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Central project evaluation

Strengthening Capacities for Conflict-induced Forced Displacement in Mindanao, the Philippines

Project number 2017.4063.8

Evaluation report

On behalf of GIZ by Lukas von Petersdorff-Campen and Deanna Bandayanon (Mainlevel Consulting)

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Abbreviations

BMZ	German Federal Ministry for Economic Cooperation and Development
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH
COSERAM	Conflict-sensitive Resource and Asset Management Programme
CAPID	Strengthening Capacities for Conflict-Induced Forced Displacement in Mindanao
DILG	Department of the Interior and Local Government
DRRM	Disaster Risk Reduction and Management
IDP	Internally Displaced Person
MHPSS	Mental health and psychosocial support
NEDA	National Economic and Development Authority
OPAPP	Office of the Presidential Advisor on the Peace Process
OCD	Office of Civil Defence
RBM	Results-based monitoring
RDRRMC	Regional Disaster Risk Reduction and Management Council
SDG	Sustainable Development Goal
SMILES	Skills Mastery Institute for Learning Entrepreneurship and Success Foundation
YOUCAP	Youth for a Culture of Peace and Nonviolence in Mindanao

The project at a glance

The Philippines: Strengthening Capacities for Conflict-induced Forced Displacement in Mindanao (CAPID)

Project number	2017.4063.8
Creditor reporting system code	15220 – civilian peacebuilding, conflict prevention and resolution
Project objective	The response of regional and local government actors to situations of conflict-induced displacement in home and host communities in Caraga has improved.
Project term	October 2017 – December 2020
Project volume	EUR 3,000,000
Commissioning party	German Federal Ministry for Economic Cooperation and Development (BMZ)
Lead executing agency	Office of the Presidential Advisor on the Peace Process
Implementing organisations (in the partner country)	Department of the Interior and Local Government, Office of Civil Defence, Department of Social Welfare and Development
Target group(s)	**Direct:** Regional and local government institutions such as municipal offices of the Department of the Interior and Local Government, Regional Disaster Risk Reduction and Management Council, local disaster risk reduction and management councils, local government units in Agusan del Sur, Agusan del Norte, Surigao del Sur and Surigao del Norte. The project also directly addressed internally displaced people and members of home and host communities through dialogue formats, mental health and psychosocial support training and small-scale measures. **Indirect target group:** Internally displaced people in home and host communities in the Caraga region.

1 Evaluation objectives and questions

The evaluation unit of the Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH commissioned the independent consultancy Mainlevel Consulting AG (henceforth Mainlevel) to conduct the evaluation of the GIZ project Strengthening Capacities for Conflict-induced Forced Displacement in Mindanao, Philippines (PN 2017.4063.8) – further referred to as "the project". In this chapter, the purpose of the evaluation and stakeholders' (additional) knowledge interests, decision-making needs and accountability requirements are described.

1.1 Objectives of the evaluation

The evaluation had a threefold mission. Firstly, it aimed to provide accountability. It was a final evaluation for the project – which ended in December 2020 – and it formed part of GIZ's Central Project Evaluations (CPEs). The project was randomly selected following the guidelines of GIZ's CPEs – which stipulate that a 50% random sample is selected annually.

The main stakeholders of the evaluation and their main knowledge interests are listed below:

- **GIZ corporate unit evaluation:** As the contracting party in charge of GIZs project evaluations, the Corporate Evaluation Unit aimed to investigate the project's potential for replication in other contexts and the lessons learned in relation to the reputation of GIZ in the participating countries. It also intends to assure accountability to the public with its objective of assessing the success rate of GIZ projects.
- **Federal Ministry of Federal Ministry for Economic Cooperation and Development (BMZ):** As the donor behind implementing the project, BMZ aimed to achieve accountability towards the public (success rate of German development cooperation projects).
- **Project team:** The project team aimed to learn about best practice and successful initiatives that contribute to changing the attitudes and behaviour of stakeholders throughout the Philippines, especially in regard to future decision-making.
- **Project partners:** The official implementation partner, Office of the Presidential Advisor on the Peace Process (OPAPP) and other government agencies involved in steering committee of program – Office of Civil Defense (OCD), Department of the Interior and Local Government (DILG), National Economic and Development Authority and the Department of Social Welfare and Development. As members of the officially created steering committee of the project in 2018, these project partners were highly interested in learning what worked within the implementation and what did not work. This would enable them to make adjustments in future similar projects and receive recommendations for future policy implementation.
- **Regional and local government organisations:** The project involved members of the Regional Disaster Risk Reduction and Management Council, local disaster risk reduction and management councils and local governments units in Agusan del Sur, Agusan del Norte, Surigao del Sur and Surigao del Norte. These stakeholders were involved in planning, implementing and monitoring response to conflict-induced disasters. They were interested in learning how their experience has contributed to improving delivery of critical services to displaced communities and individuals.
- **Representatives of NGOs and other involved organisations:** These organisations have an interest in learning from the evaluation because they have been directly involved in the implementation.

Follow-on project: Although initially a top-up for the project was planned beyond 2020 and a change offer submitted to BMZ, it was never commissioned. In summer 2020, in line with the new partnerships outlined in

BMZ Reform 2030, a final decision determined that the project would not receive a top-up. However, some of its approaches will be continued and extended by other projects of the GIZ Mindanao cluster (Responsible Land Governance in Mindanao and Youth for a Culture of Peace and Nonviolence) – for example, the reflective structured dialogue approach. These projects will not be included in the OECD/DAC criteria assessment of project 2017.4063.8.

Use of results: The use of the evaluation results was two-fold. On one hand, the new evaluation system strives towards a better position to observe long-term results in regard to the sustainability and mainstreaming of approaches in the partner structures. Thus, central users of the evaluation results include GIZ as an implementing agency and BMZ as the commissioning party. On the other hand, the evaluation results are of great interest to the project team and its partner projects.

External and internal factors: The rapid spread of the Covid-19 virus heavily affected the implementation of this evaluation. The current situation in the Philippines during the planned evaluation mission prohibited the international evaluator from traveling. Even a semiremote or remote evaluation, with interviews conducted by a local consultant or by video conference, was also heavily influenced by travel restrictions across regions in Mindanao. The local evaluator was advised by the GIZ Philippines risk management officer that travel from her home in Davao City to the Caraga Region was only permitted with a 14-day quarantine in Butuan City. After some discussion the evaluation mission interviews were conducted remotely and online. In places where the internet connection did not allow for online communication, the local consultant conducted by telephone. Unfortunately, the majority of targeted local communities and internally displaced people could not be included in the evaluation due to the very remote location and bad phone connection. Secondary data was used wherever possible to ensure an independent evaluation.

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 (in German): **relevance, efficiency**, **effectiveness**, **impact** and **sustainability**.

In addition, the contributions to Agenda 2030 and its principles (universality, integrative approach, Leave No One Behind, multistakeholder partnerships) were also considered as well as cross-cutting issues such as gender, the environment, conflict sensitivity and human rights. Also, aspects regarding the quality of implementation were included in all OECD/DAC criteria. Specific evaluation dimensions and analytical questions were derived from this given framework by GIZ and form the basis for all central project evaluations.

During the inception mission the evaluation team identified one main additional knowledge interest of the project team on the sustainability of the project results. Given that BMZ did not commission the planned follow-up to the project, the project staff was interested in whether prerequisites to ensure the durability of results were established in time.

Sustainability
Further questions were raised by other relevant stakeholders from the national and local government in the Philippines as well as the responsible contacts at GIZ:

- **Sustainability:** What are alternatives for offering more support to local governments and other participants

towards strengthening the response to conflict-induced displacement after the end of GIZ's intervention?[1]

- **Sustainability:** How can the sustainability of the knowledge products (such as. guideline and handbooks) be ensured?
- **Sustainability:** To what extent did the setting with limited cooperation on the national level influence the sustainability of the programme?
- **Effectiveness/sustainability:** To what extent did the dialogue formats work and are they sustainable?
- **Sustainability:** Are the training programmes continuing after the end of the project? Were lasting changes made in the processes and structures of government organisations and NGOs?
- **Effectiveness/relevance:** Was any harm caused to other marginalised groups that were not supported by the project (Do No Harm)?
- **Relevance/impact:** How did the displacement situation change in Caraga during the period of implementation? Was the project able to retrieve more insights on the situation to date?

The evaluation questions took place within the framework of GIZ as well as the additional knowledge interest of the team. However, they needed to be broken down and operationalised to provide a robust methodology that would avoid misinterpretation and mere anecdotal evidence. Therefore, the evaluation team completed and used an evaluation matrix, including evaluation indicators, as a basis for this evaluation (see Annex 1).

2 Object of the evaluation

2.1 Definition of the evaluation object

The main object of the evaluation was the project Strengthening Capacities for Conflict-induced Forced Displacement in Mindanao (PN 2017.4063.8) in the Philippines.

Political, sectoral context and framework conditions: Parts of the Philippine islands suffer from violent political and social conflicts. In eastern Mindanao, the armed conflict between the Philippine government and the communist New People's Army movement was at the forefront. Conflicts over resource and land use also play a significant role. For both conflict triggers, displacement was a major consequence. Displacements in Caraga show unique features: violent, repeated and short-term. These incidents lead to further marginalisation and impoverishment, especially for women and indigenous population groups, who often have poorer access to government services to begin with. In addition, this pattern of displacement weakens the resilience of the communities they come from (origin) and the communities where they settle (host). Government bodies have so far concentrated on providing humanitarian aid to internally displaced persons (IDPs) in host communities and those displaced by natural disasters (Int_PAR5). The long-term effects of multiple and short-term forced displacements on those affected – and on their origin and host communities and their resilience in dealing with these events – have not yet been taken into account sufficiently by local authorities and government bodies at the regional level.

The armed confrontation between government forces and pro-ISIS militants in Marawi in mid-2017 has forcibly displaced 98% of city's population as well as residents from adjacent municipalities, who were compelled to leave due to severe food shortage and constriction of local economies – this roughly affected 360,000 people.

[1] This questioned was especially geared toewards the following intiatives: Conflict transformation and peacebuilding in Mindanao (Civil Peace Service), Youth for a Culture of Peace and Non-Violence in Mindanao (PN 2018.4961.1) and the new GIZ project on regional and local peace agendas.

Several displaced families moved to Butuan City, about five hours travel time from Marawi. (*Philippines Humanitarian Country Team 2019 Marawi Humanitarian Response, Early Recovery and Resources Overview; USAID, 2018, Request for Information (RFI) - Feedback on USAID/Philippines Marawi Response Project).* [2]

Core problem: The response of regional and local government bodies to conflict-induced displacement in home and host communities in Caraga has been insufficient at the regional and local level.

Module objective: The response of regional and local government actors to situations of conflict-induced displacement in home and host communities in Caraga has improved.

Approach: The project provided advisory and support services to OPAPP and other regional and local government institutions that have been dealing with the effects of conflict-induced displacement, such as the Department of the Interior and Local Government (DILG) and OCD. This occurred through four closely interlinked fields of action. Dialogue measures between those affected and governmental and non-governmental bodies – in communities of origin and host communities – took place to discuss the causes and effects of multiple and short-term forced displacement, thereby making them visible. There were also activities to improve integration measures for addressing conflict-induced displacement in regional and local peace agendas and development plans. Exchange between the relevant governmental bodies was promoted. This served the goal of a more coherent and coordinated approach to dealing with conflict-induced displacement. Putting small-scale measures for people affected by conflict-induced displacement into action throughout affected communities addressed the specific needs of particularly disadvantaged groups and tested approaches to improving their living situation.
Temporal delineation: The term of the project was August 2017 to December 2020.

Financial delimitation: The project had a duration of three years and three months (from October 2017 to December 2020) with a BMZ contribution up to EUR 3,000,000. The project received a cost neutral extension of three months due to the COVID-19 situation in 2020.

Geographical delimitation: The project was implemented in the Philippines in the region of Caraga on the island of Mindanao.

Cross-cutting issues: The project aimed to contribute to a framework for peaceful and inclusive development in Caraga, addressing causes and consequences of conflict, fragility and violence while developing capacities for peacefully resolving conflicts (FS2). The project was assigned the marker KLA 1 and an in-depth environmental and climate impact assessment has been conducted. It has taken into account the gender impacts of conflict-induced displacement in home and host communities and addressed the specific needs of women and girls. The project was therefore allocated the marker GG 1. Participative development and good governance (PD and GG 2) and poverty (AO 1) were further important cross-cutting issues examined during the evaluation.

Levels of intervention: The project involved interventions mainly on the meso and micro level by:

- strengthening dialogue among government and non-governmental bodies and victims in affected communities in Caraga for resolving conflicts arising from conflict-induced displacement,
- strengthening competencies of government bodies at regional and local authority level for coping with conflict-induced displacement,

[2] On May 23, 2017, conflict broke out between the Armed Forces of the Philippines and members of the Maute and Abu Sayyaf Group, both of which had pledged allegiance to the Islamic State of Iraq and the Levant (ISIS/ISIL). The Philippine government declared victory on 23 October. The five-month siege destroyed most of the city's central commercial district and forced approximately 360,000 people in and around Marawi from their homes. Internally displaced people were residing with host families or in temporary shelters, with approximately 27,300 people sheltered in 66 government-designated evacuation centres (USAID, 2018, Request for Information (RFI) - Feedback on USAID/Philippines Marawi Response Project).

- supporting exchange and coordination between government bodies and non-governmental actors at regional and local authority level for dealing with situations of conflict-induced displacement, and
- implementing small-scale measures for victims of conflict-induced displacement in affected communities.

Conflicts: During the period of project implementation, 22 documented conflict-induced displacement incidents occurred in the Caraga region, which affected 18,171 people (94% have already returned to their home communities). While these conflict-induced displacements did not adversely affect project implementation, project-related activities and travels proceeded with precaution.

The project's role within the stakeholder structure

Direct target group of the project: This included officers and staff of city and municipal health offices, social welfare and development offices, local disaster risk reduction and management offices, and officials of home and host communities. These offices were mandated by law to act as first responders in events of disaster and emergency. Regional offices and councils that deal with disaster management, planning and development, indigenous people's affairs, and peace and order also took part in capacity-building, exchange and coordination.
Indirect target group of the project: With improved capacity to plan and respond to conflict-induced displacement for government bodies, the final beneficiaries were the internally displaced people. Most of these belonged to indigenous populations (such as Mamanwa, Manobo and Maranao) that required prompt and appropriate essential services. Also, part of the target group were relatives of displaced people and other residents in host communities where they sought safety and refuge.

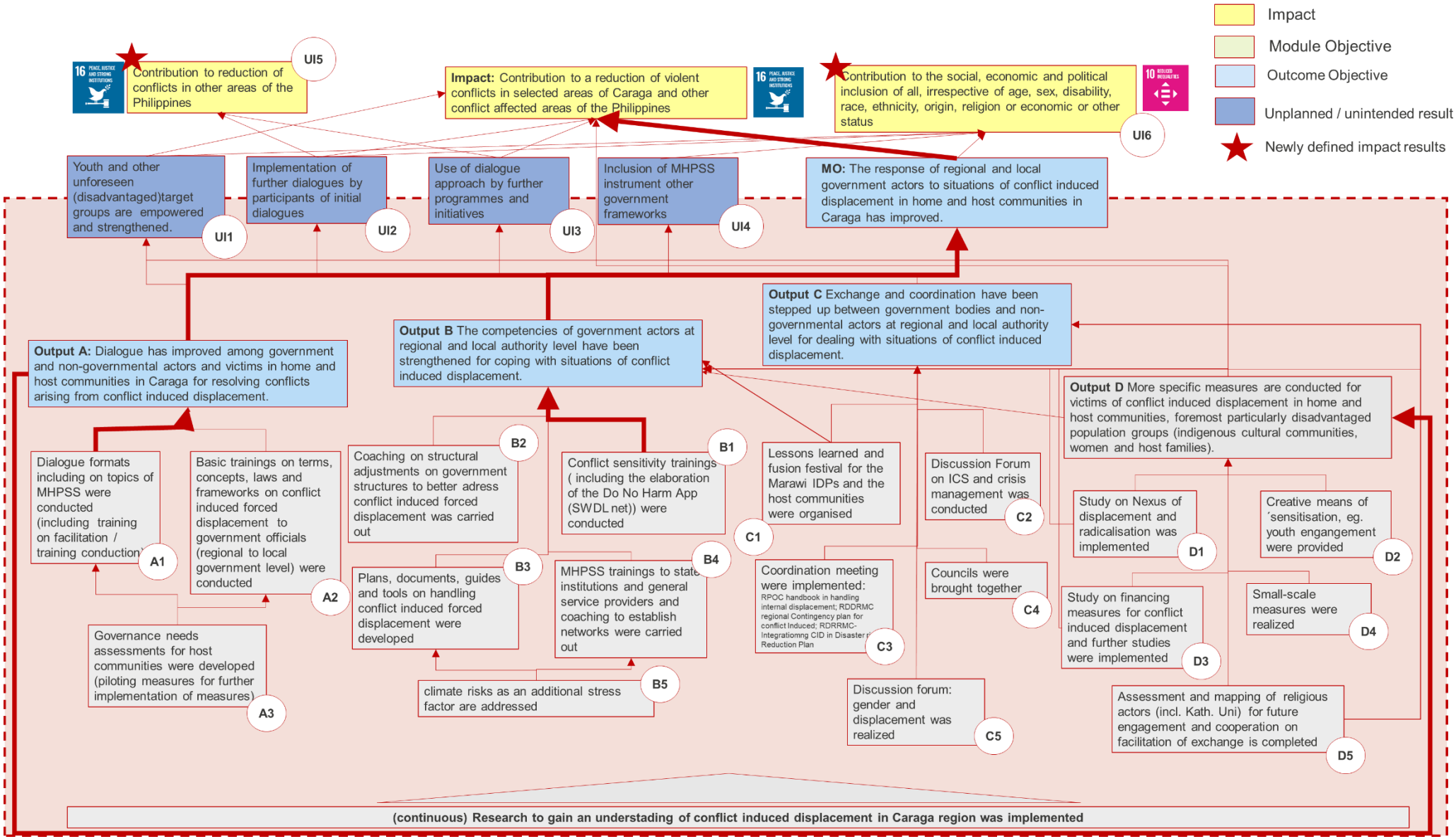
2.2 Results model including hypotheses

The theory of change has been the central basis for the required theory-based evaluation approach. It is essential for assessing all five OECD/DAC criteria. At GIZ a theory of change is visualised in results models and complemented by a narrative that includes corresponding hypotheses.

A results model is a graphical representation of the project. It describes the logical connection and interrelationship of results and how they contribute to the overall objective. A results model defines all possible results within the project, change hypotheses including multidimensional causalities, system boundaries, assumptions and risks and factors external to the project.

In **field of activity 1** – promoting dialogue for social cohesion in home and host communities – the project aimed to establish dialogue for resolving conflicts in the course of conflict-induced displacement between government and non-governmental parties and those affected in home and host communities in Caraga **(output A**). The victims of repeated, short-term conflict-induced forced displacement with government and non-governmental bodies were brought together through newly developed dialogue formats such as reflective structure dialogue to discuss and analyse the related causes and effects **(A1)**. In the next step**,** conflicts arising from these situations were addressed**.** In piloting the new format and promoting dialogue**,** the project raised awareness among government bodies of the problem, impacts of conflict-induced displacement on the victims and building trust among participants for conflict transformation**.** The regional and local peace and order councils and local authority representatives were given technical and methodological advice on preparing**,** conducting and compiling dialogue measures on conflict-induced displacement. This advice included design, selecting conflict-sensitive target groups, managing expectations, implementation, evaluation, follow-up and incorporation into overall strategies for an improved response to conflict-induced displacement **(A2)**. Activities also included needs assessments for home and host communities piloting measures to address the needs of displaced people and local communities **(A3)**.

Figure 1: Theory of change



Field of activity 2 aimed to develop human capacities for coping with situations of conflict-induced displacement at regional and local authority level **(output B)**. On one hand, regional and local government bodies were advised through coordinating bodies and institutions, and local authorities in drafting documents on coping with conflict-induced displacement **(B3**). Government bodies were also assisted in upgrading and revising related manuals and guidelines, including those on the rights of displaced people and possible strategies for prevention or assistance in dealing with traumatised individuals **(B1)**. Government bodies were supported in putting their acquired abilities to use in incorporating practices and measures for coping with conflict-induced displacement in peace agendas and development plans **(B2)**. Training on including mental health and psychosocial support in government services and establishing networks were piloted and provided to local government service providers. Climate risks as an additional stress factor in conflict-induced displacement were addressed across all activities of output B, especially in training for establishing networks and developing plans, guides and tools on forced displacement **(B5).**

Field of activity 3 aimed to step up coordination and exchange among government bodies, and between government and non-governmental bodies at regional and local authority levels for dealing with conflict-induced displacement **(output C)**. The measures aimed to achieve a closer convergence between disaster risk reduction and management councils, with their emphatically humanitarian approach to dealing with the impact of conflict-induced displacement, and the peace and order councils with their emphasis on accord and development. This intragovernmental exchange sought to facilitate a more coherent approach to coping with conflict-induced displacement and particularly its causes and effects on home and host communities. This field of activity aimed to enhance cooperative relations at regional and local level and foster a joint understanding of the challenges posed by repeated short-term conflict-induced displacements. Discussion forums could create a platform for exchange between government and non-governmental bodies such as non-governmental organisations, foundations and universities engaged with the issue of conflict-induced displacement.

Field of activity 4 aimed to extend the range of specific measures to help those affected by conflict-induced displacement in home and host communities in collaboration with partners and non-governmental organisations **(output D).** The distinct impacts of conflict-induced displacement on indigenous communities, women and host families were addressed with the small-scale measures **(D4)** and youth engagement activities **(D2).** However, activities involved conducting thorough preparatory needs assessments for these specific target groups and implementing pilot measures based on ascertained needs in collaboration with partners and then disseminating the knowledge gained from these experiences at a transregional conference. These assessments included the study on the nexus of displacement and radicalisation **(D1)** and the study on financing measures for conflict-induced displacement **(D3)**.One measure involved assessing and mapping religious actors that resulted in the conference organised in cooperation with the Catholic University (D5).

At **outcome level**, output A, B and C are directly linked to the module objective: The response of regional and local government actors to situations of conflict-induced displacement in home and host communities in Caraga has improved.

In the original results model designed at the beginning of the project in 2017, output D was directly linked to the module objective. However, this link was removed during discussions with the project team. As a result, there was no longer a direct connection between the small-scale livelihood measures for local communities and internally displaced people under output D and the improved response of the government to conflict-induced displacement (module objective). Instead, the measures resulting from the needs identified in dialogues under output A and output D contributed to the strengthened competencies of local government bodies under output B, output A, B and C (according to the *Results Matrix*). These were outcome results because they described the change resulting from the project outputs. Output D on the other hand was a result directly related to activities of the project: piloting specific small-scale measures for displaced people and local communities. The improved dialogues among government and non-government bodies achieved by capacity development and the

new piloted dialogue formats under activity field 1 (output A) resulted in more awareness of what had to be done to fulfil the needs of displaced people and local host communities. The enhanced awareness (output A) along with increased competencies (output B) and the regular exchange with other participants (output C) were preconditions for an improved response to conflict-induced displacement.

Impact level: The implementation of the project could have contributed to a **reduction of violent conflicts in selected areas of Caraga** and relevant to Sustainable Development Goal (SDG) 16. As the displacement of local communities was considered a destabilising factor in government-controlled areas, an improved government response to the situation would have a stabilising effect. The unintended impact result UI5 was the **reduction of violent conflicts in areas of the Philippines** (SDG16). The unintended impact result UI6 was the **contribution to the social, economic, and political inclusion of all, irrespective of age, sex, disability, race, ethnicity, origin, religion or economic or other status** (SDG10). Additional unintended impact results were placed on the system boundary as they are still to a large extent under the direct influence the project. All of them refer to scaling up or copying project outputs:

- **UI1:** Youth and other unforeseen target groups are empowered and strengthened in their confidence,
- **UI2:** Implementation of further dialogues by participants of initial dialogues,
- **UI3:** Use of dialogue approach by further programmes and initiatives, and
- **UI4:** Inclusion of mental health and psychosocial support instruments in other government frameworks.

Discussions and assessments: There were necessary additions to the results model as the project progressed and as the project team practised flexibility in their approaches. For one, unintended results were added, such as other projects adapting the dialogue approach (UI3). Specifically, the guidance provided by the knowledge products could be adopted in other areas (non-project areas) experiencing conflict-induced displacement. The broad application of the reflective structured dialogue format brought clarity on the needs of displaced people and determining the appropriate response (INT_GIZ01, INT_PAR06, CON_PAR01).

Additional information on the results model

System boundary: The system boundary of the results model was based on the scope of the project's control; the results outside the system boundary were beyond the exclusive responsibility of the project. The module objective – **the response of regional and local government actors to situations of conflict-induced displacement in home and host communities in Caraga has improved** – was placed on the system boundary since it was only partly influenced by the project. Firstly, the project only targeted selected government units through pilot measures. Secondly, the government's improved response depended on factors other than the improved dialogue and capacities targeted by the project.

Concept updates: According to the available project documentation no significant changes were made to the project concept. In 2020 the project period was extended by three months until December 2020. The target values for output indicators for output D were decreased to the following:

- **D1:** A total of three small-scale measures were implemented in three communities of home and host communities.
- **D2:** Two of the three small-scale measures were oriented towards the specific needs of the particularly disadvantaged groups.

This change was communicated in the 2019 progress report to BMZ. The decrease in the indicators was necessary due to overall delays in project implementation that resulted from the delay in the exchange of note verbal. No further changes occurred with the *Wirkungsmatrix* or the indicator values. The project submitted a change offer in 2019 to increase the budget by EUR 3,000,000 and extend the project until

2022. In late summer 2020, BMZ finally decided not to commission the extension that the project had requested.

3 Evaluability and the evaluation process

3.1 Data availability and quality

The evaluation relied on a mix of primary and secondary data sources, which are briefly summarised.

Internal documentation

The internal documentation included proposals, annual reports, minutes of meetings, protocols and presentations. In addition, it included a range of internal documents, such as stakeholder maps and results models. All monitoring data collected by the project and its stakeholders were reviewed to improve understanding of the project concept, results hypotheses, objectives, and indicators. The data were also analysed in a disaggregated manner (by area of implementation) to provide insights on what worked in which project area and/or for which target group. Finally, internal cost data were consulted for the efficiency analysis. See Annex 3 for a full list and quality assessment of the available project documents.

Table 1: Overview of available documents

Basic document	Available (Yes/No)	Estimation of actuality and quality	Relevant for OECD/DAC criterion
Projects proposal and overarching programme/fonds proposal and the *Ergänzende Hinweise zur Durchführung* and additional information on implementation	Yes	Good quality	Relevance, effectiveness, impact, sustainability
Modification offers where appropriate	Yes	2019: available but never commissioned. Modification offer from 2020 available	Relevance, effectiveness, impact, sustainability
Contextual analyses, political-economic analyses or capacity assessments to illuminate the social context	Yes	*Political Economic Analysis Philippines 2019*, 2018 background paper *IDP in the Philippines*	Relevance, effectiveness, impact, sustainability
Peace and conflict assessment (PCA matrix), gender analyses, environmental and climate assessments, safeguard and gender.	Yes	PCA from 2018, gender analysis from 2017 and 2019, environmental and climate assessments from 2017 (all good quality)	Relevance, effectiveness, impact, sustainability
Annual project progress reports and if embedded, also programme reporting	Yes	Extensive and detailed documents from 2018	Relevance, effectiveness, impact,

Basic document	Available (Yes/No)	Estimation of actuality and quality	Relevant for OECD/DAC criterion
		and 2019	sustainability
Evaluation reports	Yes (COSERAM)	Good quality and informative documents from 2019	Relevance, effectiveness, impact, sustainability
Country strategy BMZ	NA	None available, since no longer priority partner country (BMZ Reform 2030)	Relevance, effectiveness, impact, sustainability
National strategies	Yes	A long-term vision for the Philippines 2040, Caraga roadmap for Peace 2016-2020, Philippines development plan 2017	Relevance, effectiveness, impact, sustainability
Sectoral/ technical documents (please specify)	Yes	National Action Plan on Women, Peace and Security	Relevance, effectiveness, impact, sustainability
Results matrix	Yes	From 2017	Sustainability, effectiveness
Results model(s), possibly with comments if no longer up to date	Yes	From 2017, then reconstructed	Efficiency, effectiveness
Data of the results-based monitoring system 3	Yes	Results-based management tool last updated December 2020	Efficiency
Map of actors	Yes	From 2017	Efficiency
Capacity development strategy/overall strategy (see webinars)	Yes	Capacity development strategy from 2018, last updated 2020	Sustainability
Steering structure	Yes	From 2018	Follow-on project
Plan of operations	Yes	Detailed from 2019/2020, none from 2017 and 2018	Relevance, effectiveness, impact, sustainability
Cost data (at least current cost commitment report/Kostenträger-Obligo Bericht).	Yes	From December 2020	Relevance, effectiveness, impact, sustainability

Basic document	Available (Yes/No)	Estimation of actuality and quality	Relevant for OECD/DAC criterion
If available: cost data assigned to outputs			
Excel sheet assigning working months of staff to outputs	Yes	Provided by project in September 2020	Efficiency
Documents regarding predecessor project(s) (please specify if applicable)	Yes	Evaluation and final progress report of CO-SERAM from 2019	NA
Documents regarding follow-on project	None	No	NA

Secondary data

The secondary data reviewed focused on publications, relevant laws and official reports on peacebuilding efforts and displacement in Caraga region.

Interviews

The interviews were conducted with the project staff, consultants and resource people, local government authorities, and national government agencies. Interview partners were identified in consultation with the GIZ project team before the evaluation mission in October and November 2020. Their selection was based on their role in responding to conflict-induced displacement and their involvement in project activities.

Table 2: List of stakeholders of the evaluation and selected interviewees

Stakeholder group	Number of people interviewed (aggregated by gender)
GIZ	10 (7 females, 3 males)
Public stakeholders (country project level)	9 (7 females, 2 males)
Private sector stakeholders (country project level)	2 females

Project monitoring system: A well-maintained results-based monitoring system was in place. Indicators were tracked using an Excel tool specifically designed to monitor the project results. The document contained all categories necessary for a results-based monitoring system (baseline, yearly status update, sources for verification, time and frequency of data collection, responsible person, costs, relevance for markers). Furthermore, the evaluation team could confirm that the importance of monitoring and evaluation was acknowledged by all interviewed partners from the projects for managing and steering the project efficiently and effectively. All information available in the monitoring system was used for assessing the indicators such as effectiveness, and for assessing additional efficiency criteria such as the allocating roles and responsibilities, handling risks, consideration of lessons learned.

Baseline information: Baseline information and endline data for outcome and output indicators was provided by the project itself through its results-based monitoring system. The evaluation team assessed the quality of

reporting to be good. However, the indicators often focused on output (see Chapter 4.3 on effectiveness for more information).

Quality of data: Overall, the evaluation team considers the data that formed the basis of this evaluation to be of good quality, given that ample documentation on processes supported by the project was available. The evaluation team also found this information to be reliable, as it was in line with information provided by partners and external stakeholders during the interviews conducted in the evaluation mission.

3.2 Evaluation process

In line with the terms of reference, the evaluation team adopted a theory-based approach that relied on the project's theory of change as a basis for the analysis. Specifically, it implemented a contribution analysis related to the OECD/DAC criteria of effectiveness and impact. A contribution analysis examines the extent to which observed (positive or negative) results can be attributed to the project[4]. Contribution analysis differs from other forms of theory-based evaluation in that it not only analyses the hypotheses of the theory of change but also seeks to identify alternative explanations for observed results. Contribution analysis does not seek to prove that one factor 'caused' the intended result but analyses how the project has contributed to the observed results. Data from various sources are collected to analyse the causal hypotheses between inputs, outputs, outcomes and impacts formulated in the theory of change. Contribution analysis thus seeks to construct a credible 'performance story' to show whether the project was a relevant factor, possibly together with other factors, leading to change. Context factors that play a role in achieving (or not achieving) the project's objective are explicitly considered in contribution analysis.

Contribution analysis falls into the category of the generative/mechanism approaches to causal inference. This approach relies on identifying the 'causal mechanisms' that generate the desirable effects. In order to use this approach, the existence of one case with good-quality data sources was enough. The approach was based on an existing theory for the project in question that allows the evaluator to understand the factors that cause the observed effect. As a result, this approach permits an in-depth understanding of the case and its context, providing a detailed explanation of both[5] (Stern et al., 2012). The evaluation team chose this over other approaches to causal inference – such as experimental/counterfactual, regulatory or multiple causation – because it was the most feasible.

The methods used in the evaluation included an analysis of internal documentation, secondary data and interviews conducted by the evaluation team. A systematic approach was used for document analysis. In the inception phase, the project proposals and the results model (updated in discussions with project team) were used to understand what the project aimed to achieve and how. The progress reports were used to perceive progress towards the project's objective and the contextual factors that affect progress. In addition, stakeholder maps were consulted to gain insight into the roles of the different parties involved. However, since a narrative did not accompany the stakeholder maps they could only be fully understood when the project team explained them during the evaluation mission. This proved useful for a better grasp of the project's context. The internal documentation was continuously revisited during the evaluation mission and in the analysis phase, and it was triangulated and complemented with information from other sources. This was especially important because the project proposal and reporting did not fully capture the project's complexity.

The strength of the internal documentation rested on the fact that it provided information that could be related directly to the project's results model and the quality of the implementation process. Internal documentation,

[4] **Maye, J., 2001,** Addressing Attribution Through Contribution Analysis: Using Performance Measures Sensibly, Research Gate

[5] Stern et al, 2012 Broadening the Ranges of Designs and Methods for Impact Evaluations, DFID Working Paper 38, London: Department for International Development

however, came with a potential bias because most of the internal documentation was prepared for the commissioning party (BMZ) and that could present an incentive to focus on successes rather than weaknesses. This bias was balanced with external evaluations and secondary data. In the context of this evaluation, interviews provided detailed information on the quality of processes and on political context factors that were highly relevant for achieving results. Some interview partners could have also shown a certain bias against addressing weaknesses in the project, depending on the type of stakeholders involved. The evaluation team found the project team itself to be open in talking about both strengths and weaknesses. It was useful, in this context, to take other stakeholder perceptions into account in order to gain a balanced perspective.

To obtain valid and reliable information, the evaluation team aimed for systematic data triangulation (taking into account the perspectives of different stakeholders on the same aspect) or method triangulation (using various methods of data collection to collect information on the same aspect) whenever possible. It was not always possible to do both for every aspect. Possibilities for data triangulation were limited for some evaluation aspects when only the project team and the relevant partners knew specifics about the project. Possibilities for method triangulation were also limited because the evaluation had to be conducted remotely. The evaluation matrix in Annex 1 and the section that presents the evaluation findings give the sources and methods of data collection for each finding. This provides transparency on how the evaluation team came to its conclusions.
In addition to data and method triangulation, the evaluation team carried out researcher triangulation. The local and international evaluators regularly exchanged their analyses of evaluation results during the evaluation mission. The analysis of evaluation results was carried out systematically in accordance with the evaluation matrix in Annex 1. During the evaluation mission, the evaluation team documented results in interview minutes. The final report was drafted jointly by the international and the local evaluators, which further consolidated the researcher triangulation.

Evaluation process

The evaluation included an inception phase, a data collection phase and an analysis and reporting phase. The inception phase lasted from 7 to 11 September 2020 (with an online workshop for the project team across the week) and the first inception report draft was submitted on the 25 September. It clarified roles within the evaluation team and also included informational interviews with the project team and key project stakeholder, a desk study and the preparation of the inception report. The data collection phase revolved around the remotely conducted evaluation mission in Mindanao from 12 October to 6 November 2020. Stakeholders were involved mainly through single interviews. The analysis and reporting phase started at the end of the field mission. The final report was submitted to GIZ in December 2020.

The international and local consultant conducted the data collection together wherever possible. Due to COVID-19 travel restrictions and health protocols, face-to-face interviews were not possible. Remote video interviews using Microsoft Teams and Zoom platforms and phone interviews facilitated information exchange between the evaluators and the project teams and partners. Information generated from the interviews was corroborated by reports available online, such as the Mindanao Displacement Dashboard, regional news outlets, and websites of the national government agencies.

Overall, the evaluation team believes that the evaluation process went smoothly. As described in the previous chapters, relevant documentation was available for analysis and the evaluation team managed to talk to almost all relevant interview partners. The evaluation process was, however, characterised by some challenges:

- Due to the COVID-19 crisis, the areas where the project was implemented could not be visited. The international evaluators conducted all evaluation interviews online. However, during the data collection it was not possible to conduct focus group discussions in remote locations due to the uncertainty that existed at this time. Thus, the period of interviewing had to be extended.
- The original evaluation design evaluation planned for interviews with the target groups (internally displaced

people reached by the programme). Due to the bad phone connection as well as the inability to travel, displaced people or members of local communities could not be contacted. Video statements from the beneficiaries of the project activities under field of activity 4 (small-scale measures) were presented at the final project hand-over conference. These statements were used along with written statements on the beneficiaries as the only available data source involving the target group.

4 Assessment according to OECD/DAC criteria

4.1 Long-term results of predecessor projects

This chapter provides an opportunity to analyse and assess the results of the predecessor project and its influence on the current project.

Evaluation basis: There was no formal predecessor to this project. However, the Conflict-sensitive Resource and Asset Management Programme (COSERAM) served as a sister project, which CAPID originated from. COSERAM had two main modules: Conflict-sensitive Resource and Asset Management Programme and Indigenous People for Conservation of Biodiversity. The CAPID project was strategically placed within the COSERAM module until COSERAM ended in 2019.Therefore, under long-term results of predecessors we will look at the long-term effects of COSERAM, which have been relevant to implementing CAPID.

Evaluation design: As indicated in the evaluation matrix (see Annex 1), the long-term results of the criterion was assessed by analysing the Central Project Evaluation Report on COSERAM and the project's progress reports, which underwent qualitative content analysis. Interviews with the donor and GIZ management provided complementary information, which was triangulated.

Observed results of the predecessor: Module 1 – COSERAM – was aligned with the Philippine Development Plan and contributed to the implementation of the Indigenous People's Rights Act. Module 2, Indigenous People for Conservation of Biodiversity (IP4Biodiv), contributed to the Philippine Biodiversity Strategy and National Wetlands Action Plan. Both modules addressed the core problems and needs of conflict-affected, poor and marginalised populations in Agusan Marsh Wildlife Sanctuary and nearby municipalities in Caraga region.

COSERAM enabled communities to deal with land and resource conflicts, allowed better access to services on land and resource-related rights. Its recommendations were incorporated in bills, strategies and draft legislations by Philippine government agencies. Indigenous People for Conservation of Biodiversity established local conservation areas and harmonised with the protected area management plans, set up biodiversity monitoring systems and implemented conservation activities with support for local livelihood and identifying alternative income sources.

COSERAM proved rather successful in integrating sustainability, given the challenging structural arrangement at the local government level and the need for additional capacity development, resources and funds. Indigenous People for Conservation of Biodiversity, on the other hand, had a higher chance of achieving sustainability since the project strengthened the protected area management boards and institutionalised the Mindanao management board network that represented 47 protected areas, according to the CPE COSERAM evaluation report.

Building on the results of COSERAM: Tools and approaches used by COSERAM worked and strengthened the partner capacities. Dialogues became constructive and inclusive, and relationships improved. Indigenous People for Conservation of Biodiversity empowered the indigenous population and made governance structures more inclusive with their participation. Further, the dialogue processes also contributed to better relationships between conflicting parties and enhanced their perception of each other. The CAPID project approach in facilitating dialogues very much builds on COSERAM's dialogue approach.

Cooperation from other government agencies such as the Mindanao Development Authority in distributing relevant knowledge products (Do No Harm tools in development planning) to government units had expanded the reach and usefulness of the project.

COSERAM and Indigenous People for Conservation of Biodiversity potentially averted conflicts on land use and rights by integrating the rights of indigenous peoples in regional peace agenda processes, along with providing paralegal and legal assistance. In fact, COSERAM supported the development of the Caraga Roadmap for Peace, which was an important basis for the CAPID project (see Chapter 4.2 below). The CAPID approach was almost identical with its aim of involving indigenous people in regional peace agenda processes and by bringing them together in dialogues. COSERAM's practice of flexibility and opportunity-driven ways was able to optimise the limited resources and time of the project.

4.2 Relevance

The relevance criterion examines the extent to which the objectives of a development intervention were consistent with beneficiaries' requirements, country needs and global priorities. An assessment was conducted of the project objective's consistency with key strategic reference frameworks, priorities of the target groups and policies of the partner country and the commissioning party. In contrast to past practice, more attention was paid to analysing the design and results logic underlying the project.

Evaluation basis: In the first dimension of the relevance criterion, the evaluation aimed at analysing whether the desired results at outcome and impact level of the project were in line with relevant strategic reference frameworks – such as the priorities of the Philippine Government and peacebuilding strategies of Caraga Administrative Region. The analysis followed the questions from the evaluation matrix. When analysing the needs and potential benefits for the project's target group, its focus areas and activities were contrasted with strategic reference documents as well as target groups' perceptions and expectations (evaluation dimension 2). To assess the adequacy of the project design (evaluation dimension 3), the project's results model was used. To understand changes during the implementation (evaluation dimension 4), progress reports and other supporting documents were analysed with stakeholders and the project team. The project's direct target groups were officers and staff of local and municipal offices of DILG, city and municipal health offices, social welfare and development Offices, local disaster risk reduction and management offices, and barangay officials of home and host communities. It's indirect target groups were internally displaced people and members of hosting communities, which predominantly belonged to indigenous populations such as Mamanwa, Manobo and Maranao.

Evaluation design and methods: As indicated in the evaluation matrix (see Annex 1), after the evaluation questions the relevance criterion was mainly assessed through analyses of secondary project data that underwent qualitative content analysis. Additional strategic documents and primary data from stakeholders were also considered and triangulated. Interviews with donor and GIZ management provided complementary information. The results model formed a solid base to understand the project design's adequacy; it was discussed and verified during interviews and discussions with key stakeholders. The strength of evidence was found to be strong for the dimensions of the relevance criterion. In contrast to more quantitative approaches relying on primary data this approach can incorporate a more historical view, assessing needs at the time of project design.

Relevance dimension 1: alignment with relevant strategic reference frameworks

The project aimed to contribute to reducing violent conflicts in selected areas of the Caraga region by improving governmental response to situations of conflict-induced displacement in home and host communities.

The project design was aligned with relevant strategic reference frameworks:

- From the perspective of the indigenous peoples groups that are most affected by conflict-induced displacement, the Indigenous Peoples Rights Act assured that they had rights in case of displacement (Section 7.D). The government must provide basic services, livelihood and rights during armed conflict (Section 22) and indigenous peoples must be accorded special protection and security in periods of armed conflict.
- Second, the project was one expression of the country's National Action Plan on Women, Peace and Security, particularly its Purpose 1 on protection and prevention. This requires the state to address the special needs of women and girls involved in armed conflicts, and Purpose 2 on empowerment and participation requires that women community members (especially Bangsamoro women and those from indigenous populations) are included as stakeholders in programmes that address the impact of armed conflict.
- The project complies with the Philippine development plan for 2017 to 2022 as set out in chapter 17 (Attaining Just and Lasting Peace). It outlines endeavours to make the government more responsive to peace, conflict and security issues and empower communities to address conflicts and reduce their vulnerabilities.
- It works in sync with Payapa at Masaganang Pamayanan programme of the national government, which seeks to improve governance by building the capacity of the national government agencies and local government units for a conflict-sensitive, peace-promoting, culture-sensitive and gender sensitive approach to human rights promotion and development.
- The project contributes to Executive Order No. 70 on institutionalising the "whole-of-nation" approach, which address the root causes of insurgencies, internal disturbances and tensions, and other armed conflicts and threats by prioritising and harmonising the government's delivery of basic services and social development packages.
- The Philippine Disaster Risk Reduction and Management Act focuses on preparing and responding to disasters of hydrometeorogical nature, but less on human and conflict-induced disasters. The project fills this gap by building the capacity of local government bodies to understand, plan and respond to conflict-induced displacements.

The project falls under the country's Sustainable Development Goal (SDG) commitments. For SDG 10 on reducing inequalities, the project has enabled the German Government through GIZ to extend official development assistance where the need has been greatest – in this case, alleviating the condition of indigenous populations driven out of their ancestral/home communities due to conflict. The project also complies with SDG 16 – peace, justice and strong Institutions – by developing effective, accountable and institutions at all levels.

Project implementation coincided with the last two years of another conflict-oriented GIZ project, COSERAM (see Chapter 4.1), which also worked with the same partners in Caraga region – National Commission on Indigenous Peoples, Mindanao Development Authority, Department of the Interior and Local Government and the National Economic and Development Authority.

CAPID was the only GIZ project in Caraga region that focused on improving the government response to situations of conflict-induced displacement.

Relevance dimension 2: needs of target groups

The implementing rules and regulations of the Philippine Disaster Risk Reduction and Management Act of 2010 (Republic Act 10121) specifies the roles and responsibilities of different national government agencies, local councils and authorities involved in providing response to disasters and emergencies.

The Office of Civil Defense was appointed to chair the Regional Disaster Risk Reduction and Management Council. Its responsibilities included a mission to "reduce the vulnerabilities and risks to hazards and manage the consequences of disasters". The office was also tasked to "assist in mobilizing necessary resources to increase the overall capacity of local government units, specifically the low income and in high-risk areas" according to *Implementing Rules and Regulation of Republic Act 10121*. The regional council had a primary task to ensure that regional development plans are sensitive to disaster. Thus, the formulation of the *Handbook on Handling Conflict-Induced Internal Displacement* helped the OCD to fulfil its mandate.

As one of the project's central products, the revised *Handbook on Handling Conflict-Induced Internal Displacement* was developed in response to a governmental support request. Caraga's Regional Peace and Order Council, through the Department of the Interior and Local Government (DILG), requested GIZs support to review and improve its existing handbook from 2016.

The three-level local government units (provincial, municipal and barangay) are considered the first responders to disasters and emergencies. At each level, the law requires these units to organise and operate local disaster risk reduction and management councils. Critical members of these councils include heads of the local disaster risk reduction and management office, social welfare and development office, health office, gender and development office and armed forces and national police. As members of the council, they must ensure that regional development plans are responsive to disaster. Through the project, the regional council in Caraga formulated and adopted a regional disaster risk reduction and management plan that focused on human-induced displacement with conflict-sensitive lens.

Apart from acting as members of the council (where tasks mostly involve policy-making, coordination, integration and monitoring and evaluation), key offices mentioned above have more hands-on involvement in preparing, planning and implementing a coordinated response. Depending on the scale and type of disaster, these offices mobilise to preserve life, provide basic subsistence and restore essential public facilities. After the large-scale humanitarian emergencies in Mindanao (Typhoon Sendong in 2011 and Typhoon Pablo in 2012) and in Visayas (Super Typhoon Yolanda in 2013), capacity building activities for local bodies have been extensive, with guidance documents have developed and disseminated. Since then, the capacity of the local government to respond to natural emergencies and displacements have improved, resulting in lower casualties and damages (as shown in the response to two recent typhoons that visited the Philippines in October 2020)[6].

What had not been fully developed was the way local actors respond appropriately and efficiently to conflict-induced displacements. Due to the uniqueness of displacement in Caraga region, local actors required specific capacity and skills set to deal with the immediate needs of displaced people, and to avert or mitigate long-term impacts of short and repeated displacements. Thus, through the four inter-linked fields of activities of the project, the level of preparedness of the local actors stepped up. The project built the capacities needed to efficiently and effectively deal with conflict-induced displacements: knowledge gained, dialogue format shared, guides and handbooks developed, coordination and exchange strengthened, and small coping measures piloted (CON_PAR01, INT_PAR02, INT_GOV11, INT_ GOV06, INT_GOV07, INT_GOV11).

By strengthening the capacities of regional and local government organisations to situations of conflict-induced displacement, the project has met the needs of persons displaced by conflict. In Caraga, these were mostly indigenous peoples compelled to leave their homes in response to actual or anticipated armed clashes in their communities. The project recognised a need to strengthen a fluent communication and a genuine consultation between local bodies and the displaced communities. The dialogue format and integration of mental health and psychosocial support techniques peeled away misconceptions and mistrust between government bodies and

[6] Yolanda in 2013 had 6,300 deaths. For 2020, Rolly had 25 deaths and Ulysees had 37 deaths, see https://theaseanpost.com/article/philippines-moving-forward-after-ulysses

indigenous peoples. The true needs of the displaced people came to light, allowing government and non-government bodies to calibrate their actions in easing the impact of displacement (CON_PAR01, INT_PAR02, INT_GOV11, INT_ GOV06, INT_GOV07, INT_GOV11).

Relevance dimension 3: project design and project objective

The project predominantly focused on strengthening the capacities of local governments to respond and handle conflict-induced displacement. The project built capacities of local and regional governments through coaching, training and developing guidelines and handbooks (output A). The project also piloted dialogue formats to foster exchange between local communities, displaced people and local and regional government on concrete issues faced due to forced displacement (output B). This included provision of facilitator training to allow for further implementation of the piloted approach of reflective structure dialogue. The project also focused on facilitating exchange between government, academic, religious and private partners towards improving coordination on dealing with conflict-induced forced displacement (output C). The project also supported internally displace people in home and host communities with piloting specific small-scale measures for improving livelihood through the Skills Mastery Institute for Learning Entrepreneurship and Success Foundation (output D) – this was not directly linked to the module objective but complementary to the other outputs.

As shown below (see Chapter 4.3 on effectiveness), the hypotheses underlying the results logic were indeed plausible and coherent and the original results model required only minor adaptions to fit the reality of the implementation. As mentioned above the results of the interventions under output D did not directly contribute to the module objective but stood alone as resulting in the improvement of livelihood for displaced people and other marginalised groups (see unintended impact result UI1in results model). Output D also had a smaller contribution to Output B by providing ideas and concepts as well as specific measures that led to a better understanding of government on the issues of displaced people in home and host communities. On the other hand, the ideas for small-scale measures under output D in part resulted from the dialogues under output A (see Chapter 4.3). The most crucial pathway to achieving the module objective was realised by improving dialogue between government and displaced people, and building the capacity of government bodies.

The chosen system boundary of the project was plausible; it clearly defined results that depended on external factors and/or other interventions (policy regulations, country development). In a nutshell, all results related to final beneficiaries outside the system boundary; for example, displaced people from host and home communities that the project could only target indirectly.

Relevance dimension 4: project design adapted to changes

As mentioned above the project was adapted and extended by three months until December 2020 due to the COVID-19 situation. No additional budget was commissioned, and apart from the indicator target values for output D no changes were made to the design. Regarding further implementation, the evaluation team found no critical changes in the project context, implementation or methodology that would have required additional change offers or a formal adaption of the project design. The project worked in the fields of activity (outputs) indicated above (see Chapter 2.2, results-model including hypothesis) and realistically contributed to the project indicators. There was therefore no further need to update the project design.

Within the framework, the project had to adapt to the delayed exchange of note verbal between the German and the Philippine governments. A draft version of an implementation agreement with OPAPP existed but it was not signed due to the outstanding Special Presidential Authority. Until then, in the eyes of the Philippine Government the project was in a preparation phase. It mainly focused on preparatory measures and pilot activities during the first two years of implementation due to the outstanding signature of the documents. Because of the change in leadership and internal restructuring, OPAPP was only involved to a limited extent in the project

since 2019. Due to the focus on preparatory activities as well as the situation within OPAPP, the project increased its cooperation with partners at regional and local levels – DILG and the chief executives of specific local government units – to coordinate and implement its activities (INT_GIZ01). OPAPP was also involved in the new government strategy to end the local armed communist conflict (Presidential Executive Order No. 70 2018 institutionalising the whole-of-nation approach). Under this executive order the government established a national task force with representation from all relevant ministries. The executive order brought about increased cooperation of individual institutions at regional and local level, especially in dealing with displacement situations. Because of the COVID-19 lockdown and travel restrictions, most project activities in 2020 had to be implemented remotely. This particularly made activities in remote communities difficult and sometimes impossible. For example, training in some more remote areas had to be cancelled (INT_GOV10).

Apart from the mentioned occurrences, the evaluators were not aware of any political or external developments that have affected the project's implementation. While there were changes in political leaders (four of the five project pilot areas elected new mayors in 2019), the project continued to receive support until its completion.

Overall assessment of relevance

The evaluation team concluded that the project design fit into the relevant strategic reference frameworks on country level and it was well-embedded in global priorities. It therefore received 30 out of 30 points in this dimension. As outlined in this chapter, the project was in line with the Philippines Indigenous Peoples Rights Act and the National Action Plan on Women, Peace and Security, as well as the SDGs 10 and 16.

Regarding the strategy's suitability to match core needs of the target group, the intervention was considered highly relevant for working towards strengthening government capacities for responding to conflict-induced displacement at the regional and local levels. Specifically, through outputs A and D the project design also reflected the needs and concerns of internally displaced people and their home and host communities. Output A was specifically designed to make government agencies and decision-makers more aware of the needs of this target group. Overall, the evaluation team awarded 30 out of 30 points for the suitability of the strategy.

The evaluation team concluded that the project was adequately designed to achieve the chosen project objective and awarded 18 out of 20 points in this dimension. Full marks were not awarded because output D only indirectly contributed to the module objective.

Finally, the conceptual design's adaptation to changes was assessed as successful, given that significant changes were addressed in a modification of the project design and implementation plan. The challenge of dealing with a delay in official note exchange between the two partner countries – along with the changing security situation and the COVID-19 pandemic in 2020 – required a flexible modification of the project. The evaluation team therefore awarded 18 out of 20 points in this dimension.

Full marks were not given due to a challenging adaption to delays in project implementation and finalisation of official cooperation agreements.
The overall score for the assessment criterion **relevance** added up to 96 out of 100 points: **highly successful.**

Table 3. Rating of OECD/DAC criterion: relevance

Criterion	Assessment dimension	Score and rating
Relevance	The project design[7] was in line with the relevant strategic reference frameworks.	30 out of 30 points
	The project design matches the needs of the target group(s).	30 out of 30 points
	The project design is adequately designed to achieve the chosen project objective.	18 out of 20 points
	The project design* was adapted to changes in line with requirements and re-adapted where applicable.	18 out of 20 points
Relevance total score and rating		Score: **96 out of 100 points** Rating: **highly successful**

4.3 Effectiveness

The evaluation aimed to analyse the effectiveness of the project and how it has achieved its desired objective according to the agreed indicators of success (assessment dimension 1) and the contribution all its measures have made to its objectives based on the pre-defined indicators (assessment dimension 2). The latter was mainly based on a contribution analysis, which selected three key causal relations for in-depth scrutiny. Eventually, the evaluation of effectiveness also examined positive or negative unintended results (assessment dimension 3).

During the inception phase to set the basis for the later assessment, the results model and the underlying results logic indicators were examined. The model's structure was assessed, bottlenecks identified, and the results model adapted accordingly (see above). In addition, the results matrix was assessed in terms of coherence. Then the applicability of the SMART criteria (specific, measurable, achievable, relevant, time-bound) to each individual indicator was determined.

The evaluation team reflected on the project indicators as it finalized the inception report together with the project lead and the monitoring and evaluation officer of the project. From a methodological point of view, most of the indicators provided in the results matrix fulfil the SMART principles. The following table shows the full assessment of the module objective indicators.

[7] The 'project design' encompasses project objective and theory of change (theory of change = GIZ results model = graphic illustration and narrative results hypotheses) with outputs, activities, instruments and results hypotheses as well as the implementation strategy (methodological approach, CD-strategy, results hypotheses).

Table 4: Assessment of outcome indicators

Module objective	**The response of regional and local government actors to situations of conflict-induced displacement in home and host communities in Caraga has improved.**	
Project objective indicator according to offer/original indicator	**Assessment according to SMART criteria**	**Operationalised indicators (explanation)**
MO1: x% of y respondents in six selected local authorities cite specific examples as evidence that the guidelines are being applied. Baseline value: 0 of y in six selected local authorities Target value: x% of y in six selected local authorities Source: Results matrix (April 2017)	• Specific: Yes • Measurable: Yes • Attainable: Yes • Relevant: Yes • Time-bound: Yes • However, this indicator required further operationalisation as to what was being counted as specific example.	Indicator values were not filled in the April 2017 result matrix. In the 2018 progress report the project reported the following target values to BMZ: 90% out of 30 respondents in six selected local authorities cite specific examples as evidence that the guidelines are being applied. In the 2018 progress report the project also first mentioned seven instead of six targeted municipalities: Tandag City, Gigaquit, Butuan City, Prosperidad, Carmen, Bayugan and Lianga. In the results-based monitoring system the target values were then later adapted to 90% out of 100 respondents. The data provided in the monitoring system also included NGOs and regional bodies targeted by the programme. This evaluation report assesses both: the indicator targets as agreed with BMZ and those defined by the project itself.
MO2: Seven regional peace agendas or local development plans in home and host communities take account of the specific needs of the population groups most severely affected by situations of conflict-induced displacement. Baseline value: 0 Target value: 7 Source: Results matrix (April 2017)	• Specific: Yes • Measurable: Yes • Attainable: Yes • Relevant: Yes • Time-bound: Yes	No adaptation necessary.
MO3: Citing specific examples, x% of y respondents that have benefited from small-scale measures, including z% women, confirm that the measures conducted in collaboration with government actors have contributed to improving their (living) situation in the context of conflict-induced displacement. Baseline value: 0 Target value: x% of y, z% of them are women Source: Results matrix (April 2017)	• Specific: Yes • Measurable: Yes • Attainable: Yes • Relevant: Yes • Time-bound: Yes	Since indicator values were not filled in the April 2017 result matrix, the following targets were added in the monitoring system and in the progress report to BMZ 2018: 90% of 100, 60% of them are women.
MO4: Four best practices of government bodies for coping with sit-	• Specific: Yes • Measurable: Yes	No adaptation necessary.

uations of conflict-induced displacement, which take gender aspects into account, have been disseminated at a transregional conference. Baseline value: 0 Target value: 4 Source: Results matrix (April 2017)	• Attainable: Yes • Relevant: Yes • Time-bound: Yes	

Evaluation basis: As a first step, the evaluation team assessed the how much of the agreed project objective (outcome) had been achieved according to the objective indicators and whether additional indicators were needed to reflect the project objective adequately (see assessment above). This required comparison between the current status and the targets of the outcome indicators. In a second step, a contribution analysis was conducted to assess the contribution of project activities and achieved results (outputs and outcomes) to achieving its objective. For this, three hypotheses were selected from the results model. Following Mayne, a contribution analysis was based on six steps. The validated results-model guided the analysis in step 1 (see Chapter 3.2). During a participatory exercise with the project management, three key causal links were identified from output to objective (step 2).

Selection criteria for the hypotheses comprised key interests for the project team as well as the feasibility of implementing contribution analyses in the given time frame. The budget volume of the outputs chosen as part of the contribution analysis also played a role in the selection. The three chosen outputs A, B and D each made up about 22% of the project budget, while the volume for output C was considerably smaller (13%). Furthermore, the third hypothesis was chosen because output D was only indirectly linked to the rest of the project's overall objective. The evaluation team wanted to assess the project team's claim that output D in fact depended on inputs from other outputs, in this case output D.

As a third step, the evaluation also assessed unintended changes under the effectiveness criteria. Unintended changes could refer to aspects that have influenced positively or negatively the attitude, subjective norm or perceived behavioural control of national participants.

Evaluation design and methods: To reach conclusions about the effectiveness and achievement of indicators, the evaluation team built on secondary and primary data sources. During qualitative content analysis, key project documents as well as relevant external documents were reviewed and examined for evidence regarding the indicators. The consultants also collected and triangulated perceptions from key stakeholders, including the project team management and team members, and key partners such as DILG, OPAPP and OCD as well as members of local government bodies. To collect evidence on influencing factors and conflicting explanations (step 3), the evaluation team built on a mixed-method approach and thus on a variety of data sources, data collection and analysis methods. Qualitative data collection instruments included semistructured interviews with project partners at state bodies and in the private sector and further interviews with private sector companies. Elements of the most significant change technique were integrated in the discussion, inquiring about key and unintended changes perceived by the different parties involved. Eventually, a contribution story was compiled in step 4 of the contribution analysis). Step 5 entailed collecting further evidence for alternative hypotheses. Eventually, the contribution story was finalised (step 6).

Effectiveness dimension 1: the extent to which the indicators at the outcome level were fulfilled

The following information provides an overview of the achievement of the project's objective based on the indicators from the results matrix. The results at module level were not completely achieved. However, two out of three indicators were overachieved. Overall, the achievement of the outcome objective was difficult to prove. There were no incidents of conflict-induced displacements in the targeted municipalities and barangays during the project evaluation so the improvement in government response to such incidents could not be tested. Therefore, it was difficult to measure the extent of actual improvement in government response to conflict-induced displacement.

Outcome indicator 1: x% of y respondents in six selected municipalities cite specific examples as evidence that the guidelines are being applied.

Base value: 0

According to the progress report (agreement with BMZ):
- Target value: 90% of 30 respondents in 6 selected municipalities cite specific examples.
- Status at project end: 100% of 30 respondents from Tandag City, Carmen, Butuan City, Bayugan, Prosperidad and Gigaquit (excluding Lianga) cite specific examples as evidence that the guidelines were applied.

According to the results-based monitoring system:
- Target value: 90% of 100 respondents cite specific examples.
- Status at project end: 100 % of 63 respondents (reduced response rate).

Source: results-based monitoring system

The achievement rate for indicator 1 at module objective was 100% (see below). The achievement of this indicator was assessed differently depending on the target values used:

- In line with targets agreed with BMZ in the 2018 progress report, the outcome indicator 1 with regard to the application of 90% of 30 respondents in six selected municipalities was overachieved with 111% (100% of a targeted 90%). This means that 100% of 36 respondents in six selected municipalities cited specific examples as evidence that the guidelines were being applied.
- In regard to targets outlined in the results-based monitoring system, assessment of achievement was somewhat more complex. While the total 63 respondents was fewer than the anticipated 100, the positive response rate of 100% was higher than the anticipated 90%. In the results-based monitoring system, the project rated the level of achievement with 111% (100% of a targeted 90%). However, in the evaluation team's assessment this value did not reflect the real level of achievement. Critical feedback could have been missed when feedback from only a part of the targeted group was received. However, all targeted municipalities were adequately included in the sample and there was no evidence suggesting the sample was not representative. Therefore, there was no evidence suggesting underachievement of the indicator due to the lower response rate. Based on this assessment the evaluation team rates this indicator as achieved at 100%.

In order to measure the application of guidelines according to outcome indicator 1, the project team conducted a survey among the respondents from seven local government units in Tandag City, Gigaquit, Butuan City, Prosperidad, Carmen, Bayugan and Lianga. To reflect the implemented activities, surveys were also conducted in regional and provincial offices, academia and civil society organisations. The presence of these institutions increases the representativeness of the indicator because they are core users of the guidelines on conflict-induced displacement developed by the project. The target respondents were chosen based on a number of criteria. The respondents were questioned on the application of the following guidelines: *Dialogue Handbook, Community Profiling Handbook, Handbook on Internal Displacement, DRRM & CP Planning Guidelines, Protocol on Assessing Emergency Facilities* (such as food for work and cash for work), *MHPSS Training Manual* (for

local government staff), *SMM Guidelines for Submitting Proposals, Technical Education and Skills Development Authority Guidelines,* Do No Harm app and creative formats for conflict-induced displacement sensitisation (theatre, doodle videos) *Revised Questionnaire for Outcome 1* from the results-based monitoring system.

During interviews of the evaluation team, several interview partners reported on the usefulness of the guideline. For example, local government staff reported that the procedures outlined in the mental health and psychosocial support training manual allowed them to structure the dialogue in way that allowed them to identify what internally displaced people needed and wanted most. According to local government perception, dialogue guidelines helped reduce the long-held fears and worries of those who experienced displacement. The process and tools were designed so that participants could illustrate how the displacement affected them (Int_6,7,8,9,10 with local government officials).

Local government staff also reported that the techniques and examples offered by the mental health training manual helped their efforts to refresh their practice and conduct dialogues. For instance, those techniques were applied during the biannual mental health day implemented by Tandag City health office (INT_GOV07). In Carmen participants of CAPID training sessions formed a core group that brought together the local government office, Mindanao Disaster Risk Reduction Management Office, the rural health unit and the social welfare and development office – which integrated the reflective structure dialogue methodology into all activities (INT_GOV09, INT_GIZ01). Given the official reported score for this indicator and the impressions gathered from interviews with members of the municipality, administrations suggest that the guidelines were widely applied. More evidence regarding the guidelines appears below in the contribution analysis.

Outcome indicator 2: Seven regional peace agendas or local development plans in home and host communities take account of the specific needs of the population groups most severely affected by conflict-induced displacement.

Base value: 0
Target value: seven regional peace agendas or local development plans
Status at project end: two (29%) regional development plans take account of the specific needs of the population groups most severely affected by situations.

Source: results-based monitoring system

The achievement rate for indicator 2 at module objective was 29%.

The outcome indicator 2 with regard to the application of seven regional peace agendas or local development plans in home and host communities was underachieved with a score of 29%. At the time of the evaluation only two development plans and regional peace agendas took account of the specific needs of the population groups most severely affected by situations of conflict-induced displacement. The regional peace agendas or local development plans studied for this indicator included: Conflict-induced Displacement Sensitized Regional Disaster Risk Reduction and Management Plan, Caraga Regional Contingency Plan for Conflict-induced Displacement, Comprehensive Development Plan Butuan, Comprehensive Development Plan Prosperidad, municipal human rights action team plan for Carmen Barangay (1-8) and human rights action team plan for Carmen, EcoProfile in Butuan (14) and in Prosperidad (3).

Two major achievements in these reports are:

- **Conflict-induced Displacement Sensitized Regional Disaster Risk Reduction and Management Plan:** Through the Regional Disaster Risk Reduction and Management Council Resolution No. 04-2020, the Regional Disaster Risk Reduction and Management plan was adopted on 18 March 2020, with the issue of conflict-induced displacement integrated throughout the plan. Most importantly, among other strategic priorities it outlined the local disaster management benchmarks for conflict-induced forced displacement.

- **Caraga Regional Contingency Plan for Conflict-induced Displacement:** With the help of workshops with members of the Regional Disaster Risk Reduction and Management Council, a regional contingency plan for conflict-induced displacement was drafted, endorsed and adopted in 2019.

Comprehensive development plans in Butuan and Prosperidad were submitted to DILG without previous lessons related conflict-induced displacement because the consolidation of ecological profiles at local government level was partly delayed until after submission. The ecological profile was a socioeconomic profile produced by each local government unit for DILG, which outlined the physical, biological, socioeconomic, cultural and built environmental terrain in its constituency.

The ecological profile aimed to help local government determine:

- the current level of services to its constituents,
- the resources available, and
- the environmental factors that will affect policy and should be changed through the policy.

Finally, the economic profile analysed problem situations affecting the target or specific segments of the population. Comprehensive development plans in Butuan and Prosperidad depended on information from ecological profiles about situations of conflict-induced displacement. Furthermore, human rights action team plans on municipal (Carmen) and barangay levels were still in progress (Results Based MonitoringSystem, RBM, INT_GIZ01). Hence, the delay in submitting the local government unit's ecological profiles and human rights action team plans resulted in lessons from recent experience not being included in the development plans. With an official cooperation agreement and closer cooperation with the national partners, it might be possible to achieve the inclusion of newly acquired knowledge in these plans (Int_1,6 with GIZ).

Outcome indicator 3: Citing specific examples, 90% of 90 respondents who have benefited from small-scale measures, 60% of them women, confirm that the measures conducted in collaboration with government bodies have contributed to improving their living situation in the context of conflict-induced displacement.

Base value: 0
Target value: 81 (54 women – 90% of 90) respondents confirm measures have improved…
Status at project end: 100% of 100, 95% of which are women.

Source: results-based monitoring system

The achievement rate for indicator 3 at module objective level was 111%.

In **focus-group discussions** with 100 beneficiaries the project found 100% confirmed that the small-scale measures have contributed to improvements in their living situation. The 100 beneficiaries were selected from a group of 1500 total beneficiaries. The percentage of women that profited was overachieved with 158% (95 out of the targeted 60% women). However, this overachievement was not necessarily positive. The project contacted 95 women, 40 more than originally foreseen in the indicator definition. The target of 60% women was chosen to ensure that women were not underrepresented. However, the representativeness of the sample was reduced by approaching more women than men, which distorted the sample selection. While there was an underrepresentation of men, the target group for small-scale measures was composed of more women than men: 179 women to 46 men among those who found jobs afterwards (Work with Smiles Project, End-of-Project Report). Further people were reached when water systems were provided in four additional barangays. Since the evaluators received no detailed information on the sample selection or the composition of the group of 1500 total beneficiaries, a final assessment of this indicator's representativeness was not possible.

The method of data collection however was assessed as beneficial to the intended meaning of this indicator. Focus group discussions were used as a qualitative research method based on the assumption that the group

processes activated during a moderated and balanced discussion helped to identify and clarify shared knowledge among groups and communities, which would be difficult to obtain with a series of individual interviews. Since the indicator intended to verify improvement of living conditions within local host and home communities affected by conflict-induced displacement, the methodology was chosen well.

By partnering with the Skills Mastery Institute for Learning Entrepreneurship and Success (SMILES) Foundation, the National Commission on Muslim Filipinos, the City Social Welfare and Development office, and the local government units of barangays Ong Yiu and Limaha, the project established Work with SMILES (subsequently referred to as the SMILES project). The 11-month scheme aimed to strengthen trust and social cohesion between internally displaced people and their host communities in Butuan with skills training for shared livelihood activities. The sessions covered topics such as **urban gardening**, **food processing**, **cell phone services**, **garment production**, **basic carpentry**, **entrepreneurial** and **managerial skills**. Through the SMILES project, 540 people from 90 displaced and host families were trained. Muslims and Christians trained side-by-side to encourage them to talk to each other, work together and overcome their cultural barriers (2020 article on livelihood training, Work with Smiles (WWS) Project, End-of-Project Report).

During the evaluation no direct beneficiaries of the small-scale measure could be interviewed; however in a few interviews local government participants praised the approach and highlighted the importance (INT_GIZ03, INT_GOV07).
In addition to benefiting from income-generating activities through the SMILES initiative, the project participants from the Mabuhay, Sitio Pulotan and Sitio Hitaub banagays in Tandag as well as Camomonan Barangay in Gigaquit received access to a water system through the project.

Outcome indicator 4: Four best practice examples of government bodies coping with conflict-induced displacement – which take gender aspects into account – have been disseminated at a transregional conference.

Base value: 0
Target value: 4
Status at project end: 5

Source: results-based monitoring system

The achievement rate for indicator 4 at module objective level was 125%.

The outcome indicator 4 on the dissemination of four best practice examples in the context of conflict-induced displacement, which take gender aspects into consideration, was overachieved with a score of 125%. Among the CAPID best practice examples counted under this indicator:

- **Community Health Day in Tandag:** The City Health Office organised a community health day. During the event, the CAPID project and local government partners focused on piloting the integration of psychosocial support and conversation with community members into health service delivery.
- **Governance needs assessment for host communities:** The project conducted the assessment in host communities in Caraga. The assessment aimed to sensitise state organisations on the relevance of good governance for strengthening resilience and social cohesion in host communities by fostering dialogue on governance challenges in relation to forced displacement and identify the needs of partner municipalities with regard to strengthening local governance for a better response.
- **Strengthening social cohesion between displaced people and host communities through shared livelihood activities:** Committed to improving the wellbeing of the internally displaced people and their host community, GIZ partnered with the SMILES Foundation, the National Commission on Muslim Filipinos and the city welfare and development office to establish the Work with SMILES project. The 11-month programme aimed to strengthen trust and social cohesion between displaced people and host communities in Butuan through mutual skills training.

- **Dialogues:** The project developed the reflective structured dialogue approach to allow local government and civil society participants to assess situations of conflict-induced displacement and design appropriate responses. The approach has been adapted to the specific conditions in Caraga Region. It was pilot tested in Gigaquit (Surigao del Norte) in August 2018. Since then, the CAPID has organised 16 dialogue events throughout the region (two cities and three municipalities), bringing together 263 displaced people, host families, representatives of barangay and municipal governments, and concerned regional offices of national government agencies. Reflective structured dialogue has been a process and content-oriented conversation between equals that is characterised by openness, active listening and adherence to the principles of Do No Harm and conflict, gender and culture sensitivity.
- **Community profiling:** The project developed community profiling as an action-oriented, purposeful and collaborative methodology to understand and describe a community. It provided a comprehensive snapshot of the social, economic, political and biophysical profile of a community. The processes and outputs enhanced the qualitative dimension of the ecological profile chapters of the barangay development plans or comprehensive development plan, or the situation analysis of the comprehensive land use plan. The approach was documented in a community profiling guidebook, a technical manual outlining the approach to complement existing guidelines on local development and land use planning. In October and November 2019, the approach was tested in three barangays in the municipality of Prosperidad (Agusan del Sur) and in 17 barangays in Butuan City.

Effectiveness dimension 2: contribution analysis

Fulfilment of output indicators

The following information provides an overview of the achievement of the project's outputs based on the indicators from the results matrix: all indicators at output level have been achieved.

Project output A: Dialogue has improved among government and non-governmental actors and victims in home and host communities in Caraga for resolving conflicts arising from conflict-induced displacement.

Indicator A1: Six measures for dialogue between victims of conflict-induced displacement and representatives of government institutions have been carried out in three selected home communities.

Base value: 0
Target value: 6
Status: 10 (167%)
Progress status: 100%

Source: results-based monitoring system

The indicator A1 with regard to the dialogue improvements among government and non-governmental parties and victims was overachieved with a score of 167%, consisting of 10 different dialogue measures in at least three different selected home communities (according to indicator A1 in the results-based monitoring system). The indicator was put into action with measures such as community days (Sitio Hitaub and Tandag), women-focused dialogues (Carmen 2nd and Gigaquit) as well as youth-focused dialogues (Carmen 3rd and Gigaquit). The fulfilment of each measure was rated by the number of participants, also accounting for the number of female participations – about 30% of the total number of participants in each dialogue group. The dialogue groups with the highest fulfilment were the Sitio Hitaub Community Day and the Prosperidad Pilot Dialogue.

Indicator A2: Six measures for dialogue between victims of conflict-induced displacement and representatives of government institutions have been carried out in three selected host communities.

Base value: 0
Target value: 6
Status: 8 (133%)
Progress Status: 100%

Source: results-based monitoring system

Indicator A2 about dialogue improvements among government and non-governmental bodies and victims was overachieved with a score of 133%, consisting of eight different dialogue measures in at least three different selected host communities (according to indicator A2). The indicator was demonstrated with pilot dialogue measures in host communities such as Gigaquit, Tandag, Awasian, Butuan, Carmen and Prosperidad. Again, the fulfilment of each measure was rated by the number of participants; female participation has achieved scored at least 50% in each of the selected host communities. The pilot dialogue groups with the highest fulfilment were the Butuan and the Prosperidad pilot dialogues.

Project output B: The competencies of government actors at regional and local authority level have been strengthened for coping with situations of conflict-induced displacement, taking specific account of climate risks as an additional stress factor.

Indicator B1: In collaboration with government bodies, five documents (including manuals, protocols and experience reports) have been compiled on dealing with the situations of conflict-induced displacement that take specific account of climate risks as an additional stress factor.

Base value: 0
Target value: 5
Status: 6 (120%)

Source: results-based monitoring system

The indicator B1 with regard to the compilation of displacement-related documents and accounting for climate risks, was overachieved with a score of 120% (according to indicator B1). Six documents have been established, including manuals, guidelines, and handbooks. The most noticeable documents included the *Guidebook on Community Profiling* – which identified climate risks as part of the tools – and the *Handbook on How to Conduct Dialogues,* which included community issues related to displacement.

Indicator B2: Seventy representatives of government institutions at regional and local authority level have been trained in applying guidelines (including manual and protocol) on dealing with situations of conflict-induced displacement, taking account of climate risks.

Base value: 0
Target value: 70
Status: 274 (984%)

Source: results-based monitoring system

The indicator B2 with regard to the training regional and local authorities to apply the guidelines on dealing with conflict-induced displacement was overachieved with a score of 391, where a total of 274 participants were trained in contrast to the target value of 70 (according to indicator B2). A total of 21 training sessions have been conducted. Among them, the Orientation on the Basic Terms, Concept, Laws and Framework on Conflict-

induced Displacements (June 2019) and Do No Harm training for SWDL (October 2019) had the highest participation rates. Many of the trainees in more than one programme. The title, details and issues of each training topic has been documented and displayed for verification.

Project output C: Exchange and coordination have been stepped up between government bodies and non-governmental actors at regional and local authority level for dealing with situations of conflict-induced displacement.

Indicator C1: Three discussion forums for exchange between government bodies and non-governmental bodies on situations of conflict-induced displacement have been held at regional and local authority level. *

Base value: 0
Target value: 3
Status: 6 (200%)

Source: results based monitoring system

The indicator C1 with regard to establishing discussion forums on dealing with conflict-induced displacement was overachieved with a score of 200%, given that the expected number of discussions was doubled (according to indicator C1). Six discussion forums took place at regional and local authority levels. The documentation assessment of discussion forums on conflict-induced displacement was reported. Executed forums included the **forum for the displaced people from Marawi in Butuan City** and the **discussion forum on the incident command system and crisis management**. The results from the forum for displaced Marawi people based in Butuan City resulted in response and engagement from the Marawi people themselves that would not have been possible without the project *(INT_PAR02)*.

Indicator C2: Three coordination meetings between government bodies at regional and local authority level have been held on dealing with situations of conflict-induced displacement.

Base value: 0
Target value: 3
Status: 3 (100%)

Source: results-based monitoring system

The indicator C2 with regard to the coordination meetings between government bodies on dealing with situations of conflict-induced displacement was achieved well with a score of 100% (according to indicator C2). Three coordination meetings have been held among government bodies at regional and local authority levels. The documentation assessment of minutes of coordination meetings and the list of participants were documented well. The **presentation and approval of the regional contingency plan for conflict-induced displacement** as well as the **presentation of the *Handbook for Handling Internal Displacement*** were among the documented meetings that took place.

Project output D: More specific measures are conducted for victims of conflict-induced displacement in home and host communities, especially for disadvantaged population groups (indigenous cultural communities, women, and host families).

Indicator D1: A total of three small-scale measures have been carried out in three home and host communities.*

Base value: 0
Target value: 3
Status: 8 (233)

Source: results-based monitoring system

* All small scale measures were/are geared to the specific needs of particularly disadvantaged groups.

The indicator D1 related to establishing the three small-scale measures in three home and host communities was overachieved with a score of 300%. The indicator target value was reduced from originally 12 small-scale measures to three due to the delay in the project. Five measures under the **SMILES project** have been successfully implemented in the selected communities of barangays Ong Yiu and Limaha, Butuan City. The training programmes covered the following areas:

- urban gardening,
- food processing,
- cell phone repair,
- garment production, and
- carpentry.

Three water systems were established in Mabuhay Barangay and Barangay Awasian in Tandag as well as Camomonan in Guigaquit (the system in Camononan is still under implementation at the time of evaluation). A fourth planned water system was not built due to issues with procuring land in the barangay. Meanwhile, target values for this indicator were readapted over the project span. While the indicator value was formally reduced to three, towards the end of its term the project was aiming to implement nine measures, including four water systems. This was not fully achieved.

The SMILES project aimed at reducing the impact of displacements, particularly the limited access to food and employment. Under output D the livelihoods of the displaced households were meant to be protected and rehabilitated by sustainably restoring and maintaining livelihood production. A total of 225 partner beneficiaries comprising of 46 men, 179 women and 25 young people have acquired sustainable occupations after training in five trades mentioned above. Under the second outcome objective the project aimed to establish a supportive market environment to support the income-generating projects among the displaced people. As a result, roughly 90% or a total of 202 partner beneficiaries have been prepared with the right knowledge and entrepreneurial acumen in establishing community-based livelihood projects as alternative sources of income.

The water systems were established after a needs assessment in the community dialogues. For example, during a mental health and psychosocial support event in Sitio Hitaub Barangay, which had been determined as a pilot community, the community members identified a water system as part of their needs. In June 2020, the project set up local subsidies with civil society organisations in the respective community. The funds for establishing the water system were formally handed over from the project to the community (INT_GOV02). During this evaluation no final reports on the level of implementation of the water systems were available because the process was still ongoing. However the planned water systems in…

Indicator D2: 2 of the 3 small-scale measures were geared to the specific needs of particularly disadvantaged groups.*

Base value: 0
Target value: 5
Status: 78 (160)

Source: results-based monitoring system

The indicator D2 in regard to establishing two small-scale measures particularly focused on disadvantaged groups was achieved well with a score of 100% (according to indicator D2). Disadvantaged groups were defined as victim population groups in the region – both displaced and from host communities – and especially indigenous cultural communities in remote rural areas (project proposal 2017).

As listed previously, five measures for disadvantaged groups under the SMILES project were successfully implemented in Ong Yiu and Limaha, Butuan City. A progress report and a final report was produced on each of the measures. All small-scale measures were geared to the specific needs of particularly disadvantaged groups. In addition, the project established water systems in Mabuhay Barangay and Barangay Awasian, Sitio Pulotan and Sitio Hitaub in Tandag as well as Camomonan Barangay Camomonan in Guigaquit following a needs assessment during the community dialogues and the 2018 governance needs assessment (INT_GOV02, 2018 governance needs assessment).

Selected pathways for the contribution analysis

As mentioned above, a second important step in the effectiveness assessment involved evaluating the contribution of the project activities and outputs to achieving the project objective (outcome measured against its indicators). Below is a summary of the three most crucial pathways identified, selected and agreed upon by the project team in a participatory workshop.

Results hypotheses

- **A1 to output A to module objective:** The implemented dialogue formats on mental health and psychosocial support as well as trainings on facilitation and conduction of trainings lead to an improved dialogue among government and non-governmental actors and victims in home and host communities in Caraga. The improved dialogue in turn led to an improvement in the response of government to conflict-induced forced displacement.

Additional remarks on pathway A1 to MO: The bullet points below outline additional evidence on how the improved dialogue approach contributed to building the capacities of government bodies in responding to conflict-induced displacement:

- Local government bodies in the project pilot areas revealed that dialogues were done differently in the past. When a community was hosting internally displaced people, local government organisations would go to this community and deliver food and medical services (INT_GOV07, INT_GOV08, INT_GOV09, INT_GOV10, INT_GOV11). If they were able to gather the displaced people and host families in one setting, there was little interaction. The government representatives did most of the talking, while the displaced people and host families only listened. As soon as they completed their talks or extended the services, they would leave the community in a hurry.
  During project implementation government officials learned how to apply reflective structured dialogue, integrate mental health issues and services in dialogue events, and how to take their time to engage with the internally displaced people and host families. These experiences lead to the realisation that they were now better equipped to fully understand the depth of fear, anxiety, confusion and mistrust previously harboured by displaced people. As they incorporated cultural practices such indigenous prayers and rituals, they were

able to convey a sense of “belonging” as a community.
Local government representatives also learned to avoid formal and strict agendas, and instead incorporate creative processes in dialogues with displaced people and local communities. This change of track was repaid with openness as those who experienced displacement spoke freely of their problems and needs, and contributed opinions on how to resolve the conflicts at hand. In response local government bodies assessed which issues would have to be advanced to higher authorities (INT_GIZ01, CON_PAR01; INT_PAR01, INT_GOV07, INT_GOV10).

- During one of the dialogues, officials from a municipal social welfare and development office learned that barangay officials no longer report cases because displaced people stayed with their relatives over a short time of displacement. As a result, these barangay officials were then instructed to report such events immediately, so a proper and prompt government-authorised response would be extended (INT_GIZ08).
- More generally local government officials learned how to facilitate the reflective structured dialogue format so they could gain the trust of the displaced people they dealt with. In return the officials learned more about their situation that could not have been shared without the level of trust created through the dialogue. In response several concerns were identified and addressed where possible (INT_GIZ07, INT_GIZ11).
- The pattern of government response focused on natural disaster displacement. While there were funds allocated for calamity, the local government first had to officially declare a calamity. Certain conditions needed to be met in order to declare a calamity, including a percentage of the population affected. If there was no legislative confirmation, then the funds could not be utilised or distributed. As mentioned above, one main issue was that internally displaced people often stayed with their families and did not register with the local authorities; therefore they were not officially identified and recorded as displaced. This resulted in the relevant local government bodies being unaware of the issue and unable to provide qualifying figures on the affected population. Improved engagement through dialogue led to better identification of their concerns when they spoke more freely of their needs. This engagement could pave the way to identifying more people who were affected, finally resulting in meeting the conditions for declaring calamity (INT_GIZ01, INT_GOV06). In this case the dialogue format could be a valuable tool for improving government response to conflict-induced displacement.
- There has been an initiative to make more funds available as a result of a need identified during the dialogues of local government bodies. However, the financing instruments have long been available to local government bodies – as early as 1991 for confidential funds and development funds and 2010 for local disaster risk reduction and management councils funds. The fact that these instruments have long been available and that they were not used in accordance with spending rules and regulations shows the power of the dialogues in changing how things are done (*INT_GIZ01, INT_GOV06, Analysis of the Financial Options for Addressing Conflict-Induced Displacement in Caraga)*.

Output A to output D: The improved dialogue among government and non-governmental bodies and victims in home and host communities on resolving conflicts arising from conflict-induced displacement in Caraga led to the acknowledgement of specific needs and hence to the implementation of specific measures implemented for survivors of conflict-induced displacement in home and host communities.

Additional remarks on pathway output A to output D: As mentioned above, in addition to the evidence reported under indicator M1 further evidence on the influence of the dialogues on specific measures was collected:

- During the handover conference to the partners in October 2020, one internally displaced individual recounted their experience of having to leave their homes to escape the firefight between government forces and insurgents. After the community dialogues following the displacement, one of the resulting agreements was for the “purok” (cluster of settlements) leaders to be able to give warning to the people so they could leave earlier or at least bring basic items with them as they temporarily leave their houses. While the displacements were short (four hours to a few days), the displaced people lamented the need to share a home with relatives along with seven other families. Since there was no access to water, they had to buy their drinking water and bathe only three times a week *(CON_01GIZ)*. The need for water supply was then

addressed by the project together with local partners.

- Health and social welfare staff from local government units from Gigaquit, Tandag City reported that the need to access water in host communities emerged in dialogues in the barangays, and was hence addressed by the project and local partners through the provision of water systems (CON_01GIZ, INT_09GIZ, INT_07GIZ, INT_10GIZ).
- The evaluation found limited evidence that output D contributed directly to the module objective. Instead the implemented studies and small-scale measures under output D contributed to strengthening the competencies of local government (output B), hopefully leading to better response to conflict-induced displacement (module objective). For example, a paper on lessons learned about implementing small-scale measures was produced by a consultancy; this could be used in building competencies with local governments around putting such measures into action. The National Commission on Muslim Filipinos and the city social welfare office were closely involved in conceptualising and planning the SMILES project. Local government units were directly involved in assessing water systems (INT_GOV10). Through jointly implemented small-scale measures and especially needs identified through studies and experience, state bodies have an expanded repertoire of concrete measures to support those affected by displacement.
- The small-scale measures contributed more directly to the newly defined unintended impact objective: **youth and disadvantaged target groups are empowered and strengthened** (UI1). The Smile project aimed to reduce the impacts of displacement, particularly the limited access to food and employment of those displaced from Marawi City. A total of 225 partner beneficiaries comprising of 46 men, 179 women and 25 youth have acquired sustainable occupations after training in five different trades: urban gardening, cell phone repair services, basic carpentry, garments production and food processing. For example, in Butuan City, those displaced from Marawi moved were hosted in a dominantly Christian community. The displaced people, who were Muslims from the Maranao indigenous tribe, did not feel welcome at first. However, the types of occupational training were not biased to a specific group. Both Muslims and Christians, displaced people and host families, men, and women, were given access to the training. The training then provided opportunities for both sides to mingle and develop trust, leading towards a more cohesive community (CON_PAR01). The relations between the different groups of residents have improved as a result and tensions reduced. After the intervention, the individual participants reported increased self-esteem and restored dignity. Through the jointly implemented small-scale intervention, state bodies have acquired an expanded repertoire of concrete measures to support displaced people and host communities (*Work with Smiles (WWS) Project, End-of-Project Report, Work with Smiles Monthly Report, 12. 2018)*

B2 to output B to module objective: The development of a handbook to guide local and regional governments in handling conflict-induced displaced contributes to an increase of government competencies at regional and local level for coping with situations of conflict-induced displacement. The specific increased capacities resulting from the handbook lead to concrete improvements in the handling of conflict-induced displacement by government actors.

Remarks on pathway output B to module objective: In addition to evidence cited under indicator M1, further proof on how the handbook led to improvements in carrying out the specific measures was collected:

- The *Handbook on Handling Conflict-Induced Internal Displacement* supported local government bodies on handling conflict-induced displacement (INT_GIZ01, CON_PAR01). The Regional Peace and Order Council, through DILG, initially requested support from the project for reviewing and improving the manual. The previous version of the manual was produced in 2016. Throughout the process, participants were in constant contact, regularly exchanging ideas and acquiring new skills for dealing with internal displacement. In 2019 the project precontracted a team of local and international experts to revise the manual. The personal exchange between the experts and the local representatives of the Regional Peace and Order Council led to an exchange of knowledge and increased interest in working more intensively on the topic (Progress Report 2019, *Handbook on Handling Conflict-Induced Internal Displacement*, CON_GIZ01).
- The *Handbook for Community Profiling* was greatly welcomed by the local government bodies, especially those at the community level (INT_GIZ01). The document provided guidance on how local government

could “profile” indigenous communities, particularly those displaced by conflict. When internally placed people gathered in host communities, it was typical that they came from different home communities. Due to repeated displacements and other driving factors, the composition of a community changed over time. For local government to be responsive to the needs of a specific community, it needs to “profile” this community for a description of its area in order to collect information on its social, demographic, political, economic and environmental condition.

Government officials described the tools in the handbook as useful in helping indigenous people to participate in community planning processes without facing the barriers of technical terms. The recommended tools were sensitive to indigenous cultures and perspectives, and they simplified “extracting” information. The tools could also be used in other planning and programming plans relating to development, land use and the needs of indigenous people (*Comprehensive Development Plan, Comprehensive Land Use Plan, Forest Land Use Plan,* and the *Ancestral Domain Sustainable Development and Protection Plan,* which focuses on indigenous people), which are necessary to allocate resources from the national government coffers (INT_GIZ01, CON_PAR01, *DILG Sourcebook on Local Development Planning).*

- In May 2010 the Republic Act No. 10121 (RA 10121) was signed. This legislation focused on strengthening the Philippine disaster risk reduction and management system, providing for the national disaster risk reduction and management framework and institutionalising the national disaster risk reduction and management plan. The act and policies emanating from it have been very explicit on the range of services provided to people and communities affected by natural disasters (such as typhoon, flood and earthquake), and about the use of local disaster risk reduction and management fund. However, there were limited and perhaps dispersed recommendations for conflict-induced displacement.

  The *Handbook on Handling Conflict-Induced Internal Displacement*, enriched by the Caraga region’s experiences and good practices, brought all the information together. For the prevention phase, the handbook covers required structures and policies, competencies, resources and key messages. For the protection and response phase, it delineates the roles and responsibilities of government agencies and stakeholders. It also advises on the conduct of situation analysis and needs assessment, lists the protection responses, and proposes activities under monitoring, evaluation and learning. For the third phase on durable solutions, it lists the modalities, conditions and other suggestions based on the region’s context. The handbook appears applicable in similar settings such as conflict-induced displacement and dealing with displaced indigenous groups.
- As mentioned above 63 representatives from local government units in targeted municipalities and respondents from provincial and regional government offices cited examples of where the guidelines and manuals developed by the project are being used (outcome indicator 1).

Effectiveness dimension 3: additional and unintended effects

Given the feedback provided by stakeholders and based on the evaluator observations, it appears that the project has produced no unintended negative result. On the positive side, many aspects have been mentioned already in more detail above and are important preconditions for the impact and sustainability of the project. First, youth was engaged as an unforeseen target group through project activities such as doodle videos based on real displacement narratives from internally displaced people in their own communities and within the small-scale measures. Secondly, internally displaced people from Marawi who came to live in Butuan were targeted, though they were not part of the original target group at project conception. Thirdly, the mental health and psychosocial support instrument was included in the Philippines department of health in its day event on the municipality level.

As mentioned above, a monitoring system at project level was in place and well-maintained. Furthermore, the evaluation team confirmed that the importance of monitoring and evaluation was acknowledged (INT_GIZ01, INT_GIZ02, INT_GIZ03, INT_GIZ04). The results-based monitoring system included pages to monitor risks such as COVID-19, the effects of the Anti-Terrorism Act 2020 and recent violent conflicts in Caraga. While

some of these risks have not been regularly updated, a general and ongoing awareness and discussion about risks has been apparent (INT_GIZ03, INT_GIZ05). Furthermore, the project extensively discussed risks in its progress reports of 2018 and 2019, which outlined risk mitigation measures. This included the discussion of unintended negative results at the output and outcome level (Results Based MonitoringSystem, Project Progress Report 2018, Project Progress Report 2019).

Overall assessment of effectiveness

Since most indicators with one exception at outcome level were achieved (M100%/111%, M2: 29%, M3: 111%, M4: 125%) the project has achieved the majority of its outcome on time. The evaluation team therefore awarded 33 out of 40 points in this dimension. Full points were not given because of the low achievement rate for module indicator 2, the methodological questions about the measurement of module indicators 1 and 3 and risks regarding the use of the guidelines on dealing with conflict-induced displacement situations. As there were no incidents of conflict-induced displacement in the project target areas after its final implementation the improvement in government response to such an incident could not be tested. Therefore, it was difficult to assess the extent of an actual improvement in government response to conflict-induced displacement.

For the contribution made by activities and outputs to the project objective, the evaluation team awarded 28 out of 30 points in this dimension. In terms of the output indicators, it could be stated that all indicators have been fully achieved (or exceeded). The contribution analyses provided evidence that the majority of activities and outputs relevant to the chosen hypothesis contributed to the project objective. Full marks were not awarded because of remaining questions and limited evidence on how the guidelines from the government agencies were used. Because the project was mostly implemented on the local and regional level many of the results had to be institutionalised in each organisation individually, rather than spread downwards from the national level. The project's very decentralised approach and the dependency on cooperation from each individual local and regional government office posed a risk to actual improvement in the response to conflict-induced displacement. While there was clearly an improvement in awareness and an increased amount of guidelines on how to take action, there was no proof of concrete gains on the issues of displacement.

Given the feedback provided by stakeholders as well as the evaluators' observations, it appeared that no negative results have been produced by the project. The evaluation team awarded 28 out of 30 points in this dimension. Full marks were not given because the monitoring of risks and risk mitigation strategies could have been slightly better documented. Also unintended effects were not systematically monitored.

The overall score for the assessment criterion **effectiveness** added up to 89 out of 100 points: **successful**.

Table 5. Rating of OECD/DAC criterion: effectivness

Criterion	Assessment dimension	Score and rating
Effectiveness	The project achieved the objective (outcome) on time in accordance with the project objective indicators.[8]	33 out of 40 points
	The activities and outputs of the project contributed substantially to the project objective achievement (outcome).	28 out of 30 points
	No project-related (unintended) negative results have occurred – and if any negative results occurred the project responded adequately. The occurrence of additional (not formally agreed) positive results has been monitored and additional opportunities for further positive results have been seized.	28 out of 30 points
Effectiveness overall score and rating		Score: **89 out of 100 points** Rating: **successful**

4.4 Impact

Assessment basis: Within the scope of this impact criterion, the evaluation team assessed whether intended overarching development results have occurred or are foreseen that are displayed outside the system boundary. This also included a brief assessment of the assigned identifiers (Kennungen) as an additional reference point for intended impacts, particularly in the following areas:

- peace and security (FS2)
- participatory development/good governance (PD/GG2),
- participatory development and good governance (PD/GG-1),
- poverty orientation (AO-1),
- gender equality (GG1), and
- adaptation to climate change (KLA1).

Peace and security (FS2) and **participatory development/good governance** (PD/GG2) were both principal objectives of the project and therefore crucial to its implementation. The evaluators also assessed the extent to which the intervention has contributed to achieving the overarching development results. In this regard, the assessment relates to the project's contribution to the outcome in the results models outside the system boundary and implementation of international development agendas such as the SDGs. Unfortunately, primary data at the population level was difficult to collect within the framework of this evaluation, which drew more on secondary sources and relied on interview partners from the local government units and other government partners. The explanatory power of the analysis with regard to impact at population level was therefore limited. Finally, assessing the impact criterion included an analysis of unintended results; if project-related negative results have occurred – and if so, to what extent the project responded adequately. It also looked at the extent to which the project monitored positive unintended results and used them as additional opportunities.

[8] The first and the second assessment dimensions are interrelated: if the contribution of the project to the objective achievement was low (assessment dimension) this must also be considered for the assessment of the first dimension.

Evaluation design and methods: Despite the limitations mentioned, perceptions about potential contributions were identified during the evaluation. To do so, the evaluation team followed a similar methodological basis (contribution analysis) to the one chosen for the effectiveness criterion. Key data sources were GIZ management and team, other GIZ projects and partner perspectives. Several hypotheses from the results model were examined in more detail in order to explain causal relationships between the project outcome and impacts. Most significant change stories supported the verification of the hypotheses set. Tendencies of unintended impacts or results were identified through examining different data sources, such as monitoring data, perception of the project team, and perception of key partners and the direct target group.

According to the evaluators, the impact assessment always needs to be put into context (see also the sustainability criterion) for a fair grading. For instance, it is more challenging for a small-budget project to contribute to an impact than project with a big budget. At the same time, the potential to contribute to impacts also depends on proximity to partners and the number of partners and countries involved. it was more demanding to create an impact in four countries than in one country. The evaluators' assessment takes the set-up and budget of this project into account.

Impact dimension 1 and 2: overarching development results and contribution analyses

While it was not possible to produce concrete evidence on the contribution of the module objective to reducing violence, the situation has improved and there are more capacities to deal with peace and security issues. Therefore, perceptions about potential contributions to overarching results (**reduction of violent conflicts**) were gathered during the evaluation missions.

Module objective to impact: The improved response of regional and local government actors to situations of conflict-induced displacement in home and host communities in Caraga contributes to a reduction of violent conflicts in selected areas of Caraga.

The strengthened capacity of regional and local government bodies for handling conflict-induced displacement was expected to contribute to reducing violent conflicts. With enhanced knowledge, utilisation of guidance and processes and better coordination with relevant offices, they could be able to provide prompt and appropriate services to internally displaced people. When those affected by displacement observed or experienced the efforts expended by government organisations, they were encouraged to cooperate with the government in peacebuilding or conflict-averting activities. This cooperation could translate to their participation in setting up early warning systems and conveying intelligence on emerging security threats. Those displaced may experience some level of improvement in their situation compared with previous displacement, and they may not be easily misled by insurgents and other non-state violent groups (INT_PAR02, CON_PAR01, INT_GIZ01).

MO to UI2 to UI5: The implementation of CAPID's dialogue approach by further programmes, initiatives and individuals contributes to a reduction of violent conflicts across Mindanao.

The dialogue format espoused by the project was different from previous practice by government bodies. The reflective structure dialogue approach took place over a longer timespan; it was flexible and open. It began as a multistakeholder event and split into focused dialogues, giving dedicated space for youth, women and indigenous peoples to express what they hold as urgent and important. In the event, participants sat in a circle rather than a "U" or classroom-shaped formation. This showed that all were on the same level and it encouraged communication. There were sessions on debriefing and reflection; thus issues and courses of action were acknowledged and validated. With improved trust and cooperation, the displaced or indigenous people would become less likely be used or influenced by insurgents and other non-state violent groups (CON_PAR01, INT_GIZ01, INT_GOV09, INT_GOV08). Hence, the manipulation of internally misplaced people by insurgents – as well as the government perception on this issue – would change and lessen the effects of violent conflicts.

Identifiers

The project takes its identifier into account by targeting **peace and security** (FS2) as a principal objective. While the final contribution to a reduction in violence was difficult to prove, the situation has improved and more capacities exist to deal with peace and security issues.

Placed in the fourth poorest region in the Philippines the project focuses on poor and marginalised populations affected by situations of conflict-induced displacement. By improving how multiple short-term conflict-induced displacements were handled, the project reduced a major contributing factor to continuing impoverishment and marginalisation of indigenous cultural communities (poverty reduction -AO1).

The project supported participatory development and good governance (PD/GG-2) by advising and developing the capacities of government bodies at regional and local authority level for coping with situations of conflict-induced displacement, enabling them to perform their tasks and responsibilities.

The project focused on the gender impacts of conflict-induced displacement in home and host communities, and the specific needs of women and girls, by conducting assessments of gender needs (GG 1). The project was originally assigned the marker KLA 1 and aimed to help strengthen the resilience of home and host communities to climate-induced displacement. However, during implementation the foreseen climate focus was not pursued further; this could be due to the fact that the issue had been taken up by other GIZ projects such as the global programme climate change and migration (INT_GIZ01, INT_GIZ02, INT GIZ05).

Secondary project objectives included a political and social contribution to rural development in its selected region, especially by focusing on disadvantaged rural and poor population groups and carrying out participatory dialogue procedures (LE 1).

Counterfactual analysis

The question what could have happened without the project was very difficult to answer, given that the scope of this evaluation mission did not allow for sophisticated counterfactual analysis. Therefore, the explanatory power of the findings below was limited and based on individual perceptions and the evaluators' observations.

While it was difficult to assess the effect the project had on reducing violent conflicts, it could be safe to say that the project has indeed made a strong contribution to increasing capacities of local government to respond to conflict-induced displacement. For example, the dialogue formats and capacity building of local government would not have been implemented and there would have been much less awareness or actual response to the needs of internally displaced people (INT_GIZ01, INT_PAR02, INT_TG02 INT GOV 06). This might have resulted in more – and continuous mistrust among disadvantaged groups – that became involved in dialogues. This mistrust could become fertile ground for violent conflict.

Furthermore, basic misconceptions about internally displaced people would still persist. For example, based on the *Caraga Roadmap for Peace*, published in July 2016, "internal displacement" was recognised as an insurgency strategy mostly by the communist party:

> 'The Local Communist Movement …adopts the basic twin strategies of launching a protracted peoples' war and encircling the cities from the countryside… the main forces of the local communist movement in the region are poor farmers and indigenous peoples (IPs). There are forces that drive the escalation of insurgency in the region. These are the insurgents themselves, the elites or select few who benefit from the status quo, and the abusive and corrupt government officials.'

However, the study **Nexus Between Displacement and Radicalisation in Eastern Mindanao** conducted by the project showed that the main causes of internal displacement were also based on horizontal conflicts related to identity and competition for natural resources. (Progress report 219, INT_GIZ01, INT:GIZ02; INT_GIZ03, INT_GIZ06).

However, local government employees believe that provision of basic services (shelter, food and mental health services) would have still occurred without the project (INT_PAR04, INT_PAR06, INT_PAR07). On the other hand, previous response had often been less understanding of the situation of the displaced people and lacked innovative instruments such as reflective structured dialogue and mental health and psychosocial support skills. Mutual trust between indigenous people or displaced people and local government employees was especially low (INT_PAR02, INT_GOV09).

Influencing the general conditions

Given the limited scope of the evaluation, it was almost impossible to robustly assess the extent the project's impact had been positively or negatively influenced by general conditions in the Philippines or other policy areas, strategies, or interests. As noted in relation to previous sections, the explanatory power of the findings below was limited and based on individual perceptions and the evaluators' observations.

Active and systematic contribution to widespread impact: four dimensions and scaling up approaches

Most of the measurable contributions at impact level have been described already in the previous sections in this chapter. Several other contributions with regard to impact on **sustainability** were discussed in the sustainability chapter. Contributions to the **quality** and **quantity** dimensions and the **relevance** of 'widespread impact' at the corresponding dimension level could not be identified robustly by this evaluation given the setup of the project and the evaluation itself. Even anecdotal evidence was difficult to gather at this level.

However, when it came to **horizontal and vertical scaling up** the project has led to the dialogue approach being implement by other programmes in the Philippines and repeated evidence of individual participants using dialogue formats on their own was found. Mental health and psychosocial support instruments were also included at events from the Philippines department of health on municipality level (INT_GOV07, INT_GOV09).

Impact dimension 3: unintended results

As mentioned above, a positive unintended effect at the impact level was the way the project inspired further implementation of the dialogue approach in other development initiatives and programmes. Furthermore, the following positive unintended results were identified and analysed during the evaluation:

- In the eyes of both the implementing partners and the project team itself the dialogue activities of the project encouraged the participation of youth in amplifying the messages of peace and hope and increasing awareness of the situation of internally displaced people (INT_GIZ01, INT_GIZ03, INT_PAR07, INT_PAR04, INT_GOV02). While this unintended result was difficult to prove since no participating youth could be interviewed directly, it was often mentioned as an unforeseen result by project partners.
- Government bodies and officials exposed to the project's dialogue format planned to implement the same activity in other areas and groups (INT_GIZ02, INT_GIZ04). For example, the Philippine National Volunteer Service Coordinating Agency stated its interest in using the dialogue approach to deal with conflicts arising from the return of overseas Filipino workers due to the current COVID-19 crisis.
- The principles, process and techniques of the dialogue format took place in other projects and initiatives such as the GIZ project Youth for a Culture of Peace and Nonviolence in Mindanao (YOUCAP: PN 2018.4961.1) and the GIZ project on Responsible Land Governance in Mindanao (PN 2016.2244.8).

Given the complex context, the project implementation included risks by its very nature. The assessment of the project's risk analysis and handling was done very thoroughly with risks documented in the monitoring system. However, not all essential risks were monitored regularly through the system. At the same time, the project maintains very close contact with many stakeholders and included them through steering group meetings and close exchange.

Potential synergies between the ecological, economic and social dimensions

Synergies between the three dimensions of sustainability (ecological, economic and social) were utilised in the context of conflict-induced forced displacement. The project developed procedures, instruments and methods for improving the capabilities of government bodies to cope with conflict-induced displacement in home and host communities in Caraga. With its advice to implementing partners, the project strengthened existing capacities for enhancing social cohesion and resilience in the affected communities. For the disadvantaged indigenous population, the projects implemented small-scale measures to increase their integration (economic and social). Originally the project had also planned to address climate-induced forced displacement (ecological). The climate situation was explored through a research study but no measures have been implemented. Whether the intended results have produced theoretically negative trade-offs with social or environmental aspects or positive synergies could not be found in the evaluation mission.

Overall assessment of impact

Several overarching development results have been defined in the results model (see above). In addition, the project received many identifiers as additional reference points for intended impacts, particularly in the following area: targeting peace and security (FS2) as a principal objective. Overall, the conflict incidents in the whole of Mindanao have decreased since the project began and especially since 2018, even though flashpoints of mostly clan feuding incidents have been occurring more regularly (International Alert 2021 https://reliefweb.int/report/philippines/conflict-alert-2020-enduring-wars). The evaluation team awarded 37 out of 40 points in this dimension. Full marks were not given due to remaining concerns around security and the fact that no longer term prognoses on the outbreak of further violent conflicts could be made.

When it came to the project's contribution to overarching development results, the evaluation team awarded 27 out of 30 points. Full marks were not given, due to the limited influence on climate objectives (KLA marker). Furthermore, the potential influence on conflict reduction in Caraga through the project's small-scale pilot measure in a few selected municipalities was very limited. While a contribution to conflict reduction was plausible, the explanation for the contribution relied almost exclusively on very hypothetical assumptions.

Given the feedback provided by stakeholders and based on the evaluators' observations, it appears that no significant negative results occurred at impact level. In addition, the approaches of the project have already been scaled up by other projects in the Philippines and beyond – with the approaches likely to be taken on by more programmes in the future. The evaluation awarded 28 out of 30 points in this dimension. Efforts in monitoring or documenting impact effects could have been slightly higher.

The overall score for the assessment criterion **impact** added up to 92 out of 100 points: **highly successful**.

Table 6. Rating of OECD/DAC criterion: impact

Criterion	Assessment dimension	Score and rating
Impact	The intended overarching development results have occurred or are foreseen (plausible reasons).	37 out of 40 points
	The outcome of the project contributed to the occurred or foreseen overarching development results.	27 out of 30 points
	No project-related (unintended) negative results at impact level have occurred – and if any negative results occurred the project responded adequately. The occurrence of additional (not formally agreed) positive results at impact level has been monitored and additional opportunities for further positive results have been seized.	28 out of 30 points
Overall score and rating		Score: **92 out of 100 points** Rating: **highly successful**

4.5 Efficiency

The key issue under the criterion of **efficiency** was the question of whether the project's use of resources was appropriate with regard to achieving both the outputs and the outcome (project objective). It was examined whether the level of resourcing (funding, expertise) has led to satisfactory results. Combining information on both project costs and results – the approach adopted in all robust efficiency analyses – provided more insights than looking at these two components separately. Focusing on results alone would limit the use of data in strategic decision-making. Focusing on costs alone could detract from recommendations that aim to ensure quality in the results.

Evaluation basis: The concept of efficiency has been usually applied when a defined input was transformed into a result or used to describe the implementation of processes, procedures and structures. In the field of international cooperation, aligned with the OECD-DAC criteria, efficiency has been often defined as 'a measure of how economically resources/inputs (funds, expertise, time, etc.) are converted to results' (GIZ guidelines on how to apply the "follow the money" approach).

In this definition, 'results' is understood as the output, outcome or impact of a development measure. Therefore, a project could be considered efficient if a given input is used to maximise the results of the development measure. Consequently, efficiency is understood as transformation efficiency: inputs are transformed into results and effects whose relation to each other represents the efficiency of the measure.

Evaluation design and methods

A distinction was made between two types of efficiency: production and allocation. While the former evaluates the transformation of inputs to outputs, the latter evaluates the transformation of inputs to effects at outcome

and impact level. This includes the analysis of the extent to which even more results at output level could have been achieved with the same overall use of funds. It was therefore not only a question of investigating how costs could have been saved but rather of how existing resources could have been better used to achieve the desired results.

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

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

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

The Excel tool consists of six sheets: cockpit, costs, Co-Fi & Partner, target/actual planning, expert months and impact matrix.[9] The tool provides a good basis for evaluating the project's production efficiency criterion. Based on the tool, numbers and relations are interpreted with the support of interviews that are conducted to allow for more robust statements on the project's efficiency.

In terms of the allocation efficiency, the evaluation team envisaged an assessment of whether the project's use of resources was appropriate with regard to achieving its objective. However, the evaluation team has pointed out that assessing the allocation efficiency was one of the most demanding evaluation exercises. Given the number of days for this central project evaluation, the findings were based on plausible assumptions and anecdotal evidence.

Evaluation dimension 1: production efficiency

The following assessments are based on information extracted from the Kosten-Träger-Obligo (costs and commitments) report and further discussions with the project team and stakeholders, using GIZ's "follow-the-money" approach. The costs and commitments of the project are presented in the figure below.

[9] The five sheets are as follows:

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

Table 7: Cost overview.

Module objective	The response of regional and local government actors to situations of conflict-induced displacement in home and host communities in Caraga has improved.
BMZ costs	€2,514,981.82
Cofinancing	€0.00
Partner contribution	€0.00
Total costs	**€2,514,981.82** (at time of evaluation, end of November 2020)
Residual	€106.269.39

Deviations

The project team could not find any deviations between the identified costs and the projected costs based on the feedback and information it received (Kosten-Träger-Obligo-Bericht, BMZ final progress report 2019).
In addition, the evaluation team would like to point out that deviations between identified costs and projected costs as a criterion for assessing efficiency could be misleading and create a strong bias in the efficiency results. There are numerous reasons for deviations that are not related to the efficiency of a project.

The achievement rates in the outputs are listed in the following tables.

Table 8: Indicator achievement overview

A1) Six measures for dialogue between victims of conflict-induced displacement and representatives of government institutions have been carried out in three selected home communities.	B1) In collaboration with government bodies, five documents (including manuals, protocols, experience reports) have been compiled on dealing with conflict-induced displacement that take specific account of climate risks as an additional stress factor.	C1) Three discussion forums for exchange between government bodies and non-governmental groups on situations of conflict-induced displacement have been held at regional and local authority level.	D1) A total of three small-scale measures have been carried out in three home and host communities.
167%	120%	200%	233%
A2) Six measures for dialogue between victims of conflict-induced displacement and representatives of government institutions have been carried out in three selected host communities.	B2) Seventy representatives of government institutions at regional and local authority level have been trained in applying guidelines (including manual and protocol) on dealing with situations of conflict-induced displacement, taking account of climate risks.	C2) Three coordination meetings between government bodies at regional and local authority level have been held on dealing with situations of conflict-induced displacement.	D2) Two of the three small-scale measures were geared to the specific needs of particularly disadvantaged groups.
133%	391%	100%	160%

It was difficult to provide the exact reasons for the high achievement rate at output level. It could be explained by the relatively low or conservative targets or the need to readjust the targets according to context factors. Nevertheless, these achievements appeared remarkable in terms of quantity (target achievements) and quality (motivation, contribution to the project's objective) and – according to the evaluators' analysis – in terms of efficiency, as described below.

In general, the costs were evenly distributed across outputs A, B and D (see figure below). Output B ranked the most expensive output (22%) and output D the second (19%), followed by the least expensive output C (13%) and output A (21%). In general, the relatively high costs of output A, B appeared to be well aligned with the high fulfilment rate of the indicators. The overarching costs were similarly high as the costs for output A and

only just below cost for outputs B and D. While 21% for overarching costs could be considered slightly above average for a technical cooperation measure it also spoke to the relatively high level of logistics costs needed in a fragile context. Apart from staff costs, most of the overarching costs were spent on administrative and office costs such as refurbishments, risk management and monitoring support (GIZ internal and external).

Table 9: Distribution of cost across outputs

	Output A	Output B	Output C	Output D	
Outputs	Dialogue has improved among government and non-governmental actors and victims in home and host communities in Caraga for resolving conflicts arising from conflict-induced displacement.	The competencies of government actors at regional and local authority level have been strengthened for coping with situations of conflict-induced displacement, taking specific account of climate risks as an additional stress factor.	Exchange and coordination have been stepped up between government bodies and non-governmental actors at regional and local authority level for dealing with situations of conflict-induced displacement.	More specific measures are conducted for victims of conflict-induced displacement in home and host communities, foremost particularly disadvantaged population groups (indigenous cultural communities, women and host families).	**Overarching costs**
Cost incl. Obligo	€535,704.37	€557,757.38	€331,390.67	€549,144.22	€540,985.18
Total costs	**€535,704.37**	**€557,757.38**	**€331,390.67**	**€549,144.22**	**€540,985.18**
Total costs in %	**21%**	**22%**	**13%**	**22%**	**22%**

As shown in the following table the time the staff dedicated to achieving the outputs was spread evenly across all outputs. The international seconded and national GIZ staff especially spread their time quite evenly across all outputs. All three international seconded GIZ staff worked on the project during its life cycle.

Until mid-2019 only the project lead was an internationally seconded staff member. Then a short period followed when three people filled 2.5 international seconded staff positions in the project. Finally from beginning of 2020 to the end of the project there were only two. Furthermore, three national GIZ staff worked on the project, excluding administrative and support staff; 19% of the national staff's time was dedicated to output D, which was slightly more than time spent on the other outputs. This was most likely due to high coordination efforts with externally contracted implementing organisations such as the SMILES Foundation, and the logistical efforts in coordinating a series of small-scale livelihood measures.

National staff costs were highest for overarching costs (48%). This could be explained by the fact that the national staff did almost all coordination work. In fact, there were three almost full-time national admin and logistics positions. The development worker seconded to the Office of Civil Defence for a few months split the work between output B and C.

Table 10: Stafff costs by outputs

	Output A	Output B	Output C	Output D	Overarching costs
International staff (AMA/PMA)	20%	21%	20%	21%	17%
National staff	10%	11%	12%	19%	48%
Development worker	0%	50%	50%	0%	0%

Maximum principle and reallocation of funds

Given that all the output indicators were fulfilled and most actually exceeded, there was a high likelihood that the outputs have been maximised with the given volume of resources (see Chapter 4.3 on effectiveness) when compared with the initial plan and targets.

However, there was some potential for maximising outputs according to the evaluators' analysis. Firstly, a stronger and more public involvement of national partners such as regional partners or peace advisory office OPAPP in the cooperation structure might have made communication, research and collaboration on the local level easier and less time consuming. Due to the delay in signing the Note Change and implementation agreement the project was officially in a "preparation or pilot phase" during most of its duration. Cooperation with partners had to be shifted to the local level. While local cooperation with local government agencies generally worked well, a partner structure with local communities, municipalities and NGOs first had to be established. Some lengthy coordination processes of establishing local networks might have been avoided when working with official cooperation structures on the national level. For example, complex political dynamics in some municipalities presented challenged to efficiently putting dialogues, training and other measures into action (Int_2,3,6 with GIZ).

Secondly, delays in project implementation also arose with the resignation of OPAPP secretary Jesus Dureza in November 2018. This change in leadership resulted in further changes of personnel at OPAPP. Cooperation relationships had to be built up again (Project progress report 2019, Int_5,6 with GIZ).

On the other hand, outsourcing outputs – such as the small-scale measures to an experienced NGO such as SMILES, and dialogue formats and needs assessments to consultants with relevant experience – could have saved costs and time. The project also actively leveraged synergies with the GIZ project Responsible Land Governance in Mindanao (PN: 2016.2244.8) by jointly elaborating and designing processes for the same intervention regions. One example was a manual for identifying the community profile, which enabled the basis for conflict-sensitive planning at the local level. Together with the project Strengthening Youth for Peace Development and Nonviolent Conflict Transformation in Mindanao (PN: 2018.4961.1), the three programmes formed a community office in order to bundle and efficiently use administrative resources. Close cooperation also took place in commissioning expert missions and studies that dealt jointly with closely related topics (Project progress report 2019).

Further positive aspects in terms of the production efficiency

Roles and responsibilities: In terms of project management, many good aspects were underlined within and outside of the GIZ team such as dialogue, openness, reactivity and good planning. In the evaluation mission, all interviewed partners happily confirmed a smooth relationship and good bilateral collaboration with GIZ, showing that there were clear roles and responsibilities in place (INT_PAR01, INT_PAR02, INT_PAR03, INT_PAR04). However, the lack of a formal implementation agreement resulted in a slightly more complex and intensive steering process focused on many different local government agencies.

Monitoring system and handling risks: As mentioned above, a monitoring system at project level was in place and well-maintained. Following the KOMPASS guides, risks such as those resulting from COVID-19 and corresponding mitigation strategies were monitored (results-based monitoring system). A few unintended results were also documented and monitored.

Consideration of planning parameters and lessons learned: The project made good use of its lessons from experience. For example, the insights gained from the first dialogue processes in the COSERAM programme were transferred (INT_GIZ01*).* This was specifically facilitated by bringing in former COSERAM staff experienced with the dialogue formats through a consultant contract. In general, bringing in expertise for monitoring as well as having external support in learning processes was highly beneficial to efficiency.

Outsourcing activity programmes: The evaluation team has not found any indication that further activity programmes could have been outsourced to local organisations to increase efficiency, especially when the collaboration with the SMILES Foundation worked so well with the majority of the small-scale measures under output D. This was probably the most efficient solution due to the foundation's capacities, local knowledge and range of activities that were very distinct from other outputs of the intervention.

Efficiency dimension 2: allocation efficiency

In contrast to production efficiency, allocation efficiency described the transformation of inputs to outcomes/impact. At module level, indicator M2 was not achieved (29%) while M1, M3 and M4 were overachieved. The following table summarises the results described in more detail in the chapter on effectiveness (see Chapter 4.3).

Table 11. Overview achievement rates of module indiicators

M1) 90% of 30 respondents in six selected municipalities cite specific examples as evidence that the guidelines are being applied.	M2) Seven regional peace agendas or local development plans in home and host communities take account of the specific needs of the population groups most severely affected by situations of conflict-induced displacement.	M3) Citing specific examples, 90% of 90 respondents who have benefited from small-scale measures, 60% of whom are women, confirm that the measures conducted in collaboration with government actors have contributed to improving their (living) situation in the context of conflict-induced displacement.	M4) Four best practices of government actors for coping with situations of conflict-induced displacement that take gender aspects into account have been disseminated at a transregional conference.
100 (111)%	29%	111%	125%

Given these achievement rates, the allocation efficiency appears to be not quite satisfactory at first glance, especially considering that indicator M1 relates to output B was a more expensive output at 22% (see above).

Based on the feedback provided by the project team and evaluator assessments, output D (the second most expensive output) did not directly contribute to the module objective. This affects allocation efficiency negatively because the transformation of results to outcomes by nature was higher given a direct link to the outcome.

Overall assessment of efficiency

Production efficiency was assessed positively in several aspects, especially in terms of collaboration and bringing in external expertise. The efficient overall management with an average amount of overarching costs was also seen as positive. The evaluation team awarded 65 out of 70 points in this dimension. Full marks were not awarded because slightly higher communication, research and cooperation efforts had to be made on the local level due to lack of note exchange and formal cooperation agreements between the German and Philippines governments.

The evaluation team awarded 23 out of 30 points in the dimension of **allocation efficiency**, reflecting the overachievement on three out of the four module objective indicators. Full marks were not given due to the low achievement rate on module objective indicator 2 and the conclusion that potential for maximising the outcome achievement could have been realised if output D had been geared more towards achieving the module objective. Outcome indicator 2 especially might have been achieved if official and public cooperation with partners on the national and regional level were enabled through a **note exchange** before the project began.

The overall score for the assessment criterion **efficiency** added up to 88 out of 100 points: **successful**.

Table 12. Rating of OECD/DAC criterion: efficiency

Criterion	Assessment dimension	Score and rating
Efficiency	The project's use of resources was appropriate with regard to the outputs achieved. Production efficiency: (resources/outputs)	65 out of 70 points
	The project's use of resources was appropriate with regard to achieving the projects objective (outcome). Allocation efficiency: (resources/outcome)	23 out of 30 points
Overall score and rating		Score: **88 out of 100 points** Rating: **successful**

4.6 Sustainability

The evaluation also aimed to analyse whether the project results were likely to be sustainable and whether positive prerequisites for ensuring the project's long-term success have been in place. Given that the project's results logic consisted of many different results spread across the outputs, the evaluation focused on the results that (according to the findings) either made a real change or were neglected. It also aimed to mark these respective results in the results model.
Evaluation basis: Since the analysis of sustainability also goes hand in hand with assessing the impact and the effectiveness of the project, the evaluation team built on the methodology used for the two criteria. The findings of the impact and effectiveness chapters were scrutinised, with hindering and supporting factors for sustainability assessed.

Evaluation design and methods: The evaluation team computed tendencies on the project's sustainability through perception questions posed in interviews and discussions with the project team, key partners and private sector. All perception-based findings were supplemented with "hard facts": analyses of approaches, methods, models and instruments in place and what resources and capacities at the individual, organisational or societal/political level were available. As highlighted by several stakeholders during the evaluation mission, the sustainability of the results in Caraga, Mindanao depends on how public partners use and bring forward the methods, products and guidelines of the project (INT_GIZ02, INT_GIZ03, INT_PAR02).

Sustainability dimension 1: prerequisites

In general, when assessing sustainability it is important to note that most outputs of the project implementation (object of this evaluation) may be continuously supported in the follow-on project. Since no follow-on project will be implemented for this project, it was even more important that commitments to sustain the project results were made by government partners or other stakeholders (such as donors, civil society or other GZ projects).

Efforts to ensure that the results can be sustained in the medium to long term

The project partners highly praised GIZ capacity building activities for introducing the reflective structured dialogue approach and including aspects of mental health and psychosocial support in this format (INT_GIZ01, INT_GIZ02, INT_GOV05, INT_GOV06 INT_GOV07, INT_GOV08, INT_GOV09, INT_GOV10, INT_GOV11, INT_PAR06). Knowledge building and transfer appeared crucial for assessing sustainability. It was encouraging that the evaluators discovered examples of reflective structured dialogue approach already in use by local governments (INT_GIZ02, GOV07, INT_GOV08, INT_GOV09, INT_GOV10).

The participative approach to developing products and guidelines proved to be another important component of ensuring sustainability. The development of the Do No Harm approach involved close participation from implementing agencies such as the Office of Civil Defence, the Department of the Interior and Local Government and the Department of Social Welfare and Development (INT_PAR02 INT_PAR03). A major precondition for sustaining the results of this cooperation rested in developing clearly defined roles and a transparent organisation of cooperative relations (Project offer, PV, 2017). *Handbook on Handling Conflict-induced Internal Displacement* outlined important roles and responsibilities and there were individual commitments to continue to utilise lessons learned from the project. For example, initial discussions by the core groups on how to go forward using the CAPID-related experience and tools were reported (INT_GOV08, INT_PAR02).

Future challenges to sustainability might also occur due to the delayed note exchange and its resulting change in cooperation structure and stronger focus on local partners (INT_GIZ01). While it might not have a "negative" influence on the sustainability of the achieved results, it could change how sustainability was ensured. With cooperation on the national level it would have been easier to expand the reach or advocate use of the tools and knowledge products. For example, no formal commitments on the national or regional level to scale up the reflective structured dialogue approach were made and no formally documented response mechanism to needs identified in the dialogues established.

On the other hand, given the changes in cooperation structure the project was driven by demand from local government. This "closeness" to the local context could also lead to higher sustainability for dialogue formats and other approaches on that level. Sustainability therefore depends much more on individual local government organisations committing to scaling up approaches and whether lessons are integrated in the local government development plans (INT_GIZ01, INT_PAR02). At the time of this evaluation the lessons learned and best practices were only integrated into two development plans on the regional level (**Conflict-induced Displacement Sensitized Regional Disaster Risk Reduction and Management Plan** and **Caraga Regional Contingency Plan for Conflict-induced Displacement**). Comprehensive development plans in Butuan and

Prosperidad were submitted to DILG without lessons learned on conflict-induced displacement since consolidation of ecological profiles were partly delayed. Furthermore, finalisation of human rights action team plans on municipal (Carmen) and barangay level were still ongoing (results based monitoring system, INT_GIZ01). This shows how difficult it was to ensure the inclusion of project results in national or regional development plans through a bottom-up approach, starting with local government units. An approach where these results would have been directly integrated through a national or regional partner could have increased the chance of institutionalising or spreading this knowledge throughout the country. This failure to integrate new knowledge into development plans has presented a serious risk to the project's sustainability.

Anchoring advisory contents, approaches, methods or project concepts in the partner system

Local councils have already disseminated the *Handbook on Handling Conflict-induced Internal Displacement* and it is used by newly established core groups. Core groups are not "official structures", they have a team leader and are given government resources to undertake specific activities related to displacement. There are municipalities where core group members have been transferred to different offices and thus now have other official responsibilities. There are also core group members who hold contractual positions, which are at risk of non-renewal if there was a leadership change. Thus, the "institutional memory and capacity" may be affected.

Knowledge products and approaches on added benefits for partners have been spread and made available to all. The documents on reflective structured dialogue and community profiling will become part of the learning module of the Local Government Academy, which had responsibility for capacity building for local government executives (INT_GIZ01). The documents will be used as reference materials for newly elected local officials who will be enrolled at the Local Government Academy (see lga.gov.ph), which has national coverage. Since new local officials are elected every three years, the knowledge products could extend a very wide range of influence, possibly reaching local government bodies with a similar conflict context. Abridged versions have been translated to local languages and made available online for anyone to download (INT_PAR02).

Available resources and capacities to ensure continuation of the results achieved

A key stakeholder for continuing the dialogues will be the Municipal Disaster Risk Reduction and Management Office, which has already requested funds for expanding the dialogues in another barangay (not covered by the project). It will go ahead with reflective structured dialogues once it is safe to conduct on-the-ground activities. (INT_GOV11). A high interest in using the dialogues has been apparent, and bodies such as DILG will commit to identifying further funds and resources for institutionalising the dialogue approach (INT_PAR02).

Project exit strategy

Because the project will not continue, it needed an exit strategy to hand over project results to partners and other participants. From the beginning the project's sustainability strategy was grounded on the long-term dissemination and institutionalisation of procedures, instruments and methods established by CAPID on a national level. Another major precondition for sustaining the outcomes of this cooperation to address the need for clearly defined roles and a transparent organisation of cooperative relations (Project Offer 2017). While some preconditions for institutionalising approaches and upholding cooperation structures were met, many approaches were still in the piloting phase. Institutionalising results will be very much up to the partners, often on a local and decentralised level.

However, efforts to scale up projects results have already been bearing fruit. The GIZ project Human Mobility in the Context of Climate Change (PN 2017.4062.0) will adapt the reintegration project strategy for use of handbooks and strategies such as dialogue formats. The reflective structured dialogue approach will also be used again at the national level by the GIZ project on responsible land governance in Mindanao (PN 2016.2244.8),

the GIZ project Youth for a Culture of Peace and Nonviolence in Mindanao (PN 2018.4961.1), and the Philippine National Volunteer Service Coordinating Agency (INT_GIZ01, INT_GIZ02, INT_GIZ03, INT_GIZ04, INT_GIZ05, INT_GIZ06). Relevant government agencies that have been implementing partners of the GIZ project on land governance also committed to use reflective structured dialogue in resolving land conflict. Results have been well documented and guidelines and manuals placed to be easily available for project partners on the national and regional level (OPAPP, DILG) as well for local governments to implement approaches.

Project containment of escalating factors and dividers

As the project impact objective aimed to make a contribution to reducing violent conflicts and there was a plausible argument for this hypothesis (see Chapter 4.4 on impact) it was safe to assume that the project has worked hard to reduce escalating factors. With improved trust and cooperation built through the dialogues, displaced people or indigenous peoples would less likely be used or influenced by insurgents and other non-state violent groups.

Sustainability dimension 2 (durability)

According to the evaluators, the sustainability assessment always needs to be put into context for a fair grading. For instance, it was more challenging for a project to sustainably change the partners' behaviour than to support the development of a long-lasting policy. Sustainability also depends on proximity to partners, the number of partners involved and the envisioned outreach. It was more demanding to remotely create motivation and momentum compared with an environment where it was possible to cooperate closely with partners on a regular basis. Furthermore, sustainability also depends on the budget being available to partners for an extended period of time.

Based on the pilot experience, the reflective structured dialogue format resulted in high and positive engagement although it is a "novel" approach for local government officials and the communities. Though it has not been around long, the enthusiasm for taking the approach over expanded community consultations with displaced people should make it durable (INT_GOV07). Several municipalities have been planning to hold more dialogue when safe to do so.

The same applies for mental health and psychosocial support approaches given their notable impacts for municipal health staff. The mental health concepts and creative approaches could also become durable as long as they are integrated into delivering government services such as medical missions, handling cases of human rights abuses and violence against women (INT_GOV11 INT_GOV09*).* However, a risk remains that implementation of the approaches could eventually decrease without consistent learning and guidance.

Local government staff should receive continuous training in the CAPID approaches and instruments to institutionalise change and prevent loss of knowledge from frequent staff changes. Continuous training would also be necessary to adapt to the changing needs of internally displaced people or the communities. Local government officers and facilitators should be mobilised in events related to conflict-induced displacement and allowed to share their experiences with other officers and local government units (INT_GOV0/, INT_PAR02, INT_GIZ01). The continued use and dissemination of guidelines and handbooks will also depend on enforcement through responsible agencies and how they are kept up to date. Since the Local Government Academy (training for newly elected officials) will include the knowledge products as part of its reference materials, popularisation has been assured. The *Handbook on Community Profiling* was also used by some barangays as they worked on their development plans.

It has been mandatory for local government to commit a portion of its budget to the indigenous population. While local government was committed, at that level this was at risk due to changes in administration – given

that elections are held every three years (INT_PAR04, CON_PAR01, INT_PAR02, INT GIZ01). The sustainability of the measures implemented by SMILES was supported through cooperation with local government agencies aiming to establish local ownership, which would ensure continuity for initiatives at the barangay level. This resulted in partners making further commitments. For example, by cooperating with the Technical Education and Skills Development Authority, Caraga Regional Office offered enhancement training to all five technical and vocational trades initiated under the project and additional training to all other displaced people not included in the current initiative. The City Local Government of Butuan, together with the local government bodies of Ong Yiu and Limaha, committed to securing both financial and technical support through their existing partnerships with other government agencies (Work with Smiles Project, End of Project Report).

Given that the project has only been running since 2017, it only had a short time to institutionalise change. Hence, this should be viewed as a risk.

Overall assessment of sustainability

As highlighted by several stakeholders during the evaluation mission, the sustainability of the results has been given if engagement from local government organisations continues, funds are made available on a national level and the spread of the reflective structured dialogue approach continues. The evaluation team awarded 40 out of 50 points in sustainability dimension 1. Full marks were not awarded given the questions that remain on continued funding and government commitment on all levels. Furthermore, important prerequisites for sustainability were not fully met because lessons learned from experience were not fully integrated into all local development plans at the time of the evaluation, although some of them had been finalised.

Based on the positive feedback received by many interview partners on the strong connections established thanks to the project's role with introducing useful approaches and methodologies, there was a high probability that some results remain permanent and could be taken as a basis for future positive initiatives. The evaluation team awarded 38 out of 50 points in sustainability dimension 2. Full marks were not awarded because the project only had a short time to "institutionalise" new approaches and procedures (such as applying reflective structured dialogue) and the risk resulting from that.

The overall score for the assessment criterion **sustainability** added up to 78 out of 100 points: **moderately successful**.

Table 13. Rating of OECD/DAC criterion: sustainability

Criterion	Assessment dimension	Score and Rating
Sustainability	Prerequisite for ensuring the long-term success of the project: results are anchored in (partner) structures.	40 out of 50 points
	Forecast of durability: results of the project are permanent, stable and long-term resilient.	38 out of 50 points
Overall score and rating		Score: **78 out of 100 points** Rating: **moderately successful**

4.7 Key results and overall rating

The following chapter summarises the results of this report by the OECD/DAC criteria analysed above.

Relevance: The evaluation team concluded that the project concept fit into the relevant strategic reference frameworks on country level and was well-embedded in the global priorities. The project was in line with the Philippines Indigenous Peoples Rights Act and the National Action Plan on Women, Peace and Security, as well as SDGs 10 and 16. The intervention was considered highly relevant in terms of working towards strengthening government capacities to respond to conflict-induced displacement. Specifically, through outputs A and D the project design also reflected the needs and concerns of the internally displaced people and their home and host communities. The evaluation team concluded that the project was generally adequately designed to achieve the chosen project objective. Finally, the adaptation of the conceptual design to changes was assessed as rather successful, given that significant changes were addressed in adapting the project concept. The challenge of dealing with a delay in official note exchange between the two partner countries as well as the changing security situation required a flexible adaption of the project.

Effectiveness: Since the indicators at outcome level mostly achieved – M1:100 (111)%, M2: 29%, M3:111%, M4: 125% – the project has achieved the majority of its outcome on time. In terms of the output indicators, all indicators have been fully achieved or exceeded. The contribution analyses provided evidence that most of the activities and outputs relevant to the chosen hypothesis contributed to the project objective:

- The implemented dialogue formats on mental health support topics as well as training on facilitation and conduct of training led to an improved dialogue among government and non-governmental bodies and victims in home and host communities in Caraga. The improved dialogue in turn led to improvement in the response of government bodies to conflict-induced forced displacement.
- The improved dialogue facilitated acknowledgement of specific needs and led to specific measures for victims of conflict-induced displacement in home and host communities.
- The *Handbook on Handling Conflict-induced Displacement* contributed to an increase of government competencies on this matter and results in concrete examples of improved response.

Given the feedback provided by stakeholders and based on the evaluators' observations, it appears that no negative results have been produced by the project. However, the monitoring of risks and risk mitigation strategies could have been slightly more extensive.

Impact: Several overarching development results were identified. However, concerns remain on security and no long-term prognoses on the outbreak of further violent conflicts could be made. The contribution of the projects results to the impact, a reduction of conflicts, was plausible but relied heavily on hypothetical assumptions. Given the feedback provided by stakeholders and based on the evaluators' observations, it appeared that no significant negative results occurred. Additionally, the approaches of the project have already been and likely to be scaled up by many more projects in the Philippines and beyond on a world-wide basis.

Efficiency: In general, the production efficiency was assessed positively. There were several positive aspects, especially in terms of collaboration and bringing in external expertise. The efficient overall management with an average amount of overarching costs was also seen as positive. Slight inefficiencies occurred due to lack of note exchange and formal cooperation agreements between the German and the Philippines governments, which resulted in less communication, research and cooperation efforts on the local level. Allocation efficiency was high and reflected the high achievement rates at the outcome level and given that not many aspects could be found to maximise the outcomes.

Sustainability: As highlighted by several stakeholders during the evaluation mission, the sustainability of the results was given if engagement with local government units continues, funds made available at the national level and the spread of the reflective structured dialogue approach continues. Based on the positive feedback

received by many interview partners on the strong connections established through the project in its introduction of useful approaches and methodologies, there was a high probability that some results remain permanent and could be taken as a basis for future positive initiatives.

Table 14. Overall rating of OECD/DAC criteria and assessment dimensions

Evaluation criteria	Score (points max. 100)	Rating
Relevance	96 out of 100 points	Highly successful
Effectiveness	89 out of 100 points	Successful
Impact	92 out of 100 points	Highly successful
Efficiency	88 out of 100 points	Successful
Sustainability	78 out of 100 points	Moderately successful
Overall score and rating	**89 out of 100 points**	**Successful**

Table 15: Rating and score scales

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

5 Conclusions and recommendations

5.1 Factors of success or failure

During the evaluation mission, it became evident that key results (see Chapter 4.7) could be centred around factors five dimensions. Efforts and positive outcomes in these dimensions (which sometimes overlap) appeared to wield the potential to leverage current achievements and/or mitigate risks.

Political and organisational context: Important success factors included change of personnel and refocused priorities with the national partner (OPAPP), access to funding and most important, the continuous engagement of local government bodies. The security situation in Mindanao also had an immense effect on the project's success, as project activities in areas of conflict were directly affected. This dimension affected the OECD/DAC criteria **sustainability** and **impact**.

- **Readiness for conflict-induced displacement:** The improved quality of dialogue between the government and non-government participants and the internally displaced people was one important result of the project because it provided a core tool to understand and tackle conflict-induced displacement. However, Covid-19, a limited number of pilot areas, and project termination restricted the dialogue's potential impact.
- **Widespread understanding of conflict-induced displacement and strategies to tackle it:** Another key result of the project was the training, guidelines and knowledge products made available to be used by all.
- **Specific measures for people affected by conflict-induced displacement:** A response to conflict-induced displacement requires more than competent local officials. It also calls for resources to materially support the displaced people, small-scale rehabilitation or reconstruction measures in the home communities, and for "compensating" host communities with their over-burdened resources and services.
- **Cooperation management:** CAPID has successfully improved the exchange and coordination of government and non-government bodies that deal with displacement. It was also able to act in a complicated cooperation structure with a change in priorities and hence a lack of cooperation on the national level. Therefore, cooperating partners were identified at local level, which needed more time and resources.

5.2 Recommendations

Based on the analysis and conclusions drawn in the previous chapters, eight recommendations have put forward in the five dimensions presented above. They were addressed to GIZ and more importantly to those likely to take over the project's interventions.

Political and organisational context

- **Recommendation 1: continuous engagement of local government participants**
  In order to continuously ensure that local government bodies support awareness of the issues of conflict-induced displacement and response to it, further engagement and capacity building activities are necessary. National and regional partners should be encouraged to implement further networking and dialogue formats on the local level.

Ensuring readiness for conflict-induced displacement

- **Recommendation 2: scaling up the dialogue approach**
  The implemented pilot barangays were "proof of concept". Now more dialogues need to take place in communities affected by past conflict and communities at risk of conflict. While local government bodies as well as GIZ projects have committed to implementing the dialogue approach further, more of this is needed to spread the concept. Therefore, GIZ projects implementing the dialogue formats should actively promote the approach to other donors, projects and partners and provide knowledge on how to implement it.
- **Recommendation 3: simulations of conflict-induced displacement**
  The project "capacitated" the government participants with relevant knowledge, techniques and tools to cope with conflict-induced displacement. CAPID has adequately equipped the local officials on dealing with such displacement, but they need to test their readiness and competence. Therefore, they will need to conduct periodic simulation and support non-CAPID local government organisations experiencing conflict-induced displacement through advice or cross-postings.

Widespread understanding of conflict-induced displacement and strategies to tackle it

- **Recommendation 6:** The plans and other knowledge products have been essential to CAPID's legacy in the region. These should be disseminated and utilised in areas with similar contexts so internally displaced people will not become double victims of armed conflict and inadequate emergency/basic services.
- **Recommendation 7:** The inclusion of outputs on target group level, such as the small-scale measures for displaced people, is an essential part of migration projects in GIZ. However, it is important to set clear objectives for outputs that are directly related to the overall project objective. **Recommendations on specific measures for population affected by conflict-induced displacement**
- **Recommendation 8:** Encourage partners and other donors to make more funds available for implementing more small-scale measures. Offices such as OPAPP and DILG, along with provincial and municipal governments, should be urged to allocate budget for long-term peacebuilding and reintegration solutions. Examples of this include projects such as the Payapa at Masaganang Pamayanan program and Enhanced Comprehensive Local Integration Program, which provide holistic reintegration support for former non-state armed participants. **Recommendations on cooperation management**
- **Recommendation 9:** Ensure efficient hand-over of newly built cooperation structures with government and non-government bodies working with conflict-induced displacement by encouraging further discussion forums and formal cooperation structures through the regional and municipal councils dedicated to disaster risk reduction and management.

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	Internatioal Alert 2021 https://reliefweb.int/report/philippines/conflict-alert-2020-enduring-wars
COSERAM	Programmvorschlag
	Wirkungsmatrix
	Schlussbericht
	Projektevaluierung Bericht
	Programmbericht 2018
	Programmbericht 2019
CAPID *"Auftragsmanagement"*	PV_CAPID_2017 – Projektvorschlag Modulvorschlag (DE & ENG)
	Wirkungsmatrix (DE & ENG)
	2019 Änderungsangebot und Wirkungsmatrix CAPID Aufstockung
	2019 Änderungsangebot Begründungsblatt
	Wirkungsmodelle
	PFP 2018 CAPID – Projektfortschrittsbericht
	PFP 2018 CAPID – Projektfortschrittsbericht
	Aggregierte Wirkungsdaten 2019
	Emails mit OPAPP zum Notenwechsel
	Emails mit OPAPP zum Memorandum zur Zusammenarbeit
CAPID Hintergrund	Kontextanalyse
	Capacity Assessment
	Genderanalyse 2017
	Genderanalyse 2019
	Umwelt- und Klimaprüfung
	Safeguards + Gender Checkliste
	PCA-Matrix
CAPID Implementierung	Operationsplan 2020
	Operationsplan 2019

	Operationsplan 2018
	Akteursanalyse
	Steuerungsstruktur
	CD Strategie
	Results Based Monitoring (RBM) Tool
CAPID Finanzen	Kostenträger-Obligo Bericht auf Projekteben mit detaillierten Kostenzeilen
	Excel-Vorlage der Stabstelle Evaluierung zur Erfassung der Fachmonate der Mitarbeitenden je Output
CAPID Studien & Produkte	International Alert
	Knowledge Products:
	01_Religious Actors Mapping_ac_v17.8.2020.docx
	02_Financial Option_CLL_AG.docx
	03_DNH App_AC_AG_ac.docx
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	Baseline Study EcoWeb
	Community Profiling Handbook
	Handbook on Internal Displacement
	Dialogue Facilitation Manual
	MHPSS Reference Module
	Governance Needs Assessment
	Religious Actors Mapping
	Lessons Learned on CID
	Work with SMILES report
	Whiteboard Videos
CAPID Communication Products	Article on Marawi
	2020 Article on livelihood trainings
	CAPID Factsheet
	Social Cohesion Factsheet
Sektorale und fachliche Dokumente	PöK 2019 - 2020
	Hintergrundpapier IDP Philippinen

Annex: 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.)
The project design (1) was in line with the relevant strategic reference frameworks. Max. 30 points	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))	No / type of strategic reference frameworks	Document Review
	Standard	To what extent was the project design in line with the relevant strategic reference frameworks?	Comparison of objectives and goals between project and frameworks	Document Review
	and Fragility	To what extent was the (conflict) context of the project adequately analysed and considered for the project concept (key documents: (Integrated) Peace and Conflict Assessment, Safeguard Conflict and Conflict Sensitivity documents)?	Comparison of Peace and Conflict Assessment with country analysis	Document Review
	Standard	To what extent are the interactions (synergies/trade-offs) of the intervention with other sectors reflected in the project design – also regarding the sustainability dimensions (ecological, economic and social)?	Comparison of objectives and goals between project and frameworks	Document Review
	Standard	To what extent was the project design in line with the Development Cooperation (DC) programme (If applicable), the BMZ country strategy and BMZ sectoral concepts?	Comparison with other donors Synergies with other BMZ financed projects in other sectors in Mindanao Philippines	Document Review / Interviews
	Standard	To what extend was the project concept in line with the (national) objectives of the 2030 agenda? To which Sustainable Development Goals (SDG) was the project supposed to contribute?	Comparison of objectives and goals between project and BMZ documents	Document Review / Interviews
	Standard	To what extend was the project design subsidiary to partner efforts or efforts of other relevant organisations (subsidiarity and complementarity)?	Comparison with SDGs	Document Review / Interviews
The project design (1) matches the needs of the target group(s). Max. 30 points	Standard	To what extent was the chosen project design geared to the core problems and needs of the target group(s)?	Perception of relevant stakeholders OPPAP, NEDA, DILG, (if possible, interview with target group - displaced)	Interviews with stakeholders / document review
	Standard	How are the different perspectives, needs and concerns of women and men represented in the project design?	GG1 criteria (BMZ and OECD)	Secondary data analysis
	and Fragility	How were deescalating factors/ connectors (4) as well as escalating factors/ dividers (5) identified (e.g. see column I and II of the Peace and Conflict Assessment) and considered for the project design (please list the factors)? (6)	Peace and conflict Assessment	Secondary data analysis

	Standard	To what extent was the project 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 design?	Assessment of project proposal,	Secondary data analysis
	and Fragility	To what extent were potential (security) risks for (GIZ) staff, partners, target groups/final beneficiaries identified and considered?	Perception of relevant stakeholders	Interviews with stakeholders / document review
	Standard	To what extent are the intended impacts regarding the target group(s) realistic from todays perspective and the given resources (time, financial, partner capacities)?	Comparison current status and goals achievements per output as perception of stakeholder (Governments capacity to better handle issues of forced displacement)	Interviews with Stakeholders / Document review of project studies (if possible, interviews with target groups)
The project was adequately designed to achieve the chosen project objective. Max. 20 points	Standard	Assessment of current results model and results hypotheses (theory of change, To) of actual project logic: - To what extent was the project objective realistic from todays perspective and the given resources (time, financial, partner capacities)? - To what extent are the activities, instruments and outputs adequately designed to achieve the project objective? - To what extent are the underlying results hypotheses of the project plausible? - To what extent was the chosen system boundary (sphere of responsibility) of the project (including partner) clearly defined and plausible? - Are potential influences of other donors/organisations outside of the project's sphere of responsibility adequately considered? - To what extent are the assumptions and risks for the project complete and plausible?	Consistency, coherence and quality of ToC	Secondary data analysis / Interviews
	Standard	To what extent does the strategic orientation of the project address potential changes in its framework conditions?	Policy and changes of situation vs. Risk management of project	Secondary data analysis Primary data gathering: Interviews
	Standard	How is/was the complexity of the framework conditions and guidelines handled? How is/was any possible overloading dealt with and strategically focused?	Risks / bottlenecks outside the sphere of responsibility mentioned by project staff	Secondary data analysis
The project design (1) was adapted to changes in line with requirements and re-adapted where applicable. Max. 20 points	Standard	What changes have occurred during project implementation? (e.g. local, national, international, sectoral, including state of the art of sectoral know-how)?	Additional changes (not captured by ToC)	Secondary data analysis
	Standard	How were the changes dealt with regarding the project design?	Activities conducted to address changes	Secondary data analysis

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.	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?	RBM Tool	Interviews	PFP and RBM tool. Further Assessment based on Interviews with project staff	strong

	(1) Max. 40 points		Are additional indicators needed to reflect the project objective adequately?				
		and Fragility	For projects with FS1 or FS2 markers: To what extent was the project able to strengthen deescalating factors/ connectors (2,4)?	FS2: assessment of strengthened de-escalation though interviews	Interviews	Interviews Regional Disaster Risk Reduction and Management Council (RDRRMC), Local Disaster Risk Reduction and Management Councils (LDRRMCs), DILG, OCD, etc.	strong
		Standard	To what extent was it foreseeable that unachieved aspects of the project objective will be achieved during the current project term?	Perception of government partners, and NGO partners	Interviews	Interviews Regional Disaster Risk Reduction and Management Council (RDRRMC), Local Disaster Risk Reduction and Management Councils (LDRRMCs), DILG, OCD, etc.	strong
	The activities and outputs of the project contributed substantially to achieving the project objective (outcome). (1) Max. 30 points	Standard	To what extent have the agreed project outputs been achieved (or will be achieved until the end of the project), measured against the output indicators? Are additional indicators needed to reflect the outputs adequately?	Comparison current status and target of output indicators; in addition: Perception of traders (cross-border oriented companies), member of associations, results at output level	Secondary data analyses, interviews	RBM Tool status November 2020	strong
		Standard	How does the project contribute via activities, instruments and outputs to achieving the project objective (outcome)? (contribution-analysis approach)	See hypotheses selected	Interviews	Verification of hypotheses in interviews with project partners and project staff	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)	Management structure (flexibility, effectiveness, able to adapt to changes, etc.); governance of regional projects (overlapping of responsibilities); regional approach (peer learning, etc) not supported by the GIZ division nor by the partners	Secondary data analyses, interviews	Project proposal, RBM Tool, Interviews with project staff	strong
		Standard	What other/alternative factors contributed to the fact that the project objective was achieved or not achieved?	Perception of political partners (ministries), Martial law, non-cooperation of project partners on national level, Aspect of Corona / Anti - terror law (See CSBRM September / Hacking-of Social Media accounts (implication for communication with Students, etc.)	Secondary data analyses, interviews	Interviews with project staff (charlotte, Ed, Chris), interviews with DILG OPAP, OCD, NEDA, Nexus Study: the nexus between displacement and radicalisation in eastern Mindanao	strong
		and IKT	To what extent has the utilization of digital solutions contributed to the achievement of objectives?	The Do No Harm App (SWDL net)) and CBRM tool	Secondary data analyses, interviews	Interviews with project staff	strong
		Standard	What would have happened without the project?	Analysis of Changing situation in conflict: perception of project partners (DILG) and project staff, assessment of projects research papers on conflict situation	Secondary data analyses, interviews	Interviews with project staff (charlotte, Ed, Chris), interviews with DILG OPAP, OCD, NEDA, Nexus Stud: the nexus between displacement and radicalisation in eastern Mindanao	strong

No project-related (unintended) negative results have occurred – and if any negative results occurred the project responded adequately. The occurrence of additional (not formally agreed) positive results has been monitored and additional opportunities for further positive results have been seized. Max. 30 points	Standard	Which (unintended) negative or (formally not agreed) positive results does the project produce at output and outcome level and why?	1. Success stories with individuals - more dialogues implemented on their own (interview with Ed) 2. CAPID dialogue approach used by land governance project RLGM (AV Herwig Mayer / Ed) 3. Department of Health on municipality level Health day - MHPSS important instrument (Interview Chris - See knowledge product and article on GIZ homepage) 4. Oversees returning migrants ("rückholaktion by government - CAPID was asked for support with dialogue approach of CAPID (see concept note - discussion cooperation ongoing) 5. Confidence of youth / empowerment (interview with Charlotte and Ed - see knowledge product)	Secondary data analyses, interviews	Interviews with individual beneficiaries (facilitated by Ed Quitoiano) Interviews with Christopher Santiago on MHPPSS Interview with Charlotte Lozada and Ed on empowerment of youth / if possible, interviews with individual youth Knowledge product and article on GOIZ homepage on MHPSS Concept note on returning migrants project	strong
	and Fragility	To what extent was the project able to ensure that escalating factors/ dividers (3) have not been strengthened (indirectly) by the project (4)? Has the project unintentionally (indirectly) supported violent or 'dividing' actors?	Assessment of Concept documents to understand what factors were known/ incorporated in design	Secondary data analyses, interviews	Peace and Conflict Analysis Integrierte Kontext und Menschenrechtsanalyse Interview	strong
	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?	Assessment of Project proposal and monitoring system with help of project staff.	Secondary data analyses, interviews	RBM Tool Interview with Fr. Warner Como / Interview project Staff PCA, Inegrierte Kontext- und Menschenrechtsanalys, Gender-analysis	strong
	and Fragility	To what extent have risks in the context of conflict, fragility and violence (5) been monitored (context/conflict-sensitive monitoring) in a systematic way?	Aspect of Corona / Anti - terror law (See CSBRM September / Hacking-of Social Media accounts (implication for communication with Students, etc.)	Secondary data analyses, interviews	Interview with Fr. Warner Como / Interview project Staff PCA, Inegrierte Kontext- und Menschenrechtsanalys, Gender-analysis	strong
	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?	Adaption to Corona - interviews with project staff / AV. Interview with Francis (Risk management office) Butuan.	Secondary data analyses, interviews	RBM Tool Interview with Fr. Warner Como / Interview project Staff	strong
	Standard	To what extend were potential (not formally agreed) positive results at outcome level monitored and exploited?	Assessment of Concept documents to understand what factors were known/ incorporated in design	Secondary data analyses, interviews	RBM Tool Interview with Fr. Warner Como / Interview project Staff	strong

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)
The intended overarching development results have occurred or are foreseen (plausible reasons). (1) Max. 40 points	Standard	To which overarching development results was 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	SDG 10, SDG16, reduction of conflict	Secondary data analyses and interviews	interviews with GIZ project staff, OCD, DILG, NEDA,	good

		results at the impact level can be observed or are plausible to be achieved in the future?				
	Standard	Indirect target group and 'Leave No One Behind' (LNOB): was 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?	Aspect of contacting the target groups (adaption to context, language, dialects,)	Interviews	interviews with GIZ project staff, OCD, DILG, NEDA, Facilitators of dialogue formats	good
The project objective (outcome) of the project contributed to the occurred or foreseen overarching development results (impact). (1) Max. 30 points	Standard	To what extent was it plausible that the results of the project on outcome level (project objective) contributed or will contribute to the overarching results? (contribution-analysis approach)	Impact on level of reduced conflicts and better government response to conflict-induced displacement	Interviews	interviews with GIZ project staff, OCD, DILG, NEDA,	good
	Standard	What are the alternative explanations/factors for the overarching development results observed? (e.g. the activities of other stakeholders, other policies)	Other government initiatives / assessment of conflicts	document analysis interviews	GIZ project staff, conflict assessments	good
	Standard	To what extent was 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?	Developments in countries / Political drive	Interviews	interviews with GIZ project staff, OCD, DILG, NEDA,	good
	Standard	What would have happened without the project?	Impact on level of corruption, time and cost reduction, regional cooperation, digitalisation, consumer benefits	see above	interviews with GIZ project staff, OCD, DILG, NEDA,	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?	Conference in October (MO indicator) - across regions (not only Cariaga), Potentially Do-Harm can be reused / scaled up (DSWOD)	Interviews	interviews with GIZ project staff, OCD, DILG, NEDA, DSWOD	good
No project-related (unintended) negative results at impact level have occurred – and if any negative results occurred the project responded adequately. The occurrence of additional (not formally agreed) positive results at impact level has been monitored and additional opportunities for further positive results have been seized. Max. 30 points	Standard	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?	Look at the impact of the project not being officially implemented. Look at effect of shortness of project period for new projects, difficult and challenging / new topic. Effect / Risk of BMZ 2030		Interview with project staff	good
	and Fragility	To what extent did the project have (unintended) negative or escalating effects on the conflict or the context of fragility (e.g. conflict dynamics, violence, legitimacy of state and non-state actors/institutions)? To what extent did the project have positive or deescalating effects on the conflict or the context of fragility (e.g. conflict dynamics, violence, legitimacy of state and non-state actors/institutions)?	Perception of conflict development and projects effect on the conflict	Document analyses, interviews	interviews with GIZ project staff, OCD, DILG, NEDA, DSWOD	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?	Reports of project staff, RBM and CBRM monitoring systems	Document analyses, interviews	Interview with GIZ project staff, check RBM, CBRM	good

	Standard	What measures have been taken by the project to avoid and counteract the risks/negative results/trade-offs (3)?	Reports of project staff,	Document analyses, interviews	Interview with GIZ project staff,	good
	Standard	To what extent have the framework conditions played a role in regard to the negative results? How did the project react to this?	Perception of project staff,	interviews	Interview with GIZ project staff,	
	Standard	To what extent were potential (not formally agreed) positive results and potential synergies between the ecological, economic and social dimensions monitored and exploited?	Perception of project staff,	interviews	Interview with GIZ project staff,	

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)
The project's use of resources was appropriate with regard to the outputs achieved. [Production efficiency: Resources/Outputs] Max. 70 points	Standard	To what extent are there deviations between the identified costs and the projected costs? What are the reasons for the identified deviation(s)?	The project controls its resources according to the planned cost plan (cost lines). Deviations from the cost plan are only made if the reasons are comprehensible.		Secondary data analyses, interviews with project staff	Project documents
	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)	The project reflects whether the agreed effects can be achieved with the available resources.		Secondary data analyses, interviews with project staff	Project documents
	Standard		The project steers its resources according to the planned costs for the agreed upon achievements (outputs). Only with comprehensible justification deviations from the costs occur. The overall costs of the project are in an appropriate relationship to the costs of the outputs. The services provided by ZAS Aufschriebe have a comprehensible added value for achieving the outputs of the project.		Secondary data analyses, interviews with project staff	Project documents
	Standard		The overall costs of the project are in an appropriate relationship to the costs of the outputs.		Secondary data analyses, interviews with project staff	Project documents
	Standard		The services provided by ZAS Descriptions have a comprehensible added value for the achievement of the outputs of the project.		Secondary data analyses, interviews with project staff	Project documents
	Standard	Focus: To what extent could outputs have been maximised by reallocating resources between the outputs? (methodological minimum standard: Follow-the-money approach)	The project manages its resources in order to achieve other outputs faster/ better if outputs have been achieved or cannot be achieved (final evaluation). Or: The project manages and plans its resources in order to achieve other outputs faster/ better, if outputs have been achieved or cannot be achieved (interim evaluation).		Secondary data analyses, interviews with project staff	Project documents
	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)	The instrument concept proposed in the module proposal was well implemented in terms of the estimated costs in relation to the targeted outputs of the project.		Secondary data analyses, interviews with project staff	Project documents
	Standard		The constellation of partners and the associated levels of intervention proposed in the module proposal were well realized in		Secondary data analyses, interviews with project staff	Project documents

			terms of the estimated costs in relation to the intended outputs of the project.			
	Standard		The proposed thematic focus of the project could be realized well with regard to the estimated costs in relation to the intended outputs of the project.		Secondary data analyses, interviews with project staff	Project documents
	Standard		The risks described in the module proposal are well comprehensible in terms of the estimated costs in relation to the targeted outputs of the project.		Secondary data analyses, interviews with project staff	Project documents
	Standard		The scope of the project (e.g. regions) described in the module proposal was fully realized in terms of the estimated costs in relation to the targeted outputs of the project.		Secondary data analyses, interviews with project staff	Project documents
	Standard		The approach of the project described in the module proposal with regard to the outputs to be achieved corresponds to the state-of-the-art under the given framework conditions.		Secondary data analyses, interviews with project staff	Project documents
	Standard	For interim evaluations based on the analysis to date: To what extent are further planned expenditures meaningfully distributed among the targeted outputs?	see above		Secondary data analyses, interviews with project staff	Project documents
The project's use of resources was 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)?	The project was geared to internal or external benchmarks in order to achieve its effects cost-efficiently.		Secondary data analyses, interviews with project staff	Project documents
	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?	The project manages its resources between the outputs so that the maximum effects in terms of the module objective are achieved. (final evaluation) Or: The project manages and plans its resources between the outputs so that the maximum effects in terms of the module objective are achieved. (interim evaluation)		Secondary data analyses, interviews with project staff	Project documents
	Standard		The instrument concept proposed in the module proposal was well realized in terms of the estimated costs in relation to the module objective of the project.		Secondary data analyses, interviews with project staff	Project documents
	Standard		The partner constellation proposed in the module proposal and the associated levels of intervention could be realized well with regard to the estimated costs in relation to the intended module objective of the project.		Secondary data analyses, interviews with project staff	Project documents
	Standard		The proposed thematic focus of the project could be realized well with regard to the estimated costs in relation to the intended module goal of the project.		Secondary data analyses, interviews with project staff	Project documents
	Standard		The risks described in the module proposal are well comprehensible in terms of the estimated costs in relation to the intended module objective of the project.		Secondary data analyses, interviews with project staff	Project documents
	Standard		The scope of the project described in the module proposal (e.g. regions) could be fully realized with regard to the estimated costs in relation to the desired module objective of the project.		Secondary data analyses, interviews with project staff	Project documents

Standard		The approach of the project described in the module proposal with regard to the module objective to be achieved corresponds to the state-of-the-art under the given framework conditions.		Secondary data analyses, interviews with project staff	Project documents
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?	The project takes the necessary steps to fully realize synergies with interventions of other donors at the level of impact.		Secondary data analyses, interviews with project staff	Project documents
Standard		Losses in efficiency due to insufficient coordination and complementarity with interventions of other donors are sufficiently avoided.		Secondary data analyses, interviews with project staff	Project documents
Standard		The project takes the necessary steps to fully realize synergies within German development cooperation.		Secondary data analyses, interviews with project staff	Project documents
Standard		Losses in efficiency due to insufficient coordination and complementarity within German DC are sufficiently avoided.		Secondary data analyses, interviews with project staff	Project documents
Standard		Combined financing has led to or was expected to lead to a significant expansion of impacts.		Secondary data analyses, interviews with project staff	Project documents
Standard		As a result of the combined financing, the overarching costs have not increased disproportionately in relation to the total costs.		Secondary data analyses, interviews with project staff	Project documents
Standard		The partner contributions are proportionate to the costs of the project outputs.		Secondary data analyses, interviews with project staff	Project documents

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?	Assessment of Participative approach - see Do No Harm App development (OCD / DILG). Assessment of Handbook of internal displacement spread by local councils. Knowledge products (approaches on added benefits for partners), Networks / Dialogues. Exchange on local level. Core Groups. Close to pro-	Document analyses, interviews	Interviews with DILG (on Use of Handbook) OPAP, OCD, NEDA, Interview with project staff: Ed Quitoriano Chris Santiago on MHPSS trainings Interview with selected users of Handbook (e.g. local government users) assessment of Handbook	strong

			cess. takeo-ver of pro-cesses			
	Standard	In what way are advisory contents, approaches, methods or concepts of the project anchored/institutionalised in the (part-ner) system?	See assess-ment of Handbook use above plus percep-tion on use of knowledge products by political part-ners	interviews	Interviews with DILG, OPAPP, OCD, NEDA, (on use of Handbook and other knowledge products.	strong
	Standard	To what extent are the results continuously used and/or fur-ther developed by the target group and/or implementing part-ners?	Perception of the political partners and participants of dialogue formats	interviews	Interviews with DILG, OPAPP, OCD, NEDA, (on use of Handbook and other knowledge products) Interview with participants of dialogue formats (through Ed) interview with participants of MHPSS events (through Chris)	strong
	Standard	To what extent are resources and capacities at the individ-ual, organisational or societal/political level in the partner country available (long-term) to ensure the continuation of the results achieved?	Perception of the political partners and project staff as well as other GIZ projects: CO-SERAM and Climate re-lated dis-placements project	interviews	Interviews with DILG, OPAPP, OCD, NEDA, on capacities of institutions Interviews with project staff (CO-SERAM and project Human Mobility in the Context of Climate Change 2017.4062.0)	strong
	Standard	If no follow-on measure exists: What was the project's exit strategy? How are lessons learnt for partners and GIZ pre-pared and documented?	explanation of project staff: e.g. co-operation 7 handover to GIZ project Human Mo-bility in the Context of Climate Change 2017.4062.0 / Concept on reintegration project and strategy for use of Hand-book and other prod-ucts	Document analyses, interviews	Interviews with DILG, OPAPP, OCD, NEDA, on capacities of institutions Interviews with project staff (CO-SERAM and project Human Mobility in the Context of Climate Change 2017.4062.0)	strong

	and Fragility	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)?	perception of project staff and CBRM responsible	interviews	Interviews with DILG, OPAPP, OCD, NEDA, Interviews with project staff	strong
Forecast of durability: Results of the project are permanent, stable and long-term resilient. Max. 50 points	Standard	To what extent are the results of the project durable, stable and resilient in the long-term under the given conditions?	Perception of project staff and political partners	interviews	Interviews with DILG, OPAPP, OCD, NEDA, Interviews with project staff	strong
	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?	Perception of project staff and political partners	interviews	Interviews with DILG, OPAPP, OCD, NEDA, on capacities of institutions Interviews with project staff	strong

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