

KNOWING WHAT WORKS

# Central project evaluation

CONNEX Support Unit, Global

Project number 2017.2123.2

## Evaluation Report

On behalf of GIZ by Annette Kougbé and Simon Freund (IMAP GmbH)

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# Contents

List of figures.....	4
List of tables.....	4
Abbreviations .....	5
The project at a glance .....	7
1 Evaluation objectives and questions.....	8
1.1 Evaluation objectives.....	8
1.2 Evaluation questions .....	8
2 Object of the evaluation .....	9
2.1 Definition of the evaluation object.....	9
2.2 Results model including hypotheses .....	11
3 Evaluability and evaluation process.....	16
3.1 Evaluability: data availability and quality .....	16
3.2 Evaluation process .....	17
4 Assessment according to OECD/DAC criteria.....	20
4.1 Impact and sustainability of predecessor projects.....	20
4.2 Relevance.....	22
4.3 Coherence .....	27
4.4 Effectiveness .....	30
4.5 Impact.....	39
4.6 Efficiency .....	44
4.7 Sustainability .....	50
4.8 Key results and overall rating .....	54
5 Conclusions and recommendations.....	56
5.1 Key findings and factors of success/failure .....	56
5.2 Recommendations.....	59
List of references .....	60
Annex: Evaluation matrix .....	63

## List of figures

Figure 1: Current results model as of 5 November 2020 (developed with the CONNEX team). ....	12
Figure 2: Milestones of the evaluation process.....	17
Figure 3: Total costs according to outputs and overarching costs in %. ....	45
Figure 4: Achievement of output indicators (Screenshot GIZ efficiency tool, German only).....	46
Figure 5: Achievement of outcome indicators (Screenshot GIZ efficiency tool, German only). ....	48

## List of tables

Table 1: Knowledge interests by main evaluation stakeholder groups .....	8
Table 2: List of evaluation stakeholders and selected participants .....	18
Table 3: Methodology for predecessor project.....	21
Table 4: Rating of OECD/DAC criterion: relevance .....	22
Table 5: Methodology for assessing OECD/DAC criterion: relevance. ....	26
Table 6: Rating of OECD/DAC criterion: coherence .....	27
Table 7: Methodology for assessing OECD/DAC criterion: coherence.....	29
Table 8: Rating of OECD/DAC criterion: effectiveness. ....	30
Table 9: Assessed and adapted objective indicators for specific modules (outcome level). ....	32
Table 10: Selected results hypotheses for effectiveness. ....	34
Table 11: Methodology for assessing OECD/DAC criterion: effectiveness. ....	38
Table 12: Rating of OECD/DAC criterion: impact .....	39
Table 13: Selected results hypotheses for impact .....	42
Table 14: Methodology for assessing OECD/DAC criterion: impact.....	43
Table 15: Rating of OECD/DAC criterion: efficiency.....	44
Table 16: Methodology for assessing OECD/DAC criterion: efficiency .....	50
Table 17: Rating of OECD/DAC criterion: sustainability .....	50
Table 18: Methodology for assessing OECD/DAC criterion: sustainability.....	54
Table 19: Overall rating of OECD/DAC criteria and assessment dimensions .....	55
Table 20: Rating and score scales.....	56

## Abbreviations

ALSF	African Legal Support Facility
BMZ	German Federal Ministry for Economic Cooperation and Development
BGR	Federal Institute for Geosciences and Natural Resources
CONNEX	Strengthening Assistance for Complex Contract Negotiations in Extractives
DAC	Development Assistance Committee
EU	European Union
FGD	Focus group discussion
GDP	Gross domestic product
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH
GLOBE	GIZ's Department for Sector and Global Programmes
ICMM	International Council on Mining and Metals
ISLP	International Senior Lawyers Project
NGO	Non-governmental organisation
OECD	Organisation for Economic Co-operation and Development
SDG	Sustainable Development Goal



## The project at a glance

Global project: CONNEX (Strengthening Assistance for Complex Contract Negotiations in Extractives) Support Unit

Project number	2017.2123.2
Creditor reporting system code(s)	32210
Project objective	The contract negotiation-specific preconditions in the partner countries for the development-oriented use of investments in the extractive sector are improved.
Project term	03 August 2017 until 30 April 2021
Project value	EUR 4,600,000 (EUR 1,000,000 of which are co-financed by the EU)
Commissioning party	German Federal Ministry for Economic Cooperation and Development (BMZ)
Lead executing agency	Government institutions and structures involved in contract negotiations (such as responsible line ministries, ministries of finance, presidential offices)
Implementing organisations (in the partner country)	GIZ (global project without legally recognised political sponsor), European Union (EU)
Other development organisations involved	German development partners: Kreditanstalt für Wiederaufbau (KfW), German Development Institute, Federal Institute for Geosciences and Natural Resources (BGR), Physikalisch-Technische Bundesanstalt, Geokompetenzzentrum Freiberg International partners: African Union, African Development Bank, African Legal Support Facility (ALSF) hosted by the African Development Bank, Columbia Center on Sustainable Investment, International Senior Lawyers Project (ISLP), Chatham House, Intergovernmental Forum on Mining, Minerals, Metals and Sustainable Development, New Partnership for Africa's Development, African Minerals Development Centre, Organisation for Economic Co-operation and Development (OECD) and Overseas Development Institute Conceptual cooperation with German universities and non-governmental organisations (NGOs)
Target group(s)	Government representatives and other officials from ministries and subordinate authorities who play an active role in the negotiation of contracts or their implementation (recipients of CONNEX support measures). Furthermore, international investors (such as mining companies) are indirect but important stakeholders as potential long-term investment partners of the government. The indirect target group is the population of the partner countries in which raw material deposits offer important development opportunities (according to the offer, this is the project's target group).
Reporting year CPE	2021
Sample year CPE	2018

# 1 Evaluation objectives and questions

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

## 1.1 Evaluation objectives

Central project evaluations of projects commissioned by the German Federal Ministry for Economic Cooperation and Development (BMZ) fulfil three basic functions: they support evidence-based decisions, promote transparency and accountability, and foster organisational learning within the scope of contributing to effective knowledge management. Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH (GIZ) structures the planning, implementation and use of evaluations so that the contribution the evaluation process and the evaluation findings make to these basic functions is optimised (GIZ, 2018a).

## 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, coherence, efficiency, effectiveness, impact and sustainability**.

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

Table 1: Knowledge interests by main evaluation stakeholder groups

Evaluation stakeholder group	Knowledge interests in evaluation/additional evaluation questions	Relevant section in this report
BMZ (Office of the Personal Representative for Africa of the German Chancellor/Africa Representative of the Federal Ministry for Economic Cooperation and Development, as well as Department 422)	<ul style="list-style-type: none"> <li>What could a scaling of CONNEX services look like: rather limited to a specific sector or rather open to all major contracts?</li> <li>How do the partners and possibly BMZ country departments perceive the cooperation (awareness of CONNEX, process quality)?</li> <li>To what extent can a demand-oriented service, such as a service provided by CONNEX, serve as a model for other projects?</li> </ul>	Included in sections 4.4 and 4.6 (No. 2)
CONNEX Secretariat/project team	<ul style="list-style-type: none"> <li>To what extent is the marketing of the project sufficient?</li> <li>How well does the risk management work?</li> </ul>	Included in section 4.4
CONNEX Advisory Committee	<ul style="list-style-type: none"> <li>To what extent is the management structure of the project appropriate? Who makes decisions?</li> <li>Have resources been used efficiently?</li> </ul>	Included in sections 0 and <b>Fehler! Verweisquelle konnte nicht gefunden werden.</b>



Evaluation stakeholder group	Knowledge interests in evaluation/additional evaluation questions	Relevant section in this report
	<p>(Measured (1) as home office overheads as a percentage of general expenses, and (2) as expenses for fundraising and marketing as a percentage of third-party funds that were raised)</p> <ul style="list-style-type: none"> <li>Have the agreements negotiated under CONNEX improved fairness or reduced/eliminated contracts biased against the interests of host countries?</li> </ul>	
Head of Governance and Human Rights section (G420) within GLZ's Department for Sector and Global Projects	<ul style="list-style-type: none"> <li>To what extent is the project's management structure appropriate? Are the roles and mandates clear to all stakeholders?</li> <li>To what extent does the project generate long-term developmental effects?</li> <li>To what extent could CONNEX / such a global project serve as an innovative example for other projects?</li> </ul>	<p>Included in section <b>Fehler! Verweisquelle konnte nicht gefunden werden.</b></p> <p>Included in section 0</p> <p>Included in section 4.6</p>
GLZ Sectoral Department (FMB)	<ul style="list-style-type: none"> <li>How can synergies with bilateral projects in CONNEX partner countries be enhanced, e.g. how can long-term support for services be ensured?</li> <li>How can the sustainability of CONNEX's work be increased through cooperation with the regional divisions?</li> </ul>	<p>Included in sections 4.4 and <b>Fehler! Verweisquelle konnte nicht gefunden werden.</b></p>

## 2 Object of the evaluation

This chapter defines the evaluation object, including the theory of change, and results hypotheses.

### 2.1 Definition of the evaluation object

The object of evaluation is the randomly selected CONNEX Support Unit project, identified by project number 2017.2123.2 and henceforward called the project. The assessment and grading based on the OECD/DAC criteria refer only to this project. The project is a stand-alone measure, and not part of an overarching programme. The project had no predecessor in a literal sense but has continued and developed the CONNEX activities already implemented in the Extractives and Development sector programme (PN 2015.2042.8), which has been ongoing since 2015 (see section 4.1). CONNEX activities (starting with the very first steps and pilots) implemented within the framework of this sector programme between April 2016 and March 2020 had a contract value of EUR 3,500,000. Furthermore, the project has a successor project, CONNEX Support Unit II (PN 2019.2316.8), which started in March 2021 (see section 4.7).

The global project was implemented between September 2017 and April 2021 (3 years and 8 months) and had a current total value of EUR 4,600,000 (cost unit report of 15 March 2021). The project started with EUR 3,000,000 and received EUR 1,000,000 in co-financing from the European Union (EU) for the period March 2020 to February 2021. At the end of 2020, the project received an additional EUR 600,000 from BMZ.

The modification offer changed the project's objective (outcome) and the first module objective indicator, and added an output aimed at the capacity development of the partners (output C). The modification offer is therefore the basis of this evaluation.

As a global project that provides advisory services to OECD/DAC countries (see information on target groups below), there is no a priori geographical delimitation of the project. Although a majority of possible partner countries are located in Africa, they were not the focus of this evaluation, since (piloting) measures that were implemented there were mostly financed out of the Extractives and Development sector programme (with the exception of Liberia). The project was granted an official exemption to the application of the BMZ 2030 partner list (a list of partner countries supported by German development cooperation drawn up in June 2020) defined to retain its current scope of action.

Since the project provided demand-based technical consulting services at government level at the request of a partner, continuous capacity development at the three capacity development levels was not considered relevant for the project but will play a more prominent role in the CONNEX II follow-on project. The project operated only at the macro level.

The extractive sector is a key economic sector in a large number of developing countries. In many partner countries supported by German development cooperation, extractives generate more than two-fifths of gross domestic product (GDP) (ICMM, 2018). The sector thus offers considerable opportunities for economic and social development. Investment agreements that are well negotiated and professionally implemented are a key success factor in this context. They govern the relationship between the state and investors and clarify rights and responsibilities. However, partner countries often do not have the necessary information, capacity or expertise to negotiate with investors on an equal footing, given the large volume and the complexity of the investments. In many cases, agreements not only fall short of harnessing the existing economic potential, but also entail financial disadvantages and hence do not fully achieve the development results envisaged. However, existing support services are not tailored to the needs of developing countries, are sometimes focused on only one area of expertise and are not sufficiently accepted by the partner countries (core problem).

With strong support from Germany, the CONNEX Initiative was founded at the G7 Summit in Brussels in 2014 to meet these needs. In 2017, Germany increased its commitment to developing the CONNEX Initiative by setting up the CONNEX Support Unit as an implementation structure. The CONNEX Support Unit is managed by GIZ through the project under review.

The **project objective** is: The contract negotiation-specific preconditions in the partner countries for the development-oriented use of investments in the extractive sector are improved.

As a global project, CONNEX had no political partner.

The actual **implementing partners** were the private sector, intergovernmental institutions (such as regional organisations, development banks, resource governance networks) and civil society actors in the extractive sector, particularly in resource-rich developing countries as well as at global level and in Germany. The project provided consultancy services by deploying short-term high-quality specialists from a variety of disciplines. If appropriate and if it added value to the support in question, the project cooperated with (non-profit) partners and service providers (such as the International Senior Lawyers Project (ISLP) for pro bono legal advice).

With regard to capacity building of stakeholders, the project cooperated with the non-state actor, the Natural Resource Governance Institute. In order to become known among the target group and potential development partners, the project cooperated closely with the members of its Advisory Committee that are deeply rooted in the extractive sector, with the ISLP and with certain German development cooperation structures, above all GIZ regional structures (country offices and bilateral or regional projects).

The **direct target group** of the project consists of government representatives and other officials from ministries and subordinate authorities in partner countries<sup>1</sup> who play an active role in the area of contract negotiation (recipients of CONNEX support measures). More specifically, the project's partners were resource-rich countries from the OECD/DAC list of recipients of official development assistance. This scope of action was confirmed through an official exemption from the BMZ 2030 partner list.

The **indirect target group/final beneficiaries** at impact level consist of the general populations of the partner countries in which raw material deposits offer important development opportunities and in which the consulting services were provided (this is the project's target group according to the offer; see GIZ (2017) and GIZ (2020)).

The project has **markers** for participatory development/good governance (PD/GG 2) as a primary objective and a marker for trade development (TD 1) as a secondary objective.

## 2.2 Results model including hypotheses

### Theory of change (results model)

The theory of change is the foundation for the theory-based evaluation approach employed in this evaluation. It is essential for assessing all six OECD/DAC criteria.

The following graphic representation of the theory of change (Figure 1), the results model, was developed with the project team during the inception phase and revised by the evaluation team after the modification offer had been accepted.<sup>2</sup> Activities and instruments are not depicted for the sake of keeping the figure legible. Some keywords describing the respective activities are, however, included in some results.

### Outputs leading to outcome

The project encompasses the following three outputs.

- Output A: The CONNEX Support Unit has the necessary tools to offer ad hoc experts who can provide high-quality support for contract negotiations.
- Output B: The CONNEX Support Unit is further established by continuing the international dialogue process to agree guidelines for fair commodity contracts and to expand its supporter and partner network.
- Output C: Partner governments in commodity-rich countries have increased their knowledge of contract negotiation processes.

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<sup>1</sup> In line with the terminology used by German development cooperation and the project's documents, the term 'partner country' will be used throughout, even if such a country, when applying for CONNEX support, is more a client (that may or may not be served) than a partner country in the usual sense of bilateral German technical cooperation, which would involve bilateral government negotiations and a close and lasting relationship that included capacity development.

<sup>2</sup> This revision eliminated the original objective that had been modified by the modification offer but had been included in the reconstruction workshop since the modification offer had not yet been accepted then.

The diagram illustrates the causal relationships within the CONNEX initiative, centered around the goal: **PC make use of CONNEX's services.**

**Central Goal:** PC make use of CONNEX's services.

**Outcomes (Light Blue Boxes):**

- Preconditions for development-oriented contract negotiations are improved. (outcome)
- Contracts are negotiated in a development-oriented way (more professional and transparent, more oriented towards sustainability) (super outcome)
- Investment climate has improved. (impact 2) (Enhanced legal certainty through more robust contracts)
- Protection of human rights in the extractive sector is improved. (impact 3)

**Super-Outcomes (Light Green Boxes):**

- CONNEX offers high quality services. (super-output A)
- CONNEX Support Unit is further established. (output B)
- CONNEX is known in PCs. (sub-output B3) (Marketing via extractives fairs, impact stories etc.)

**Impacts (Light Red Boxes):**

- Public Procurement Law (Ri3)
- PCs' needs cannot be satisfied due to the priorities of the commissioning party (BMZ). (Ri5)
- Travel of experts is restricted. (Ri6) (e.g. due to Covid-19, elections etc.)
- PCs are interested in CONNEX's services. (As1)
- Participation in capacity development measures. (As5)
- CONNEX, GIZ and German DC lose reputation due to unforeseeable risks in PC. (Ri2)
- Regional structure of German DC supports the implementation of CONNEX's services (regional units in BMZ, GIZ country offices in PCs). (As4)
- Market dynamics cause decrease in interest of PCs. (Ri4)
- Political interest of G7 in the CONNEX Initiative decreases. (Ri1)
- BMZ actively pursues co-financing (As3)

**Internal Processes (Light Green Boxes):**

- CONNEX has tools for offering ad hoc high-quality services at its disposal. (output A) (needs assessment, application process, expert list, risk management, quality assurance)
- The international multi-stakeholder dialogue process with PCs' participation has been continued. (sub-output B1)
- CONNEX's network of supporters and partners is extended. (sub-output B2) (also development banks and German DC)
- PC's knowledge of contract negotiations is improved. (output C) (exchange in dialogues, capacity development)

**Feedback Loops (Double Slashes //):**

- From **Public Procurement Law (Ri3)** to **PCs' needs cannot be satisfied...** and **Travel of experts is restricted...**
- From **PCs' needs cannot be satisfied...** to **PCs are interested in CONNEX's services...**
- From **Travel of experts is restricted...** to **PCs are interested in CONNEX's services...**
- From **PCs are interested in CONNEX's services...** to **PC make use of CONNEX's services.**
- From **PC make use of CONNEX's services.** to **Preconditions for development-oriented contract negotiations...**
- From **Preconditions for development-oriented contract negotiations...** to **Contracts are negotiated in a development-oriented way...**
- From **Contracts are negotiated in a development-oriented way...** to **Investment climate has improved...**
- From **Investment climate has improved...** to **Protection of human rights in the extractive sector...**
- From **Protection of human rights in the extractive sector...** to **PCs are interested in CONNEX's services...**
- From **PCs are interested in CONNEX's services...** to **Participation in capacity development measures...**
- From **Participation in capacity development measures...** to **CONNEX, GIZ and German DC lose reputation...**
- From **CONNEX, GIZ and German DC lose reputation...** to **Regional structure of German DC...**
- From **Regional structure of German DC...** to **CONNEX is known in PCs...**
- From **CONNEX is known in PCs...** to **CONNEX Support Unit is further established...**
- From **CONNEX Support Unit is further established...** to **CONNEX offers high quality services...**
- From **CONNEX offers high quality services...** to **CONNEX has tools for offering ad hoc high-quality services...**
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- From **CONNEX's network of supporters and partners is extended...** to **CONNEX is known in PCs...**
- From **CONNEX is known in PCs...** to **CONNEX Support Unit is further established...**
- From **CONNEX Support Unit is further established...** to **CONNEX offers high quality services...**
- From **CONNEX offers high quality services...** to **CONNEX has tools for offering ad hoc high-quality services...**
- From **CONNEX has tools for offering ad hoc high-quality services...** to **CONNEX's network of supporters and partners is extended...**
- From **CONN**

- 12

**Output A** focuses on the ability of the CONNEX Support Unit to deliver high-quality services from a managerial and an instrumental perspective. To achieve this output, the project prepares CONNEX support measures at a conceptual level at the request of the respective partner (activity A1), tenders expert services and manages experts' assignments from a commercial perspective (A2); and ensures the quality of the expert services (A3). All activities are executed by the CONNEX Support Unit or Secretariat, i.e. the project, which deploys international and regional external experts directly or indirectly (in a needs-based cooperation with the ISLP). Output A requires that the CONNEX Support Unit is equipped with the resources and processes to manage and provide high-quality services. Such instruments or tools comprise, for example:

- a thorough needs analysis conducted by the Secretariat members,
- an application procedure for (potential) partner ('client') countries,
- a risk management system to be able to objectively exclude 'risky' consulting projects during the application procedure (and during implementation),
- an expert list and network to design a suitable shortlist of experts for each tender and
- quality assurance processes before and during the implementation of the expert advisory services.

However, activities A1, A2 and A3, which are meant to achieve output A according to the logic of the results matrix, already require the use of such tools (e.g., the use of output A). To overcome this odd relation between activities A1, A2, A3 and output A, this output has been complemented for the sake of logic by the evaluators with 'super output A': 'CONNEX offers high-quality services'. It should be noted that the high-quality services are aligned with internationally accepted standards as well as principles and values that protect human rights and promote sustainable development via the CONNEX Initiative's Code of Conduct. Furthermore, in order to be accepted by the partners, this service must be offered in a timely manner ('ad hoc') and adapted to the partners' needs, two characteristics that might be obstructed by European public procurement law and the GIZ unit applying it (risk Ri3, comprising two risks and one assumption in the results matrix with the same content). During the discussion of the results model, two other risks were formulated that might also obstruct the efficient provision of services: if partner countries applying for CONNEX services do not fall into the range of countries that the commissioning party/parties want to support (Ri5) or if experts cannot travel due to the COVID-19 pandemic or political turmoil (Ri6), for example. Super output A, the offer of high-quality CONNEX services, is then used by partners. This in turn leads to 'the contract negotiation-specific preconditions in the partner countries for the development-oriented use of investments in the extractive sector' being improved (**outcome**). According to the project, the development orientation is fostered by the CONNEX Code of Conduct for the experts, which refers to 'internationally accepted principles [...] and values' including the Sustainable Development Goals (SDGs). It is noteworthy that the project considers its sphere of responsibility to end with these preconditions regarding contract negotiations.

**Output B** focuses on the establishment of CONNEX as a renowned provider of consulting services for the negotiation of extractive contracts. This requires that the CONNEX Support Unit is known to all important stakeholders, be they potential clients (partner countries), partners involved in service provision or members of the global network of actors in the extractive sector; it also requires that funding of the unit is secured. Two ways in which the project set out to achieve this output ('establishment') were integrated as a target-means relationship into the wording of output B. They are depicted as 'sub-outputs B1 and B2' in the revised results model above for reasons of logical clarity. The original wording of sub-output B1 referred to 'continuing the international dialogue process to coordinate guidelines for fair extractive contracts'. This refers to a number of dialogues, including the CONNEX Negotiation Support Forum, which the project supported as part of the Extractives and Development sector programme. This result was to be achieved as a result of activity A4 'Conducting dialogue events on technical issues and guidelines in the negotiation of extractive contracts'. The expansion of CONNEX's network of supporters and partners is an ongoing process that is integrated into the results model as sub-output B2, the second pathway to achieving the establishment of CONNEX. 'Partners' in this context are development banks and other international donors, regional organisations and advisory services. The network of partners might be endangered by the founding G7 losing interest in the CONNEX



Initiative (risk Ri1), thus putting the whole subject of fair contract negotiations, and CONNEX's central role in this area, lower on the international agenda. Co-financing by other donors would be the most suitable way of extending CONNEX's range of supporters, but it would have to be backed up by BMZ actively pursuing such co-financing opportunities (assumption As3). In addition to network activities, the establishment of CONNEX is pursued through activity A5, 'elaborate possibilities to promote the CONNEX Support Unit and develop and implement a marketing strategy', which results in sub-output B3 'CONNEX is known in partner countries', introduced in the workshop with the project team. Output B, the further establishment of the CONNEX Support Unit, the precondition for which is to be in demand by partner countries, illustrates the limited role that the project can play on the demand side of the market. The general interest of potential clients in CONNEX's services is assumed (As1), as is the support of German development cooperation actors in making CONNEX known and facilitating its market entrance (As4). However, the general market dynamics (e.g., excessively low prices for raw materials) may be such that partner countries lose interest in extractive contracts (Ri4). Finally, events may occur during and after the consultancy (e.g., corruption or environmental scandals) that put CONNEX's reputation at risk (Ri2). The establishment of CONNEX also lays the groundwork for trusted relationships with partner countries that can encourage them to use CONNEX's services. Thus, the **outcome** ('improved contract negotiation-specific preconditions') can be achieved.

The modification offer included a new output, **output C**, aimed at improving partner countries' knowledge of contract negotiation processes and procedures. This result was to be achieved by the creation and facilitation of discussion and (peer) exchange opportunities, where government representatives could share best practice experiences (activity A6). The provision of capacity development serves to improve knowledge and capacity in contract negotiations (A7) - provided that decision-makers in partner countries get the opportunity to take part in such capacity development measures (assumption As5). This knowledge can also be interpreted as a precondition for development-oriented contract negotiations (**outcome**).

### Outcome leading to impact

If the contract negotiation-specific preconditions for the development-oriented use of investments in the extractive sector are improved (**outcome**), countries are in a position to negotiate deals in a more professional and transparent way that could be more oriented towards sustainability (super outcome). This is the reason for assigning the marker **PD/GG 2** to the project, **because it rewards transparency**. Contracts negotiated in this way open up an opportunity for the country to obtain more public revenues from the extractive sector (**impact 1**). This is also expected to provide better protection for economic, social and cultural human rights in the extractive sector by, for example, requiring compliance with the standards set out by the International Labour Organization, compensating local populations in the event of a resettlement, dealing with environmental pollution caused by raw material extraction or securing access to drinking water despite mining activities (**impact 3**). In addition, such contracts are more robust against attempts to renegotiate them. This enhances legal security, thereby improving the investment climate (**impact 2**). This potential result is the reason for the project's **TD 1** marker.

Under the right circumstances, impact 1 also contributes indirectly to achieving overarching developmental impacts such as poverty reduction or the achievement of the SDGs in partner countries supported by international and German development cooperation. This concerns in particular the mobilisation of domestic resources and the building of partnerships to achieve the SDGs, which is in itself an SDG (SDG No. 17).

### Results hypotheses

This section sets out the results hypotheses that are to be tested under the effectiveness and impact criteria. The results hypotheses (H) are divided into those that lead from outputs to outcome (H1, H2, H3), one that links two outputs (H4) and one that depicts the reinforcement of output C (H5). H6 describes how the outcome feeds into the impact.

The project's **first results hypothesis** (H1) is defined as follows: The CONNEX Support Unit or Secretariat directly or indirectly deploys international or regional external experts. In this regard, it develops CONNEX support measures at a conceptual level at the request of the respective partner (activity A1); tenders expert services and manages experts' assignments from a commercial perspective (A2); and ensures the quality of the expert services (A3). Equipped with the resources and instruments to manage and provide high-quality services (output A), and given that no legal, procedural or political issues or travel restrictions prevent it (Ri3, Ri5, Ri6 do not materialise), CONNEX can offer high-quality services (super output A). If partner countries make use of them, the contract negotiation-specific preconditions in the partner countries for the development-oriented use of investments in the extractive sector are improved (**outcome**).

The project's **second results hypothesis** (H2) reads: By supporting dialogue events on technical issues and guidelines (activity A4), the project ensures that the international multi-stakeholder dialogue process with partner countries has been continued (sub-output B1), while (other) network activities (continuous and not specifically noted) extend the network of supporters and partners (sub-output B2). The elaboration of possibilities to promote the CONNEX Support Unit and develop and implement a marketing strategy (A5) helps CONNEX to raise its profile in partner countries (sub-output B3). Thereby, and with the help of BMZ (As3) and the continued interest of the G7 (Ri1 does not materialise), the project succeeds in establishing CONNEX as a renowned provider of consulting services on extractive contracts negotiation (output B) to interested (As1) countries. With the support of German development cooperation stakeholders (As4) and provided that the market dynamics (Ri4) or damage to CONNEX's reputation (Ri2) do not deter potential clients, partner countries will make use of CONNEX's services in such a way that contract negotiation-specific preconditions in the partner countries for the development-oriented use of investments in the extractive sector are improved (**outcome**).

The **third results hypothesis** (H3) reads as follows: The creation and facilitation of discussion and peer exchange opportunities (A6) and the provision of capacity development events (A7) help improve the target group's knowledge of contract negotiation processes (**output C**). Provided that decision-makers in partner countries get the opportunity to take part in such measures (As5), the contract negotiation-specific preconditions for the development-oriented use of investments in the extractive sector are improved (**outcome**).

**Fourth results hypothesis** (H4): If the further establishment of CONNEX (output B) involves a diversification of financing, through the extension of CONNEX's support network (sub-output B2), the possibility for CONNEX to continuously offer its services is ensured (super output A). This is, however, only envisaged in the follow-on measure.

**Fifth results hypothesis** (H5): By making use of CONNEX's services, partner countries experience contract negotiation processes on a level playing field, thus broadening their knowledge of such matters (output C) and reinforcing the effect of output C on the **outcome**.

#### **Outcome leading to impact**

**Sixth results hypothesis** (H6): If the contract negotiation-specific preconditions for the development-oriented use of extractive investments are improved (**outcome**), countries are in a position to negotiate deals in a more professional and transparent way and in a way that could be more oriented towards sustainability (super outcome). Contracts negotiated in this way open up an opportunity for the country to obtain more public revenues from the extractive sector (**impact 1**). This is also expected to provide better protection for economic, social and cultural human rights in the extractive sector (**impact 3**). In addition, such contracts are more robust against attempts to renegotiate them. This enhances legal security, thereby improving the investment climate (**impact 2**).

As a **potentially unintended positive result** at impact level, the project identified that if a partner country submitted repeated applications to CONNEX, less processing of the applications at the CONNEX Secretariat would be required. However, this was not monitored by the project. As a **potentially unintended negative result at impact** level, the project referred to concerns expressed by other stakeholders that governments might pay less attention to implementing necessary systemic reforms, for example, the development of the legal system or public finance management, since they have another means of obtaining better (individual) contracts, free of charge. This unintended result was not monitored by the project because the project did not share this concern.

The **system boundary** is marked by the slightly shaded oval sphere in the graphic results model above. It was not possible to identify potential outputs or outcomes achieved by other partners/local organisations/international organisations, partly because CONNEX is the only service provider that offers multidisciplinary support for negotiating contracts in extractives on a global scale (OECD/DAC-listed countries).

## 3 Evaluability and evaluation process

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

### 3.1 Evaluability: data availability and quality

This section covers the following aspects:

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

#### Availability of essential documents

All central documents were made available by the project. Sectoral and technical documents and frameworks could be retrieved from the internet (e.g. the EU's or Germany's raw materials strategies). However, due to the nature of the project, there were almost no documents illustrating the many different project contexts in the partner countries.<sup>3</sup>

#### Monitoring and baseline data including partner data

##### The project's results-based monitoring system

The project collected data from partners via feedback forms and compiled all relevant monitoring data in an Excel format by September 2021. Since the capacity development component is part of the modification offer recently submitted to BMZ, no indicators have been tracked in this regard so far. Risks are monitored qualitatively. The mandatory qualitative open assessment of stakeholder perceptions (KOMPASS) has apparently not been implemented, but continuous exchange with partners and stakeholders regarding project activities has been ensured. Monitoring has therefore not been used in a systematic way or to steer the project, making the assessment of effectiveness rather difficult. Instead, the progress reports reflect output implementation under the effectiveness criterion.

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<sup>3</sup> For example, contextual analyses, political-economic analyses or capacity assessments, peace and conflict assessment matrix, gender analyses, environmental and climate assessments, safeguarding and gender analyses.



### Partner data

No partner data was made available by the project team due to the nature of the project (deployment of short-term experts) and the fact that the contract negotiation processes were highly confidential.

### Baseline data

Since the project provided a new service, the baseline values for all module indicators were set to zero. There is no baseline data, therefore, only secondary data in studies that reflects a need for services such as those provided by CONNEX.

### Secondary data

No secondary data was provided. The evaluation team researched some data, such as the Africa Progress 2013 report *Equity in Extractives*, which was complemented by other studies to assess the relevance criterion.

## 3.2 Evaluation process

This section covers the following aspects:

- milestones of the evaluation process,
- involvement of stakeholders,
- selection of interviewees,
- data analysis process,
- roles of international and local evaluators, and
- remote evaluation.

Figure 2: Milestones of the evaluation process



### Involvement of stakeholders

The involvement of various stakeholders in the evaluation strongly determines the success of the evaluation and ownership regarding the evaluation findings and recommendations. In the inception phase, the key stakeholders consulted regarding their interest and knowledge with respect to the evaluation were: the CONNEX Governing Board, which is currently identical to the project's Governing Board (BMZ Ref 422/Office of Mr Nooke); CONNEX's Advisory Committee; GIZ's Sectoral Unit (FMB); and the head of the Governance and Human Rights Group (G420) within GIZ's Department for Sector and Global Programmes (GLOBE); the project team; and the CONNEX Secretariat. These stakeholders, plus the EU as the new commissioning party, were interviewed again during the evaluation mission. The surveys of BMZ and GIZ country officers that were originally planned were not implemented due to concerns by both BMZ and GIZ regarding the workload of their country officers. Other interview partners included representatives of CONNEX partner countries (target group/clients) as available; the respective providers of advisory services; the Extractives and Development sector programme; representatives of GIZ in CONNEX partner countries; multilateral and regional organisations and other multipliers; fellow providers of negotiation support such as the ISLP and the African Legal Support Facility (ALSF); development think tanks; and other external stakeholders.

The evaluation ensured that key stakeholders like the project team, the commissioning parties as well as GIZ's Corporate Unit Evaluation were continuously involved in the evaluation process. A total of 46 interviews, 2 focus group discussions (FGD) and 1 workshop were conducted in the course of the evaluation.

The evaluation encountered some obstacles with regard to partner involvement: the partners for this specific project are different from the partners in a normal bilateral technical cooperation measure, insofar as the cooperation here involves temporary and selective technical support without project structures on the ground. As a result, the partners or clients do not have the same interest in the further development of the project. This was apparent when only five partners responded to the evaluation team's requests for interviews; most of these partners were involved in still ongoing projects.<sup>4</sup> Consequently, the data available for assessing effectiveness, impact and sustainability, in particular, was rendered rather problematic. Due to the small number of interviews per country, which were conducted remotely, the evaluation team did not see a meaningful way of debriefing stakeholders per country after individual interviews.

Due to the COVID-19-induced travel restrictions and the remote nature of the evaluation, as well as the global character of the project, which worked with central government officials only, the evaluation team did not see a meaningful way of including the indirect target group (populations in the client countries) in the evaluation, apart from secondary studies and expert interviews.

### Selection of interviewees

The final decision on whom to involve in the evaluation was made by the evaluation team, which considered (i) the importance of the stakeholder (key or primary), (ii) the value of (additional) information provided, (iii) the feasibility of including the stakeholder's interview within the time frame/evaluation mission schedule. The evaluation team also conducted interviews with stakeholders that were not on the list of potential interview partners provided by the project.

Table 2: List of evaluation stakeholders and selected participants

Organisation/company/ target group	Overall number of persons involved in evaluation (including gender disaggregation)	No. of interview participants	No. of focus group participants	No. of workshop participants	No. of survey participants
<b>Donors</b>	4 (3m/1f)	2 (2m)	3 (2m/1f)		
BMZ Office German Chancellor's Personal Representative for Africa and Department 422, regional departments, Ref. 400 (G7/G20), EU (DEVCO)					
<b>GIZ</b>	26 (17m/9f)	20 (15m/5f)		8 (4m/4f)	
CONNEX project team; GLOBE department; Sectoral Department (FMB); sector programme (Extractives and Development, Good Financial Governance); relevant country offices (Mongolia, Kyrgyzstan, Sierra Leone, Liberia, Guinea) relevant projects (e.g. Good Governance Mongolia, Regional Resource Governance in West Africa); private sector representatives (International Council on Mining and Metals (ICMM))					
<b>Partner organisations (direct target group)</b>	5 (4m/1f)	5 (4m/1f)			
Representatives of partner countries/recipients of CONNEX advisory services (Cameroon, Afghanistan, Kyrgyzstan, Ecuador, Colombia)					

<sup>4</sup> Three rounds of interview requests by the evaluation team after which the project asked the partners to respond to the request.

Organisation/company/ target group	Overall number of persons involved in evaluation (including gender disaggregation)	No. of interview participants	No. of focus group participants	No. of workshop participants	No. of survey participants
<b>Other stakeholders (e.g. public actors, other development projects)</b>	15 (9m/6f)	11 (6m/5f)	5 (4m/1f)		
CONNEX Advisory Committee; Advisory Committee members knowledgeable of African Minerals Development Centre and Columbia Center on Sustainable Investment; International Senior Lawyers Project (ILSP); CONNEX's Strategic Consultant for Latin America; Natural Resource Governance Institute; African Legal Support Facility (ALFS); Intergovernmental Forum on Mining, Minerals, Metals and Sustainable Development; Federal Institute for Geosciences and Natural Resources (BGR)					
<b>CONNEX experts</b>	4 (all m)	4 (all m)			
Service providers					
<b>Universities and think tanks</b>	0				
n/a					
<b>Final beneficiaries/indirect target group (sum)</b>	0				
n/a					
Note: f = female; m = male					

## Data analysis process

To ensure efficient data management and analysis, the evaluation team compiled and coded all qualitative findings from interviews and focus group discussions along with the evaluation criteria (codes) and questions (subcodes) using MAXQDA.<sup>5</sup> In a first step, field notes were taken during the actual interviews (focus group discussions/workshops). Whenever possible, interviews were conducted by two evaluators to allow one person to conduct the interview and the other person to take notes; this also allowed for the triangulation of perspectives (four eyes principle). Interviews were not recorded or transcribed to ensure a confidential atmosphere. Once the interview was over, it was documented as soon as possible in a protocol and complemented by the other evaluator; the perceptions of both evaluators were triangulated. By doing this, information compiled from several data sources regarding a certain evaluation question could be retrieved, contrasted and the findings summarised in sets in MAXQDA (e.g. partner perceptions vs. project team perception of a particular aspect).

Cost data was analysed using the efficiency tool developed by GIZ's Corporate Unit Evaluation.

## Roles of international and local evaluators

Since the subject of the evaluation is a global project and travel is not expected within this evaluation due to COVID-19, the evaluation team consisted of two German evaluators, Ms Annette Kougbé and Mr Simon Freund (IMAP GmbH). Ms Kougbé was the technical expert on good financial governance and the focal point

<sup>5</sup> MAXQDA is a software package used to analyse many different types of data in qualitative and mixed methods research.

for the project, while Mr Freund contributed his evaluation expertise and acted as the focal point for the Evaluation Unit. While the various tasks were divided mainly according to their areas of expertise, the performance of other tasks was based on availability and interest. Ms Kougbé has worked on good financial governance with and for GIZ for more than 15 years. Mr Freund has worked as an evaluator and senior evaluation manager with the German Institute for Development Evaluation (DEval) and GIZ's corporate evaluation unit for seven years.

During the mission, the evaluators shared their perspectives and interpretation of data regularly to validate the data retrieved from interviews and discussions and the eventual findings. Researcher triangulation was fostered for the purposes of a common interpretation and analysis of the available data material.

### **Remote evaluation**

Due to COVID-19-induced restrictions and the global nature of the programme, the evaluation mission was implemented remotely. Interviews and focus group discussions with partners, stakeholders and other data retrieval as well as workshops with the project team were therefore conducted virtually, using mainly MS Teams, WebEx, phone, mail and other tools that IMAP frequently uses in evaluations and training. There were no evaluation questions that were applicable for quantitative surveys. While a remote design always involves some loss of data, it also made the process more flexible and efficient because interviews did not have to be conducted within a restricted field trip, and additional data could be retrieved later on. Since the target group consisted of educated government officials with internet and phone access, the disadvantages of the remote interviews and potential biases could be mitigated by increased triangulation of data, methods and evaluators. More interviews could be conducted since no travel was involved.

### **Context and conflict sensitivity within the evaluation process**

The evaluation mission was conducted remotely from Germany; therefore, risks were limited to reactions to messages in the interviews and the evaluation report. None of the anticipated risks materialised. In one interview, the evaluators may have raised the stress levels of a government official who, in between questions, had to conduct an argument with a colleague while a mob rioted under his window.

## **4 Assessment according to OECD/DAC criteria**

The following section presents the evaluation results, starting with the impact and sustainability of the project's quasi-predecessor and followed by the assessment of the project's relevance, coherence, effectiveness, impact, efficiency and sustainability.

### **4.1 Impact and sustainability of predecessor projects**

This section analyses and assesses the impact and sustainability of the Extractives and Development sector programme (PN 2015.2042.8). While not technically the predecessor, it provided the necessary space for piloting measures and initial CONNEX activities in partner countries and hence laid the groundwork for the CONNEX Support Unit.

#### **Summarising assessment of predecessor project**

The few interviewees who were able to comment on the relationship between the sector programme and CONNEX all agreed that the CONNEX Support Unit itself could be considered an impact or result of the sector

programme, which is currently in its second phase. Furthermore, individual respondents hinted at the potential for leveraging more synergies for greater sustainability by ensuring an increased exchange of information between the sector programme and CONNEX.

### Analysis and assessment of predecessor project

Providing policy advice to BMZ was the core task of the project. Together with the Federal Institute for Geosciences and Natural Resources (BGR), the programme supported BMZ both in short-term inquiries on current topics and in analysing trends in the international debate on resource governance and resource efficiency. Consultation on the global Extractive Industries Transparency Initiative played a central role. The project also developed new approaches and instruments for good governance of raw materials and tested them in cooperation with GIZ projects abroad and other partners in development cooperation countries. The project aimed at establishing innovative solutions for the implementation of the BMZ strategy paper on extractive raw materials, with a focus on gender mainstreaming, the advancement of women and human rights.

When Germany committed itself to setting up the Secretariat for the G7 CONNEX Initiative, the initial work streams were embedded in the sector programme, which financed the unit's initial services to African partners through its output E (aptly named CONNEX); it also financed personnel costs, early capacity development measures and the CONNEX website. Only the budget earmarked for output E of the sector programme contributed to the CONNEX Initiative (value: EUR 3,500,000). This output was implemented between April 2016 and March 2020 while the CONNEX Support Unit evolved out of the sector programme as a global project in September 2017. Administrative requirements resulted in the need to continue to run the very early and (mainly) Africa-related activities under the sector programme component, while the global programme set up its own project structure and developed the CONNEX idea further, dropping the capacity development activities that were originally planned and focusing on contract negotiation support. Technically speaking, the sector programme can be regarded as an incubator for the CONNEX project.

After this lengthy explanation of the genesis of the CONNEX project, it will come as no surprise that very few stakeholders interviewed within GIZ and the project commissioning parties were in a position to comment on the sector programme's impact and sustainability, since partners and external stakeholders had no knowledge of these internal GIZ structures. They all agreed that the CONNEX Support Unit itself and its popularity and acceptance among stakeholders represent the impact and sustainability of the sector programme, with the sector programme preparing the ground in a pioneering phase, CONNEX I being the establishing phase and CONNEX II (which is just starting) being the consolidation phase with the goal of establishing a more sustainable multi-donor initiative. The sector programme has not worked on mining contracts but sees a need to support legal system development in partner countries to render individual mining contracts obsolete, a view that was shared by almost every interview partner. Individual interviewees pointed out that more synergies could be leveraged through an increased exchange between the sector programme and the global programme, for example, by developing capacity development approaches based on CONNEX experiences (GIZ, 2016a; INT\_43 donor; INT\_46\_Partner; INT\_23 GIZ).

### Methodology for assessing predecessor project

Table 3: Methodology for predecessor project

Assessment dimension: predecessor project	Basis for assessment	Evaluation design and empirical methods	Data quality and limitations
Impact of the predecessor project	To what extent were synergies leveraged?	Evaluation design:	Limited possibility of data/method triangulation  Weak evidence strength due to interviewees' assessments of impact

Assessment dimension: predecessor project	Basis for assessment	Evaluation design and empirical methods	Data quality and limitations
		<p>The analysis follows the analytical questions in the evaluation matrix (see annex); no specific evaluation design was applied; (a contribution analysis was used for output E)</p> <p><b>Empirical methods:</b> Semi-structured interviews</p>	
<b>Sustainability of the predecessor project</b>	To what extent are the results of the project resilient and durable?	<p><b>Evaluation design:</b> The analysis follows the analytical questions in the evaluation matrix (see annex); no specific evaluation design was applied; (a contribution analysis was used for output E)</p> <p><b>Empirical methods:</b> Semi-structured interviews</p>	<p>No possibility of data/method triangulation</p> <p>Weak evidence strength</p>

## 4.2 Relevance

This section analyses and assesses the relevance of the project.

### Summarising assessment and rating of relevance

Table 4: Rating of OECD/DAC criterion: relevance

Criterion	Assessment dimension	Score and rating
<b>Relevance</b>	Alignment with policies and priorities	30 out of 30 points
	Alignment with the needs and capacities of the beneficiaries and stakeholders	25 out of 30 points
	Appropriateness of the design	17 out of 20 points
	Adaptability – response to change	20 out of 20 points
<b>Relevance total score and rating</b>		<p>Score: <b>92 out of 100 points</b></p> <p>Rating: Level 1: highly successful</p>

The project's objective was aligned with the relevant global, regional and country-specific policies and priorities of BMZ and other relevant stakeholders and development partners. Since the project was offering its services based purely on partner demand and since there is a continuous demand for these services, it can be safely assumed that the project is in line with the requirements of its target group (government officials involved in contract negotiations); those who could be interviewed fully confirmed that. Furthermore, all stakeholders interviewed agreed that the project design was appropriate and realistic with regard to achieving the project objective and that the project adapted well to changing circumstances. The main issues raised in relation to improving the relevance of the project were the partners' further needs for capacity building beyond the

individual consultancies and the opportunities that the project missed to address social and environmental aspects of contract negotiation beyond what was compulsory under international or national standards and laws. It can also be said that this innovative project had to invent itself from scratch and therefore has gone through a continuous learning journey, constantly adapting to changing circumstances and lessons learned.

**In total, the relevance of the project is rated as Level 1: highly successful, with 92 out of 100 points.**

### **Analysis and assessment of relevance**

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

The project's objective is aligned with the relevant global, regional and country-specific policies and priorities of BMZ and other relevant stakeholders and development partners. As a G7 initiative, CONNEX was specifically mentioned in the German Federal Government's former raw materials strategy: 'Through BMZ, the German Government therefore continues to support the G7 CONNEX Initiative. CONNEX supports governments in preparing and conducting complex contract negotiations in the raw materials sector. The aim is to enable these governments to conclude negotiated contracts that guarantee state revenue, promote sustainable development and improve the investment climate' (BMW, 2010: 25). It is also mentioned in *Cornerstones of a Marshall Plan with Africa* (BMZ, 2017: 23) and is in line with the BMZ position paper *Development Factor – Extractive Raw Materials* (BMZ, 2010). With regard to the fit with national sector or general development strategies pursued by the partner countries or with BMZ country strategies, it can be safely assumed that the above-mentioned goal of facilitating partners' increased mobilisation of domestic resources, the promotion of sustainable development and the improvement of the investment climate are in the best interests of the partner countries. A BMZ country strategy does not exist for most of these countries, partially because CONNEX partners are exempt from the BMZ 2030 partner list.

The evaluation team only randomly checked the alignment with available national strategies and mostly relied on partner interviews regarding the assessment of the project design's fit with national priorities. All interviewees stated that the services received were fully in line with their respective development or mining strategies (INT\_26–30 partners). The central government is also formally always the requesting partner. It is also safe to assume that the project contributes to the establishment of partnerships to achieve the SDGs (SDG 17).

Some interviewees, mainly commissioning parties and GIZ staff, stressed that the CONNEX services were demand oriented and required some transparency in the contract negotiation process. Since these contracts often involve billions of euros and offer the potential for government officials to receive kick-backs, the project services might attract more development-oriented partners and, if successful, could provide incentives for other countries to also request the services. This could lead to spill-over effects regarding good financial governance of foreign direct investment in natural resources. On behalf of BMZ, it was also mentioned that whereas the rather costly Extractive Industries Transparency Initiative was more about monitoring and shaming bad contracts, CONNEX might have been the lean and more effective countermodel. This assessment was not shared by the project. According to the project team, the Extractive Industries Transparency Initiative and CONNEX follow different, yet complementary, logics, rationales and strategic goals. The project was also described by relevant stakeholders as being complementary to respective bilateral and regional projects working in the sector. Indeed, some interviewees stressed that having a project on the ground working on natural resource governance or legal system development was a contributing factor in attaining sustainability. The rather unique and innovative CONNEX consulting services could thus complement the bilateral work with the rapid and demand-based mobilisation of comprehensive and international expertise for partners that could not be provided by the bilateral and regional projects themselves (FGD\_1 commissioning party; INT\_6 CONNEX).

**Relevance dimension 1 – Alignment with policies and priorities – scores 30 out of 30 points.**



## **Relevance dimension 2: Alignment with the needs and capacities of the beneficiaries and stakeholders**

Since the project is offering its services based purely on partner demand and since there is a continuous demand for these services, it can be safely assumed that the project is in line with demand from its target group (government officials involved in contract negotiations). Indeed, some partners and other stakeholders who were asked about the project's relevance added 'extremely' or up to five 'very' before saying 'relevant' or 'important'. Partners also indicated that the services were in line with their respective government's policies and strategies. Some also expressed their gratitude for the support. Unfortunately, only five partners responded to the requests for an interview. Some partners and stakeholders referred to capacity development as an additional need of the partners that had so far not been sufficiently addressed. This is also the reason for the deduction of five points in this dimension's scoring (INT\_3, 4, 5, 6, 10, 11, 12, 13, 15, 16, 17, 19 CONNEX and GIZ; INT\_26, 28, 29 partners; INT\_22, 23 experts; INT\_31, 32, 34, 35 stakeholders).

The project was still collecting monitoring data when this report was being written but submitted additional data in September 2021 (with one objective indicator referring to the partners' self-perceived improved capacities to take development orientation into consideration when negotiating contracts). Monitoring was delayed as many of the activities were still being implemented. In June 2021, there were only two cases for which it could be said for sure that the services met the demand based on the monitoring data, because only two partners responded to the survey (GIZ, 2021); by September seven out of eight had responded. Individual stakeholders referred to negotiation support as only an intermediate means, while legal system development and mining/investment codes should be the ultimate goal (INT\_6, 13, 15 GIZ; INT\_37 stakeholder). The project will address these needs in the follow-on project (INT\_24, 25 donors). In CONNEX I, capacity building was provided mainly in the form of on-the-job exposure in the consultancy process and in exchange formats organised for the partners (INT\_5 CONNEX; INT\_23 expert).

With regard to the needs of the indirect target group, the general population, and especially disadvantaged and vulnerable beneficiaries, this remote evaluation can only infer – as laid out in the inception report – that the project's impacts, if materialised, will be in their best interests. On the one hand, the project worked only at central government level and, when providing support, did not pursue a paternalistic approach of attaching conditions as to how additional revenues should be spent. This meant that it was not feasible to address the 'leave no one behind' principle. On the other hand, by facilitating transparent and professional contract negotiations that also ensured international best practice, for example regarding ecological and social safeguards or the remuneration of resettled populations, it can be safely assumed that the project contributed to the livelihoods of vulnerable populations. Individual partners also referred to the project having reduced physical risks to people affected by contract negotiations (INT\_27\_Partner).

Relevance dimension 2 – Alignment with the needs and capacities of the beneficiaries and stakeholders – scores **25 out of 30 points**.

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

All stakeholders interviewed agreed that the project design was appropriate and realistic with regard to achieving the project objective. Most referred to the project as being 'innovative', 'exotic', 'unconventional' or 'special', due to its demand-based services that are deployed by a small team, relatively quickly at the request of a partner, without having its own project structures in the partner countries. Within GIZ and the commissioning parties, the project is regarded as a potential role model on how to efficiently deliver needed services to partners and leverage more results with less German project structure (and budget) on the ground. The project team also stressed that the operational model will be continued in the follow-on project – incorporating the lessons learned from this project. The commissioning parties, as well as some partners and stakeholders, mentioned the additional need for capacity building of the target group beyond the individual consultancies (which will be addressed further in the follow-on project) provided by the project or the partners (GIZ projects in the partner country working on legal system development or natural resource governance or



external partners like the African Legal Support Facility). One systemic issue mentioned several times, by the project team and the Advisory Committee in particular, was not the project design, but its institutional set-up as a GIZ project. Such a set-up entails some bottlenecks regarding the speed of the project's response and the capping of experts' daily rates, which makes it difficult to react quickly and pay market rates to top-end experts. Individual partners and stakeholders also mentioned that the CONNEX Secretariat should not be hosted by Germany but by some multilateral body and that local experts rather than German experts should be deployed where possible. However, this was not a decision that the project team could have addressed in the project design and the use of local experts was not seen as advantageous by other partners, according to the project team (INT\_24, 25 donors; INT\_19 GIZ; INT\_20, 22 experts; INT\_3, 4, 5, 6 CONNEX; INT\_29 partner; INT\_35, 36 stakeholders).

Some GIZ stakeholders in the partner countries and CONNEX experts mentioned that the social and environmental dimensions of the contract negotiations could be addressed more systematically, since national law and international best practices known to the experts, rather than the code of conduct, would actually guide the operational implementation; as a result, the project might not be setting sufficient standards in that regard. On the other hand, individual partners mentioned that the 2030 Agenda was addressed in their negotiations (INT\_12, 13 GIZ; INT\_22, 23 experts). Due to the project not covering the capacity development needs of the partners, and not addressing social and environmental dimensions sufficiently, three points are deducted from the possible score.

Relevance dimension 3 – Appropriateness of the design – scores **17 out of 20 points**.

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

In general, it can be said that this innovative project had to invent itself from scratch and therefore has gone through a continuous learning journey. First, the capacity development activities of the sector programme were dropped and the project concentrated on marketing to generate outreach and demand. Then it concentrated on providing services, developing and refining its processes and readjusting these processes to pandemic requirements (e.g., by building 'chains of trust' instead of building personal relationships with counterparts). Ongoing marketing and acquisition activities accompanied those operational efforts. Finally, the project incorporated lessons learned in the modification offer and the follow-on project with an additional donor and a renewed emphasis on capacity development and increasing sustainability. Over time, the scope of negotiation aspects that countries requested support on widened and included a variety of issues (e.g., hydropower, tax formulas, mine closures, mining-related infrastructure). In general, the focus was maintained on extractives. With regard to the implementation of the consultancy deployments, partners stressed that the external experts adapted well to unforeseen changes during implementation. Individual partners regretted that a consultancy had to be implemented remotely due to the COVID-19 pandemic or due to the security situation in the partner country. While this hampered the accuracy of assessments, all partners and GIZ stakeholders were generally impressed by how the project and its managers went out of their way to make ends meet under volatile conditions. The only point for improvement that was raised – by the project team and its Advisory Committee – was the bottleneck of GIZ administrative procedures that sometimes prevented them from being as agile as they would have liked. One partner mentioned a delay, but quickly added that it was due to 'bad timing' (INT\_3–5 CONNEX; INT\_26, 29, 30 partners; INT\_24, 25 donors).

Relevance dimension 4 – Adaptability – response to change – scores **20 out of 20 points**.

## Methodology for assessing relevance

Table 5: Methodology for assessing OECD/DAC criterion: relevance.

Relevance: assessment dimensions	Basis for assessment	Evaluation design and empirical methods	Data quality and limitations
<b>Alignment with policies and priorities</b>	<p><i>Raw Materials Strategy of the Federal Government</i> (BMWl, 2020)</p> <p><i>Raw Materials Strategy of the Federal Government</i> (BMWl, 2010)</p> <p>Position paper <i>Development Factor – Extractive Raw Materials</i> (BMZ, 2010)</p> <p><i>Raw Materials Strategy – EU Perspective on Translating Mineral Resource Wealth into Sustainable Development</i> (Nowakowska, 2012)</p> <p><i>Africa and Europe – A New Partnership for Development and a Better Future -Cornerstones of a Marshall Plan with Africa</i> (BMZ, 2017)</p> <p>National sector or general development strategies of the nine partner countries</p>	<p><b>Evaluation design:</b> The analysis follows the analytical questions in the evaluation matrix (see annex); no specific evaluation design is applied</p> <p><b>Empirical methods:</b> Qualitative content analysis and semi-structured interviews</p>	Evidence strength: good
<b>Alignment with the needs and capacities of the beneficiaries and stakeholders</b>	<p><b>Direct target group:</b> Government representatives and other officials from ministries and subordinate authorities who play an active role in the negotiation of contracts or their implementation (beneficiaries of CONNEX support measures)</p> <p><b>Indirect target group:</b> Populations in partner countries where raw material deposits offer important development opportunities</p>	<p><b>Evaluation design:</b> The analysis follows the analytical questions in the evaluation matrix (see annex); no specific evaluation design is applied</p> <p><b>Empirical methods:</b> Qualitative content analysis and semi-structured interviews</p>	<p>Only limited feedback from partners/low response rate</p> <p>Lack of monitoring data</p> <p>Evidence strength: sufficient</p>
<b>Appropriateness of the design*</b>	Project's (modification) offer vs. achievements and partners' and stakeholders' assessment	<p><b>Evaluation design:</b> The analysis follows the analytical questions in the evaluation matrix (see annex); no specific evaluation design is applied</p> <p><b>Empirical methods:</b> Qualitative content analysis and semi-</p>	<p>Only limited feedback from partners/low response rate</p> <p>Lack of monitoring data</p> <p>Evidence strength: sufficient</p>

Relevance: assessment dimensions	Basis for assessment	Evaluation design and empirical methods	Data quality and limitations
		structured interviews	
<b>Adaptability – response to change</b>	Modification offer 2020	<b>Evaluation design:</b> The analysis follows the analytical questions in the evaluation matrix (see annex); no specific evaluation design is applied  <b>Empirical methods:</b> Qualitative content analysis and semi-structured interviews	Only limited feedback from partners/low response rate  Lack of monitoring data  Evidence strength: sufficient
* The project design encompasses the project's objective and 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 (e.g., methodological approach, capacity development strategy, results hypotheses).			

## 4.3 Coherence

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

### Summarising assessment and rating of coherence

Table 6: Rating of OECD/DAC criterion: coherence

Criterion	Assessment dimension	Score and rating
<b>Coherence</b>	Internal Coherence	45 out of 50 points
	External Coherence	47 out of 50 points
<b>Overall score and rating</b>		Score: <b>92 out of 100 points</b>  Rating: <b>Level 1: highly successful</b>

The internal coherence (no duplication of efforts within German development cooperation) was assessed as good by the stakeholders and partners who were interviewed. The project seems to have coordinated its activities sufficiently with relevant GIZ projects that were aimed at leveraging synergies or with the respective GIZ country office if there was no such project. Based on the findings in sections 4.2 and 4.4 as well as the demand for CONNEX services, it can be stated with a high level of confidence that the project complements and supports partner efforts. All but one of the partners who were interviewed confirmed that the necessary expertise would not have been available locally or regionally; one partner recommended using more local/regional experts, which seems to be the approach increasingly taken in more recent projects. A few respondents proposed a more systematic mainstreaming of the 2030 Agenda and human rights into the consulting projects, as well as the fostering of cooperation to facilitate complementary capacity building and legal system development in the partner countries.

**In total, the coherence of the project is rated as Level 1: highly successful, with 92 out of 100 points.**

## Analysis and assessment of coherence

### Coherence dimension 1: Internal Coherence

The stakeholders and partners who were interviewed agreed that there was no duplication of efforts within German development cooperation. The project seemed to coordinate its activities sufficiently with relevant GIZ projects aiming at leveraging synergies (sector projects, bilateral and regional projects working on natural resource management, good financial governance or legal system development) or with the respective GIZ country office if there was no such project, supported by the respective BMZ country officers. While the respective projects and country offices felt that there was sufficient coordination, the respective partners and experts were not always aware of these internal processes. When GIZ had relevant projects in partner countries, these projects seem to have played an important role in preparing the ground during CONNEX's scoping missions: opening doors with local political stakeholders, aiding with partner requests, finding and contracting local experts and flanking the implementation of CONNEX projects with capacity building or consultancy. Indeed, the existence of such projects on the ground was mentioned by several partners as a contributing factor to the project's success. On the other hand, in those countries where there was no such project, GIZ staff mentioned that such a project would have been helpful or that they felt like they were taking too much of a risk, for example, when they had to contract local consultants without having the expertise and structure of such a project to support them. Since such projects are set up only in BMZ 2030 partner countries and as CONNEX is exempt from that list, the leveraging of such synergies might become more difficult in the future. This was the case in Mongolia, where a bilateral mining project was planned but not set up due to BMZ 2030.<sup>6</sup> Some interviewees recommended a more intensive exchange with such projects and programmes to develop capacity building for partners' measures based on CONNEX's experience.

The project tried to ensure consistency and alignment with the international and national norms and standards to which German development cooperation is committed (e.g. human rights, the 2030 Agenda). It did so through the Code of Conduct and the risk assessment as described in section 2.2.

Individual partners mentioned that the project was coherent with the 2030 Agenda and that ecological and social standards that are based on the 2030 Agenda were set, the other partners mentioned that neither the 2030 Agenda nor human rights explicitly played a role in the consultancy but rather national law and international standards. One partner mentioned that the project's consultancy did not have a mandate regarding the 2030 Agenda or human rights, but that it could have contributed to both if it had wanted to. The experts themselves stated that the Code of Conduct would not guide their consultancy work but rather serve as a compliance framework. According to them, national law was mandatory whereas international best practices regarding environmental or social aspects would be recommended by the experts where feasible. Two GIZ stakeholders in the partner countries stated that environmental and social issues could have been addressed more consequently. While it seems that the 2030 Agenda and human rights are more explicitly considered in more recent projects, they apparently were not systematically and consistently taken into account in the early projects. According to interviews with the project team, this was done in order to achieve buy-in from the partners (INT\_9, 11, 12, 13, 14, 15, 17, 18 GIZ; INT\_26, 27, 28, 29 partners; INT\_21, 22, 23; FGD\_1, INT\_24, 25 donors; INT\_3, 5 CONNEX; INT\_36, 38 stakeholders).

Due to the 2030 Agenda and human rights not being consistently addressed, as well as the unleveraged potential of partnerships for complementary capacity development, five points are deducted from the total score.

Coherence dimension 1 – Internal Coherence – scores **45 out of 50 points**.

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<sup>6</sup> This led to the project working with the Rule of Law project, which works under the Ministry of Mining.

## Coherence dimension 2: External Coherence

Based on the findings in sections 4.2 and 4.4 as well as the demand for CONNEX's services, it can be stated with a high level of confidence that the project complements and supports partner efforts. All but one of the partners who were interviewed confirmed that the necessary expertise would not have been available locally or regionally; one partner recommended using more local experts, which, according to the experts who were interviewed, seems to be the approach increasingly taken in more recent projects. Whether or not the partners would have been able to commission such a consultancy on their own cannot be assessed with certainty, but the question of whether they would be in a position to commission similarly comprehensive, affordable technical expertise in several fields can at least be asked, especially as CONNEX has needed quite a lot of time and resources to establish its network of experts and its deployment procedures and there are only regionally and technically specialised competitors (INT\_26–30 partners).

All the stakeholders who were interviewed agreed that the project offered complementary or unique services and that it coordinated and exchanged well with other relevant donors, networks and service providers in the field. In one interview with a stakeholder working in the same field (ALSF), the interviewee expressed regret that cooperation with the project was not as good as they wished for, and that the originally intended cooperation did not work as planned and developed mainly into an exchange of information and with CONNEX apparently trying to avoid countries where the other service provider was already active. Another stakeholder (ICMM) mentioned that they had the impression that CONNEX did not want to engage with the private sector, even though some mining companies would even pay CONNEX for their services; other stakeholders stated that CONNEX should indeed not be associated with mining companies or their associations.

The project made use of stakeholders' existing structures and engaged in various forms of joint exchanges, sharing of reports and information etc. to the extent that this was within the project's mandate. The project also facilitated lessons learned/peer exchange formats for the use of partner structures. Otherwise, the project did not seem to make structural use of partner systems due to the fact that it had no structures on the ground. When capacity building increases in importance for CONNEX, further cooperation with the ALSF would be recommended by individual respondents to facilitate complementary legal system development or capacity building. The project engaged in thematic coordination with other donors, especially in the initial phase of implementation (INT\_32–37, 39 stakeholders).

Due to this unleveraged synergy, three points are deducted from the total score.  
Coherence dimension 2 – External Coherence – scores **47 out of 50 points**.

## Methodology for assessing coherence

Table 7: Methodology for assessing OECD/DAC criterion: coherence

Coherence: assessment dimensions	Basis for assessment	Evaluation design and empirical methods	Data quality and limitations
Internal coherence	Degree of complementarity with other German actors in the sector and country  Degree of consistency with international and national norms and standards	<b>Evaluation design:</b> The analysis follows the analytical questions in the evaluation matrix (see annex); GIZ efficiency tool; no specific evaluation design is applied  <b>Empirical methods:</b>	Evidence strength: good  Mostly reliant on GIZ stakeholder interviews

Coherence: assessment dimensions	Basis for assessment	Evaluation design and empirical methods	Data quality and limitations
		Document analysis and semi-structured interviews	
<b>External coherence</b>	Extent of subsidiarity  Extent of coordination with other donors  Extent to which partner structures and systems were employed	<b>Evaluation design:</b> The analysis follows the analytical questions in the evaluation matrix (see annex); no specific evaluation design is applied  <b>Empirical methods:</b> Document analysis and semi-structured interviews	Evidence strength: good  Mostly reliant on GIZ stakeholder interviews  Due to the nature of the project, the assessment of the 'extent to which partner structures and systems were employed' is not really appropriate

## 4.4 Effectiveness

This section analyses and assesses the effectiveness of the project. It is structured according to the assessment dimensions in the GIZ project evaluation matrix (see Annex 1).

### Summarising assessment and rating of effectiveness

Table 8: Rating of OECD/DAC criterion: effectiveness.

Criterion	Assessment dimension	Score and rating
<b>Effectiveness</b>	Achievement of the (intended) objectives	20 out of 30 points
	Contribution to achievement of objectives	25 out of 30 points
	Quality of implementation	15 out of 20 points
	Unintended results	17 out of 20 points
<b>Overall score and rating</b>		Score: <b>77 out of 100 points</b>  Rating: Level 3: moderately successful

In this section, four dimensions of the project's effectiveness will be assessed: the achievement of the (intended) objectives, the project's contribution to this achievement, the quality of implementation and the occurrence of unintended results.

The evaluation team concludes that project objective indicators 2 and 3 were fully achieved and documented by the end of the project while indicator 1 was achieved by September 2021 with 87.5% of eight partners confirming that they are able to make informed decisions due to project support. In terms of the project's contribution to the outcome, results hypothesis 1, covering the main focus of CONNEX's work, can be fully confirmed. The other hypotheses, which address capacity development, peer exchanges and the diversification of financing, can be assessed as absolutely plausible, but cannot be fully confirmed because the outputs have not yet been fully implemented or, in the case of hypothesis 5, the evaluation team lacks representative data and can base its judgment on anecdotal evidence only. However, the evaluation team considers the confirmation of all hypotheses in the follow-on project as highly probable. All the partners who were interviewed considered the project implementation itself to be professional in terms of dealings with partners, experts, contract management and other parties. The project team was described as hard-working, professional and

helpful. The project also made use of most of the tools and formats that are compulsory for quality assurance in line<sup>7</sup> and updated them regularly. However, that did not apply to the results model and results monitoring: The results model had to be reconstructed with the team in the course of the inception phase and monitoring data was still being collected at the time the report was being written, since the project continued with its activities in the follow-on project, CONNEX II; activities were therefore transferred from CONNEX I to CONNEX II. Final monitoring data for CONNEX I was submitted to the evaluators in September 2021.

**In total, the effectiveness of the project is rated Level 3: moderately successful, with 77 out of 100 points.**

### **Analysis and assessment of effectiveness**

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

By September 2021, seven partners had confirmed in writing that ‘that they are better able to make informed decisions in the respective negotiation process’ in the feedback forms the project uses as a monitoring tool (GIZ, 2021). The partners interviewed in the course of the evaluation mission all agreed that the project support had been very helpful and relevant; some added that the spending of increased revenue (for developmental purposes) had not been part of the consultancy. Based on the monitoring data that the project submitted in September 2021, indicator achievement was calculated at 87.5% with seven partners confirming that the indicator had been achieved.

Objective indicator 2 refers to an external peer (e.g. a university) confirming in a peer review mechanism that CONNEX’s provision of advisory services to partners was conducted according to internationally recognised quality standards. The project decided, in agreement with BMZ, not to have a single external peer review but rather a series of exchange meetings among CONNEX-related peers – universities and academic institutions, other service providers, CONNEX’s experts and partner institutions – aiming at getting feedback on the quality of the services provided. This exchange is to be repeated annually, thus establishing a peer review mechanism. To the evaluators’ knowledge, the minutes do not actually contain the required confirmation but rather document a technical exchange that resulted in recommendations as to how the work could be improved. It is indeed questionable if there *are* internationally recognised quality standards for the innovative services under evaluation. The project preferred this continuous quality assurance to a one-off external peer review and the commissioning party agreed with this mechanism.

Indicator 3 refers to the [Guiding Principles for Durable Extractive Contracts](#) that have been agreed in an international dialogue process. These guidelines, for whose development CONNEX provided the impetus or platform, were officially launched by the OECD Development Center in December 2020. The OECD is considering transforming these guidelines into a formal OECD instrument.

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<sup>7</sup> Quality assurance in line management is a set of GIZ internal minimum standards in project management that are to be assured by the respective supervisors.



Table 9: Assessed and adapted objective indicators for specific modules (outcome level).

Project's objective indicator according to the (last modification) offer	Assessment according to SMART* criteria	Specified objective indicator
<p>1. In 8 state–investor negotiations supported by CONNEX, 80% of the government representatives involved confirm that they are better able to take the development of their own country into account when making decisions in the respective negotiation process.</p> <p><b>Base value</b> (March 2020): 0  <b>Target value</b> (February 2021): 8  <b>Current value</b> (September 2021): 7 (GIZ, 2021)</p> <p><b>Achievement in %</b> (September 2021): 100% (87.5 %<sup>8</sup> of 8)</p> <p><b>Source:</b> Survey conducted by the project until September 2021: government representatives involved in the processes judge on a scale of 1 to 5; 80% of all respondents answered with at least 4</p>	<p><b>Specific:</b> Yes/with limitations (unclear concept of development orientation)  <b>Measurable:</b> Yes  <b>Achievable:</b> Yes  <b>Relevant:</b> Yes  <b>Time-bound:</b> Yes</p>	n/a
<p>2. An independent institution (e.g. a university) confirms in a peer review mechanism that the provision of advisory services was conducted according to internationally recognised quality standards (state of the art).</p> <p><b>Base value</b> (March 2020): No peer review mechanism with regard to quality standards  <b>Target value</b> (April 2021): Confirmation of compliance with internationally recognised quality standards in a peer review.  <b>Current value</b> (May 2021): Discussions on the CONNEX consultation approach as part of the quality assurance mechanism have taken place; 5 events with 'CONNEX peers' to establish a peer review mechanism have taken place.</p> <p><b>Achievement in %</b> (April 2021): 100% (BMZ and the project consider the indicator achieved)</p> <p><b>Source:</b> Meeting minutes, peer review</p>	<p><b>Specific:</b> Yes  <b>Measurable:</b> Yes  <b>Achievable:</b> Yes  <b>Relevant:</b> Yes  <b>Time-bound:</b> Yes</p>	n/a
<p>3. Guidelines for fair commodity contracts have been agreed in an international dialogue process between partner countries and investors.</p> <p><b>Base value</b> (March 2020): Guidelines for fair raw material contracts developed by the CONNEX Negotiation Support Forum when project was commissioned.  <b>Target value</b> (February 2021): Guidelines agreed by the participants of the CONNEX Negotiation Support Forum until the end of the term.  <b>Current value</b> (May 2021): Guidelines for fair commodity contracts discussed and finalised as part of the international OECD Policy Dialogue on Natural Resource-based Development.</p> <p><b>Achievement in %</b> (April 2021): 100%</p> <p><b>Source:</b> Final reports of OECD Policy Dialogue (2015–2017)</p>	<p><b>Specific:</b> Yes  <b>Measurable:</b> Yes  <b>Achievable:</b> Yes  <b>Relevant:</b> Yes  <b>Time-bound:</b> Yes</p>	n/a
<p>* SMART: specific, measurable, achievable, relevant and time-bound  n/a: not applicable</p>		



The evaluation team concludes that only project objective indicators 2 and 3 are fully achieved and documented by the end of the project<sup>9</sup> while indicator 1 was achieved by September 2021.

Due to the late achievement/documentation of these indicators, 10 points are deducted from the possible score in this dimension.

Effectiveness dimension 1 – Achievement of the (intended) objectives – scores **20 out of 30 points**.

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

In this section, selected results hypotheses from the results model for the contribution analysis are scrutinised to illustrate how outputs contributed to the project outcome. The hypotheses were selected based on their relevance in terms of the mechanisms deemed most important for outcome achievement as identified with the project team in the initial results model workshop. The results are first presented at output level as a starting point, after which their contribution to outcome achievement will be assessed.

According to the project's results monitoring, outputs A1, A2 and B1 were fully achieved:

- A1: A register of experts (expert roster) and a process for providing experts and consulting packages to applicant states, which includes risk management with regard to human rights, environment, corruption and other areas, are established.
- A2: The CONNEX Support Unit, in cooperation with an independent institution (e.g. university), established a peer review mechanism to assess the quality of the unit's consulting services.
- B1: Three additional dialogue events on technical guidelines in the negotiation and implementation of commodity contracts were implemented (at least one dialogue event per year).

Outputs B2, C1 and C2 were partially achieved:

- B2: The CONNEX Support Unit collaborated with 5 CONNEX Initiative supporters and partners for the concrete benefit of partner countries (e.g. cooperation in the implementation of CONNEX support activities, solicitation of co-financing). Achievement: 3 (current indicator value) out of 5 (target) (see section **Fehler! Verweisquelle konnte nicht gefunden werden.**)<sup>10</sup>
- C.1: In regional and international (physical and virtual) peer-to-peer exchange formats and discussions (south–south, north–south), 3 learning experiences relevant in the contract negotiation context were shared by partner government representatives. Achievement: 2 (current indicator value) out of 3 (target).
- C.2: Three-quarters (75%) of 20 partner government representatives,\* (33% of whom were women) who participated in capacity development activities confirmed that they have an improved understanding of contract negotiations. Although the project's monitoring matrix gives the current indicator value as 1, it is actually 0, since only one module was developed but no training took place.<sup>11</sup>

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<sup>8</sup> At the time of writing, four partner countries (50%) had submitted the feedback form for monitoring. However, the project submitted the final monitoring data in September 2021, showing an indicator achievement of six (75%).

<sup>9</sup> The guidelines were already accepted by the forum on 21 June 2019.

<sup>10</sup> Because the project decided to deepen and foster existing partnerships instead of establishing new ones.

<sup>11</sup> Project addendum September 2021: 'Regular training courses were not feasible this year because of the pandemic. Therefore, CONNEX developed an online course module (massive open online course (MOOC)) together with the Natural Resource Governance Institute and the Columbia Center on Sustainable Investment, primarily aimed at government representatives. It was launched in May and is currently being implemented. As of the end of July 2021, 722 participants had enrolled in the course. Of those, 95 have paid to obtain a signed certificate upon completion of the course and 41 have already completed the course. The gender breakdown shows that 38.2% of those enrolled in the course were women and 61% were men.' This online course was not part of the evaluation.

Table 10: Selected results hypotheses for effectiveness.

<b>Hypothesis 1 (activity – output – outcome)</b>	The CONNEX Support Unit or Secretariat directly or indirectly deploys international or regional external experts. In this regard, it develops CONNEX support measures at a conceptual level at the request of the respective partner (activity A1); tenders expert services and manages experts' assignments from a commercial perspective (activity A2); and ensures the quality of the expert services (activity A3). Equipped with the resources and instruments to manage and provide high-quality services (output A), and given that no legal, procedural or political issues or travel restrictions prevent it (Ri3, Ri5, Ri6 do not materialise), CONNEX can offer high-quality services (super output A). If partner countries make use of them, the contract negotiation-specific preconditions in the partner countries for the development-oriented use of investments in the extractive sector are improved (outcome).
<b>Main assumptions</b>	Necessary resources and instruments are available to manage and provide high-quality services (output A) and no legal, procedural or political issues prevent activities.
<b>Risks/unintended results</b>	Ri3, Ri5, Ri6 (see above).
<b>Alternative explanation</b>	Partners were actually able to negotiate by themselves and just contracted the free consultancy to be on the safe side.
<b>Confirmed/partly confirmed/not confirmed</b>	Fully confirmed – although some risks materialised (administrative bottlenecks and hiccups concerning countries that are not on the BMZ 2030 partner list).
<b>Hypothesis 2 (activity – output – outcome)</b>	By supporting dialogue events on technical issues and guidelines (activity A4), the project ensures that the international multi-stakeholder dialogue process with partner countries' participation has been continued (sub-output B1), while (other) network activities (continuous and not specifically noted) extend the network of supporters and partners (sub-output B2). The elaboration of possibilities to promote the CONNEX Support Unit and develop and implement a marketing strategy (activity A5) helps CONNEX to raise its profile in partner countries. Thereby, and with the help of BMZ (assumption As3) and continued interest of the G7 (Ri1 does not materialise), the project succeeds in establishing CONNEX as a renowned provider of consulting services on extractive contracts negotiation (output B) to interested (As1) countries. With the support of German development cooperation stakeholders (As4) and provided that the market dynamics (Ri4) or damage to CONNEX's reputation (Ri2) do not deter potential clients, partner countries will make use of CONNEX's services in such a way that contract negotiation-specific preconditions in the partner countries for the development-oriented use of investments in the extractive sector are improved (outcome).
<b>Main assumptions</b>	Marketing – aided by BMZ – leads to CONNEX's popularity in partner countries and their use of the project's services.
<b>Risks/unintended results</b>	Ri1: loss of interest of the G7.
<b>Alternative explanation</b>	The initial participation in high-level conferences and the website are sufficient advertisement.
<b>Confirmed/partly confirmed/not confirmed</b>	Partly confirmed: the hypothesis generally holds true as shown by the demand for services, but some partners, experts and stakeholders mentioned that CONNEX was not that well known in their respective countries.
<b>Hypothesis 3 (activity – output – outcome)</b>	The creation and facilitation of discussion and peer exchange opportunities (A6) and the provision of capacity development events (A7) help improve the target group's knowledge of contract negotiation processes (output C). Provided that decision-makers in partner countries get the opportunity to take part in such measures (As5), the contract negotiation-specific preconditions for development-oriented use of investments in the extractive sector are improved (outcome).

<b>Main assumptions</b>	Decision-makers in partner countries get the opportunity to take part in such measures (As5).
<b>Risks/unintended results</b>	Decision-makers do not have this opportunity.
<b>Alternative explanation</b>	The partners acquired their capacity in other formats/from other stakeholders.
<b>Confirmed/partly confirmed/not confirmed</b>	Fully confirmed where implemented. However, due to the discontinuation of capacity development events (apart from peer exchange formats) and because outputs B2, C1 and C2 were not fully achieved, the hypotheses cannot be fully confirmed. Some partners requested more capacity building for staff and have knowledge anchored in structures rather than in individual staff members; individual experts mentioned that capacity building was not an issue in their projects.
<b>Hypothesis 4 (activity – output – outcome)</b>	If the further establishment of CONNEX (output B) involves the diversification of financing, through the extension of CONNEX's support network (sub-output B2), the possibility for CONNEX to continuously offer its services is ensured (super output A).
<b>Main assumptions</b>	The diversification of dependence supports the sustainability of the project.
<b>Risks/unintended results</b>	No additional supporters/commissioning parties can be acquired.
<b>Alternative explanation</b>	BMZ ensures the sustainability by funding the project continuously.
<b>Confirmed/partly confirmed/not confirmed</b>	Fully confirmed insofar as the project continues as CONNEX II with EU co-financing.
<b>Hypothesis 5 (activity – output – outcome)</b>	By making use of CONNEX's services, partner countries experience contract negotiation processes on a level playing field, thus broadening the knowledge of such matters (output C) and reinforcing the effect of output C on the outcome.
<b>Main assumptions</b>	Exposure or 'training on the job' builds sustainable capacity.
<b>Risks/unintended results</b>	Staff fluctuation.
<b>Alternative explanation</b>	Partners acquired the knowledge elsewhere.
<b>Confirmed/partly confirmed/not confirmed</b>	Partly confirmed: some partners and experts report effects on capacity building as a result of participating in the process.

Hypotheses 1 and 4, covering the main focus of CONNEX's work and the diversification of financing, can be fully confirmed. The other hypotheses, which address capacity development and peer exchanges, can be assessed as absolutely plausible but cannot be fully confirmed because the outputs have not yet been fully implemented or, in the case of hypothesis 5, the evaluation team lacks representative data and can base its judgment on anecdotal evidence only. However, the evaluation team considers the confirmation of all hypotheses in the follow-on project as highly probable.

After assessing the contribution story and identifying the less credible parts of it (such as the hypotheses that were deemed only plausible as the mechanisms they refer to were not implemented) the evaluation team tried to identify the role of external influences and other contributing factors (step 5 of the contribution analysis). With regard to contributing and hindering (external) factors for the project's success, the following aspects were mentioned.

**Contributing factors:**

- facilitation of access to partners through bilateral or regional GIZ projects, for example (INT\_11, 12, 17, 18 GIZ; INT\_27 partner; INT\_38 stakeholder),
- single-issue focus and reputation with partners (INT\_10 GIZ; INT\_21 expert),
- trust of partners (INT\_23 expert; INT\_3 CONNEX),
- local/regional experts (INT\_27, 29 partners),
- personality of experts (INT\_14 GIZ),
- professional partners (INT\_16 GIZ),
- efficient communication and handovers between BMZ officers (INT\_13 GIZ),
- subsidiarity/no micro management by BMZ (INT\_19 GIZ),
- pro-active and targeted marketing was mentioned as a contributing factor (though this is more a confirmation of H2) (FGD\_1 donors) and
- personal networks, Advisory Committee connections, BMZ support and Germany's reputation (INT\_24 donor).

**Hindering factors:**

- changes in the partner government (INT\_13 GIZ; INT\_22 expert; INT\_27, 28 partners; INT\_3, 5 CONNEX; INT\_33 stakeholder),
- lack of partner capacity regarding technical expertise and language (INT\_22 expert; INT\_27, 28 partners),
- partner staff fluctuation (INT\_23 expert),
- distrustful partners (INT\_17, 18 GIZ),
- lack of partner commitment (INT\_36, 38 stakeholders),
- inappropriate legal systems/laws of partners (INT\_23 expert; INT\_27 partner),
- EU and German law/GIZ procurement rules (INT\_3, 5, 6 CONNEX; FGD\_2 stakeholders; INT\_8 GIZ) and,
- COVID-19, e.g., remote assessments of deposit values (INT\_26, 27 partners).

A conscious decision was made with the commissioning party that the project would not implement capacity development or peer exchange activities. As a result, the contribution of these outputs to the outcome can only be assessed at the end of CONNEX II, which entails a capacity development component. The main focus of CONNEX's work has been the provision of expert consulting services to enable the partners to 'better [...] take the development of their own country into account when making decisions in the respective negotiation process' (outcome indicator 1, GIZ, 2021). The related results hypothesis can be fully confirmed, as 100% of the partners who were interviewed stated that they had experienced this. Hypothesis 4 can also be fully confirmed, based on the project having a follow-on project co-financed by the EU.

If the project had been evaluated against the full original results logic, it would score lower, but the evaluation team opted to assess the contribution of implemented outputs only and can only assess the other three hypotheses as plausible, and will only hold true when implemented under CONNEX II. Therefore, only five points were deducted.

Effectiveness dimension 2 – Contribution to achievement of objectives – scores **25 out of 30 points**.

**Effectiveness dimension 3: Quality of implementation**

First and foremost, it should be stated that all the partners who were interviewed considered the project implementation itself to be professional in terms of dealing with partners, experts, contract management and other parties. The project team was described as hard-working, professional and helpful. Quality management tools included a code of conduct, a criteria list for experts, guiding notes for experts, a risk assessment and an outline for CONNEX advisors (in the Secretariat) on how to execute their role effectively. Furthermore, the

project established mechanisms like the peer review mechanism and feedback loops with experts and partners.

The project also made use of most of the tools and formats that are compulsory for quality assurance in line. Unfortunately, that did not apply to the results model and results monitoring. The former was reconstructed with the project team in the course of the inception mission and later revised by the evaluation team, while results monitoring existed at output level during the inception mission. Objective indicator data was only collected retrospectively (June–September 2021), which resulted in the above-mentioned difficulty in assessing the effectiveness of the project. It would have been beneficial for the innovative, evolving and constantly learning project to iteratively develop a results logic and depict developmental stages therein. The CONNEX I results logic could therefore have concentrated on outputs A and B and outcome indicators 1 and 3, thus preventing the project from being evaluated against indicators for areas of work that will only be implemented under CONNEX II. Early collection of monitoring would also have allowed the project to use its monitoring system for project steering.

The governance structure of the project dates from June 2016 and refers to terms of reference for the Advisory Committee for details. The Advisory Committee's and GLOBE's evaluations questions (ref Table 1) embedded in this evaluation regarding clarity of the steering structure can only be answered with 'No' insofar that the Advisory Committee – and only the Advisory Committee – is not clear about who is making decisions (FGD\_2).

Effectiveness dimension 3 – Quality of implementation – scores **15 out of 20 points**.

#### **Effectiveness dimension 4: Unintended results**

According to one commissioning party, BMZ (FGD\_1), CONNEX is not a capacity development project and therefore any capacities that were enhanced would be considered 'positive side effects'. For the EU, however, capacity development is an integral part of the project (for CONNEX II but also retroactively financed for CONNEX I; INT\_25 donor; INT\_3 CONNEX).

For the project and the Advisory Committee, the first rejection of a partner request by BMZ due to the BMZ 2030 partner list was mentioned as a negative unintended result (INT\_3 CONNEX); however, the evaluation team regarded this as a problem that the project had encountered. Likewise, from BMZ's perspective, the resulting exemption of the project from that list was mentioned as a negative unintended result of the project because it weakened compliance with its 2030 strategy (INT\_24 donor); again, this was regarded as a problem that had been encountered.

One interviewee mentioned an unintended outcome resulting from a partner offering the use of mining-related infrastructure – the contract with the investor regarding this infrastructure had been facilitated by CONNEX – to a neighbouring country without actually having the right to do so, which resulted in some turmoil (INT\_12 GIZ).

Individual experts mentioned that unintended outcomes were always an issue; the question was whether they were allowed to get involved, which often required an amendment to the contract. Often, during the clarification of the commission, other problems arose that would have to be solved first (e.g., partners' approval procedures must be followed before the commission can commence), whereas the experts advised only on the tender (INT\_23 expert). Again, in the eyes of the evaluation team, this was deemed to be a problem that was encountered rather than an unintended result of the project. No unintended effects were reported by the partners who were interviewed. The project did not monitor any unintended effects.

Because unintended effects were not identified or monitored, three points are deducted from the total score.

Effectiveness dimension 3 – Unintended results – scores **17 out of 20 points**.

Table 11: Methodology for assessing OECD/DAC criterion: effectiveness.

Effectiveness: assessment dimensions	Basis for assessment	Evaluation design and empirical methods	Data quality and limitations
<b>Achievement of the (intended) objectives</b>	<p>Project's objective indicators and actual achievement as currently measured by project through feedback forms for former partners</p> <p>The module objective indicators meet the SMART criteria</p>	<p><b>Evaluation design:</b> The analysis follows the analytical questions in the evaluation matrix (see annex); no specific evaluation design was applied</p> <p><b>Empirical methods:</b> 'Shall-is' comparison of indicators against actual achievement</p>	<p>Lack of monitoring data</p> <p>Limited availability of partners for interviews/low response rate</p>
<b>Contribution to achievement of objectives</b>	H1–H5	<p><b>Evaluation design:</b> Contribution analysis</p> <p><b>Empirical methods:</b> Semi-structured interviews and document analysis</p>	<p>Empirical proof regarding H1 and H4; not possible for H2, H3 or H5 due to some outputs not yet being implemented</p> <p>Hypotheses are plausible, however</p>
<b>Quality of implementation</b>	Extent of application of Capacity WORKS and results-based monitoring system	<p><b>Evaluation design:</b> The analysis follows the analytical questions in the evaluation matrix (see annex); no specific evaluation design is applied</p> <p><b>Empirical methods:</b> Semi-structured interviews and document analysis</p>	<p>No results model and monitoring during inception mission</p> <p>Stakeholder map and steering structure not up to date</p>
<b>Unintended results</b>	<p>Appraisal mission documents</p> <p>The evaluators had to rely on anecdotal evidence from project staff and expert interview partners.</p>	<p><b>Evaluation design:</b> Contribution analysis</p> <p><b>Empirical methods:</b> Semi-structured interviews (Most significant Change)</p>	<p>No appraisal mission documents exist that could reveal unintended effects with regard to gender, the environment, conflict sensitivity and human rights</p> <p>Possible unintended effects have not been monitored by the project</p>
* SMART: specific, measurable, achievable, relevant and time-bound			



## 4.5 Impact

This section analyses and assesses the impact of the project. It is structured according to the assessment dimensions in the GIZ project evaluation matrix (see Annex 1).

### Summarising assessment and rating of impact

Table 12: Rating of OECD/DAC criterion: impact

Criterion	Assessment dimension	Score and rating
Impact	Higher-level (intended) development changes/results	20 out of 30 points
	Contribution to higher-level (intended) development results/changes	30 out of 40 points
	Contribution to higher-level (unintended) development results/changes	25 out of 30 points
Impact score and rating		Score: <b>75 out of 100 points</b>  Rating: Level 3: moderately successful

Findings relating to impact rely on a very thin evidence base with only five partner interviews; four of these partners were involved in still ongoing projects. Furthermore, it must be reiterated that the project had just concluded its first, establishing phase. It should be noted that it is difficult to effectively assess the project's outcome and impact on higher-level development changes/results for the respective partner country. This is mainly because the project was only mandated to provide support for a selection of specifically needed issues within the larger and overarching negotiation of investment contracts. In most cases, these contracts have a life span of several decades. The positive or negative intended/unintended results that the project's activities will have on the higher-level development changes/results relevant to the partner country will therefore only materialise once the said contract is implemented and properly enforced and thus after a significant delay. The long-term impact on development can therefore not be expected to be apparent yet, since the impact of current contract negotiations will take years to manifest itself. The team found robust anecdotal evidence of a contribution to impact 1 and some evidence of a contribution to impact 2, which is also logically highly plausible. In the case of impact 3, the contribution seems to depend mainly on national legislation; the project does not seem to promote this issue systematically (and is itself not subject to GIZ's safeguards and gender check due to implementing activities with a value under the threshold of EUR 1 million in individual countries). The project produced additional positive unintended impacts that would be worth exploiting further (ref. list of identified impacts on p42). If interviewees mentioned negative unintended impacts, these tended to be challenges that had been encountered or things that had gone wrong that were not due to project activities. The evaluation team assumes that there would be more evidence of unintended (positive and negative) impacts that would be worth monitoring and learning from.

**In total, the impact of the project is rated Level 3: moderately successful, with 75 out of 100 points.**

### Analysis and assessment of impact

The evaluation team encountered the following methodical challenges regarding the assessment of impact. The project aimed to improve the contract negotiation-specific preconditions for negotiations with investors, mainly in extractives. If the project had been successful, the mobilisation of domestic resources should have been improved but the use of more resources would have depended almost entirely on the partner system and

impacts would have been highly specific to individual contracts. The project could have increased the chance of development-oriented use by its choice of partners (aided by its risk management system, the request/approval procedure and BMZ country officers), its choice of experts (supported by its code of conduct) and its choice of projects. In addition, providing selective consultancy services in the area of contract negotiation faces similar challenges as general budget support: If the one-off support is not accompanied by accompanying measures, the actual use of the increased resources cannot be followed up due to fungibility and sustainable effects on governance are limited. It cannot be inferred per se to what extent the project will have an impact on poverty alleviation, environmental protection or other aspects.

Since the project worked in 16 different countries, each having different project settings and political agendas, it did not make sense to the evaluation team to compare trajectories of arbitrarily selected development indices and to then assess the project's contribution to these changes in indicators or indices at national level through its support to single contract negotiations.

- The evaluators therefore decided to follow a different approach and to base the assessment of impact dimension 1 on primary data (interviews and focus group discussions, primarily with partners and experts) without triangulating it with secondary data at national level in 16 countries.
- Furthermore, only five partners were available for interviews, four of whom were partners in ongoing projects. The evaluation team can therefore only establish plausibility for possible contributions to different impacts based on anecdotal evidence. These findings, however, cannot be extrapolated or generalised for the whole project.

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

The impact is described in the project's modification offer as follows: 'The project contributes, through better balanced and professionally implemented contracts, to an improved use of the commodity sector for the sustainable development of partner countries. While the first part of this sentence depicts the outcome, the resulting impact is defined as 'the sustainable development of partner countries' which could be operationalised as poverty reduction or the achievement of the SDGs in partner countries. CONNEX implemented 18 support processes in 16 countries. The intermediate impact of successful CONNEX projects would most probably be increased mobilisation of domestic resources, achieved by the project building partnerships to achieve the SDGs, which would be a contribution to SDG 17 (establishing partnerships to achieve the SDGs). The project was assigned a marker for good governance (PD/GG2) and a marker for trade development (TD1) due to its potential contribution to transparent and professional contracts in mining as well as increased investments in this field.

'EU combined financing strengthens the developmental impact of the project by providing additional advisory services (either on individual investment projects or in additional countries). In addition, the exchange of experience and capacity development measures increase and anchor knowledge and skills in the contract negotiation context' (GIZ, 2020a:15; author's own translation).

### **The following impacts are plausible and depicted in the results model:**

- more public revenues are obtained from the extractive sector (impact 1),
- contracts are more robust against attempts to renegotiate them, leading to enhanced legal security and thereby improving the investment climate (impact 2) and
- economic, social and cultural human rights are safeguarded in the extractive sector (impact 3).



**The following impacts of the support provided by the project were identified by the stakeholders:**

- more informed and accurate assessments and negotiations, leading to higher revenue (billions per contract or increases of up to 24% in royalty revenues were mentioned) and increased legal security (INT\_13, 17 GIZ; INT\_21 expert; INT\_3, 5 CONNEX),
- increased capacities/process security of government officials, leading to better tender processes (INT\_13 GIZ; INT\_21 expert; INT\_49 partner),
- increased revenues gained from contract negotiations in mining are invested in a development-oriented fund (INT\_11 GIZ),
- consultancy products that can be 'recycled' in other processes, e.g. tender documents (INT\_22 expert),
- two corrupt politicians imprisoned due to CONNEX (INT\_17 GIZ),
- (very indirect, long-term) employment effects (INT\_18 GIZ),
- further 'sales' e.g. requests from other provinces following the completion of the first project (INT\_24 donor),
- identification of impacts not yet possible, as project has just started (INT\_26, 27, 28 partners),
- (prospective) improvement of the mining sector: standardised legislation, legal security for governments and companies, consideration of international standards (project not yet implemented; INT\_28 partner) and
- network of experts in mining contracts – an important legacy (INT\_29 partner).

**The following challenges regarding impact achievement were identified:**

- social and environmental aspects of the negotiation process are not sufficiently addressed/considered (INT\_12, 13 GIZ),
- project contribution has limited leverage when it comes to contract negotiation in a vast sector/complex legal and political system; even with good contracts, implementation might fail (INT\_13 GIZ; INT\_21 expert),
- fungibility risks: it is impossible to determine or follow up on how partners actually spend resources increased by the project (INT\_15 GIZ; INT\_5 CONNEX),
- some partner countries are fragile, corrupt and extremely poor – additional funds will be spent mainly on keeping the state running by paying salaries (INT\_14 GIZ),
- even if revenues from extractives are channelled into funds for development-oriented use, these are often non-transparent or non-functional (INT\_14 GIZ),
- partners have an insufficient understanding of complex reform processes (INT\_19 GIZ),
- it is impossible to track the project's impacts (INT\_19 GIZ),
- the project deals mostly with technical staff – policy advice is needed at a macro level for more impact (INT\_20 expert),
- CONNEX projects are too short to support the full process; (negative) impacts are realised after 5-8 years (INT\_23 expert; INT\_38 stakeholder) and
- 'of course, these [companies] are pigs who maximise profits' (INT\_23 expert).

Since the monetary data from the contract negotiations is confidential, the achievement of impact 1 (increased public revenues) can only be inferred from interviews with experts, GIZ stakeholders and project staff. All of the partners who were interviewed reported helpful and relevant consulting services that were still ongoing, with related impacts – and risks – possibly taking years to materialise. With the project reporting the relevant module indicator 1 ('preconditions for the development-oriented use...') achieved by September 2021, the evaluation team considers it highly plausible that impact 1 was achieved in a majority of cases. It can also be safely assumed that contract robustness (impact 2) was increased by the expert consultancies. There is anecdotal evidence for a contribution to impact 3 from one partner interview regarding the safeguarding of economic, social and cultural human rights in the extractive sector, especially those of vulnerable groups (leave no one behind), while two interviews with GIZ stakeholders suggest that the ecological and social impacts of the negotiations should have been better addressed.

Because the project did not sufficiently plan for impact 3 nor monitor or document the impacts of the project regarding this dimension and especially regarding vulnerable groups, 10 points are deducted from the potential total score of 30.

Impact dimension 1 – Higher-level (intended) development changes/results – scores **20 out of 30 points**.

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

In the following, the hypothesis regarding transformation of outcome into impact will be assessed.

Table 13: Selected results hypotheses for impact

<b>Results hypothesis 6 (outcome – impact)</b>	If the contract negotiation-specific preconditions for the development-oriented use of extractive investments are improved (outcome), countries will be in a position to negotiate deals in a more professional and transparent way that could be more oriented towards development (super outcome). Contracts negotiated in this way open up an opportunity for the country to obtain more public revenues from the extractive sector ( <b>impact 1</b> ). This is also expected to provide better protection for economic, social and cultural human rights in the extractive sector ( <b>impact 3</b> ). In addition, such contracts are more robust against attempts to renegotiate them. This enhances legal security, thereby improving the investment climate ( <b>impact 2</b> ).
<b>Main assumption</b>	The partner countries are motivated and able to use the resources freed up by the project in a development-oriented way.
<b>Risks</b>	Corruption, fungibility, long-term impacts of contracts in changing circumstances.
<b>Alternative explanation</b>	If partners use increased revenue in a development-oriented way, this might be as a result of their own policies and motivation and not because of the project.
<b>Confirmed/partly confirmed/not confirmed</b>	Partly confirmed: the hypothesis is very plausible. There is robust anecdotal evidence of a contribution to impact 1 and some evidence of a contribution to impact 2, which is also logically highly plausible (mostly CONNEX, GIZ and external stakeholders, rather than partners). With regard to impact 3, the contribution seems to depend mainly on national legislation and the project did not seem to promote this issue systematically (and is itself not subject to GIZ's safeguards and gender check). One partner mentioned that the physical safety of residents was ensured by the project (based on SDG-oriented standards introduced by experts).

The project contributes to increased revenues *for partners*. Since the wording of the outcome does not really reflect that ('contract negotiation-specific preconditions are improved'), these increased revenues can be considered an impact for which there is robust evidence. Since international standards are considered by the experts who were deployed, it can be safely assumed that impacts regarding social and environmental standards are better addressed in those contract negotiations than they would be in the absence of the project; there is also anecdotal evidence to this effect. However, according to the experts, the implementation of related standards depends on the positive law of the relevant country. The extent to which environmental and social impacts, for example, are addressed in the negotiation process seems to depend mainly on the national legislation of the partner country and the deployed expert and does not seem to be systematically addressed, assessed or monitored by the project.

Because the project did not systematically mainstream social and environmental aspects and standards into their consultancy services, 10 points are deducted from the total score.

Impact dimension 2 – Contribution to higher-level (intended) development results/changes – scores **30 out of 40 points**.

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

Based on the impacts identified in the interviews as outlined in dimension 1, when compared with the intended impacts in dimension 2, it can be stated that the project produced additional positive unintended impacts that would be worth exploiting further (ref. p42). If interviewees mentioned negative unintended impacts, these tended to be challenges that had been encountered or things that had gone wrong that were not due to project activities. It should be mentioned again that the evidence base for this assessment is very thin, with only one partner from a completed project and four from ongoing projects. The evaluation team assumes that there would be more evidence for unintended (positive and negative) impacts that would be worth monitoring and learning from. Five points are therefore deducted for not monitoring these effects.

Impact dimension 3 – Contribution to higher-level (unintended) development results/changes – scores **25 out of 30 points**.

### Methodology for assessing impact

Table 14: Methodology for assessing OECD/DAC criterion: impact

Impact: assessment dimensions	Basis for assessment	Evaluation design and empirical methods	Data quality and limitations
<b>Higher-level (intended) development changes/results</b>	Impact according to the modification offer (see below)  Markers assigned to the project (see below)	<b>Evaluation design:</b> Contribution analysis  <b>Empirical methods:</b> Semi-structured interviews and document analysis	Lack of available data (monitoring and interviews with partners)  No representation of populations affected by contract negotiations (e.g. resettled populations)  No possibility of data/method triangulation  Low evidence strength
<b>Contribution to higher-level (intended) development results/changes</b>	H6	<b>Evaluation design:</b> Contribution analysis  <b>Empirical methods:</b> Semi-structured interviews and document analysis	Evidence strength for validating the project's claim to contribute to poverty reduction or SDG is weak, as it relies solely on anecdotal evidence from limited partner and stakeholder interviews
<b>Contribution to higher-level (unintended) development results/changes</b>	No appraisal mission documents exist that could reveal unintended effects on gender, the environment, conflict sensitivity and human rights  Evaluation had to rely on the assessment of unintended impacts by partners and experts	<b>Evaluation design:</b> Combination of contribution analysis and Most Significant Change  <b>Empirical methods:</b> Semi-structured interviews and document analysis	Possible unintended effects have not been monitored by the project  Social desirability bias was a challenge in the interviews and there were limited possibilities for triangulation due to the small number of people involved in the negotiation processes and their outcome being confidential

## 4.6 Efficiency

This section analyses and assesses the efficiency of the project. It is structured according to the assessment dimensions in the GLZ project evaluation matrix (see Annex 1).

### Summarising assessment and rating of efficiency

Table 15: Rating of OECD/DAC criterion: efficiency

Criterion	Assessment dimension	Score and rating
Efficiency	Production efficiency (Resources/Outputs)	70 out of 70 points
	Allocation efficiency (Resources/Outcome)	27 out of 30 points
Efficiency score and rating		Score: <b>97 out of 100 points</b>  Rating: <b>Level 1: highly successful</b>

The project achieved all three outcome indicators by September 2021 (in the follow-on project) and did not fully achieve all output indicators. This was mainly due to the focus of the project team members, in particular the relevant manager and the internal stakeholders on the first pillar of the CONNEX Initiative, which was the support of contract negotiations. The delays in implementation caused by the COVID-19 pandemic played a role with respect to output C. However, the available resources were attributed to the outputs (mainly output 1) in a sensible way and were used economically and efficiently.

The project had a lean structure with a small project team that worked efficiently despite having to deal with cumbersome procedures for its extraordinary contracts within GIZ structures, including high daily rates for highly qualified experts. The team travelled a lot to promote the initiative and to prepare the experts' interventions, while keeping the individual costs of the missions low. The project introduced several mechanisms to constantly supervise the efficiency of its work, from multi-annual meetings with its Advisory Committee to feedback questionnaires for partners and experts and the final peer group meetings. The fact that the project might not yet have found the most efficient procedure can be attributed to the fact that it is still in a phase of establishing an innovative way of providing high-quality expertise to its client countries.

**In total, the efficiency of the project is rated Level 1: highly successful, with 97 out of 100 points.**

### Analysis and assessment of efficiency

#### Efficiency dimension 1: Production efficiency

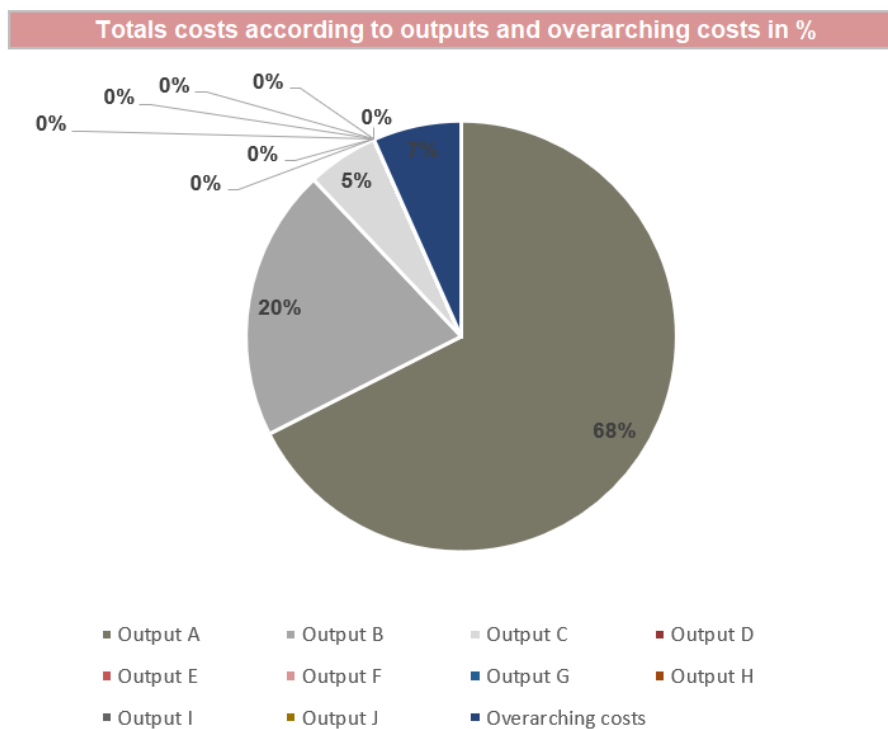
Production efficiency, i.e., the relation between resources and outputs, is assessed on the basis of a (retrospective) systematic mapping of the costs and commitments to the outputs of the project with the help of GLZ's efficiency tool, the basis of which is the cost-commitment report of 15 March 2021. Screenshots of the results ('cockpit') provided by this tool are integrated here. The costs for each output were analysed by using the assessment of internal or external stakeholders as well as the evaluators' assessment. The process of achieving an agreement with the EU for co-financing was briefly touched upon.

Through the CONNEX Support Unit or Secretariat, this project prepares, steers and supports high-level, short-term expertise in a sensitive political area. There is no other project (e.g., INT\_36 other stakeholder) that could be used to compare cost-output relations let alone to provide benchmarks.

The project's resources were equivalent to EUR 4,600,000, composed of EUR 3,600,000 from BMZ and EUR 1,000,000 from the EU. The EU and BMZ financing was pooled and used jointly by the project, so no separate 'co-financing' is shown. No partner contributions were accounted for, since CONNEX was designed to deliver service packages to client countries at their request (i.e., the countries were not previously selected), on an ad hoc basis and for a limited term. Minor contributions, such as offices for the short-term experts, the coordination of workshops and the provision of logistics, were not registered and cannot be retraced retrospectively (INT\_3 CONNEX).

Of the EUR 4,600,000, EUR 671,963.58 had seemingly not yet been spent at the time of the cost-commitment report. Leaving aside fixed overhead and other non-project-related costs (EUR 155,433.01), the efficiency tool distributed EUR 3,772,602.41 to the three outputs of the project, of which EUR 3,462,349.17 were already disbursed or committed and EUR 310,253.24 were programmed ('residual value' of the total direct costs). Of the disbursed or committed sum, EUR 3,232,106.01 went into outputs while EUR 230,243.16 (7%) were allocated to overarching project costs. The distribution among the outputs is illustrated in Figure 3.

Figure 3: Total costs according to outputs and overarching costs in %.



Some 90% of the residual value at the time of the cost-commitment report was planned for output A.

The achievement of output indicators is shown in the following screenshot from the efficiency tool results, which are based on data from the project's monitoring matrix of 27 April 2021.

Figure 4: Achievement of output indicators (Screenshot GIZ efficiency tool, German only).

<b>Output Indicators</b>	A.1 Ein Expertenregister (expert roster) und ein Prozess zur Vermittlung von Experten und Beratungspaketen an antragstellende Staaten, der auch ein Risikomanagement im Hinblick auf Menschenrechte, Umwelt, Korruption, etc. beinhaltet, sind etabliert.	B.1 3 weitere Dialogveranstaltungen zu fachlichen Leitlinien in der Verhandlung und Umsetzung von Rohstoffverträgen wurden umgesetzt (mindestens eine Dialogveranstaltung pro Jahr).	C.1 In regionalen und internationalen (physischen und virtuellen) Peer-to-Peer-Austauschformaten und Diskussionen (Süd-Süd, Nord-Süd) wurden 3 im Vertragsverhandlungskontext relevante Lernerfahrungen durch Partnerregierungsvertreter/innen geteilt.
<b>Achievement</b>	100%	100%	33%
<b>Output Indicators</b>	A.2 Die CONNEX Support Unit hat in Kooperation mit einer unabhängigen Institution (z.B. Universität) einen Peer Review Mechanismus zu Bewertung der Qualität ihrer Beratungsleistungen etabliert.	B.2 Die CONNEX Support Unit hat mit 5 Unterstützern und Partnern der CONNEX-Initiative Kooperationen zum konkreten Nutzen der Partnerländer umgesetzt (z.B. Kooperation bei der Umsetzung von CONNEX-Unterstützungsmaßnahmen, Einwerbung von Ko-Finanzierungen, etc).	C.2 75 % von 20 Regierungsvertreter/innen, (davon 33 % Frauen) die an Kapazitätsentwicklungsmaßnahmen teilgenommen haben, bestätigen, dass sie ein verbessertes Verständnis von Vertragsverhandlungen haben.
<b>Achievement</b>	100%	60%	0%

According to the indicators, output A was achieved with a 100% success rate with respect to establishing processes for the intervention of short-term experts (A1) and for ensuring the quality of these interventions (A2). However, the resources attributed to output A are only partly reflected in these indicators. Most resources were used for the advisory missions of the short-term experts themselves, contributing directly to the project's outcome. Since the project is perceived as the middle phase in an ongoing process of establishing an innovative advisory tool for partner countries (INT\_3, 5 CONNEX), there had been no limit to the resources allocated to such missions (and thus output A).

Output B was achieved with a 100% success rate with respect to dialogue events (B1) and with a 60% success rate with respect to formalised cooperation with organisations that support the project (B2). This underachievement reflects the fact that cooperation with supporting organisations like the ISLP had been possible without cumbersome formalised agreements (INT\_3 CONNEX). The acquisition of other co-financing partners in addition to the EU had been postponed until the follow-on measure. However, the indicator was not adapted accordingly.

Output C was achieved with a 66% success rate (September 2021) with respect to peer-to-peer exchange events and with a 0% success rate with respect to the confirmed usefulness of capacity development measures. This was due mainly to delays in the implementation of EU-co-financing in combination with the restrictions on face-to-face events imposed as a result of the COVID-19 pandemic (see section 4.4). If the project had been perceived as a stand-alone measure, its term would have been prolonged to be able to spend all resources as intended. Here, however, residual resources were transferred to the follow-on project without adapting the indicators of the project under evaluation.

In general, both the Governing Board and the Advisory Committee put a lot of emphasis on a lean (Secretariat) structure (e.g. FGD\_1 donors). As a result, staff costs were very low in the beginning (INT\_5 CONNEX; INT\_9 GIZ), but the workload was correspondingly high (INT\_3, 5 CONNEX). The project team emphasised that the project team's travel costs were kept low (as also shown by the cost unit report); travel costs also seemed to be kept low for the CONNEX experts, one of whom found the GIZ travel costs regulation to be quite strict. However, the higher travel costs incurred for members of the Advisory Committee were justified by the value they added in raising the profile of CONNEX (INT\_3 CONNEX).

Interviewees who were able to distinguish between the internal management of the project and the framework within which it was implemented were mostly positive about the internal management. They mentioned good planning of expert interventions (INT\_23 CONNEX expert) or good and transparent communication (INT\_39 other stakeholders) or attributed efficient work more generally (FGD\_1, INT\_24 internal stakeholders). There were complaints about GIZ's lengthy contract procedures (INT\_23 CONNEX expert; INT\_39, 34 other stakeholders); such complaints, however, were a given for the project.<sup>12</sup> The project team and commissioning parties (FGD\_1 donors) pointed out that concluding such contracts in two to three weeks is quite fast compared with other state organisations, and that the contracts themselves are quite flexible. The speed of the provision of expertise was appreciated overall (FGD\_1 donors), which was also illustrated by the fact that no country had yet withdrawn its request due to delays (INT\_7 CONNEX). In addition, the project allowed for higher overhead costs for an important implementing partner to make up for the inconvenience that GIZ procedures may have caused (INT\_7 CONNEX). In general, the project's overarching costs were in a good proportion to the total amount spent (7%, efficiency tool).

The project's design provided for a Governing Board that decided on accepting client countries' requests after the Secretariat analysed them. This structure led some interviewees to the inappropriate perception that the project should have had more senior personnel (FGD\_2 other stakeholders) who were able to decide on their own.

While outputs A and B were implemented by the project's own staff, strengthening their capacity to act as mediators between short-term experts and partner countries and facilitators of the entire support process later on (thus not to be replaced by other instruments), it was envisaged that output C would be based on services that should be implemented by a specialised external service provider. This decision was also made for the sake of efficiency (INT\_4\_CONNEX).

The amount of EU co-financing is below the threshold usually considered worthwhile in terms of efficiency (time spent in achieving such an agreement against amount of funding). While this can be considered inefficient, the reasoning behind it was, firstly, to be more broadly distributed to increase international acceptance and, secondly, to accept relatively high costs in order to receive a bigger amount in the follow-on measure (INT\_3 CONNEX). Whether this will be the case cannot be assessed at present. It was also something that BMZ explicitly wanted.

In sum, the evaluating team concludes that the project's resources were used very efficiently to produce the outputs.

The project was criticised by internal stakeholders for travelling too much, which was not deemed appropriate for the role of a Secretariat (FGD\_1 donors; FGD\_2 other stakeholders). The project team, however, considered it vital to travel, especially in the beginning, in order to spread the news about CONNEX and meet potential client partner countries (all contributing to output B) (INT\_4, 5 CONNEX). They ensured that every conference they attended provided some opportunity for raise CONNEX's profile and talk to potential clients (INT\_3 CONNEX).

Later, travel was essential to conduct scoping missions with thorough needs assessments to make the expert-partner match as perfect as possible and to secure an outcome that was beneficial to the partner country (contributing to output A and indispensable for the outcome). It was difficult to achieve this when partners' requests increased in number in 2020 and 2021, and the COVID-19 pandemic prohibited travelling. Other interviewees from the internal stakeholder group were convinced by the project team's arguments for the need

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<sup>12</sup> It is not excluded but it is outside the scope of the project that a change in the organisation of GIZ's internal service providers could accelerate contract preparation, if contract persons could specialise in CONNEX's type of contracts.



to travel (FGD\_1 donors; INT\_24 CONNEX). According to the project, cooperation with the ISLP in some countries also created a high-quality synergy and increased efficiency (INT\_14 CONNEX).

Individual partners recommended the use of local or regional consultants, which the project seemed to do increasingly in more recent projects (INT\_29 partner).

The project focused completely on its objective to provide high-quality advice to potential partner countries (which is reflected in output A). Therefore, as soon as they realised that an output was less important to achieve this objective, they reallocated resources to output A (e.g. from output B/formal cooperation and output B/marketing). Because of COVID-19, travel costs in 2020 were relatively low. The travel costs saved were reinvested directly in advisory services to prepare video conferences and similar events (INT\_3 CONNEX).

In sum, the evaluating team concludes that the project's outputs could not have been increased by the alternative use of inputs.

Efficiency dimension 1 – Production efficiency – scores **70 out of 70 points**.

## Efficiency dimension 2: Allocation efficiency

Figure 5: Achievement of outcome indicators (Screenshot GIZ efficiency tool, German only).

<b>Module objective indicators</b>	1. In 8 von CONNEX unterstützten Vorbereitungen und Durchführungen von Staat-Investor-Verhandlungen bestätigen beteiligte Vertreter/innen der Regierung, dass sie besser in der Lage sind, die Entwicklung des eigenen Landes bei Entscheidungen beim jeweiligen Verhandlungsprozesses zu berücksichtigen.	2. Eine unabhängige Institution (z.B. Universität) belegt im Rahmen eines Peer Review Mechanismus, dass die Beratung nach international anerkannten Qualitätsstandards (state of the art) durchgeführt wurde.	3. Leitlinien für faire Rohstoffverträge sind in einem internationalen Dialogprozess zwischen Partnerländern und Investoren vereinbart.
<b>Achievement</b>	50%	100%	100%

Allocation efficiency is the relationship between resources and outcomes. To measure it, the evaluation team used the efficiency tool analysis to assess the extent to which the project's use of resources was appropriate with regard to achieving its objective. The evaluation was conducted on the basis of the efficiency considerations of the short-term expertise provided by the project, including synergies arising from collaboration with other service providers and synergies between global, sectoral and bilateral projects. The underachievement of the outcome indicators was outlined in section 4.4. In this section, we follow the project's explanation that resources were put into output A in order to improve the contract negotiation-specific preconditions in partner countries by providing high-quality experts on an ad hoc basis, i.e. as quickly as possible, without being able (due to the COVID-19-pandemic and the dynamics of this innovative project) and without striving (since it was long known that there would be a follow-on measure) to schedule these interventions as outcome indicator 1 requires it.

Due to the project's mandate, the Secretariat had to enable partners to negotiate with extractive companies on a level playing field; that included providing the best possible expertise to the partner governments. One concern in relation to efficiency was therefore the experts' daily rates, which, on the one hand, were much lower than the rates paid in the private business sector (INT\_23 CONNEX expert; FGD\_2 CONNEX), but on the other hand, they greatly exceeded GIZ's rates (INT\_9 GIZ). This necessitated the discussion and approval of exemptions.<sup>13</sup> However, none of the interviewees questioned that high rates had to be paid to level the said

<sup>13</sup> See also Footnote 5.

playing field. The project managed to cooperate with the ISLP, which provides lawyers who work pro bono while receiving grants for their overhead costs (FGD\_2 CONNEX; INT\_33, 34 other stakeholders). This lowered the costs for legal advisors considerably. In addition, due to the extensive use of short-term experts, there were no fixed costs in partner countries, a fact that was considered resource-efficient by one interviewee (INT\_12 GIZ). Synergies created with GIZ projects on the ground (see section 4.3) also helped to reduce the efforts needed to access partners.

According to the project, the Advisory Committee always scrutinised the Secretariat's work (INT\_3 CONNEX). The project prepared meticulous documents for the Advisory Committee meetings, which occurred at least twice a year. During these meetings, the participants analysed the path taken and the results achieved, and discussed what worked and what didn't work. A critical look was always taken at the finances (INT\_3 CONNEX).

The evaluating team therefore concludes that the outcome could not have been attained more cost-effectively.

In order to find out whether additional positive results could have been obtained using the existing resources, the evaluating team looked at the efficiency of the advisory interventions themselves. Interviewees mentioned that if experts do not speak the local language, a cumbersome mediation process is required (INT\_28 partner) and that efficiency could be enhanced by making more use of regional staff on the ground or by involving regional law firms (INT\_3 CONNEX; INT\_29 partner). However, there were trade-offs to be considered: the best technical experts might not be able to communicate in the language of the partner country, for example. The project tried to continuously improve its procedures, not least with detailed feedback questionnaires. In addition, it was stressed that each advisory intervention was special, as it had to be appropriate for the country and the environment with the specific issue for which advice was needed. This dependency also prevents scaling-up (INT\_26 partner), which could save costs. With respect to the specificity of each intervention, a CONNEX expert suggested monitoring the political development in the partner country more closely, since this could increase planning reliability for the experts (INT\_22 CONNEX expert). In order to be better prepared for specific conditions, and to be able to take the partners' development orientation into account right from the beginning, it was also suggested that partner countries could be approached instead of waiting for requests from them (FGD\_1 donors). The discussion about such a procedure, which slightly contradicts the strict demand orientation of the project, will continue, especially since responsiveness to the client's needs may include spending resources in vain (due to a change in needs or a change in political situation, for example) (INT\_34 other stakeholders).

Partner contributions are relevant to the costs of the outcome if the demand-oriented focus, the sole use of short-term expertise from outside the country and the processes used by partners to procure expertise (with respect to competitiveness and duration) are considered. It was mentioned that the geotechnical knowledge offered by BGR, an organisation that advises partner countries on extractive matters, could have been exploited more (FGD\_1 donors). However, BGR is not active in many of CONNEX's partner countries, and its expert network in one region was used to find suitable experts by CONNEX (INT\_15 GIZ).

The fact that the project might not yet have found the most efficient procedure possible to provide its consultancy services by leveraging synergies with other stakeholders should give rise only to a moderate deduction of points. Given that the project adopted an innovative approach from the very beginning, the procedures have been efficient but there is still room for improvement for the follow-on project and this is being tackled by the project team.

Efficiency dimension 2 – Allocation efficiency – **scores 27 out of 30 points.**

## Methodology for assessing efficiency

Table 16: Methodology for assessing OECD/DAC criterion: efficiency

Efficiency: assessment dimensions	Basis for assessment	Evaluation design and empirical methods	Data quality and limitations
<b>Production efficiency</b> (Resources/Outputs)	<p>Systematic mapping of the costs and commitments to the outputs of the project</p> <p>Analysis of costs for each output by using the assessment of internal or external stakeholders as well as the evaluators' assessment</p> <p>EU co-financing process</p>	<p><b>Evaluation design:</b> The analysis follows the analytical questions in the evaluation matrix (see annex); no specific evaluation design was applied</p> <p><b>Empirical methods:</b> Use of the GIZ Evaluation Unit's Excel-based efficiency tool, semi-structured interviews and document analysis</p>	<p>Costs could only be linked to outputs retrospectively; hence, the data in the efficiency analysis is estimated based on the best information available to the project management team</p> <p>Possibilities to triangulate data are limited to documents and interviews with project personnel</p>
<b>Allocation efficiency</b> (Resources/Outcome)	<p>Efficiency considerations of the short-term expertise provided by the project, including synergies arising from collaboration with other service providers and synergies between global, sectoral and bilateral projects</p>	<p><b>Evaluation design:</b> The analysis follows the analytical questions in the evaluation matrix (see annex); no specific evaluation design was applied</p> <p><b>Empirical methods:</b> Semi-structured interviews and document analysis (no benchmarking)</p>	<p>Effects of the project's marketing activities are too dispersed to be assessed</p> <p>No benchmarking possible since GIZ Secretariat projects differ considerably in design, partners and implementation mode</p>

The efficiency tool provides a good basis for assessing the project's production efficiency but is not considered as sufficient. Numbers and relations also need to be interpreted with the support of qualitative evaluation instruments to allow for robust statements on the project's efficiency. Thus, questions regarding the project's efficiency – including production efficiency – were integrated into interviews and discussions to strengthen the evidence of secondary data. Interviews with the project team, the Advisory Committee and the Governing Board helped to identify these aspects and their magnitude. Assessing the allocation efficiency is one of the most demanding evaluation exercises. Given the scope of this Central Project Evaluation, the evaluation team based its findings on plausibility assumptions and anecdotal evidence provided in interviews and discussions.

## 4.7 Sustainability

This section analyses and assesses the sustainability of the project. It is structured according to the assessment dimensions in the GIZ project evaluation matrix (see Annex 1).

### Summarising assessment and rating of sustainability

Table 17: Rating of OECD/DAC criterion: sustainability

Criterion	Assessment dimension	Score and rating
<b>Sustainability</b>	Capacities of the beneficiaries and stakeholders	15 out of 20 points
	Contribution to supporting sustainable capacities	15 out of 30 points

Criterion	Assessment dimension	Score and rating
	Durability of results over time	50 out of 50 points
<b>Sustainability score and rating</b>		Score: <b>80 out of 100 points</b> Rating: Level 3: moderately successful

Again, it has to be stressed that the empirical basis for the assessment of this criterion relies on a thin evidence base due to only five partners responding to the interview requests, four of whom are working on ongoing projects. In this section, therefore, we can only establish some degree of plausibility regarding sustainability of results. It should also be mentioned again that the project has just concluded its first, establishing phase. Consequently, it cannot be expected that the sustainability of results will be apparent yet, since the results of current contract negotiations will take years to materialise.

Regarding the partners' capacity to sustain results, it can be said that the project substitutes the partners' limited resources with demand-based services, while complementary capacity building and legal system development (possibly by other actors) would have been helpful for sustainability, as addressed in section 4.5 (not assessed here). The project will address capacity building more fully in its follow-on project. The sustainability of the project's results is not that easy to grasp since the project's outcome is defined as improved 'contract negotiation-specific preconditions' without defining these preconditions. While the contracts themselves are a potentially durable result (if they are not contested), some interview partners recommended having a more thorough look at how products and processes could be better anchored in the partner structures (not individual staff members) and planning what to 'leave behind'. The project team is aware of this and intends to address it more strategically in the follow-on project. In addition to improved contracts, quite a few sustainable effects of the project were identified (see below) and it would be worthwhile monitoring these and strategically planning to achieve more of them as intended impacts.

**In total, the sustainability of the project is rated Level 3: moderately successful, with 80 out of 100 points.**

### Analysis and assessment of sustainability

#### Sustainability dimension 1: Capacities of the beneficiaries and stakeholders

The first evaluation question in this dimension refers to the extent to which 'the beneficiaries and stakeholders (individuals, groups and organisations, partners and executing agencies) have the institutional, human and financial resources as well as the willingness (ownership) required to sustain the positive results of the intervention over time (once assistance has drawn to a close)'. The question has limited relevance for this particular type of project: the partners are perfectly willing to sustain positive results but do not have the financial and human resources, the lack of which was the *raison d'être* of the project in the first place. The project substituted these limited resources with demand-based services, while complementary capacity building and legal system development (possibly by other actors) would have been helpful, as addressed in section 0 (not assessed here). The project also facilitated the partners' future access to the experts without the help of the project.

The second question addresses the extent to which 'the beneficiaries and stakeholders (individuals, groups and organisations, partners and executing agencies) have the resilience to overcome future risks that could jeopardise the intervention's results'. A couple of interviewees referred to government and related staff changes that jeopardised negotiated contracts and capacity development achievements or made them obsolete; some of the interviewees recommended keeping an eye on this in the risk assessment for new

projects (FGD\_1\_donors; INT\_13, 14 GIZ; INT\_5 CONNEX; INT\_36, 38 stakeholders). Another risk to be factored in when it comes to sustainability are the unstable commodity cycles that render the whole context 'incredibly unstable' (INT\_32 stakeholders). It is unclear, however, how the project could address that problem or anticipate such cycles.

Since the project was not actually geared towards capacity development, only five points are deducted for not sufficiently planning for sustainable results (what to 'leave behind').

Sustainability dimension 1 – Capacities of the beneficiaries and stakeholders – scores **15 out of 20 points**.

## **Sustainability dimension 2: Contribution to supporting sustainable capacities**

According to the main commissioning party, BMZ, the sustainability of the project's results is ensured by the code of conduct and the terms of reference for the experts. Regarding impacts on the environment, income equality and other aspects, it can only be hoped that the experts did a good job and so far there have been no complaints. Furthermore, BMZ would not support activities in the areas of coal mining, oil or gas – which was actually mentioned by a partner as a potential future area of interest for CONNEX support (FGD\_1 donors; INT\_39 partner). The goal of the project was to facilitate the conclusion of better contracts. If capacities were developed along the way, this would be regarded as a positive side effect. Diversification of financing was also mentioned as not being a priority at the moment due to sufficient political support. On the other hand, independence from GIZ was mentioned as being a goal, also to foster the sustainability and especially flexibility of operations.

The exploitation of raw materials would also lay the groundwork for their processing, and the generation of domestic resources, the establishment of good practice contracts, the increased capacities of local officials and ecologically responsible mine closures would yield sustainable results (FGD\_1 donors). On the other hand, the other commissioning party, the EU, stressed that capacity development was provided as a key issue and was fine-tuned to partner needs, for example, when facing new challenges like environmental dangers (INT\_25 donor).

A few GIZ country directors in the partner countries stated that they were not aware of specific CONNEX measures to foster ecological or social sustainability. One of them added that the contracts themselves were durable over time, thus ensuring economic sustainability, but acknowledged that there was room for improvement regarding ecological and social sustainability. He stated that the process could only be supported on an ongoing basis with the necessary resources and staff in the form of a natural resources project, which he did not have at his disposal; he was thus taking a risk that he was not sure should be his when supporting CONNEX activities. He also added that good documentation of CONNEX products was important for anchoring services sustainably in a system with a high staff turnover; another country director recommended holding a lessons learned workshop for partners and the relevant GIZ projects in the country (INT\_11, 12, 13, 16 GIZ). This need was also addressed by partners and experts and seems to be addressed more in more recent projects (INT\_28, 49 partners).

Several partners who were interviewed referred to the lengthy process following the negotiations as proof of the consultancies' sustainability; they stated that CONNEX did not have a role in that aspect of the project, because it provided selective consulting to individual counterparts only and did not contribute to structural change in the longer term. Longer-term capacity development was therefore needed for continuity at the technical level (INT\_13, 14 GIZ).

One expert mentioned that capacity development was not an issue, since these capacities could not be built at national level; another mentioned that the project was not designed to anchor results in partner structures. Some partners would need ongoing support for years and a project on the ground would be necessary to

achieve that. However, the involved officials would gain a better understanding of how things could be done differently and more efficiently. Two experts added that the documents provided could be recycled in similar processes. Workshops were part of the commissioning process, but mainly to explain the documents that were developed and not to provide technical training (INT\_21, 22, 23 experts).

Some partners mentioned that, in their cases, no transfer or learning from a former project was possible due to the projects being very different; mining projects were unique and did not lend themselves to the scaling-up of products. The project should not be replaced by traditional technical cooperation but could be complemented by it, and CONNEX could cater to the very specific and immediate needs that could not be met by the bilateral projects. Two partners recommended training local staff, another recommended ongoing support for organisational learning and the facilitation of learning and transfer of expert inputs as well as structural monitoring of the implementation of newly acquired knowledge. Currently learning effects were anchored almost exclusively in the heads of fluctuating individual staff (INT\_26, 27, 29 partners). One partner mentioned that the CONNEX products could well be used in other projects and that ecological and social standards that were based on the 2030 Agenda were set in the newer contracts. He also mentioned that conditions in mining would be sustainably improved, for example through legal system development, legal security for the contracting partners and consideration of international standards. This in turn would improve the competitiveness of the mining sector (INT\_28 partner). Two partners mentioned that the national officials who were involved gained a better understanding, capacities and process security (INT\_28, 39 partners).

As part of the co-financing agreement with the EU, capacity development grew in relevance for CONNEX, and resulted in the development of an online modular training course on contract negotiation, which complemented other training programmes on the market. Capacity development will also be carried out in the follow-on project. A digital capacity building module is being implemented with EU co-financing in CONNEX II and it will respond to the lessons learned in CONNEX I.

The evaluation team concludes that, according to experts and partners, the project contributed to a strengthening of capacities but did not do this in a systematic way. Fifteen points are therefore deducted from the total score.

Sustainability dimension 2 – Contribution to supporting sustainable capacities – scores **15 out of 30 points**.

### **Sustainability dimension 3: Durability of results over time**

Two of the questions in this dimension refer to context stability and the implications for the sustainability of results, which was already discussed in dimension 1. The third question asks about the durability of intervention results, which was addressed in dimension 2. Therefore, the points are not deducted again in this dimension. Furthermore, the sustainability of the project's results is not that easy to grasp, since the outcome is defined as improved 'contract negotiation-specific preconditions' without defining these preconditions. While the contracts themselves are potentially durable results (if they are not contested), some partners recommended having a more thorough look at how products and processes could be better anchored in the partner structures (not individual staff members) and planning what to 'leave behind'. The project team is aware of this and intends to address it more strategically in the follow-on project.

Sustainability dimension 3 – Durability of results over time – scores **50 out of 50 points**.



## Methodology for assessing sustainability

Table 18: Methodology for assessing OECD/DAC criterion: sustainability

Sustainability: assessment dimensions	Basis for assessment	Evaluation design and empirical methods	Data quality and limitations
<b>Capacities of the beneficiaries and stakeholders</b>	Triangulated statements on institutional, human and financial partner capacities to sustain the project's results	<b>Evaluation design:</b> The analysis follows the analytical questions in the evaluation matrix (see annex); no specific evaluation design was applied  <b>Empirical methods:</b> Document analysis and semi-structured interviews	Lack of data  Low partner response  Disconnect between project logic and evaluation matrix  Difficulty of data/method triangulation
<b>Contribution to supporting sustainable capacities</b>	Triangulated statements on project's capacity building contributions	<b>Evaluation design:</b> The analysis follows the analytical questions in the evaluation matrix (see annex); no specific evaluation design was applied  <b>Empirical methods:</b> Document analysis and semi-structured interviews	Lack of data  Low partner response  Disconnect between project logic and evaluation matrix  Difficulty of data/method triangulation
<b>Durability of results over time</b>	Covered under dimensions 1 and 2	<b>Evaluation design:</b> The analysis follows the analytical questions in the evaluation matrix (see annex); no specific evaluation design was applied  <b>Empirical methods:</b> Document analysis and semi-structured interviews	Lack of data  Low partner response  Disconnect between project logic and evaluation matrix  Difficulty of data/method triangulation

## 4.8 Key results and overall rating

The project is rated as successful. The CONNEX team developed an innovative approach from scratch and embarked on a steep learning curve. This type of project – involving the provision of demand-based, comprehensive and comparably quick and efficient consultancy services to partners who could not build this capacity on their own – shows the potential of leveraging huge domestic revenues at a comparably low cost and without structures in the partner country. Naturally, the weakness of such projects lies in whether they can ensure a sustainable impact, which would require ongoing support through exactly such structures. Within an organisation like GIZ and the partner network built up by the project, however, this weakness can be mitigated by a complementary division of labour and strategic planning of the products and processes the project needs to 'leave behind' in order to foster sustainable results. The project team was well aware of the weaknesses identified in the course of the evaluation and are addressing them in the follow-on project.



Table 19: Overall rating of OECD/DAC criteria and assessment dimensions

Evaluation criteria	Dimension	Max	Score	Total (max.100)	Rating
Relevance	Alignment with policies and priorities	30	30	92	Level 1: highly successful
	Alignment with the needs and capacities of the beneficiaries and stakeholders	30	25		
	Appropriateness of the design	20	17		
	Adaptability – response to change	20	20		
Coherence	Internal Coherence	50	45	92	Level 1: highly successful
	External Coherence	50	47		
Effectiveness	Achievement of the (intended) objectives	30	20	77	Level 3: moderately successful
	Contribution to achievement of objectives	30	25		
	Quality of implementation	20	15		
	Unintended results	20	17		
Impact	Higher-level (intended) development changes/results	30	20	75	Level 3: moderately successful
	Contribution to higher-level (intended) development results/changes	40	30		
	Contribution to higher-level (unintended) development results/changes	30	25		
Efficiency	Production efficiency	70	70	97	Level 1: highly successful
	Allocation efficiency	30	27		
Sustainability	Capacities of the beneficiaries and stakeholders	20	15	80	Level 3: moderately successful
	Contribution to supporting sustainable capacities	30	15		
	Durability of results over time	50	50		
Mean score and overall rating		100	86		Level 2: successful

Table 20: 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 Key findings and factors of success/failure

#### Impact and sustainability of predecessor project

The few interviewees who were able to comment on the rather complicated relationship between the sector programme and CONNEX all agreed that the CONNEX Support Unit itself can be considered an impact or result of the sector programme, which is currently in its second phase. Furthermore, individual respondents hinted at the potential for leveraging more synergies for greater sustainability through an increased exchange between the sector programme and CONNEX.

#### Relevance

The project's objective is aligned with the relevant global, regional and country-specific policies and priorities of BMZ and other relevant stakeholders and development partners. Since the project is offering its services purely based on partner demand and since there is a continuous demand for these services, it can be safely assumed that the project is in line with the needs of its target group (government officials involved in contract negotiations); those who could be interviewed fully confirmed that was the case. Furthermore, all the stakeholders who were interviewed agreed that the project design was appropriate and realistic with regard to achieving the project objective and that the project adapted well to changing circumstances. The main issues raised in relation to improving relevance were the partners' further need for capacity building beyond the individual consultancies and the opportunities that the project missed to address social and environmental aspects of contract negotiation beyond what was compulsory under international or national standards and laws. It can also be said that this innovative project had to invent itself from scratch and therefore has gone through a continuous learning journey, constantly adapting to changing circumstances and lessons learned.

#### Coherence

The stakeholders and partners who were interviewed agreed that there was no duplication of efforts within German development cooperation. The project seemed to coordinate its activities sufficiently with relevant GIZ projects that were aimed at leveraging synergies (sector projects, bilateral and regional projects working on natural resource management, good financial governance or legal system development) or with the respective GIZ country office if there was no such project. Based on the findings in sections 4.2 and 4.4 as well as the

demand for CONNEX's services, it can be stated with a high degree of confidence that the project complements and supports partner efforts. All but one of the partners who were interviewed confirmed that the necessary expertise would not have been available locally or regionally; one partner recommended using more local experts, which seems to be the approach increasingly taken in more recent projects. A more systematic mainstreaming of the 2030 Agenda and human rights into the consulting projects as well as the fostering of cooperation to facilitate complementary capacity building and legal system development in the partner countries as proposed by some respondents would not only be a good idea but would also comply with the binding international standards to which German development cooperation is committed.

### **Effectiveness**

The data makes the evaluation team believe that the innovative approach employed by the project – providing technical consulting services to partners that could not be acquired by the partners with their own means, on demand and without having any project structures on the ground – is an effective and efficient approach that helps partners develop their countries in the 'driver's seat'. It could well serve as a role model for other new technical cooperation initiatives, significantly enhancing partners' mobilisation of domestic resources with comparably limited resources (high return on investment).

Having said that, the project showed shortcomings in terms of results-oriented planning and monitoring, which might be due to its innovative approach in a non-development cooperation environment with a cooperation system that has limited understanding of the results and development orientation of GIZ. If the project really wants to prove its worth in CONNEX II, it will have to show that it can deliver the results envisaged in monitoring data and not plausible assumptions.

### **Impact**

Findings on impact rely on a very thin evidence base with only five partner interviews, four of whom are working on ongoing projects. The team found robust anecdotal evidence of a contribution to more public revenues from the extractive sector (impact 1) and some evidence of a contribution to contracts that are more robust against attempts to renegotiate them. This enhances legal security, thereby improving the investment climate (impact 2) which is also logically highly plausible. With regard to impact 3 – safeguarding economic, social and cultural human rights in the extractive sector – the contribution seems to depend mainly on national legislation: the project does not seem to promote this issue systematically (and is itself exempted from GIZ's safeguards and gender check). It is inconceivable why a German development cooperation project would not try to contribute to the development-oriented use of the resources generated by imposing conditionalities or at least analysing in depth what potential social and environmental impacts would occur as a result of supporting specific contract negotiations.

The project produced additional unintended impacts that would be worth monitoring and exploiting in more depth and on an ongoing basis, especially since many of the effects could emerge only years after the project was involved.

### **Efficiency**

The project achieved its three outcome indicators by September 2021 and did not fully meet all output indicators. This was due mainly to the focus of the project team members, in particular the manager, and the internal stakeholders on the main mandate of the CONNEX Initiative for which the project provides the Secretariat. The delays in implementation caused by the COVID-19 pandemic played a role with respect to output C. However, the available resources were attributed to the outputs in a sensible way and were used economically and efficiently.

The project had a lean structure with a small project team that worked efficiently despite having to deal with cumbersome procedures for its extraordinary contracts within GIZ structures, including high daily rates for highly qualified experts. In the beginning, the CONNEX team travelled a lot to promote the initiative and to prepare the experts' interventions while keeping the individual costs of the missions low; in the last year, travelling was severely restricted due to the COVID-19 pandemic. The project introduced several mechanisms to constantly supervise the efficiency of its work, from regular meetings with its Advisory Committee to

feedback questionnaires for partners and experts and the final peer group meetings. The fact that the project might not yet have found the most efficient procedure can be attributed to the fact that it is still in a phase of establishing a new way of providing high-quality expertise to its client countries.

## **Sustainability**

Regarding the partners' capacity to sustain results, it can be said that the project substituted these limited resources with demand-based services, while complementary capacity building and legal system development (possibly by other actors) would be helpful, as addressed in section 4.5. The project team will address capacity building more fully in the follow-on project. The sustainability of the project's results is not that easy to grasp, since the project outcome is defined as improved 'contract negotiation-specific preconditions' without defining these preconditions. While the contracts themselves are a potentially durable result (if they are not contested), some partners recommended having a more thorough look at how products and processes could be better anchored in the partner structures (not individual staff) and planning what to 'leave behind'. The project team is aware of this and intends to address it more strategically in the follow-on project. In addition to improved contracts, a few sustainable effects of the project were identified, and it would be worthwhile monitoring these and strategically planning to achieve more of them as intended impacts.

For the time being, it can be stated that the project as such is not geared sufficiently towards sustainability in its social and environmental dimensions but rather is concentrated on getting established as a service provider under CONNEX I.

## **Findings regarding 2030 Agenda**

### **Universality, shared responsibility and accountability**

- The project contributed to SDG 17 (the building of partnerships to achieve the SDGs).
- The use of existing systems and structures for implementing CONNEX activities could be increased by strategically planning what to 'leave behind'.
- Cooperation with ICMM, ALSF and the sector programme could be even more intensive.

### **Interplay of economic, environmental and social development**

- The interplay of economic, environmental and social development is not sufficiently addressed; social and environmental impacts should be addressed more strategically.

### **Inclusiveness/leave no one behind**

- The leave no one behind principle and gender are not addressed sufficiently; there is no data available as to how the project ensured that vulnerable target groups would not be affected negatively by the project interventions.

## **Findings regarding follow-on project**

According to interviews with project staff, the project seems to be addressing the shortcomings found in relation to capacity development in the follow-on project without changing the general approach (the evaluation team lacks documentary proof, however).

## 5.2 Recommendations

### Recommendations to CONNEX II

- **Results-based monitoring:** The project should use GIZ's standards and tools for results-based planning and monitoring to ensure implementation that helps to achieve the relevant goal. It should also use the results-based monitoring system (including KOMPASS) continuously (also ex-post project involvement) for project steering and risk monitoring instead of retrospective evaluation.
- **Strategy:** The project should discuss and align strategies with the Advisory Committee and the Governing Board. Interviewees from both institutions expressed a wish to continue working mainly on mining, while the project has already begun to seize new opportunities that are also envisaged under CONNEX II.
- **Cooperation:** Dovetailing with bilateral and regional projects and other development partners could help the project to open doors with stakeholders, prepare and support missions and flank CONNEX activities with complementary capacity building or legal system development.
- **Processes:** The assessment of social and environmental risks should be made a compulsory part of the application process and the risk assessment. The anticipation of political risks (change of government) should also be increasingly made use of in the risk assessment.
- **Steering structure:** Clarification of the roles of BMZ and the Advisory Committee might be helpful for the Advisory Committee to better understand its role and mandate.

### Recommendation to GloBe

- **Approach:** Experimenting with similar approaches to provide partners with lean, demand-based services is recommended.

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## Annex: Evaluation matrix

<b>OECD-DAC Criterion Relevance - Is the intervention doing the right things? (max. 100 points)</b> The 'relevance' criterion focuses on the intervention's design. It refers to the extent to which the objectives and design of a development intervention are consistent with the (global, country and institution-specific) requirements, needs, priorities and policies of beneficiaries and stakeholders (individuals, groups, organisations and development partners). It also identifies the ability of the intervention's design to adapt to a change in circumstances. "Relevance" is assessed in relation to 1) the <b>time of the intervention design</b> <sup>1</sup> and 2) from <b>today's perspective</b> <sup>2</sup> .							
Assessment dimensions	Filter - Project Type	Evaluation questions	Clarifications	Basis for Assessment / Evaluation indicators (e.g. module objective/programme indicators, selected hypotheses, or more generally a definition of the aspects to be used for evaluation)	Data sources (e.g. list of relevant documents, interviews with stakeholder category XY, specific data, specific monitoring data, specific workshop(s), etc.)	Data Quality and limitations (Description of limitations, assessment of data quality: poor, moderate, good, strong)	Data Quality Assessment (weak, moderate, good, strong)
Alignment with policies and priorities	Standard	To what extent are the intervention's objectives aligned with the (global, regional and country specific) policies and priorities of the BMZ and of the beneficiaries and stakeholders and other (development) partners? To what extent do they take account of the relevant political and institutional environment?	<ul style="list-style-type: none"> <li>• Orientation at BMZ country strategies and BMZ sector concepts</li> <li>• Strategic reference framework for the project (e.g. national strategies including the national implementation strategy for Agenda 2030, regional and international strategies, sectoral and cross-sectoral change strategies, in bilateral projects especially partner strategies, internal analytical framework e.g. safeguards and gender<sup>4</sup>)</li> <li>• Orientation of the project design at the (national) objectives of Agenda 2030</li> <li>• Project contribution to certain Sustainable Development Goals (SDGs)</li> <li>• Explanation of a hierarchy of the different policies, priorities (especially in case of contradictions)</li> </ul>	Annotation: see also explanations on the left and in the methodological tables in the annotated reports Fit of project design with relevant reference frameworks Perceived complementarity with other development measures	Documents <ul style="list-style-type: none"> <li>• SDG 14</li> <li>• Raw Materials Strategy of the Federal Government (BMWi, 2020)</li> <li>• Raw Materials Strategy of the Federal Government (BMWi, 2010)</li> <li>• Sector paper „Development factor extractive raw materials“ (BMZ, 2010)</li> <li>• Raw Materials Strategy - EU perspective on translating mineral resource wealth into sustainable development (EC, 2012)</li> <li>• National sector or general development strategies/Agenda 2030 of selected partner countries</li> </ul> Interviews with <ul style="list-style-type: none"> <li>- project team (on all aspects)</li> <li>- representatives from partner countries, GIZ country offices and GIZ bilateral projects (country strategies - sectoral and Agenda 2030)</li> <li>- BMZ, GIZ Headquarter and EU (German and EU strategies and policies - sectoral, countries)</li> <li>- World Bank, GIZ projects (complementarity)</li> </ul>	no limitations	strong
	and SV/GV	To what extent does the project complement bilateral or regional projects? To what extent does it complement other global projects?	• Please use CPE factsheet on SV / GV / IZR	Perceived complementarity	Interviews with GIZ headquarter, other SP and GP, GIZ bilateral projects, BGR SP		strong
	and SV/GV	To what extent is the project geared towards solving a global challenge that cannot only be effectively addressed bilaterally/ regionally?	• Please use CPE factsheet on SV / GV / IZR	Perceived necessity of GV set-up	Interviews with World Bank, IGF, CCSI, NRGi, ALFS (AfDB), AMDC, ICM, Strategic Consultant LA, Advisory Committee members		strong
Alignment with the needs and capacities of the beneficiaries and stakeholders	Standard	To what extent are the intervention's objectives aligned with the development needs and capacities of the beneficiaries and stakeholders involved (individuals, groups and organisations)?	• Also: consideration of stakeholders such as civil society and private sector in the design of the measure	Perceived relevance	Interviews with project team and representatives of the partner countries (focal person for CONNEX services)	Lack of monitoring data and partner interviews but relevance is obvious	good

	Standard	To what extent are the intervention's objectives geared to the needs and capacities of particularly disadvantaged and vulnerable beneficiaries and stakeholders (individuals, groups and organisations)? With respect to groups, a differentiation can be made by age, income, gender, ethnicity, etc.?	<ul style="list-style-type: none"> <li>• Reaching particularly disadvantaged groups (in terms of Leave No One Behind, LNOB)</li> <li>• Consideration of potential for human rights and gender aspects</li> <li>• Consideration of identified risks</li> </ul>	Perceived relevance disaggregated by gender or disadvantaged groups, monitoring of unintended negative effects and risks disaggregated by gender or disadvantaged groups	Interviews with project team and representatives of the partner countries (focal person for CONNEX services) Monitoring results other documents (e.g. press)		good
Appropriateness of the design <sup>3</sup>	Standard	To what extent is the intervention's design appropriate and realistic (in terms of technical, organisational and financial aspects)?	<ul style="list-style-type: none"> <li>• Realistic project goal from today's perspective and in view of the available resources (time, finances, partner capacities)</li> <li>• Consideration of potential changes in the framework conditions</li> <li>• Dealing with the complexity of framework conditions and strategic reference frameworks and with possible overloading</li> <li>• Strategic focusing</li> </ul>	Reality check of goals, plausibility of results model, risk monitoring, degree of agility, incremental adaptation	project documents, interviews with project team and internal stakeholders (Advisory committee, BMZ)		good
	Standard	To what extent is the intervention's design sufficiently precise and plausible (in terms of the verifiability und traceability of the system of objectives and the underlying assumptions)?	<p>Assessment of the (current) results model and results hypotheses (Theory of Change, ToC) of the actual project logic:</p> <ul style="list-style-type: none"> <li>• Adequacy of activities, instruments and outputs in relation to the project objective to be achieved</li> <li>• Plausibility of the underlying results hypotheses</li> <li>• Clear definition and plausibility of the selected system boundary (sphere of responsibility)</li> <li>• Appropriate consideration of potential influences of other donors/ organisations outside the project's sphere of responsibility</li> <li>• completeness and plausibility of assumptions and risks for the project results</li> <li>• How well is co-financing (if any) integrated into the overall concept of the project and what added value could be generated for the ToC/project design?</li> </ul>	Plausibility of the results model and the results matrix	analysis of the current offer including its results matrix, interviews with the project team, results of the team workshop on the results model		good
	Standard	To what extent is the intervention's design based on a holistic approach to sustainable development (interaction of the social, environmental and economic dimensions of sustainability)?	<ul style="list-style-type: none"> <li>• Presentation of the interactions (synergies/trade-offs) of the intervention with other sectors in the project design - also with regard to the sustainability dimensions in terms of Agenda 2030 (economic, ecological and social development)</li> </ul>	Mention of synergies and trade-offs in project documents or interviews with project team	(modification) offer and other project documents, interviews with project team		good
Adaptability – response to change	Standard	To what extent has the intervention responded to changes in the environment over time (risks and potentials)?	<ul style="list-style-type: none"> <li>• Reaction to changes during project including change offers (e.g. local, national, international, sectoral changes, including state-of-the-art sectoral know-how)</li> </ul>	Modification offer and other adjustments in project design, remembered (documented) changes and reactions	original and modification offer, other project documentation, interviews with project team		good

(1) The 'time of the intervention design' is the point in time when the offer/most recent modification offer was approved .
(2) In relation to the current standards, knowledge and framework conditions.
(3) The design of an intervention is usually assessed by evaluating its intervention logic. The intervention logic depicts the system of objectives used by an intervention. It maps out the systematic relationships between the individual results levels. At the time an intervention is designed, the intervention logic, in the form of a logical model, is described in the offer for the intervention both as a narrative and generally also on the basis of a results framework. The model is reviewed at the start of an evaluation and adjusted to reflect current knowledge. Comprehensive (re)constructed intervention logics are also known as "theories of change". In GIZ the 'project design' encompasses project objective (outcome) and the respective theory of change (ToC) with outputs, activities, TC-instruments and especially the results hypotheses as well as the implementation strategy (e.g. methodological approach, Capacity Development (CD) strategy). In GIZ the Theory of Change is described by the GIZ results model as graphic illustration and the narrative results hypotheses.
(4) In the GIZ Safeguards and Gender system risks are assessed before project start regarding following aspects: gender, conflict, human rights, environment and climate. For the topics gender and human rights not only risks but also potentials are assessed. Before introducing the new safeguard system in 2016 GIZ used to examine these aspects in seperate checks.
(5) Deescalating factors/ connectors: e.g. peace-promoting actors and institutions, structural changes, peace-promoting norms and behavior. For more details on 'connectors' see: GIZ (2007): 'Peace and Conflict Assessment (PCA). Ein methodischer Rahmen zur konflikt- und friedensbezogenen Ausrichtung von EZ-Maßnahmen', p. 55/135.
(6) Escalating factors/ dividers: e.g. destructive institutions, structures, norms and behavior. For more details on 'dividers' see: GIZ (2007): 'Peace and Conflict Assessment (PCA). Ein methodischer Rahmen zur konflikt- und friedensbezogenen Ausrichtung von EZ-Maßnahmen', p. 135.
(7) All projects in fragile contexts, projects with FS1 or FS2 markers and all transitional aid projects have to weaken escalating factors/dividers and have to mitigate risks in the context of conflict, fragility and violence. Projects with FS1 or FS2 markers should also consider how to strengthen deescalating factors/ connectors and how to address peace needs in its project objective/sub-objective.

### OECD-DAC Criterion Coherence - How well does the intervention fit? (max. 100 points)

This criterion refers to the intervention's compatibility with other interventions in a country, sector or institution as well as with international norms and standards. **Internal coherence** addresses the synergies and division of tasks between the intervention and other interventions of German development cooperation and also the intervention's consistency with the relevant international norms and standards to which German development cooperation adheres. **External coherence** considers the intervention's complementarity, harmonisation and coordination with the interventions of other partners, donors and international organisations. The "coherence" criterion relates both to the intervention's design as well as to the results it achieves.

Assessment dimensions	Filter - Project Type	Evaluation questions	Clarifications	Basis for Assessment / Evaluation indicators (e.g. module objective/programme indicators, selected hypotheses, or more generally a definition of the aspects to be used for evaluation)	Evaluation Design and empirical methods (Design: e.g. Contribution analysis, Follow-the-Money Approach) (Methods: e.g. interviews, focus group discussions, document analysis, project/partner monitoring system, workshop, online survey, etc.)	Data sources (e.g. list of relevant documents, interviews with stakeholder category XY, specific data, specific monitoring data, specific workshop(s), etc.)	Data Quality and limitations (Description of limitations, assessment of data quality: poor, moderate, good, strong)	Data Quality Assessment (weak, moderate, good, strong)
Internal coherence	Standard	Within German development cooperation, to what extent is the intervention designed and implemented (in a sector, country, region or globally) in a complementary manner, based on the division of tasks?	• Also analysis of whether the project takes the necessary steps to fully realize synergies within German development cooperation	Project documents, project team and/or GIZ sectoral and bilateral projects mention complementarity and the realisation of synergies.	document analysis, interviews	modification offer, progress reports, other project documents, interviews with project team, GIZ sectoral and bilateral projects	no data limitations	strong
	Standard	To what extent are the instruments of German development cooperation (Technical and Financial Cooperation) meaningfully interlinked within the intervention (in terms of both design and implementation)? Are synergies leveraged?	• if applicable, also take into account projects of different German ressorts/ministries	n.a.				strong
	Standard	To what extent is the intervention consistent with international and national norms and standards to which German development cooperation is committed (e.g. human rights)?		Consistence with international and national norms and standards (human rights, sustainable development)	document analysis, interviews	CONNEX code of conduct, interviews with project team, BMZ		strong

<b>External coherence</b>	Standard	To what extent does the intervention complement and support the partner's own efforts (principle of subsidiarity)?		The principle of subsidiarity is observed.	interviews	interviews with project team, representatives of partner countries		strong
	Standard	To what extent has the intervention's design and implementation been coordinated with other donors' activities?	• Also: To what extent could synergies be achieved through co-financing (where available) with other bilateral and multilateral donors and organizations and how did co-financing contribute to improved donor coordination?	The project has been coordinated with other donors' activities. The project took necessary steps to realise synergies with other donors on the impact level.	document analysis, interviews	modification offer, progress reports, other project documents, interviews with project team, World Bank, EU		strong
	Standard	To what extent has the intervention's design been designed to use existing systems and structures (of partners/other donors/international organisations) for implementing its activities? To what extent are these systems and structures used?	• Also analysis of whether the project is taking the necessary steps to fully realize synergies with interventions of other donors at the impact level	The project planned to use existing systems and structures for implementing its activities. The project used existing systems and structures for implementing its activities.	document analysis, interviews	modification offer, progress reports, interviews with the project team, including finance manager		strong
	Standard	To what extent are common systems (together with partners/other donors/international organisations) used for M&E, learning and accountability?		The project used existing common systems (with donors or international organisations) for M&E, learning and accountability.	document analysis, interviews	modification offer, progress reports, interviews with the project team, World Bank, EU		strong

### OECD-DAC Criterion Effectiveness - Is the intervention achieving its objectives? (max. 100 points)

'Effectiveness' refers to the extent to which the intervention has achieved, or is expected to achieve, its objectives (at outcome level), including any differential results across beneficiary and stakeholder groups. It examines the achievement of objectives in terms of the direct, short-term and medium term results.

Assessment dimensions	Filter - Project Type	Evaluation questions	Clarifications	Basis for Assessment / Evaluation indicators (e.g. module objective/programme indicators, selected hypotheses, or more generally a definition of the aspects to be used for evaluation)	Evaluation Design and empirical methods (Design: e.g. Contribution analysis, Follow-the-Money Approach) (Methods: e.g. interviews, focus group discussions, document analysis, project/partner monitoring system, workshop, online survey, etc.)	Data sources (e.g. list of relevant documents, interviews with stakeholder category XY, specific data, specific monitoring data, specific workshop(s), etc.)	Data Quality and limitations (Description of limitations, assessment of data quality: poor, moderate, good, strong)	Data Quality Assessment (weak, moderate, good, strong)
<b>Achievement of the (intended) objectives<sup>1</sup></b>	Standard	To what extent has the intervention achieved, or is the intervention expected to achieve, the (intended) objectives as originally planned (or as modified to cater for changes in the environment)?	• Assessment based on the project objective indicators (agreed with BMZ) • Check whether more specific or additional indicators are needed to adequately reflect the project objective	actual achievements measured against (revised) module objective indicators	document analysis, interviews	results matrix of the modification offer, data of feedback sheets, data from results monitoring, Negotiation Support Forum minutes, peer-review report, interviews w/ project team and representatives from partner countries as well as experts for triangulation	lack of monitoring data and partner interviews	moderate
	Standard	To what extent have the intervention's outputs been delivered as originally planned		actual achievements measured against output indicators	document analysis, interviews	results matrix, modification offer, progress reports, data from results monitoring, interviews w/ project team and		moderate

Contribution to achievement of objectives		(or as modified to cater for changes in the environment)?			representatives from partner countries as well as experts for triangulation		
	Standard	To what extent have the delivered outputs and increased capacities been used and equal access (e.g. in terms of physical, non-discriminatory and affordable access) guaranteed?		extent of use of outputs	document analysis, interviews	data from results monitoring, progress reports, interviews w/ project team and representatives from partner countries	moderate
	Standard	To what extent has the intervention contributed to the achievement of objectives?	<ul style="list-style-type: none"> <li>Assessment based on the activities, TC-instruments and outputs of the project (contribution-analysis as focus of this assessment dimension and minimum standard, see annotated reports)</li> <li>What would have happened without the project? (usually qualitative reflection)</li> </ul>	Plausibility of results hypotheses from outputs to outcome; Assessment of the project's contribution to the objectives through activities, TC instruments and outputs by the project team, by representatives from partner countries;	Contribution analysis by document analysis and interviews, including retrospective theorizing and alternative explanations	interviews with project team, representatives from partner countries, experts and ISLP (as service providers)	moderate
	Standard	To what extent has the intervention contributed to the achievement of objectives at the level of the intended beneficiaries?		assessment of the project's contribution to the objectives on beneficiary level by project team and representatives from partner countries	Contribution analysis by interviews, including retrospective theorizing and alternative explanations	interviews with project team, representatives from partner countries, experts and ISLP (as service providers)	moderate
	Standard	To what extent has the intervention contributed to the achievement of objectives at the level of particularly disadvantaged or vulnerable groups of beneficiaries and stakeholders? (These may be broken down by age, income, gender, ethnicity, etc.)?		assessment of the project's contribution to the objectives on disaggregated beneficiary and stakeholder level by project team and representatives of partner countries	Contribution analysis by interviews, including retrospective theorizing and alternative explanations	interviews with project team, representatives from partner countries, experts and ISLP (as service providers)	moderate
	Standard	Which internal factors (technical, organisational or financial) were decisive for achievement/non-achievement of the intervention's intended objectives?	<ul style="list-style-type: none"> <li>Internal factors = within the project's sphere of responsibility / system boundary. The project is implemented jointly by GIZ and the official partner(s).</li> </ul>	project team and/or representatives of partner countries assess internal factors as decisive for the (non-)achievement	document analysis, interviews	interviews with project team, representatives from partner countries, experts and ISLP (as service providers)	moderate
	Standard	Which external factors were decisive for achievement/non-achievement of the intervention's intended objectives (taking into account the anticipated risks)?	<ul style="list-style-type: none"> <li>External factors = outside the project's sphere of responsibility / system boundary. The project is implemented jointly by GIZ and the official partner(s).</li> </ul>	project team and/or representatives of partner countries assess external factors as decisive for the (non-)achievement	document analysis, interviews	interviews with project team, representatives from partner countries, experts and ISLP (as service providers)	moderate

	Quality of implementation	Standard	<p>What assessment can be made of the quality of steering and implementation of the intervention in terms of the achievement of objectives?</p> <p>What assessment can be made of the quality of steering and implementation of, and participation in, the intervention by the partner/executing agency?</p>	<p>Capacity Works considerations:</p> <ul style="list-style-type: none"> <li>- <b>Results-oriented monitoring (RoM / WoM)</b> is established and used, e.g. for evidence-based decisions, risk management. Data are disaggregated by gender and marginalized groups. unintended positive and negative results are monitored. Conflict-sensitive monitoring and explicit risk-safety monitoring are particularly important for projects in fragile contexts.</li> <li>- A bindingly communicated <b>strategy</b> agreed with the partners is pursued</li> <li>- Involvement and <b>cooperation</b> of all relevant actors (including partners, civil society, private sector)</li> <li>- <b>Steering</b>: decisions influencing the projects's results are made in time and evidence-informed. Decision processes are transparent.</li> <li>- <b>Processes</b>: Relevant change processes are anchored in the cooperation system; project-internal processes are established and regularly reflected and optimised.</li> <li>- <b>Learning and innovation</b>: There is a learning and innovation-friendly work culture that promotes the exchange of experience; learning processes are established; context-specific adjustments are possible</li> </ul>	<p>Use of the results-oriented monitoring delivering disaggregated data and including risks and assumptions as well as impacts and unintended results</p> <p>Project cooperates with all relevant actors</p> <p>Decision-making is based on evidence and in time and transparent</p> <p>Project internal processes are established and regularly reflected</p> <p>Learning processes are established</p>	document analysis, interviews	<p>results-oriented monitoring system, process descriptions, communication strategy/policies, interviews with project team members, QsiL Tools</p>		moderate
	Unintended results	Standard	To what extent can unintended positive/negative direct results (social, economic, environmental and among vulnerable beneficiary groups) be observed/anticipated?	<ul style="list-style-type: none"> <li>• The focus is on the outcome level, but for the analysis the unintended effects can also be included on the output level</li> </ul>	project documents, project team, representatives from partner countries, experts, ISLP or other stakeholders mention unintended results	document analysis, interviews	project documents (modification offer, progress reports), press reports; interviews with project team, representatives from partner countries, experts and ISLP (as service providers) or other stakeholders		moderate
		Standard	What potential benefits/risks arise from the positive/negative unintended results? What assessment can be made of them?	<ul style="list-style-type: none"> <li>• also check whether the risks were already mentioned and monitored in the design phase</li> </ul>	project documents, project team or representatives from partner countries assess risks/benefits of unintended results	document analysis, interviews	project documents, press reports; interviews with project team, representatives from partner countries, experts and ISLP (as service provider) or other stakeholders		moderate
		Standard	How has the intervention responded to the potential benefits/risks of the positive/negative unintended results?	<ul style="list-style-type: none"> <li>• Check if positive results at the outcome level have been monitored and set in value</li> </ul>	project documents, project team or representatives from partner countries describe a) counter-measures to negative unintended results and b) valuation of positive unintended results as (not) sufficient	document analysis, interviews	project documents, press reports; interviews with project team, representatives from partner countries, experts and ISLP (as service providers) or other stakeholders		moderate



## OECD-DAC Criterion Impact (higher-level development results) - What difference does the intervention make? (max. 100 points)

Based on recognisable higher-level development changes (at impact level), the criterion of "higher level development results (at impact level)" relates to the extent to which the intervention has already produced significant positive or negative, intended or unintended results at the overarching level (contributions to the observed changes), or is expected to do so in the future. This includes any differential results across different stakeholders and beneficiaries. This criterion refers to the results of the development intervention.

Assessment dimensions	Filter - Project Type	Evaluation questions	Clarifications	Basis for Assessment / Evaluation indicators (e.g. module objective/programme indicators, selected hypotheses, or more generally a definition of the aspects to be used for evaluation)	Evaluation Design and empirical methods (Design: e.g. Contribution analysis, Follow-the-Money Approach) (Methods: e.g. interviews, focus group discussions, document analysis, project/partner monitoring system, workshop, online survey, etc.)	Data sources (e.g. list of relevant documents, interviews with stakeholder category XY, specific data, specific monitoring data, specific workshop(s), etc.)	Data Quality and limitations (Description of limitations, assessment of data quality: poor, moderate, good, strong)	Data Quality Assessment (weak, moderate, good, strong)
Higher-level (intended) development changes <sup>1</sup>	Standard	To what extent can the higher-level development changes (social, economic and environmental dimensions and the interactions between them) to which the intervention will/is designed to contribute be identified/foreseen? (Specify time frame where possible.)	<ul style="list-style-type: none"> <li>Consider module proposal for suggested impact and program objective indicators (program proposal), if it is not an individual measure</li> <li>Potential basis for assessment: program objective indicators, identifiers, connection to the national strategy for implementing 2030 Agenda, connection to SDGs</li> </ul>	Mention of impacts by project documents, project team, representatives of partner countries or stakeholders	document analysis, interviews	modification offer, project impact stories, national SDG reports of selected partner countries; interviews with project team and experts and ISLP, representatives of partner countries, internal stakeholders like Strategic Consultant LA or Advisory Committee members, external stakeholders like World Bank, IGF, CSSI, NRGi, ALFS (AfDB), AMDC, ICMM	lack of monitoring data and partner interviews	weak
	Standard	To what extent can the higher-level development changes (social, economic, environmental dimensions and the interactions between them) be identified/foreseen at the level of the intended beneficiaries? (Specify time frame where possible.)		Mention of impacts on beneficiary level by project documents, project team, representatives of partner countries or stakeholders	document analysis, interviews	modification offer, project impact stories, national SDG reports of selected partner countries; interviews with project team and experts and ISLP, representatives of partner countries, internal stakeholders like Strategic Consultant LA or Advisory Committee members, external stakeholders like World Bank, IGF, CSSI, NRGi, ALFS (AfDB), AMDC, ICMM		weak
	Standard	To what extent can higher-level development changes to which the intervention will/is designed to contribute be identified/foreseen at the level of particularly disadvantaged/vulnerable groups of beneficiaries and stakeholders? (These may be broken down by age, income, gender, ethnicity, etc.) (Specify time frame where possible.)		Mention of differentiated impacts on beneficiary level by project documents, project team, representatives of partner countries or stakeholders	document analysis, interviews	modification offer, project impact stories, national SDG reports of selected partner countries; interviews with project team and experts and ISLP, representatives of partner countries, internal stakeholders like Strategic Consultant LA or Advisory Committee members, external stakeholders like World Bank, IGF, CSSI, NRGi, ALFS (AfDB), AMDC, ICMM		weak
Contribution to higher-level (intended) development changes	Standard	To what extent has the intervention actually contributed to the identified and/or foreseeable higher level development changes (social, economic, environmental dimensions and their interactions, taking into account political stability) that it was designed to bring about?	<ul style="list-style-type: none"> <li>Contribution analysis (evaluation design) as minimum standard and focus of this assessment dimension, further approaches are possible and welcome, see also annotated reports</li> <li>Evaluation of the project's contribution to impacts based on an analysis of the results</li> </ul>	Plausibility of results hypothesis from outcome to impact level; mention of contribution to impacts by project documents, project team, representatives of partner countries or stakeholders	Contribution analysis by document analysis and interviews, including retrospective theorizing and alternative explanations	modification offer, secondary data like e.g. studies; interviews with project team and experts and ISLP, representatives of partner countries, internal stakeholders like Strategic Consultant LA or Advisory Committee members, external stakeholders like World Bank, IGF, CSSI, NRGi, ALFS (AfDB), AMDC, ICMM		weak

		hypotheses from outcome to impact level					
Standard	To what extent has the intervention achieved its intended (original and, where applicable, revised) development objectives?	• This question can already be assessed in Dimension 1 Question 1, the contribution to impact is assessed in Dimension 2, Question 1	Mention of impacts by project documents, project team, representatives of partner countries or stakeholders	document analysis, interviews	modification offer, progress reports; interviews with project team and experts and ISLP, representatives of partner countries		weak
Standard	To what extent has the intervention achieved its (original and, where applicable, revised) development objectives at the level of the intended beneficiaries?		Mention of impacts on beneficiary level by project documents, project team, representatives of partner countries or stakeholders	document analysis, interviews	modification offer, progress reports; interviews with project team and experts and ISLP, representatives of partner countries		weak
Standard	To what extent has the intervention contributed to higher-level development changes/changes in the lives of particularly disadvantaged or vulnerable groups of beneficiaries and stakeholders that it was designed to bring about? (These may be broken down by age, income, gender, ethnicity, etc.).		Mention of differentiated impacts on beneficiary level by project documents, project team, representatives of partner countries or stakeholders	document analysis, interviews	modification offer, progress reports; interviews with project team and experts and ISLP, representatives of partner countries		weak
Standard	<i>Which internal factors (technical, organisational or financial) were decisive for achievement/non-achievement of the intervention's intended development objectives?</i>	• Internal factors = within the project's sphere of responsibility / system boundary. The project is implemented jointly by GIZ and the official partner(s)	project team and/or representatives of partner countries assess internal factors as decisive for the (non-)achievement	document analysis, interviews	modification offer, progress reports; interviews with project team and experts and ISLP, representatives of partner countries		weak
Standard	<i>Which external factors were decisive for the achievement/non-achievement of the intervention's intended development objectives?</i>	• External factors = outside the project's sphere of responsibility / system boundary. The project is implemented jointly by GIZ and the official partner(s). • Take into account the activities of other actors or other policies, framework conditions, other policy areas, strategies or interests (German ministries, bilateral and multilateral development partners)	Project documents or project team and/or representatives of partner countries assess external factors as decisive for the (non-)achievement	document analysis, interviews	modification offer, progress reports; interviews with project team and experts and ISLP, representatives of partner countries, EU, World Bank		weak
Standard	To what extent has the intervention achieved structural or institutional changes (e.g. for organisations, systems and regulations)?		Project documents, project team, representatives from partner countries, internal or external stakeholders describe contribution to structural/institutional changes of the project	document analysis, interviews	modification offer, progress reports; interviews with project team and experts and ISLP, representatives of partner countries, internal stakeholders like Strategic Consultant LA or Advisory Committee members, external stakeholders like World Bank, IGF, CSSI, NRGi, ALFS (AfDB), AMDC, ICMM		weak

	Standard	To what extent did the intervention serve as a model and/or achieve broad-based impact?	<ul style="list-style-type: none"> <li>• Scaling-up is a consciously designed process to anchor changes in organisations and cooperation systems (e.g. concepts, approaches, methods) to generate broad impact</li> <li>• There is vertical scaling-up, horizontal scaling-up, functional scaling-up or a combination of these<sup>2</sup></li> <li>• also analyse possible potential and reasons for not exploiting it</li> </ul>	Project documents, project team, representatives from partner countries, internal or external stakeholders describe scaling-up (potential) contribution of measure	document analysis, interviews	modification offer, progress reports; interviews with project team and experts and ISLP, representatives of partner countries, internal stakeholders like Strategic Consultant LA or Advisory Committee members, external stakeholders like World Bank, IGF, CSSI, NRGi, ALFS (AfDB), AMDC, ICMM		weak
	Standard	<i>How would the situation have developed without the intervention?</i>	<ul style="list-style-type: none"> <li>• usually qualitative reflection, quantitative approaches welcome</li> </ul>	Representatives from partner countries' or internal or external stakeholders' informed guess	Retrospective theorizing by interviews	interviews with representatives from partner countries, internal (service providers, Advisory Committee) or external (World Bank, IGF, CSSI, NRGi, ALFS, AMDC) stakeholders		weak
<b>Contribution to higher-level (unintended) development changes</b>	Standard	To what extent can higher-level, unintended development changes (social, economic and environmental dimensions and their interactions, taking into account political stability) be identified/foreseen? (Specify time frame where possible.)		Mention of unintended development changes by project documents, project team, representatives of partner countries, experts, ISLP, other external or internal stakeholders	document analysis, interviews	project documents (modification offer, progress reports), press reports; interviews with project team, representatives from partner countries, experts and ISLP (as service providers) or other internal or external stakeholders		weak
	Standard	To what extent has the intervention brought about foreseeable/identifiable unintended (positive and/or negative) higher-level development results?	<ul style="list-style-type: none"> <li>• Analyse whether the risks were already known in the design phase</li> <li>• Check how the assessment of risks in connection with (unintended) negative or (not formally agreed) positive results at the impact level in the monitoring system has been carried out (e.g. use of 'compass')</li> <li>• measures taken to avoid or counteract the risks/ negative effects/ trade-offs<sup>3</sup></li> <li>• Determine relevant framework conditions for negative results and the project's reaction to them</li> <li>• Examine to what extent potential (not formally agreed) positive results and synergies between the ecological, economic and social development dimensions have been monitored and exploited</li> </ul>	Mention of project's contribution to unintended development changes by project documents, project team, representatives of partner countries, experts, ISLP, other external or internal stakeholders; Project documents, project team or representatives from partner countries assess risks/benefits of unintended results; Project documents, project team or representatives from partner countries describe a) counter-measures to negative unintended results and b) valuation of positive unintended results as (not) sufficient	document analysis, interviews	project documents (modification offer, progress reports), press reports; interviews with project team, representatives from partner countries, experts and ISLP (as service providers) or other stakeholders		weak
	Standard	To what extent has the intervention contributed to foreseeable/identifiable unintended (positive and/or negative) higher-level development results at the level of particularly disadvantaged or vulnerable groups of beneficiaries and stakeholders? (These may be broken down by age, income, gender, ethnicity, etc.)		Mention of project's contribution to differentiated unintended development changes by project documents, project team, representatives of partner countries, experts, ISLP, other external or internal stakeholders; Project documents, project team or representatives from partner countries assess risks/benefits of unintended	document analysis, interviews	project documents (modification offer, progress reports), press reports; interviews with project team, representatives from partner countries, experts and ISLP (as service providers) or other stakeholders		weak

				results; Project documents, project team or representatives from partner countries describe a) counter-measures to negative unintended results and b) valuation of positive unintended results as (not) sufficient			
(1) The first and second assessment dimensions are interrelated: If the project's contribution to achieving the objective is small (2nd assessment dimension), this must also be taken into account when evaluating the first assessment dimension.							
(2) See GIZ 2016 'Guidelines on scaling-up for programme managers (AV) and planning officers'							
(3) Risks, negative effects and trade-offs are separate aspects that should be discussed individually at this point.							

### OECD-DAC Criterion Efficiency - How well are resources being used? (max. 100 points)

This criterion describes the extent to which the intervention delivers results in an economic and timely way (relationship between input and output, outcome and impact level). The evaluation dimension "production efficiency" refers to the appropriateness of the relationship between inputs and outputs. The evaluation dimension "allocation efficiency" refers to the appropriateness of the relationship between the inputs and the results achieved (project/development objective; outcome/impact level) by the intervention. The "efficiency" criterion relates both to the intervention's design and implementation and to the results it achieves.

Assessment dimensions	Filter - Project Type	Evaluation questions	Clarifications	Basis for Assessment / Evaluation indicators (e.g. module objective/programme indicators, selected hypotheses, or more generally a definition of the aspects to be used for evaluation)	Evaluation Design and empirical methods (Design: e.g. Contribution analysis, Follow-the-Money Approach) (Methods: e.g. interviews, focus group discussions, document analysis, project/partner monitoring system, workshop, online survey, etc.)	Data sources (e.g. list of relevant documents, interviews with stakeholder category XY, specific data, specific monitoring data, specific workshop(s), etc.)	Data Quality and limitations (Description of limitations, assessment of data quality: poor, moderate, good, strong)	Data Quality Assessment (weak, moderate, good, strong)
Production efficiency	Standard	How are the intervention's inputs (financial, human and material resources) distributed (e.g. by instruments, sectors, sub-interventions, taking into account the cost contributions of partners/executing agencies/other beneficiaries and stakeholders etc.)?	<ul style="list-style-type: none"> <li>Description of the data: Costs per output, type of costs, agreed and provided partner contributions</li> <li>Description of the deviations between original planned costs and actual costs (with comprehensible justification, changes are certainly desirable for increased efficiency)</li> </ul>	Costs per output are available	Follow-the-money approach by efficiency tool	cost-commitment report, progress reports, results matrix of the latest progress report, documents on co-financing; "cockpit" of the efficiency tool	no data limitations	strong
	Standard	To what extent have the intervention's inputs (financial, human and material resources) been used economically in relation to the outputs delivered (products, investment goods and services)? If possible, refer to data from other evaluations in a region or sector, for instance.	<ul style="list-style-type: none"> <li>Use of 'Efficiency tool' including instructions and use of the follow-the-money approach as evaluation design (may be combined with other high-quality approaches)</li> <li>Output level: Analysis of approaches and activities as well as TC instruments (personnel instruments, financing, materials and equipment)<sup>1</sup> compared to possible alternatives with a focus on the minimum principle (use of comparative data if available)</li> <li>The project is oriented on</li> </ul>	<p>The project regularly monitors the costs of outputs.</p> <p>The project regularly reflects whether costs per output can be reduced with another mix of TC instruments or different approaches or by elimination of activities with no relation to outputs.</p> <p>A change in the mix of TC instruments has been justified with efficiency considerations.</p> <p>The project learns from other projects with comparable structure and objectives.</p> <p>The project regularly reflects on cost risks.</p> <p>The overarching costs of the</p>	Follow-the-money approach by efficiency tool, project documents and interviews	Efficiency tool, interviews with project manager, finance officer and project team members		strong

		<p>internal or external benchmarks in order to achieve its effects economically</p> <ul style="list-style-type: none"> <li>• Regular reflection of the resources used by the project with focus on economically use of resources and cost risks</li> <li>• The overarching costs of the project are in an appropriate proportion to the costs of the outputs</li> </ul>	<p>project are in an appropriate proportion to the costs of the outputs (between 5 % and 10 %).</p> <p>The services provided by the central sectoral department of GIZ have a comprehensible added value for the achievement of the outputs of the project.</p>				
Standard	<p>To what extent could the intervention's outputs (products, investment goods and services) have been increased through the alternative use of inputs (financial, human and material resources)? If possible, refer to data from other evaluations of a region or sector, for instance. (If applicable, this question adds a complementary perspective*)</p> <p>* This case is always applicable in the technical cooperation (TC), please answer the question bindingly</p>	<ul style="list-style-type: none"> <li>• Use of 'Efficiency tool' including instructions and use of the follow-the-money approach as evaluation design (may be combined with other high-quality approaches)</li> <li>• Output level: Analysis of approaches and activities as well as TC instruments (personnel instruments, financing, materials and equipment)<sup>1</sup> compared to possible alternatives with focus on output maximization (use of comparative data if available)</li> <li>• Analysis of alternative options for allocating resources and shifts between outputs for output maximisation</li> <li>• saved resources can and should be used to maximise outputs</li> <li>• Reflection of the resources during the design phase and regularly during the implementation of the project with focus on output maximisation (with comprehensible justification, changes are certainly desirable for increased efficiency)</li> <li>• 'maximising outputs' means with the same resources, under the same conditions and with the same or better quality</li> </ul>	<p>The project regularly reflects whether outputs could be increased by using a different mix of TC instruments or different approaches.</p> <p>The project regularly reflects whether outputs could be increased by shifting resources between outputs.</p> <p>Respective actions (change in mix of TC-instruments, shift of resources between outputs) have been justified with efficiency considerations.</p>	Follow-the-money approach by efficiency tool, project documents and interviews	Efficiency tool, interviews with project manager, finance officer and project team members		strong
Standard	<p>Were the outputs (products, investment goods and services) produced on time and within the planned time frame?</p>		<p>Outputs (products, investment goods, services) were produced on time and within the planned time frame.</p>	Interviews	Interviews with project manager and project team		strong

Allocation efficiency	Standard	By what other means and at what cost could the results achieved (higher-level project objective) have been attained?		A different project design has been mentioned by project documents, project team or representatives of partner countries.	document analysis, interviews	Offer of the predecessor project, (Kurzstellungnahme: n.a.), interviews with project manager, project manager of predecessor, representatives of partner countries	strong
	Standard	To what extent – compared with alternative designs for the intervention – could the results have been attained more cost-effectively?	<ul style="list-style-type: none"> <li>• Outcome level: Analysis of approaches and activities as well as TC-instruments in comparison to possible alternatives with focus on minimum principle (use of comparative data if available)</li> <li>• Regular reflection in the project of the input-outcome relation and alternatives as well as cost risks</li> <li>• The partner contributions are proportionate to the costs for the outcome of the project</li> </ul>	The project's objectives could not have been achieved at less cost with another project design. The project regularly reflects whether the outcome could be achieved with less cost by another mix of TC instruments or different approaches or by a different set of outputs. Such changes have been justified with efficiency considerations. The project regularly reflects on cost risks for the outcome.	Interviews	Interviews with project manager, finance manager and other project team members	strong
	Standard	<p>To what extent – compared with alternative designs for the intervention – could the positive results have been increased using the existing resources? (If applicable, this question adds a complementary perspective*)</p> <p>* This case is always applicable in the technical cooperation (TC), please answer the question bindingly</p>	<ul style="list-style-type: none"> <li>• Outcome level: Analysis of applied approaches and activities as well as TC-instruments compared to possible alternatives with focus on maximizing the outcome (real comparison if available)</li> <li>• The project manages its resources between the outputs in such a way that the maximum effects in terms of the module objective are achieved</li> <li>• Regular reflection in the project of the input-outcome relation and alternatives</li> <li>• Reflection and realization of possibilities for scaling-up</li> <li>• If additional funds (e.g. co-financing) have been raised: Effects on input-outcome ratio (e.g. via economies of scale) and the ratio of administrative costs to total costs</li> <li>• Losses in efficiency due to insufficient coordination and complementarity within German DC are sufficiently avoided</li> </ul>	The project's objectives could not have been achieved to a higher extent with another project design. The project regularly reflects whether a higher level of outcome could be achieved by another mix of TC instruments or different approaches or by shifting resources between outputs or by a different set of outputs. Possibilities for scaling-up have been reflected and realised. Co-financing yielded economies of scale, shown in a lower input-outcome ratio. Co-financing did not increase the administrative part of costs. Sufficient coordination and complementarity within German DC	Interviews	Interviews with project manager, finance manager and other project team members, GIZ managers headquarter, BMZ	strong

(1) see GIZ 2015: 'Integration of TC Instruments – Key Elements', based on BMZ 2014: Handbuch der bilateralen TZ. Verfahrensinformation Nr. VI0362014 'Eckpunkte zur Instrumentenintegration'

## OECD-DAC Criterion Sustainability - Will the benefits last? (max. 100 points)

The 'sustainability' criterion relates to continued long-term benefits (at the outcome and impact level) or the probability of continued long-term benefits – taking into account observed or foreseeable risks – over time, particularly after assistance has ended.

Assessment dimensions	Filter - Project Type	Evaluation questions	Clarifications	Basis for Assessment / Evaluation indicators (e.g. module objective/programme indicators, selected hypotheses, or more generally a definition of the aspects to be used for evaluation)	Evaluation Design and empirical methods (Design: e.g. Contribution analysis, Follow-the-Money Approach) (Methods: e.g. interviews, focus group discussions, document analysis, project/partner monitoring system, workshop, online survey, etc.)	Data sources (e.g. list of relevant documents, interviews with stakeholder category XY, specific data, specific monitoring data, specific workshop(s), etc.)	Data Quality and limitations (Description of limitations, assessment of data quality: poor, moderate, good, strong)	Data Quality Assessment (weak, moderate, good, strong)
Capacities of the beneficiaries and stakeholders	Standard	To what extent do the beneficiaries and stakeholders (individuals, groups and organisations, partners and executing agencies) have the institutional, human and financial resources as well as the willingness (ownership) required to sustain the positive results of the intervention over time (once assistance has drawn to a close)?	• Transitional Development Assistance (TDA) projects primarily address final beneficiaries, whose resilience to crises and recurring shocks is to be strengthened. The focus for TDA projects is thus often on the resilience of final beneficiaries and/or at least the continuity of the measure (see explanation in dimension 3) (clarification in the inception phase of the evaluation).	Project documents, representatives of the partner countries and/or project team mention (not) sufficient institutional, human and financial resources for beneficiaries and stakeholder as well as ownership to sustain the positive results of the intervention	document analysis, interviews	Reports, interviews with representatives of the partner countries and project team	lack of partner interviews (only one from complete project), reports or other evidence, evaluation too early to assess sustainability and project not geared at sustainability apart from durable contracts.	weak
	Standard	To what extent do the beneficiaries and stakeholders (individuals, groups and organisations, partners and executing agencies) have the resilience to overcome future risks that could jeopardise the intervention's results?		Assessment of beneficiaries' and stakeholders' resilience to overcome future risks that could jeopardise the project's results	document analysis, interviews	Reports, interviews with representatives of the partner countries and project team		weak
Contribution to supporting sustainable capacities	Standard	To what extent has the intervention contributed to the beneficiaries and stakeholders (individuals, groups and organisations, partners and executing agencies) having the institutional, human and financial resources as well as the willingness (ownership) required to sustain the intervention's positive results over time and to limit the impact of any negative results?	<ul style="list-style-type: none"> <li>• Analysis of the preparation and documentation of learning experiences</li> <li>• Description of the anchoring of contents, approaches, methods and concepts in the partner system</li> <li>• Reference to exit strategy of the project</li> <li>• If there is a follow-on project, check to what extent the results of the evaluated project are taken up; the anchoring of the effects in the partner's organisation should be pursued independently of a follow-on project, since sustainability should be achieved even without donor funds</li> </ul>	Project documents, representatives of the partner countries and/or project team assess the project's contribution to sufficient institutional, human and financial resources for beneficiaries and stakeholder as well as ownership to sustain the positive results of the intervention; Extent to which the follow-on measure takes up the results of the project	document analysis, interviews	Reports and documentation of the follow-on measure, interviews with representatives of the partner countries and project team		weak



			<ul style="list-style-type: none"> <li>• Transitional Development Assistance (TDA) projects primarily address final beneficiaries, whose resilience to crises and recurring shocks is to be strengthened. The focus for TDA projects is thus often on the resilience of final beneficiaries and/or at least the continuity of the measure (see explanation in dimension 3) (clarification in the inception phase of the evaluation).</li> </ul>					
	Standard	To what extent has the intervention contributed to strengthening the resilience of the beneficiaries and stakeholders (individuals, groups and organisations, partners and executing agencies)?		Assessment of the project's contribution to beneficiaries' and stakeholders' resilience to overcome future risks that could jeopardize the project's results	document analysis, interviews	Reports, interviews with representatives of the partner countries and project team		weak
	Standard	To what extent has the intervention contributed to strengthening the resilience of particularly disadvantaged groups? (These may be broken down by age, income, gender, ethnicity, etc.)		Assessment of the project's differentiated contribution to beneficiaries' and stakeholders' resilience to overcome future risks that could jeopardize the project's results	document analysis, interviews	Reports, interviews with representatives of the partner countries and project team		weak
Durability of results over time	Standard	<i>How stable is the context in which the intervention operates?</i>		Assessment of the stability of context by project team, representatives of partner countries, external stakeholders like World Bank, IGF, CSSI, NRGi, ALFS (AfDB), AMDC, ICMM	document analysis, interviews	Sector-specific documents, interviews with project team, representatives of partner countries, external stakeholders like World Bank, IGF, CSSI, NRGi, ALFS (AfDB), AMDC, ICMM		weak
	Standard	<i>To what extent is the durability of the intervention's positive results influenced by the context?</i>	<ul style="list-style-type: none"> <li>• Consideration of risks and potentials for the long-term stability of the results and description of the reaction of the project to these</li> </ul>	Assessment of risks and potentials by project documents, project team, representatives of the partner countries, internal and external stakeholders	document analysis, interviews	Modification offer, progress reports, interviews with project team, representatives of the partner countries, internal and external stakeholders		weak
	Standard	To what extent can the positive (and any negative) results of the intervention be deemed durable?	<ul style="list-style-type: none"> <li>• Consideration of the extent to which continued use of the results by partners and beneficiaries can be foreseen</li> <li>• Reference to conditions and their influence on the durability, longevity and resilience of the effects (outcome and impact)</li> <li>• In the case of projects in the field of Transitional Development Assistance</li> </ul>	Assessment of results durability by project documents, project team, representatives of the partner countries, internal and external stakeholders	document analysis, interviews	Modification offer, progress reports, interviews with project team, representatives of the partner countries, internal and external stakeholders		weak

			(TDA), at least the continuity of the measure must be examined: To what extent will services or results be continued in future projects (of GIZ or other donors/organizations) or their sustainability ensured? (Clarification in the inception phase)				
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Predecessor project, follow-on project and further evaluation questions						
Assessment dimensions	Evaluation questions	Basis for Assessment / Evaluation indicators (e.g. module objective/programme indicators, selected hypotheses, or more generally a definition of the aspects to be used for evaluation)	Evaluation Design and empirical methods (Design: e.g. Contribution analysis, Follow-the-Money Approach) (Methods: e.g. interviews, focus group discussions, document analysis, project/partner monitoring system, workshop, online survey, etc.)	Data sources (e.g. list of relevant documents, interviews with stakeholder category XY, specific data, specific monitoring data, specific workshop(s), etc.)	Data Quality and limitations (Description of limitations, assessment of data quality: poor, moderate, good, strong)	Data Quality Assessment (weak, moderate, good, strong)
Impact of the predecessor project (if predecessoer project exists)	Which results were envisaged at the impact level of the predecessor project and which were achieved?	Results at impact level achieved by the predecessor "Sector 'program' Resources and Development"	document analysis, interviews	Final report, last progress report of the SP, interviews with SP and project manager, BMZ	no data limitations but relationship of SP and GP is exotic.	good
	Which results of the predecessor are still visible today at impact level?	Stakeholders and project team mention still visible impacts of the SP	interviews	interviews with project team, stakeholders in SP and BMZ		good
	Which results of the predecessor are only visible today at impact level?					good
	How were changes in the framework conditions handled over time (including transition between different projects)? Which decisions in previous projects influence the impact of the predecessor as well as the current project until today? How?	Stakeholders and project team report changes in framework conditions and resulting decisions influencing impact of the projects	document analysis, interviews	project documents including risk monitoring in the SP, interviews with project team, stakeholders in SP and BMZ		good
	What were factors for success / failure for the impact of the predecessor?	Stakeholders and project team report lessons learnt for impact	document analysis, interviews	project documents, interviews with project team, stakeholders in SP and BMZ		good
	...					
Sustainability of the predecessor project (if predecessoer project exists)	Which results were envisaged at the outcome level of the predecessor project and which were achieved?	Results at outcome level achieved by the predecessor	document analysis, interviews	Final report, last progress report of the SP, interviews with SP and project manager, BMZ	no data limitations but relationship of SP and GP is exotic.	good

	Which results at outcome level (and important outputs) are still present or have been further developed by the partners? (without external funding vs. with external funding)	Representatives of partner countries, project team or project documents mention further developed results	document analysis, interviews	Last progress report of SP, modification offer, interviews with project team, representatives of partner countries		good
	How were the results of the predecessor anchored in the partner structure?	n/a				good
	How were changes in the framework conditions handled over time (including transition between different projects)? Which decisions in previous projects influence the sustainability of the predecessor and the current project until today? How?	Stakeholders and project team report changes in framework conditions and resulting decisions influencing sustainability of the projects	document analysis, interviews	project documents including risk monitoring in the SP, interviews with project team, stakeholders in SP and BMZ		good
	What were factors for success / failure for the sustainability of the predecessor?	Stakeholders and project team report lessons learnt for sustainability	document analysis, interviews	project documents, interviews with project team, stakeholders in SP and BMZ		good
	...					
<b>Follow-on project: Analysis of the design and recommendations for implementation (if a follow-on project exists)</b>	Evaluability and design of the follow-on: Are the results model for the follow-on project including the results hypotheses, the results-oriented monitoring system (WoM) and the project objective indicators plausible (and in line with current standards)? Are there - also based on the evaluation of the current project - recommendations for improvements in the further course of the follow-on project?	Plausibility and compliance of key project documents of the follow-on measure; Recommendations for revision of key project documents	Judgement of evaluators based on document analysis and interviews	Discussion of the evaluation results with the current project manager and team	N/A	
	Based on the results of the evaluation of the current project: Which recommendations can be derived for the implementation of the follow-on project?	Recommendations for the implementation of the follow-on measure	Judgement of evaluators based on document analysis and interviews	Discussion of the evaluation results with the current project manager and team		
	...					
<b>Please add further knowledge interests /evaluation questions that cannot be assigned to any other assessment dimensions...</b>	(1) BMZ: How could a scaling of CONNEX services look like, rather limited to a specific sector or rather open to all major contract conclusions?	Strategic options of staff, AC and partners, market needs	interviews, document analysis	staff, AC, partners, secondary data	rather anecdotal evidence	moderate
	(2) BMZ: What is the perception of the cooperation by the partners and possibly BMZ country departments (awareness of CONNEX, process quality)?	Partners and country departments express their notion of CONNEX popularity and process quality (partners)	interviews	partners, BMZ stakeholders		moderate
	(3) BMZ: To what extent can a demand-oriented service like in CONNEX serve as a model for other projects?	Other group leaders/head of departments (don't) appreciate notion of needs-based innovative services	interviews	GIZ groups and departments		moderate
	(4) CONNEX Team: To what extent is the marketing of the project sufficient?	Partners and country departments express their notion of CONNEX popularity	interviews	partners, BMZ stakeholders		moderate
	(5) CONNEX Team: How well does the risk management work?	Partners, staff and service providers mention materialised risks	interviews	partners, BMZ stakeholders		moderate
	(6) CONNEX AC Was the use of resources efficient (measured (1) as home office overhead as % of field expenses, and (2) as expenses for fund raising and marketing as % of raised outside funds)?	Low home office overhead/field expenses ratio, low fundraising and marketing expenses/ raised outside funds ratio	document analysis, interviews	project management team, cost sheets, other stakeholders		moderate

(7) CONNEX AC: Have the agreements negotiated under CONNEX improved fairness or reduced / eliminated contracts biased against the interests of host countries?	see Impact D11				moderate
(8) CONNEX AC: To what extent is the management structure of the project appropriate? Who makes decisions?	Staff and service providers describe similar notions of CONNEX governance structure	interviews	partners, staff, service providers		moderate
(9) GLOBE: To what extent is the management structure of the project appropriate? Are the roles and mandates clear to all stakeholders?	Staff, AC, GB and service providers describe similar notions of CONNEX governance structure	interviews	Staff, AC, GB and service providers		moderate
(10) GLOBE: To what extent does the project generate long-term developmental effects?	s. sustainability and impact				moderate
(11) GLOBE: To what extent could CONNEX / such a GM serve as an innovative example for other projects?	Other group leaders/head of departments (don't) appreciate notion of needs-based innovative services	interviews	GIZ groups and departments		weak
(12) GIZ sectoral department: How can synergies with bilateral projects in CONNEX partner countries be enhanced, e.g. how can long-term support for services be ensured?	Relevant bilateral projects and CONNEX staff and partners express ideas on how to leverage synergies	interviews	Relevant bilateral projects and CONNEX staff and partners		strong
(13) GIZ sectoral department: How can the sustainability of the work of CONNEX be increased through cooperation with the regional divisions?	Relevant bilateral projects and CONNEX staff and partners express ideas on how to leverage synergies	interviews	Relevant regional departments and CONNEX staff and partners		strong



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