, Secondary data analysis; data triangulation	Efficiency documents; project team	moderate
	Standard		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.	Interviews, Secondary data analysis; data triangulation	Efficiency documents; project team	moderate

<p>The project's use of resources is appropriate with regard to achieving the projects objective (outcome).</p> <p>[Allocation efficiency: Resources/Outcome]</p> <p>Max. 30 points</p>	Standard		Die im Modulvorschlag beschriebenen Risiken sind hinsichtlich der veranschlagten Kosten in Bezug auf die angestrebten Outputs des Vorhabens gut nachvollziehbar.	Interviews, Secondary data analysis; data triangulation	Efficiency documents; project team	moderate
	Standard		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.	Interviews, Secondary data analysis; data triangulation	Efficiency documents; project team	moderate
	Standard		Der im Modulvorschlag beschriebene Ansatz des Vorhabens hinsichtlich der zu erbringenden Outputs entspricht unter den gegebenen Rahmenbedingungen dem state-of-the-art.	Interviews, Secondary data analysis; data triangulation	Efficiency documents; project team	moderate
	Standard	For interim evaluations based on the analysis to date: To what extent are further planned expenditures meaningfully distributed among the targeted outputs?	siehe oben	Interviews, Secondary data analysis; data triangulation	Efficiency documents; project team	moderate
	Standard	To what extent could the outcome (project objective) 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, Secondary data analysis; data triangulation	Efficiency documents; project team	moderate
	Standard	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)			moderate
			Oder: Das Vorhaben steuert und plant seine Ressourcen zwischen den Outputs, so dass die maximalen Wirkungen im Sinne des Modulziels erreicht werden. (Zwischenevaluierung)	Interviews, Secondary data analysis; data triangulation	Efficiency documents; project team	
	Standard		Das im Modulvorschlag vorgeschlagene Instrumentenkonzept konnte hinsichtlich der veranschlagten Kosten in Bezug auf das angestrebte Modulziel des Vorhabens gut realisiert werden.	Interviews, Secondary data analysis; data triangulation	Efficiency documents; project team	moderate
	Standard		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.	Interviews, Secondary data analysis; data triangulation	Efficiency documents; project team	moderate
	Standard		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.	Interviews, Secondary data analysis; data triangulation	Efficiency documents; project team	moderate
	Standard		Die im Modulvorschlag beschriebenen Risiken sind hinsichtlich der veranschlagten Kosten in Bezug auf das angestrebte Modulziel des Vorhabens gut nachvollziehbar.	Interviews, Secondary data analysis; data triangulation	Efficiency documents; project team	moderate
	Standard		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.	Interviews, Secondary data analysis; data triangulation	Efficiency documents; project team	moderate
	Standard		Der im Modulvorschlag beschriebene Ansatz des Vorhabens hinsichtlich des zu erbringenden Modulziels entspricht unter den gegebenen Rahmenbedingungen dem state-of-the-art.	Interviews, Secondary data analysis; data triangulation	Efficiency documents; project team	moderate
	Standard	To what extent were more results achieved through cooperation / synergies and/or leverage of more resources, with the help of other ministries, bilateral and multilateral donors and organisations (e.g. cofinancing) and/or other GIZ projects? If so, was the relationship between costs and results appropriate or did it even improve efficiency?	Das Vorhaben unternimmt die notwendigen Schritte, um Synergien mit Interventionen anderer Geber auf der Wirkungsebene vollständig zu realisieren.	Interviews, Secondary data analysis; data triangulation	Efficiency documents; project team	moderate
	Standard		Wirtschaftlichkeitsverluste durch unzureichende Koordinierung und Komplementarität zu Interventionen anderer Geber werden ausreichend vermieden.	Interviews, Secondary data analysis; data triangulation	Efficiency documents; project team	moderate
	Standard		Das Vorhaben unternimmt die notwendigen Schritte, um Synergien innerhalb der deutschen EZ vollständig zu realisieren.	Interviews, Secondary data analysis; data triangulation	Efficiency documents; project team	moderate
	Standard		Wirtschaftlichkeitsverluste durch unzureichende Koordinierung und Komplementarität innerhalb der deutschen EZ werden ausreichend vermieden.	Interviews, Secondary data analysis; data triangulation	Efficiency documents; project team	moderate

Standard		Die Kombifinanzierung hat zu einer signifikanten Ausweitung der Wirkungen geführt bzw. diese ist zu erwarten.	Interviews, Secondary data analysis; data triangulation	Efficiency documents; project team	moderate
Standard		Durch die Kombifinanzierung sind die übergreifenden Kosten im Verhältnis zu den Gesamtkosten nicht überproportional gestiegen.	Interviews, Secondary data analysis; data triangulation	Efficiency documents; project team	moderate
Standard		Die Partnerbeiträge stehen in einem angemessenen Verhältnis zu den Kosten für die Outputs des Vorhabens.	Interviews, Secondary data analysis; data triangulation	Efficiency documents; project team	moderate

OECD-DAC Criterion SUSTAINABILITY (max. 100 points)

Assessment dimensions	Filter - Project Type	Evaluation questions	Evaluation indicators	Data collection methods (e.g. interviews, focus group discussions, documents, project/partner monitoring system, workshop, survey, etc.)	Data sources (list of relevant documents, interviews with specific stakeholder categories, specific monitoring data, specific workshop(s), etc.)	Evidence strength (moderate, good, strong)
Prerequisite for ensuring the long-term success of the project: Results are anchored in (partner) structures. Max. 50 points	Standard	What has the project done to ensure that the results can be sustained in the medium to long term by the partners themselves?	'Levers' used by the project to influence uptake of results/inputs by BMZ and other partners	documents, interviews, focus group discussions	Integrated information management systems (with DFID – 3 pillar illustration of concept) AI Study with ADB WB global delivery source book Joint building blocks (Sahel programme – with DFID, AFD, WB) openHIE – digital and standardising data in health financing systems (using FHIR standard) SPACE (with UNICEF, WB, WFP, ILO, HelpAge etc.) as analytical framework	strong
	Standard	In what way are advisory contents, approaches, methods or concepts of the project anchored/institutionalised in the (partner) system?	Reference of German and intl. Policy papers, approaches, initiatives etc. with inputs from the project	documents, interviews, focus group discussions, survey (openIMIS.org users)	Technical Paper: 'Building an integrated and digital social protection information system' (01/2020), Study: 'On-demand and up to date? Dynamic inclusion and data updating for social assistance' (03/2020), 'AI in Social Protection – Exploring Opportunities and Mitigating Risks' (04/2020), 'A systems perspective on Universal Social Protection' (2019); BMZ Sector concept 2009, BMZ Position Paper (2017); The Adaptive Building Blocks: A Framework. FINAL draft" (10/ 2019), "Increasing Links Between Humanitarian Cash and Social Protection for an Effective Response to the Covid19 Pandemic" (2020), "The importance of social protection for climate change mitigation in LMICs: success stories and opportunities for the future", "Mobilising social protection expertise in an emergency - Rapid response-mode policy support to countries facing COVID19-related social and economic disaster" (2020)	strong
	Standard	To what extent are the results continuously used and/or further developed by the target group and/or implementing partners?	uptake of tools and lessons learned by development cooperation projects	Survey (openIMIS.org users), interviews with GIZ projects (e.g. Nepal)	survey with openIMIS.org users (tbc, may also be other users of public toolboxes with input from SPSP); country/project portfolios (e.g. Nepal, Tanzania, Malawi, Indonesia, Cameroon)	good
	Standard	To what extent are resources and capacities at the individual, organisational or societal/political level in the partner country available (long-term) to ensure the continuation of the results achieved?	Sector project will be continued - resources are obviously sustainably available at BMZ	project offers SPSP and SPIL (both starting in September 2020)	PV SPSP / MV SPIL	strong
	Standard	If no follow-on measure exists: What is the project's exit strategy? How are lessons learned for partners and GIZ prepared and documented?	N.a.	N.a.	N.a.	

Forecast of durability: Results of the project are permanent, stable and long-term resilient. Max. 50 points	Standard	To what extent are the results of the project durable, stable and resilient in the long term under the given conditions?	contributions to topics currently high on the agenda (e.g. COVID-19 response)	Interviews and focus group discussion, documents/Websites/networks	Interviews with stakeholders, FGD with GIZ sectoral dept. & projects, check websites, initiatives and policy/strategy papers	good
	Standard	What risks and potentials are emerging for the durability of the results and how likely are these factors to occur? What has the project done to reduce these risks?	Compare risks and assumptions from PV with risks and assumption update in Sept. 2020	documents, interviews, focus group discussions	PV 2017 and WiMa, interviews/FGDs with project staff and GIZ sectoral dept., BMZ	good

(1) Escalating factors/ dividers: e.g. destructive institutions, structures, norms and behaviour. 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.

(2) Deescalating factors/ connectors: e.g. peace-promoting actors and institutions, structural changes, peace-promoting norms and behaviour. 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. 55/135.

(3) All projects in fragile contexts, projects with FS1 or FS2 markers and all transitional aid projects have to weaken escalating factors/dividers and have to mitigate risks in the context of conflict, fragility and violence. Projects with FS1 or FS2 markers should also consider how to strengthen deescalating factors/ connectors and how to address peace needs in its project objective/subobjective?

Additional Evaluation Questions

Assessment dimensions	Evaluation questions	Evaluation indicators	Data collection methods (e.g. interviews, focus group discussions, documents, project/partner monitoring system, workshop, survey, etc.)	Data sources (list of relevant documents, interviews with specific stakeholder categories, specific monitoring data, specific workshop(s), etc.)	Evidence strength (moderate, good, strong)
Impact and sustainability (durability) of predecessor project(s)	Which of the lessons learned from the predecessor project were taken into account in the project?	The PV of the project refers to lessons learned from predecessor projects	documents	Project progress review 2013, more are needed (availability tbc with CUE and project team)	moderate
	Which factors of success and failure can be identified for the predecessor projects?	what are the unintended positive and negative results of the predecessor project	documents	Project progress review 2013, more are needed (availability tbc with CUE and project team)	moderate
Follow-on project (if applicable)	How much does the follow-on project reflect changes in policy priorities of BMZ? Which?	Current and upcoming issues of BMZ/German development cooperation reflected in PV	project documents, interviews/FGD	PV of SPSP from 09/2020; interviews/FGD with BMZ	good

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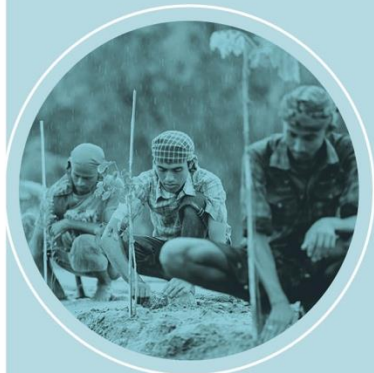
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