

KNOWING WHAT WORKS

# Central project evaluation

Supporting sustainability aspects in the implementation of EU Economic Partnership Agreements (EPAs) CARIFORUM/SADC, Project number 2017.6250.9

## Evaluation Report

On behalf of GIZ by Dr. Felipe Isidor-Serrano, Tatjana Mauthofer (Mainlevel Consulting AG) and Natallie King Rochester and Innocent Kologwe (independent local consultants)

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## Abbreviations

ACP	African, Caribbean and Pacific
BMZ	German Federal Ministry for Economic Cooperation and Development
CARICOM	Caribbean Community
CARIFORUM	Caribbean Forum
CEDA	Caribbean Export Development Agency
CPE	Central Project Evaluation
CROSQ	CARICOM Regional Organisation for Standards and Quality
CSO	Civil society organisations
DAC	Development Assistance Committee
EPA	Economic partnership agreements
EU	European Union
FGD	Focus group discussions
FMB	Fach- und Methodenbereich
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit GmbH
ICR	International cooperation with regions for sustainable development
NEW	Supporting Sustainability Aspects in the Implementation of EU-Economic Partnership Agreements (German: Förderung von Nachhaltigkeitsaspekten in der Umsetzung von EU-Wirtschaftspartnerschaftsabkommen)
OECD	Organisation for Economic Co-operation and Development
OACP	Organisation of African, Caribbean and Pacific States
SADC	South African Development Community
ToC	Theory of Change
WTO	World Trade Organization



## The project at a glance

The regions of the Southern African Development Community (SADC) and the Caribbean Forum (CARIFORUM): Supporting sustainability aspects in the implementation of EU economic partnership agreements

Project number	2017.6250.9
Creditor reporting system code(s)	33130 - Regional trade agreements
Project objective	Stakeholders (regional organisations and their member states, civil society and the private sector) implement the EU economic partnership agreements (EPA) in a way that fosters sustainable development.
Project term	May 2017 – April 2020
Project value	EUR 3,500,000
Commissioning party	German Federal Ministry for Economic Cooperation and Development (BMZ)
Lead executing agency	-
Implementing organisations (in the partner country)	-
Other development organisations involved	-
Target group(s)	Representatives from public, private and civil society organisations that are concerned with implementing the economic partnership agreements
Reporting year CPE	2021
Sample year	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 remit of contributing to effective knowledge management. Die Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH structures the planning, implementation and use of evaluations to optimise the contribution that the evaluation process and the evaluation findings make to these basic functions (GIZ, 2018). The evaluation is a final assessment with the project, subject to this evaluation having ended in April 2020. The project was selected randomly following the guidelines for GIZ's CPEs: a 40% random regional stratified sample is selected annually by the GIZ evaluation unit. The project did not build on any predecessor, but a follow-up project started in May 2020 and it is due to end in 2023. A remote evaluation design was followed, considering continued restrictions caused by the global COVID-19 pandemic. Exchanges, interviews and discussions were conducted remotely by two international and two national evaluators between 25 January and 28 February 2021.

## 1.2 Evaluation questions

The project was assessed on the basis of standardised evaluation criteria and questions to ensure comparability by GIZ. This was based on the Organisation for Economic Co-operation and Development (OECD) [Development Assistance Committee \(DAC\) evaluation criteria](#) (updated 2020) for international cooperation and the [evaluation criteria for German bilateral cooperation \(in German\)](#): **relevance, efficiency, effectiveness, impact** and **sustainability**. Aspects regarding **coherence**, complementarity and coordination were included in the OECD/DAC criteria. Specific assessment dimensions and evaluation questions have been derived from this framework. These form the basis for all CPE in GIZ and can be found in the **evaluation matrix** (Annex 1). The contributions to Agenda 2030 and its principles (universality, integrative approach, Leave No One Behind, multistakeholder partnerships) were considered as well as cross-cutting issues such as gender, the environment, conflict sensitivity and human rights. Also, aspects regarding the quality of implementation were included in all OECD/DAC criteria.

The evaluation team adopted an additional theoretical framework for this evaluation: Considering that the project had a strong **capacity building character**, the evaluation team applied the **Kirkpatrick framework** on evaluating training effectiveness. The general framework comprises **four levels of analysis**: reaction to the training (level 1), lessons from the training (level 2), how the training event influenced the participant's behaviour (level 3) and results or impacts of the training (level 4). The evaluation dimensions from this model were adapted to the context and used to assess trainings for the project's key target groups. During the inception mission, the project team and stakeholders were encouraged to voice additional questions

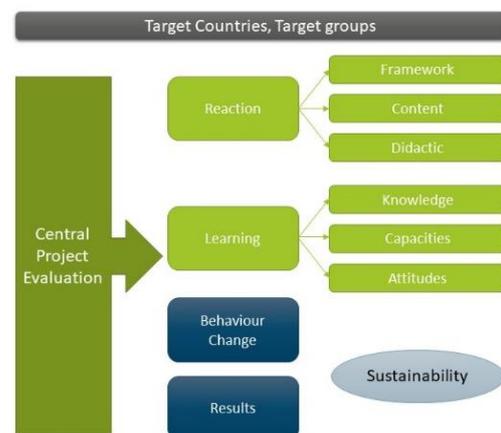


Figure 1: The Kirkpatrick model on training effectiveness (own illustration)

of interest, which further specified and contextualised the standard evaluation questions. Table 1 summarises key knowledge interests of different stakeholder groups and additional evaluation questions.

Table 1: Knowledge interests by main evaluation stakeholder groups

Evaluation stakeholder group	Knowledge interests in evaluation and additional evaluation questions	Relevant section in this report
BMZ	<ul style="list-style-type: none"> <li>• <b>Accountability</b> towards the public (success rate of German development cooperation projects)</li> </ul>	Included in <b>relevance, effectiveness, efficiency, impact, sustainability</b> criteria
GIZ (evaluation unit and in general)	<ul style="list-style-type: none"> <li>• <b>Accountability</b> towards the public (success rate of GIZ projects)</li> <li>• <b>Learning</b> to understand strengths and weaknesses of single projects, potential for replication in other countries and lessons learned in terms of GIZ's reputation in the participating countries</li> <li>• <b>Informing</b> key stakeholders who inquire about GIZ activities around EPA and/or with the SADC and CARIFORUM.</li> </ul>	Included in <b>relevance, effectiveness, efficiency, impact, sustainability</b> criteria
GIZ sectoral department (FMB)	<ul style="list-style-type: none"> <li>• <b>Learning</b> about the design of regional trade integration and in specific, EPA-related projects and additional questions on the relevance of supporting the implementation of agreements for the regions involved and for BMZ</li> </ul>	Included in <b>relevance, effectiveness, efficiency, impact, sustainability</b> criteria
Project team	<ul style="list-style-type: none"> <li>• <b>Learning and improving</b> integration of lessons learned in the follow-up project's upcoming activities</li> <li>• <b>Better understanding</b> on the advantages of the regional approach and the extent to which exchange could be fostered successfully</li> <li>• <b>Evidence</b> on meaningful participation of civil society bodies and creation of awareness of wider EPA impacts.</li> </ul>	Included in <b>relevance, effectiveness, and impact</b> criteria
Key project partners and the international community	<ul style="list-style-type: none"> <li>• <b>Learning</b> when it comes to future cooperation initiatives on aspects related to the EPA</li> <li>• <b>Informing</b> the target group on progress made by the German technical cooperation.</li> </ul>	Relevant section in this report

## 2 Object of the evaluation

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

### 2.1 Definition of the evaluation object

The **object of evaluation** is the selected technical cooperation measure: **supporting sustainability aspects in the implementation of EU economic partnership agreements** (Project number: 2017.6250.9) and henceforth called “the project”.

**Temporal delineation:** The project ran from May 2017 to April 2020.

**Financial delimitation:** The project was financed by the German Ministry of Economic and Development Cooperation (BMZ). The total budget of the project was EUR 3,500,000. It was not amended during the project phase, and there was no cofinancing.

**Geographical delimitation:** The project was part of BMZ’s former priority area that focused on international cooperation with regions for sustainable development. The project focused on the regions of the South African Development Community (SADC), including six member countries (Botswana, Eswatini, Lesotho, Mozambique, Namibia and South Africa) and the Caribbean Forum (CARIFORUM), including 15 member countries (Antigua and Barbuda, Bahamas, Barbados, Belize, Dominica, Dominican Republic, Grenada, Guyana, Haiti, Jamaica, St. Lucia, St. Kitts and Nevis, St. Vincent and Grenadine, Suriname and Trinidad and Tobago).

**Political and sectoral context and the framework conditions:** Economic partnership agreements (EPAs) are trade and development agreements that have been negotiated since 2002 between the EU and the Organisation of African, Caribbean and Pacific States (OACP), engaged in regional economic integration processes. Previously, agreements provided non-reciprocal market access to the EU for African, Caribbean and Pacific region countries (ACP). However, to ensure alignment with World Trade Organization (WTO) rules, new reciprocal trade agreements had to be negotiated. The partnership agreements present the legal foundations for trade relations between ACP states and the EU and explicitly anchor the need for sustainable development. They go beyond purely economic goals: they aim to promote trade between the EU and the regions involved in order to contribute to sustainable development and poverty reduction.

The agreement with the Caribbean (CARIFORUM-EPA) has been applied provisionally since 2008 and the SADC agreement has provisionally applied in six countries (South Africa, Botswana, Lesotho, Namibia and Eswatini) since 10 October 2016, and since 4 February 2018 (Mozambique) respectively. During this provisional application, the need for development policy support for implementing these agreements had been identified. Economic partnership agreements could only have a positive impact on sustainable development if the private sector, governments and administrations of partner countries make use of the opportunities they offer. In other words: accompanying measures and strengthened capacities were needed to exploit the potential developmental impact of the agreements and ensure that negative effects were identified early on and appropriate measures taken. The project focused on supporting SADC and the CARIFORUM. It intended a flexible approach to including further countries from the East African Community and Economic Community of Western African States regions on demand (project proposal, 2017).

**The project’s role within the stakeholder structure:** Given the nature of international cooperation with regions projects, the NEW project was not negotiated at consultations and negotiations. The project did not have direct lead executing agencies as political bearer, but the economic partnership implementation units of the CARIFORUM directorate and the SADC secretariat to some extent fulfilled this role to coordinate project activities. The project interacted with a range of relevant national and supranational institutions in both regions.

At regional level, GIZ staff members were coordinating with respective EU delegations and regularly updating them on the project.

**Levels of intervention:** The project aimed to strengthen capacities of different parties at regional and national level on EPA-related issues. It envisioned support to participatory governance processes, the formation of strong networks between public, private, and civil society stakeholders and cross-regional exchange between regions. For that purpose, three outputs were pursued:

- strengthening the capacity of the public sector, the private sector and civil society with regard to the potential and challenges of participation agreements in their areas of responsibilities,
- facilitating the establishment of a participatory monitoring system, and
- developing cross-regional exchange platforms on EPAs to share lessons learned and innovative approaches to maximise their positive development effects.

**Cross-cutting issues:** Environmental issues and climate change as well as participatory development and good governance were cross-cutting questions considered during the evaluation, while gender received less attention. The selected regions subject to this evaluation (SADC and CARIFORUM) did not count with severe conflicts that influenced the project and its stakeholder landscape.

## 2.2 Results model including hypotheses

The evaluation design of this assessment – especially in regard to the effectiveness and impact criteria – is based on contribution analyses (Mayne, 2012). A project's theory of change is central to contribution analyses for credible causal statements on interventions and their observable results. At GIZ, a theory of change is visualised in results models<sup>1</sup> and complemented by a narrative including corresponding hypotheses. **Fehler! Verweisquelle konnte nicht gefunden werden.** displays the results model of the NEW project. The **project objective** was that stakeholders, regional organisations and their member states, civil society, and the private sector implement EU economic partnership agreements in a way that fosters sustainable development. Three main outputs were pursued to achieve this.

### At output level

**Output A** focused on strengthening the capacities of state bodies, civil society bodies and private sector organisations to enhance their knowledge of the opportunities provided by the economic partnerships and prepare them for possible risks and potential negative effects. Key players should be identified and brought together in a series of trainings, workshops and events. Training activities should be chosen and designed based on needs and close exchange with national and regional partners.

Potential pathways of change toward the outcome have been identified. By enhancing the capacities of key participants, the awareness of the public, private and civil society stakeholders regarding EPA opportunities and risks should presumably be enhanced (A1). In addition, improved knowledge of the potentials and risks of the EPAs enable civil society organisations and the private sector to build a position and communicate their concerns and priorities (A2) and exploit EPA opportunities, realise business opportunities and increase exports (A5). Some of the events aimed to create business-to-business opportunities for taking advantage of the openings created by the economic partnerships. Improved capacity in the public sector should also contribute to increased trade policy range for regional organisations and their member states in relation to EPAs, which would include trade remedies and flexibility (A9).

These hypotheses were subject to certain risks and assumptions. For example, a risk common to capacity building measures is that there is either a shortage of staff or high turnover in the respective organisations. In

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<sup>1</sup> A results model is a graphical representation of the project. It describes the logical connection and interrelationship of results and how they contribute to the overall objective. A results model defines all possible results within the project, change hypotheses including multidimensional causalities, system boundaries, assumptions and risks and external factors of the project.

addition, the project initially faced a potential challenge to identify target organisations for cooperative or supportive relationships because it had not been clear at first if they had already existed or had been functioning in all member states.

**Output B** stated that the foundations for setting up a participatory EPA monitoring system had been created. The two regions here had different starting points. In the SADC region, no previous activities on setting up a monitoring system had started; in the CARIFORUM region the project could build on existing studies that provided a sound foundation for further developing the monitoring system. Accordingly, the core activities for each region comprised inception workshops, stakeholder consultations, meetings of senior officials and validation workshops. It was anticipated that a participatory approach could feed in concerns and priorities expressed by civil society and the private sector into the process of creating the foundations for participatory EPA monitoring systems (B1). The knowledge gathered in this process should help stakeholders to contribute informed positions in political discussions (B2). Given that participatory development included exchange between countries and regions, stakeholders could use their learning experiences derived from cross-regional exchange through EPA monitoring systems while creating the foundations for those systems at regional level (B3). Eventually, a common understanding of the EPA monitoring system that considered the position of civil society and the private sector could lead to an agreement encompassing the sustainability dimension of the partnership agreements (B8). These hypotheses were limited by the risk of decreased interest in implementation and monitoring after an EPA was provisionally applied; this could be due to gradual implementation (long liberalisation schedules, limited administrative capacity) and associated limited effects on trade. Moreover, in countries that have not much trade with the EU, priorities might focus on other issues.

**Output C** stated that stakeholders (regional organisations and their member states, civil society, private sector) make greater use of cross-regional exchange platforms that deal with EPA-related issues. Activities included cross-regional events such as a civil society awareness raising workshop on the SADC-EPA, which included civil society speakers from the CARIFORUM EPA region or a working brunch between business support organisations from the EPA member states of SADC and CARIFORUM at the relevant business forum. It was assumed that these exchanges benefited EPA states with knowledge transfer on partnership provisions and implementation strategies between the regions (C1). An increased awareness of implementation experiences would then enable stakeholders to incorporate the knowledge into their daily work (C2).

For the contribution analysis from output to outcome level, three hypotheses were chosen with each corresponding to one output area:

- **Hypothesis output A/A9:** If state bodies have participated in workshops and events on the potential and risk of the economic partnership agreement for sustainable development, capacities regarding its trade policy (safeguards, "early warning") have increased.
- **Hypothesis B7/output B-B1:** If the position of civil society and private sector organisations on a participatory EPA monitoring system is integrated by regional bodies and their member states, different parties regularly communicate their concerns and priorities in respective bodies and committees.
- **Hypothesis output C/C1-C2:** If stakeholders (regional bodies and their member states, civil society, private sector) make greater use of supraregional exchange platforms that deal with EPA-related issues, they are aware of EPA implementation experiences in other regions and learn from these experiences.

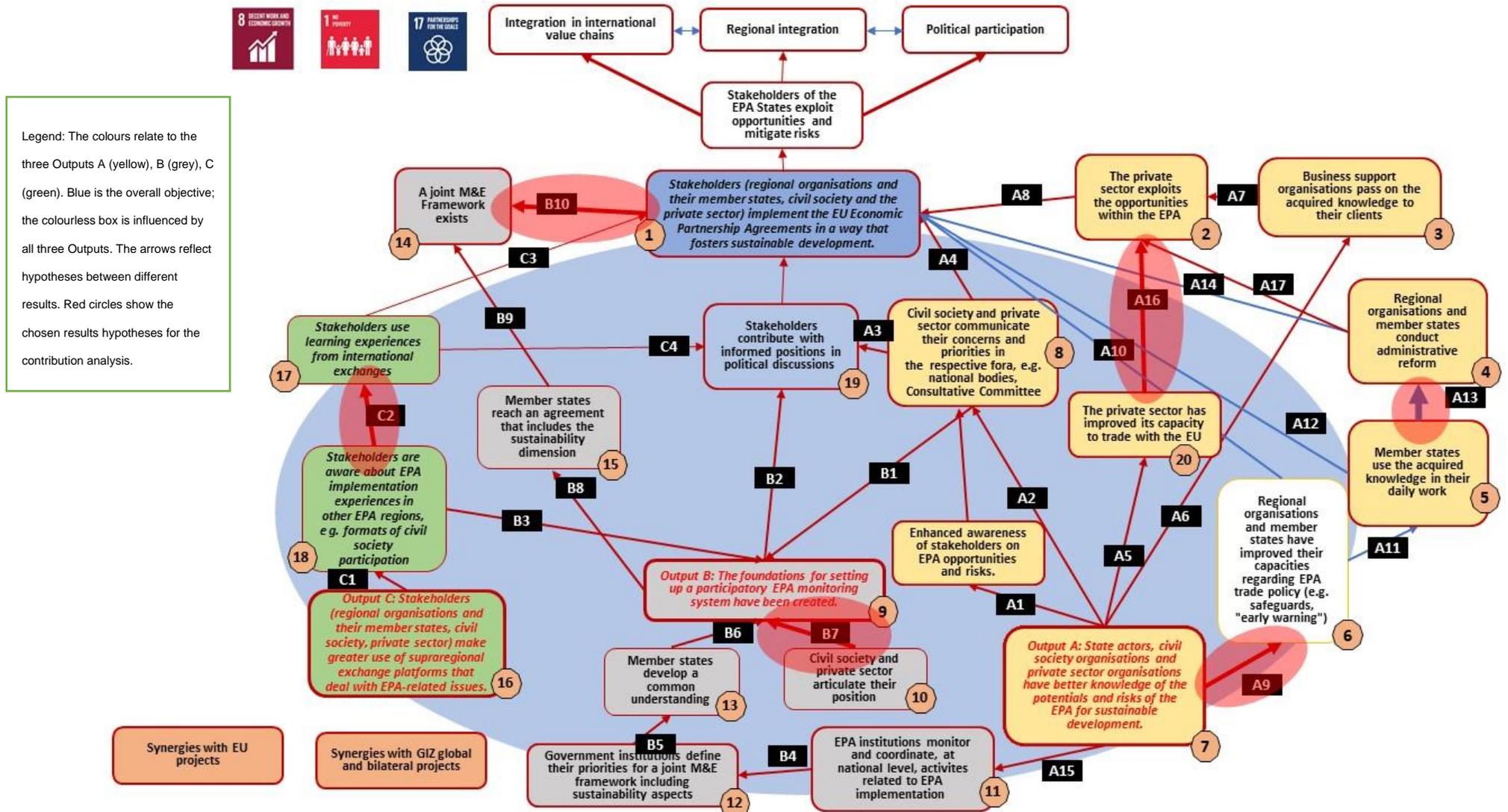
**At outcome/impact level:** The above outputs within the system boundary, in theory, should contribute to the project objective: **Stakeholders (regional organisations and their member states, civil society and the private sector) implement the EU economic partnership agreements in a way that fosters sustainable development.** The system boundary was defined based on the project's scope of control of the project – results outside the system boundary were beyond the exclusive responsibility of the project and it is indeed affected by other factors, stakeholders and interventions. By definition, the project objective should be formulated in a way to lie within the system boundary, making it achievable for the project. In this specific case, however, the project objective was placed at the system boundary because formulation of the objective hinted at clear links to higher impact level results. The sustainable implementation of the EPA could, indeed, be

affected by many other external factors (political conditions, willingness, changes in the trade environment). Further results hypotheses identified at mid-outcome level comprised the following: increased EPA trade policy capacities enabled regional organisations and member states to incorporate the acquired knowledge into their work (A11). This would then presumably result in administrative reforms and trade remedies (A13). The conduct of administrative reforms should contribute to sustainable implementation of the agreement as stated in the project objective (A14). Improved private sector capacity to trade with the EU and administrative reforms would support and enable the private sector to take advantage of opportunities under the EPA (A16, A17). Efforts under output B presumably led to implementing a joint monitoring and evaluation framework (B9). Similarly, the use of learning experiences from international exchanges should also bolster the positive development impact of the agreements (C3).

For the contribution analysis from outcome to impact level, three hypotheses were chosen:

- **Hypothesis B10:** If the project objective is achieved, and stakeholders implement the EU economic partnership agreements in a way that fosters sustainable development, the regions are counted with a joint and living monitoring and evaluation framework.
- **Hypothesis A16:** Improved capacities of the private sector to trade with the EU enables it to utilize trade opportunities under the EPA.
- **Hypothesis A13:** The use of the acquired knowledge on EPA trade remedies results in the conduct of administrative and legislative trade remedy reform.

Figure 2: Current results model (March 2021) adapted during evaluation



# 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

The project provided the evaluation team with a series of documents that formed an important data source for this evaluation. Project documents included the project offer and planning documents such as its results matrix, as well as project progress reports, contexts, political and gender analyses and the project's capacity development strategy. A version of the project's results model was shared as well and adapted during the inception mission. The operational plan provided insights to implementation activities. All relevant project documents were made available and could be used during the evaluation mission. A complete list of documents and sources can be found in the List of References at the end of this report.

### Monitoring and baseline data including partner data

**Project's monitoring system:** The team monitored progress made on indicators through two key documents. First, it used a well-elaborated excel-based monitoring plan that was centrally steered and managed by GIZ staff members. All categories necessary for a results-based management system were filled and up to date: baseline values, yearly status update, sources for verification, time and frequency of data collection and person in charge. Second, the project compiled documents for each output/outcome and corresponding indicators to describe advances made. Both types of monitoring and evaluation documents were updated during the inception mission and sent to the evaluation team. Further data regularly collected in surveys was also provided. Data on indicator progress was gathered through established surveys or regional coordinators and partners working on a certain activity. At headquarter level, survey data was analysed and key findings summarised in a short report. The project team did not apply the KOMPASS procedure – a collection of additional qualitative data to identify unintended results and support course corrections. However, it did integrate questions of interest in surveys for feedback on event formats and early results of their activities, and implemented internal team sessions to reflect on activities. The existing monitoring data described above was considered a valuable source of information and the evaluation team could make use of the project's monitoring data to some extent. A hampering factor was that the data was not always collected and analysed in a structured way, leading to many different results formats or even redundancies that decreased user-friendliness for the monitoring. The evaluation team made sure it did not collect data that already existed, and thus decided against additional quantitative data collection to mitigate any risk of survey fatigue.

**Baseline information:** Based on the feedback received by the project, no external baseline study had been conducted before the project started. The evaluation team implemented recall questions with the different partner institutions to establish before and after comparisons to understand the project's contribution.

## Secondary data

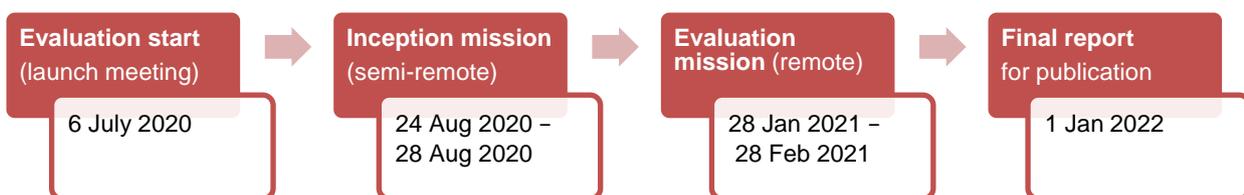
To complement primary data and the project's monitoring data, secondary data sources were reviewed for consideration. The evaluation team made use of studies and reports that were made available by the European Commission. In addition, the project gathered a range of studies and other resources that emerged during the project phase to understand changes within the environment and stakeholder perceptions. Those reports were an important source of information for understanding results at the outcome level. Considering the high level of confidentiality when it comes to issues at the political level related to trade and the agreements, partner data could not be used. During the inception mission, the project team requested post-evaluation reports from partners to measure the change in attitudes and behaviour. However, the team found the quality of this data insufficient for use. Other agencies did not make monitoring data available to the team. There was no data at national level that was used by the project or could have been used by the evaluation team.

## 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
- semi-remote evaluation.

Figure 3: Milestones of the evaluation process



### Involvement of stakeholders

The involvement of various stakeholders in the evaluation is central to the CPEs. It strongly determines the success of the evaluation and acceptance of the evaluation findings and recommendations. During the inception mission the evaluation team initiated an activity with key project team members to map crucial stakeholders of the project and discuss their involvement in the evaluation.

**Key informant interviews** were conducted with project stakeholders. Considering the political and high-level nature of the project, focus group discussions only appeared adequate in very exceptional cases (for example, with the project team). Discussions with the project team also revealed – considering that numerous surveys were set as part of the project's monitoring – that an additional online survey should not be undertaken in view of potential survey fatigue.

Discussions with the project team indicated that the main results, summarised in a seven-page document, would be shared with partners and other stakeholders after the evaluation. Given the close involvement of the EU representative in project activities, it could be ensured that findings will be integrated into designing future project activities linked to EU programmes.

## Selection of interviewees

During interviews with team members in the inception phase, major institutional participants were analysed and key criteria for selecting interviewees within the project framework identified:

- virtual accessibility (telephone and/or internet),
- representativeness of project partners (direct, complementary),
- representativeness of key target groups (at public, private and civil society level), and
- representation of final beneficiaries through intermediary organisations (non-governmental organisations and universities).

Further stakeholders were identified and included according to the following the **snowball principle**.

**Snowball sampling** is a non-probability (non-random) sampling method, in which primary data sources nominate another potential primary data source to be used in the research. Therefore, members of the sample group are recruited through chain referral. The sample group is said to grow like a rolling snowball. For the given project, this method was important given that the stakeholder landscape was quite vast and dynamic. A few additional informants, especially at regional level in Barbados and Botswana, were identified during the evaluation process.

Overall, **32 people** were interviewed, including **6 members of the project team, 8 direct project partner representatives and 15 project stakeholders** (see Fehler! Verweisquelle konnte nicht gefunden werden.).

Table 2: List of evaluation stakeholders and selected participants

Organisation/company/ target group	Overall number of people 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 (m=2, f=2)	4			
BMZ, EU					
<b>GIZ</b>	6 (m=1, f=5)	6			
GIZ project team staff, GIZ headquarters Germany, GIZ project management					
<b>Partner organisations (direct target group)</b>	8 (m=4, F=4)	8			
Ministry of International Trade and Investment (Botswana), Ministry of International Trade and Investment and EPA Unit (Botswana), Ministry of International Trade and Investment and Former EPA Unit (Botswana), Ministry of Foreign Affairs and Foreign Trade (Barbados), Barbados Coalition of Services, CARIFORUM Directorate – EPA Unit					
<b>Other stakeholders (public bodies, other development projects)</b>	10 (m=6, f=4)	10			
CARICOM Regional Organisation for Standards and Quality, Caribbean Policy Development Center, CF Directorate Consultant, Cooperation for Enhancement of SADC Regional Economic Integration, Imani Development, Tralac, Euromonitor International					
<b>Civil society and private sector participants</b>	4 (m=2, f=2)	4			

Organisation/company/ target group	Overall number of people involved in evaluation (including gender disaggregation)	No. of interview participants	No. of focus group participants	No. of workshop participants	No. of survey participants
Caribbean Export Development Agency, Caribbean Export – Caribbean Association of Investment Promotion Agencies, Lateinamerika Verein, Import Promotion Desk					
<b>Universities and think tanks</b>	-				
<b>Final beneficiaries/indirect target groups (sum)</b>	1	1			
Ministry of Agriculture and Food Security (Botswana)					
Note: f = female; m = male					

### Data analysis process

The evaluation team coherently followed data triangulation – using two or more methods to verify findings and results, and boost the credibility and validity of the findings. For efficient data management and analysis, the team compiled all qualitative findings from the documents and interview transcripts by employing qualitative data analysis software (MaxQDA®). To analyse different data sources, a system of categorising questions according to the evaluation matrix was developed. Therefore the information from several data sources regarding a certain assessment dimension could be retrieved and contrasted, and the findings summarised. Preliminary findings were then discussed with the project management during validation interviews.

### Roles of international and local evaluators

The Mainlevel evaluation team consisted of two international evaluators, and two local evaluators in the CARIFORUM and SADC regions. The two local consultants were based in Botswana and Barbados, in which the respective economic partnership agreement unit and main stakeholders of each region were located. The international evaluators oversaw the evaluation design, including data collection tools. They acted as the focal point for GIZ and the project team, and held responsibility for implementing the inception and evaluation mission. The local evaluators contributed with technical, sectoral and local expertise; they coordinated the interview schedule and conducted remote interviews in the regions. They also conducted a document review of national legislation documents, policies and frameworks for the CARIFORUM and SADC regions. A quality infrastructure designed for the evaluation mission strengthened cooperation and quality assurance based on a close exchange between the appointed experts. The lead international consultant performed data quality control.

### Remote and semi-remote evaluation

The COVID-19 pandemic affected the way the team routinely performed evaluation work procedures in the past. Considering that international travel restrictions and quarantine obligations remained and gathering within the CARIFORUM and SADC region was impeded by recurring lockdown regulations, the evaluation team had to conduct a fully remote evaluation. All interviews were conducted virtually with MS Teams or Zoom or by phone. Additional efforts were made with analysing more monitoring and secondary data to complement the qualitative data collection. While the process went smoothly and relevant data could be gathered, remote data collection has always been a challenge in relation to open discussion with interview partners and focus group participants, especially in the given setting where data confidentiality on policy development has played a

crucial role. Furthermore, not being on site made it more difficult to read between the lines of the interviews and pose follow-up questions that would foster in-depth understanding of critical aspects.

## 4 Assessment according to OECD/DAC criteria

### 4.1 Impact and sustainability of predecessor projects

The project did not build on any predecessor project. Therefore, the evaluation does not report this assessment criteria.

### 4.2 Relevance

This section analyses and assesses the relevance of the evaluation object.

#### Summarising assessment and rating of relevance

Table 3: Rating of OECD/DAC criterion – relevance

Criterion	Assessment dimension	Score and rating
Relevance	Alignment with policies and priorities	25 out of 30 points
	Alignment with the needs and capacities of the beneficiaries and stakeholders	25 out of 30 points
	Appropriateness of the design*	15 out of 20 points
	Adaptability – response to change	17 out of 20 points
<b>Relevance total score and rating</b>		Score: <b>82 out of 100 points</b> Rating: <b>successful</b>

The analysis of the relevance criterion showed that the project aligned with relevant strategies of the EU, BMZ and the two regions that support the sustainable implementation of agreements to enhance trade relations. It appeared, however, that the concrete implementation of the EPA was not yet prominently anchored in strategies of the SADC and CARIFORUM states – despite the fact that they have been negotiated, signed and in provisional application.

According to the interviewed stakeholders, in the SADC region the inclusion of only six members in the SADC-EU partnership agreements to some extent conflicts with SADC's strategies to promote regional integration between all SADC members. Considering these challenges, the project's contribution to raise awareness about EPA-related risks and opportunities was found to be important. In light of the general debate on the developmental effects of the agreements, the project's activities indeed corresponded to the needs of the identified target groups. The project team's participatory approach was necessary to identify entry points, gaps and requirements. While some activities were based on necessary compliance to the EPA commitments, support measures for private sector organisations focused on export facilitation and core issues that impeded entry into the European market. In both regions, the project proactively supported new business relations and market linkages.

The project design posed some challenges to the implementation team due to its approach to international cooperation with regions, which covered three participant groups from two different regions and fostered exchanged within and between regions. With the given resources it was challenging to cater to the different participants within and across the regions, and build up relationships that allowed discussions on a topic as politically sensitive as the EPAs. Within the given constraints, single output areas were nevertheless well-designed and the regional approach, encouraged by the international cooperation with regions for sustainable development financing, was implemented appropriately.

The project had also been affected by the COVID-19 pandemic, which led to delays in implementing project activities, the need to adjust intervention designs (from on-site to digital), and hampered working capacities within the project team as well as with partners. This had delayed planned training for several months – though the virtual format yielded unexpected benefits with increased outreach. Lastly, the project was initially hindered by missing definitions of its values proposition and formal procedures – which was overcome.

**In total, the relevance of the project was rated level 3: moderately successful with 74 out of 100 points.**

### Analysis and assessment of relevance

The relevance criterion covers the following dimensions:

- alignment of the project design with relevant policies, priorities and strategic frameworks,
- extent to which the project design matches the needs of the target groups,
- relevance of the project design and results logic, and
- adaptability of the project's design and activities to changes in the framework conditions.

The relevance criterion was mainly assessed by analysing secondary project data. Additional strategic documents and data from stakeholders were also considered. The process followed the analytical questions from the evaluation matrix (see annex 1).

#### Relevance dimension 1: alignment with policies and priorities

The first dimension of the relevance criterion aimed to analyse whether the anticipated results of the project (according to the defined results model) were in line with relevant strategic reference frameworks – at national and international level and relevant strategies of German development cooperation published by BMZ.

**At EU level**, the Aid for Trade Strategy (2007) has been the guiding strategic framework for "better responding to the complex challenges of today and increase the impact of our actions – to reduce poverty, boost sustainable economic growth and most importantly to ensure that it leaves no one behind" (European Commission, 2017). The EU and its member states have been the biggest provider of Aid for Trade. The NEW project has been highly aligned with the objectives set in the strategy and the only bilateral project that has actively supported the implementation of the agreements (Int\_3). Germany's strategic approach is documented in the **German Strategy for Aid for**



Figure 4: Project contribution to the Sustainable Development Goals

**Trade (BMZ, 2017)** that aimed to create "a pro-poor, equitable, inclusive and sustainable design of global trade based on human rights". The project was thoroughly aligned with strategies at EU and BMZ level and actively supported their implementation (Int\_3,4 with GIZ).

The project design further aligned with the **objectives of the 2030 Agenda**. International trade – and thus also the EPAs – could also be an important lever for sustainable development and poverty reduction (SDG 1). Trade has been a key implementation mechanism of the SDGs. In order to achieve the goal of an open and fair trading system (SDG 17.10) and enable a significant increase in exports from developing countries (SDG

17.11) under fair production conditions (SDG 8.8), efforts are needed to foster the cooperate on better trade relations with developing countries.

**At regional level**, the EPAs have been adopted by the partners and remain a central element of their real-life policies. The project's relevance comes from the fact that the agreements could have detrimental effects if the countries do not know how to analyse and mitigate risks and use the opportunities.

**In the SADC region**, the project concept supported and aligned with the SADC Trade Development and Trade Promotion Framework. This framework was perceived as a holistic initiative that built on and complemented existing SADC programmes, strategies and frameworks (Int\_4 with GIZ). In addition, the SADC trade promotion framework cut across national boundaries as it sought to substantially increase benefits to member states, especially from a strong trade-led growth strategy. Also, it provided the basis for a coordinated regional platform for potential intervention, concrete market development, trade and promotion development tools and services and assistance to regional economic interests. Furthermore, the action plan for the SADC industrialisation strategy and roadmap stressed the need for a functional free trade. While emphasis was put on further promoting regional integration, the SADC-EU economic partnership agreement was not explicitly mentioned in the strategy. Instead, SADC called to move development perspectives from a national to regional focus.

To some extent, this represented a conflicting situation that partner countries had to deal with. The SADC Treaty has sixteen member countries, while the SADC-EPA agreement only includes six members – Botswana, Lesotho, Mozambique, Namibia, South Africa and Swaziland. At operational level, this posed a problem when dealing with the SADC secretariat (Int\_2 with GIZ, Int\_3,4 with partner organisations). One interviewee observed that “whenever issues with SADC-EPA were placed, they were ‘shot down’, as the priority for EPA was low on the SADC Treaty agenda” (Int\_3 with partner organisations).

**In the CARIFORUM region**, negotiations started already in 2004 and in 2008 the agreement achieved provisional application. According to the Caribbean Export Development Agency (CEDA) Strategic Plan 2015 – 2019 (CEDA, 2015), it remained the region's goal to enhance export opportunities. CEDA has provided support to businesses to seize market opportunities from the CARIFORUM-EU economic partnerships and support the implementation of the EPA commitments. At the same time, there are other export markets that have great importance to the region (European Commission, 2020). Another relevant reference is Article 52 of the Industrial Policy and Article 80 on the Coordination of External Trade Policy in the CARICOM Revised Treaty of Chaguaramas (2001). Furthermore, EPA execution actually supported CARICOM implementation in some cases. The CARICOM Treaty, as a trade agreement itself, had specific sections covering the same or similar disciplines as the EPA – such as intellectual property, trade in goods, trade in services and the right of establishment. The CARICOM Regional Strategy for the Development of Statistics (2018) stressed the importance of “harmonized statistical information to plan, monitor and evaluate the development of the region” in regard to enhancing evidence on potentials and risks of EPA implementation, one focus area of the project.

Relevance dimension 1 – alignment with policies and priorities – scored **25 out of 30 points**.

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

The project's main target groups needed to be considered when analysing needs and potential benefits of a programme. These included **representatives from public, private and civil society organisations in the respective regions** concerned with EPA implementation or aiming to serve the European market and monitor the trade agreement to identify potential positive or negative effects. Participants came from 15 countries in the Caribbean and six southern African countries – both as national and regional parties. Direct project beneficiaries included private companies that would benefit from new market opportunities and subsequent increased exports and better jobs. Final but indirect beneficiaries of the project came from civil society organisations in the respective regions; these could enjoy gains from sustainable development induced by free and intensified trade between the EU and their countries.

The approach of the project – international cooperation with regions for sustainable development – aimed to educate those involved about the promises and risks of the EPA. It would strive to strengthen the competencies of these participants, setting up EPA-specific management and evaluation frameworks and fostering systematic exchange in and between the regions.

**In the SADC region**, the lack of capacity for understanding risks and opportunities of the EPA and the need for a political dialogue on it was confirmed by different stakeholder groups, and capacity building was perceived as highly relevant (Int\_1,3 with partner organisations) However, structural problems emerged that posed several challenges at target group level. It appeared that the EU and the six SADC-EPA members did not understand the agreement from a common position. According to stakeholders, the states felt pushed 'on things not agreed to' (Int\_3 with other stakeholders). Some of the countries felt sensitive towards the 'conditionality of good governance' and were not comfortable with variables like sustainable development, human rights and labour-related issues (Int\_5 with partner organisations).

Interview partners noted that 'it took long to negotiate the agreement, hence everyone was developing "fatigue", with member states not feeling connected or committed' (Int\_ with partner organisations). Recognising this barrier, the GIZ project appeared as a more neutral party 'bridging the gap' between EU and SADC-EPA members through the use of commercial diplomacy, effective communication and closing the 'capacity gap' (Int\_3 with other stakeholders).

For private sector companies, the urgent need for improved capacities was emphasised by different stakeholders: "Local producers are not producing enough products to export, rather look at the domestic market and need capacity building to comply with standards of external markets" (Int\_1 with final beneficiary). The private sector has been involved at various stages of the agreement and its implementation, albeit with mixed success. Private sector representatives found the conditions set for producing for export 'prohibitive' and costly (Int\_1 with final beneficiary). The scale of production was 'inhibitive' for penetrating the export-led EU market, given the questionable quality and quantities they offer (Int\_1 with partner organisations). Companies were not yet in a position to satisfy the market, as the supply has been inconsistent and erratic (Int\_5 with partner organisations). Most local companies have not yet had any desire to expand their production.

Therefore, a demand by the private sector for capacity building on EPA-related issues and export promotion could be confirmed in this evaluation. In relation to the EPA, SADC and the EU made commitments to monitoring and evaluation. The project's proactive engagement thus played a very important part towards complying with the set objectives. The process towards developing the monitoring and evaluation framework for scrutinising all aspects of the EPA agreement aimed to be participatory, and the project acknowledged the prevalence of low participation in the EPA process by civil society and the private sector. In the SADC region, however, it appeared that civil society organisations had a minor interest in trade and were less proactive in developing such frameworks. Involving them in monitoring framework development was often seen as 'a Eurocentric approach, rather than an Africanised one' (Int\_4 with partner organisations).

**In the CARIFORUM region**, initially the role of GIZ support was not clear to the partners and resulted in uncertainty on how to engage (Int\_1 with GIZ). At the beginning, GIZ was mainly working with the Caribbean Export Development Agency (CEDA) and the CARIFORUM directorate. In the first months, GIZ assessed the complementarity of existing programmes that were in line with the project's objectives. Specific activities were generally considered by interviewees to be geared towards the core problems and needs of target groups, and thus perceived as very relevant (Int\_1 with GIZ, Int\_8 with other stakeholder, Int\_1,2 with GIZ, Int\_6,7 with partner organisations, Int\_2 with civil society organisations and private). High stakeholder engagement in shaping the interventions was a crucial factor (Int\_1 with GIZ, Int\_8 with other stakeholder, Int\_1,2 with GIZ, INT\_6,7 with partner organisations, Int\_2 with civil society organisations and private). However, one partner reported that the objectives of GIZ project interventions sometimes appeared to be set before partner engagement took place, with limited flexibility (Int\_1 with civil society organisations and private). The activities engaging the private sector, especially the EU CARIFORUM Business Forum, strongly supported the actual facilitation of new business opportunities to make better use of the EPA. In regard to the monitoring and

evaluation framework, the EU and CARIFORUM had already initiated this process years before the NEW project but could not come to common agreements. As with SADC, the project's proactiveness in taking up this process was very relevant to compliance with EPA commitments.

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

### Relevance dimension 3: appropriateness of the design

The project design was discussed with several stakeholder groups and assessed as coherent and relevant. However, it was also seen as very broad because it covered three different participant groups and two regions and targeted changes within the region and across regions (Int\_3,4 with GIZ). It was found cumbersome that some of the indicators were broadly formulated as well, often capturing the three different groups in one indicator. According to the stakeholders in the discussion, the target values for some indicators were put too low. But according to the project team, many areas constituted a “black box”, which resulted in difficulties when establishing indicator values.

The output areas, however, sufficiently led to achieving the project’s objective and allowed a straight-forward design of activities:

- **Output A** had a capacity building focus and entailed training and workshops for the three different target groups in each region. According to the evaluation team, the output’s contribution to the overall project objective appeared plausible.
- **Output B** focused on establishing a monitoring and evaluation framework, which represented a key focus area of the EU agreement’s implementation. The activities initiated under this output area – an inception workshop, technical assistance by consultants and further consolidation workshops – were well designed to achieve the output. At the same time, establishing a monitoring framework represented a specialised area and the way the project prioritised the framework for successfully implementing the EPA was driven more by politics than demand.
- **Output C** captured the project’s regional set-up and it was obligatory given the its nature as an international cooperation with regions initiative. The cross-regional design caused some confusion for project stakeholders because the output’s contribution to the project objective was not always understood. The evaluation team positively noted that activities of this output area were designed well by the project team and contributed to other outputs as well as achieving output C. Some challenges occurred because the two regions had started at very different levels and SADC could not yet share major milestones with the CARIFORUM region. According to the project team, the regional exchange would have been more relevant at a later stage for even more effective promotion of South-South learning (Int\_1 with GIZ).

The evaluation team identified room for improvement in how the system boundary was formulated. It was not set realistically given that the project objective extended outside of project control due to its broad formulation.

Relevance dimension 3 – appropriateness of the design – scored **15 out of 20 points**.

### Relevance dimension 4: adaptability and response to change

No major changes occurred at the political level during the project timeline. As with many projects, the COVID-19 pandemic led to severe insecurities and uncertainties. It affected training and capacity building as it shifted from direct to virtual. This severely limited capacities on all sides, and ruled out essential personal interaction in some highly politicised processes. Regional organisations especially were in crisis mode for months. Delays occurred and training benefits such as the growth of personal contacts were lost in the process (Int\_4 with other stakeholder, Int\_1,2 with GIZ, INT\_6 with partner organisations, Int\_1 with civil service organisations and private).

However, positive factors could also be identified. In CARIFORUM, the use of digital solutions contributed to creating broader awareness creation of the monitoring and evaluation framework. Furthermore, it enabled better content creation and accessibility to discussions in live and recorded formats on subjects of commercial relevance to CARIFORUM members (Int\_1 with GIZ, Int\_8 with other stakeholder, Int\_2,6 with partner organisations, Int\_1 with civil society organisations and private). In some cases more than 400 people participated (Int\_7 with partner organisations, Int\_2 with civil society organisations and private).

**In the SADC region** some delays in communication occurred due to the difficulties in prioritising tasks within the SADC secretariat, which would have allowed alignment with the six SADC-EPA members: ‘Crucial time was lost in this process, and activities often postponed, just because communication processes on the same were not fruitful’ (Int\_2 with GIZ). However, the project team eventually found efficient ways to facilitate activities. The presence of a national staff member in Botswana provided core support for implementing activities.

**In the CARIFORUM region**, some respondents noted that project implementation was initially hindered by a lack of definition of the NEW project's value proposition and formalities in relation to operational procedures for partnerships with stakeholders (Int\_1,2 with GIZ). However, the project responded appropriately and refined the collaboration over time. Stakeholders reported increased use of written grant agreements and memoranda of understanding incorporating clearly set-out terms and scope of funding and technical cooperation with partners.

Considering the structural and contextual challenges, generally the project team reacted well to changes in the environment and adapted its implementation mode according to requests from the partners’ and their way of working.

Relevance dimension 4 – adaptability and response to change – scored **17 out of 20 points**.

Photo 1: Dried ximenia fruits on the export promotion mission to Northern Namibia 2018 © Maria Krause



## 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>	EU Aid for Trade Strategy German Strategy for Aid for Trade SADC Trade Development and Trade Promotion Framework and national strategies Caribbean Export Development Agency Strategic Plan	<b>Evaluation design:</b> Analysis follows the analytical questions from evaluation matrix. <b>Empirical methods:</b> Semi-structured interviews with BMZ representative; qualitative and quantitative content analysis of key documents.	
<b>Alignment with the needs and capacities of the beneficiaries and stakeholders</b>	<b>Direct target group:</b> <ul style="list-style-type: none"> <li>Public stakeholders from regional organisations</li> <li>Civil society organisations and private sector representatives</li> </ul>	<b>Evaluation design:</b> Analysis follows the questions from the evaluation matrix. <b>Empirical methods:</b> Semi-structured interviews with target group; content analysis of project documents and interviews.	Sample of target group representatives in interviews is small due to the remote set up. Civil society representatives in SADC could not be reached.
<b>Appropriateness of the design*</b>	Updated results model	<b>Evaluation design:</b> Analysis follows the questions from the evaluation matrix. <b>Empirical methods:</b> Semi-structured interviews with project partners and stakeholders.	No limitations identified.
<b>Adaptability – response to change</b>	Project progress reports	<b>Evaluation design:</b> Analysis follows the questions from the evaluation matrix. <b>Empirical methods:</b> Key informant interviews with project team and partners. <b>Deductive approach:</b> Verification of identified changes and adaptations. <b>Inductive approach:</b> Open questions to detect additional changes and necessary adaptations.	No limitations identified.

\* 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 (such as methodological approach, capacity development strategy, results hypotheses).

## 4.3 Coherence

This evaluation was carried out before the introduction of the new criterion of coherence. The criterion has therefore not been applied in this evaluation.

## 4.4 Effectiveness

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

### Summarising assessment and rating of effectiveness

Table 4. Rating of OECD/DAC criterion – effectiveness

Criterion	Assessment dimension	Score and rating
<b>Effectiveness</b>	Achievement of the (intended) objectives	35 out of 40 points
	Contribution to achievement of objectives	20 out of 30 points
	Quality of implementation	n/a <sup>2</sup>
	Unintended results	27 out of 30 points
<b>Overall score and rating</b>		Score: <b>82 out of 100 points</b> Rating: <b>successful</b>

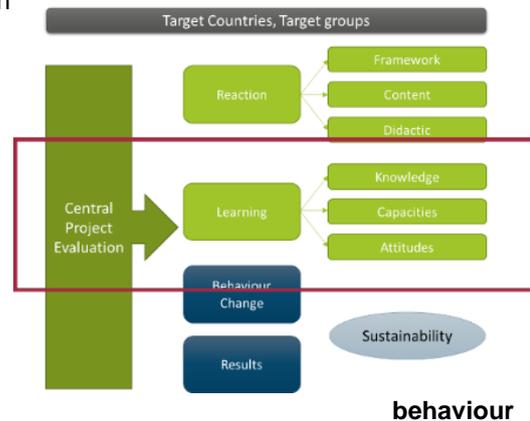
The evaluation team found that the project indicators were fully achieved by the end of the project. One limitation was that MOI 3 could not be quantitatively assessed, but only through stakeholder interviews. The project implementation was target-oriented and guided by the indicators. Contribution analyses allowed for more detailed examination on causal links between selected outputs and outcomes. The training conducted in both regions helped to bridge gaps in understanding regarding the EPA between the EU and respective regional member organisations. A participatory approach involved as many member state representatives as feasible and additional stakeholders in conceptualising a monitoring and evaluation framework that considered different perspectives. This participatory approach supported acceptance of the framework. However, the approach to integrating civil society bodies was limited in both regions. The intended cross-regional exchange also caused some confusion in the beginning. Both regions were at different implementation stages so this created challenges for conceptualising exchange events. However, the project team found appropriate ways to apply the foreseen cross-regional perspective into its implementation. Some other very positive project results included the establishment of partner networks between German, European and CARIFORUM/SADC business and intermediary organisations for supporting and strengthening trade relations.

**In total, the effectiveness of the project was rated level 2: successful with 82 out of 100 points.**

<sup>2</sup> This evaluation was carried out before the introduction of the new assessment dimension 'quality of implementation'. This assessment dimension has therefore not been applied in this evaluation. The content was part of the other assessment dimensions in effectiveness.

## Analysis and assessment of effectiveness

Corroborated under the **effectiveness** criterion, the evaluation aimed to analyse the extent to which the project achieved its desired objectives, measured by the module objective indicators (assessment dimension 1) and the degree selected activities and instruments have contributed to outputs and eventually to the project objective (assessment dimension 2). The latter is mainly based on a contribution analysis, where three key causal relations were selected for in-depth scrutiny. Eventually, the assessment of effectiveness also covered unintended results (a dimension 3). In regard to the theoretical framework for training effectiveness, the second and third level (**learning** and **change**) of the Kirkpatrick model was considered mainly under the effectiveness criteria. For assessing the effectiveness criterion, both qualitative data (stakeholder interviews) and quantitative data (project's monitoring data) was analysed and triangulated – and contribution stories derived.



### Effectiveness dimension 1: achievement of the (intended) objectives

The **project's objective** was that stakeholder (regional organisations and their member states, civil society and the private sector) implement the EU economic partnership agreements in a way that fosters sustainable development. It was put into operation through three indicators at outcome level. The evaluation team conducted a remote workshop with the GIZ project team, where they jointly reflected on the project indicators. While most indicators fulfil the SMART principles, some challenges were revealed: certain indicators did not fulfil those principles, especially when the 'S' (specific) was not always given. Accordingly, necessary explanations and definitions were provided during the inception mission. Module objective indicator 3 could only partially be assessed by the project and also relied on ex-post evaluations conducted by partners, which did not meet the expected quality standards.. To actually draw conclusions on the indicator achievement, monitoring data was complemented by stakeholder perceptions gained during interviews.

**MOI1:** Thirty contributions by relevant stakeholders (21 regional organisations and their member states, 4 from civil society and 5 from the private sector) to monitoring the EPAs with reference to the three pillars of sustainability were introduced in the relevant institutions (such as Joint Council, Trade and Development Committee, Advisory Council) in two regions.

To assess this indicator, the evaluation team had to further define the indicator with the project team during the inception mission. A contribution was defined as active participation by member states in meetings for elaborating the monitoring framework, accompanied by written comments that they handed in before the meeting. According to project management, at the beginning it was very difficult to assess how participation by the many member states and respective sub-organisations – including those from the private sector and civil society – could be ensured. The project team was successful in this regard and enabled many institutions to participate in finalising the monitoring frameworks (Int\_9 with other stakeholder, Int\_7 with partner organisations).

As part of the monitoring process, the project team counted the number of institutions present at each meeting, assuming that the institutions had also used the opportunity to submit comments or written contributions beforehand. For confidentiality reasons, neither the project team nor the evaluation team received access to the actual written contributions but gathered data on the attendance list. Seven meetings on the monitoring and evaluation development were held in the CARIFORUM, involving 56 participants from regional organisations and member states, 1 civil society organisation and 7 private sector representatives. According to participant

lists provided, four consultations were held in SADC that involved a total of 34 participants from regional organisations and member states, 22 civil society and 35 private sector representatives.

The data did not lend itself to understanding how many different institutions became involved in total (thus, avoiding double-counting of institutions that took part in several meetings). However, it did indicate a conclusion that the indicator was achieved: across all regions 90 participants from regional organisations/member states, 23 from civil society and 42 participants from the private sector took part. In the SADC region, the consultancy in charge of developing the monitoring and evaluation framework also initiated bilateral consultations for contacting stakeholders, which partially explained the rather high number of civil society organisation representatives involved (Int\_4 with other stakeholders). In the CARIFORUM region only one civil society body could be engaged. The contribution analysis under effectiveness dimension 2 examines participation from civil society bodies in more detail.

**MOI2:** 75% of all advised representatives in the private sector in two regions indicate they are more knowledgeable about using the EPA preferences for export to the EU.

As part of its monitoring processes, the project team regularly conducted surveys after each workshop or event to gather data on the **learning** of participants (Kirkpatrick level 2). According to monitoring data, material from six events in CARIFORUM and three events in SADC was collected and analysed. The data showed that private sector representatives, who participated in project activities, reported that they had gained knowledge of how to use EPA preferences for exports: 85% of respondents confirmed that they were more knowledgeable and have built upon their capacities, resulting in the achievement of MOI2. High satisfaction levels could indeed be confirmed through survey data but some stakeholders argued that outreach was still too limited to achieve a “critical mass” of users that have become knowledgeable about EPA preferences – though capacity building in the private sector did take place. The contribution analysis under impact dimension 2 (see Chapter 4.5) will examine in more detail whether trade opportunities for the private sector could be further enhanced.

**MOI3:** 60% of all participants from regional organisations, member states, civil society and the private sector at virtual or on-site events about relevant EPA topics (assessment of potential and risks, application of EPA flexibilities) have incorporated the knowledge and skills acquired at the events into their work.

This indicator refers to the Kirkpatrick levels 2 and 3 regarding learning and behaviour. Monitoring data could only be gathered for some of the training participants because the project team also relied on partner evaluations that were not all available or did not include the specific questions. The available data showed that 87% of all training participants from both regions stated that they made use of knowledge gained or brought capacity building into action. The evaluation team – while not on site and not in the position to implement another survey – collected further data during stakeholder interviews to understand the extent to which knowledge was incorporated in the respective institutions. In the CARIFORUM region, interviewees referred to the workshop on the EU’s General Data Protection Regulation and related issues, which led to a substantial gain in knowledge gain. It was perceived as very effective because Caribbean stakeholders had expressed anxiety about the regulations (Int\_2,6 with partner organisations). In the SADC region, qualitative feedback was gathered through interviews that showed that the IPD Export Promotion Initiative in SADC and attendance at the BioFach and Vivaness trade fairs resulted in fruitful lessons for SADC companies. Considering the lack of data from evaluation studies, the assessors could not quantitatively assess this indicator. However, evidence gained from interviews, monitoring data and follow-up reports by local training consultancies confirm that the new knowledge could indeed be incorporated into the participants’ ongoing work.

**MOI4:** In three regional or cross-regional exchange formats (on-site meetings or digital discussion platforms) on topics relevant to the EPA, options for activities were developed – by stakeholders from regional organisations and their member states, civil society and the private sector – for dealing with the positive and negative economic, environmental and social effects of the agreements.

Three on-site exchange formats were organised in the course of the project. Initially the option for a digital exchange platform was explored but the project team, based on the finds of a study, decided against it due to contextual reasons and the work methods of those involved, especially at member state level. The decision against setting up a digital exchange platform was found to be convincing (due to high maintenance costs and need for daily use). However, considering in retrospect the impact of the COVID-19 pandemic, promoting more digital solutions for regional interaction could have ultimately proved beneficial and efficient.

Instead, visiting tours took place in both regions. The first exchange format comprised a civil society awareness raising workshop in South Africa to facilitate a dialogue to explore the possibilities of civil society's constructive engagement in implementing the EPA in capacity building, awareness raising and monitoring. It involved 35 participants in the training, stemming mostly from civil society organisations from SADC states and their EPA coordination unit representatives.

In addition, representatives of the CARIFORUM region participated in the workshop: 60% of participants strongly agreed that they gained relevant important insights during the workshop and 40% mostly agreed, leading to an overall satisfaction rate of 100% (according to project monitoring data). The second exchange format was a CARIFORUM SADC cross-regional exchange on EPA monitoring and evaluation frameworks, jointly implemented by relevant consultants from SADC and CARIFORUM and facilitated by GIZ. This took place in Frankfurt, Germany in 2019; it also occurred back-to-back with the business forum to be more efficient. The exchange aimed to share best practice on conceptualising an EPA monitoring framework between the regions. According to the consultants' qualitative report, the event was positively perceived and enabled discussion of lessons learned by CARIFORUM. A hindering factor was the limited presence of participants from SADC.

The third exchange format was set up as a side-event of the CARIFORUM-EU Business Forum. The NEW project hosted a working brunch between business support organisations from the EPA member states of SADC and CARIFORUM. This involved 31 business sector organisations, representing all 15 CARICOM states except for Haiti; six business support organisations from the SADC region attended. The main outcomes of discussions included shared experiences and best practices, new ideas and approaches, recommendations on EU market entry leveraging the EPA, and making more resources available. At least 90% of representatives strongly agreed or mostly agreed that the event provided a useful platform for communication and networking on private sector development and promotion under the EPA. They confirmed that they would be likely to share the knowledge and instruments discussed during the cross-regional business support exchange with their organisation (project monitoring data). Contribution analysis 3 elaborates further on supporting and limiting factors of these exchange formats.

The evaluation team concluded that project objective indicators were fully achieved by the end of the project, despite the fact that data on MOI3 was not fully consistent and relied on a triangulation with stakeholder interviews. The project followed a target-oriented implementation process and it was guided by the indicators. The team found room for improvement only in regard to outreach to stakeholders; this was not specified in the indicators but perceived as limited when it came to effective private sector and civil society engagement.

Effectiveness dimension 1 – achievement of the (intended) objectives – scored **35 out of 40 points**.

Table 5: Assessed and adapted objective indicators for specific modules (outcome level)

Project's objective indicator according to the (last change) offer	Assessment according to SMART* criteria	Specified objective indicator (only if necessary for measurement or understanding)
<p>Thirty contributions by relevant stakeholders (21 from regional organisations and their member states, four from civil society and five from the private sector) to monitoring the EPAs with reference to the three pillars of sustainability were introduced in the competent institutions (Joint Council, Trade and Development Committee, Advisory Council) in two regions. Base value: 0 Target value: 30 Achievement in % (date): 100%</p> <p>Source: meeting reports, indicator sheets.</p>	<p><b>Specific:</b> This indicator required clarification with the former project manager to clearly understand its original intentions. <b>Definition of contribution:</b> Member states had the chance to comment on the current draft version of the monitoring and evaluation framework and to submit written contributions. <b>What does 'are introduced' entail?</b> The German translation implies it has been 'brought forward' to the respective institutions. It is also a multidimensional indicator as several requisites have to be fulfilled.</p>	<p>It was decided to not adapt the indicator, as the given explanations and discussions provided a detailed understanding to the evaluation team to assess the indicator.</p>
<p>75% of all advised representatives in the private sector in two regions indicate that they have become more knowledgeable about the use of the EPA preferences for export to the EU. Base value: - Target value: 75% Achievement in %: 100% Source: monitoring surveys</p>	<p>The indicator fulfils all SMART criteria.</p>	<p>No adaptation necessary.</p>
<p>60% of all participants from regional organisations, member states, civil society and the private sector at events (virtual or on-site events) on relevant EPA topics (such as assessment of potential and risks, application of EPA flexibilities) have incorporated the knowledge and skills acquired at the events into their working context. Base value: - Target value: 60% Achievement in % (date): - Source: Partner evaluation data only partially available; stakeholder perception</p>	<p>The indicator fulfils all SMART criteria.</p> <p>The project team planned to assess this indicator in September 2020 through partner evaluations to gain understanding of behaviour change (usage of capacities gained). However, some of the foreseen evaluations conducted by partners fell short of insufficient quality or did not include relevant questions for this indicator.</p>	<p>No adaptation necessary.</p>
<p>In three regional or supraregional exchange formats (on-site meetings or digital discussion platforms) on relevant EPA topics, options for activities were developed for the positive and negative economic, environmental and social effects of the EPA by stakeholders from regional organisations and their member states, civil society and the private sector. Base value: 0 Target value: 3 Achievement in %: 100% Source: event documentation and surveys</p>	<p>Some of the indicator's components required further definition: <b>Option:</b> Documentation of potential activities to promote positive and mitigate negative effects <b>To be 'developed':</b> This goes beyond discussing options but achieving agreement on key options and documenting the same. <b>Additional explanation:</b> The status quo entailed less exchange between regions; personal meetings were required, not only digital meetings.</p>	<p>It was decided to not adapt the indicator, as the given explanations provided a detailed understanding to the evaluation team to assess the indicator.</p>
<p>* SMART: specific, measurable, achievable, relevant and time-bound</p>		

## Effectiveness dimension 2: contribution to achievement of objectives

In this section, chosen results hypotheses for the contribution analysis are scrutinized to illustrate how outputs contributed to project outcomes. When examining hypotheses within the effectiveness criterion, **level 1 (reaction)** and **level 2 (learning)** of the **Kirkpatrick training effectiveness model** were examined. Following Mayne (2011), the validated results-model including risks and assumptions guided the analysis. The evaluation team together with the project management identified three causal links from output to outcome level during the inception mission. Hypotheses across all outputs and in line with the project team's interest were chosen. Evidence for the underlying hypotheses was then collected through a mixed-methods approach based on interviews with project stakeholders and analysis of monitoring data. Findings are compiled in a contribution story to find plausible explanations for either confirming or rejecting the chosen hypotheses.

Table 6: Selected results hypotheses for effectiveness – hypothesis 1

<b>Hypothesis 1: A9 (activity – output – outcome)</b>	If state actors have participated in workshops and events on the potentials and risks of the EPA for sustainable development, capacities regarding EPA trade policy (e.g. safeguards, "early warning") are improved.
<b>Main assumptions</b>	Trainings, workshops and events correspond to the participant's needs and interest and knowledge gained is applicable in their working context.
<b>Risks/unintended results</b>	Change in staff and discontinuity of training participants.
<b>Alternative explanation</b>	If other development actors also actively and successfully engaged in the same target group in capacity building measures, the increase in knowledge on the potential and risks of EPA cannot be solely contributed to the project.
<b>Confirmed/partly confirmed/not confirmed</b>	Confirmed

This contribution analysis refers to Kirkpatrick 2 on **learning**. Monitoring data on MOI1 showed that stakeholders confirmed training effectiveness of the support measures provided. Interviews allowed further elaboration on those findings and corroborate a contribution story.

**In the SADC region**, it could be confirmed that the GIZ played a prime role in identifying and filling existing capacity gaps (Int\_ 3 with partner organisations). The project substantially contributed to mutual understanding between EU and SADC parties in regard to implementing the EPA. Implemented training and workshops proved to be effective, resulting in substantial gains in knowledge (Int\_ 1,3 with partner organisations). Participants were drawn from the private, civil society and government sectors and included those from the media and business sector (Int\_ 6 with other stakeholders). The engagement of regional companies to work with the identified target groups proved a supporting factor in regard to the training's effectiveness (Int\_ 2 with GIZ, Int\_ 1,2 with other stakeholders). This was aided by the participatory approach as well as the trainer's agility in project execution.

A few limiting factors were identified, however. Organisers would have preferred to involve more representatives from South Africa (Int\_ 7 with other stakeholders). The timing was not ideal as it coincided with a harvest period in South Africa. Another factor was the variance and divergence in knowledge level of the participants; some boasted over 20 years of experience in export trade while others had less than one year or no experience at all. Unfortunately, a particular regional workshop had one negative effect; participants from Lesotho and South Africa experienced some political friction generated by the "big brother" mentality and tactics employed by the latter. To this end organisers advocated a 'regional approach in information dissemination and country by country approaches for tactical initiatives (Int\_ 6 with other stakeholders).

**In the CARIFORUM region**, the project team also contributed much to building the capacities of relevant regional member organisations, the private sector and civil society. Training included, for instance, a workshop series on leveraging the CARIFORUM-EU economic partnership agreement and cultural and creative industries workshops. Specific training activities were also held for the benefit of the cohort of private sector representatives that would attend the 4th CARIFORUM-EU Business Forum in Frankfurt. The forum assisted in

showcasing the newly attained knowledge and facilitated export promotion. EPA implementation monitoring and evaluation framework sensitization sessions were reported to benefit public and non-state participants because the information provided improved understanding of how to collect data and monitor EPA implementation at the national level (Int\_7 with partner organisations).

The training on the EU's General Data Protection Regulation delivered quick results to commercial firms and business support organisations, whose improved knowledge and understanding decreased their anxiety about the new regulations. It would support their cross-border services transactions and customer information handling, and boost compliance with data protection obligations in the EPA (Int\_6 with partner organisations). The training on EU labelling requirements offered in a workshop jointly coordinated with the CARICOM Regional Organisation for Standards and Quality yielded a cohort of trainers prepared from the Bureau of Standards, which could train other practitioners and issue certification. The latter has become a condition for the inclusion in certain programmes and activities.

To conclude, the contribution analysis showed that targeted project activities led to an increase in trade policy capacities in both regions. The hypothesis could therefore be confirmed.

Table 7: Selected results hypotheses for effectiveness – hypothesis 2

<b>Hypothesis 2: B7 – B1 (activity – output – outcome)</b>	If the position of civil society organisations and the private sector within a participatory EPA monitoring system is integrated by regional organisations and their member states, different actors regularly communicate their concerns and priorities in respective bodies and committees.
<b>Main assumptions</b>	The project approach enables meaningful participation of civil society and private sector organisations that allows them to integrate their perspective in the final monitoring and evaluation draft.
<b>Risks/unintended results</b>	Civil society and/or private sector representatives are not interested in the EPA implementation.
<b>Alternative explanation</b>	If participation by civil society and private organisations was not meaningful but just instrumental, the monitoring system might not sufficiently reflect their concerns and thus, not lead to an improved and sustainable implementation of the EPA. Additionally, the position of civil society and private sector representatives could have also coincided with the government's position.
<b>Confirmed/partly confirmed/not confirmed</b>	Partly confirmed

The civil society and private sectors were consulted in the process, albeit with some limitations. The establishment of a monitoring and evaluation system at a given point in time has been a competence of the state, but different views and perspectives should be integrated during initial consultative processes.

**In the SADC region**, the project could not build on previous work and discussions for the envisioned EPA monitoring and evaluation framework. The project hired an external consultancy from the SADC region to conceptualise a first draft framework. Stakeholders confirmed that the consultants adopted a participatory approach and conducted more than 25 interviews with relevant participants to include their perspectives, as well as various workshops (Int\_ 1,3 with partner org, Int\_ 2 with GIZ). Through efforts made by the project team and associated consultants, civil society bodies were indeed included in the drafting process. Interview partners pointed out structural challenges in the civil society landscape, which contributed to understanding whether the sector's participation was meaningful and effective.

The project could not approach a centralised and established civil society body that could support the coordination with sub-organisations (Int\_ 3 with partner organisation). Instead, a number of different civil society representatives were invited, which held interests including labour, human rights and the environment. According to stakeholder interviews, there were no civil society organisations with a clear mandate to improve

trade relations and monitor effects caused by trade agreements (Int\_ 4 with partner organisation, Int\_1 with final beneficiary). From one stakeholder's perspective, civil society organisations 'seldom supplement or even complement the government, but rather adopt a conflictual, competitive, and opposing position'.

Apparently, SADC government institutions view civil society organisations with resentment and as "trouble shooters" (Int\_5 with partner organisations). Weakening in this regard as well, was that non-governmental organisations and other civil society bodies did not take part at the EPA negotiation level, which further contributed to a rather lackadaisical involvement during workshops. As a result, the purpose of integrating civil society representatives was questioned by local stakeholders, as illustrated in the following quote: 'These divergent bodies have different views, but no clear interest in trade. Their interests and inputs are not being very useful and critical. The mandatory inclusion is more of a Eurocentric approach, rather than an Africanised one' (Int\_ 4 with partner organisations).

Considering these structural challenges in regard to civil society organisations and a low level of support from the SADC secretariat, the project specifically set up a regional exchange format with a focus on civil society engagement. Through the experience and lessons in the CARIFORUM region, public bodies in SADC were made aware of the importance of adopting a participatory monitoring and evaluation approach (Int\_4 with GIZ). In comparison, private sector participation appeared to be more straight-forward (Int\_ 2 with GIZ). One factor was that private sector organisations could be easily reached through business support organs like the Chamber of Commerce in the different SADC countries. The private sector had already been involved at various stages of the EPA agreement and implementation (Int\_ 4,5 with other stakeholders).

**In the CARIFORUM region**, developing the monitoring and evaluation framework – as agreed upon in the EPA – had been a pressing issue before the start of the NEW project. The overall progress was regarded as slow because the topic was perceived as rather complex (INT\_10 with other stakeholder). Previous work on drafting a first concept had been conducted in an earlier GIZ project. The NEW team initiated the collaboration with the same consultant to continue this process with the aim help finalise the monitoring framework. The process was divided into an inception, validation and follow-up phase, accompanied by EPA monitoring and evaluation sensitisation seminars for a range of stakeholders. Before each meeting, member states had the chance to comment on the current draft version of the framework and to submit written contributions. Overall stakeholder participation was perceived as successful by interviewed stakeholders.

In the core meetings, up to 15 regional organisations and member states took part. In total, seven private sector representatives participated, which also was perceived as satisfactorily by the project team. However, only one civil society organisation participated in the sessions. According to stakeholders, private sector and civil society involvement in conceptualising the monitoring and evaluation framework in the CARIFORUM region took place at the national level, and informed individual CARIFORUM state positions about regional discussions (INT\_10 with other stakeholder). In the case of Barbados and Jamaica, there was a formal and regular mechanism for private sector input (INT\_6 with partner organisations). Representative regional private sector associations were able to participate in meetings of the CARICOM Council on Trade and Development – which had a standing agenda item on the CARIFORUM-EU economic partnership agreements – and in meetings of CARIFORUM officials. Outside of official CARICOM/CARIFORUM meetings, concept development and planning discussions appeared to have taken place at the level of the CARIFORUM directorate, Caribbean Export and GIZ (INT\_10 with other stakeholder).

As with SADC, civil society participation was rather weak. A positive effect occurred in regard to overall awareness creation: the virtual sensitisation sessions,<sup>3</sup> curbed by the COVID-19 pandemic, allowed for more outreach than originally planned. The Barbados sensitisation session on the EPA monitoring and evaluation

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<sup>3</sup> These sensitization sessions were held during the follow-up phase of the project. They were originally planned for the end of the NEW project, but had to be postponed due to Covid-19.

framework, held on-line in November 2020, was attended by 47 people from the public and private sector, with 60% of participants from the public sector and 40% from the private sector. This public-private participation was planned by the organisers, and achieved engagement from a wide range of stakeholders, including representatives from tourism, international business, information and communications technology providers and the public sector (Int\_6 with partner organisations). Stakeholders affirmed in interviews the importance of appropriately monitoring EPA implementation to assess whether the actual intended benefits reach to the parties (Int\_1 with GIZ, INT\_1 with GIZ, INT\_7 with partner organisations, Int\_10 with other stakeholder). The central statistical offices in CARIFORUM acted as the executing bodies, which also confirmed greater responsibility for monitoring EPA implementation once the project is completed (Int\_1 with GIZ).

Conclusively, the analysis showed that the project contributed to awareness on monitoring and evaluation processes among a varied range of stakeholders, but civil society participation was limited in both contexts. The regional exchange on civil society engagement led to a better understanding on the purpose of a participatory approach when drafting a holistic framework for monitoring (see below), but still needs to be put into action. Whether the participation of single civil society and business representatives was truly meaningful could be up for debate, but it certainly was instrumental and resulted in acceptance of monitoring and evaluation concepts in both regions (see Chapter 4.5, impact dimension 2). No other groups contributed to this achievement. The evaluators thus concluded that the hypothesis could be partially confirmed.

Table 8: Selected results hypotheses for effectiveness – hypothesis 3

<b>Hypothesis 3: C1 – C2 (activity – output – outcome)</b>	If stakeholders (regional organisations and their member states, civil society, private sector) make greater use of supraregional exchange platforms that deal with EPA-related issues, they are aware about EPA implementation experiences in other EPA regions and learn from these experiences.
<b>Main assumptions</b>	Cross-regional exchange supports actors in advancing with their objectives on implementing the EPA in a sustainable way.
<b>Risks/unintended results</b>	Knowledge and experience levels of regions differ substantially to promote valued discussions.
<b>Alternative explanation</b>	If stakeholders encounter institutional barriers or setbacks, they might not be able to incorporate the knowledge into their work.
<b>Confirmed/partly confirmed/not confirmed</b>	Partly confirmed

The regional project was not understood very well at the beginning, considering that both regions were remote from each other and at different implementation stages. According to the project team, implementing the anticipated regional exchange faced certain challenges for bringing parties together from both regions, logistically and from a content point of view. The evaluation team found, however, that eventually the project team found innovative and appropriate ways to make good use of this supraregional perspective.

**In the SADC region**, implementation of economic partnership agreements was still in infancy, resulting in a lack of data and learning experiences for sharing. Regional exchange programmes promoted by GIZ were appreciated and stakeholders confirmed positive results at micro level (Int\_7 with other stakeholders). Further positive effects that contributed to an improved implementation of the EPA could not be identified by the interviewed stakeholders due to the divergent geopolitical forces between the two regions. These exchange formats were rather beneficial to ‘soften the blow during the EU and SADC-EPA countries negotiations’ (Int\_3 with other stakeholders).

**In the CARIFORUM region**, cross-regional exchanges were viewed favourably and there was interest in continuing and expanding such exchanges; discussion on the relevance of civil society was particularly well-received. The awareness raising workshop yielded useful information sharing between the different regions and positive outputs, including a workplan proposal for a mechanism to engage civil society with SADC, and

identify linkages between the trade and development agenda of the EPA and the UN Sustainable Development Goals (Int\_9 with other stakeholder). The Caribbean Policy Development Center has served as the secretariat for the CARIFORUM Civil Society Consultative Committee and participated in the CARIFORUM-EU Joint Consultative Committee and the CARIFORUM Programming Management Committee (Int\_9 with other stakeholder, Int\_7 with partner organisations).

As a result, evidence was found that information and knowledge sharing was advanced between CARIFORUM and SADC thanks to the project (Int\_5 with partner organisations). However, some drawbacks were also recognised. As a part of the EPA monitoring and evaluation framework elaboration, there was a cross-regional exchange on the developments and key stakeholders from CARIFORUM and SADC were invited to it (Int\_7 with partner organisations, Int\_1 with GIZ). The event took place in Frankfurt, Germany and included a review of comments and drafts done in Africa. That session did not meet expectations; the interview respondent perceived that CARIFORUM had carried out more work and offered a more comprehensive approach given the wider scope of coverage of the CARIFORUM-EU economic partnership agreements, relative to EU partnership agreements with African regions. The respondent suggested that more had been expected of the cross-regional exchanges on both sides and the engagement did not deliver what it could have (INT\_7 with partner organisations). In addition, increased facilitation of contact between CARIFORUM players and their counterparts in other Asian, Pacific and Caribbean regions – before and after events – could help build meaningful relationships.

Hypothesis 3 could only be partially confirmed. While cross-regional exchanges were set up, which provided a forum for mutual discussion of experiences and specific capacity-building, some limitations on their effectiveness were identified.

To conclude this evaluation dimension, the evaluation team assessed that one hypothesis could be confirmed, while two hypotheses could only partially be confirmed.

Effectiveness dimension 2 – contribution to achievement of objectives – scored **20 out of 30 points**.

### **Effectiveness dimension 3: quality of implementation**

This evaluation was carried out prior to the introduction of the new assessment dimension 'quality of implementation'. This assessment dimension has therefore not been applied in this evaluation. The content was part of the other assessment dimensions in effectiveness.

### **Effectiveness dimension 4: unintended results**

Elements of the **most significant change technique** applied during the inception and evaluation mission supported the identification of some unintended results, which were then further validated in remaining interviews.

As briefly mentioned in the relevance chapter and not necessarily foreseen at project conceptualisation stage, the NEW project team opened up space for dialogues and discussions, mediating between the regions and the EU (Int\_1 with GIZ). The CARIFORUM and SADC secretariats delegated the project team to coordinate and collaborate in processes such as the monitoring and evaluation framework. This illustrated the acceptance of the project among regional organisations and underlines an important additional result.

According to the project team, there had been sessions where EU participants were asked to leave the room, while GIZ NEW team members could stay to accompany the discussions. According to stakeholders of CARIFORUM, however, there were also sensitivity issues of regional partners to information sharing and maintenance of confidentiality, including interventions on the development of legislation. Given the status of GIZ and its affiliation with a member state of the EU, stakeholders had shown reservations regarding political considerations or potential conflict of interest or breach of confidentiality. Indeed, historically the secretariats had been hesitant to share data or detailed insights with the EU.

As a result – while GIZ’s role was accepted and appreciated – the daily work data and progress reports were not always shared with the project team, which caused additional barriers to effectively implementing the activities as planned. A substantial positive result that was not reflected in the results matrix indicators consisted of the project’s efforts in establishing a partner network in Germany and the EU to support export promotion and stronger trade relations in both directions (Int\_1 with GIZ). The project team proactively engaged with relevant movers in the European ecosystem and invited them to events with CARIFORUM and SADC experts to establish potential further collaboration.

For instance, the Caribbean export study tour to Germany, inspired by two memorandums of understanding, signed between the Caribbean Export and the Bundesverband mittelständische Wirtschaft, and the Lateinamerika Verein e.V. Another example includes the relationship between the Caribbean Association of Investment Promotion and the German Outsourcing Association, which already yielded the investment attraction product of a CARIFORUM investment guide. Lastly, positive synergies between output A, B and C could be revealed. Two of the regional exchange supported the effectiveness of capacity building as well as the establishment of the monitoring and evaluation framework, as SADC stakeholders could make use of lessons from CARIFORUM. Interviews revealed that ‘twinning the CARIFORUM with SADC-EPA during these workshops urged more ownership and proactiveness of SADC actors involved’ (Int\_1 with other stakeholders). While CARIFORUM representatives also issued some criticism (see above), they indicated that sharing their experiences and lessons also supported their engagement in the process (Int\_1,2,7,10 with civil society organisations and private sector).

Unintended results at the effectiveness level were found to be largely positive, therefore leading to a high assessment of this dimension.

Effectiveness dimension 4 – unintended results – scored **27 out of 30 points**.

Photo 2: 4th CARIFORUM-EU Business Forum, Frankfurt am Main 2019 ©CEDA



## Methodology for assessing effectiveness

Table 9: 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>	<ul style="list-style-type: none"> <li>• project's monitoring system</li> <li>• perception of key partners, perception of project team member progress and end-line reports</li> </ul>	<p><b>Evaluation design:</b> The analysis follows the analytical questions from the evaluation matrix (see Annex 1).</p> <p><b>Empirical methods:</b> Includes interviews, analysis of survey data and review of monitoring data, document analysis.</p>	<ul style="list-style-type: none"> <li>• Moderate evidence strength</li> <li>• Limitation – monitoring data shows some inconsistencies and some missing data in partner post-evaluations missing.</li> </ul>
<b>Contribution to achievement of objectives</b>	<p><b>Examination of hypothesis 1-3</b></p> <ul style="list-style-type: none"> <li>• Data on Kirkpatrick training effectiveness model level 1 (reaction) and level 2 (learning)</li> <li>• Perception of key partners, perception of project team members</li> </ul>	<p><b>Evaluation design:</b> Contribution analysis</p> <p><b>Empirical methods:</b> Interviews, analysis of survey data and review of monitoring data, document analysis</p>	<ul style="list-style-type: none"> <li>• Moderate evidence strength</li> <li>• Limitation – monitoring data shows some inconsistencies and missing data</li> </ul>
<b>Quality of implementation</b>	n/a <sup>4</sup>	n/a	n/a
<b>Unintended results</b>	Additional results that were identified during inception mission were further verified, during data collection a deductive and inductive approach is followed.	<p><b>Evaluation design:</b> Most significant change technique</p> <p><b>Empirical methods:</b> Interviews with project team and stakeholders, validation interviews with project team</p>	<ul style="list-style-type: none"> <li>• Moderate evidence strength</li> <li>• Limitations: Due to remote set up and sensitive and confidential project setting, some contextual factors might be missed.</li> </ul>
* SMART: specific, measurable, achievable, relevant and time-bound			

<sup>4</sup> This evaluation was carried out before the introduction of the new assessment dimension 'quality of implementation'. This assessment dimension has therefore not been applied in this evaluation. The content was part of the other assessment dimensions in effectiveness.

## 4.5 Impact

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

### Summarising assessment and rating of impact

Table 10: Rating of OECD/DAC criterion – impact

Criterion	Assessment dimension	Score and rating
Impact	Higher-level (intended) development changes/results	25 out of 30 points
	Contribution to higher-level (intended) development results/changes	35 out of 40 points
	Contribution to higher-level (unintended) development results/changes	23 out of 30 points
<b>Impact score and rating</b>		Score: <b>83 out of 100 points</b> Rating: <b>successful</b>

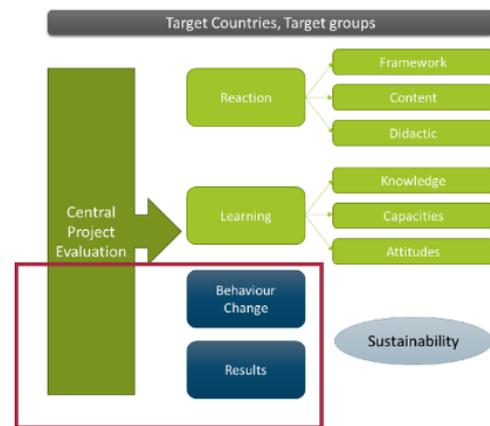
Above all, the EPA implementation was highly influenced by both macroeconomic conditions and microlevel capacities and support mechanisms for the private sector. Figures show that the EPA could not boost an increase in trade relations for Asian, Caribbean and Pacific regions that take advantage of opportunities offered by the EU market. In recent years, the EU's exports to CARIFORUM have increased at a higher rate than CARIFORUM's exports to the EU. Similarly, only a very limited amount of SADC countries have been exporting to the EU. These developments could not be influenced by the NEW project, which offered support mainly in certain specialised areas. However, the official approval of the EPA monitoring framework in SADC and agreement on indicators in CARIFORUM represent remarkable achievements that directly contribute to educating participants on sustainably implementing the EPA. The projected evaluation processes have allowed regular monitoring of future outcomes, risks, and potentials. Contribution analyses allowed more detailed examination of the potential contribution of project measures to overarching results.

The advances regarding the framework could be attributed to the project to a great extent. In the CARIFORUM region, the project's interventions helped increase the access of Caribbean traders to further opportunities. The development of commercial knowledge and skills that forged connections to new markets and bilateral investment between Europe and the Caribbean facilitated this process. In the long term, this activity could affect the increase of exports and profits.

**In total, the impact of the project was rated level 3: moderately successful with 69 out of 100 points.**

## Analysis and assessment of impact

Potential contributions at the project's impact level were identified during the inception phase and evaluation despite several limitations. However, the contribution by the NEW project as a single standing activity was difficult to assess for higher level results. The evaluation team followed a similar methodological basis to the one used for assessing the effectiveness criteria and it implemented a contribution analysis. As part of the impact criterion, **level 3 and 4 of the Kirkpatrick model (behaviour change and results)** were examined. Impact dimensions 1 and 2 have been regarded jointly because the contribution analyses in the second dimension illustrated the extent to which overarching development results have occurred.



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

International trade – and thus the EPAs – could be an important lever for sustainable development and poverty reduction. Trade is a key implementation mechanism of the SDGs. In order to achieve the goal of an open and fair trading system (SDG 17.10) and to enable a significant increase in exports from developing countries (SDG 17.11) under fair production conditions (SDG 8.8), countries need to work together in the area of trade (SDG 8.a). According to the project's theory of change, at the higher impact level it should contribute to improved integration in international value chains, stronger regional /international integration and improved political participation and governance.<sup>5</sup> Similarly, an indirect contribution to SDG 1 (poverty alleviation) and marker AO 1 (*Armutorientierung*) was established in the theory of change.

Any actual or potential impact or contribution to impact have been very difficult to assess. Trade relations and the dynamics of agreements such as the EPA are highly conditioned and influenced by macroeconomic developments across and within the respective trading countries. Many different factors contribute to certain developments, and externalities are at work.

Attributing results to specifically to EPA regulations was therefore complicated. The EPAs have not been implemented for long, which meant there was not yet much data available. This posed substantial limitations to assessing the impact criterion in this CPE. To understand the occurrence of higher-level development results and draw conclusions, the evaluation team had to review secondary data and reports and triangulated findings of stakeholder perceptions. Since the CARIFORUM EPA had been provisionally applied for more than ten years, the European Commission in 2021 initiated an ex-post evaluation to determine the progress made in implementing the CARIFORUM-EU partnership agreements between 2008 and 2018. The following section does not therefore refer solely to the NEW project, but it gives a brief background on EPA implementation with CARIFORUM in general.

The ex-post evaluation (European Commission, 2021) concluded that the implementation of the agreement has led to mixed results so far with clear progress made, while several shortcomings have remained. Progress included ratification of the agreement by 25 out of 28 EU countries and 10 out of 15 CARIFORUM countries, and some advances in trade facilitation, tariffs, or public procurement. Shortcomings in implementation related to the liberalisation commitments, regulatory commitments and institutional commitments under the EPA. The latter related to an insufficient targeted dialogue on regulatory issues among the EPA parties and the need to

<sup>5</sup> The project proposal also articulated a further contribution to SDG 2 (elimination of hunger), carrying the marker LE1 (Ländliche Entwicklung und Ernährungssicherung). After discussions with the project team, this pathway of change was not examined because the project contribution was very indirect and there was a high long-term dependency on macroeconomic developments. The marker UR1 (Umwelt- und Ressourcenschutz) was also not in focus for the evaluation team because the contribution appeared to be very indirect.

jointly agree on the mechanism for monitoring. In this regard, the project directly contributed to bringing forward the monitoring framework despite slow progress on this in the years previous to the project.

Actual figures show that total trade in goods between the two parties has not expanded since 2008 and the total value of goods traded was even slightly lower in 2018 than the previous ten years. This decrease could be largely attributed to a decline in CARIFORUM exports to the EU; the average annual growth rate decreased by 2% while EU exports to CARIFORUM increased on average by 4% per year.<sup>6</sup> These developments stress the importance of integrating the perspective on sustainable development into such agreements and closely monitoring changes that occur. Indeed, the CARIFORUM-EU economic partnership agreements was the first EU trade agreement with specific chapters on sustainable development and social aspects. However, the evaluation concluded that the impact on sustainability appeared marginal due to the fact that the economic impact was largely limited. No significant changes in social or environmental indicators (unemployment, social expenditure, environmental performance index) could be identified by the ex-post evaluation.

Because the NEW project only started in 2017, no long-term impacts on its specific support measures could yet be observed. However, the ex-post evaluation strongly provided recommendations in line with the support areas of the project. Firstly, it recommended acceleration of ‘the preparations for and adoption of a proper monitoring mechanism for the implementation of the EPA’ (European Commission, 2021). Established evaluation processes would also allow monitoring of potential outcomes for disadvantaged groups, and identification of risks and potentials for human rights, gender aspects and climate change. Contribution analysis 1 under impact dimension 1 will elaborate further on the current state of monitoring and evaluation frameworks. Secondly, the evaluation recommended that ‘structural challenges’ faced by CARIFORUM businesses be addressed, and urged a more focused support for private sector participants (see contribution analysis 2). The EU commission’s 2019 report on the implementation of EU trade agreements provided some insight into the current state of the SADC-EU agreements, which entered into provisional application only by end of 2016. The EU-SADC economic partnership agreement has been the first and only regional EPA in Africa to be fully operational with all partners implementing the foreseen tariff cuts. The first years of implementation also faced challenges (such as the trade dispute on the safeguard tariff imposed by the SACU on imports of frozen poultry from the EU), but there advances in regard to sustainable development; for example, parties committing to an annual meeting of non-state participants and setting up a debate on trade and climate change. One crucial achievement that can be attributed to the project was the agreement on a common system for monitoring and evaluating the EPA (see Chapter 4.5, impact dimension 2). Total trade between the EU and SADC-EPA states has risen since implementation of the EPA in 2016. In particular, EU imports from SADC-EPA states have increased continuously over the past five years – if exclusively driven by South Africa – while EU exports have evolved irregularly. While the overall balance of trade was positive for the EU, SADC-EPA states recorded a surplus in agricultural trade with the EU. Overall exports of SADC-EPA states to the EU still showed little diversification and trade in 2020 was seriously disrupted by COVID-19.

All in all, it was barely possible to assess the real impact of EPAs. Even before the EPA, the EU had already granted unilateral duty and quota-free market access to ACP countries, but trade agreements had to be renewed and legally adapted. No sharp increase in trade could therefore be expected in the short term, but positive results stimulated by the EPA have been expected in the longer term. The project has provided important preparatory work in terms of capacity building for implementing the agreements along with knowledge of the potentials and risks; also, it has laid the groundwork in regard to building monitoring and evaluation capacities and jointly agreeing on suitable indicators. While this contribution might not yet show sufficient reflection in the current state of EPA implementation, the evaluation team assumed – based on stakeholder perceptions – that it would contribute in the long-term.

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<sup>6</sup> The figures given represent on course of information, that was approved by the European Commission. Considering the complexity in accurately assessing trade relations, other studies might come to different conclusions.

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

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

As with the effectiveness criterion, contribution analyses were chosen to identify evidence and understand perceptions of potential contributions to overarching results. Key data sources included official EU progress reports, studies and secondary data as well as the perceptions of project stakeholders. Results were summarised, referring to **level 3 (behaviour change)** and **level 4 (results)** of the **Kirkpatrick model**. Three hypotheses from the results model were examined in more detail to explain causal relationships between project outcomes and impacts.

Table 11: Selected results hypotheses for impact – hypothesis 1

<b>Results hypothesis 1 (outcome – impact) B10</b>	If the project objective is achieved, and stakeholders implement the EU economic partnership agreements in a way that fosters sustainable development, the regions count with a joint and living monitoring and evaluation framework.
<b>Main assumption</b>	The targeted GIZ activities, adopting a participatory approach, lead to an approved monitoring and evaluation framework for EPA implementation.
<b>Risks</b>	Changing conditions on the EU side or on the EPA agreement
<b>Alternative explanation</b>	The joint monitoring and evaluation framework is mainly used due to efforts by other donor agencies or actors of the political arena, that did not regard the efforts of the project.
<b>Confirmed/partly confirmed/not confirmed</b>	Confirmed

**In the SADC region**, the project contributed in a comparably short time span to achieving a draft of an agreed framework, setting the foundations for long-term monitoring and evaluation of the EPA. After lengthy deliberations and discussions that included a range of stakeholders, a common understanding and agreement could be achieved. In its sixth meeting the Trade and Development agreed on a system for monitoring and evaluating the EPA and in specifically on a set of monitoring indicators and annual joint monitoring reports (European Commission, 2020). This progress appeared ‘surprisingly rapid’ by both the project team and stakeholders but represented a very important step towards an accepted live monitoring framework. The actual monitoring and evaluation should begin in June 2021 (Int\_4 with partner organisations). According to stakeholder interviews, some SADC-EPA member countries have domesticated the framework and applied it to other agreements: Botswana adopted it to the SADC trade agreement (Int\_2 with other stakeholder).

**In the CARIFORUM region**, according to the European’s Commission status report (2020) the respective task force on monitoring for CARIFORUM has made significant progress towards establishing a monitoring mechanism. The CARIFORUM directorate submitted a proposal for an monitoring and evaluation system to the EU in May 2019, with the support of GIZ. Based on this, the parties were able to agree on a list of 39 impact indicators (‘outcome indicators’) and 23 implementation indicators (‘compliance indicators’). However, at this point in the evaluation a joint monitoring mechanism was not yet been agreed and put into operation (European Union, 2021). An ex-post evaluation (European Commission, 2021) of the EPA implementation between EU and CARIFORUM acknowledged GIZ’s contribution to the progress made in the implementation process.

Despite the fact that the evaluation framework was not yet operating, several important results were achieved. Stakeholders confirmed an increase of knowledge and capacity for trade ministries, other public officials and non-state participants of the scope of the EPA and the indicators for measuring success arising from its implementation (Int\_1 with GIZ, Int\_6,7 with partner organisations, Int\_10 with other stakeholder). Confirmation of enhanced willingness to adopt an evidence-based approach to EPA implementation rather than rely on anecdotal evidence could also be found (Int\_7 with partner organisations, Int\_10 with other stakeholder). On

the whole, broad awareness of the EPA evaluation framework could be created among a wide range of public, private and civil society stakeholders (Int\_6 with partner organisations).

Conclusively, the advances in regard to the monitoring frameworks were remarkable and the NEW project, building on indirect predecessor projects, had a great contribution to the achievements made. The foundations for regularly monitoring and evaluating the EPA were set and concrete commitments made, at least for the SADC regions. The evaluators concluded that the hypothesis could be confirmed.

Table 12: Selected results hypotheses for impact – hypothesis 2

<b>Results hypothesis 2 (outcome – impact) A16</b>	Improved capacities of the private sector to trade with the EU enables the private sector to exploit trade opportunities under the EPA.
<b>Main assumption</b>	Business can translate the capacities gained into action and establish new trade relations with the EU.
<b>Risks</b>	Macroeconomic conditions hamper enhanced trade between the regions.
<b>Alternative explanation</b>	Macroeconomic conditions caused the exploitation of trade opportunities under the EPA.
<b>Confirmed/partly confirmed/not confirmed</b>	Partly confirmed

Impact dimension 1 showed the limited impact on actual trade relations between the EU and the regions. Alongside shortcomings in the agreement, key challenges have remained in the business environment. These include small markets that restrict scale, logistical constraints, bureaucracy and limited competitiveness of companies.

**In the SADC region**, considering the rather recent start of the provisional application of the SADC-EU partnership agreements, the exploitation of trade opportunities remains at a very early stage. Companies contacted in the course of the NEW project confirmed that they gained knowledge from the provided training. Private sector representatives, who took part in the fair visits in Germany, also referred to positive outcomes during feedback interviews that were summarised in the final reports of the implementing consultancy. Some evidence showed that knowledge gained could be brought into practice: company representatives mentioned that after what they learned during the visits that started applications for organic certification or began offering their products on platforms such as Amazon. Local companies registered with the Botswana Unified Revenue Services to meet the rules of origin.

While these small steps were crucial and single firms indeed strengthened their capacities and applied new knowledge, the project's outreach was limited. Interviewees acknowledged that 'local producers are not producing enough products to export, focus on the domestic market and require further and intensified capacity building for the external market (Int\_1 with final beneficiary, Int\_2 with partner organisations). Apparently, these producers were discouraged by lack of finance for covering production costs, transport costs and economies of scale and they found it difficult to understand the given standards. As a result, most local firms showed little willingness to expand their production; some found transport costs to the EU market exorbitant. In Botswana only two companies have been currently exporting goods to the EU through the arrangement (Int\_1 with partner organisation). Due to the lack of further data and the nascent stage of implementation, no definite conclusions could be drawn on the actual positive use of trade opportunities in the SADC region.

**For CARIFORUM companies**, the EU has not been a priority market but ease of access to the European market has recently become much more relevant. The internal harmonisation of regulations in the EU has made it an attractive market for expansion and has shown less competition for specialty products than traditional CARIFORUM export destinations. In recent years, the structure of CARIFORUM goods exports has

changed with more EU states featuring in the top export markets of CARIFORUM than previously. For service suppliers and traders in other intangibles, the destination market has become very relevant. For companies considering exporting to the EU, barriers do remain. The NEW project contributed to strengthening the work of CEDA and helped expand its capacity building and information-sharing to companies. The ex-post evaluation acknowledged the support of development cooperation projects, such as NEW, but also clearly stated that important constraints have remained and more efforts are needed (source). Again, given that NEW only started in 2017, a realistic perspective on its potential contribution to better trade opportunities should be established. Evidence from interviews showed that the project successfully enhanced the capacities of the private sector to increase intraregional and extraregional exports for selected participants. For instance, interviewees shared that knowledge gained from the data protection workshop could be applied. It was considered highly relevant due to anxiety on the part of Caribbean stakeholders about the regulations (Int\_2,6 with partner organisations).

In regard to actual results, the experience of the 4th CARIFORUM-EU Business Forum 2019 with over 200 participants enabled new perspectives to export and supported the growth of new client relationships. The forum showcased the region’s creative industries and more than 60 of the region’s leading producers in rum and natural products including natural cosmetics, sauces and condiments. Up to 138 serious business contacts were secured at the event. According to project monitoring data, 75% (36 of the 48 company respondents) confirmed that they had secured serious business leads at the CARIFORUM-EU Business Forum. Most were by Caribbean creative industry exhibitors (44%), followed by the food product sector (20%), then rum manufacturers (19%). According to participating Caribbean exhibitors, the forum’s expected long-term impacts ranged from increased exports and profits to new joint ventures with EU and other international firms and partnerships. Some partnerships were proactively encouraged by the NEW project. A Caribbean export study tour to Germany also led to two memorandums of understanding between the Caribbean Export and the Bundesverband mittelständische Wirtschaft, and the Lateinamerika Verein e.V.

The hypothesis could only partly be confirmed. Despite expanded capacities and trade relations, challenges to making full use of trade opportunities have remained.

Table 13: Selected results hypotheses for impact – hypothesis 3

<b>Results hypothesis 3 (outcome – impact) – A13</b>	The use of the acquired knowledge on EPA trade remedies results in the conduct of administrative and legislative trade remedy reform.
<b>Main assumption</b>	Knowledge management and dissemination used effectively translates into actions by public representatives that will further improve administration and legislation towards inducing enhanced trade.
<b>Risks</b>	Change in staff and insufficient knowledge sharing.
<b>Alternative explanation</b>	If political conditions and acceptance within the member states change, there is a risk that no trade remedy reforms would be brought forward.
<b>Confirmed/partly confirmed/not confirmed</b>	No definite conclusions

The examination of this hypothesis from outcome to impact level was subject to several limitations. Data and insights could not be gathered as expected given that only virtual interviews were possible and public representatives showed less openness in regard to more sensitive issues. The evaluation team found that the knowledge dissemination achieved during the project timeline was good. The project team found innovative ways, such as podcasts and videos, to improve access to information for different stakeholder groups. Better knowledge of EPA trade remedies proved useful and relevant, even without administrative and legislative reforms. Trade remedies would be provisions that allow member states to protect themselves against unintended risk from the trade agreement (such as a rapid surge of exports). Putting such measures into action requires in the first place a better understanding of the trade remedies; this also holds true for the private

sector, which might be the first to observe adverse effects of the agreement. The use of the remedies can be substantially improved by administrative/legal reform that paves the way for their use.

The extent that knowledge was translated into reforms by public stakeholders could not be stated, but should become evident once more time has passed. Competition policy and intellectual property were identified as priority areas in the CARIFORUM region. In general, interviewees of both regions confirmed their initiative and willingness to bring forward reforms necessary to facilitate implementation of the economic partnership agreements (Int\_ 3,6 with partner organisations). In SADC, support for the SADC-EPA unit was seen as especially crucial to support the strengthening of required processes and structures. Thanks to the enhanced awareness of state organisations, any trade remedy or administrative reform that followed would be directly in line with the WTO standards and EPA commitments. Following workshops some member states in SADC said that more priority should be given to those reforms. This measure sought to address both the opportunities and eventual risks of the EPAs to partner countries.

No definite conclusion could be drawn regarding the hypothesis at this point in time.

Impact dimension 2 – contribution to higher-level (intended) development results/changes – scored **35 out of 40 points**.

Photo 3: Kalahari melon on the export promotion mission to Northern Namibia 2018 © Maria Krause



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

Unintended positive or negative results at impact level was difficult to assess in this evaluation, considering the complexity around the EPA implementation process. In the SADC region, only one concern was identified for careful tracking and monitoring in the future. As mentioned in the relevant chapter, the EU and partner regions must ensure that the SADC-EU economic partnership agreement, which only includes six SADC countries, would not hold back or negatively affect regional integration in the overall SADC region (Muntschick, 2017; Murray-Evans, 2015; Stevens 2006, 2008). Regional economic communities in Africa have not been able to build up stable regional negotiation groups when bargaining with the EU about the agreements. Currently, the member states of SADC are split in four different EPA groups, which makes it impossible to proceed with regional integration and establish a customs union on top of the current free trade area (Muntschick, 2017; Murray-Evans, 2015; Stevens 2006, 2008).

Neither unintended positive and negative results nor risks were systematically and regularly monitored. However, the NEW project carefully followed ongoing debates and dynamics on the EPA implementation and published several issue papers on the topic.

Impact dimension 3 – contribution to higher-level (unintended) development results/changes – scored **23 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>	Overarching development results described in the project proposal and programme description	<b>Evaluation design:</b> The analysis follows the analytical questions from the evaluation matrix. <b>Empirical methods:</b> Document analysis, interviews	<ul style="list-style-type: none"> <li>• low strength of evidence</li> <li>• very indirect contribution to upper-level impact results (such as SDGs)</li> </ul>
<b>Contribution to higher-level (intended) development results/changes</b>	Hypothesis identified during inception mission 4-6 Kirkpatrick framework on training effectiveness level 3 (behaviour change) and level 4 (results)	<b>Evaluation design:</b> Contribution analysis <b>Empirical methods:</b> Interviews, validation workshop <b>Secondary data:</b> Official reports by the EU commission	<ul style="list-style-type: none"> <li>• low strength of evidence</li> </ul>
<b>Contribution to higher-level (unintended) development results/changes</b>	Evidence for wide-spread impact on final beneficiary level	<b>Evaluation design:</b> Most Significant Change Questions <b>Empirical methods:</b> Interviews	<ul style="list-style-type: none"> <li>• low strength of evidence</li> <li>• limitation – mere anecdotal evidence</li> </ul>

## 4.6 Efficiency

This section analyses and assesses the efficiency of the project. It is structured according to the assessment dimensions in the GIZ project evaluation matrix (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)	67 out of 70 points
	Allocation efficiency (resources/outcome)	25 out of 30 points
<b>Efficiency score and rating</b>		Score: <b>92 out of 100 points</b> Rating: <b>highly successful</b>

According to the evaluator analysis, the project's production efficiency was very good. The allocation of the small project budget to the broad output areas was appropriate. The project was able to create synergies between the outputs and made use of local resources including consultants, which improved the efficiency of the project management. However, the balance between the regional approach on one hand and collaboration with national participants on the other hand provided a challenge.

The project's allocation efficiency was also very successful. The project used its resources appropriately with regard to achieving the objectives. However, the question of whether the outcomes could have been maximised with the same amount of resources could not be answered, since it was not possible to monetise the added value of the project at outcome level. Anecdotal evidence does however indicate that the outcomes were maximized within the used resources. The participatory planning was relevant to the allocation efficiency, and the synergy effects between BMZ and European Commission were very beneficial for implementing the monitoring framework for different EPAs. However, an upscaling of positive results could not be achieved.

**In total, the efficiency of the project was rated level 1: highly successful with 85 out of 100 points.**

### Analysis and assessment of efficiency

The key issue under the efficiency criterion was the question of whether the project's use of resources was appropriate for achieving both the outputs and the outcome (project objective). It was examined whether the level of resourcing (funding, expertise) has led to satisfactory results. Combining information on both project costs and results would provide more insights than looking at those two components separately. Focusing on results alone would limit the use of data in strategic decision-making. Focusing on costs alone may distract from recommendations that aim to ensure quality in the results. A distinction has been made between two types: production and allocation efficiency. While the former evaluated the transformation of inputs into outputs, the latter evaluated the transformation of inputs into results at outcome level. This included the analysis of the extent to which even more results at output level could have been achieved with the same overall use of funds. It was therefore not only a question of investigating how costs could have been saved, but rather of how existing resources could have been better used to achieve the desired results. Following GIZ's guidelines on assessing efficiency, this central project evaluation applied the "follow the money" approach as a standard method for analysing the project's production efficiency. The evaluation team used an Excel tool developed by GIZ's Corporate Unit Evaluation to standardise the efficiency analysis of the project.

## Efficiency dimension 1: production efficiency

The following assessments were based on information extracted from the Kosten-Obligo (costs and commitments) report, a human resources output distribution tool, and further discussions with the project team and stakeholders, using GIZ's approach to the "follow-the-money" concept (Palenberg, 2011:46). The overview of all **individual** costs (Status November 2020) is shown in the following table. Considering a few final commitments and repayments that did not reflect yet in the cost-obligo report, it was found that project costs were in line with the planned budget.

Table 16: Overview of costs

<b>Module objective</b>	Stakeholders (regional organisations and their member states, civil society and the private sector) implement the EU economic partnership agreements in a way that fosters sustainable development.
<b>BMZ costs</b> (Sum of individual costs)	€2,803,506,34
<b>Cofinancing</b>	€0
<b>Partner inputs</b>	€0
<b>Total individual costs</b>	<b>€2,803,506,34</b>
<b>Residual funds</b> (BMZ costs and co-financing)	€68.841,35

Because the project was commissioned before the *Gemeinsame Verfahrensreform*, the progress reports did not contain any budget or actual comparison. However, the actual budget distribution over the three year project timeline was shared with the evaluation team. With the project starting in May 2017, in the first and last year substantially less budget was spent. According to the project management, the set-up (recruitment, identifying the appropriate parties, setting up relations with the EU and relevant participants in the regions was extremely challenging with the limited personnel in such a vast geographic area. Hence, very few project activities could be set up in the first year.

Table 17: Cost distribution over project timeline

Actual costs including commitment				
2017	2018	2019	2020	Total
€296,828,03	€1,105,855,21	€1,481,293,87	€447,224,25	€3,331,201,36

In a next step the evaluation team assessed the costs allocated under each output. Table 14 shows that to achieve output A, 45% of project costs were used. Output B used 35% of costs and Output C 19%. In the retrospective assessment, only marginal costs (1%) were allocated to overarching costs by the project management.

Table 18: Overview of costs allocated to outputs

	Output A	Output B	Output C
<b>Outputs</b>	State bodies, civil society organisations and private sector organisations have better knowledge of the potential and risks of the EPA for sustainable development.	The foundations for setting up a participatory EPA monitoring system have been created.	Stakeholders (regional organisations and their member states, civil society, private sector) make greater use of supraregional exchange platforms that deal with EPA-related issues.
<b>Total costs</b>	<b>€1,273,449,02</b>	<b>€983,302,53</b>	<b>€539,304,83</b>
<b>Total costs in %</b>	<b>45%</b>	<b>35%</b>	<b>19%</b>

The approach aimed to analyse production efficiency, which entailed contrasting the cost allocation to the achievement of results at output level. The findings of this analysis were further discussed during project team

interviews to complement the data with anecdotal reports. In retrospect, the cost allocation appeared to a great extent plausible. Output A was the most expensive output, as it entailed financing contracts and it had the highest share of third-party international consultants. The CARIFORUM Business Forum in Frankfurt required a high share of financial resources; 60% of travel costs were allocated under output A because participants always had to travel from their countries to the event location. Considering that the turnout to some of these events was not always given (see Chapter 4.4 on effectiveness), it could be argued whether all costs under output A were justified. Instead, virtual solutions could have been explored.

The participatory elaboration of the monitoring and evaluation framework in the two regions (output B) availed 35% of project cost, which represented the second biggest share. Considering its achievements, the investment seemed justified and efficient given that the result could be achieved in both regions and it surpassed expectations even more in the SADC region.

The smallest share of costs went into output C on cross-regional exchange. While these exchanges were instrumental in bringing forward certain topics (such as civil society engagement), the output could also be justified in that it did not go over budget. As mentioned above, the knowledge exchange had limitations given that the EPA implementation in the SADC region had just begun. The regions – due to their distance and geopolitical differences – also revealed a range of context-specific peculiarities that impeded knowledge exchange. The project’s decision to integrate a regional exchange as supplementary event to the Business Forum in Frankfurt was considered efficient by the evaluators from a cost-saving point of view and it enabled additional synergies between outputs.

The follow-the-money analysis tool also allowed understanding of how costs for personnel and third-party consultants were allocated across the outputs (see Table 19). Three international staff members and two regional part-time staff members in Barbados and Botswana were deployed in the project. Additional national and international short-term experts were hired. It appeared that international staff members and head office staff worked equally on output A and B and less on output C. The two national staff members in the country offices worked predominantly (60%) on output B, the establishment of the monitoring and evaluation framework. According to the project team, the project was substantially understaffed at the beginning, but then hired an additional junior project manager to support the implementation. Yet the overall human resources for such a cross-regional project in the given context were found to come to less.

Table 19: Allocation of human resource and instrument costs

	Output A	Output B	Output C	Overarching costs
International staff (AMA/PMA)	37%	42%	22%	0%
National staff	20%	60%	20%	0%
Head office staff (IMA/PMI)	35%	36%	29%	0%
ST international expert	57%	17%	26%	0%
ST national experts	17%	77%	6%	0%

Besides the retrospective analysis of cost-allocations, questions about the project’s efficiency were posed to the project team and partners to understand qualitative factors supporting or impeding its production efficiency, with the following conclusions.

**Division of work and project management:** Stakeholders confirmed that there was a good working relationship with the GIZ team in regard to project management, communications, and monitoring (Int\_3,7 with partner organisations). Within the team, the division of work was organised well, with two junior project managers and two regional project staff members each in charge of one region. Interns with backgrounds in trade and economics provided further support for data analysis in the monitoring processes. Roles and responsibilities within the team were clearly defined and followed.

**Trade-off between adopting a regional or national approach to implement activities:** A regional approach to collaborate with CARIFORUM and SADC states was central to the project objective and design, but it sometimes hindered the implementation of activities. The project team in the CARIFORUM region, from time to time, specifically approached national entities to lead the implementation of a certain activity. For example, the

Barbados Coalition of Services Industries organised a workshop on data protection, which was perceived as very successful (Int\_1 with GIZ). In the SADC region – despite the general regional approach – national entities should have been included to a greater extent to strengthen their capacities and encourage full involvement (Int\_1 with partner organisation).

**Travels and associated costs by event participants:** Stakeholders in the CARIFORUM mentioned that sometimes long-distance travel for participation in a single meeting could not be justified, especially when it required a short stay in the host country. It was suggested that remote participation could have been adopted or an extended stay scheduled that coupled meetings with other project activities (INT\_6 with partner organisations, INT\_1 with civil society and private organisations).

**Shared office spaces:** The national project staff representative in CARIFORUM had the opportunity to use office space within the premises of the Caribbean Export Development Agency and the national staff member in Botswana made use of office space of another GIZ project. This helped reduce costs and offered opportunities for additional synergies and close knowledge exchange.

**Outsourcing activities to local consultancies:** The follow-the-money analysis revealed an adequate choice of consultants. Third-party consultants from the regions were hired for activities under output B. In SADC, the project collaborated with local consultancies from South Africa and in the CARIFORUM region the collaboration continued with a previously involved local consultant. The choice of consultant proved to be very efficient, and allowed achievements in a short time span.

The evaluation team concluded that the project's production efficiency was good. Considering the challenges in project design and the broadness of output areas, the project found appropriate ways to allocate costs, create interactivity between outputs and make use of local consultants, which led to an efficient and professional project management. It was a challenge to find the balance between a regional approach while collaborating fruitfully with national bodies and participants.

Efficiency dimension 1 – production efficiency – scored **67 out of 70 points**.

#### **Efficiency dimension 2: allocation efficiency**

In terms of allocation efficiency, the evaluation team assessed to what extent the project's use of resources was appropriate in regard to achieving its objective. Allocation efficiency describes the transformation of inputs to outcomes. The question of the extent to which the outcome could have been maximised with the same amount of resources would be difficult to answer in this evaluation setting, especially with the limited number of days for this evaluation. In fact, the traditional approach for such an analysis would be to monetise the added value of outcomes and results at impact level (for example, through shadow price models). With this project, the evaluation basis for such an approach was limited because it was not possible to monetise the added value provided at outcome level. Generally, findings considered plausible assumptions and anecdotal evidence.

Allocation efficiency appeared to be satisfactory at first glance, given the achievement rates of outcome indicators that stayed within budget. The achievements on the monitoring and evaluation framework supported the hypothesis that inputs have been transformed to maximise outcomes. Given that regional exchange contributed less to the project objective (while supporting capacity building), the project's decision to invest less in this output area and link it to certain other activities also supports the concept of allocation efficiency. Additional conclusions on allocation efficiency could also be drawn below.

**Participatory planning:** Those interviewed suggested that the NEW project adopted a participatory approach, which was perceived as an important driver for allocation efficiency (Int\_1 with GIZ, INT\_8 with other stakeholder, Int\_2, INT\_6,7 with partner organisations, INT\_1 with civil society and private sector, INT\_10 with other stakeholder).

**Synergies with BMZ and the European Commission:** It proved very beneficial to have a BMZ delegate within the European’s Commission EPA department working on policy implementation in regard to monitoring and evaluation frameworks for different EPAs under implementation. The project team worked closely with the person in charge, which facilitated knowledge exchange in a rather sensitive setting in regard to information sharing. It enabled a close coordination with the commission in regard to the monitoring framework.

**Synergies with other donor organisations and international agencies:** The evaluation team could not identify close interactivity with other donors or agencies, which could be due to the German location of the project headquarters. Stakeholders in the CARIFORUM region did indeed observe scope for improving efficiency for donor harmonisation (Int\_1 with GIZ, INT\_2).

**Change of project management:** The fact that project management had changed three times during the project phase posed challenges in terms of continuity of established processes. Knowledge sharing and assimilation between the managers was good, but there was still some loss of information in the last stretch of the project.

**Scaling up achieved results:** While important achievements were made in the different output areas, the evaluation team could not find indicators for scaling up positive results achieved through this project.

With the given data, the evaluation team concludes that the project’s allocation efficiency has been very successful.

Efficiency dimension 2 – allocation efficiency – **scored 25 out of 30 points.**

### Methodology for assessing efficiency

Table 20: 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)	Transformation of inputs to outputs based on: <ul style="list-style-type: none"> <li>• GIZ efficiency tool</li> <li>• Kostenträger-Obligo report of the project</li> <li>• The results matrix</li> <li>• Progress reports</li> <li>• Results-based monitoring system</li> </ul>	<b>Evaluation design:</b> <ul style="list-style-type: none"> <li>• The analysis follows the analytical questions from the evaluation matrix.</li> <li>• It uses a follow-the-money approach.</li> </ul> <b>Empirical methods:</b> <ul style="list-style-type: none"> <li>• Interview with project management and project team, document analysis.</li> </ul>	Moderate evidence strength due to retrospective cost allocation
<b>Allocation efficiency</b> (Resources/outcome)	<ul style="list-style-type: none"> <li>• Transformation of inputs to outcome based on:</li> <li>• GIZ efficiency tool</li> <li>• Kostenträger-Obligo report of the project</li> <li>• The results matrix</li> <li>• Progress reports</li> <li>• Results-based monitoring system</li> </ul>	<b>Evaluation design:</b> <ul style="list-style-type: none"> <li>• The analysis follows the analytical questions from the evaluation matrix (see annex).</li> <li>• It uses a follow-the-money approach.</li> </ul> <b>Empirical methods:</b> <ul style="list-style-type: none"> <li>• Interviews with project partner and project team, document analysis.</li> </ul>	Low evidence strength due to anecdotal evidence on maximizing outcomes

## 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 21: Rating of OECD/DAC criterion – sustainability

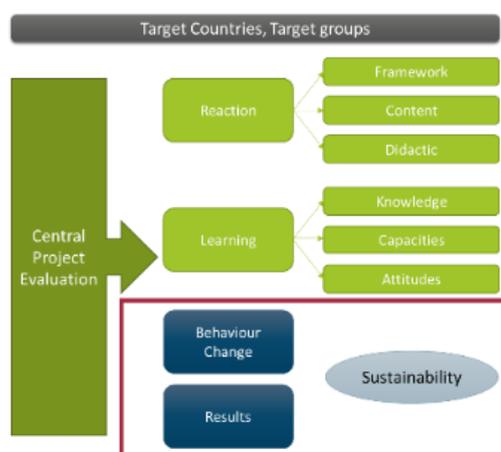
Criterion	Assessment dimension	Score and rating
Sustainability	Capacities of the beneficiaries and stakeholders	n/a <sup>7</sup>
	Contribution to supporting sustainable capacities	35 out of 50 points
	Durability of results over time	42 out of 50 points
<b>Sustainability score and rating</b>		Score: <b>77 out of 100 points</b> Rating: <b>moderately successful</b>

The project's contribution to supporting sustainable capacities in its area of support was assessed as good; evidence was found that those taking part in training and events applied their new knowledge and put it into action. However, in the SADC region further knowledge dissemination would be needed to spread information to a broader range of stakeholders. In CARIFORUM, sharing knowledge through videos and partner websites supported the sustainability of gained capacities. In both contexts, staff turnover – especially among public stakeholders – represented a great threat to sustainability. Knowledge sharing mechanisms, such as training-of-trainer set-ups, had not been established in the project phase but form part of the follow-up phase. The durability of results was assessed positively for accomplishments with the monitoring framework. Both regions might require further EPA-related capacity building for monitoring risks and making better use of opportunities. COVID-19 has increased the vulnerability of both regions and will pose additional challenges for the future.

**In total, the sustainability of the project was rated level 3: moderately successful with 75 out of 100 points.**

### Analysis and assessment of sustainability

Because the analysis of sustainability went hand in hand with assessing the impact and effectiveness of the project, a similar methodological basis was chosen that allowed the team to build findings upon each other. Referring to the Kirkpatrick model, under this criterion the evaluation team collected evidence on whether **behaviour change and results (Kirkpatrick Level 3 and 4) are long-lasting**. Perception-based assessments from interviewees were supplemented with data from secondary documents on the approaches, methods, models and instruments in place and the available resources and capacities at individual, organisational or social/political level.



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

<sup>7</sup> This evaluation was carried out prior to the introduction of the new assessment dimension 'capacities of the beneficiaries and stakeholders'. This assessment dimension has therefore not been applied in this evaluation. The content was part of the second assessment dimension of sustainability.

This evaluation was carried out before the new assessment dimension **capacities of the beneficiaries and stakeholders** was introduced. This assessment dimension has therefore not been applied in this evaluation. The content was part of the second assessment dimension of sustainability.

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

The project's contribution to supporting sustainable capacities in its area was assessed as good. There was generally high satisfaction among the interviewed stakeholders on capacities gained due to the contribution made by GIZ to implementing the EPA. Some stakeholders confirmed that GIZ's engagement and support resulted in increased motivation and trust for participating in EPA implementation activities (Int\_ 2,4 with partner organisations, Int\_6,9 with other stakeholder). **In the SADC region**, evidence could be identified that those involved in the project's activities proactively engaged in continued knowledge building. According to stakeholder interviews (Int\_1 with partner organisations), Botswana has been sharing a simplified version of the EPA with the private sector and it has appointed the respective national authorities to review standard regulations and income and customs acts. The Ministry of Transport and Communication has been developing an e-commerce strategy that would help firms enhance their market. In addition, a few training sessions for private sector representatives have been offered through local bodies.

Challenges to sustainability have also been found. In regard to capacity building in SADC, consistency in attendance – especially of public stakeholders – presented risks. Recently, Botswana and Namibia held elections, which led to changing roles within the strategic ministries (Int\_ 4 with partner organisations). This posed risks to the training on offer because no evidence on in-house training or knowledge sharing between officers in different governments could be identified. Stakeholders confirmed the need to spread information to a 'broad stakeholdership' to foster meaningful engagement (Int\_ 4 with other stakeholder).

Similarly, employee turnover **in the CARIFORUM states** also affected the sustainability of training and capacity building. However, the project used digital documentation (such as videos) and information management (event descriptions) to ensure relevant, accessible and appealing information on websites (Int\_8,10 with other stakeholder, INT\_7 with partner organisations, Int\_1 with GIZ). By supporting CEDA, the project had chosen a well-established institution with resources available through internal and external funding to continue capacity building activities. In contrast, several interview partners mentioned that the CARIFORUM directorate and national statistical offices may rely on GIZ support for data collection, analysis and consultations to fulfil commitments in regard to the monitoring and evaluation framework (Int\_1 with GIZ, Int\_7 with partner organisations, Int\_10 with other stakeholder).

Sustainability dimension 2 – contribution to supporting sustainable capacities – scored **35 out of 50 points**.

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

**In the SADC region**, the project provided support measures on EPA implementation for the first time. More support in realising the EPA and building necessary capacities and export strategies will be needed to maintain and further strengthen capacities at different levels. Above all, the SADC-EPA Unit would require further support to strengthen the coordination between member states. The foundations for setting up a participatory EPA monitoring system have been created. The current state of EPA monitoring has been encouraging. After lengthy deliberation from concerned parties, all have come to a common understanding and agreement. The monitoring and evaluation framework was agreed and adopted in February 2021, and the actual monitoring and evaluation began in June 2021 (Int\_4 with partner organisations).

Follow up measures have so far taken place on an adhoc basis. For example, to strengthen the role of civil society, further training and meetings with civil society organisations on their support in the EPAs have taken place in Botswana (Int\_ 1 with partner organisations).

**In the CARIFORUM region**, it has been generally foreseen that CARIFORUM will continue to need external

support to effectively understand, measure and leverage opportunities and counteract risks of the EPA over time. This would be due to the region's inherent vulnerabilities and small size, and its limited human resources and absorptive and administrative capacities (Int\_2,9,10 with other stakeholder, Int\_7 with partner organisations). Given stringent pre-programming administration by the EU, GIZ support would be more likely when the EU is leading on an activity (Int\_1 with GIZ). Interviewees expressed worries regarding the EU's intensified interest in Africa and anticipated a shift in resources away from the Caribbean. The move was perceived as an undesirable development for the partners and beneficiaries, who prefer that the GIZ NEW programme continues (Int\_1 with GIZ, Int\_2, Int\_6 with partner organisations, INT\_9,10 with other stakeholder, Int\_1,2 with civil society and private organisations, Int\_7 with partner organisations). Indeed, facilitating increased Caribbean-African cooperation – as anticipated by the project – was suggested as a risk mitigation measure for the Caribbean against the loss of funding from European sources (Int\_7 with partner organisations, Int\_10 with other stakeholder). With the conclusion of the 11th European Development Fund, the contribution from GIZ would be especially important and Germany's role in the region would be even more important given UK withdrawal from the EU (Int\_2).

By providing a methodological as well as institutional support for establishing the monitoring and evaluation system, major tasks towards successfully setting up the framework could be completed. Furthermore, those involved confirmed increased awareness and know-how, which represented an important prerequisite for sustainability (Int\_6,7 with partner organisations, Int\_10 with other stakeholder). When asked what would have happened without the project, interview respondents stated that the project was a prerequisite for systematically monitoring EPA implementation and transforming a situation where CARIFORUM did not realise the benefits of the economic partnership agreement to growth.

In the future, information gathered with the joint EPA monitoring and evaluation framework should feed into the periodic review of EPA implementation (Int\_7 with partner organisations). However, a few respondents suggested that the rate of impact from the framework was limited by slow implementation that could be attributable – apart from COVID-19 – to CARIFORUM's inexperience in this scale of reciprocal trade agreement implementation and competitive trade (Int\_7 with partner organisations, Int\_10 with other stakeholder). This had led to apparent difficulty on the part of stakeholders in absorbing some of the information presented to them (Int\_7 with partner organisations).

The evaluation team concluded that the durability of results proved promising for those achieved on the monitoring framework, while the capacity building might not have yet achieved that durability. Both contexts were highly affected by the aftermath of the COVID-19 pandemic – especially the economic fallout on tourism and the creative industries, which could become increasingly vulnerable in the future.

Sustainability dimension 3 – durability of results over time – scored **40 out of 50 points**

## Methodology for assessing sustainability

Table 22: Methodology for assessing OECD/DAC criterion – sustainability

Sustainability: assessment dimensions	Basis for assessment	Evaluation design and empirical methods	Data quality and limitations
Capacities of the beneficiaries and stakeholders	-	-	-
Contribution to supporting sustainable capacities	Project monitoring data Stakeholder perception	<b>Evaluation design:</b> The analysis follows the analytical questions from the evaluation matrix (see Annex 1). <b>Empirical methods:</b> Interviews	<ul style="list-style-type: none"> <li>• Low strength of evidence;</li> <li>• Limitations due to short timeframe of the project and no predecessor</li> <li>• Virtual interviews hindered detailed questioning on potential sustainability.</li> </ul>
Durability of results over time	Final project report Project monitoring data	<b>Evaluation design:</b> Prognosis of durability of the results by partners and GIZ team. <b>Empirical methods:</b> Interviews	<ul style="list-style-type: none"> <li>• Low strength of evidence</li> <li>• Limitations due to short timeframe of the project and no predecessor</li> <li>• Virtual interviews hindered detailed questioning on potential sustainability.</li> </ul>

Photo 4: Trade Fair Mineral & Gem 2019 in Sainte-Marie-aux-Mines, France © Andreas Lange



## 4.8 Key results and overall rating

According to the evaluator's assessment, the project was successful. Considering the complexity of the sector with national and international participants as well as many challenges in the political and structural landscape, the project was the only bilateral initiative that specifically supported EPA implementation and provided important support to achieve advances in certain areas. Because the role of the agreement in the context of sustainable development has continued to be disputed, public and private bodies need to understand the importance of monitoring results of the agreement. The project teams activities were perceived as relevant and based on stakeholders' demands, and module objective indicators seen as achievable. Important contributions to key results, such as the monitoring and evaluation framework, could be made. While overarching development results were difficult to assess, at impact level the project contributed to specialised areas for an improved implementation of the EPA. The sustainability of results could be questioned to some extent in regard to capacity building activities, but sustainability had definitely been achieved for the monitoring and evaluation frameworks.

Photo 5: Music performance at the 4th CARIFORUM-EU Business Forum ©CEDA



Table 23 summarises the final ratings provided to each of the OECD-DAC criteria.

Table 23: Overall rating of OECD/DAC criteria and assessment dimensions

Evaluation criteria	Dimension	Max	Score	Total (max.100)	Rating
<b>Relevance</b>	Alignment with policies and priorities	30	25	<b>82</b>	Level 2: successful
	Alignment with the needs and capacities of the beneficiaries and stakeholders	30	25		
	Appropriateness of the design	20	15		
	Adaptability – response to change	20	17		
<b>Coherence*</b>	Internal coherence*	n/a*	n/a*	n/a*	n/a*
	External coherence*	n/a*	n/a*		
<b>Effectiveness</b>	Achievement of the (intended) objectives	40	35	<b>82</b>	Level 2: successful
	Contribution to achievement of objectives	30	20		
	Quality of implementation**	n/a**	n/a**		
	Unintended results	30	27		
<b>Impact</b>	Higher-level (intended) development changes/results	30	25	<b>83</b>	Level 2: successful
	Contribution to higher-level (intended) development results/changes	40	35		
	Contribution to higher-level (unintended) development results/changes	30	23		
<b>Efficiency</b>	Production efficiency	70	67	<b>92</b>	Level 1: highly successful
	Allocation efficiency	30	25		
<b>Sustainability</b>	Capacities of the beneficiaries and stakeholders***	n/a***	n/a***	<b>77</b>	Level 3: moderately successful
	Contribution to supporting sustainable capacities	50	35		
	Durability of results over time	50	42		
<b>Mean score and overall rating</b>		<b>100</b>		<b>83</b>	<b>Level 2: successful</b>

\*This evaluation was carried out prior to the introduction of the new criterion of **coherence**. The criterion has therefore not been applied in this evaluation.

\*\*This evaluation was carried out prior to the introduction of the new assessment dimension **quality of implementation**. This assessment dimension has therefore not been applied in this evaluation. The content was part of the other assessment dimensions in effectiveness.

\*\*\*This evaluation was carried out prior to the introduction of the new assessment dimension **capacities of the beneficiaries and stakeholders**. This assessment dimension has therefore not been applied in this evaluation. The content was part of the second assessment dimension of sustainability.

Table 24: 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

**Overall rating:** The criteria of effectiveness, impact and sustainability are knock-out criteria. If one of the criteria is rated at level 4 or lower, the overall rating cannot go beyond level 4 although the mean score may be higher.

# 5 Conclusions and recommendations

## 5.1 Key findings and factors of success/failure

To facilitate learning from the outcomes of this evaluation, this section collates key factors of success along with the central weaknesses of the project. Efforts and positive achievements in the factors of success (which sometimes overlap) have the potential to leverage current achievements, mitigate current or future risks, or prove applicable to other projects.

### Factors of success

- **Adopting a participatory approach:** Despite the complex set-up, stakeholders emphasised that the project team sufficiently engaged stakeholders when planning activities, which was deemed necessary to ensure attendance and achieve active participation to the best extent. While stakeholders confirmed their involvement, they also argued that more flexibility could have facilitate further involvement.
- **Reflecting on learning experiences and monitoring data:** The project team continued to reflect on its activities and reviewed monitoring data to learn from the target group's feedback and make decisions accordingly.
- **Dealing with the given complexity:** Overall, the team dealt well with challenges posed by the project's complexities and the political sensitivity of participating groups and cross-regional perspectives. This was possible because the flexible project implementation was more demand-driven than supply-driven. Stakeholder perceptions and preferences occupied most of the centre stage. However, according to the project this also led to situations where too many activities were sometimes implemented at the same time. This has been taken on board as an important lesson to incorporate into the follow-up project.
- **Making use of local knowledge:** The employment of staff members and consultants based in the local area or region proved very beneficial for the successful implementation of the activities. Despite the consultants' limited resources to act, local staff representatives played a key role in liaising with the partner institutions and pushing forward activities on the ground.
- **Implementing the perspective of international cooperation with regions in an efficient way:** The conditions set by international cooperation with regions financing were perceived as challenging by both the project team and partners. However, the project worked well to incorporate the cross-regional perspective in a targeted way, creating synergies with other output areas and corresponding activities.

### Factors of weakness

- **Lacking a structured approach to monitoring:** While the project continuously gathered feedback from its target groups and reflected on findings, the monitoring processes should be more structured. It should follow standard templates and be able to aggregate and compare data. The project would thus enhance the use of the feedback it has gathered.
- **Limited sustainability of capacity building:** Stakeholders argued that there was a lack of continuity in training and event activities, owing to the adhoc nature of the NEW project's support. Some activities were seen as one-time-events with no mechanisms for ensuring the dissemination or application of knowledge.
- **Limited cost-effectiveness due to past travel obligations for participants:** Considering that a wide range of members were involved from both regions, the cost benefit ratio of cross-regional travel relative to the productive agenda of activities and length of stay could have been more carefully considered. Digital formats could yield a fruitful alternative to mitigate travelling and enhance outreach to more participants.
- **Change of project management:** The fact that project management had changed three times during the project phase caused certain obstacles in terms of continuity. Knowledge sharing between the managers was good, but there was still information loss that posed challenges in the last stretch of the project. In

specific, some of the data collection for monitoring could not be concluded within the project timeline.

## Findings regarding 2030 Agenda

As mentioned in the beginning, the project was set up to help implement the provisional EPA and increase the capacity of the agreements to support sustainable development and poverty reduction. The project, adopting a multifaceted approach dedicated to promoting open and equitable trade for development, directly contributed to the targets set by SDG 17. Because this has entailed many cross-cutting aspects, indirect contributions to other goals of Agenda 2030 occurred and the interplay between economic, environmental and social dimensions was fostered. In the CARIFORUM region, the project contributed to SDG 7 (affordable and clean energy) and SDG 11 (sustainable cities and communities). Factors in this included a train-the-trainers project on labelling requirements from CARICOM's Regional Organisation for Standards and Quality; due to its design this initiative had strong connections with other GIZ projects and ongoing energy policy development and implementation initiatives at the CARICOM level. The next phase of regional initiatives focused on increasing renewables to reduce reliance on fossil fuels.

The project also contributed to SDG 8 – decent work and economic growth – through its support to export promotion, increased dissemination of market intelligence on the EU, and access to networks and business-to-business contacts of CARIFORUM commercial participants and business support organisations.

## 5.2 Recommendations

These proposals have been based on findings of the previous sections in this report. They are divided into two sections and addressed to specific parties and stakeholders within GIZ and partner organisations.

### Recommendations for the follow-up project and design of new initiatives: to the project team and GIZ FMB

**Continue the focus on export facilitation:** The evaluation showed that an increase in exports from the respective regions is vital to successfully implementing the EPA. It therefore recommended expansion of business-to-business engagement between German and Caribbean commercial players, and further engagement between German expert organisations and their CARIFORUM counterparts. Future projects should focus on a limited number of value chains to provide more targeted support. Furthermore, it could also be beneficial to expand and continue engagement between firms from CARIFORUM and other ACP regions.

**Institutional partnerships for improved sustainability of measures:** Continue to deepen institutional partnerships to support continuity of efforts and build on successes achieved in previous initiatives.

**Foster the dialogue with civil society organisations:** The evaluation showed that civil society engagement has been instrumental so far, but not sufficiently meaningful. Civil society organisations should be more actively engaged in EPA implementation and monitoring. It was therefore recommended that the follow-up project again invests in civil society engagement, even if only as a subsidiary activity. A continued cross-regional exchange through the Asian, Caribbean and Pacific areas could further support the discourse on civil society involvement.

**Empowerment of regional parties:** While the GIZ project drove stakeholder engagement, regional players should be empowered to adopt the coordination role in the follow-up phase. Potential incentives could involve enhanced visibility and regional acknowledgement of their expertise.

**Consider specific activities geared towards post-COVID recovery:** Conditions caused by the COVID-19 pandemic have hit the regions hard, which has led to increased vulnerability of single states and risk aversion

to export. Follow-up initiatives could integrate special activities to mitigate pandemic-related negative outcomes for different stakeholders.

**Adopt train-the-trainer models:** Some of the capacity building activities were perceived as one-off events with insufficient knowledge dissemination and institutionalisation. Therefore, capacity building should shift from targeting individual offers to fostering trainer-the-trainer initiatives in different member countries. This could better maintain the sustainability of training and workshops, especially at public sector level.<sup>8</sup>

### **Recommendation on the general project implementation: to the project team**

**Improve project monitoring:** While it was noted positively that the project team made efforts to continuously gather monitoring data, its monitoring and evaluation system still showed room for improvement. However, GIZ partner reporting could be aligned with monitoring processes to better analyse aggregate findings. While Excel-based templates already support better data analysis, the project could also consider setting up a digital monitoring system to ensure the continuous feed-in of data into implementing processes.

### **Recommendation for the target regions: to key project partners**

**Consolidate and address export challenges:** According to perspectives from different stakeholders, the SADC-EPA should come up with a forum or an organisation to address export challenges – such as the absence of structures to facilitate standard upkeep and traceability – and provide targeted support measures for private sector bodies. The SADC region could follow the example of CARIFORUM and CEDA.

**Acknowledge the need for financial investment:** The evaluation revealed that commercial players in the SADC region have required substantial investment to meet the standards of producing for the EU market and exporting to it. While this cannot be borne by technical assistance projects, future activities could try to align with other parties to mitigate the existing financial gap so private sector organisations could make use of the EPA.

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<sup>8</sup> Indeed, in response to the lack of continuity in workshop attendance, in the follow-up phase GIZ has already moved from directly training ministry officials to trainer of trainer initiatives (Int\_2 with GIZ).

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## Annex: Evaluation matrix

OECD-DAC Criterion Relevance (max. 100 points)						
Assessment dimensions	Filter - Project Type	Evaluation questions	Evaluation Indicators	Data collection methods (e.g. interviews, focus group discussions, documents, project/partner monitoring system, workshop, survey, etc.)	Data sources (list of relevant documents, interviews with specific stakeholder categories, specific monitoring data, specific workshop(s), etc.)	Evidence strength (moderate good strong)
<b>The project concept (1) is in line with the relevant strategic reference frameworks.</b>	Standard	Which strategic reference frameworks exist for the project? (e.g. national strategies incl. national implementation strategy for 2030 agenda, regional and international strategies, sectoral, cross-sectoral change strategies, if bilateral project especially partner strategies, internal analysis frameworks e.g. safeguards and gender (2))	List of strategic reference frameworks	Document identification according to snowball principle; document analysis	Caribbean Export Development Agency Strategic Plan, CARIFORUM EPA_Agreement Text, CARICOM Regional Strategy for the Development of Statistics, SADC Trade Development and Trade Promotion Framework, SADC-EPA_contract text	strong
	Standard	To what extent is the project concept in line with the relevant strategic reference frameworks?	Comparison of objectives and goals between project and frameworks	Document identification according to snowball principle; document analysis	Project proposal, ZAK preparation; strategic reference documents (see above)	strong
	Standard	To what extent are the interactions (synergies/trade-offs) of the intervention with other sectors reflected in the project concept – also regarding the sustainability dimensions (ecological, economic and social)?	Assessment of cross-sectoral interactions	Document analysis of the project concept	Project proposal, ZAK preparation	strong
	Standard	To what extent is the project concept in line with the Development Cooperation (DC) programme (if applicable), the BMZ country strategy and BMZ sectoral concepts?	Comparison of objectives and goals between project and BMZ documents	Document analysis of the project concept and BMZ strategy	Project proposal, BMZ "Trade as a driver for development – The German Strategy for Aid for Trade 2017"	strong
	Standard	To what extent is the project concept in line with the (national) objectives of the 2030 agenda? To which Sustainable Development Goals (SDG) is the project supposed to contribute?	Comparison with relevant SDGs	Document analysis of the project concept and Agenda 2030	Project proposal, Agenda 2030	strong
	Standard	To what extent is the project concept subsidiary to partner efforts or efforts of other relevant organisations (subsidiarity and complementarity)?	Perception of key partners	Donor document identification according to snowball principle; Interviews	Project proposal, progress reports, Interviews with EU delegation in Barbados and Botswana	moderate
	and IZR	To what extent does the project complement bilateral or regional projects? To what extent does it complement other global projects?	Comparison current status and goals Perception partners	Review of other projects in the region	Project proposal, progress reports; Interviews with project representatives	strong
	and IZR	To what extent is the measure geared towards solving a global challenge that cannot only be effectively addressed bilaterally/ regionally?	Assessment of value added by ICR	Interviews	Interviews with EU delegation in Barbados and Botswana, Interview with BMZ representative	strong

	and IZR	To what extent does the measure close gaps in the solution of global development problems where classical multilateralism reaches its limits?	Changes in legislation Changes in project set-up	Interviews	Interviews with EU delegation in Barbados and Botswana, Interview with BMZ representative; Interview with stakeholders in Germany	strong
<b>The project concept (1) matches the needs of the target group(s).</b>	Standard	To what extent is the chosen project concept geared to the core problems and needs of the target group(s)?	Comparison needs identified and perspectives of atarget group	Document analysis; Interviews	Document analysis of project planning document; Interviews with target group representatives from the public, private and CSO sector	strong
	Standard	How are the different perspectives, needs and concerns of women and men represented in the project concept?	Gender sensitivity of the project	Document analysis of project planning documents; Interviews	Document analysis of project planning document; Interviews with target group representatives from the public, private and CSO sector	good
	Standard	To what extent was the project concept designed to reach particularly disadvantaged groups (LNOB principle, as foreseen in the Agenda 2030)? How were identified risks and potentials for human rights and gender aspects included into the project concept?	Disadvantaged groups are considered in key project documents	Document analysis of project planning documents; Interviews	Document analysis of project planning document; Interviews with target group representatives from the public, private and CSO sector	good
	Standard	To what extent are the intended impacts regarding the target group(s) realistic from todays perspective and the given resources (time, financial, partner capacities)?	The needs assessed regarding the target group are realistic	Interviews	Document analysis of project planning document; Interviews with target group representatives from the public, private and CSO sector	good
<b>The project concept (1) is adequately designed to achieve the chosen project objective.</b>	Standard	Assessment of current results model and results hypotheses (theory of change, ToC) of actual project logic: - To what extent is the project objective realistic from todays perspective and the given resources (time, financial, partner capacities)? - To what extent are the activities, instruments and outputs adequately designed to achieve the project objective? - To what extent are the underlying results hypotheses of the project plausible? - To what extent is the chosen system boundary (sphere of responsibility) of the project (including partner) clearly defined and plausible? - Are potential influences of other donors/organisations outside of the project's sphere of responsibility adequately considered? - To what extent are the assumptions and risks for the project complete and plausible?	The results model represents the projet logic in an adequate way	Analysis of results model	Project's original and updated results model; Interview with FMB, Interview with project management	good
	Standard	To what extent does the strategic orientation of the project address potential changes in its framework conditions?	Changes in legislation Changes in project set-up	Document review; Interviews		
	Standard	How is/was the complexity of the framework conditions and guidelines handled? How is/was any possible overloading dealt with and strategically focused?	Risks / bottlenecks outside the sphere of responsibility mentioned by project staff	Document review; Interviews	Interview with project management and Focus Group Discussion with project staff	moderate

<b>The project concept (1) was adapted to changes in line with requirements and re-adapted where applicable.</b>	Standard	What changes have occurred during project implementation? (e.g. local, national, international, sectoral, including state of the art of sectoral know-how)?	List of changes occurred	Document review; Interviews	Interview with project management and Focus Group Discussion with project staff	strong	
	Standard	How were the changes dealt with regarding the project concept?	Activities conducted to address changes	Interviews	Interview with project management and Focus Group Discussion with project staff	strong	
(1) The 'project concept' encompasses project objective and theory of change (ToC, see 3) with activities, outputs, instruments and results hypotheses as well as the implementation strategy (e.g. methodological approach, CD-strategy, results hypotheses)							
(2) In the GIZ Safeguards and Gender system risks are assessed before project start regarding following aspects: gender, conflict, human rights, environment and climate. For the topics gender and human rights not only risks but also potentials are assessed. Before introducing the new safeguard system in 2016 GIZ used to examine these aspects in separate checks.							
(3) Theory of Change = GIZ results model = graphic illustration and narrative results hypotheses							
(4) Deescalating factors/ connectors: e.g. peace-promoting actors and institutions, structural changes, peace-promoting norms and behavior. For more details on 'connectors' see: GIZ (2007): 'Peace and Conflict Assessment (PCA). Ein methodischer Rahmen zur konflikt- und friedensbezogenen Ausrichtung von EZ-Maßnahmen', p. 55/135.							
(5) Escalating factors/ dividers: e.g. destructive institutions, structures, norms and behavior. For more details on 'dividers' see: GIZ (2007): 'Peace and Conflict Assessment (PCA). Ein methodischer Rahmen zur konflikt- und friedensbezogenen Ausrichtung von EZ-Maßnahmen', p. 135.							
(6) All projects in fragile contexts, projects with FS1 or FS2 markers and all transitional aid projects have to weaken escalating factors/dividers and have to mitigate risks in the context of conflict, fragility and violence. Projects with FS1 or FS2 markers should also consider how to strengthen deescalating factors/ connectors and how to address peace needs in its project objective/sub-objective?							

OECD-DAC Criterion Effectiveness (max. 100 points)						
Assessment dimensions	Filter - Project Type	Evaluation questions	Evaluation Indicators	Data collection methods (e.g. interviews, focus group discussions, documents, project/partner monitoring system, workshop, survey, etc.)	Data sources (list of relevant documents, interviews with specific stakeholder categories, specific monitoring data, specific workshop(s), etc.)	Evidence strength (moderate good strong)
<b>The project achieved the objective (outcome) on time in accordance with the project objective indicators.(1)</b>	Standard	To what extent has the agreed project objective (outcome) been achieved (or will be achieved until end of project), measured against the objective indicators? Are additional indicators needed to reflect the project objective adequately?	Achievement of project objective indicators	Review of monitoring data and indicator description sheets; analysis of survey data and reports; Triangulated with interviews	Indicator description sheets; interviews with key implementing partners	strong
	Standard	To what extent is it foreseeable that unachieved aspects of the project objective will be achieved during the current project term?	Partners and project team confirm that unachievable aspects are likely to be achieved	Interviews	Project management and staff; key implementing partner interviews	good
<b>The activities and outputs of the project contributed substantially to the project objective</b>	Standard	To what extent have the agreed project outputs been achieved (or will be achieved until the end of the project), measured against the output indicators? Are additional indicators needed to reflect the outputs adequately?	Achievement of output indicators	Review of monitoring data and indicator description sheets; analysis of survey data and reports; Triangulated with interviews	Indicator description sheets; interviews with key implementing partners	strong

<b>achievement (outcome).(1)</b>	Standard	How does the project contribute via activities, instruments and outputs to the achievement of the project objective (outcome)? (contribution-analysis approach)	Training effectiveness is proven (Kirkpatrick); Evidence for hypotheses established/rejected	Review of monitoring data at reaction and learning level; data collection via online survey	Review of workshop/training evaluation reports; Interviews with capacity building participants, key implementing partners	strong
	Standard	Implementation strategy: Which factors in the implementation contribute successfully to or hinder the achievement of the project objective? (e.g. external factors, managerial setup of project and company, cooperation management)	Open question on hindering and supporting factors	Interviews; Focus Group discussion	Interviews with all key stakeholders, FGD with project team	strong
	Standard	What other/alternative factors contributed to the fact that the project objective was achieved or not achieved?	Alternative factors are identified	Interviews; Focus Group discussion	Interviews with all key stakeholders, FGD with project team	good
	Standard	What would have happened without the project?	Perception of project staff and partners	Interviews; Focus Group discussion	Interviews with all key stakeholders, FGD with project team	good
<b>No project-related (unintended) negative results have occurred – and if any negative results occurred the project responded adequately.</b>  <b>The occurrence of additional (not formally agreed) positive results has been monitored and additional opportunities for further positive results have been seized.</b>	Standard	Which (unintended) negative or (formally not agreed) positive results does the project produce at output and outcome level and why?	Additional results are identified	Interviews; Focus Group discussion	Interviews with all key stakeholders, FGD with project team	good
	Standard	How were risks and assumptions (see also GIZ Safeguards and Gender system) as well as (unintended) negative results at the output and outcome level assessed in the monitoring system (e.g. 'Kompass')? Were risks already known during the concept phase?	Assessment of monitoring system on risks	Analysis of monitoring system on risks; Document analysis	Excel-based monitoring sheet	moderate
	Standard	What measures have been taken by the project to counteract the risks and (if applicable) occurred negative results? To what extent were these measures adequate?	Risk mitigation measures identified	Analysis of monitoring system on risks; Document analysis	Excel-based monitoring sheet	moderate
	Standard	To what extent were potential (not formally agreed) positive results at outcome level monitored and exploited?	Risk management and monitoring	Analysis of monitoring system on risks	Excel-based monitoring sheet	moderate

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

(2) Deescalating factors/ connectors: e.g. peace-promoting actors and institutions, structural changes, peace-promoting norms and behavior. For more details on 'connectors' see: GIZ (2007): 'Peace and Conflict Assessment (PCA). Ein methodischer Rahmen zur konflikt- und friedensbezogenen Ausrichtung von EZ-Maßnahmen', p. 55/135.

(3) Escalating factors/ dividers: e.g. destructive institutions, structures, norms and behavior. For more details on 'dividers' see: GIZ (2007): 'Peace and Conflict Assessment (PCA). Ein methodischer Rahmen zur konflikt- und friedensbezogenen Ausrichtung von EZ-Maßnahmen', p. 135.

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

(5) Risks in the context of conflict, fragility and violence: e.g. contextual (e.g. political instability, violence, economic crises, migration/refugee flows, drought, etc.), institutional (e.g. weak partner capacity, fiduciary risks, corruption, staff turnover, investment risks) and personnel (murder, robbery, kidnapping, medical care, etc.). For more details see: GIZ (2014): 'Context- and conflict-sensitive results-based monitoring system (RBM). Supplement to: The 'Guidelines on designing and using a results-based monitoring system (RBM) system.', p.27 and 28.

OECD-DAC Criterion Impact (max. 100 points)

Assessment dimensions	Filter - Project Type	Evaluation questions	Evaluation Indicators	Data collection methods (e.g. interviews, focus group discussions, documents, project/partner monitoring system, workshop, survey, etc.)	Data sources (list of relevant documents, interviews with specific stakeholder categories, specific monitoring data, specific workshop(s), etc.)	Evidence strength (moderate good strong)
<b>The intended overarching development results have occurred or are foreseen (plausible reasons). (1)</b>	Standard	To which overarching development results is the project supposed to contribute (cf. module and programme proposal with indicators/ identifiers if applicable, national strategy for implementing 2030 Agenda, SDGs)? Which of these intended results at the impact level can be observed or are plausible to be achieved in the future?	Overarching development results the project is contributing to	Analysis of document; interviews	Review of the updated results model and continuous adaptation; interview with project management and BMZ representative	moderate
	and IZR	To what extent have the IZR criteria contributed to strengthening overarching development results?	Assessment of ICR criteria to overarching development results	Analysis of criteria in respect to the project; interviews	Interview with project management, BMZ representative, key implementing project partners	moderate
	Standard	Indirect target group and 'Leave No One Behind' (LNOB): Is there evidence of results achieved at indirect target group level/specific groups of population? To what extent have targeted marginalised groups (such as women, children, young people, elderly, people with disabilities, indigenous peoples, refugees, IDPs and migrants, people living with HIV/AIDS and the poorest of the poor) been reached?	Degree of contribution at target group level; Perception of partners on impact for final beneficiaries	Interviews	Focus group discussion with project team, interview with project management (former and current director), implementing partner	moderate
<b>The project objective (outcome) of the project contributed to the occurred or foreseen overarching development results (impact).(1)</b>	Standard	To what extent is it plausible that the results of the project on outcome level (project objective) contributed or will contribute to the overarching results? (contribution-analysis approach)	Training effectiveness is proven (Kirkpatrick); Evidence for hypotheses established/rejected (Behaviour and results)	Online survey	Online-survey	good
	Standard	What are the alternative explanations/factors for the overarching development results observed? (e.g. the activities of other stakeholders, other policies)	Alternative factors explained	Interviews	Focus group discussion with project team, interview with project management (former and current director), implementing partner	moderate
	Standard	To what extent is the impact of the project positively or negatively influenced by framework conditions, other policy areas, strategies or interests (German ministries, bilateral and multilateral development partners)? How did the project react to this?	Influence of framework conditions	Interviews, Document analysis	Focus group discussion with project team, interview with project management (former and current director), implementing partner; analysis of external reports	moderate
	Standard	What would have happened without the project?	Counterfactual situation	Interviews, Focus Group Discussion	Focus group discussion with project team, interview with project management (former and current director), implementing partner	moderate

	Standard	To what extent has the project made an active and systematic contribution to widespread impact and were scaling-up mechanisms applied (2)? If not, could there have been potential? Why was the potential not exploited? To what extent has the project made an innovative contribution (or a contribution to innovation)? Which innovations have been tested in different regional contexts? How are the innovations evaluated by which partners?	Additional impacts identified; Synergies leveraged	Interviews, Focus Group Discussion	Focus group discussion with project team, interview with project management (former and current director), implementing partner	moderate
	and IZR	To what extent has the project made an innovative contribution (or a contribution to innovation)? Which innovations have been tested in different regional contexts? How are the innovations evaluated by which partners?	Innovations identified in different regions	Interviews, Focus Group Discussion	Focus group discussion with project team, interview with project management (former and current director), implementing partner	moderate
<b>No project-related (unintended) negative results at impact level have occurred – and if any negative results occurred the project responded adequately.</b>  <b>The occurrence of additional (not formally agreed) positive results at impact level has been monitored and additional opportunities for further positive results have been seized.</b>	Standard	Which (unintended) negative or (formally not agreed) positive results at impact level can be observed? Are there negative trade-offs between the ecological, economic and social dimensions (according to the three dimensions of sustainability in the Agenda 2030)? Were positive synergies between the three dimensions exploited?	Evidence for widespread impact established	Interviews, Focus Group Discussion	Focus group discussion with project team, interview with project management (former and current director), implementing partner	moderate
	Standard	To what extent were risks of (unintended) results at the impact level assessed in the monitoring system (e.g. 'Kompass')? Were risks already known during the planning phase?	Degree of assessment in monitoring tools	Document analysis of monitoring documents	Analysis of monitoring system	moderate
	Standard	What measures have been taken by the project to avoid and counteract the risks/negative results/trade-offs (3)?	Mitigation measures mentioned	Document analysis, interviews	Analysis of monitoring system, Interview with project team	moderate
	Standard	To what extent have the framework conditions played a role in regard to the negative results? How did the project react to this?	Role of framework conditions in negative results	Document analysis, interviews	Analysis of monitoring system, Interview with project team	moderate
	Standard	To what extent were potential (not formally agreed) positive results and potential synergies between the ecological, economic and social dimensions monitored and exploited?	Synergies of sustainability dimensions	Document analysis, interviews	Focus group discussion with project team, interview with project management (former and current director), implementing partner	moderate

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

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

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

OECD-DAC Criterion Efficiency (max. 100 points)

Assessment dimensions	Filter - Project Type	Evaluation questions	Evaluation Indicators	Data collection methods (e.g. interviews, focus group discussions, documents, project/partner monitoring system, workshop, survey, etc.)	Data sources (list of relevant documents, interviews with specific stakeholder categories, specific monitoring data, specific workshop(s), etc.)	Evidence strength (moderate good strong)
The project's use of resources is appropriate with regard to the outputs achieved.	Standard	To what extent are there deviations between the identified costs and the projected costs? What are the reasons for the identified deviation(s)?	Das Vorhaben steuert seine Ressourcen gemäß des geplanten Kostenplans (Kostenzeilen). Nur bei nachvollziehbarer Begründung erfolgen Abweichungen vom Kostenplan.	Efficiency Tool; interviews	Efficiency-tool, project management	good
	[Production efficiency: Resources/Outputs]	Standard	Focus: To what extent could the outputs have been maximised with the same amount of resources and under the same framework conditions and with the same or better quality (maximum principle)? (methodological minimum standard: Follow-the-money approach)	Das Vorhaben reflektiert, ob die vereinbarten Wirkungen mit den vorhandenen Mitteln erreicht werden können.	Efficiency Tool; interviews	Efficiency-tool, project management
Das Vorhaben steuert seine Ressourcen gemäß der geplanten Kosten für die vereinbarten Leistungen (Outputs). Nur bei nachvollziehbarer Begründung erfolgen Abweichungen von den Kosten. Die übergreifenden Kosten des Vorhabens stehen in einem angemessenen Verhältnis zu den Kosten für die Outputs. Die durch ZAS Aufschriebe erbrachten Leistungen haben einen nachvollziehbaren Mehrwert für die Erreichung der Outputs des Vorhabens.				Efficiency Tool; interviews	Efficiency-tool, project management	good
Die übergreifenden Kosten des Vorhabens stehen in einem angemessenen Verhältnis zu den Kosten für die Outputs.				Efficiency Tool; interviews	Efficiency-tool, project management	good
Die durch ZAS Aufschriebe erbrachten Leistungen haben einen nachvollziehbaren Mehrwert für die Erreichung der Outputs des Vorhabens.				Efficiency Tool; interviews	Efficiency-tool, project management	good

Standard	Focus: To what extent could outputs have been maximised by reallocating resources between the outputs? (methodological minimum standard: Follow-the-money approach)	Das Vorhaben steuert seine Ressourcen, um andere Outputs schneller/ besser zu erreichen, wenn Outputs erreicht wurden bzw. diese nicht erreicht werden können (Schlussevaluierung).  Oder: Das Vorhaben steuert und plant seine Ressourcen, um andere Outputs schneller/ besser zu erreichen, wenn Outputs erreicht wurden bzw. diese nicht erreicht werden können (Zwischenevaluierung).	Efficiency Tool; interviews	Efficiency-tool, project management	good
Standard	Were the output/resource ratio and alternatives carefully considered during the design and implementation process – and if so, how? (methodological minimum standard: Follow-the-money approach)	Were the output/resource ratio and alternatives carefully considered during the design and implementation process – and if so, how? (methodological minimum standard: Follow-the-E10:H15)	Efficiency Tool; interviews	Efficiency-tool, project management	good
		Die im Modulvorschlag vorgeschlagene Partnerkonstellation und die damit verbundenen Interventionsebenen konnte hinsichtlich der veranschlagten Kosten in Bezug auf die angestrebten Outputs des Vorhaben gut realisiert werden.	Efficiency Tool; interviews	Efficiency-tool, project management	good
		Der im Modulvorschlag vorgeschlagene thematische Zuschnitte für das Vorhaben konnte hinsichtlich der veranschlagten Kosten in Bezug auf die angestrebten Outputs des Vorhabens gut realisiert werden.	Efficiency Tool; interviews	Efficiency-tool, project management	good
		Die im Modulvorschlag beschriebenen Risiken sind hinsichtlich der veranschlagten Kosten in Bezug auf die angestrebten Outputs des Vorhabens gut nachvollziehbar.	Efficiency Tool; interviews	Efficiency-tool, project management	good
		Die im Modulvorschlag beschriebene Reichweite des Vorhabens (z.B. Regionen) konnte	Efficiency Tool; interviews	Efficiency-tool, project management	good

			hinsichtlich der veranschlagten Kosten in Bezug auf die angestrebten Outputs des Vorhabens voll realisiert werden.			
			Der im Modulvorschlag beschriebene Ansatz des Vorhabens hinsichtlich der zu erbringenden Outputs entspricht unter den gegebenen Rahmenbedingungen dem state-of-the-art.	Efficiency Tool; interviews	Efficiency-tool, project management	good
	Standard	For interim evaluations based on the analysis to date: To what extent are further planned expenditures meaningfully distributed among the targeted outputs?	siehe oben	Efficiency Tool; interviews	Efficiency-tool, project management	good
<b>The project's use of resources is appropriate with regard to achieving the projects objective (outcome).</b>  <b>[Allocation efficiency: Resources/Outcome]</b>	Standard	To what extent could the outcome (project objective) have been maximised with the same amount of resources and the same or better quality (maximum principle)?	Das Vorhaben orientiert sich an internen oder externen Vergleichsgrößen, um seine Wirkungen kosteneffizient zu erreichen.	Interviews	Project team and management	good
	Standard	Were the outcome-resources ratio and alternatives carefully considered during the conception and implementation process – and if so, how? Were any scaling-up options considered?	Das Vorhaben steuert seine Ressourcen zwischen den Outputs, so dass die maximalen Wirkungen im Sinne des Modulziels erreicht werden. (Schlussevaluierung)  Oder: Das Vorhaben steuert und plant seine Ressourcen zwischen den Outputs, so dass die maximalen Wirkungen im Sinne des Modulziels erreicht werden. (Zwischenevaluierung)	Interviews	Project team and management	good
			Das im Modulvorschlag vorgeschlagene Instrumentenkonzept konnte hinsichtlich der veranschlagten Kosten in Bezug auf das angestrebte Modulziel des Vorhabens gut realisiert werden.	Interviews	Project team and management	good
			Die im Modulvorschlag vorgeschlagene Partnerkonstellation und die damit verbundenen Interventionsebenen konnte hinsichtlich der veranschlagten Kosten in Bezug auf das angestrebte Modulziel des Vorhabens gut realisiert werden.	Interviews	Project team and management	good

		Der im Modulvorschlag vorgeschlagene thematische Zuschnitte für das Vorhaben konnte hinsichtlich der veranschlagten Kosten in Bezug auf das angestrebte Modulziel des Vorhabens gut realisiert werden.	Interviews	Project team and management	good
		Die im Modulvorschlag beschriebenen Risiken sind hinsichtlich der veranschlagten Kosten in Bezug auf das angestrebte Modulziel des Vorhabens gut nachvollziehbar.	Interviews	Project team and management	good
		Die im Modulvorschlag beschriebene Reichweite des Vorhabens (z.B. Regionen) konnte hinsichtlich der veranschlagten Kosten in Bezug auf das angestrebte Modulziel des Vorhabens voll realisiert werden.	Interviews	Project team and management	good
		Der im Modulvorschlag beschriebene Ansatz des Vorhabens hinsichtlich des zu erbringenden Modulziels entspricht unter den gegebenen Rahmenbedingungen dem state-of-the-art.	Interviews	Project team and management, FMB, BMZ	good
Standard	To what extent were more results achieved through cooperation / synergies and/or leverage of more resources, with the help of other ministries, bilateral and multilateral donors and organisations (e.g. co-financing) and/or other GIZ projects? If so, was the relationship between costs and results appropriate or did it even improve efficiency?	Das Vorhaben unternimmt die notwendigen Schritte, um Synergien mit Interventionen anderer Geber auf der Wirkungsebene vollständig zu realisieren.	Interviews	Project team and management, other donors	good
		Wirtschaftlichkeitsverluste durch unzureichende Koordinierung und Komplementarität zu Interventionen anderer Geber werden ausreichend vermieden.	Interviews	Project team and management, other donors	good
		Das Vorhaben unternimmt die notwendigen Schritte, um Synergien innerhalb der deutschen EZ vollständig zu realisieren.	Interviews	Project team and management, other GIZ projects	good

		Wirtschaftlichkeitsverluste durch unzureichende Koordinierung und Komplementarität innerhalb der deutschen EZ werden ausreichend vermieden.	Interviews	Project team and management, other FZ/TZ actors	good
		Die Kombifinanzierung hat zu einer signifikanten Ausweitung der Wirkungen geführt bzw. diese ist zu erwarten.	n.a.	n.a.	
		Durch die Kombifinanzierung sind die übergreifenden Kosten im Verhältnis zu den Gesamtkosten nicht überproportional gestiegen.	n.a.	n.a.	
		Die Partnerbeiträge stehen in einem angemessenen Verhältnis zu den Kosten für die Outputs des Vorhabens.	n.a.	n.a.	

OECD-DAC Criterion Sustainability (max. 100 points)						
Assessment dimensions	Filter - Project Type	Evaluation questions	Evaluation Indicators	Data collection methods (e.g. interviews, focus group discussions, documents, project/partner monitoring system, workshop, survey, etc.)	Data sources (list of relevant documents, interviews with specific stakeholder categories, specific monitoring data, specific workshop(s), etc.)	Evidence strength (moderate good strong)
<b>Prerequisite for ensuring the long-term success of the project: Results are anchored in (partner) structures.</b>	Standard	What has the project done to ensure that the results can be sustained in the medium to long term by the partners themselves?	Training effectiveness (Kirkpatrick); behaviour and results	Online survey, Interviews	Participants of capacity building activities (Public, Private, CSO)	good

	Standard	In what way are advisory contents, approaches, methods or concepts of the project anchored/institutionalised in the (partner) system?	Training effectiveness (Kirkpatrick); behaviour and results	Online survey, Interviews	Participants of capacity building activities (Public, Private, CSO)	good
	Standard	To what extent are the results continuously used and/or further developed by the target group and/or implementing partners?	Examples from partners	Interviews	Interviews with key partners	good
	Standard	To what extent are resources and capacities at the individual, organisational or societal/political level in the partner country available (long-term) to ensure the continuation of the results achieved?	Training effectiveness (Kirkpatrick); behaviour and results	Online survey	Participants of capacity building activities	good
	Standard	If no follow-on measure exists: What is the project's exit strategy? How are lessons learnt for partners and GIZ prepared and documented?	na (project continues)	n.a.	n.a.	
<b>Forecast of durability: Results of the project are permanent, stable and long-term resilient.</b>	Standard	To what extent are the results of the project durable, stable and resilient in the long-term under the given conditions?	Perception of partners and GIZ team	Focus group discussion, Interview	Interviews with key partners	moderate
	Standard	What risks and potentials are emerging for the durability of the results and how likely are these factors to occur? What has the project done to reduce these risks?	Perception of partners and GIZ team	Focus group discussion, Interview	Interviews with key partners	moderate

(1) Escalating factors/ dividers: e.g. destructive institutions, structures, norms and behavior. For more details on 'dividers' see: GIZ (2007): 'Peace and Conflict Assessment (PCA). Ein methodischer Rahmen zur konflikt- und friedensbezogenen Ausrichtung von EZ-Maßnahmen', p. 135.

(2) Deescalating factors/ connectors: e.g. peace-promoting actors and institutions, structural changes, peace-promoting norms and behavior. For more details on 'connectors' see: GIZ (2007): 'Peace and Conflict Assessment (PCA). Ein methodischer Rahmen zur konflikt- und friedensbezogenen Ausrichtung von EZ-Maßnahmen', p. 55/135.

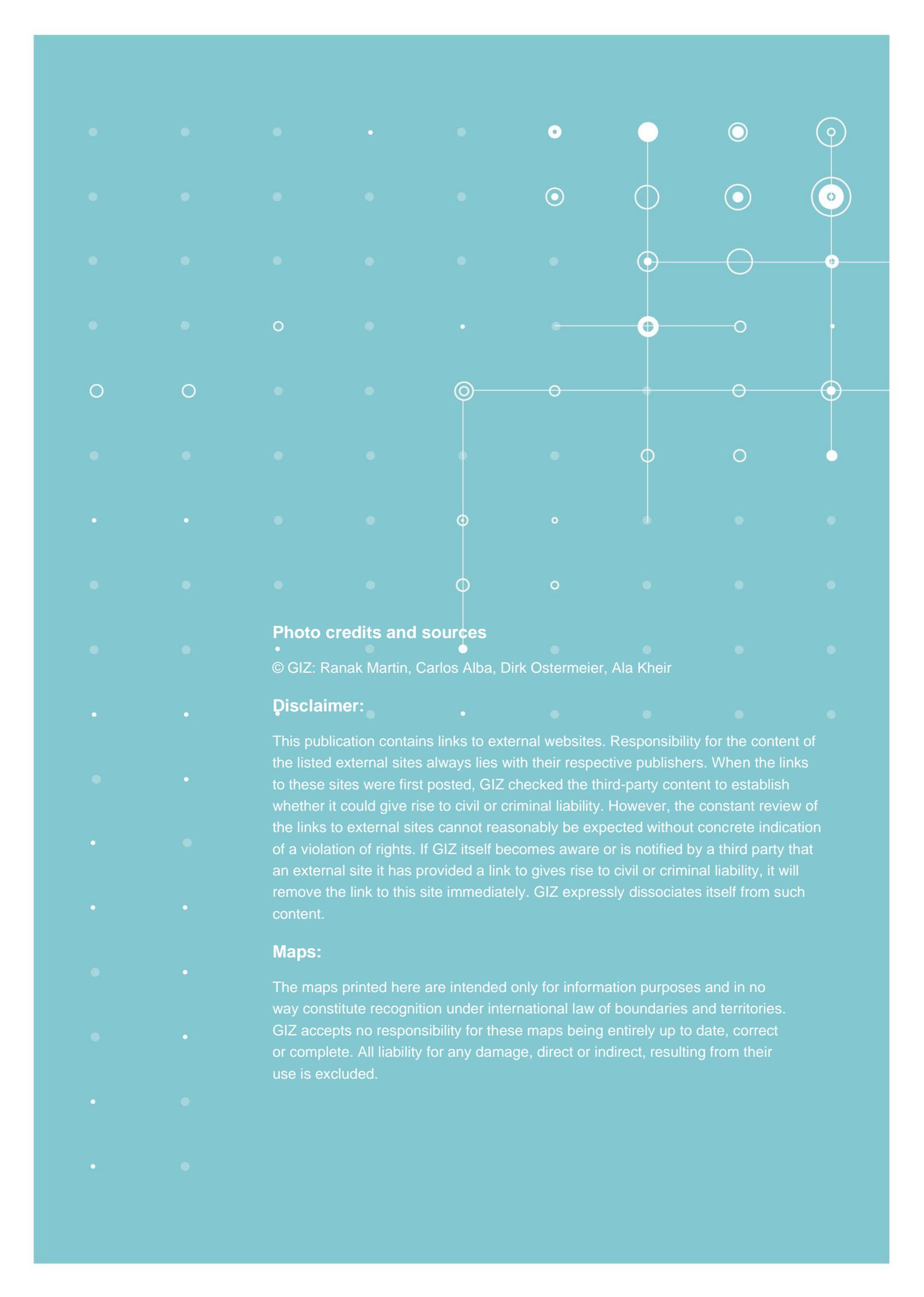
(3) All projects in fragile contexts, projects with FS1 or FS2 markers and all transitional aid projects have to weaken escalating factors/dividers and have to mitigate risks in the context of conflict, fragility and violence. Projects with FS1 or FS2 markers should also consider how to strengthen deescalating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

#### Additional Evaluation Questions

Assessment dimensions	Evaluation questions	Evaluation Indicators	Data collection methods (e.g. interviews, focus group discussions, documents, project/partner monitoring system, workshop, survey, etc.)	Data sources (list of relevant documents, interviews with specific stakeholder categories, specific monitoring data, specific workshop(s), etc.)	Evidence strength (moderate good strong)

<b>Impact and sustainability (durability) of predecessor project(s) - NOT APPLICABLE</b>	Which of the intended impact of the predecessor project(s) can (still/now) be observed?				
	Which of the achieved results (output, outcome) from predecessor project(s) can (still) be observed?				
	To what extent are these results of the predecessor project(s) durable, stable and resilient in the long-term under the given conditions?				
	In what way were results anchored/institutionalised in the (partner) system?				
	How much does the current project build on the predecessor project(s)? Which aspects (including results) were used or integrated in the current project (phase)?				
	How was dealt with changes in the project context (including transition phases between projects/phases)? Which important strategic decisions were made? What were the consequences?				
	Which factors of success and failure can be identified for the predecessor project(s)?				
<b>Follow-on project (if applicable)</b>	Based on the evaluations results: Are the results model including results hypotheses, the results-oriented monitoring system (WoM), and project indicators plausible and in line with current standards? If applicable, are there any recommendations for improvement?	Assessment of follow on results matrix	Interviews, discussions	Project team, partners	good
	(1)				
<b>Additional evaluation questions</b>	(1)				

(1) Please add additional questions of interests raised by the project including partner or target group during the inception phase that could not be included into the OECD/DAC criteria.



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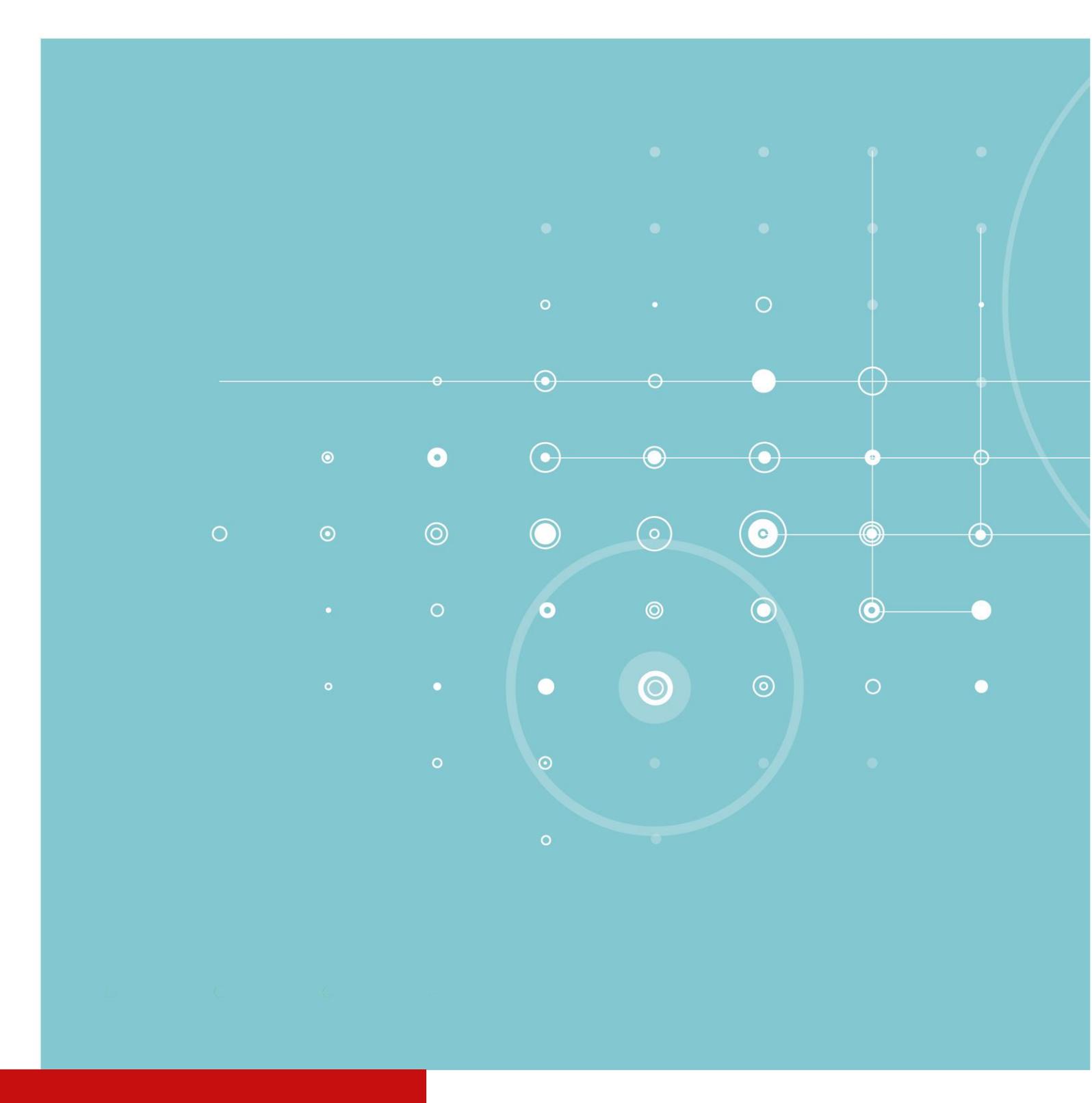
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