

## KNOWING WHAT WORKS



# Central project evaluation

Support to land reform (SLR), Namibia

Project number 2015.2214.3

## Evaluation Report

On behalf of GIZ by Stefan Elsing (Madiba Consult GmbH), Åse Christensen and Ruth Nuujoma

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# Contents

List of figures and tables .....	4
Abbreviations .....	5
The project at a glance .....	7
1 Evaluation objectives and questions .....	8
1.1 Evaluation objectives.....	8
1.2 Evaluation questions .....	8
2 Object of the evaluation .....	9
2.1 Definition of the evaluation object.....	9
2.2 Results model, including hypotheses .....	12
3 Evaluability and evaluation process .....	17
3.1 Evaluability: data availability and quality .....	17
3.2 Evaluation process .....	17
4 Assessment according to OECD/DAC criteria .....	20
4.1 Impact and sustainability of predecessor projects.....	20
4.2 Relevance.....	21
4.3 Effectiveness .....	26
4.4 Impact.....	34
4.5 Efficiency .....	39
4.6 Sustainability .....	42
4.7 Key results and overall rating .....	45
5 Conclusions and recommendations .....	51
5.1 Key findings and factors of success/failure .....	51
5.2 Recommendations.....	54
List of references .....	56
Annex.....	58
Annex 1 : Impressions and pictures by the evaluation team .....	58
Annex 2: Evaluation matrix.....	61

## List of figures and tables

Figure 1: Current results model, adapted during evaluation .....	14
Table 1: Evaluation with hypotheses linking outcomes with impact level .....	15
Table 2: Stakeholders in the evaluation and selected interviewees .....	18
Table 3: Rating of OECD/DAC criterion: relevance .....	26
Table 4: Assessed and adapted objective indicators for specific modules (outcome level) .....	26
Table 5: Rating of OECD/DAC criterion: effectiveness.....	33
Table 6: Rating of OECD/DAC criterion: impact .....	39
Table 7: Rating of OECD/DAC criterion: efficiency .....	42
Table 8: Rating of OECD/DAC criterion: sustainability .....	45
Table 9: Selected results hypotheses for effectiveness.....	46
Table 10: Selected results hypotheses for impact .....	47
Table 11: Overall rating of OECD/DAC criteria and assessment dimensions .....	50
Table 12: Rating and score scales.....	50

## Abbreviations

AV	Officer responsible for the commission
BMZ	German Federal Ministry for Economic Cooperation and Development
CD	Capacity development
FGD	Focus group discussion
FLTA	Flexible Land Tenure Act
FLTS	Flexible Land Tenure System
FLTR	Flexible Land Tenure Regulations
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH
LNOB	Leave No One Behind
ISUD	Inclusive and Sustainable Urban Development project (GIZ)
IT	Information technology
LA	Local authority
LRO	Land Rights Office
OECD/DAC	Organisation for Economic Co-operation and Development (OECD)/Development Assistance Committee (DAC)
MAWLR	Ministry of Agriculture, Water and Land Reform
MLR	Ministry of Land Reform (Note: in 2020, its name was changed to Ministry of Agriculture, Water and Land Reform – MAWLR)
MURD	Ministry of Urban and Rural Development
NDP	National Development Plan
NGO	Non-governmental organisation
NUST	Namibia University for Science and Technology
PMU	Project Management Unit
SDG	Sustainable Development Goal
SLR	Support to Land Reform project
ToC	Theory of Change
2NLC	2 <sup>nd</sup> National Land Conference (of Namibia)



## The project at a glance

Namibia: Support to Land Reform (SLR)

Project number	2015.2214.3
Creditor reporting system code	Rural development
Project objective	Access to land for landless households, with particular consideration for women and young people, is secured in urban and rural areas
Project term	1 July 2017 – 31 December 2020
Project value	EUR 4.9 million
Commissioning party	German Federal Ministry for Economic Cooperation and Development (BMZ)
Lead executing agency	Ministry of Land Reform (MLR) Namibia
Implementing organisations (in the partner country)	Ministry of Land Reform (MLR, now known as the Ministry of Agriculture, Water and Land Reform – MAWLR)
Other development organisations involved	Namibia University for Science and Technology (NUST), particularly the Integrated Land Management Institute (ILMI) at the NUST; the Land Rights Office (LRO); Ministry of Urban and Rural Development (MURD); Pilot: Local authorities and communities in Windhoek, Gobabis, Oshakati
Target group(s)	The target groups of the project were the inhabitants of the four pilot informal settlements in the cities of Gobabis, Oshakati and Windhoek. Other target groups were the decision-makers and experts from municipal and local administrations, who are responsible for much of the implementation of the Flexible Land Tenure System (FLTS) process. At regional level: regional councils (implementation of the integrated regional land-use plans). At the national level: the decision-makers and experts of the Ministry of Land Reform (MLR) and other ministries involved, especially the Ministry of Urban and Rural Development (MURD).

# 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 Evaluation objectives

Central project evaluations of projects commissioned by BMZ fulfil three basic functions: they support evidence-based decisions, promote transparency and accountability, and foster organisational learning within the scope of contributing to effective knowledge management. GIZ structures the planning, implementation and use of evaluations so that the contribution made by the evaluation process and the evaluation findings to these basic functions is optimised (GIZ, 2018).

This bilateral project, Support to Land Reform in Namibia (PN 2015.2214.3), which ran from 1 July 2017 to 31 December 2020, was chosen at random for evaluation by the GIZ Evaluation Unit. The present evaluation constitutes a final evaluation. The project was the final module in a series of five and the four predecessor modules were considered during this evaluation, to obtain reasonable results regarding the long-term impacts and sustainability of the project. A follow-up project is not envisaged. However, a new urban-development project (PN 2019.2088.3), which started on 1 May 2020, drew significantly on this project's experiences and aims to build on its achievements.

The stakeholders in the evaluation were the project team and the main project partners – the Ministry of Agriculture, Water and Land Reform (MAWLR – the successor to the Ministry of Land Reform, MLR) and the Ministry of Urban and Rural Development (MURD). The Namibia University of Science and Technology (NUST) was involved in the evaluation because it provided academic support to the project. Other stakeholders in the evaluation included the project's strategic partners, such as non-governmental organisations (NGOs) and experts from the municipal and local administrations, who are responsible for much of the implementation of the Flexible Land Tenure System (FLTS) process. In addition, the urban settlers in the pilot communities in Gobabis, Oshakati and Windhoek were involved in the evaluation as beneficiaries of the project. The project evaluation team and the GIZ Evaluation Unit were also stakeholders in the evaluation process. See Table 2 in section 3.2 for a detailed list of the interview partners.

No internal factors influencing the evaluation were identified in the inception phase. The obvious external factor was the COVID-19 pandemic, which resulted in domestic and international travel restrictions, curfews and other security measures. Consequently, travel to and within Namibia was not possible during the inception mission, which took place from 27 April to 1 May 2020, or for part of the evaluation mission, which took place from 14 to 25 September 2020. These missions were therefore carried out in a semi-remote manner (with the international evaluator working from Germany and participating in most of the meetings via online tools, and the local evaluators working in Namibia and physically attending meetings wherever possible, in accordance with safety guidelines).

## 1.2 Evaluation questions

The project is assessed on the basis of standardised evaluation criteria and questions to ensure comparability by GIZ. This is based on the Organisation for Economic Co-operation and Development (OECD)/Development Assistance Committee (DAC) evaluation criteria (updated 2020) for international cooperation and the evaluation criteria for German bilateral cooperation: **relevance, efficiency, effectiveness, impact** and



**sustainability.** Aspects regarding the criteria coherence, complementarity and coordination are included in these five criteria.

Specific assessment dimensions and analytical questions have been derived from this framework. These form the basis for all central evaluations of GIZ projects and can be found in the **evaluation matrix** (see annex). In addition, contributions to Agenda 2030 for Sustainable Development and its principles are taken into account, as are cross-cutting issues such as gender, the environment, conflict sensitivity and human rights. Also, aspects regarding the quality of implementation are included in all OECD/DAC criteria.

The evaluation questions in the evaluation matrix were presented by the evaluators during the inception mission. The Theory of Change (ToC) and the hypotheses of the results model were discussed and updated in a workshop together with the project team. No additional questions were raised during the inception mission by the GIZ project team, the GIZ sectoral unit (FMB) or relevant stakeholders. However, the evaluators did formulate questions from the hypotheses concerning the impact as well as the outputs of the project activities (effectiveness) posited as part of the ToC, which were worked out jointly with the team during a workshop to reconstruct/update the results model.

## 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 subject of the evaluation is the technical cooperation measure Support to Land Reform, Namibia (PN 2015.2214.3), henceforth referred to as 'the project' or 'SLR'. The project is the fifth in a series of projects supporting land reform in Namibia that began in 2000 and is referred to as Support to Land Reform SLR I – V. The project under evaluation started on 1 July 2017 with a planned completion date of end of June 2020. For administrative reasons, however, it was extended until 31 December 2020.

The project had a financial value of EUR 4.9 million. The only budget source was the German Federal Ministry for Economic Cooperation and Development (BMZ); thus, there was no co-financing.

The key implementing partner was the Ministry of Land Reform (MLR), which, in March 2020, was transferred to a department under the new Ministry of Agriculture, Water and Land Reform (MAWLR). The Ministry of Urban and Rural Development (MURD) was a further partner at the national level. The local authorities for the pilot areas (Windhoek, Gobabis and Oshakati) were also implementing partners.

The project objective (outcome) of SLR was 'access to land for landless households, with particular consideration for women and young people, is secured in urban and rural areas'. While it became clear during the project appraisal that the urban context has, in recent years, become the most relevant for support in terms of land reform (according to BMZ and Namibian partners and stakeholders), it was decided that the project should encompass support for policy development in the entire land sector – urban and rural. Moreover, the exponential demand for secure and affordable tenure among lower-income urban settlers has become an issue requiring urgent and immediate attention from the Government of the Republic of Namibia (MLR, 2018a).

**The political context and the general conditions of the project:** According to the 2011 national census, Namibia's population stood at 2.1 million (Namibia Statistics Agency, 2012). The urban population was 43%, having almost tripled from 382,280 in 1991 to nearly one million people in 2011. According to the UN's updated World Urbanization Prospects, the rural/urban distribution in 2018 was 50/50 and the overall population was about 2.6 million.

Cities are expanding at a rate of around 4% per annum, with some major towns and cities growing at an annual rate of almost 7%. The number of informal urban dwellings has jumped sevenfold, from 10,288 in 1991 to 228,000. These numbers were confirmed by various interview partners (Int\_13; FGD\_11). A 2017 report by local NGO Development Workshop Namibia, co-funded by the Namibia Chamber of Environment, observed, that should this current trend continue, urban shacks will dominate urban and rural dwellings by 2025 (Weber and Mendelsohn, 2017). Informal settlers are now estimated to make up 60% of the urban population and it is further estimated that, by 2050, 75% of the population will be living in shacks. Most land in Namibia, including in towns and cities, belongs to the State. Pre-independence, a colonial urban policy created towns exclusively for the settler community, which was where investment was made. Namibians of African descent were denied access to urban land ownership and only entered towns as contract labour. The abolition of apartheid policies after independence did little to improve access to urban land for the majority of low-income earners. Urban tenure considerations in the Namibian land policy had mainly been limited to some provisions in the National Land Policy of 1998. Major state interventions (Massive Urban Land Servicing Programme, Mass Housing Programme) involved high costs and limited outcomes. Post-independence land-reform policies and programmes gave priority to agricultural (rural) land reform (Int\_7, 10; FGD\_7).

The 2nd National Land Conference (2NLC) held in October 2018 dealt openly with the many emotive land questions. A large number of the resolutions related to 'urban land reform', with special considerations for the urban poor, indicating a new understanding of the scope and urgency of the issue. The Local Authorities Act empowers local authorities (LAs) to manage land in proclaimed towns and cities. However, the capacities of LAs to formally deliver land and basic services have not been able to match the growing demand resulting from urban migration and natural urban growth. The formal land delivery process has proven to be too lengthy and costly. Informal settlers establish themselves on land outside existing planned portions of townland in an unstructured manner, making the upgrading of and provision of services to them a challenge and costly for LAs. Additionally, prices for both serviced and unserviced land in towns and cities are astronomical, which, naturally, excludes the generally low-income urban settlers from purchasing and owning a piece of land for affordable and safe housing. Although evictions are very rare, vulnerable groups face insecurity of tenure. Living conditions are precarious, with substandard housing structures and insufficient basic services. Sanitation and waste-removal services are lacking, which creates health risks. Personal security is threatened due to the absence of lighting (*inter alia*, documentation from the 2nd National Land Conference, October 2018; Weber and Mendelsohn, 2017; Int\_12, 16; FGD\_1).

The Flexible Land Tenure Act of 2012 aimed to create 'simpler and cheaper' means to administer land in informal urban areas (not just the initial delivery of title). Nonetheless, the acceleration of land delivery is commonly expected/interpreted as an objective of the Act, as is the delivery of secure tenure in informal urban areas to people with no rights to the land they are presently occupying. The act established a land registration system that is just, modern and contributes to economic growth and household welfare. Informal and unstructured settlements have added to the high costs of servicing urban land and upgrading informal settlements.

The German government, at the request of and through negotiation with the Namibian government, has been helping the latter in the land sector since 2003, through technical cooperation and, generally, focusing on agricultural land reform. GIZ has been assisting the MLR in designing and implementing its land-reform agenda. Having contributed to the stability of land reform in rural areas, German international cooperation changed strategic focus to urban land reform in 2016 (Int\_3, 8, 15, 16).

**Target groups and key partners:** The project documentation, i.e. the agreed minutes of the appraisal mission, which took place from 4 to 21 April 2016, defines the target groups of the project as the inhabitants of the informal settlements in the selected pilot areas. At the time of the appraisal mission and in the early stages of the project, there were six areas in four towns. Outapi Town Council opted out of the pilot process (although interested in the FLTS, the selected area was not a suitable candidate for piloting it) and Windhoek never pinpointed a third pilot area in the city. This is relevant, as it affects the target number of households calculated during the appraisal, and the number that it was eventually possible to reach. These are four informal settlements in the cities of Gobabis, Oshakati and Windhoek, whose inhabitants have no formal security of tenure. Based on the Namibian average household size of six people and the estimated 140,000 informal dwellings nationwide, it was estimated that well over 800,000 inhabitants would indirectly benefit from the project (Int\_15; FGD\_6).

The executive agency of the project was the Ministry of Agriculture, Water and Land Reform (MAWLR), previously the Ministry of Land Reform (MLR). The ministry was provided with direct technical support by the project through a Project Management Unit (PMU) and, in turn, it provided technical guidance and support to local authorities, who implemented the bulk of preparatory activities. The project also provided direct support to the Deeds Registration Office and the Office of the Surveyor-General.

The Namibia University of Science and Technology (NUST) was a key cooperating partner. In addition, the project cooperated with civil-society groups such as the Shack Dwellers' Federation of Namibia and Development Workshop Namibia.

**Cross-cutting issues – Gender equality:** Women are often disadvantaged in terms of access to land rights. Households headed by women who care for children and young people are additionally burdened by insecurity of tenure. Urban land rights for the poor have not been sufficiently formalised. Procedures need to be improved and a more targeted approach to the local population needs to be taken to ensure that women are given equal consideration when setting up associations and awarding starter and land-hold titles (Int\_16, 20). The project contributed by developing capacities at the municipal level to create more opportunities also for women to participate in planning and conflict-resolution mechanisms.

Participatory development/good governance: The project promoted implementation of the FLTA and relied on the active participation of all relevant actors in establishing urban land policies and strategies. The municipalities and MLR/MAWLR were supported in exercising their mandates. Relevant institutional changes in the sector of urban development were accompanied by the project (Int\_11; FGD\_2).

Agenda 2030: The project made a significant contribution to Sustainable Development Goal (SDG) 1 (No Poverty), particularly indicator 1.4: 'By 2030, ensure that all men and women, in particular the poor and the vulnerable, have equal rights to economic resources, as well as access to basic services, ownership and control over land and other forms of property, inheritance, natural resources, appropriate new technology, and financial services, including microfinance.' Furthermore, the project contributed to SDG 5 (Gender Equality) – especially indicator 5.5 (equal participation) and, even more specifically, 5.A (ownership and control over land) and 5.C (legislation for the promotion of gender equality) – and to SDG 11 (Sustainable Cities and Communities), particularly indicators 11.1 (safe and affordable housing and basic services, and upgraded slums) and 11.3 (inclusive and sustainable urbanisation and capacities for participatory, integrated and sustainable human settlement planning and management) (Int\_5, 7; FGD\_2). The Leave No One Behind (LNOB) principle of Agenda 2030 was applied, as it is especially relevant in the project context (poor and vulnerable urban informal settlers). The project promoted equal and demand-oriented access to urban land through measures at a macro level and in pilot areas. It therefore supported the improvement of the living conditions of urban informal settlers. The lack of legal security in land ownership has a detrimental effect on the availability of small loans and prevents residents from making long-term investment in their land, houses and

infrastructure. Enhancing legal security of tenure reduces the risk of eviction and improves access to credit (Int\_10, 14; FGD\_7).

Climate: The project integrated issues relating to climate adaptation into advisory services for the administrations of the local pilot communities and into capacity-building measures for the settlers in the pilot communities (FGD\_4, 9, 12). Strengthening the organisation of the settlement communities and their ability to self-manage opened up a wide range of options for participatory and gender-conscious cooperation between the city administration and settlement communities, including local climate adaptation strategies, and thus contributed to the resilience of the target group. The above measures and the strengthening of regional councils' abilities to implement regional land-use plans contributed indirectly to the implementation of individual, relevant guidelines of Namibia's National Climate Change Strategy and Action Plan 2013–2020.

## 2.2 Results model, including hypotheses

The project's theory of change was elaborated by the project team on the basis of the results model. The latter remained unchanged throughout the project's implementation and proved suitable as an orientation and communication tool in discussing the project design with the partners. During the inception phase of this evaluation, the results model (as well as the stakeholder map and list) was updated in two workshops involving the main project team and the evaluators. The updated version of the results model, which plausibly describes the cause-effect relationships of the problem situation, is presented in Figure 1 below.

The **core problem**, which was identified at the time the proposal for this project was drafted for submission to BMZ, was that access to land for landless households, and especially for women and young people, is not sufficiently secured in urban and rural areas in Namibia. The reasons for this were identified as follows: owing to the social and economic changes occurring in Namibia, the reasons for needing land were (and still are) diverse. It is required both for commercial agricultural purposes and residential purposes. There were considerable gaps in the existing legislation on land reform in rural and urban areas. Progress on policy dialogue between the MLR and stakeholders on land reform, after an initial period of transparency and strong participation, was slow. The Namibian government, in its land reform efforts, had not taken the population's growing housing problem sufficiently into account, having previously focused on the redistribution of agricultural holdings. Although the Flexible Land Tenure Act (FLTA) was passed in 2012 to create flexible land rights for the provision of secure tenure in urban areas, it had not come into force, owing to the lack of implementing regulations, which were only enacted in the course of the project's implementation. The staff of the MLR, which was mandated to implement the FLTA, was insufficiently qualified, and responsibilities between the MLR and the MURD had not been properly clarified. Lack of capacity at the level of the regional councils, too, was an obstacle, in this case to the implementation of land-use plans that had been prepared under the leadership of the MLR but not yet implemented in the regions.

The project did not have a separately formulated impact goal. There was, however, awareness of the important contribution that security of tenure in urban areas makes to the quality of housing and living conditions. Thus, the overall results hypothesis of the project – the **project's impact goal** – is that it ultimately aims to contribute to improving the quality of housing and living conditions in Namibia's informal settlements (results matrix of 27.06.2016, last update of 13.03.2020). This aim fits into the programme goal, which is formulated as follows: 'Sustainable management of natural resources and fair access to these resources contribute to functioning ecosystems and improved living conditions in rural areas.' The programme indicators to which the project under evaluation contributed are indicator 3 – 'A national land-use planning policy and regional and local land use plans have been developed' and indicator 4 – 'The protection of land ownership in communal areas has been improved.'

In Namibia, the Flexible Land Tenure System (FLTS) aims to improve access to land by formalising land rights through a flexible approach. The FLTS, as an upgradable tenure registration and administration system, requires more than just registration of rights. According to the project's theory of change, the provision of secure tenure is expected to contribute to poverty alleviation, including in the form of improved housing and livelihoods in the long term. This view was supported by all interview partners in the evaluation (for example: Int\_8, 11; FGD\_11). In the long term, the FLTS is expected to improve the urban development instruments of the municipalities and open up access to private applicants, such as savings groups, thus providing secure land rights for a target group that would otherwise have no prospects of obtaining these. On the other hand, according to expert opinion (Int\_7; FGD\_7), the multiplicity of actors involved in managing the FLTS means there is potential to address the needs for secure land rights, basic services and adequate housing standards in an integrated manner, rather than treating them as separate issues, as has been the case in previous government projects.

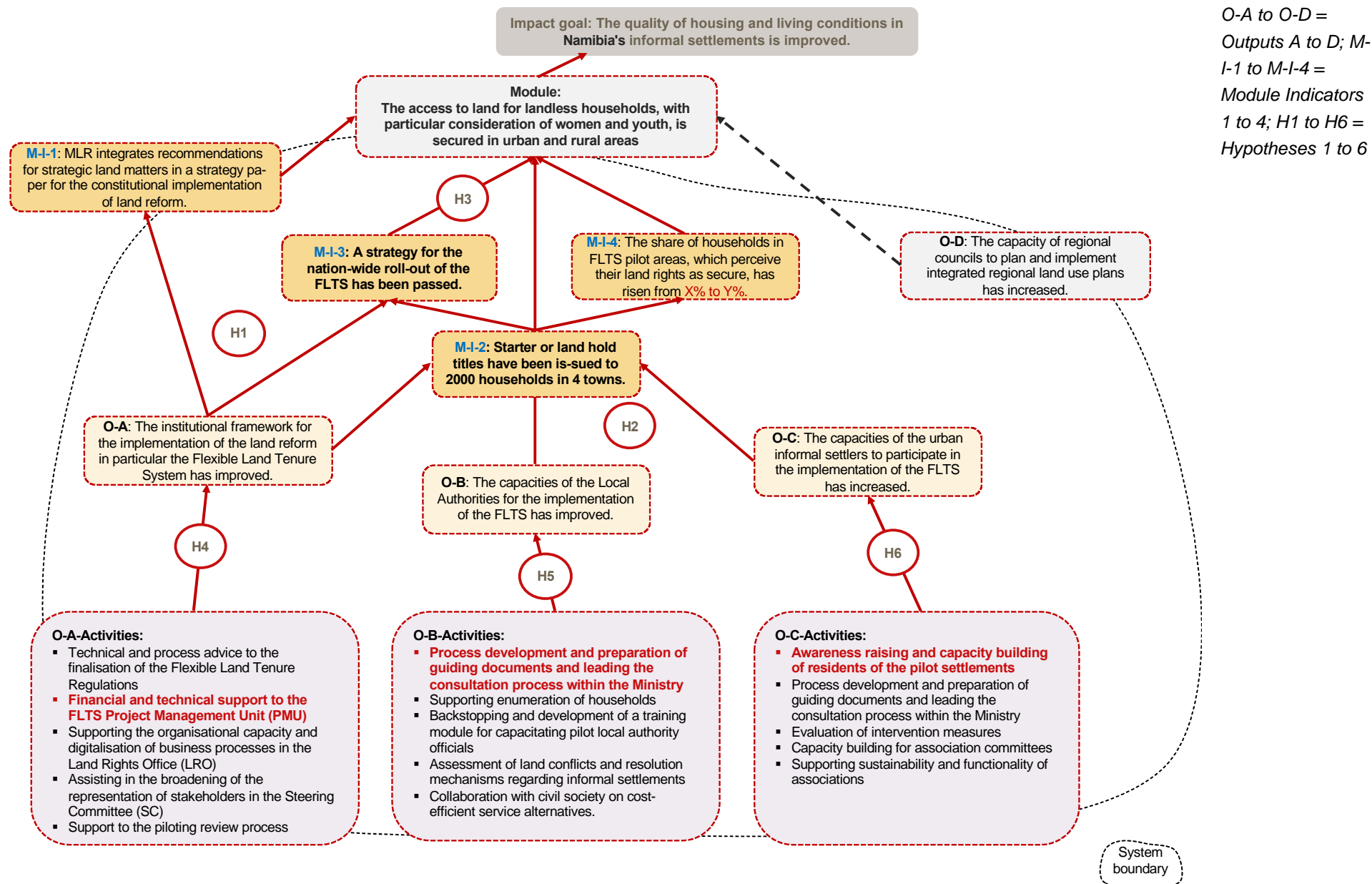
To ensure a sustainable link between securing land rights and the provision of basic urban services, the project supported cooperation between the two relevant ministries, MLR/MAWLR and MURD. In addition, by aiming to reduce poverty and contributing to the provision of equal rights to economic resources, access to basic services, ownership and control over land and other forms of property, inheritance, natural resources, appropriate new technology and financial services, including micro-finance, the project contributed to achieving SDG 1, particularly indicator 1.4 – in that it addressed the needs of the poor and the vulnerable, and focused on the situation of women and young people – and applied the Agenda 2030 principle of 'leave no one behind' (LNOB).

The **module objective** at the outcome level was: Access to land for landless households, with particular consideration for women and young people, is secured in urban and rural areas. Module indicator 1 – 'MLR integrates recommendations for strategic land matters into a strategy paper on implementing constitutional land reform' – described the incorporation of recommendations on land reform, which were developed through multi-stakeholder dialogue (recorded in Output indicator A1), into a national strategy paper on land reform. Module indicators 2, 3 and 4 – 'Starter or land-hold titles have been issued to 2,000 households in four towns'; 'A strategy for the nationwide rollout of the FLTS has been passed'; and 'The share of households in FLTS pilot areas that perceive their land rights as secure has risen (baseline and target values were yet to be determined)' – reflected the implementation of the FLTS pilot project, with the indicators under Output A focusing on the ministerial level, those under Output B on the level of the pilot communities and those under Output C on the target group of informal settlers.

By supporting the piloting of the FLTS in four areas, the project made a key contribution to urban land reform. Output A aimed to improve the institutional conditions for implementing land reform and, in particular, the FLTS. Output B supported strengthening the capacities of the local authorities to implement the FLTS, since much of the planned process is their responsibility. Output C aimed to strengthen the capacities and raise the awareness of urban informal settlers, so that they can better fulfil their role in establishing the FLTS. Output D focused on regional councils and increasing their capacities to plan and implement integrated regional land-use plans – a continuation of the support provided in the predecessor projects, which was specifically requested by the MLR.

The ToC illustrated in the updated results model (Figure 1) reflects this approach and project design.

Figure 1: Current results model, adapted during evaluation





For the evaluation, specific hypotheses underlying the project design were formulated, which describe the links between outputs, outcome and impact (hypotheses 1, 2 and 3) and those between activities and outputs/outcome (hypotheses 4, 5 and 6).

Table 1: Evaluation with hypotheses linking outcomes with impact level

Hypothesis	Reference indicators	Source material	Correspondence to the theory
<b>Hypotheses linking the outcome with the impact level</b>			
H-1: The project's support to the Ministry of Land Reform in establishing an institutional framework for the implementation of the Flexible Land Tenure System (FLTS) has led to improved access to land for landless households, with particular consideration for women and young people, and secure tenure, contributing to improved housing and livelihoods, and, subsequently, to poverty alleviation in the long term.	M-I-1, M-I-3	Project documentation; documents from other (partner) sources; interviews with the project team, partners and target group	To be established (or not) by the evaluation
H-2: The project contributed to improving the capacities of the local authorities to implement the FLTS, thus allowing starter or land-hold titles to be issued to 2,000 households in four towns and leading to the nationwide rollout of the FLTS.	M-I-2	Project documentation; documents of other (partner) sources; interviews with the project team, partners and target group	To be established (or not) by the evaluation
H-3: By supporting the analysis of the pilot process, the project has contributed to improving access to secure tenure for low-income urban households through the establishment of a strategy guiding the nationwide rollout of the FLTS.	M-I-3, O-I-A4	Project documentation; documents of other (partner) sources; interviews with the project team, partners and target group	To be established (or not) by the evaluation
<b>Hypotheses linking activities and outputs with the outcome level</b>			
H-4: By providing financial and technical support to the FLTS Project Management Unit (PMU), the project enabled the partner ministry to improve the general conditions for piloting the FLTS.	O-I-A2		To be established (or not) by the evaluation
H-5: By developing process and guidance documents, the project enabled the pilot local authorities to implement the FLTS in pilot settlements.	O-I-B1		To be established (or not) by the evaluation

H-6: By raising awareness and building capacities, the project supported the participation of residents in the pilot settlements in implementing the FLTS.	O-I-C1, O-I-C2		To be established (or not) by the evaluation
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The red-coloured areas in the results model are those for which the project was responsible (scope of the project). The *system boundary* is indicated by the dotted circle. With regard to results and indicators that are partly outside the system boundary, responsibility for these is shared. This applies to the approval of legislation: in this case, the project could only contribute to the result in so far as it supported the preparation of the respective documents up to the stage at which they were processed by the governmental administration and submitted to the relevant decision-making bodies (approval of the FLTS strategy; the decision of MLR to integrate recommendations for strategic land matters into a strategy paper on constitutional implementation of land reform).

*Risks for the intended results:* The evaluators confirmed the project's risk assessment as outlined in the proposal and progress reports. The main risk identified at the outcome level is that land speculation hampers effective urban planning and thus the objectives of urban land reform. Land use (planning) is a highly politicised field, in which there are massive clashes of interests that had the potential to jeopardise the success of the project. Land allocation is a typical source of income for local authorities. Thus, the risk of encountering resistance to implementing the project here was high. The second risk related to the lack of integration of urban land reform into spatial planning, which has a negative impact on urban and rural ecosystems, e.g. through inadequate use of land or over-exploitation of natural resources. The lack of (readiness for) inter-ministerial cooperation could have threatened the project's success. Thirdly, it was feared that the personnel infrastructure might be inadequate, owing to budget bottlenecks, as both the MLR and the pilot local authorities were experiencing staff shortages, with only limited possibilities to address them. This could have led to a situation in which policy decisions (as results of the project's activities) would not be integrated and implemented in the partner's corresponding strategies. These risks meant that, despite the political interest expressed by the Namibian government, resistance to the implementation of urban land reform was possible. The economic self-interest of stakeholders and poor governance could endanger the further development of the FLTS. All risks were considered in the evaluation and the mitigation measures taken by the project were assessed.

*Potential interactions between social, economic and environmental results (within the meaning of Agenda 2030):* Strong evidence relating to the achievement of SDGs was established, as outlined in section 2.1. Interview partners, too, highlighted the link to the SDGs, as described (Int\_1, 13; FGD\_11). Securing land rights for informal settlers offers alternative livelihoods for those in rural areas who would otherwise be without prospects. The designation of urban areas reduces the pressure to use natural resources for residential purposes. Better infrastructure and public services reduce the risk of illness and ensure that the population has access to local labour markets. The sustainable use of natural resources in cities depends largely on securing land rights and is, therefore, an important secondary objective. Environmental aspects are explicitly taken into account, both in policy advice and in integrated regional land-use planning. Future land use and functionality of urban ecosystems are highly important in Namibia, given current climatic conditions.



## 3 Evaluability and evaluation process

### 3.1 Evaluability: data availability and quality

This section covers the following aspects:

- availability of essential documents,
- monitoring and baseline data, including partner data, and
- secondary data.

#### Availability of essential documents

The project's results-based-monitoring (RBM) system combined spreadsheet-based monitoring of results with monitoring of activities (operational plan) according to the project's defined components and outputs. Progress reports and monitoring results were presented to the evaluators before the inception mission and discussed in detail in two separate online sessions – one with the financial officer and one with the team leader – during the evaluation mission. Qualitative methods, e.g. GIZ's *Kompass* tool, were not used. As the project partner (the MLR) did not have its own monitoring and evaluation system, the project's monitoring system was not based on or linked to such a system nor was there joint monitoring of project results (Int\_17; FGD\_11).

In general, the indicators chosen were suitable for measuring the achievements of the project in terms of effectiveness. At the outcome and output levels, the indicators do meet SMART criteria, i.e. they are specific, measurable, achievable, relevant and time-bound. A re-formulation to ensure evaluability was not necessary. The necessary baseline data to carry out the evaluation were available, except for those relating to outcome indicator 4. In this case, it was agreed with the project team and the GIZ Evaluation Unit that the necessary study would be carried out in parallel to the evaluation mission. One of the local evaluators participated in meetings with the consultants selected to conduct this study, to inform them which data were needed by when. These data were ultimately made available shortly before the deadline for submitting the draft evaluation report.

### 3.2 Evaluation process

This section covers the following aspects:

- selection of interviewees,
- roles of international and local evaluators, and
- remote nature of the evaluation.

#### Selection of interviewees

The inception phase prepared the ground for a successful evaluation. Following the meeting to launch the evaluation phase, the project team, which was still in Namibia, began preparing for the evaluation mission, based on a draft schedule drawn up by the international evaluator according to the jointly agreed list of interviewees (interviewees were selected from all project stakeholder categories in discussion with the project team and the GIZ Evaluation Unit). The project team arranged the interviews by contacting the intended interviewees, fixing dates and venues, and sending out invitations. At the end of the evaluation mission, the evaluation team had conducted **21 interviews** (each involving one or two interviewees), plus **11 focus group**

**discussions (FGDs).** In all, the team met more than **50 people** in interviews and FGDs, plus **120** community members in meetings in the selected cities of Oshakati (**11 people**), Gobabis (**78 people**) and Windhoek (**31 people**). The interviews were conducted in English or local languages (in the settlements in Oshakati and Gobabis). The local evaluators were assisted by an interpreter, where necessary.

Table 2: Stakeholders in the evaluation and selected interviewees

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
<b>Donors</b>	1f				
BMZ					
<b>GIZ</b>	12 (4 f, 8 m)	7 (3 f, 4 m)	5 (1f, 4m)		
GIZ project team, GIZ partner country staff, GIZ headquarters, Germany					
<b>Partner organisations (direct target group)</b>	27 (9f, 18m)	16 (6f, 10m)	11 (3f, 8m)		
Ministry of Agriculture, Water and Land Reform					
Ministry of Gender, Poverty Eradication and Child Welfare					
Ministry of Agriculture, Water and Land Reform, Directorate of Deeds Registration					
Ministry of Agriculture, Water and Land Reform, Directorate of Survey and Mapping/Surveyor-General					
Ministry of Agriculture, Water and Land Reform, Directorate of Land Reform and Resettlement					
Ministry of Agriculture, Water and Land Reform, Division of Land Boards Tenure and Advice					
Ministry of Agriculture, Water and Land Reform, Division of Land-Use Planning and Allocation					
Land Rights Office					
Namibia Statistics Agency					
Ministry of Urban and Rural Development					
Local authority Windhoek,					
Local authority Gobabis					
Local authority Oshakati					
UN-Habitat, Global Land Tool Network (GLTN)					

<b>Universities, civil society and private actors; NGOs</b>	14 (5f, 9m)	5 (1f, 4m)	9 (4f, 5m)		
Namibia University of Science and Technology, Faculty of Natural Resources and Spatial Sciences: Department of Architecture and Spatial Planning Department of Land and Property Sciences Department of Geo-spatial Sciences and Technology Integrated Land Management Institute (ILMI)					
Development Workshop Namibia					
Urban Dynamics					
Stubenrauch Planning Consultants					
Namibia Housing Action Group (NHAG)/Shack-Dwellers' Federation of Namibia (SDFN)					
<b>Final beneficiaries (indirect target groups)</b>					
Informal settlers in Windhoek, Onvika	31 (13f, 18m)	0	31 (13f, 18m)		
Informal settlers in Gobabis, Freedom Square	78 (56f, 22m)	0	78 (56f, 22m)		
Informal settlers in Oshakati, Onawa	11 (6f, 5m)	0	11 (6f, 5m)		
Note: f = female; m = male					

### Roles of the international and national evaluators

The evaluation team consisted of three evaluators: one international and two local evaluators. This set-up was chosen because of the need to conduct the evaluation remotely or semi-remotely (see below), due to the restrictions on travel (mainly international, but also local), meetings and contacts.

### Remote evaluation

Because of the security situation resulting from the COVID-19 pandemic (particularly the restrictions on international and national travel, and the imposition of a curfew) the international and local evaluators were unable to travel to and within Namibia during the inception and evaluation phases to conduct workshops, interviews and meetings. Consequently, the inception phase was conducted remotely, i.e. the international and/local evaluators were not present in the partner country/project regions and there were no face-to-face meetings, workshops or interviews. All participants (evaluators, project management, project team) worked from home.

During the week in which the evaluation mission started, some of the restrictions were lifted, making it possible to carry out the mission in a semi-remote manner, i.e. the local evaluators were allowed to meet some of the interview partners and participate in person in some FGDs. The preferred mode of conducting interviews and discussions was for the local evaluators physically to attend the meetings, while the international evaluator joined in virtually, via an online meeting tool. Under the circumstances, it was decided that the evaluators would conduct semi-structured interviews. An interview guideline had been prepared to ensure optimum use of the limited resources for the interviews (individual and FGD) and that their outputs could be used for triangulation.

Most interviews were conducted by at least two and usually all three evaluators. Each interviewer took notes on answers, reactions and observations. The international evaluator organised the thematic evaluation and comparison between the individual interviews, with the aim of comparing the transcripts of different interviews to identify and create thematic categories. This comparison served as a means to triangulate, and thereby increase the validity of, the information obtained. To familiarise the local evaluators with the methodology, the project details and the team, the international evaluator briefed them and they participated in all online meetings, interviews and workshops during the inception mission.

## 4 Assessment according to OECD/DAC criteria

This chapter explains how each OECD/DAC criterion was assessed. It also looks at the long-term results of the predecessor projects in terms of impact and sustainability.

### 4.1 Impact and sustainability of predecessor projects

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

**Evaluation basis and design:** GIZ has supported land-reform processes in Namibia since 2003, through five Support to Land Reform (SLR) projects (SLR I to V). The SLR projects were driven by three objectives: developing the capacities of key stakeholders in land reform, developing strategies and policy recommendations for land reform; and designing and coordinating constitutionally implemented land reform. The focus of the assessment of the long-term results of the predecessor projects was the immediate predecessor, SLR IV. To determine the appropriate basis on which to conduct the assessment, a member of the SLR IV project management team was interviewed during the inception phase. It was subsequently decided that the analysis would be based on the evaluation questions in the evaluation matrix (see annex); no other specific design was applied. The sustainability and impact of the predecessor projects have been assessed on the basis of the results logic, with a particular focus on their contribution to the formulation of policy in the field of communal land reform in Namibia and the subsequent implementation of policies and strategies.

**Empirical methods:** During the inception phase, relevant documents on the predecessor projects were consulted. During the evaluation mission, various former project staff members, as well as GIZ experts in the field of land reform, who had been involved in the projects in Namibia, were interviewed. Given the project's orientation towards strategy development and policy recommendations in the area of land reform, representatives of the partner ministries were also interviewed. In addition, representatives of the Namibia University for Science and Technology (NUST) and NGOs that were involved in project activities in the past were consulted to collect data for assessing the long-term results of the predecessor projects.

#### Analysis and assessment regarding the long-term results of the predecessor project

Most interviewees agreed that all the efforts in relation to land reform in Namibia, and particularly in relation to promoting the Flexible Land Tenure System (FLTS), would not have had as much impact had there been no German international cooperation support (Int\_3, 8, 11). The improvement in relation to communal, i.e. traditional, rural, land rights was mentioned in particular. With SLR IV, the focus of the support shifted towards urban land reform, which was unanimously seen as the right and necessary step: 'SLR IV initiated the move

from rural towards urban land reform, which then was introduced into the concept of SLR V' (Int\_3). The appraisal of SLR V therefore shifted, clearly, to urban land reform and focused heavily on the FLTS, which was welcomed by the partners (for example FGD\_6; Int\_5, 13, 15).

SLR V is considered a 'transition project' (Int\_8, similar: Int\_3), in that it made further progress towards a new approach in support of land reform, focusing on urban land reform and addressing the much broader thematic area of sustainable urban development. Its successful implementation – which included contributing to preparations for and the hosting of the 2<sup>nd</sup> National Land Conference (2NLC) in 2018 – informed the design of the new GIZ project on Inclusive and Sustainable Urban Development (ISUD), which commenced in May 2020 and fully reflects the approach adopted by SLR V, which is considered a 'meaningful genesis, logical decision' (Int\_8).

Regarding the extent to which the results of the predecessor project(s) are durable, stable and resilient in the long-term under the prevailing conditions, the interviewed partners confirmed that the decision to focus on the FLTS was correct (Int\_10; FGD\_7). The adoption of the Flexible Land Tenure Act (FLTA) in 2012 and of the Flexible Land Tenure Regulations (FLTR) in 2018 show that the 'results in the field of FLTS are very relevant for the Namibian authorities, [...] they were interested in this' (Int\_3) and proved to have a sustainable impact. Some interviewees (Int\_6, 10, 14) noted that earlier predecessor projects (SLR I – III) were not at all well anchored in local institutions, either because the latter lacked the required capacity to ensure that they were anchored and/or the projects did not run for long enough to ensure integration in local governance institutions (Int\_10). The introduction of the FLT Act and Regulations can be said to have anchored the results of the immediate predecessor project (SLR IV) in the partner (MLR/MAWLR) systems. Finally, SLR V was the first to foster integration at local and regional levels and, by supporting the establishment of a Project Management Unit (PMU) and a Land Rights Office (LRO) within the MLR/MAWLR, it contributed further to the institutionalisation of overall SLR project results.

Interviewees from GIZ and the project partners pointed out that, despite the considerable support provided to local authorities and government ministries, staff have still not received adequate training nor have sufficient financial or human resources been allocated (Int\_13, 16; FGD\_11). Regarding the long-standing cooperation between the SLR projects and NUST, however, all interviewees confirmed that it has had a lasting impact and results. The capacity development measures implemented together with NUST have ensured that qualified personnel are, in principle, available to the Namibian administration to implement the FLTS (Int\_8, 12; FGD\_7).

## 4.2 Relevance

This section analyses and assesses the relevance of the Support to Land Reform (V) project.

### Evaluation basis and design for assessing relevance

The assessment dimensions under the relevance criterion are:

- The project design is in line with the relevant policies and priorities.
- The project design aligns with the needs and capacities of the beneficiaries and stakeholders.
- The project is designed appropriately to achieve the project objective.
- The project design is sufficiently adaptable to accommodate changes in line with requirements.

**Evaluation basis:** The basis for evaluating the relevance of the project is its contribution to the development of land reform in Namibia, in particular to the piloting of the FLTS.

**Relevance dimension 1:** In supporting land reform, the project as a whole was guided by the Namibian government's Vision 2030 (adopted in 2004), national development plans and Land Reform Action Plan (adopted in 2006, with specific targets set to be achieved by 2020). It was also integrated into the MLR Strategic Plan for 2013–2017. Furthermore, the issues related to land reform are relevant for Namibia's contributions to the SDGs. The evaluators compared the relevant international, national and state strategies and frameworks with those in the project design to see whether or not it reflected the important aspects. As urban development and (integrated) land-use planning are essentially interdisciplinary activities, the evaluators also explored any interactions between the three dimensions of sustainable development: ecological, economic and social.

**Relevance dimension 2:** The evaluation provided an analysis of the target group(s) of the project (direct/indirect) from the evaluators' perspectives. Therefore, the target group analysis, which had been carried out with the project team during the inception mission (as part of the stakeholder analysis), was verified. The analysis includes an assessment of the needs of the target group with a differentiation of the needs of the direct and the indirect target groups. The Agenda 2030 principle 'Leave No One Behind (LNOB)' was addressed in the analysis.

**Relevance dimension 3:** The evaluators checked the plausibility of the hypotheses of the theory of change as presented in this report.

**Relevance dimension 4:** There was no need to adapt the design of the project to changes.

**Evaluation design (for all relevance dimensions):** As discussed in section 4.1 above, it was decided to use the questions in the evaluation matrix (see annex); no other specific design was applied.

**Empirical methods (for all relevance dimensions):** The main methods applied were: a review of internal (project- and GIZ-related) and external documents and literature, focusing on relevant policies and priorities in the sector and region (relevance dimension 1); target group analysis (relevance dimension 2); and the chosen project objective and design with underlying hypotheses (theory of change – relevance dimensions 3 and 4). In addition, semi-structured interviews were conducted with representatives of the project's management, team, partners and target groups, either on an individual basis or – where appropriate and possible – in the form of focus group discussions.

## **Analysis and assessment of relevance**

### **Relevance dimension 1: Alignment with policies and priorities**

The project design and intervention logic, as outlined in the project documents (proposal, progress reports), were in line with relevant international and national (Namibian) strategic frames of reference and aimed to contribute to implementing these frameworks. First, with regard to Agenda 2030, the project contributed clearly to SDG 1 (No Poverty), SDG 5 (Gender Equality, especially indicators 5.5 – equal participation, 5a – ownership and control over land, and 5c – legislation for the promotion of gender equality) and SDG 11 (Sustainable Cities and Communities, especially indicators 11.1 – safe and affordable housing and basic services, and upgraded slums, and 11.3 – enhance inclusive and sustainable urbanisation and capacities for participatory, integrated and sustainable human settlement planning and management). In the stakeholder interviews, it became obvious that the project's contributions to the individual SDGs could not be pinned down specifically, but it was equally obvious that they were relevant in terms of poverty reduction, political stability and economic development (Int\_8, 11). The SLR project as a whole did not report, in particular, on the SDGs but it did have to align with Namibia's national development plans (NDPs) and it is reported on in the ministerial five-year plans (FGD\_6; Int\_7).

The project was in line with the Namibian government's Vision 2030 (reduction of poverty and provision of income and land to people), and its NDPs by contributing to reducing/eliminating poverty and providing land rights in urban areas (Int\_2, 11). The issue of provision of land is addressed in all Namibia's NDPs (NDP I to V) and in its five-year plans (FGD\_6, 11). 'The objectives of the FLTS contribute well to the Agenda 2030 and NDP V' (representative of the private sector).

That land reform is needed was not questioned by any of the interviewees. It is a highly relevant topic in Namibia and is demanded by the people and civil society (Int\_8, 13, 15). Activities aimed at formulating a national strategy for land reform (partly supported by SLR projects I – III via a technical team) resulted in the resolutions of the 2nd National Land Conference. As land reform is also part of the Namibian Vision 2030, it is linked to measures to reduce poverty and contribute to the achievement of the SDGs (FGD\_6, 11; Int\_8, 11, 16).

The 2<sup>nd</sup> National Land Conference (2NLC) brought urban reform and the issue of informal settlements into the discussion (Int\_13), its implementation was strongly supported by the SLR project (Int\_15). With the support of GIZ, this highly emotional issue was successfully tackled via a participatory process at the 2NLC. But implementation of the results of the conference was rather weak – particularly in the field of rural land reform. As for urban land reform, some initiatives did get underway in relation to the FLTS, so the shift in the project's focus to urban land reform was considered correct (Int\_13) and contributed to increasing its relevance. Partners stressed that the 'outline of [SLR V] is in line with the Namibian approach towards urban development in the future' (Int\_11).

BMZ does not have an urban development strategy, but the aim of German international cooperation in this area is to make a lasting improvement to the lives of the urban poor and enable citizens to participate in political and economic life (Int\_1, 13, 15; BMZ website). The project is assessed as having contributed to achieving this aim.

In summary, the project design complied with the relevant strategic frames of reference at all levels (national policies and strategies, international standards, German international cooperation strategies) and supplemented partner efforts. The project partners stressed in the interviews that the SLR project is well in line with the Namibian government's Vision 2030 and the SDGs, it brings modernity, improvements in livelihoods and services, and builds modern and inclusive societies that would have been difficult to achieve without GIZ support. Thus, relevance dimension 1 – alignment with policies and priorities – scores **30 out of 30 points**.

#### **Relevance dimension 2: Alignment with the needs and capacities of the beneficiaries and stakeholders (target groups)**

The interview partners pointed out that 'to make land affordable to the poor, the project is core' (Int\_12). They explained that the FLTS, in particular, serves the needs of the dwellers (with the focus on 'only dwelling') and 'non-farmers in urban areas' (Int\_12), which is widely seen as the correct approach. Partner organisations reported that the project was relevant with regard to the core problems of the municipality and the need for the final beneficiaries to deal with the challenges of informal settlement (FGD\_3). Representatives of the pilot communities expressed the view that 'the FLTS brings the land at low cost; it helps low-income and is very affordable to everyone who is not able to buy their home' (FGD\_9; Int\_7). In their view, the project was designed to meet the needs of the target groups and identified and involved stakeholders to ensure its implementation. The project was considered by the local authorities as an answer to the problems of the people in the informal settlements (FGD\_3).

The evaluation was unable to assess the extent to which the project reached disadvantaged groups. The project proposal, as well as the results matrix, envisaged the provision of support to disadvantaged groups (women, young people, the disabled, orphans) even at outcome level, but analysis of the monitoring documents and the responses gathered in the interviews and FGDs revealed only minor evidence that the



project had reached these groups effectively. Data collected from monitoring indicator achievement were disaggregated by gender but did not reveal the extent to which disabled people or orphans were included. In the project proposal, particularly disadvantaged groups do seem to be included in the project design. The interviews with final beneficiaries and community members in the pilot areas revealed that the majority of the beneficiaries in the communities were women, but also that young residents felt left out, as they did not acquire land-hold titles themselves and were still living in their parents' households.

In general, the intended impacts of the project were considered realistic by representatives of the project team and by the partners (FGD\_6, 7; Int\_12). This corresponds to the verification by all those interviewed as part of the evaluation that the ToC contributed to the achievement of impact.

In summary, the project was well aligned with the needs of the target groups – particularly those dwelling in informal settlements at national and local levels. There is insufficient evidence that it managed to reach disadvantaged groups, other than women, effectively. Relevance dimension 2 – alignment with the needs and capacities of the beneficiaries and stakeholders – scores **25 out of 30 points**.

### **Relevance dimension 3: Appropriateness of the project design**

Project implementation was guided by the results model, which was adapted as necessary (FGD\_6; Int\_9, 17). The evaluation confirmed, in principle, that the project approach was correct – something that was stressed by the project partners at the national level (FGD\_11). The project design was considered to be realistic, albeit involving a high risk of dependence on the political partner and political/administrative processes. Various sources reported that although time and financial resources allocated to the project were sufficient, challenges in cooperating with the main partner (FGD\_6; Int\_3, 16) meant that some activities could not be accomplished within the set timeframe, i.e. issuing 2,000 starter or land-hold titles. Implementation at national (and state) levels in Namibia depended too much on individuals rather than institutions – something that was not sufficiently considered as a risk by the project.

The project design allowed the team to manage the implementation process with the main partner, the MLR/MAWLR, and, at the same time, to include the partners at the local level (authorities and communities), NGOs, academia, etc. to an increasingly greater extent, in order to achieve the main project objectives. This approach was very successful, as the unanimous verification of the ToC, in terms of impact, by the political partner and all other project partners showed. In their view, the most relevant outputs of the project related to the FLTS and issuing of land-hold titles in Oshakati, which 'means that people feel secure and will no longer be moved around but can build homes for their families and start a business' (Int\_2). They emphasised that the FLTS had come a long way, with the establishment of the Land Rights Office – including employment and training of staff – creation of a digital registration system and preparation of a draft strategy on the rollout of the FLTS (Int\_2, 12; FGD\_11).

In summary, the project objectives were realistic and its design was appropriate. The focus on FLTS was correct: relevant interviewees expressed the view that the FLTS has the potential to provide security of tenure for poor people in urban areas (Int\_12, 13, 14, 15; FGD\_15). The risk resulting from the high degree of dependence on the political partner (the MLR) was overlooked. The limited ability to influence the political and administrative processes necessary to adopt the FLTR was not considered a risk, either. Consequently, time constraints occurred due to political decisions, particularly the delay in the approval of the FLTR. Relevance dimension 3 – appropriateness of the project design – scores **17 out of 20 points**.

### **Relevance dimension 4: Adaptability – response to change**

The project did not have to deal with any substantial changes in the general conditions. There were delays in implementation caused by the slow processing of the FLTR, as well as a 'blockade' of activities (for example, in the field of Integrated Regional Land Use Plans) caused by the political partner's reluctance to engage in



constructive and target-oriented cooperation. Moreover, 'the issue of integrated land-use planning was never seriously addressed by the MLR; it was not included in the national strategic discussion' (Int\_16).

Nevertheless, the original project design was retained and 'an adaptive way of following the results model' (FGD\_16) was chosen, rather than trying to achieve each output indicator. The environment for project implementation was analysed and mitigating actions were drawn up. Therefore, when a lack of political and administrative will to collaborate on the part of the MLR was encountered, other relevant actors, such as local authorities and the communities, were called upon and cooperation with NGOs, private actors and academia was intensified. These mitigating actions led to a strengthened multi-stakeholder approach to project implementation (Int\_3).

At the same time, the project acted as a 'transition project', in that it made further progress towards urban land reform and integrated planning, including at the regional level. It was key to the re-adaptation of the overall strategy of German international cooperation in this sector and the new GIZ-project on Inclusive and Sustainable Urban Development (ISUD), in particular, learned from its experiences.

The measures taken by BMZ in response to the COVID-19 pandemic constituted a change for the project. SLR V spent almost EUR 60,000 on hygiene and prevention measures as part of the COVID response. The local NGO and long-standing partner, Development Workshop Namibia (DWN), in particular, was provided with building and promotional materials for the construction of handwashing facilities in informal settlements.

People living in informal settlements are particularly vulnerable to COVID-19, owing to the high population density and unhygienic conditions. Thus, the project supported hygienic and prevention measures to help contain the spread of the novel coronavirus and implement the necessary precautions to ensure business continuity and safe livelihoods. In particular, the project supported awareness-raising and construction of handwashing facilities in informal settlements, including the procurement of construction material, provision of a short video clip demonstrating how to set up a 'Tippy Tap' (foot-operated hand-washing device) and printing of educational material in various languages. Mobile teams from DWM received protective equipment to enable them to work even during the lockdown. With the help of other donors also, these mobile teams were able to set up more than 10,000 'Tippy Taps' in the informal settlements in Windhoek alone, thanks to swift and unbureaucratic support from the German side.

The teams were also supported by an IT expert to monitor, manage and communicate the set-up of handwashing facilities. Funding for an impact survey by the National Alliance for Informal Settlement Upgrading on the effects of the lockdown on households was provided and information campaigns on COVID-19, appropriate hygiene and social distancing were conducted. At the time of writing, more than 20,000 households in informal settlements had been reached and informed on how to practise better hygiene.

The model has since been taken up by other NGOs and is being implemented in various cities with the support of various donors. The Namibian government also requested that police and army roadblocks be set up, and the city of Windhoek asked for homeless shelters. Hygiene and 'Tippy Tap' training is now carried out at food distribution points run by the World Food Programme (WFP). Without the rapid German support, including through the project under evaluation, these effects would not have been achieved so directly and comprehensively.

The project reacted to challenges and changes in cooperation with the main partner (MLR) and, by doing so, strengthened the multi-stakeholder approach. The project was key to the re-adaptation of the overall strategy of German international cooperation in the land-reform sector. Changes caused by the COVID-19 pandemic were appropriately dealt with. Relevance dimension 4 – adaptability – response to change – scores **20 out of 20 points**.

Table 3: Rating of OECD/DAC criterion: relevance

Criterion	Assessment dimension	Score and rating
<b>Relevance</b>	Alignment with policies and priorities	30 out of 30 points
	Alignment with the needs and capacities of the beneficiaries and stakeholders	25 out of 30 points
	Appropriateness of the design	17 out of 20 points
	Adaptability – response to change	20 out of 20 points
<b>Relevance total score and rating</b>		Score: <b>92 out of 100 points</b> Rating: highly successful

### 4.3 Effectiveness

This section analyses and assesses the effectiveness of the project. It is structured according to the assessment dimensions in the GIZ project evaluation matrix (see annex):

- The project achieves the (intended) objectives.
- The activities and outputs of the project contribute to achievement of the objectives.
- No project-related (unintended) negative results occurred – and, if any negative results did occur, the project responded adequately.

#### Evaluation basis and design for assessing effectiveness

**Evaluation basis for effectiveness dimension 1:** The project objective – access to land for landless households, with particular consideration for women and young people, is secured in urban and rural areas (in Namibia) – is not as specific as it could be; however, in combination with the relevant indicators, which have been extensively formulated, it is sufficiently specific. The project objective (outcome) indicators meet SMART criteria and could be evaluated.

Table 4: Assessed and adapted objective indicators for specific modules (outcome level)

Project objective indicator according to the project proposal Original indicator	Assessment according to SMART criteria	Adapted project objective indicator
<b>Indicator 1 (M-I-1):</b> MLR integrates recommendations for strategic land matters into a strategy paper on implementing constitutional land reform.  Base value: 0 (following the last Permanent Technical Team Report there was no new decision on implementing constitutional land reform).  Target value: A strategy paper on implementing constitutional land reform has been prepared.  Source: Analysis of MLR strategy paper.	<b>Indicator 1 (M-I-1)</b> Specific: yes. Measurable: yes. Achievable: yes, but not fully within the scope of the project and dependent on cooperation by and the approval processes of the MLR; Relevant: yes, for measuring the essential dimensions and at the correct results level. Time-bound: no, but the target value should be achieved by the end of the project term, i.e. after this evaluation was conducted.	n.a.  n
<b>M-I-2:</b> Starter or land-hold titles have been issued to 2,000 households in four towns.	<b>M-I-2</b> Specific: yes. Measurable: yes, of the development	n.a.

<p>Base Value: 0 (no households with land-hold or starter titles, no related registration process). Target Value: 2,000 households issued with land-hold or starter titles; 40% of the titles are issued on behalf of women; young people, disabled people or orphans are given equal consideration in the registration process.</p> <p>Source: Evaluation of data from the Land Rights Office, MLR.</p>	<p>measure. Achievable: yes. Relevant: yes, for measuring the essential dimensions and at the correct results level. Time-bound: no, but the target value of the indicator should be achieved by the end of the project term, i.e. after this evaluation was conducted.</p>	
<p><b>M-I-3</b> A strategy for the nationwide rollout of the FLTS has been passed.</p> <p>Base Value: 0 (no plan passed).</p> <p>Target Value: 1 plan passed.</p> <p>Source: Evaluation of the minutes of FLTS steering committee meetings.</p>	<p><b>M-I-3</b> Specific: yes. Measurable: yes. Achievable: yes, but not fully within the scope of the project, as approval and subsequent rollout of any strategy is the sole responsibility of the political actors and cannot be determined from outside (i.e. by the project). Relevant: yes, for measuring the essential dimensions and at the correct results level. Time-bound: no, but the target value of the indicator should be achieved by the end of the project term, i.e. after this evaluation was conducted.</p>	n.a.
<p><b>M-I-4</b> The share of households in FLTS pilot areas that perceive their land rights as secure has risen from X% to Y%.</p> <p>Base Value: X% of Z households perceive their land rights as secure.</p> <p>Target Value: Y% of Z households perceive their land rights as secure.</p> <p>Source: Results of the annual collection of perception indicators; data are gender-disaggregated.</p>	<p><b>M-I-4</b> Specific: yes. Measurable: yes, but the target values shall be subject of the baseline study. The original plan was that the final valuation would take place to coincide with the first progress report, which did not happen, owing to resistance from within the MLR. As this evaluation was underway, the new minister and new executive director were interested in good cooperation and supported this approach. Thus, it has been agreed during the inception phase that, during the evaluation mission, a study will be conducted, which will look, retrospectively, at how the perception of the settlers has changed in comparison with 2-3 years ago. Achievable: yes. Relevant: yes, for measuring the essential dimensions and at the correct results level. Time-bound: the target value of the indicator should be achieved by the end of the project term, i.e. after this evaluation was conducted.</p>	n.a.

**Design for evaluating effectiveness dimension 1:** Here, the targeted indicators were compared with the results (at outcome level). Following discussions with the project team during the inception mission, it was decided to use the questions in the evaluation matrix (see annex); no other specific design was applied.

**Empirical methods for evaluating effectiveness dimension 1:** The analyses and assessments were conducted based on the results matrix, progress reports (all of them), and the latest results-based monitoring data. The discussions and interviews carried out during the inception and evaluation missions were also used as data sources. Of particular relevance for this dimension were the interviews with the project team, including the monitoring and evaluation expert, as well as with the main political partners at national and state levels. A review of internal (project- and GIZ-related) and external documents and literature, and a triangulation exercise, were also part of the empirical methods.

**Basis for evaluating effectiveness dimension 2:** The foundations for the work of the evaluators here were the results matrix, the updated results model and – to a limited extent – the stakeholder map. The output indicators met SMART criteria and the degree to which they were achieved could be evaluated.

The causal links between the results at the outcome level and the project's activities, instruments and implementation strategies were assessed through the contribution analysis. The hypotheses underlying the results model were compared with actual results. The interviewees were asked whether there is empirical evidence for the results chains (hypotheses) described in the ToC.

**Design for evaluating effectiveness dimension 2:** The design centres around the evaluation questions as outlined in the evaluation matrix. Three key questions are asked in this step of the contribution analysis, regarding whether there was evidence:

- that the targeted results had been achieved;
- to confirm or disprove each hypothesis (how did the project contribute to the results that can be observed)?;
- of alternative explanations and the influence of external factors and risks?

However, according to the hypotheses formulated regarding the outputs of the project activities (effectiveness), additional questions were formulated for use in evaluating effectiveness dimension 2.

**Empirical methods for evaluating effectiveness dimension 2:** These were similar to those used for evaluating effectiveness dimension 1.

**Basis for evaluating effectiveness dimension 3:** Based on the monitoring and progress reports of the project and as a preliminary result of the inception mission, the evaluators tried to identify project-related negative results and unintended (or additional/not formally agreed) positive changes using relevant verification questions in the interviews conducted during the evaluation mission.

**Design for evaluating effectiveness dimension 3:** Following discussions with the project team during the inception mission, it was decided to use the questions in the evaluation matrix (see annex).

**Empirical methods for evaluating effectiveness dimension 3:** The focus here was on risk analysis, using the project's monitoring system (basically, the progress reports), interviews, focus group/workshop discussions, including with the project team and current and former monitoring experts.

#### **Effectiveness dimension 1: Achievement of the (intended) objectives.**

The outcome objective – access to land for landless households, with particular consideration for women and young people, is ensured in urban and rural areas – was not achieved on time. The reasons for this delay are lack of political decision-making on the part of the partner and, particularly, the delay in approval of the FLTR. These issues were outside of the control of the project (see section 4.2, assessment of relevance dimension 3).

Based on an analysis of the latest available monitoring documents, discussions with the project team and with representatives of the main partners at national level, the evaluators concluded that the objective indicators would be largely achieved by the time the project concluded at the end of 2020, i.e. within the extended project term (the extension was essentially required as a result of the COVID-19 pandemic – see also section 4.2, assessment of relevance dimension 4).

Module Indicator 1 – MLR integrates recommendations for strategic land matters into a strategy paper on implementing constitutional land reform – was achieved. Interview partners confirmed that the national plan for

implementing the resolutions of the 2<sup>nd</sup> National Land Conference has been prepared thanks to the support provided by the project and has been submitted to the MLR/MAWLR (Int\_9, 17; FGD\_11).

In the case of Module Indicator 2 – Starter or land-hold titles are issued to 2,000 households in four cities under the Flexible Land Tenure System – the target was approximately 80% met. This is based on calculations by the project team and project partners that 1,610 titles could still be awarded in the pilot areas up to the end of 2020. Although it is unlikely that the full target of 2,000 land-hold titles will be achieved (Int\_18), 'the number is expected to increase significantly compared to the number of titles issued to date. Local authority elections in November 2020 [will be] a strong encouragement for local authorities to accelerate the issuance of titles, and LAs are stressed by MLR, who are pushed by the Office of the President/Prime Minister' (FGD\_3). At the time of the evaluation mission, 55 households had been issued with titles (FGD\_6, 11; Int\_17, excerpt from results monitoring). The recipients of these reported that they were happy, because they now had water, electricity and all services, but remained concerned that they had not yet received their actual certificates of ownership (FGD\_9).

Module Indicator 3 – A strategy for the nationwide rollout of the Flexible Land Tenure System (FLTS) has been adopted by the FLTS Steering Committee – was approximately 80% met (in the estimation of the evaluators, following discussions with the project team and partners). It was considered to be fully achievable within the remainder of the extended project period. A draft of the strategic plan is now available, and advice on planning and expansion of the FLTS was provided by the project.

To measure the achievement of Module Indicator 4 – The share of households in the FLTS pilot areas that perceive their land rights as secure has risen from X% to Y% – the base values were determined and data were collected via a study conducted by contracted local consultants in parallel with the evaluation mission. The preparation of the baseline study at the beginning of the project implementation period was challenged by the complicated cooperation with the MLR. The project had already prepared the terms of reference, and a tender for the procurement of the consulting services had been successfully issued, but for reasons that could not be determined retrospectively by the evaluators, the contracting procedure was stopped by the partner, and it had been clear to the project team that insisting on the baseline study going ahead would have jeopardised all other relevant activities (Int\_9, 17; FGD\_6). Hence, the reason for contracting consultants to carry out a retrospective study during the evaluation mission of perceived security of tenure among residents in the pilot areas. Data based upon a survey in the pilot areas shows that, when they first arrived at the settlement, 3% of the households interviewed did not feel secure, i.e. that they were very likely to lose the land or property, while 65% felt they did have secure tenure, i.e. that it was only somewhat likely or not likely at all that they would lose the land or property (The Survey Warehouse, 2020). By the time this survey was carried out, the percentage of households that perceived their tenure as not secure had decreased to 25% and the percentage that did feel secure increased by 7%, to 72% (The Survey Warehouse, 2020). Owing to the lack of baseline data, there were no figures for the desired/expected increase in the level of perceived security of tenure, so the increase of 7% in perceived security of tenure recorded by the survey conducted during the evaluation mission is used as an alternative measure.

The COVID-19 pandemic had a significant impact on the timely achievement of the project objectives, especially as it hit at such a critical time for the project. The pandemic-related lockdown in Namibia prevented the project team and its partners from working for several weeks in a phase during which numerous activities related to the issuing of land titles had been planned. This led to the joint decision by BMZ, GIZ and the Namibian partners to extend the duration of the project term until the end of 2020.

In summary, the project did not proceed as planned in terms of the main 'visible' result – the issuing of land-hold titles (Int\_13). In fact, nothing happened in this respect before March 2020 (FGD\_11; Int\_18, 19). Nevertheless, the evaluators felt there was a good chance of this goal being at least 80% met by the end of the year. Overall, it was assessed that the intended objective would be fully achieved by the end of 2020 in the

case of Module Indicator 1, 80% in the case of Module Indicators 2 and 3, and 90% in the case of Module Indicator 4. Therefore, effectiveness dimension 1 – achievement of the intended objective – scores **29 out of 40 points**.

### **Effectiveness dimension 2: Contribution to achievement of objectives**

The evaluators analysed the monitoring data and verified it in interviews with the project team and partners. In general, when measured against the output indicators, most objectives were achieved. No additional indicators were necessary to reflect the outputs.

The delay in project implementation did affect the achievement of objectives, particularly the delays in passing the FLTR and establishing the LRO (including employing staff). This was confirmed by nearly all interviewees (e.g. Int\_17). Passing the FLTR was a risk factor, because it was out of the hands of the project. The immediate predecessor project (SLR IV) supported the regulations committee with the drafting of the FLTR and hired a lawyer, but a lack of sufficient political support and a shortage of staff at the Ministry of Justice able to draft the regulations caused long delays. A change of staff at the MLR posed a further challenge.

Moreover, the effects of the COVID-19 pandemic, which began to be felt in the last months of the project implementation period, also prevented all objectives at the output level from being met. In this crucial period, project activities that had been prepared for implementation could not go ahead.

**Output A:** Three of the four indicators for Output A – The institutional conditions for implementing land reform and, in particular, the Flexible Land Tenure System (FLTS), have improved – were achieved or over-achieved. In the case of indicator A.4 – The legal texts (FLTA and regulations) have been improved based on experience in the pilot areas and are available in draft form – the work is ongoing, because of the delay in piloting the analysis of the experiences. The evaluators considered that, by the end of the project term, this indicator would be achieved by 50%.

**Output B:** The evaluators considered that the indicators for Output B – The capacities of local authorities to implement the Flexible Land Tenure System (FLTS) have improved – would most probably be achieved by the end of the year, except for indicator B.4 – One local authority has included an area for implementing the FLTS in its urban development plan – because of the delays in piloting and evaluating the FLTS.

**Output C:** The indicators for Output C – The capacity of urban informal settlers to participate in implementing a Flexible Land Tenure System has increased – will be mostly achieved, except indicator C.4 – 80% of X households that have participated in financial literacy training are familiar with the principles of good household financial management. Owing to resistance on the part of the partner and a lack of access to the target group level by the project team, no training in financial literacy was conducted. This was decided at an early stage of project implementation, so the target number of households was never determined (FGD\_6, Int\_17).

**Output D:** Regarding the indicators for this output – The capacity of regional councils to plan and implement integrated regional land-use plans has increased – it was explained that there was no interest on the partner's side to include regional councils in implementing the SLR project. The Integrated Regional Land Use Plans (IRLUPs) were introduced into the project design in a rather donor-driven manner, 'following a logic of KfW programmes' (which are the programmes of the German financial cooperation; FGD\_6, Int\_9), and there was 'no ownership in Namibian side' (Int\_3), they were 'not part of the planning hierarchy in Namibia' (FGD\_2) and were 'centrally driven, not so many instruments of the Regional Councils' (FGD\_2). While two output indicators were formulated, there were only very limited activities. The project team discussed the indicators and potential measures with partner staff, but the latter took no action to avail of the support offered. The project supported Regional Councils in the form of technical expertise and the development of a training-course manual. The partners considered this support helpful – 'very crucial: participatory planning training' (FGD\_2; similar: FGD\_16).



To assess the extent to which the project contributed via activities, instruments and outputs to the achievement of the project objective at the outcome level, contribution analysis was applied. Three hypotheses were identified and formulated jointly by the project team and the evaluators in a workshop to assess the effectiveness of the project. They reflect the main assumptions in this respect and mirror what, according to the project team and the main project partners, were the most relevant processes.

- Hypothesis H-4: By providing financial and technical support to the FLTS Project Management Unit (PMU), the project enabled the partner ministry to improve the general conditions for piloting the FLTS.
- Hypothesis H-5: By developing process and guidance documents, the project enabled the pilot local authorities to implement the FLTS in pilot settlements.
- Hypothesis H-6: By raising awareness and building capacities, the project supported the participation of the residents in the pilot settlements in implementing the FLTS.

The verification of hypothesis H-4 is based on interviews with the project team, the MLR/MAWLR (particularly Int\_18) and the FLTS PMU, as well as with other stakeholders.

It is noted that the support to the FLTS PMU was provided through an agreement on funding positions in the MLR, particularly the PMU, but several positions were never filled, while people in other positions resigned after a short time. MLR project staff were not only working on FLTS but also had other duties. Many planning meetings were held with the PMU. The PMU was supposed to have a staff of five, but senior positions were not filled and, in the end, the PMU operated with just three people. The fact that the PMU never worked at its full planned capacity is considered a crucial weakness (Int\_18; FGD\_7, 11). But it was still in place (within the MAWLR) at the time of the evaluation and is expected to continue carrying out the work as planned after the SLR project comes to a close. The PMU is considered crucial, as it provides secretarial support to the FLTS Steering Committee (which coordinates the cooperation between the different ministries and between the different MLR departments (Int\_17). Relevant interviewees expressed a further need for support when piloting comes to an end and the nationwide rollout begins (Int\_18, 19; FGD\_11).

The project reacted in an appropriate way to the PMU staffing problems. Rather than changing the overall design, it shifted part of its support to the (physical) installation of the Land Rights Office (LRO), also part of the MAWLR, but under the Deeds Registration Office. The LRO was established shortly after the FLTR were passed in 2018. This, together with the development of human-resource capacity, was critical, but slow: initially, staff already employed at the Deeds Registration Office were appointed to work at the LRO, in addition to fulfilling their other duties (Int\_17, 19). The staff at the LRO were trained in FLTS registration procedures and land surveying with regard to the FLTS. The local authorities welcomed the establishment of the LRO, seeing it as an important output of the project. They did, however, point out that its 'operationality has not been tested, yet. Only now, with the transfer of submission to the local authorities it will undergo the real-life-test' (FGD\_3).

The project intended to work with local authorities (LAs). This idea was the basis for the capacity development (CD) strategy of the project. The initial strategy was to work directly with the LAs on developing training material and implementing the training itself, but this needed to be adjusted, owing to a change of opinion by the partner: the MLR wanted to deal with the LAs themselves. Thus, the main responsibility for planning and implementing the CD measures remained with the MLR. The ministry exercised strict control over CD measures and kept the project out of this (including monitoring and evaluation of the workshops). To circumvent these restrictions, the project established focal points within the LAs so as to maintain good relations with them. Subsequently, the LAs involved in the pilot process contacted the project team directly for assistance, which was provided – for example, in the field of town planning, for which the project hired private town-planning companies (Int\_17; operational plan).

In the end, the project managed to help the local authorities involved in the pilot process implement the FLTS in pilot settlements by developing process and guidance documents. Representatives of partner organisations reported that the LAs were trained by the project in establishing associations, the main aspects of the FLTA, implementing the FLTS and preparing documents for submission to the LRO (Int\_6, 7). It was further reported that the communities were trained together with the LA staff (FGD\_12).

Hypothesis 6 can be verified based on the feedback from the focus group discussions with the representatives of the pilot settlements. According to the community members, the project conducted train-the-trainer sessions for MLR staff, who subsequently trained the pilot LAs and communities. The LAs trained the communities in the FLTS, how to acquire starter/land-hold titles and what the rights can be used for (FGD\_12). Furthermore, partner organisations reported that the project trained the LAs and final beneficiaries in establishing associations, naming associations, the main aspects of the FLTA and implementing the FLTS (Int\_6,7).

Some of the final beneficiaries expressed a need for closer direct cooperation between the project and the community members and felt that the communication between the LAs and the community could have been better (FGD\_12).

Implementation strategy: One factor that contributed significantly to the achievement of the project objective was the open and proactive attitude towards digitalisation. The project team and team leader explained that the project used digital solutions in implementing its activities. Moreover, it aimed to digitalise the core administration processes of the partner in relation to land registration and surveying. Representatives of the MLR/MAWLR confirmed that the 'project pushed towards digitalisation by introducing IT-based land registration procedures and promotion of the use of IT-based internet applications' (Int\_12, 18).

In cooperation with the Global Land Tool Network (GLTN) within UN-Habitat, the project implemented measures to digitalise technical processes involved in the registration of land titles and processing of the respective files (development of the computer-based FLTS). Furthermore, the project initiated the procurement of IT infrastructure (fibre-optic cable for lines into the MLR/MAWLR) and equipment (tablets and software for surveying). This enabled the partners to collect data (including spatial data and their visualisation). Open-source software was used so that the systems might be used in other contexts. Partners in the ministries, local authorities and NGOs were trained accordingly (Int\_7, 12, 18; FGD\_7, 11).

During the COVID-19 pandemic, the project team members and their partners used IT and digital solutions for communication and work, and few problems were encountered in conducting the numerous interviews and FGDs in remote/semi-remote mode.

In summary, the evaluators concluded that the project's agreed outcome was achieved or would be largely achieved by the end of the extended project term. Representatives of the MAWLR stated that the authorities are now better prepared for the nationwide rollout of the FLTS, which would not have been the case without the support of the project. This view was shared by interviewees from the other stakeholder groups. However, opinions differed as to the readiness of local authorities for a nationwide rollout.

The evaluators considered that most of the planned activities were successfully carried out and most of the outputs (measured against the indicators) were achieved. Lack of political decisions on the partner side (adoption of the FLTR) and the effects of the COVID-19 pandemic are the main reasons why some outputs could only be achieved by the end of 2020. A small number of outputs could not be achieved because the required activities were not implemented, owing to a lack of interest by the partner. The activities implemented and outputs achieved contributed substantially to achieving the intended outcome of the project. Taking a flexible approach to implementing the results matrix on the ground changed the focus to the FLTS, with only very limited input to the Integrated Regional Land Use Plans. Effectiveness dimension 2 – contribution to the achievement of objectives – scores **23 out of 30 points**.



### Effectiveness dimension 3: Unintended results

No unintended or negative results at the outcome level were reported or could be identified in the evaluation. The occurrence of additional (not formally agreed) positive results was monitored, but no unintended positive results were reported nor could any be identified by the evaluators.

As previously discussed, the risks at the outcome level related mainly to the high level of dependence on the political partner and political/administrative processes. 'The fact that the project depended on the enactment of the FLTR before the piloting of the FLTS could commence was a hindrance for implementation and achieving the goal of issuing 2,000 titles' (Int\_17; FGD\_6). Furthermore, issuing starter and land-hold titles was dependent on the establishment of the LRO. Issuing titles was equally dependent on several pre-conditions, the fulfilment of which was significantly delayed, such as the establishment and staffing of the PMU and LRO. The project managed to mitigate these risks by increasing the involvement of other partners (local authorities) and making changes at the operational level (refocusing some of the planned support from the FLTS PMU to the LRO).

Regarding risks at the output level that were not reflected in the project documentation (proposal, progress report), the project's beneficiaries indicated the following: 'We assumed that people would be added to the allocation process illegally by the former community "headmen" for social gain' (FGD\_4). Furthermore, community members and representatives of the LAs were afraid that illegal land-grabbing by people from other informal settlements would be a problem.

To address these risks, the following mitigation measures were taken by the project and its partners:

- A social survey was conducted to create a database of all numbered structures and structure owners. This was to prevent external people wanting access to services and land from encroaching on the settlement after the numbering was completed.
- The signing of lease agreements, submission of identity documents and creation of record files were planned into the registration process.
- Security guards were placed on site to prevent illegal occupation of land.

The availability of a sufficient number of plots to cater for everyone needing to be relocated is still seen as a risk by LAs, representatives of academia and beneficiaries.

All in all, the project broadly contributed to systemic multi-level reform, which significantly exceeds the dimensions measured by the official indicators of objectives achievement. Risks in such a context are unavoidable; they were identified in the appraisal and reflected in the project proposal and design (results matrix). However, some were underestimated at that stage, and mitigation measures needed to be developed and implemented once the project was under way, which happened successfully. Effectiveness dimension 3 – unintended results – therefore scores **27 out of 30 points**.

Table 5: Rating of OECD/DAC criterion: effectiveness

Criterion	Assessment dimension	Score and rating
Effectiveness	Achievement of the (intended) objectives	29 out of 40 points
	Contribution to achievement of objectives	23 out of 30 points
	Unintended results	27 out of 30 points
Overall score and rating		Score: <b>79 out of 100 points</b> Rating: moderately successful

## 4.4 Impact

This section analyses and assesses the impact of the project. It is structured according to the assessment dimensions in the GLZ project evaluation matrix:

- Higher-level (intended) development changes/results.
- Contribution to higher-level (intended) development results/changes.
- Contribution to higher-level (unintended) development results/changes.

### Evaluation basis and design for assessing impact

**Basis for evaluating impact dimension 1:** The following sources were used to define the criteria against which impact was measured: programme and project proposal, in particular the results matrix and logic; the assigned identifiers as outlined in the project proposal; and the Agenda 2030 impacts on social, economic and ecological dimensions as described in the project documentation (proposal, progress reports). The analysis of the core problems under the criterion of relevance (see section 4.2) provided further orientation. In terms of contributions to the achievement of the SDGs, the following were evaluated: impact on reducing poverty (SDG 1) through enhancing the provision of equal rights to economic resources, as well as access to basic services, ownership of and control over land. The extent to which the project managed to address the poor and vulnerable informal settlers and focus on women and young people (LNOB principle) was also analysed.

**Design for evaluating impact dimension 1:** No specific design was applied and no additional questions to those in the evaluation matrix were raised in the inception phase.

**Empirical methods for evaluating impact dimension 1:** Interviews, focus group/workshop discussions with all groups of interviewees. There was a particular focus on the partners in the line ministries and at the local level (local authorities in the pilot towns).

**Basis for evaluating impact dimension 2:** In assessing this dimension, the contribution-analysis approach was applied. The three hypotheses from the results model selected for assessing the impact of the project were examined in detail to explain plausible relationships between the project's outcomes and impacts. A discussion of a counterfactual situation (what would have happened without the project) was included for qualitative purposes, using interviews with different stakeholders and scientists (i.e. national and international land professionals). The main impact hypothesis – above outcome (module) level (see figure 1) and explanations regarding dimension 1 – can be summarised as follows: the provision of secure tenure is contributing to improved housing and livelihoods, and, subsequently, to alleviating poverty in the long term. The working hypotheses for the evaluation were selected and formulated jointly by the project team and the evaluators during a workshop to determine the impact of the project. They reflect the main assumptions on how the project contributed to security of tenure as a pre-condition for improved housing and livelihoods, and mirror what, according to the project team, were the most relevant processes.

**Design for evaluating impact dimension 2:** As a result of the respective discussions with the project team, it was decided that the analysis would follow the evaluation questions. However, according to hypotheses 2 and 3 concerning the impact of the project (see Table 1), additional questions were formulated for evaluating impact dimension 2 (see below).

**Empirical methods for evaluating impact dimension 2:** These were similar to those applied under dimension 1, i.e. they are based on the results matrix, progress reports, RBM data, interviews and discussions. In particular, the interviews with the project team and with the partners in the pilot communities provided

meaningful information for assessing this dimension. Interviews and discussions with the project management and key partners in the various administrations and in academia were conducted and analysed.

**Basis for evaluating impact dimension 3:** The project established an adequate risk analysis and mitigation document (as part of the proposal, and further developed in the progress reports), addressing any negative results that might occur.

**Design for evaluating impact dimension 3:** As a result of the respective discussions with the project team, it was decided that the analysis would follow the evaluation questions. No specific design was considered necessary.

**Empirical methods for evaluating impact dimension 3:** Because no clear data were available for assessing this particular dimension, the evaluators focused on identifying changes and results, using descriptive methods. They conducted semi-structured interviews according to the interview guidelines and ensuring that the results could be used for triangulation.

## Analysis and assessment of impact

### Impact dimension 1: Higher-level (intended) development changes/results

Under the impact criterion, the evaluation looked at the extent to which the project's outputs and outcomes contributed to impact in light of the theory of change (ToC). One of the three hypotheses related to impact (see Table 1) was specifically formulated to link the output and outcome levels with the impact level:

- **Hypothesis H-1:** The project's support to the Ministry of Land Reform in establishing an institutional framework for the implementation of the Flexible Land Tenure System (FLTS) has led to improved access to land for landless households, with particular consideration for women and young people, and secure tenure, contributing to improved housing and livelihoods, and, subsequently, to poverty alleviation in the long term.

The evaluation revealed that the project contributed to the project objectives, in particular to the achievement of the Namibian strategies related to land reform and of the SDGs. Every interviewee had seen an impact from the project, albeit from different perspectives. There is no clear evidence of concrete contributions to achieving the SDGs, as no specific monitoring took place. In particular, there was a contribution to the goal of reducing poverty (FGD\_3, 6, 11; Int\_11), as well as an impact on political stability and security (not only security of tenure) (Int\_13). 'The most relevant impact to housing and poverty alleviation is the provision of tenure security, which contributes to investment' (Int\_17). A former executive director of a partner organisation reported that the project contributed to achieving international obligations, such as the SDGs, as well as national ones, like national development plans.

All interviewees were of the opinion that the impact is not yet visible (Int\_12), but were nevertheless convinced that contributions to improved housing and livelihoods will subsequently lead to poverty alleviation (SDG 1) in the long term (Int\_5, 1; FGD\_11, 6). Improved housing conditions will help alleviate poverty, they felt, 'because people would be allowed to build proper housing' (Int\_6, 17; FGD\_1, 7). According to the interviewees, the expected impacts will become evident once titles have been issued (FGD\_6; Int\_5). The FLTS is commonly seen as a way of providing security of tenure to informal settlers as per the resolutions of the Second National Land Conference held in October 2018. It was also stressed that 'the aspect of incremental development is important and land reform should not only be seen as registration of land. The long-term effect of FLTS is the improvement of land management. Economic benefit of social self-help where people get more engaged and attend meetings – some even stop drinking' (FGD\_1).

Representatives from the direct target group reported that, whether thanks to a starter or land-hold title, security of tenure is the most impactful component in relation to housing, especially in the long term (FGD\_3). They confirmed that the starter title and land-hold title rights provide security of tenure and that the land-hold rights can, furthermore, be used as collateral for acquiring a bank loan. The expected long-term impact of security of tenure is improved housing and livelihoods, and poverty alleviation (FGD\_3, 4, 9, 12). Intended results at the impact level could be observed in the sense that several residents in Freedom Square (Gobabis) and Onyika (Windhoek) had started constructing permanent housing before receiving the actual land-hold certificate, based on the expectation of acquiring security of tenure.

The extent to which marginalised people have been reached was difficult to assess, because the evaluators could not find relevant monitoring data in this respect. The majority of those interviewed believed the LNOB principle was applied in the planning and implementation of the project. They claim that marginalised groups are benefiting from the outcome and the impact in terms of poverty reduction in general (representatives of GIZ and the partners). The representatives of the beneficiaries agreed: 'If you do not discriminate against anyone, they are all included' was the general perception. Local authorities and representatives of the informal settlers felt the project contributed in the form of increased integration of marginalised people (FGD\_3).

However, project staff reported that the issue of inclusive planning is a sensitive one and that discussions with the MLR on implementing the FLTA inclusively were difficult. The project commissioned a gender analysis of the FLTA. This determined that women constituted more than 50% of the beneficiaries in the pilot areas (FGD\_3, 4, 9, 12). More than 50% of the people who will receive land-hold titles in Freedom Square (Gobabis) are women (FGD Gobabis town council and FGD\_Freedom Square community members). In the case of married women, the land-hold rights will be registered in both spouses' names (Int\_17). The gender study also highlighted the difficulties of considering the rights of women who are in a co-habiting arrangement. Working on the FLTS, 'it is difficult to address co-habitation for non-married couples' (Int\_17).

Young people, the disabled and other marginalised groups (as described in the project proposal) do not appear to have been specifically addressed by the project. The evaluation found no evidence in this respect.

In summary, the intended results at the level of overarching results, as described in the ToC, were achieved or their achievement was plausible: interviewees from all stakeholder groups confirmed that the provision of security of tenure is contributing to improved housing and livelihoods, and, subsequently, to alleviating poverty in the long term. The target groups were reached; however, marginalised groups were not addressed to the degree foreseen in the proposal. Impact dimension 1 – higher-level (intended) development changes/results – scores **35 out of 40 points**.

#### **Impact dimension 2: Contribution to higher-level (intended) development results/changes**

The following questions were asked in relation to hypotheses 2 and 3 of the ToC:

- **Hypothesis H-2:** The project contributed to improving the capacities of the local authorities to implement the FLTS, thus allowing starter or land-hold titles to be issued to 2,000 households in four towns and leading to the nationwide rollout of the FLTS.
  - How did the project contribute to improving access to land?
  - Did it contribute to increasing the organisational capacity of the pilot local authorities and the residents of the pilot settlements?
  - How important are the guidelines and processes that were developed in this regard?
- **Hypothesis H-3:** By supporting the analysis of the pilot process, the project has contributed to improving access to secure tenure for low-income urban households through the establishment of a strategy guiding the nationwide rollout of the FLTS.
  - In what way did the project support the analysis of the pilot process?
  - How did this contribute to the establishment of a strategy for the nationwide rollout of the FLTS?
  - How, in turn, did this contribute to improving access to secure tenure for low-income urban households?

At the time of the evaluation mission, only 55 land-hold titles had been issued in Oshakati (Int\_12). In Gobabis, the preparations were well advanced, with issuing due to have started soon after the evaluation mission. In Windhoek, the process was less advanced, but interviewees indicated that this was due to pressure resulting from elections (see above), after which the process would speed up significantly (FGD\_11; Int\_12). The project team and project partners estimated that approximately 1,600 titles would be issued by the end of the year. However, some partner organisations and representatives of the LAs felt it was unlikely that the target number of 2,000 starter or land-hold titles would be issued by the end of the project.

The nationwide rollout will therefore take place in the context of the new GIZ project in the field of urban development (ISUD), which commenced in May 2020. However, it is unlikely that the situation will change directly from piloting in a few areas to immediate nationwide availability. It is more likely to be a phased approach, in which the benefits of the FLTS will gradually become available to the target group nationwide, while also catering for the needed improvements of the approach and respective law. Therefore, the impact of the rollout will only be felt later – as was recognised by all interviewed partners (for example, FGD\_6; Int\_12).

Partner organisations at the national and local levels stated that the project had contributed to building their capacity and made it possible for them to implement the FLTS in the pilot areas. The quality of the capacity development measures was rated as highly satisfactory (GD\_3) – particularly the workshops, manuals and templates. The CD measures implemented by the project for the ministries were also considered to have been successful: ‘Good training of ministry staff to acquire relevant capacities’ (FGD\_11); ‘The Ministry has now the capacities to take over’ (FGD\_2).

The involvement of the NUST is considered key (FGD\_3). The collaboration with NUST focused on the general debate on land and policy, including, importantly, urban land matters. In light of the MLR’s approach to the capacity development measures to be implemented by the project, the decision was taken to involve the NUST in preparing and implementing those measures.

Regarding **hypothesis H-3**, the representatives of the MAWLR and MURD confirmed that it ‘can be verified’. Representatives of local authorities and NGOs, too, felt that this hypothesis was plausible: ‘the project pushes the local authorities’ (Int\_14). This is despite the fact that, because of the delay in the pilot process, which was basically due to the late approval of the FLTR and the effects of the COVID-19 pandemic, the process had not yet been analysed and had to be held over until the new ISUD project.

The confidence that the pilot projects will be successful and will show the intended effects as outlined by the hypothesis is based on the intensive preparation that went into the process. As the interviews with the LAs and pilot communities showed, awareness-raising efforts laid the foundation for acceptance of the process. In the Onyika settlement in Windhoek and Freedom Square in Gobabis, some residents have started constructing permanent housing, even though they have not yet received their land-hold certificates (FGD\_3, 8, 9 and 12). In the interviews, there was broad agreement (FGD\_4, 9, 12). There is not one specific strategy document, but an ongoing advisory to the steering committee, as well as inputs to a strategy document developed by the PMU, which is not fully endorsed by the project. There also is an ongoing advice to the implications of decentralisation and digitalisation options of the Land Rights Office, which is a key aspect of establishing the structure needed for a roll-out.

The interviewees believed that, without the project, there would have been a gap. Representatives of the partner ministry stated that 'land delivery in Namibia has been one of the long-term issues since independence. Hence, without the FLTS, the Namibian government would still have delays in delivering land to its people – more specifically, the marginalised communities. Informal settlements have been in existence before the implementation of flexible land tenure and we are currently just trying to upgrade and formalise them'. Others felt the situation would have been more drastic: 'There would have been chaos and people would have been evicted. People would be grabbing land illegally' (Int\_19). It was pointed out that young people have shown their dissatisfaction with the government in terms of land delivery, in particular urban land. Therefore, without the FLTS, there could have been serious political turmoil in relation to land (Int\_20).

But some partners, especially the LAs, felt that something was accomplished by them in relation to 'squatter policies' (Int\_12) after independence, and they pointed out that they always tended to apply incremental development approaches. Thus, when discussing what would have happened without the project (in terms of impact), some interviewees considered the impact of the project to be a bit lower (FGD\_3).

In summary, the evaluators found that it was plausible that the project outcome would contribute to higher-level development results. The ToC hypotheses 2 and 3 can, in general, be verified – with the caveat that, owing to the delays in piloting the FLTS and the knock-on delay in analysing the pilot, the nationwide rollout will only start after the project has ended. Nevertheless, the partners, including the final beneficiaries, are convinced that the intended impacts will materialise, based on how well prepared the pilot was and the initial results from the pilot areas. Therefore, impact dimension 2 – contribution to higher-level (intended) development results – scores **15 out of 30 points**.

### **Impact dimension 3: Contribution to higher-level (unintended) development results/changes**

No negative unintended results at impact level were observed. No negative trade-offs between the ecological, economic and social dimensions could be identified. Various interview partners perceived a positive additional result in that the promotion of the FLTS also supported developments in other urban sectors, like transport planning, sewerage and drainage, general infrastructure and security, thus improving the quality of life in general. The FLTS is welcomed by the LAs as a mandate 'to work in a broader field of planning and housing' (FGD\_3).

Harnessing the positive synergies between the ecological, economic and social dimensions is an essential part of the FLTS and integrated planning, and thus one of the focus areas of this project. At the output level, these synergies were identified in the planning processes at regional and local levels (pilot projects). The occurrence of additional (unintended) positive results at the impact level was monitored, but no additional opportunities for further positive results were identified. Therefore, impact dimension 3 – contribution to higher-level (unintended) development results/changes – scores **30 out of 30 points**.

Table 6: Rating of OECD/DAC criterion: impact

Criterion	Assessment dimension	Score and rating
Impact	Higher-level (intended) development changes/results	35 out of 40 points
	Contribution to higher-level (intended) development changes/results	15 out of 30 points
	Contribution to higher-level (unintended) development changes/results	30 out of 30 points
Overall score and rating		Score: <b>80 out of 100 points</b> Rating: moderately successful

## 4.5 Efficiency

This section analyses and assesses the efficiency of the project. It is structured according to the assessment dimensions in the GIZ project evaluation matrix:

- The project's use of resources is appropriate in relation to the outputs achieved (production efficiency: resources/outputs);
- The project's use of resources is appropriate in relation to achieving the project objective/outcome (allocation efficiency: resources/outcome).

### Evaluation basis and design for assessing efficiency

**Basis for evaluating efficiency dimension 1:** This dimension was assessed based on the GIZ efficiency tool and the cost-output data.

**Design for evaluating efficiency dimension 1:** The analysis of the data in the efficiency tool followed the analytical questions in the evaluation matrix, which are based on the follow-the-money approach.

**Empirical methods for evaluating efficiency dimension 1:** The efficiency tool was used appropriately and the results of the calculations were discussed with the project team.

**Basis for evaluating efficiency dimension 2:** The project's use of resources was appropriate in relation to achieving the project objective (outcome). The analysis of this dimension was only partly based on cost data. It also followed the evaluation questions as outlined in the evaluation matrix.

**Design for evaluating efficiency dimension 2:** The analysis of data in the efficiency tool followed the analytical questions in the evaluation matrix, which are based on the follow-the-money approach. The results of the calculations made using the efficiency tool were discussed with the project team.

**Empirical methods for evaluating efficiency dimension 2:** The efficiency tool was used appropriately and the results of the calculations were discussed with the project team.

### Analysis and assessment regarding efficiency

**Efficiency dimension 1:** The project's use of resources is appropriate in relation to the outputs achieved (production efficiency: resources/outputs)



Analysing efficiency in the context of GIZ central project evaluations is based on the GIZ efficiency tool, which captures (retrospectively, at the time of the evaluation) all project-related costs and estimates how they are distributed among the various cost categories (e.g. personnel, consultancies, financing instruments, partner contributions) and outputs. This is performed to gain an understanding of the cost intensity of each output ('follow-the-money approach'). To determine the efficiency of the project's organisational set-up, the steering structure was analysed. Analytical questions were discussed with the officer responsible for the commission and with key staff to identify inefficiencies and potential regarding the relation between costs and results achieved.

The efficiency-tool calculations were based on inputs made by the international evaluator together with the project team. The data were extracted from two main sources: current excerpts from cost statements from SAP (the 'Kosten-Obligo' report) and excerpts from the project's results-based monitoring system and operational plan. In addition, data from the updated version of the results matrix, particularly the indicators' target and current values, were incorporated into the efficiency tool.

According to the GIZ efficiency tool, the distribution of financial inputs to outputs in the SLR project is as follows:

Output A: 53%; Output B: 22%; Output C: 11%; Output D: 6%; Overarching costs: 8%.

Discussions of the calculation results concluded that resources were allocated to the different outputs very much in line with their relevance for attaining the project objective. The evaluators expected the biggest share of the resources to have been spent on Output A, because it was evident that this was considered the 'core' of the project, i.e. the activities and outputs aimed at supporting the institutional framework of the FLTS. The capacity development measures at national level, the support to the development and establishment of the IT system (registration system) and the multi-stakeholder dialogue, as well as the expertise required for the work on the legislative framework, were the most cost-intensive elements of the project. The work with the local authorities (Output B) comprised less expensive activities like training, awareness-raising and piloting at a local level in four communities. Output C involved a relatively small number of beneficiaries (2,000) – the future titleholders – and support to them in the form of capacity development and organisation, i.e. establishing associations. This required fewer inputs, also because the activities started late. Output D was intentionally implemented with only limited resources, owing to lack of interest and political will on the partners' side. The support to the regional councils in planning and preparing for the implementation of the Integrated Regional Land-Use Plans had been reduced to what was actually necessary, accounting for only 6% of the costs.

The output/resource ratio and alternatives were carefully considered during the intensive phase of finalising the project design (Int\_ 3, 9, 15). From a conceptual point of view, the logic of the connections between the outputs was convincing and also worked out well in practice. It was only during actual implementation that benefits from re-allocation were identified. As to whether the outputs could have been maximised with the same volume of resources and under the same general conditions and to the same or a higher level of quality, the evaluators concluded that the project reacted appropriately when it became clear that, under Output D, no relevant contribution to the overall objective would be achieved. The resources were allocated to the activities at the national and local levels (basically, to Output A and, partly, to Output B).

There were no deviations between the identified costs and projected costs. The percentage of overarching cost (8%) is rather low.

Altogether, the evaluation concluded that the cost-output ratio within the project was mostly positive and that distribution among the outputs matched the relative weight of their contribution to attaining the project objective. In comparison to potential alternatives, the evaluation team concluded that the actual use of resources was efficient. Therefore, efficiency dimension 1 – production efficiency – scores **70 out of 70 points**.



**Efficiency dimension 2: The project's use of resources is appropriate in relation to achieving the project's objective/outcome (allocation efficiency: resources/outcome)**

The question of to what extent the outcome could have been maximised with the same volume of resources and to the same or a higher level of quality is difficult to answer. The evaluators did not find evidence of unused potential to maximise the outcome. On the contrary, the fact that the project responded to the obvious obstacles to successful implementation of the planned measures under Output D constituted more efficient use of the funds without losing sight of the overall project goal.

Interviewees reported that, at the beginning of the project, the staffing plan did not fully meet the requirements of project implementation. Some interviewees claimed it took too long to re-arrange and for the team to be appropriately established and operational (Int\_3, 13, 17).

There was no cooperation with other bilateral and multilateral donors and organisations in the SLR project, as no other donors are working in this sector in Namibia (Int\_8, 13, 15). However, it is important to mention the strategic cooperation within the GIZ follow-up project (Inclusive and Sustainable Urban Development). This cooperation was essential for the prospect of successfully completing the analysis of the pilot projects, preparing and implementing the nationwide rollout by providing capacity development support (to the MAWLR, LRO, PMU, LAs), helping to establish and further develop (as well as maintain) the IT-based system for registering the land titles, etc.

In its support for preparations to roll out the FLTS nationwide, the project envisaged the need for scaling up options right from the start (Int\_3, 9, 16).

Applying the multi-stakeholder approach, the project ensured that all relevant stakeholders were involved in implementing the project. This approach, as well as the involvement of NGOs and planning offices – in particular, the assistance to the town councils in planning and surveying the pilot areas – was considered efficient by the partners (FGD\_5). The lack of openness on the part of the partner ministry to involving other partners was an obstacle to even higher efficiency: had the involvement of NGOs been more acceptable to the partner, efficiency could have been improved. For example, a very competent NGO was not allowed to be part of the project, which made it difficult to establish official working relationships (Int\_17).

The connections between the outputs were relevant for allocation efficiency, as they generated synergies that are a pre-condition for aggregated outcomes that exceed the linear results changes of single outputs. In the context of the FLTS, this is the provision of support through outputs that are established in accordance with the logic of the planning hierarchy in Namibia, reaching from national to local and community levels.

The project implemented a pilot measure of the GIZ sector project Integrated Implementation of Agenda 2030 in Cities and Urban Regions (CityRegions2030) in one of its pilot areas in Windhoek. This pilot measure – Informal Spaces to Liveable Places: Climate Sensitive Settlement Development in Onyika – built on one of the SLR's main hypotheses that security of tenure allows the dwellers to develop long-term perspectives for their home and neighbourhood. Therefore, the objective of the measure was the implementation of participatory and climate-sensitive planning with an organised settlement community that is part of the FLTS. Together with the community, the measure aimed to build a shared vision for the legalised settlement and to intervene practically, in a way that improves living conditions and climate resilience. Special attention was required to be paid to including people with disabilities and addressing the needs of other vulnerable groups, such as women, children, young people and the elderly. EUR 100,000 was provided by BMZ through CityRegions2030; an additional EUR 20,000 was co-financed by the SLR project, which, together with its local partners, coordinated the implementation of the pilot measure. The outputs of this measure were not considered in the assessment of the SLR's achievement of the indicators, but, in terms of efficiency, the efforts in applying for the additional funds (EUR 100,000) and in conducting the pilot measure, which supported the implementation of the SLR project and the achievement of its intended results, had to be taken into account (Int\_1, 9).

Overall, efficiency dimension 2 – allocation efficiency – scores **28 out of 30 points**.

Table 7: Rating of OECD/DAC criterion: efficiency

Criterion	Assessment dimension	Score and rating
<b>Efficiency</b>	The project's use of resources is appropriate in relation to the outputs achieved (production efficiency: resources/outputs)	70 out of 70 points
	The project's use of resources is appropriate in relation to achieving the project's objective/outcome (allocation efficiency: resources/outcome)	28 out of 30 points
<b>Efficiency score and rating</b>		<b>Score: 98 out of 100 points</b> Rating: highly successful

## 4.6 Sustainability

This section analyses and assesses the sustainability of the project. It is structured according to the assessment dimensions in the GIZ project evaluation matrix:

- Results are anchored in (partner) structures (a prerequisite for ensuring the long-term success of the project);
- Results of the project are permanent, stable and resilient in the long term (forecast of durability).

### Evaluation basis and design for assessing sustainability

**Basis for evaluating sustainability dimension 1:** The emphasis in the assessment of sustainability was on identifying efforts/mechanisms to ensure that the results are sustainable in the medium to long term by the partners themselves, and the extent to which these have been institutionalised/anchored in the partner system. The evaluation looked at the extent to which resources and capacities at individual, organisational or societal/political levels in the partner country will be available in the long term to ensure the continuation of the results achieved.

**Design for evaluating sustainability dimension 1:** No particular evaluation design was used to analyse the questions regarding this OECD/DAC criterion – the analysis followed the evaluation questions.

The issue is a wider adoption of a holistic concept, which has been facilitated through a technical support measure covering policy, basic documents and capacity-building at selected multi-layer locations; sustainability and continuation at a wider level; and prerequisite actions/support at national, regional and local levels.

**Empirical methods for evaluating sustainability dimension 1:** The evaluation was primarily based on analysis of the background documents, as well as the interviews with stakeholders at the different levels of government and administration, in the project team and in science. The evaluators particularly looked for capacity and capability within the MAWLR, PMU, LRO and the LAs for rolling out the FLTS in other areas of the country, which would ensure sustainability.

**Basis for evaluating sustainability dimension 2:** The evaluators concluded at the end of the inception period that the results of the project would be permanent, stable and resilient in the long term – appropriately and proportionately. In the evaluation phase, the emphasis was on a) assessing the extent of long-term outcome and impact durability, stability and resilience under the given conditions; b) the risks and potential that were emerging for the durability of the results; and c) how likely these factors were to occur and what measures the project was taking to reduce such risks.

**Design for evaluating sustainability dimension 2:** As for the evaluation of sustainability dimension 1.

**Empirical methods for evaluating sustainability dimension 2:** As for the evaluation of sustainability dimension 1.

### **Analysis and assessment of sustainability**

#### **Sustainability dimension 1: Results are anchored in (partner) structures (a prerequisite for ensuring the long-term success of the project)**

The evaluation revealed that the majority of the interviewees from all stakeholder groups were of the opinion that the project results, particularly in relation to the Flexible Land Tenure System, are sustainable on a long-term basis (Int\_14, 18; FGD\_6, 11, 18) and LAs were optimistic that results will be anchored in the structures of the MAWLR, PMU and LRO (FGD\_3, 5). It was stated that the results achieved with regard to the FLTS provide a good foundation for progressing the nationwide rollout of the system. Furthermore, the FLTS is considered established, with the institutional structures in place (steering committee, PMU, LRO). Owing to immense pressure from the Office of the Prime Minister, interviewees expressed confidence that the continuation of the FLTS after the SLR project is secured (FGD\_6, 11; Int\_18, 19). ‘Sustainability-wise, the concept is very good’ (Int\_19). However, several staff positions are yet to be filled, which may affect the rollout of the FLTS.

Capacities have been developed, and the MAWLR and MURD will continue the CD measures based on the material developed as part of the project, particularly the train-the-trainer module and the specific training for the land registration officers and on surveying (FGD\_11; Int\_5). Most of the interviewees considered – as did the evaluators – that the partner organisations still require significant support in training key staff (surveyors and land registration officers) and training trainers. Capacities for the maintenance and operation of the IT system for registration have yet to be developed.

The FLTS is considered anchored in the partner system at national and local levels, and there is political will to use the system to provide security of tenure to low-income urban settlers (FGD\_11; Int\_11). Furthermore, the Namibian government has identified the FLTS as an important project and is willing to invest funds for the project to continue. The government has issued directives to the local authorities to implement the project and ensure its sustainability accordingly (Int\_12). Interviewees were convinced that the FLTS would not have progressed so far without the project (Int\_2, 5, 11; FGD\_6, 8, 11). The digital registration system would not be operational without the project (it will be further developed in line with the needs of the nationwide rollout, once the pilot projects have been analysed) (Int\_12; FGD\_6). In addition to dealing with the proliferation of informal settlements, the FLTS is seen by the project partners at the national level as having the potential to create employment. The Namibian government is not only relying on GIZ support in this regard but also providing funding itself (Int\_2).

Nevertheless, the interviewees also stressed that the sustainability of the results depends to a high degree on continued support from GIZ, i.e. in the form of technical support, human resources (especially surveyors) and support for the transition from the pilot projects to nationwide implementation. Funding is also still required – for example, the translation of FLTA, FLTR and other documents (Int\_2). Government officials claimed that their

administrations currently do not have adequate capacity to implement and facilitate the rollout of the FLTS on their own.

According to the project partners, the capacity development measures, in particular, will ensure the sustainability of project results (FGD\_11). It was stated that these capacities will remain in the administration. The interviewees also believed sustainability will be ensured by the capacities developed and staff trained in the ministries (MAWLR, MURD – particularly regarding the focal points in the PMU and the LRO) (FGD\_1, 2, 11; INT\_18). At the local level, the capacities of local authorities implementing the pilot projects have also increased (FGD\_3, 8). More awareness of capacity development needs have to be raised through, for example, promoting a pilot project like Gobabis, which was quite successful and would help people understand the issue (FGD\_12).

Regarding the Integrated Regional Land-Use Plans, it was reported that the MURD had taken over and that it has sufficient capacity to offer the required training (FGD\_2).

There is evidence that the project's results will continue to be used and further developed by the target group and implementing partners. The LAs are eager to engage and make land available in a quicker and more affordable land-delivery process (Int\_6). The necessary capacity is available at LA level to ensure the FLTS continues to be implemented and rolled out to the remaining informal settlements (FGD\_3). Town councils within the pilot local authorities expect to implement the FLTS in other informal settlements, and other LAs have shown interest in implementing the FLTS in their towns (Int\_6, 14; FGD\_5, 8). There are also more programmes in place to secure and ensure the sustainability of the FLTS (FGD\_5).

The evaluators concluded that the sustainability of the project can be assumed, because the new institutions (steering committee, PMU, LRO) are anchored in the partner structures, but they also recognised that there is still a significant need for additional support from GIZ to ensure long-term viability. The interview partners stressed that continued support in various areas (PMU, LRO, working with the MURD on the provision of land, integrated planning, capacity development, awareness-raising and technical services for the nationwide rollout of the FLTS) is necessary to ensure sustainability. The evaluators noted that the new GIZ project, Inclusive and Sustainable Urban Development (ISUD), will link the FLTS to urban development/town planning in Namibia and facilitate the necessary cooperation with the MURD. Sustainability dimension 1 – results are anchored in partner structures – scores **30 out of 50 points**.

#### **Sustainability dimension 2: Results of the project are permanent, stable and have long-term resilience (forecast of durability)**

The interview partners unanimously claimed that, according to their forecasts, the results of the project are durable (FGD\_6), while the Government sees the FLTS as important in terms of providing security of tenure to low-income settlers (Int\_12). At the same time, it is aware that there is still work to be done to ensure sustainability in terms of permanent and stable project results (FGD\_6). Therefore, they pledge for a continuation of support through GIZ in the area of the FLTS. This support will be provided through the new ISUD project, focusing on urban land reform (see section 4.1, Relevance). Handing over the support and backstopping functions for the nationwide rollout of the FLTS to the new project (which, technically, is not considered a follow-up project) can be considered as the exit strategy of SLR V.

In the new ISUD project, the partner ministry is the MURD rather than the MAWLR. This was decided as a result of the SLR project, during which it became clear that simply providing titles to people is not enough to address the issue of urban development and urbanisation in Namibia. For this, the mandate of MURD is required, hence the change of partner ministry (Int\_17; FGD\_6).

The evaluation team is of the opinion that partner ministries appreciate their responsibility for contributing to and securing sustainability of the FLTS and recognise that the system takes people out of poverty and is

therefore worth investing in. The implementation of the FLTS focuses not only on the present generation of Namibians but also on future generations, in terms of sustainable development (FGD\_11; Int\_12, 20).

Representatives of the pilot local authorities claimed that they will take the results of the project to any local authority in Namibia that could benefit from them (FGD\_3). They understand the need for further improving their performance to meet the objectives of the FLTS and to use the chance given to them as pilot communities. Moreover, they are willing to cooperate further with the town councils to implement the FLTS in other informal settlements and thus contribute to the nationwide rollout (FGD\_4).

However, one risk was identified and discussed in the interviews: the availability of land, which is the main challenge with regard to formalising settlements (FGD\_3). The project partners from all levels who were interviewed pointed out that the MURD and the LAs must allocate land for the rollout of the FLTS and for informal settlers (Int\_2). The new GIZ project on sustainable urban development (ISUD) will be able to address this issue, given that the MURD is the main political partner. This also applies to another perceived risk, i.e. that the staff in the relevant administrations (MAWLR, MURD, PMU, LRO) is not sufficient in terms of number and capacities.

Overall, the evaluation team concluded that the outcome of the Second National Land Conference held in 2018 (2NLC), the establishment and effective operation of the LRO and PMU, the basic/initial capacities built and the processes introduced based on the legal framework of the FLTA and the now in-force FLTR can all be assessed as durable results of the project. Nevertheless, there is still work to be done and risks to be considered before the results of the project can be regarded as fully resilient in the long term.

Sustainability dimension 2 – durability of results – therefore scores **38 out of 50 points**.

Table 8: Rating of OECD/DAC criterion: sustainability

Criterion	Assessment dimension	Score and rating
<b>Sustainability</b>	Results are anchored in (partner) structures.	30 out of 50 points
	Results of the project are permanent, stable and long-term resilient.	38 out of 50 points
<b>Sustainability score and rating</b>		Score: <b>68 out of 100 points</b> Rating: moderately successful

## 4.7 Key results and overall rating

### Key results regarding relevance

The project's design and intervention logic as outlined in the project documents (proposal, progress reports) were in line with relevant international and national (Namibian) strategic frames of reference and aimed to contribute to the implementation of these frameworks, supplementary to partner efforts. The project partners stressed in their interviews that the SLR project was well in line with the Namibian government's Vision 2030 and the UN's SDGs, and brought modernity, improvements in livelihoods and services, and built modern and inclusive societies, which would have been difficult without GIZ support. The project matched the needs of the

target groups very well, particularly the dwellers in informal settlements. Evidence that it reached disadvantaged groups other than women, however, was low.

The project objectives were realistic and its design was appropriate. The focus on the FLTS was right, with relevant interviewees expressing their view that the system has the potential to provide security of tenure for poor people in urban areas. The limited ability to influence the political and administrative processes necessary to adopt the FLTR was not considered a risk. Consequently, there were delays caused by slow or lack of political decision-making, particularly regarding the approval of the FLTR.

The evaluators concluded that the project design was followed. The project reacted adaptively to challenges and changes in cooperation with the main partner (the MLR) and, by doing so, reinforced the multi-stakeholder approach. The project played an essential role in the re-adaptation of the overall strategy of German international cooperation in the field of land reform. Changes necessitated by the COVID-19 pandemic were appropriately managed.

### Key results regarding effectiveness

The project did not fully achieve the objectives at the outcome level on time and in accordance with the respective indicators. In particular, no land titles were issued before March 2020. However, the evaluators considered there was a good chance of reaching at least 80% of the goal of 2,000 land-hold titles issued by the close of the project at the end of the year. Overall, it was assessed that, by the end of 2020, the project outcome would be achieved 100% in the case of objective indicator 1, 80% in the case of indicators 2 and 3, and 90% in the case of objective indicator 4. Three hypotheses were selected that, according to the project team and the main project partners, reflect the main assumptions and the most relevant processes in respect of effectiveness.

Table 9: Selected results hypotheses for effectiveness

<b>Hypothesis H-4:</b> <b>By providing financial and technical support to the FLTS Project Management Unit (PMU), the project enabled the partner ministry to improve the general conditions for piloting the FLTS.</b>	Activity – output – outcome: Financial and technical support to the FLTS Project Management Unit (PMU) – improvement of the institutional framework for implementing land reform, particularly the FLTS – policies and strategies approved, rolled out nationwide
<b>Reference indicators according to the results model</b>	O-I-A2
<b>Risks/unintended effects</b>	Dependence on decisions and processes that could only marginally be influenced by the project – staffing of the PMU not in accordance with the agreements, but readiness for nationwide rollout ensured
<b>Verified?</b>	Yes

<b>Hypothesis H-5:</b> <b>By developing process and guidance documents, the project enabled the pilot local authorities to implement the FLTS in pilot settlements.</b>	Activity – output – outcome: Support to local authorities, process development, preparation of guidance documents, leading the consultation process within the ministry – improving the capacities of the local authorities to implement the FLTS – a pre-condition for issuing starter or land-hold titles to 2,000 households in four towns
<b>Reference indicators according to the results model</b>	O-I-B1
<b>Risks/unintended effects</b>	Hypothesis was the basis for the CD strategy, needed to be adjusted in accordance with partner request; Solution: focal points ( - counterparts in LA)
<b>Verified?</b>	Yes

<b>Hypothesis H-6:</b> <b>By raising awareness and building capacities, the project supported the participation of residents in the pilot settlements in implementing the FLTS</b>	Activity – output – outcome: Awareness-raising among and capacity-building of residents of the pilot settlements – increased capacities of the urban informal settlers to participate in implementing the FLTS – issuing of starter or land-hold titles – policies and strategies approved, rolled out nationwide
<b>Reference indicators according to the results model</b>	O-I-C1, O-I-C2
<b>Risks/unintended effects</b>	None
<b>Verified?</b>	Yes

The evaluators concluded that the project's agreed outcome was achieved or would largely be achieved by the end of the extended project term. Further, they concluded that most of the planned activities were successfully carried out and most of the outputs (measured against the indicators) were achieved. Lack of political decision-making on the partner side (adoption of the FLTR) and the effects of the COVID-19 pandemic were the main reasons why outputs could only be achieved by the end of 2020. A small number of outputs could not be achieved because the required activities were not implemented, owing to a lack of interest by the partner. The activities implemented and outputs achieved contributed substantially to achieving the intended outcome of the project.

### Key results regarding impact

The intended results at the level of overarching results, as described in the ToC, occurred or their achievement was plausible: interviewees from all stakeholder groups confirmed that the provision of security of tenure is contributing to improved housing and livelihoods, and, subsequently to alleviating poverty in the long term. The results achieved were in line with hypothesis 1 of the ToC.

Table 10: Selected results hypotheses for impact

<b>Hypothesis H-1:</b> <b>The project's support to the Ministry of Land Reform in establishing an institutional framework for the implementation of the FLTS has led to improved access to land for landless households, with particular consideration for women and young people</b>	Output/outcome – impact: Support to MLR – improvement of an institutional framework for the implementation of land reform, in particular the Flexible Land Tenure System (FLTS) – strategies and policies developed and piloted – approval and nationwide rollout – improved the access to land – long-term impact in terms of improved housing and livelihoods, and, subsequently, reduced poverty
<b>Reference indicators according to the results model</b>	M-I-1, M-I-3
<b>Risks/unintended effects</b>	Dependence on institutions, people and processes very high, the project had to 'wait' for the regulations to be passed – resulted in a delay, but once the regulations were approved, implementation speeded up
<b>Verified?</b>	Yes

The target groups were reached; however, marginalised groups were not addressed to the degree foreseen in the project proposal.



<b>Hypothesis H-2:</b> <b>The project contributed to improving the capacities of the local authorities to implement the FLTS, thus allowing starter or land-hold titles to be issued to 2,000 households in four towns and leading to the nationwide rollout of the FLTS</b>	Output/outcome – impact: Improved capacities of the local authorities – creation of pre-conditions for implementing the FLTS in terms of processes with the MLR/other ministries and authorities, as well as with residents of informal settlements, documentation (legal), guidelines, etc. – starter or land-hold titles issued to 2,000 households in four towns – nationwide rollout of the FLTS – access to land
<b>Reference indicators according to the results model</b>	M-I-2
<b>Risks/unintended effects</b>	Dependence on processes outside the system boundary (willingness of the ministry to cooperate in capacity development in line with the GIZ-approach) – CD measures implemented by the ministry ...
<b>Verified?</b>	Yes, after the pilots there will be a nationwide rollout (supported through a new GIZ-project)

This hypothesis is, in principle, verified, but owing to the delay in project implementation, the nationwide rollout of the FLTS will only take place as part of the new GIZ-project (ISUD). Furthermore, the capacity development measures could only be carried out via the ministry and not directly by the project. Partner organisations at national and local levels stated that the SLR had contributed to building capacity and made it possible to implement the FLTS in the pilot areas. The quality of the CD measures implemented by the project was rated as highly satisfactory.

<b>Hypothesis H-3:</b> <b>By supporting the analysis of the pilot process, the project has contributed to improving access to secure tenure for low-income urban households through the establishment of a strategy guiding the nationwide rollout of the FLTS</b>	Output/outcome – impact: Ensuring the successful pilot process – acceptance/approval of the strategy for the nationwide rollout of the FLTS – improved access to secure tenure for low-income urban households
<b>Reference indicators according to the results model</b>	M-I-3, O-I-A4
<b>Risks/unintended effects</b>	Delay of piloting process due to political and administrative reasons (late approval of the FLTR), effects of the COVID-19 pandemic
<b>Verified</b>	Yes – with reservations

The evaluators felt it was plausible that the outcome would contribute to the overarching development results. The ToC hypotheses 2 and 3 can be verified – with the caveat that, owing to the delays in piloting the FLTS, the analysis of the pilot process could not be carried out and the nationwide rollout could therefore only start in the context of the new GIZ-project on urban development. However, the partners, including the final beneficiaries, were convinced that the impacts in the sense of the ToC will materialise, and their confidence is based on how well-prepared the pilots were and the early experiences in the pilot areas.

**Key results regarding efficiency**

The evaluation concluded that the cost-output ratio within the project was mostly positive and that distribution among the outputs matched the relative weight of their contribution to attaining the project objective. In comparison to potential alternatives, the evaluation team concluded that the actual use of resources was efficient. The evaluators deducted a point because cooperation with the MURD could have been more efficiently leveraged by the project.

**Key results regarding sustainability**

The evaluation concluded that the project results can be assumed to be sustainable to a certain degree, because they are sufficiently anchored in the partner structures and will continue to be used and further developed by the target group and implementing partners. However, partners stressed that continued support in various areas (training of staff, particularly in the PMU and LRO, and working with the MURD on the provision of land, integrated planning, capacity development, awareness-raising and technical issues to do with the nationwide rollout of the FLTS) is necessary to ensure sustainability. In this respect, the evaluators noted that the new GIZ-project on Inclusive and Sustainable Urban Development (ISUD) will provide the requested support and link the FLTS to urban development/town planning in Namibia, as well as ensuring the necessary cooperation with the MURD. The capacity development measures were implemented such that their sustainability can be assumed; the relevant partner institutions are committed, but more input is necessary to ensure sustainability. Lessons learned were documented.

The outcome of the 2NLC, the establishment and effective operation of the LRO and PMU, the capacities built and the processes introduced based on the legal framework of the FLTA and the now in-force FLTR can all be assessed as durable and stable results of the project. Nevertheless, the evaluation found that there is still work to be done and risks to be considered before the results of the project can be regarded as fully resilient in the long term.

Table 11: Overall rating of OECD/DAC criteria and assessment dimensions

Criterion	Score	Rating
Relevance	92 out of 100 points	Level 1 = highly successful
Effectiveness	79 out of 100 points	Level 3 = moderately successful
Impact	80 out of 100 points	Level 3 = moderately successful
Efficiency	98 out of 100 points	Level 1 = highly successful
Sustainability	68 out of 100 points	Level 3 = moderately successful
Mean score and overall rating	83 out of 100 points	Level 2 = successful

Table 12: 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

This chapter explains the external factors that contributed to the successes or failures of the project, and the management of the project in terms of the quality of its implementation.

### 5.1 Key findings and factors of success/failure

#### External factors

The evaluation team considered some external factors, i.e. that were beyond the project's immediate range of responsibility and that, initially, challenged project implementation. At the start of the project, little political attention was paid to urban land reform in Namibia. However, by the time of the 2<sup>nd</sup> National Land Conference (2NLC) in October 2018 and the resolutions that flowed from it, this had changed. Crucially, the political support changed to the provision of secure tenure to low-income people and to using the FLTS as the tool to deliver that. Furthermore, it brought much needed high-level political pressure to bear on the implementing institution (the MAWLR). The local elections due to be held in November 2020 (after this evaluation was conducted) were putting additional pressure on government at national and local levels, and were being seen as a strong incentive for local authorities to accelerate the process of issuing titles (LAs do not issue titles themselves, but they are responsible for the bulk of the preparatory activities in that regard). The pressure was being felt particularly by the MLR, which, since the 2NLC, had been under significant pressure from the Office of the Prime Minister (FGD\_3). Because of the withdrawal of one of the pilot areas in Windhoek it was not certain that the target number of 2,000 titles would be issued by the end of the extended project period (Int\_18). However, the number issued in the period between this evaluation and the end of 2020 (when the project concluded) was expected to be significantly higher compared to the number issued to date, owing to increased political pressure (FGD\_3) but also, mainly, because processes in the pilot areas had, at the time of the evaluation, progressed to the extent that registration by the LRO was imminent. The evaluation team found that the importance of the political process and support had initially been underestimated as a risk factor for the success of FLTS implementation.

Another external factor that had not been considered in the project design but that severely affected project implementation was the challenge of cooperating with the MAWLR as the partner ministry in charge of implementing the FLTS (FGD\_6; Int\_3,16). This challenge arose despite the fact that the ministry had supported and approved the project design in the preparation and appraisal phases (FGD\_16; Int\_15). According to interviewees and participants in focus group discussions, the fluctuations in leadership personnel within the ministry and their impact on steering and cooperation meant differences in approach on a working level could not easily be resolved. The project team believed that this contributed to an inability to accomplish pertinent activities required to achieve the target of issuing 2,000 titles.

#### Management of the project (quality of implementation)

##### Overall management set-up

The project design was considered appropriate by the evaluators. It reflected the project's size and its resources. The evaluation showed that the implementation structure suited the actual requirements completely. Some amendments had been made to the personnel plan at the beginning of the implementation phase to better meet the requirements in terms of technical expertise and advisory services.

The evaluators felt that the project was managed sufficiently well to implement it as planned under the general conditions that existed. Above all, flexibility and conflict management were required to achieve the jointly-set goals through an adaptive approach to the work. The project was managed in a way that balanced the interests

of the difficult partner and those of the other stakeholders in the development of the FLTS. The involvement of non-state actors and the work at the local level were further strengths of the management approach.

The project managed to establish and maintain working relations with the two relevant partner ministries (the MLR/MAWLR and MURD). At the same time, it increasingly involved other stakeholders, in particular the NUST, NGOs and the local authorities. This 'stepped-up' multi-stakeholder approach was managed with the same managerial set-up.

The project had to initiate and communicate the change in orientation of German international cooperation in the field of land reform in Namibia to greater consideration of urban land reform. This included preparing for a change of political partner without compromising cooperation with the current partner. This was managed very well by the project team.

### **Quality assurance**

Quality was generally assured through extensive preparation and training of the project team in Capacity WORKS (the GIZ management model for sustainable development). The standard tools in the model were adapted or further developed to meet the specific needs of the project. All project documentation was of high quality and publications corresponded to GIZ's high standards. A monitoring and evaluation (M&E) system in the form of Excel spreadsheets was in place to monitor results and progress on activities. The system was managed by GIZ project staff.

### **Cooperation management**

The steering structure of the project was rather slight, having been modified after the initial implementation phase. Cooperation with political partners was challenging, but it was successfully handled. New partnerships were prepared and entered into without compromising cooperation in either the project under evaluation or future projects. A multi-stakeholder approach was developed and implemented by involving relevant non-state actors in implementation that were not explicitly included in the original design.

There was no cooperation with other international donors or organisations, as none are working in the field of land reform in Namibia. Where opportunities arose and prospects for results could be expected, however, cooperative relationships were entered into – for example, with UN-Habitat.

The cooperation with non-governmental stakeholders can certainly be highlighted as positive. During the evaluation mission, all cooperation partners interviewed were highly satisfied with their cooperation with the project (Int\_7, 6, 14; FGD\_1, 7). These partners represent a broad spectrum of private town-planning offices, local NGOs, an academic institution and an international NGO.

The capacity development strategy and cooperation structures successfully fostered learning and innovation. Cooperation with practically all relevant academic institutions in the field of land use and urban planning helped initiate learning processes.

Training of relevant ministries, the Land Rights Office, local authorities and communities was a significant element of the project. However, evaluators found that while a good deal of training had been provided, more was needed for the project design to have been implemented successfully. Communication and management between community members and local authorities in some of the pilot areas could be more effective, and capacities for the maintenance and operation of the IT system for land-title registration have yet to be developed.

## Success factors

A key success factor in the implementation of the SLR project was flexibility. The 'adaptive approach' to addressing the above-mentioned external factors was decisive for the project to progress and achieve its objectives to the highest degree possible.

The involvement of stakeholders in a multi-stakeholder approach, which was further developed in the course of project implementation, was another definite success factor. Through cooperation with strong regional (international) and local NGOs and other stakeholders, who can be regarded as multipliers, the topic, content and approaches for implementation in practice were able to be widely communicated.

Project activities in the highly politicised and sensitive area of land reform were firmly based on academic advice and evidence. In the field of capacity development, especially, the cooperation with NUST proved to be a success, because it contributed considerably to the quality and acceptance of the CD measures. The scientific findings generated as a result of project activities were able to be transformed from theory into practice – and, from there, from the national to the local level.

The open and proactive attitude towards digitalisation in project implementation and partner systems was another success factor.

## Conclusions

Based on the interviews and focus group discussions conducted by the evaluation team during the evaluation mission, the following conclusions can be drawn:

When the project began, the institutional framework to implement the planned activities was not fully in place. Moreover, the project faced challenges in communicating and cooperating with the MLR/MAWLR to the extent that project activities and progress were affected. The project managed to apply a flexible approach in implementation, with a lot of preparatory work, capacity-building and additional stakeholder involvement. Project implementation gained speed once the institutional framework was complete (i.e. the FLTR were approved) and the positions at the LRO were filled. However, some people resigned after a short period in their role and, at the time of writing this evaluation report, not all the vacant positions had been filled. The delay caused by these external factors, which were not sufficiently recognised as risks, caused knock-on delays.

In general, the project design was determined by a high degree of partner orientation, which, on the one hand, was right and desirable, but, on the other, had the potential to cause problems and risks for project implementation, i.e. if the partner orientation leads to dependency on the partner. It took the project (management) a lot of energy to overcome the negative effects of too high a degree of dependency on individual partners.

The project took the right approach in counteracting the issues by involving more diverse partners at all administrative levels (and thus applying the multi-stakeholder approach, as required in German international cooperation).

Owing to the aforementioned delays in the start-up phase, several issues to do with implementing the FLTS had not, at the time of the evaluation, been addressed. This led to certain pressure on the ISUD project, but also on the side of the project partners, because the final beneficiaries were expecting the FLTS to be fully rolled out and no more pilots. There is a need for substantial follow-up and support to ensure progress is made on implementing the FLTS and providing land rights to residents in informal settlements beyond the pilot projects.

Implementing bodies, such as the MAWLR, LRO, LAs and the final beneficiaries (the communities), have received training and support from the project. However, they are not yet considered to be sufficiently skilled and knowledgeable to manage the nationwide rollout of the FLTS system independently, without additional support and assistance at all levels. The gradual or nationwide rollout of the FLTS requires a substantial number of well-trained staff at the MAWLR, who can train local and regional authorities and communities on the implementation and staff at the LRO to register land rights on a larger scale. This human-resource capacity and capability are not yet available within MAWLR to progress with the decentralisation of the registration function. There is still a significant need for GIZ support to the LRO and for capacity development and decentralisation of institutional processes. At the level of the LAs, more skills are needed in the fields of land-use planning and surveying.

The project's approach to digitalisation, meaning the use of digital tools in implementing the FLTS, as well as the support provided to the partners in digitalising their administrative processes, was welcomed by the partners and contributed to the project's success.

## **5.2 Recommendations**

### **GIZ structures in Namibia and GIZ sectoral unit**

Based on the results and findings of this evaluation, the project design has the full potential to alleviate poverty within the marginalised communities and thus contribute to the achievement of the Sustainable Development Goals (SDGs), and it enhances the sustainability of the project overall. It is recommended that GIZ should continue to support the decentralisation of the registration of land rights in the FLTS and the nationwide rollout. In particular, as the Flexible Land Tenure Act and its regulations have been fully passed in parliament, GIZ should continue to assist in relation to amendments to the Act and remedy any shortcomings in the Act and regulations (the project partners indicated that there is a certain expectation in this regard, as the project did not fully complete the planned tasks).

Several recommendations regarding further implementation of the project were suggested by the stakeholders during the evaluation mission. The Flexible Land Tenure System addresses the availability of land to the people (which alleviates poverty); therefore, GIZ should continue providing both technical and financial support to the local custodians of the project – in particular, the aspects relating to the Flexible Land Tenure System – through constant stakeholder engagement. Stakeholders also recommend that training and development continue to be provided by GIZ, with more emphasis on local authorities in the areas in which the project is being conducted. The government does not have the capacity to train its staff in the use and management of the current system, so it relies significantly on extra resources provided by GIZ.

### **New GIZ project**

Technically, there is no follow-on project to SLR V, but a related three-year project started in May 2020. This new Inclusive and Sustainable Urban Development (ISUD) project encompasses a broader approach to improving the living and housing conditions for residents in informal settlements. It acknowledges security of tenure as the foundation for improved living and housing conditions, and development in a broader context, and the FLTS constitutes one of the four output areas. Although the MURD is the main partner organisation in this project, the MAWLR remains a collaborative partner ministry.

It is recommended that the ISUD continues with the processes successfully initiated by SLR V by:



- addressing the capacity development needs in the MAWLR, LRO, PMU and at the level of the LAs in relation to preparing and managing the nationwide rollout of the FLTS;
- continuing to assist the Deeds Registration Office in digitalising its services; and
- further developing the use of digital tools in the FLTS and use of the digital administrative processes introduced, taking into account the stated need for more capacity development in terms of the IT involved in FLTS administration.

When handing over the IT system for the registration of the land-hold titles to the ministry, it should be ensured there are no gaps in capacity in relation to maintaining the IT system and providing technical support to its users. It is recommended that local consultants be trained to be able to take over these tasks before the transfer of the system to the partners.

Reflecting the reactions and statements of interviewees other than representatives of the MAWLR, the evaluators recommend that the capacity development measures should be implemented directly by the project, including preparation of measures, drafting of terms of reference for procurement, supervision of contractors implementing the CD measures, and monitoring and evaluation.

In terms of land use and town planning and surveying, more local surveyors should be trained in the use of the new software for conducting surveys and on other related equipment required to implement the project.

#### **GIZ Headquarter**

Although the flexibility of the project in reacting to changes in the general conditions is to be applauded, it must, at the same time, be criticised over the fact that the alternative approaches and solutions to implementing the outputs (in particular, Output D) were not subject to an 'official' change order or a similar written agreement with BMZ.

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## Annex

### Annex 1 : Impressions and pictures by the evaluation team

#### Impressions

The following pictures were taken during field visits to the informal settlements in Windhoek, Gobabis and Oshakati, where the pilots were carried out. In order to meet as many of the inhabitants as possible, the visits took place at weekends. Focus group discussions with the settlers, as well as individual interviews, were conducted. The representatives of the local authorities were met during working hours in their administrations' offices.



Playground in Onyika settlement in Windhoek.  
Source: Evaluation team



Focus group discussion with Onyika community members in Windhoek – respecting the safety measures required to prevent the spread of COVID-19.  
Source: Evaluation team



Proud owner and construction workers in front of a house under construction in the Freedom Square settlement in Gobabis.  
Source: Evaluation team





Demarcation of units or plots, Onawa settlement, Oshakati.  
Source: Evaluation team



Access and internal roads within Onawa settlement.  
Source: Evaluation team



Overview of Onawa settlement.  
Source: Evaluation team

## Annex 2: 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 concept (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))	The project takes into account the most recent international and national conventions and frameworks for land reform and land use planning.	Semi-structured interviews, analysis of strategic documents as identified in the inception mission (chapter 3.1), project monitoring system for internal analysis frameworks - above all safeguards and gender	Interviews with strategic partners (political partners, academic partners, relevant administrations), basic documents as listed in chapter 3.1 of the Inception report, other documents identified in the course of the inception phase (also listed under 3.1 of the Inception Report), data of the project monitoring system for internal analysis frameworks - above all safeguards and gender	strong
	Standard	To what extent is the project concept in line with the relevant strategic reference frameworks?	The project concept is in line with the relevant strategic reference frameworks	See above	See above	good
	Standard	To what extent are the interactions (synergies/trade-offs) of the intervention with other sectors reflected in the project concept – also regarding the sustainability dimensions (ecological, economic and social)?	Land reform, urban development and (integrated) land use planning as interdisciplinary activities have explored relevant interactions between the sectors	see above, plus national sector strategies relevant for integrated planning, Environment and Climate Assessment	See above	moderate
	Standard	To what extent is the project concept in line with the Development Cooperation (DC) programme (if applicable), the BMZ country strategy and BMZ sectoral concepts?	The project concept is in line with the DC programme Natural Resources Management in Namibia, the BMZ country strategy and BMZ sectoral concepts.	see above, plus documentation of BMZ, GIZ (programme document, offers ...)	See above, plus representatives of BMZ, GIZ HQ, former AVs	good
	Standard	To what extent is the project concept in line with the (national) objectives of the 2030 agenda? To which Sustainable Development Goals (SDG) is the project supposed to contribute?	The project concept is in line with the Namibian objectives of the 2030 agenda and contributes to the SDGs, in particular SDG 1	Documents and interviews on SDG-implementation strategies of Namibia, monitoring data (if applicable) with political partners and staff of administrations (Ministries and municipalities)	SDG-implementation strategies of Namibia, monitoring data (if applicable), project monitoring data	good



	Standard	To what extent is the project concept subsidiary to partner efforts or efforts of other relevant organisations (subsidiarity and complementarity)?	The project concept is subsidiary or complementary to partner efforts or efforts of other relevant organisations.	Mainly semi-structured interviews	See above, plus donor coordination documentation: documentation and interviews with NGOs, donors	moderate
<p>The project concept (1) matches the needs of the target group(s).</p> <p>Max. 30 points</p>	Standard	To what extent is the chosen project concept geared to the core problems and needs of the target group(s)?	The chosen project concept is geared to the core problems and needs of the target group(s).	Semi-structured interviews and focus group discussions with main partners, academia, NGOs, local administrations, urban informal settlers with special emphasis on women and the youth	Interviews / discussions with main partners, academia, NGOs, local administrations, urban informal settlers with special emphasis on women and the youth	good
	Standard	How are the different perspectives, needs and concerns of women and men represented in the project concept?	The different perspectives, needs and concerns of women and men are appropriately represented in the project concept.	See above	See above	moderate
	Standard	To what extent was the project concept designed to reach particularly disadvantaged groups (LNOB principle, as foreseen in the Agenda 2030)? How were identified risks and potentials for human rights and gender aspects included into the project concept?	The project concept is designed to reach particularly disadvantaged groups as foreseen in the Agenda 2030 (LNOB) - focus on women, youth, orphans - and the identified risks and potentials for human rights and gender aspects are included into the project concept.	See above, with particular focus on women, youth, orphans	See above	good
	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)?	The intended impacts are realistic from today's perspective and the given resources in terms of time, financial, partner capacities.	Semi-structured interviews, project documentation, monitoring data of the project and - if possible - of the partners	Semi-structured interviews with project management, partners, advisors, academic partners, NGOs, project documentation, monitoring data of the project and - if possible - of the partners	strong

<p>The project concept (1) is adequately designed to achieve the chosen project objective.</p> <p>Max. 20 points</p>	Standard	<p>Assessment of current results model and results hypotheses (theory of change, ToC) of actual project logic:</p> <ul style="list-style-type: none"> <li>- To what extent is the project objective realistic from today's perspective and the given resources (time, financial, partner capacities)?</li> <li>- To what extent are the activities, instruments and outputs adequately designed to achieve the project objective?</li> <li>- To what extent are the underlying results hypotheses of the project plausible?</li> <li>- To what extent is the chosen system boundary (sphere of responsibility) of the project (including partner) clearly defined and plausible?</li> <li>- Are potential influences of other donors/organisations outside of the project's sphere of responsibility adequately considered?</li> <li>- To what extent are the assumptions and risks for the project complete and plausible?</li> </ul>	<p>The activities, instruments and outputs are adequately designed to achieve the project objective. The underlying results hypotheses of the project are plausible. The chosen system boundary (sphere of responsibility) of the project (including partner) is clearly defined and plausible. The potential influences of other donors/organisations outside of the project's sphere of responsibility are adequately considered. The assumptions and risks for the project are complete and plausible.</p>	Focus group discussions, workshop (contradiction analysis, ToC), semi-structured interviews with hypotheses	Workshop with project management on contribution analysis, focus group discussions and semi-structured interviews with partners, advisors, academic partners, NGOs, project documentation, monitoring data of the project and - if possible - of the partners	strong
	Standard	To what extent does the strategic orientation of the project address potential changes in its framework conditions?	The strategic orientation of the project addresses changes in its framework conditions.	Semi-structured interviews, analysis of project documentation, monitoring data	Interviews with project staff (management, monitoring) and main partners, analysis of monitoring data,	moderate
	Standard	How is/was the complexity of the framework conditions and guidelines handled? How is/was any possible overloading dealt with and strategically focused?	The complexity of the framework conditions and guidelines is handled adequately, any possible overloading was dealt with.	Mainly interviews, observations	Interviews with programme and project management, former AV, political and main implementation partners	strong
<p>The project concept (1) was adapted to changes in line with requirements and re-adapted where applicable.</p> <p>Max. 20 points</p>	Standard	What changes have occurred during project implementation? (e.g. local, national, international, sectoral, including state of the art of sectoral know-how)?	The changes which occurred during project implementation are described.	See above	See above	moderate
	Standard	How were the changes dealt with regarding the project concept?	The changes regarding the project concept were appropriately handled.	See above, plus analysis of progress reports	See above, plus progress reports	moderate

- (1) The 'project concept' encompasses project objective and theory of change (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) Theory of Change = 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 behavior. 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 behavior. 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.
- (6) 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/sub-objective?

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?	The outcome has been achieved. There are no additional indicators needed.	Semi-structured interviews, focus group discussions, workshop,	Result matrix, progress reports, semi-structured interviews and focus group discussions with project partners, workshop on ToC/hypotheses with project staff	good
	Standard	To what extent is it foreseeable that unachieved aspects of the project objective will be achieved during the current project term?	All aspects of the project objective will be achieved during the current project term	See above	See above	good
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?	The outputs have been achieved. There are no additional indicators needed.	Analysis and discussion in focus groups of the results matrix, progress reports, monitoring data, semi-structured interviews	Results matrix, progress reports, monitoring data; statements of interview partners and participants in focus group discussions, evaluators' observations	strong
	Standard	How does the project contribute via activities, instruments and outputs to the achievement of the project objective (outcome)? (contribution-analysis approach)	The activities, instruments and outputs are successfully contributing to achieving the outcome.	See above	See above	strong
	Standard	Implementation strategy: Which factors in the implementation contribute successfully to or hinder the achievement of the project objective? (e.g. external factors, managerial setup of project and company, cooperation management)	Success factors are identified. Obstacles to project implementations are identified.	See above	See above	moderate
	Standard	What other/alternative factors contributed to the fact that the project objective was achieved or not achieved?	Other factors - if any - are identified.	See above	See above	good

	Standard	What would have happened without the project?	No value added in creating a counter-factual situation (results of the project in terms of effectiveness are not sufficiently tangible); see impact criterion	n.a.	n.a.	good
<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?	Unintended negative factors as well as formally not agreed positive results are identified at outcome and output levels are identified and explained.	Analysis and discussion in focus groups of the risk analyses, results matrix, progress reports, monitoring data, semi-structured interviews	Risk analyses in project documents, results matrix, progress reports, monitoring data; statements of interview partners and participants in focus group discussions, evaluators' observations	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?	Risks regarding unintended negative results at the output and outcome level were correctly assessed in the monitoring system.	See above	See above	good
	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?	The measures taken by the project to counteract the risks were adequate.	See above	See above	moderate
	Standard	To what extent were potential (not formally agreed) positive results at outcome level monitored and exploited?	Unintended positive results at outcome level were monitored and exploited in an effective way.	See above	See above	moderate

(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 behavior. 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 behavior. 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/sub-objective?

(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 2030 Agenda, SDGs)? Which of these intended results at the impact level can be observed or are plausible to be achieved in the future?	The project contributed to the programme and project objectives, to achievement of the Namibian Strategies related to the Land Reform. These intended results at the level of overarching results can be observed or are plausible to be achieved as described in the ToC/ results hypotheses	Analysis and discussion in focus groups of the ToC, results matrix, progress reports, monitoring data, semi-structured interviews	Programme and project documents (offers, progress reports), monitoring data	moderate
	Standard	Indirect target group and 'Leave No One Behind' (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 HIV/AIDS and the poorest of the poor) been reached?	The results achieved are in line with the hypothesis and ToC, the target groups were reached. Marginalised groups were reached to the degree foreseen in the offer.	Workshop on ToC, focus group discussion, semi-structured interviews	Workshop on ToC with project staff, focus group discussion with representatives of the partner (administrations), NGOs., semi-structured interviews particularly with local authorities and settlers in the pilot regions	good
<p>The project objective (outcome) of the project contributed to the occurred or foreseen overarching development results (impact).(1)</p> <p>Max. 30 points</p>	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)	It is fully plausible that the project's results contribute to the programme objective.	See above	See above	good
	Standard	What are the alternative explanations/factors for the overarching development results observed? (e.g. the activities of other stakeholders, other policies)	Factors out of the project's reach (system boundary) are identified and described.	See above	See above	moderate
	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?	The way the impact of the project has been (positively or negatively) influenced by framework conditions, other policy areas, strategies or interests (German ministries, bilateral and multilateral development partners) is analysed and described. The consequences of the project led to appropriate mitigation measures.	See above	See above, plus BMZ / GIZ representatives	good
	Standard	What would have happened without the project?	The results would not have been achieved without the project.	See above	See above, also former AVs	good

	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?	The project made an active and systematic contribution to widespread impact.	See above	Workshop on ToC with project staff, focus group discussion with representatives of the partner (administrations), NGOs, semi-structured interviews particularly with local authorities and settlers in the pilot regions	good
<p>No project-related (unintended) negative results at impact level have occurred – and if any negative results occurred the project responded adequately.</p> <p>The occurrence of additional (not formally agreed) positive results at impact level has been monitored and additional opportunities for further positive results have been seized.</p> <p>Max. 30 points</p>	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 the Agenda 2030)? Were positive synergies between the three dimensions exploited?	Positive or negative unintended results at impact level were observed and adequately responded to.	Analysis and discussion in focus groups of the ToC, results matrix, progress reports, monitoring data, semi-structured interviews; Project documentation (list of documents in chapter 3.1 of the inception report), monitoring and progress reports	Project documentation (list of documents in chapter 3.1 of the inception report), monitoring and progress reports; Semi-structured interviews with project staff, focus group discussion with representatives of the partner (national administrations), NGOs, particularly with local authorities and settlers in the pilot regions	good
	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?	Risks regarding unintended negative results at the impact level were correctly assessed in the monitoring system.	Analysis of monitoring data, semi-structured interviews	Monitoring documentation and responsible project staff, project management, former AV	good
	Standard	What measures have been taken by the project to avoid and counteract the risks/negative results/trade-offs (3)?	The measures taken by the project to avoid and counteract the risks/negative results/trade-offs are appropriate.	Semi-structured interviews	Project management, AV and monitoring staff	moderate
	Standard	To what extent have the framework conditions played a role in regard to the negative results? How did the project react to this?	only applicable if there were negative results - these could not be identified in the course of the inception phase	n.a.	n.a.	moderate
	Standard	To what extent were potential (not formally agreed) positive results and potential synergies between the ecological, economic and social dimensions monitored and exploited?	Potential unintended positive results and potential synergies between the ecological, economic and social dimensions were monitored and exploited by the project.	Semi-structured interviews	Project management, AV and monitoring staff	moderate

- (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 categorized 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 (pilot phase for indicators - only available in German so far)	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's use of resources is appropriate with regard to the outputs achieved.</p> <p>[Production efficiency: Resources/Outputs]</p> <p>Max. 70 points</p>	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.	Semi-structured interviews, analysis of financial and monitoring documentation of the project, focus group discussion	Monitoring data, "Kosten-Obligo-Bericht", Contracts, details on personal costs provided by the AV / Financial Officer, calculations of the Efficiency Tool	good
	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.	Semi-structured interviews, analysis of financial and monitoring documentation of the project, focus group discussion	Monitoring data, "Kosten-Obligo-Bericht", Contracts, details on personal costs provided by the AV / Financial Officer, calculations of the Efficiency Tool	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.			moderate
	Standard		Die übergreifenden Kosten des Vorhabens stehen in einem angemessenen Verhältnis zu den Kosten für die Outputs.			moderate
	Standard		Die durch ZAS Aufschriebe erbrachten Leistungen haben einen nachvollziehbaren Mehrwert für die Erreichung der Outputs des Vorhabens.			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).	Semi-structured interviews, analysis of financial and monitoring documentation of the project, focus group discussion	Monitoring data, "Kosten-Obligo-Bericht", Contracts, details on personal costs provided by the AV / Financial Officer, calculations of the Efficiency Tool	good
	Standard		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).			



	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.	Semi-structured interviews, analysis of financial and monitoring documentation of the project, focus group discussion	Monitoring data, "Kosten-Obligo-Bericht", Contracts, details on personal costs provided by the AV / Financial Officer, calculations of the Efficiency Tool	good
	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.			good
	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.			good
	Standard		Die im Modulvorschlag beschriebenen Risiken sind hinsichtlich der veranschlagten Kosten in Bezug auf die angestrebten Outputs des Vorhabens gut nachvollziehbar.			good
	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.			good
	Standard		Der im Modulvorschlag beschriebene Ansatz des Vorhabens hinsichtlich der zu erbringenden Outputs entspricht unter den gegebenen Rahmenbedingungen dem state-of-the-art.			good
	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			moderate
	Standard					
The project's use of resources is appropriate with regard to achieving the projects objective (outcome).  [Allocation efficiency: Resources/Outcome]  Max. 30 points	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.	Semi-structured interviews, analysis of financial and monitoring documentation of the project, focus group discussion	Monitoring data, "Kosten-Obligo-Bericht", Contracts, details on personal costs provided by the AV / Financial Officer, calculations of the Efficiency Tool	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)  Oder: Das Vorhaben steuert und plant seine Ressourcen zwischen den	Semi-structured interviews, analysis of financial and monitoring documentation of the project, focus group discussion	Monitoring data, "Kosten-Obligo-Bericht", Contracts, details on personal costs provided by the AV / Financial Officer, calculations of the Efficiency Tool	moderate

			Outputs, so dass die maximalen Wirkungen im Sinne des Modulziels erreicht werden. (Zwischenevaluierung)			
	Standard		Das im Modulvorschlag vorgeschlagene Instrumentenkonzept konnte hinsichtlich der veranschlagten Kosten in Bezug auf das angestrebte Modulziel des Vorhabens gut realisiert werden.			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.			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.			moderate
	Standard		Die im Modulvorschlag beschriebenen Risiken sind hinsichtlich der veranschlagten Kosten in Bezug auf das angestrebte Modulziel des Vorhabens gut nachvollziehbar.			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.			moderate
	Standard		Der im Modulvorschlag beschriebene Ansatz des Vorhabens hinsichtlich des zu erbringenden Modulziels entspricht unter den gegebenen Rahmenbedingungen dem state-of-the-art.			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. co-financing) 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.	Semi-structured interviews, analysis of financial and monitoring documentation of the project, focus group discussion	Monitoring data, "Kosten-Obligo-Bericht", Contracts, details on personal costs provided by the AV / Financial Officer, calculations of the Efficiency Tool	moderate
	Standard		Wirtschaftlichkeitsverluste durch unzureichende Koordinierung und Komplementarität zu Interventionen anderer Geber werden ausreichend vermieden.			moderate

	Standard		Das Vorhaben unternimmt die notwendigen Schritte, um Synergien innerhalb der deutschen EZ vollständig zu realisieren.			moderate
	Standard		Wirtschaftlichkeitsverluste durch unzureichende Koordinierung und Komplementarität innerhalb der deutschen EZ werden ausreichend vermieden.			moderate
	Standard		Die Kombifinanzierung hat zu einer signifikanten Ausweitung der Wirkungen geführt bzw. diese ist zu erwarten.			moderate
	Standard		Durch die Kombifinanzierung sind die übergreifenden Kosten im Verhältnis zu den Gesamtkosten nicht überproportional gestiegen.			moderate
	Standard		Die Partnerbeiträge stehen in einem angemessenen Verhältnis zu den Kosten für die Outputs des Vorhabens.			moderate

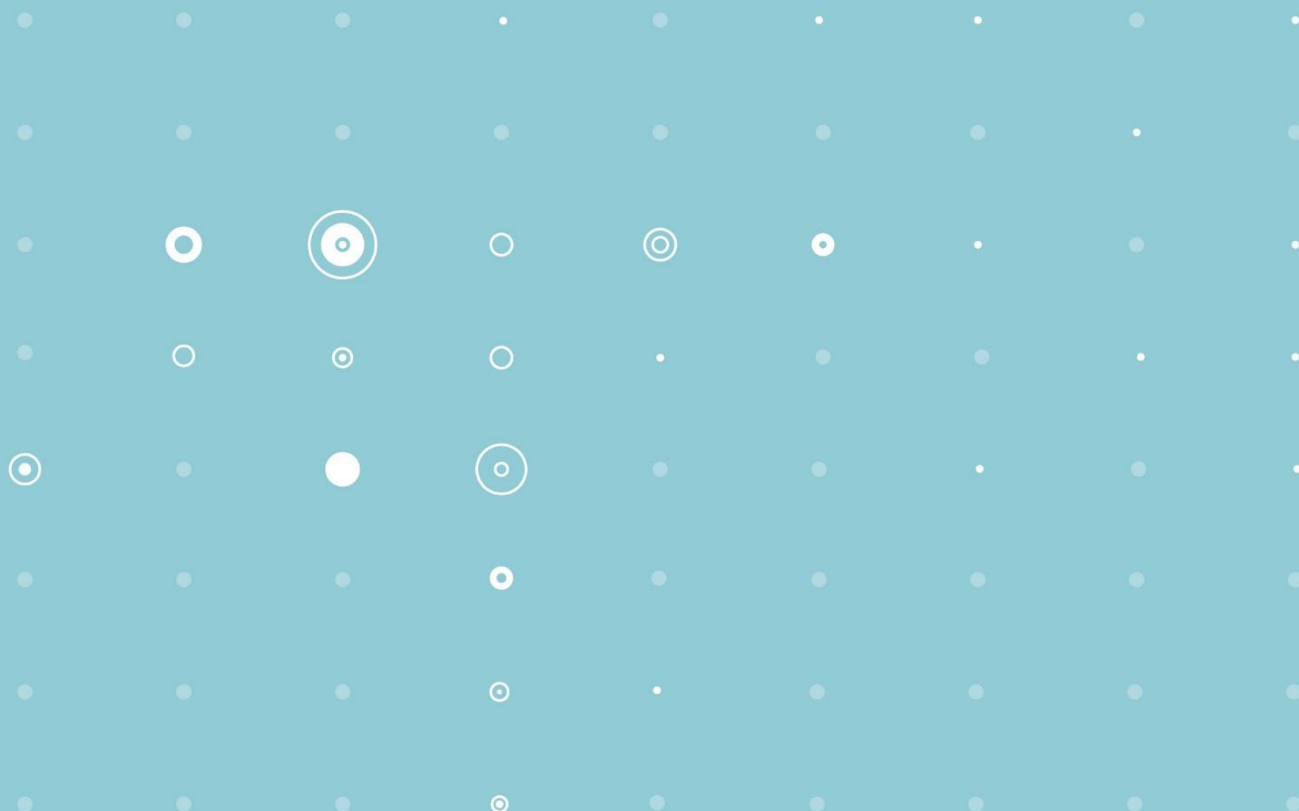
OECD-DAC Criterion SUSTAINABILITY (max. 100 points)						
Assessment dimensions	Filter - Project Type	Evaluation questions	Evaluation indicators	Data collection methods (e.g. interviews, focus group discussions, documents, project/partner monitoring system, workshop, survey, etc.)	Data sources (list 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?	The project took appropriate measures to ensure that the results can be sustained in the medium to long term by the partners themselves.	Analysis and discussion in focus groups, results matrix, progress reports, monitoring data, semi-structured interviews; Project documentation (list of documents in chapter 3.1 of the inception report), monitoring and progress reports	Results matrix, results logic, risk analyses, stakeholder map, progress and monitoring reports; interviews with political partners and main administrations/institutions	strong
	Standard	In what way are advisory contents, approaches, methods or concepts of the project anchored/institutionalised in the (partner) system?	The advisory contents, approaches, methods or concepts of the project are fully and sustainably anchored/institutionalised in the (partner) systems.	Semi-structured interviews, focus group discussions	Partners, administrations at national and local levels, academia, NGOs, settlers and their representatives	strong
	Standard	To what extent are the results continuously used and/or further developed by the target group and/or implementing partners?	It is plausible that the results will be continuously used and/or further developed by the target group and/or implementing partners.	See above	See above	good

<p>Forecast of durability: Results of the project are permanent, stable and long-term resilient.</p> <p>Max. 50 points</p>	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?	Resources and capacities at the individual, organisational or societal/political level in the partner country are fully available (longer-term) to ensure the continuation of the results achieved.	See above	See above	good
	Standard	If no follow-on measure exists: What is the project's exit strategy? How are lessons learnt for partners and GIZ prepared and documented?	The project's exit strategy is valid and realistic. Lessons learnt are prepared and documented in a way that the target group benefits after project expiry. Elements of the project will be continued in another project.	Analysis of documentation, semi-structured interviews	Project management, main political partners, administrations and academic partners	good
		To what extent was the project able to ensure that escalating factors/dividers (1) in the context of conflict, fragility and violence have not been strengthened (indirectly) by the project in the long-term? To what extent was the project able to strengthen deescalating factors/connectors (2) in a sustainable way (3)?	The project successfully ensured that escalating factors/dividers in the context of conflict, fragility and violence have not been strengthened (indirectly) by the project in the long-term. The project supported strengthening deescalating factors/connectors in a sustainable way.	See above	See above	moderate
	Standard	To what extent are the results of the project durable, stable and resilient in the long-term under the given conditions?	It is plausible that the results (outcome and impact) of the project are durable, stable and resilient in the long-term.	Semi-structured interviews, focus group discussions	Partners, administrations at national and local levels, academia, NGOs, settlers and their representatives	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?	The risks and potentials emerging for the durability of the results (outcome and impact) are known and analysed. The project took adequate mitigation measures.	See above	See above	moderate

(1) Escalating factors/ dividers: e.g. destructive institutions, structures, norms and behavior. 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 behavior. 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/sub-objective?



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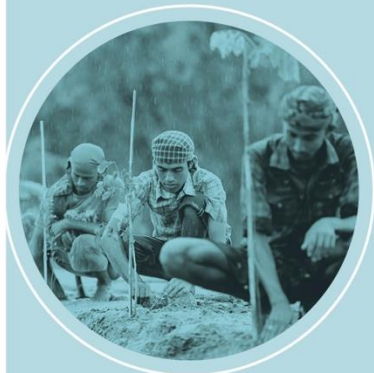
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